

University of Pune

Rules for the Degree of Doctor of Philosophy (Ph.D.)

Eligibility for Registration :

(a) A candidate may be permitted to register for the Ph.D. degree of any of the Faculties of the University of Pune subject to the conditions mentioned below :—

(i) He should hold a Master's degree in the subject of his doctoral research from this or any other University recognised as equivalent thereto by this University. If an M.Phil. Programme is offered at the Dept./Institute/Centre where the candidate wishes to undertake research then the M.Phil. degree shall be a prerequisite for registration for Ph.D. However, the concerned Departmental Committee may exempt a candidate from undertaking the M.Phil. Course as for the rules made thereof.

(ii) If a candidate holds a Master's degree in a subject other than the subject in which he wishes to register for Ph.D. he shall have to obtain the M.Phil. degree in the subject of his doctoral research. In case facilities for undertaking M.Phil. Course are not available the applications should be referred to the concerned B.U.T.R. for approval. In the case of the professional faculties of Law, Medicine, Engineering and Ayurvedic Medicine etc. a candidate holding a Master's degree in any subject within that faculty may be permitted to register for Ph.D. in any other subject within the same faculty.

N.B.:—(1) The fellow members of the Institute of Chartered Accountants and/or the Institute of Cost and Works Accountants shall be held eligible for registration for Ph.D. in the subject in the Board of Studies in Accountancy and Actuarial Science in the Faculty of Commerce provided that they possess a Bachelor's Degree of any statutory University.

(2) A graduate in Engineering who has developed important new techniques (new for the country) or designed and fabricated special instruments or apparatus which are deemed by competent judges to be a valuable contribution to engineering may be permitted by the B.U.T.R. in Engineering on the recommendation of the appropriate Board or Boards of Studies to submit his thesis for the Ph.D. Degree in that Faculty. Such a candidate must have at least five years' standing as a Bachelor of Engineering.

(b) A candidate may be permitted to work for the Ph.D. Degree in an institution outside the jurisdiction of this University but recognised as a Post-graduate Centre for Ph.D. research provided that he holds at least one degree of this University and satisfies the condition of eligibility given in (a) above.

A CANDIDATE CAN BE REGISTERED ANY TIME DURING THE YEAR.

2. Supervision for Ph.D. Research :

(a) Normally a candidate shall work under the supervision of a recognised research guide of the University. An applicant for the Ph.D. Course shall have the option to choose his research guide. At any given time a guide shall not have more than 8 registered research students (M.Phil./Ph.D.) working under his supervision. The B.U.T.R. in the Faculty shall on the recommendation of the Departmental Committee, or of Head/Professor-in-Charge of the Department where no such Departmental Committee exists approve the topic of research and the supervisor/guide for research.

(b) However as a very special case, the B.U.T.R. in the faculty may, on the recommendation of the appropriate Board of Studies in the subject, permit a candidate to register for Ph.D. independently, i.e. without having to work under the supervision of a guide, provided he satisfies the condition for eligibility given in (1) above and has demonstrated ability to undertake independent research work. He shall submit his application in the proforma prescribed for the purpose.

- (c) Normally a candidate shall be required to complete his doctoral research under the supervision of his guide. However, a candidate may be permitted by the B.U.T.R. in the Faculty to transfer his registration from one guide to another provided the original guide gives no objection certificate for such a transfer and the new guide to be appointed agrees to accept the candidate as his Ph.D. student. Provided further that in the case of such a transfer a candidate shall have to work for a minimum period of one calendar year before he is allowed to submit his thesis.
- (d) Whenever the original guide of a candidate leaves the University/College/Institute or retires from service but continues to be the research guide of the University, the Head/Professor-in-Charge of the Department concerned shall, after ascertaining the choice of the student either to continue to work under the supervision of the same guide (provided he has kept two terms under his supervision) or to work under a new guide, make an appropriate recommendation to the Vice-Chancellor. In the latter case, the guide of such a student who wants to work under him shall give in writing his willingness to accept the student and a no-objection certificate from the original guide will be necessary. The recommendation of the Head/Professor-in-Charge of the Department shall have to be approved by the Vice-Chancellor.
- (e) If a candidate's proposed doctoral work is of an Interdisciplinary nature the B.U.T.R. in the Faculty in which the candidate wants to register may, on the recommendation of the Dean or Deans of the Faculties concerned appoint two or more supervisors.

In such a case the B.U.T.R. shall appoint one of the supervisors as the Chairman of the Committee of supervisors and the supervisor(s) in the other subject(s) will be members of that Committee, and the Chairman of the Committee will be in-charge of the Ph.D. work.

3. Duration of the Ph.D. Course :

- (a) A candidate for the Ph.D. degree must have worked for a minimum period of two calendar years, and, in the normal course, he will not be allowed to submit his thesis before completing two calendar years from the date of his registration as a Ph.D. student.
- (b) However, as a very special case, the B.U.T.R. may, on the recommendation of the research guide, the Head/Professor-in-Charge of the Department and the Dean of the Faculty concerned, permit a candidate to submit his thesis before the completion of two calendar years. In such a case candidate shall be required, to pay the tuition fees for a minimum of four terms i.e. two calendar years.
- (c) A candidate who has obtained his M.Phil. in any subject may be permitted to extend his work for the Ph.D. degree. In such a case, on his registration for the Ph.D. degree he will be entitled to an exemption of one calendar year in the minimum duration of two calendar years for the Ph.D. degree course. However, he shall be required to pay the tuition fees for four terms, i.e. two calendar years prescribed for the Ph.D. Course.

4. The Presentation of the thesis :

- (a) Two months before the date of submission of the thesis the candidate shall forward to the Registrar, through his research guide and through the Head of the Department/Recognised Research Institution where he is working 25 copies of the statement giving the title and the synopsis of the thesis along with the prescribed fee. The Ph.D. thesis shall be submitted within six months of the date of the synopsis of the thesis, failing which the candidate shall submit a revised synopsis and shall again pay his examination fees.
- (b) A candidate for the Ph.D. degree shall lodge with the Registrar four copies of his thesis. All copies of the thesis shall be presented in a permanent and legible form in typescript or print. Copies produced by xerography or comparatively permanent process will be acceptable.
- (c) The thesis shall include a certificate in form 'A' from the supervisor of the candidate that the work reported in the thesis has been carried out by the candidate himself and that the material from other sources, if any, is duly acknowledged.

(d) A candidate will not be permitted to submit a thesis for which a degree has already been conferred on him in this or in any other University, but a candidate shall not be precluded from incorporating his work which has already been submitted for the M.Phil. degree in this or in any other University, provided that he shall indicate this fact in a signed declaration.

(e) If the thesis is based on joint research the nature and extent of the author's individual contribution shall be indicated in the declaration. The declaration shall be certified as correct by the candidate as well as by his supervisor-research guide.

(f) The candidate may also forward with his thesis four copies of any original contribution or contributions to the advancement of knowledge on the subject selected by him for his thesis or any cognate subject published by him independently or jointly with others upon which he relies in support of his candidate.

(g) Alongwith the four copies of the thesis to be submitted by the candidate in the manner prescribed above the candidate shall also submit 50 copies (or more if required) of a summary of the thesis highlighting the findings and original contributions of the research, which may be in cyclostyled or printed form. The cost of preparing the copies shall be borne by the Department/Institute where the candidate has worked for his Ph.D. degree.

(h) The thesis shall be written or printed in English. However, when the subject-matter of the thesis relates to a Modern European Language or to an Indian Language, a candidate may write his thesis in that language or in English. The Vice-Chancellor may, on the recommendation of the appropriate Head/Professor-in-Charge of the Department and the Dean of the Faculty, permit a candidate to write thesis in Marathi or Hindi. In such a case the candidate shall submit a gist of his thesis in English in 10,000 words. The gist shall be sent for comments to a referee, to be appointed by the appropriate Board of Studies, whose mother-tongue is not the language in which the thesis is written. The comments of this referee shall be made available to the examiners for their consideration.

5. The Appointment of Examiners :

The synopsis of the thesis submitted by candidate under 4 (a) above shall be forwarded to the appropriate Board of Studies which shall recommend to the Academic Council a panel of External referees for the thesis. The guide of the candidate shall be the Internal Examiner. In the case of a candidate who is working independently on the Board of Studies shall suggest to Academic Council the name of a University teacher who shall be the internal referee.

The Panel of examiners prepared by the Board of Studies shall be submitted to the Academic Council for its approval. The Executive Council shall select two external referees from the panel approved by the Academic Council. Of the two external referees at least one shall be resident in India, if both of them are within the country will also be permitted.

6. The Examination and the Defence of the Thesis :

(a) After the candidate has submitted the thesis, and the Executive Council has appointed the two external examiners, the Registrar shall invite the referees to examine the thesis. A copy of the summary of the thesis given under Rule 4 (g) above shall be sent to the referees along with the letter of invitation. When a referee has accepted the invitation to examine the thesis the Registrar shall forward the thesis to him within two weeks of the receipt of the letter of acceptance.

(b) The summary of the thesis shall be sent to experts and Heads of Departments/Institutions in India where work similar to that reported in the thesis is being carried out. The experts and Heads of Departments/Institutions will be invited to offer their comments about the work reported by the candidate. The Panel of experts and Heads of Departments/Institutions to whom copies of the abstracts are to be sent, shall be prepared by the Head of the Department/Institute in consultation with the supervisor/guide of the candidate. The Head of the Department/Institute shall ensure circulation of the abstracts of the thesis, as indicated above.

(c) The referees shall report on the acceptability of the thesis or otherwise within a period of 90 days of the date of the receipt of the thesis. If both the external referees report that the thesis is acceptable, then the candidate will be invited for the defence of his thesis. If both the external referees report that the thesis is not acceptable then there will be no defence of the thesis and the candidate will be declared to have failed. In case of the difference of opinion between the two external referees about the acceptability of the thesis, the Executive Council shall appoint a third external referee. The decision about the acceptability of the thesis shall be based on the majority opinions of the three external referees and this shall be final. If two of the external referees opine that the thesis is acceptable, the candidate will be asked to undertake the defence of his thesis. If two of the three external referees find the thesis unacceptable, the candidate will be declared to have failed.

(d) The day, date, time and place where the candidate will defend his thesis shall be duly notified by the Head of the Department/Institute. At least two of the examiners should be present at the time of the defence. The candidate shall be provided by the Head of the Department/Professor-in-Charge of the Department with the copies of the reports of the external referees as well as the comments of the experts made on the basis of the abstracts of the thesis circulated earlier at least seven days before the defence is undertaken.

If neither of the external referees is able to be present at the time of the defence, the Vice-Chancellor on the recommendation of the candidate's guide the Head/Professor-in-Charge of the Department and the Dean of the Faculty shall appoint a referee from an Indian University or an expert in the subject not in the service of the University to be present at the time of the defence of the thesis.

(e) The Head of the Department/Professor-in-Charge of a Department/Dean shall nominate the chairman for the defence from a panel of three senior research guides to be suggested by the internal referees. All interested persons in attend the defence of the thesis and the persons within the subject concern shall have the right to ask questions and participate in discussion on the thesis. The chairman appointed in the manner prescribed above will exercise his discretion to allow or not to allow a question. However, the members of the audience at the defence shall have no right to express their opinion on the suitability or otherwise of the thesis for the award of the Ph.D. Degree.

(f) The examiners present for the defence shall submit to the Registrar their final consolidated report about the award of the Ph.D. Degree immediately after the defence is over. Their recommendations shall be specific and shall recommend either that the Ph.D. Degree be awarded to the candidate OR that the candidate should undertake a fresh defence after a specified period OR that the candidate resubmit his thesis and undertake a fresh defence after the thesis has been re-examined OR that the candidate be not awarded the Ph.D. Degree. The rules regarding defence shall be applicable for M.Phil. seminars also. A work that has been rejected may be submitted after due revision and subject to the payment of half the original fees.

(g) If the Ph.D. degree is awarded to the candidate, the first copy of the thesis will be deposited in the University Library, the second copy will be kept in the Department/Institute where the research has been carried out, the third copy will be returned to the candidate, and the fourth copy will be retained by the supervisor/guide.

APPENDIX : FORM 'A'

CERTIFIED that the work incorporated in the thesis.....

(Title)

submitted by Shri./Smt.
was carried out by the candidate under my supervision guidance. Such material as has
been obtained from other sources has been duly acknowledged in the thesis.

.....
(Supervisor/Research Guide)

UNIVERSITY OF PUNE

Circular No. 286 of 1983-84

Rules for Admission to the Degree of Doctor of Philosophy (Ph.D.)

1. A candidate seeking admission to the Ph.D. degree course shall apply to the Registrar in the prescribed application form any time during the year.
2. (a) For admission to the Ph.D. programme in a subject in any faculty an applicant shall hold a Master's degree from this or any other recognized University in the subject in which he/she wishes to undertake his/her doctoral research. If the M.Phil. programme is offered in the subject in which a candidate wishes to do his/her Ph.D. the M.Phil. degree shall be a prerequisite for admission to the Ph.D. programme subject to the provisions of Rules 3 and 5 below.
 - (b) In case a candidate wishes to pursue the Ph.D. Programme in a subject other than the subject in which he/she holds a Master's degree, it will ordinarily be necessary for him/her to get an M.Phil. degree in the subject of his/her doctoral research. However exemption from M.Phil. can be granted to a candidate who holds a Master's degree in a subject allied to the subject of his/her doctoral research for reasons to be stated by the Ph.D. committee provided such a candidate fulfils the conditions for exemption from M.Phil. as given in rule 3 below.
3. The Ph.D. committee in the subject concerned may exempt a candidate, from the M.Phil. degree requirement on the following grounds :
 - (a) The candidate—
 - (i) has independent published research papers in his/her chosen field of specialization in national or international journals, and
 - (ii) has 5 years' experience of teaching in a senior college or has professional experience of 5 years after getting the Master's degree.
 - (b) The candidate is a teacher in a college affiliated to the University and has either 10 years experience of teaching undergraduate classes or 5 years' experience of teaching Post-graduate classes. Such a candidate shall have to give a pre-Ph.D. Seminar within 2 years of his/her Ph.D. registration to be evaluated by the Ph.D. Committee in the manner prescribed by that committee. If the Ph.D. Committee in the subject concerned considers the candidate's performance at the pre-Ph.D. seminar unsatisfactory the candidate shall not be allowed to proceed with his/her Ph.D. dissertation. In such a case the Ph.D. registration of the candidate shall be cancelled.
4. If M.Phil. programme is offered in a particular subject, the Ph.D. Committee in the subject concerned shall have the power to decide whether or not M.Phil. degree in the subject will be a prerequisite for admission to the Ph.D. programme.
5. (a) In case the Ph.D. committee in a subject makes M.Phil. degree a prerequisite for admission to the Ph.D. programme, except in cases where exemption from M.Phil. can be granted under rule (3) above, a candidate seeking admission to the Ph.D. programme shall have to acquire the M.Phil. degree first.
 - (b) If the Ph.D. committee in a subject does not prescribe M.Phil. degree as a prerequisite for admission to the Ph.D. programme, the following rules shall apply for admission to the Ph.D. degree course :
 - (i) A candidate who has obtained the M.Phil. degree in the subject in which he/she wishes to do his/her Ph.D. may be considered eligible for admission to the Ph.D. degree course and shall be permitted to submit his/her Ph.D. dissertation without any further tests.

- (ii) A candidate who has successfully completed the M.Phil. course-work but who does not wish to proceed with his/her M.Phil. dissertation may be permitted to register for the Ph.D. programme provided he/she gives a Pre-Ph.D. seminar and is recommended by the Ph.D. committee for admission to the Ph.D. programme.
The date of the Ph.D. registration of such a candidate shall be the date on which he/she was registered for the M.Phil. degree. Such a candidate shall not be awarded the M.Phil. degree.
- (iii) A candidate may be admitted directly to the Ph.D. programme subject to the condition that within 2 years of his/her Ph.D. registration he/she passes qualifying examinations in three Pre-Ph.D. courses which shall be equivalent to the M.Phil. courses and gives a Pre-Ph.D. seminar. If the candidate does not pass all the three Pre-Ph.D. courses or if his/her performance at the Pre-Ph.D. seminar is considered unsatisfactory by the Ph.D. committee in the subject concerned, his/her Ph.D. registration shall be cancelled.
6. Notwithstanding the above rules, in the professional Faculties of Medicine, Ayurvedic Medicine, Engineering, and Law a candidate may be admitted directly to the Ph.D. programme subject to the condition that he/she successfully gives Pre-Ph.D. seminar within 2 years of his/her Ph.D. registration. If his/her performance at the Pre-Ph.D. seminar is considered unsatisfactory by the Ph.D. committee in the subject concerned, his/her Ph.D. registration shall be cancelled.
7. (a) The contents of the Pre-Ph.D. courses shall be framed jointly by the Ph.D. and M.Phil. committee in the subject concerned and by the Ph.D. committee alone if there is no M.Phil. committee in the subject and shall be approved by the B.U.T.R. in the faculty concerned and the Academic Council. Such courses could be the same as the M.Phil. Courses.
- (b) The three Pre-Ph.D. courses to be offered by a candidate should be in the fields allied to the candidate's field of doctoral thesis.
- (c) The nature and method of examination of the pre-Ph.D. course-work and of the Ph.D. seminar shall be decided jointly by the Ph.D. and M.Phil. Committee and by the Ph.D. Committee alone if there is no M.Phil. Committee in the subject.
- (d) The pre-Ph.D. seminar shall include a comprehensive review of the work done by the candidate in the field of investigation and shall indicate the lines of contemplated doctoral work.
8. The Ph.D. Committee concerned may recommend admission to the Ph.D. programme to a candidate residing outside the Poona University area, but it will have to give specific reasons for recommending admission to such a candidate. Such a candidate will have to spend a total of 6 months with his/her research guide before he/she submits his/her thesis.
9. There shall be a Ph.D. committee for each subject constituted for a period of 2 years and consisting of the following :
- (a) For University Department :
- (i) The Head of the University Department concerned (ex-officio Chairman).
 - (ii) Two research guides from the University Department concerned to be nominated by the Vice-Chancellor on the recommendation of the Departmental Committee concerned.
 - (iii) Two research guides from amongst the research guides outside the University Department to be nominated by the Vice-Chancellor in consultation with the Dean of the Faculty concerned.
- (b) For a subject for which there is no University Department :
- (i) The Dean of the Faculty concerned (ex-officio-Chairman).
 - (ii) The professor-in-charge of the subject concerned.
 - (iii) Three research guides in the subject concerned to be nominated by the Vice-Chancellor in consultation with the Dean of the Faculty concerned.

10. The powers and duties of the Ph.D. Committee shall be :
- (i) to recommend admission to the Ph.D. degree course.
 - (ii) to recommend on the advice of the research guide, topics of research or Ph.D. scholars.
 - (iii) to recommend on the advice of the research guide change of a topic of research.
 - (iv) to recommend on the advice of the research guide grant of extension of the period of Ph.D. registration.

The recommendation of the Ph.D. Committee shall be sent directly to the B.U.T.R. concerned or the Vice-Chancellor for its consideration and approval.

11. The Ph.D. committee shall ordinarily meet four times a year. The Chairman of the Ph.D. Committee may convene extra meeting, if necessary.

Circular No. 307 of 1984-85

In pursuance of the decision taken by the University authorities it is hereby notified for the information of all concerned that the maximum period of registration for the Ph.D. student shall be 6 (six) years, after which the registration shall stand cancelled. If a candidate's thesis is ready after the completion of 6 years period, he/she may be allowed to submit his/her thesis by Re-registering his/her name by paying the normal tuition fees due for two years for registration, and he may submit his thesis within two years.

Kindly bring the contents of this circular to the notice of the students concerned.

Ganeshkhind, Pune-411007
 Ref. No. PGS/Ph.D./11987
 Dated : 21st November, 1984

A. A. Paradkar
 for Registrar.