CENTRAL UNIVERSITY OF PUNJAB

Rules of Ph.D. Programme

1. Short Title, Application and Commencement:

- **1.1** These rules have been formulated as per the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 dated 5th May 2016, and extant amendments notified from time to time.
- **1.2** These rules shall be called the Rules of Ph.D. Programme of the Central University of Punjab hereinafter referred to as Ph.D. Rules.
- **1.3** These rules shall be applicable to all Ph.D. Programmes of the university unless otherwise stated.
- **1.4** These rules shall come into force from the date its approval in the Executive Council w.e.f the Academic Session 2021-22.

2. Duration of the Programme:

- **2.1**. The Ph.D. programme shall be for a minimum duration of three years (i.e. six semesters), including the course work.
- **2.2**. The Ph.D. programme shall be for a maximum of six years (5 + 1 = 6 years). Normally, the student is expected to complete his/her programme within a period of five years (10 semesters). However, the sixth year of the programme shall be allowed with the approval of the Hon`ble Vice-Chancellor, if any of the following exceptional circumstances arise:
 - (i) More than 6 months of hospitalization,
 - (ii) Death of supporting parents/guardian,
 - (iii) Disturbed conditions as declared by the Government, and
 - (iv) Any other valid reason.
- **2.3.** The women candidates and Persons with Disability (PwD) (more than 40% disability) may be allowed a relaxation of two years for completion of the Ph.D. programme in addition to the normal duration of five years, if such case arises. In addition, the women candidates may be provided the Maternity Leave/Child Care Leave once in the entire duration of Ph.D. programme upto 240 days.
- **2.4** The name of a scholar shall be removed/struck off from the rolls of the University if the student fails to submit the thesis within the maximum limit of six years (5 + 1 = 6 years) in general, and seven years (5 + 2 = 7 years) for women/PwD candidates from the date of enrolment in the Ph.D. Programme.
- **2.5** The name of a scholar shall be removed/struck off from the rolls of the University if he/she remains absent from the University for a period of one month without permission. He/she needs to take re-admission in the programme after completing the necessary formalities (i.e. payment of fee after the recommendation of the Research Advisory

Committee) within one month from the issuance of the order of the struck off his/her name from the university rolls. After that, no claim for re-admission shall be entertained.

- **2.6.** No candidate of this programme during the tenure of the fellowship, other than JRF/SRF candidates, shall undertake any paid assignment/job or join any other course of study leading to award of a degree. The JRF/SRF can avail Leave without Fellowship upto one academic year during the entire tenure, to undertake any paid assignment/job.
- **2.7.** In case of a foreign student who is compelled to leave the programme in-between for getting the student visa extended, such a period shall not be counted for the purpose of calculation of the maximum duration of the Ph.D. programme.
- **2.8.** A semester may be declared zero semester* if a scholar fails to continue with the programme during that period due to illness, hospitalization, accepting a foreign scholarship/fellowship, or undertaking any paid assignment/job subject to the fulfillment of requirements as laid down by the relevant rules. However, the scholar has to complete the Ph.D. Programme within the maximum period as laid down under the clause 2.2 and 2.3 above. A scholar may avail zero semesters for a maximum of two semesters during the tenure of Ph.D. programme.

*For details of Zero semester, the AC/EC approval vide Item No.AC:18:2018:04 and EC:29:2019:18 respectively to be referred.

- **2.9.** A scholar having JRF/SRF may join academic assignment/teaching/foreign visit/government job for a maximum period of one year only after completing 2 years of minimum residency period along with the successful completion of course work and synopsis approval.
- **2.10.** The Scholars having UGC-JRF are entitled for a maximum period of 30 days of leave in a year in addition to public holidays. They are not entitled to any other vacations. Besides, the academic leave without fellowship shall be permissible only for one year throughout the tenure (for any kind of academic assignment/teaching/foreign visit in connection with research work). The period of leave without fellowship will be counted towards the tenure. Prior approval of the competent authority is mandatory for all types of leaves.
- **2.**11 The Scholar, with the permission of the supervisor, may assist the university in its academic work, including tutorials, evaluation of the test papers, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia, provided such work is not likely to hinder the research programmes on hand. The total amount of time to be spent on such activities should not exceed 10 hours a week.

3. Number of Seats:

3.1 The number of seats in the Ph.D. programme of all the subjects/disciplines shall be as recommended by the Academic and Administrative Committee (AAC) and approved by the Statutory Bodies of the University and shall be notified on the University website as well as in the admission prospectus issued at the time of admission.

3.2 The policy of the Government of India and the guidelines of the UGC, regarding reservation of seats for candidates belonging to Scheduled Castes (SC), Scheduled Tribes (ST), Other Backward Classes (OBC) (Non-Creamy Layer), Economically Weaker Sections (EWS) and for differently-abled (PwD) candidates shall be implemented.

4. Eligibility Criteria for Admission:

- **4.1.** The applicant for Ph.D. programme should have a Master's degree in the concerned/relevant subject with a minimum of 60% marks {55% for SC/ST/OBC(NCL)/PWD}.
- **4.2.** Candidates must have some financial assistance such as NET-JRF, financial assistance from Govt. agencies {Like National Fellowship for Scheduled Caste (NFSC), Maulana Azad National Fellowship (MANF) etc.}/Sponsored Research Fellowship or working in CUP projects with fellowships with a minimum period of 2 years. However, for remaining periods of Ph.D. work for the candidates working in CUP projects with fellowship, there shall be no financial liability on the University. Only valid national level tests such as UGC/CSIR/ASRB-NET, ICMR-JRF, GATE, GPAT, DBT-BET and JEST (Physics) qualified candidates shall be exempted from the entrance test. However, they have to appear in the interview for admission into Ph.D. programme.
- **4.3** For admission into Ph.D. Programmes of Pharmaceutical Sciences, Pharmacology and Computer Science and Technology, the candidates must have qualified GPAT/GATE, not older than four years preceding the date of admission in the Ph.D. programme.
- **4.4.** The candidates who are eligible to apply for DST INSPIRE Fellowship (Level II) will be allowed a provisional enrolment in the Ph.D. programme in the respective Department of the University after the interview, subject to the undertaking/affidavit through proper channel by the candidate, that if they fail to get INSPIRE Fellowship, their Ph.D. enrolment shall automatically stand cancelled. The university shall not take any semester/admission fee other than the provisional enrolment fee from the candidate till they are registered in Ph.D. after the award of INSPIRE Fellowship. They will also not be allowed to attend any classes or perform Ph.D. coursework in the respective Department. The university reserves the right to modify this clause with the approval of the Hon'ble Vice-Chancellor.
- **4.5.** Candidates possessing a degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. Programme.

5. Admission Criteria:

5.1. Admission of a candidate to the programme would be made only in the beginning of the first semester. The candidate shall be promoted to subsequent semesters of the programme after completing necessary formalities.

- **5.2.** In exceptional cases, lateral entry of a candidate shall be considered for admission to a later semester of the programme on the recommendations of the concerned School Board and approval of Academic Council/Executive Council.
- **5.3.** Foreign nationals residing in India or abroad or Indian nationals residing abroad may be admitted to this programme according to the policy guidelines laid down by the International Students Admission Committee and Government of India/Statutory Bodies of the University from time to time.
- **5.4.** Candidates eligible for admission to the Programme shall not be admitted, if already registered for a full time Programme of this University or any other University/Institute.
- **5.5.** Candidates admitted to the Programme shall be permitted to pursue part-time evening certificate/Diploma programmes of professional nature in the University or other Institutions.

6. Admission Procedure:

- **6.1** The University shall invite applications from the eligible candidates for admission into the Ph.D. programme, giving details of the academic calendar, number of seats available, eligibility criteria, prescribed fees, etc.
- **6.2** Admission to the various programmes of studies shall be made on All-India basis and on the basis of merit, either through Entrance Test conducted by the University or combined with other Universities.
- **6.3.** The admission schedule to the programme shall be advertised in leading newspapers at the national level and also on the university website. The entrance test shall be conducted at the national level.
- **6.4. Evaluation of Performance**: The performance of a candidate for Ph.D. admission shall be evaluated as under:

Category-I: Candidates exempted from Entrance Test

- (a) For UGC/CSIR/ICMR-JRF, DBT-JRF Qualified Candidates (i) Fixed weightage for having JRF: 70 marks, & (ii) Interview: 30 marks
- (b) For UGC/CSIR/ASRB-NET/GATE/GPAT/DBT-BET/JEST (Physics) (without JRF) Qualified Candidates (i) Fixed weightage having NET/GATE/GPAT/DBT-BET/JEST(Physics): 70 marks, & (ii) Interview: 30 marks.
- **Category-II**: The Candidates not eligible for exemption of the Entrance Test (i) National Level Entrance Test/University Entrance Test (70% weightage): 70 marks, & (ii) Interview: 30 marks
- **6.5.** The candidates working in CUP Research Projects with fellowship or those holding Financial Assistance from Government Agencies/Industrial fellowship, are required to qualify NET/National Level Entrance Test/University Entrance test, and appear in the interview for admission into Ph.D. Programme.

- **6.6. Cut-Off Marks:** The cut-off marks to qualify the entrance test will be 50% {45% for SC/ST/OBC(NCL)/PWD}. Candidates scoring less than 50% {45% for SC/ST/OBC(NCL)/PWD} marks shall not be considered eligible for interview for Ph.D. admission.
- **6.7**. The Interview shall be conducted at the Department level by the Interview Committee for Ph.D. admission, as per the following constitution:
 - (i) Dean of the School, Chairperson
 - (ii) Head of the Department, Member & Convener
 - (iii) All Professors of the Department, Members
 - (iv) Two faculty members of the Department on seniority other than Professors, Members
 - (v) All faculty members of the department who offered vacancy for Ph.D. under their guidance for Ph.D. admission, Members

The Department shall check the eligibility of candidates for admission into the Ph.D. programme. During interview, the candidates are required to discuss their research interest/area preferably through a presentation before the Committee. The interview/viva-voce shall also consider the following aspects, viz. whether:

- (i) the candidate possesses the competence for the proposed research;
- (ii) the research work can be suitably undertaken at the University;
- (iii) the proposed area of research can contribute to new/additional knowledge.
- **6.8.** Candidates must ensure that, they have all the original documents of their respective qualifying examinations at the time of interview and verification of documents/registration. The Interview Committee of the Department shall also verify all the original documents of the candidates and shall be responsible for compliance of rules prescribed.
- **6.9.** The eligible candidates who have fellowships from external sources shall be preferred over those who have no financial assistance, when they qualify the interview for Ph.D. admission and fulfill eligibility criteria.
- **6.10.** The candidates having any financial assistance such as ICSSR Fellowship, Industrial Fellowship etc. shall be given the opportunity to take admission in the Ph.D. programme, subject to candidates having qualified the NET/national level entrance test (as applicable).
- **6.11**. The selected candidates shall submit the prescribed fee and other relevant documents to the university within the stipulated time for their admission into the Ph.D. Programme.
- **6.12.** The admission into the Ph.D. programme shall be held twice a year, normally in July and January.

7. Allocation of Research Supervisor:

7.1 Any regular Professor of the University with at least five high quality research publications in refereed/UGC-CARE listed journals, and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two high quality research

publications in refereed/UGC-CARE listed journals may be recognized as Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed/UGC-CARE listed journals, the university may relax the above conditions for recognition of a person as Research Supervisor with reasons recorded in writing.

- **7.2** Only a full time regular teacher of the university can act as a supervisor. The external supervisors are not allowed. However, co-supervisor can be allowed in interdisciplinary/complementary areas from same/other Departments of the university or from other related Institutions/universities with the approval of the Competent Authority.
- **7.3** The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, available specialization among the Supervisors, and the research interests of scholars as indicated by them (**Annexure-I**).
- **7.4** If the topic of research is of interdisciplinary in nature where the Research Advisory Committee of the concerned student feels that the expertise in the Department has to be supplemented from relevant discipline, the Research Advisory Committee may recommend for the appointment of a Research Co-Supervisor from relevant Department of the University or from outside the university on such terms and conditions as may be specified and agreed upon by the consenting University/Institutions.
- **7.5** A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide upto a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide upto a maximum of four (4) Ph.D. scholars.

Provided that the allocation of Supervisor/Co-Supervisor is recommended by the Department and approved by the competent authority. After due approval, an official notification to this effect shall be made by the office of the Controller of Examinations (Annexure-II).

- **7.6** In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the university to which the scholar intends to relocate provided all the other conditions in these rules/regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar will however give due credit to the parent guide and the Institution for the part of research already done.
- **7.7** Once the Supervisor and Department are allotted to the Ph.D. Scholar, it shall not be changed during the Ph.D. work except in the following exceptional circumstances -
 - **7.7.1** In case Supervisor of a student leaves (resigns/proceed on long leave) the University, and before leaving he/she is not in a position to suggest a new Supervisor, the Chairperson of the Research Advisory Committee may interact with the student and appoint a new Supervisor or Administrative Supervisor (in case no faculty/teacher is available within the

Department, then administrative Supervisor can be appointed till new regular teacher/faculty join the Department). The change of supervisor requires approval of the Academic Council.

- **7.7.2** If a teacher within the Department agrees to be the Supervisor of the Ph.D. scholar, if the present Supervisor of the Ph.D. Scholar leaves the University, then teacher/faculty who agrees to be the Supervisor of him/her needs to give an undertaking regarding the suitability of the research proposal keeping in view the availability of infrastructure to carry out the proposed research work and viability of the proposal. After that the case shall be put up to the Research Advisory Committee through the Supervisor and Department for approval.
- **7.7.3** The hardships in the change of Supervisor for any other reasons, not specified above, can only be removed by the Competent Authority on the recommendation of the Research Advisory Committee.
- **7.7.4** The scholar is required to apply for supervisor change if any of the above cases arise (**Annexure-VI**). If the supervisor change is approved by the competent authority, a notification to that effect may be given by the Controller of Examinations (**Annexure-VII**).
- **7.8** The place of research/Department of the Ph.D. Scholar can be changed only for valid reasons with the approval of the Competent Authority.
- **7.9** A teacher of the university shall not be eligible to supervise new Ph.D. scholars, if he/she has less than three years to superannuate from the university service. However, he/she shall be eligible to supervise the Ph.D. scholar as a joint Supervisor/Co-Supervisor.
- **7.10** If there is any need for modification of the title of the research work, the candidate shall submit an application to the Chairperson of the Research Advisory Committee on recommendations of the Supervisor through Head of the Department. A minor change that does not alter the meaning of the title altogether, if suggested during the pre-submission seminar, shall be permitted.
- **7.11** Each Supervisor is entitled to take a fresh student, after submission of the thesis for external evaluation of his/her previously allotted student, within the maximum permissible number for guidance.

8. Course Work:

- **8.1** The credit assigned to the Ph.D. coursework shall be a minimum of 08 credits and a maximum of 16 credits.
- **8.2** The coursework shall be treated as prerequisite for Ph.D. preparation. A minimum of four (4) credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, literature review, training for field work, academic writing, skill development for seminar preparation and presentation, writing citations/references/bibliography etc. There shall be a 2-credit compulsory course on Research and Publication Ethics as prescribed by the UGC. Other

courses shall be university level compulsory courses and advanced level discipline specific courses (preferably offered as elective courses) preparing the students for research work.

- **8.3** All courses prescribed for Ph.D. coursework shall be in conformity with the credit hours of instructional requirements, and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies such as Board of Studies, School Board, Academic Council, and Executive Council.
- **8.4** The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar.
- **8.5** All candidates admitted to the Ph.D. programmes shall be required to complete the coursework prescribed by the Department during the initial one or two semesters.
- **8.6** Candidates already holding M.Phil. degree and admitted to the Ph.D. programme at the university, may be exempted from the Ph.D. coursework by the competent authority on recommendation of the Research Advisory Committee and University Equivalence Committee.

After permission is granted for coursework exemption, a notification to this effect shall be issued by the office of the Controller of Examinations. The entire process shall be completed within one month of admission of the scholar into the Ph.D. Programme to facilitate the timely completion of the coursework.

All other scholars admitted to the Ph.D. programme and do not qualify for coursework exemption, shall be required to complete the coursework as prescribed by the Department.

- **8.7** A Ph.D. scholar has to obtain a minimum of 55% in an individual course and a minimum of 6.0 CGPA in the UGC 10-point scale in the coursework in order to be eligible to continue in the programme and submit the thesis.
- **8.8** After successful completion of the coursework, the candidate shall be required to prepare a research proposal/synopsis of the intended study and submit to the Research Advisory Committee through Supervisor and HoD of the Department for due approval within the six months from the completion of the coursework.
- **8.8.1** The student is required to submit four copies of the research proposal/synopsis of the intended study to the office of the Dean of the School through Supervisor and HoD.
- **8.8.2** On receipt of the synopsis as in Clause 8.8.1, the supervisor shall make it available to each member of Research Advisory Committee for assessment of feasibility of the synopsis giving at least a week of time. The Supervisor shall convene the meeting of Research Advisory Committee to finalize the synopsis. The Research Advisory Committee is required to recommend on a proforma for acceptance of the synopsis.

If any suggestions are made for further improvement then the student is required to incorporate the feasible suggestions in consultation with the supervisor and submit a report of incorporation in tabular form through the supervisor. The student shall submit the final

version of the synopsis in three copies for recommendation by Research Advisory Committee.

8.8.3 After recommendation of the Research Advisory Committee followed by the approval of final version of the synopsis by the competent authority, a notification of the approved topic of the doctoral thesis shall be issued by the office of the Controller of Examinations (**Annexure-III**).

8.9 Unfair Means:

There shall be zero-tolerance against the use of unfair means and unfair practices in the Ph.D. course work examination and each examinee shall be required to strictly adhere to the instructions of the said examination. Non-adherence to such instructions shall attract disciplinary action.

- **8.9.1** For the Ph.D. Course Work examination, a flying squad shall be constituted consisting of appropriate women members to ensure fairness and discipline in the examination. In case of any case(s) of unfair means, indiscipline and disturbance during the examination, the flying squad shall submit its report with full details of the evidence in support thereof and the statement of the candidate to the Controller of Examinations.
- **8.9.2** Use of unfair means is strictly prohibited and shall invite serious disciplinary action for anyone found using unfair means during any examination. Unfair practices and unfair means relating to examination shall mean and include:
- (i) Exerting pressure, coercion and undue influence for postponement and change of dates and timings of examination.
- (ii) Threatening the invigilator or any other behaviour amounting to insubordination as reported by the Invigilator.
- (iii) Seeking favours from and/or threatening the examiners, paper setters, evaluators, invigilators, co-examinees or any other officer or staff of the university.
- (iv) Resorting to such practices and engaging into activities that are specifically prohibited during the course of examination.
- (v) Keeping in possession of materials of any kind related to the subject of the examination concerned including mobile / cell phones / electronic aids, unless otherwise permitted as a component of examination and/or copying or attempting to copy from the materials in possession or from other persons within or outside the examination hall,
- (vi) Exchanging notes, inter-changing answer scripts, helping other examinees, seeking help from and/or consulting other examinees or any other person inside or outside the examination hall.
- (vii) Attempts of impersonation including writing some other candidate's registration number/roll number in the answer paper and/or exchanging or attempting to exchange answer sheets or other materials during the course of examination.

- (viii) Sitting or occupying seats other than the one allotted to the candidate or changing the seat during the course of examination without the permission of the invigilator.
- (ix) Boycott / walkout of the examination and or causing disturbances of any kind during the conduct of examination.
- (x) Any other act of omission or commission as may be declared by the Executive Council as unfair means in respect of any or all the examinations.
- **8.9.3** Detection of unfair means, indiscipline and disturbances during the examination shall be brought to the notice of the HoD by the invigilator concerned in writing. The HoD shall report to the Controller of Examinations without delay, each case of alleged use of unfair means in the examination with full details of the evidence in support thereof and the statement of the candidate concerned, if any. In case a candidate found using unfair means in examination refuses to make and sign the said statement, the incident shall be recorded by the Invigilator and countersigned by the HoD. The answer book of the candidate found using unfair means in the examination shall be seized and the candidate may be permitted to write his/her examination on a separate answer-book to be issued to him/her. The HoD shall send both the answer-books to the Controller of Examinations along with his/her report.
- **8.9.4** All individual cases of reported use of unfair means in examination shall be referred to the Examination Discipline Committee constituted by the Competent Authority. Provided that in case of use of unfair means on a mass scale at an examination centre, the Vice-Chancellor shall have powers to cancel the examination of all the candidates appearing from the centre concerned and order re-examination an initiate further disciplinary action against all concerned.
- **8.9.5** The Examination Discipline Committee shall decide the extent, and magnitude of punishment to those found guilty of using Unfair Means in examination with due regard to the nature and extent of offence committed by a candidate in use of Unfair means and shall ensure that the punishment is commensurate to the offence committed and in accordance with the principle of natural justice.
- **8.9.6** All decisions taken by the Committee will be placed before the Chairman, Academic Council, for approval.
- **8.9.7** A candidate found guilty of using Unfair Means in examination by the Examination Discipline Committee, may appeal to the Vice-Chancellor, in writing, within one month of the receipt of the decision of the University; and if the Vice-Chancellor is satisfied that the representation merits consideration, he/she may refer the case back to the Examination Discipline Committee for reconsideration.
- **8.10 Medium of instruction and examination**: English shall be the medium of instruction, study, examination and research of the University, except in languages, or else as may be decided by the Academic Council.

9. Research Advisory Committee and Its Functions:

- **9.1** There shall be a Research Advisory Committee for each Ph.D. scholar. The Research Advisory Committee shall consist of the following members:
 - (i) Dean of the School Chairperson
 - (ii) Vice-Chancellor's Nominee Member
 - (iii) Head of the Department Member
 - (iv) Supervisor Convener

The constitution of the Research Advisory Committee of a Ph.D. scholar admitted into the Ph.D. programme at the university, shall be notified immediately after the admission of the scholar is confirmed and before the coursework of the scholar begins in compliance to the clause 7.4 of the UGC Regulations on Ph.D. Programmes, 2016 and the clause 8.4 of this Ph.D. Rule.

- **9.2** The Research Advisory Committee shall have the following responsibilities:
 - (i) To prescribe the courses to be pursued by the scholar in the coursework.
 - (ii) To review the research proposal and finalize the topic of research;
 - (iii) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
 - (iv) To periodically review and assist in the progress of the research work of the research scholar.
 - (v) To assess the eligibility of the scholar for upgrading the fellowship from JRF to SRF, if applicable as a part of six monthly progress report. However, the final recommendation is to be made by a 3-member committee comprising HoD, Supervisor and an external subject expert as per the rules of the fellowship awarding bodies.
 - (vi) To recommend for extension of Ph.D. duration under exceptional circumstances, if any, with proper justification as per Clause 2.2 above.
 - (vii) To recommend for the zero semester, if claimed by the student as per Clause 2.8 above.
 - (viii) To recommend for the continuation of the Ph.D. programme along with the academic assignment/teaching/foreign visit/government Teaching Job, if selected during the programme as per University rules.
 - (viii) To recommend for any other academic/research issues.
- **9.3** In case a Ph.D. Scholar wishes to change the topic of research, he/she may be permitted to do so within one year from the date of his/her synopsis approval. The modified research proposal/synopsis shall be submitted to the Research Advisory Committee through the Supervisor for its consideration and recommendation.

Provided that the scholar applies for the change of topic of research with reason thereof (Annexure-IV).

To the effect that the topic change is approved by the competent authority, a notification by the Controller of Examinations shall be issued (**Annexure-V**).

- **9.4** A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the office of the Controller of Examinations for maintaining an official record with a copy to the research scholar by uploading the same in the Ph.D. portal (**Annexure-VIII**).
- **9.5** In case the progress of the research scholar is unsatisfactory for one semester, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures and progress remains unsatisfactory in the immediate next semester, the Research Advisory Committee may recommend to the office of Controller of Examinations with specific reasons for cancellation of the registration of the research scholar.
- **9.6** If the Ph.D. scholar is required to conduct field work for data collection/literature review/sample collection or required to visit any laboratory as a part of his/her research work, the Research Advisory Committee shall record the reasons for the same and recommend the approximate number of days for which such field work is required. Based on this recommendation, Hon'ble Vice-Chancellor shall allow the scholar(s) for such field work. During the period of the field work, the scholar shall be allowed to draw the fellowship.
- **9.7** The Research Advisory Committee shall also recommend for holding tool design and validation workshop by the scholar for facilitating his/her field work for data collection, wherever applicable. However, all the financial burden of this workshop shall be adjusted from the contingency grant of the scholar. Based on this recommendation, Hon'ble Vice-Chancellor shall allow the scholar for holding such workshop.

10. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:

- **10.1** Upon satisfactory completion of coursework and obtaining the marks/grade prescribed in the Clause 8.7 above and upon approval of the synopsis, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within a reasonable time, as prescribed in the Clause 2.1 above.
- **10.2** Prior to the submission of the thesis, the scholar shall make a presentation before the Research Advisory Committee concerned, which shall also be open to all faculty members and other research scholars of the university. The evaluation report of this pre-Ph.D. thesis submission seminar shall include the suggestions, if any and recommendation for submission of the thesis for external evaluation (**Annexure-IX**). The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the supervisor.
- **10.3** The Ph.D. scholars must publish at least one research paper in refereed/UGC-CARE Listed journal and make two paper presentations in conferences/seminars before the

submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. The scholar and the supervisor have to declare using Annexure-XIV that the journal and conference papers are on the topic of the Ph.D. research work, and the scholar is the first author in each case.

- **10.4** While submitting for external evaluation, the thesis shall have an undertaking from the research scholar (Annexure-XVI) and a certificate from the Research Supervisor (Annexure-XV) attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same University where the work was carried out, or to any other University/Institution. The **Annexure-X** shall be used as the checklist-cum-submission form for the submission of thesis for external evaluation.
- **10.4.1** In order to ensure that the research proposal/synopsis/research paper publications/ thesis or any other such documents are free from plagiarism, the scholar/supervisor shall be required to follow the UGC Regulations on plagiarism and self-plagiarism.
- **10.4.2** Every student submitting a thesis, or any other such documents to the University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free from plagiarism. The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool/software approved by the University.
- **10.4.3** The research work carried out by the student/faculty shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only, and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.
- **10.4.4** The similarity checks for plagiarism shall exclude the following: (i) All quoted work reproduced with all necessary permission and/or attribution; (ii) All references, bibliography, table of content, preface and acknowledgements; and (iii) All generic terms, laws, standard symbols and standards equations.
- **10.4.5** The plagiarism or similarities upto 10% shall be considered as minor similarities, and shall not attract any penalty.
- **10.4.6** The plagiarism verification is to be checked by the supervisor/Library. The certificate of verification given by the supervisor/Library is to be submitted along with the thesis at the time of thesis submission (**Annexure-XIII**).
- **10.5** The Ph.D. thesis submitted by a research scholar shall be evaluated by three external examiners one from within Punjab, one from another state of India, and one from outside the country, based on panel of examiners submitted by the supervisor, and approved by the competent authority.

The public defense/viva-voce examination, based among other things, on the critiques given in the examiners' evaluation reports, shall be conducted by the Research Supervisor and at least one of the three external examiners, and shall be open to be attended by the members of

Research Advisory Committee of scholar, all faculty members of the Department, other research scholars, and any other interested experts/researchers/teachers (Annexure-XVII).

The examiners' reports, if recommending the viva-voce examination of the scholar, shall be opened by the Dean of the School in the presence of the external examiner conducting the viva-voce, and shall be made available to the supervisor and other members of the viva-voce committee as per the university rule.

The examiners' reports, if asking for modification but recommending the viva-voce examination of the scholar, shall be given by the Dean of the School to the supervisor for due incorporation of the modifications suggested, before the public defence is held.

- **10.6** If any recommendation for modification is suggested by examiner(s) and accepted by the scholar/supervisor, then all those shall be duly incorporated before the final submission of the thesis. In such cases, the thesis shall include a certificate from the Supervisor to the effect, *inter alia*, that the recommendations made by the examiners have suitably been incorporated. In addition, the scholar has to make a presentation of the modifications suggested and incorporated during the viva-voce examination.
- **10.7** The public *viva-voce* of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination.
- **10.7.1** If one of the evaluation reports of the external examiner of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the University shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- **10.7.2** If two or more examiners reject the thesis, the thesis shall be rejected and registration of the student shall be cancelled.
- **10.8** The entire process of evaluation of Ph.D. thesis shall be completed within a period of six months from the date of submission of the thesis.
- **10.9 Re-Submission of Thesis:** A candidate whose thesis has been referred back for revision shall re-submit it for the award of the Ph.D. Degree within one year of the intimation of the decision of the University.
- **10.9.1** The thesis which has been re-submitted shall be examined by the same external examiner(s). In case any examiner(s) is (are) unwilling to evaluate the thesis, another examiner(s) may be appointed by the Vice-Chancellor from the approved panel of examiners.
- **10.9.2** During the period of re-submission of the thesis, hostel facility can be provided if available upto the resubmission of the thesis subject to the availability of seats. Otherwise the candidate shall have to arrange her/his accommodation.
- **10.10** The open public defence/viva-voce examination of the Scholar may also be held online through video conferencing mode, if required and allowed by the competent authority.

10.11 After successful open public defence/viva-voce examination, the scholar is required to submit the final version of the thesis using **Annexure-XI** for the award of the Ph.D. degree.

11. Course Fee for Ph.D. Programme

Fees to be paid by students during Ph.D. duration shall be laid down by the University from time to time.

12. Award of Ph.D. Degree:

- **12.1** The successful candidates shall be admitted to and conferred the Degree of Doctor of Philosophy in the respective discipline, as the case may be, provided he/she has:
 - (i) No pending dues to the University, hostel or library outstanding,
 - (ii) No disciplinary action pending against him/her,
 - (iii) Fulfilled such other conditions and requirements as prescribed under rules, and
 - (iv) For those candidates who have qualified for the degree in disciplines which are interdisciplinary in nature, the University may issue the degree in the respective discipline in which they have registered and have completed their programme.
- **12.2** The University shall issue the degree in accordance with the provisions of UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016 or any subsequent notification issued.
- **12.3** The Academic Council, on the recommendation of the Vice-Chancellor shall have the right to withdraw the degree, if plagiarism or any other form of malpractice is detected at any stage, and to initiate such further action as it deems fit.

Provided that the Vice-Chancellor shall get the complaint in the matter investigated confidentially and shall give the accused an opportunity to explain before he makes his recommendation on the matter to the Academic Council.

- **12.4** Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009 till the date of Notification of the Regulation, 2016 as in 12.2 above shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009.
- **12.5** Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

13. Depository with INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Universities/Institutions/Colleges or public.

Provided that the scholar has submitted the fill in Student Approval Form (adopted from Shodhganga, INFLIBNET Centre, Ahmedabad) (Please see **Annexure-XII**).

14. Power to Remove Difficulty:

Notwithstanding what is contained in the rules/regulations, the Vice-Chancellor may, in exceptional circumstances and on the recommendations of the Research Advisory Committee on the merits of each individual case, and for reasons to be recorded, allow relaxation of any of the provisions except those prescribing CGPA requirements and clause 12.2 above. The Vice-Chancellor may also take such measures as may be necessary for removal of doubts/difficulties and to resolve any other extraordinary issues. The decision of the Vice-Chancellor shall be final and binding.

Research Interest of the Candidate for Supervisor Allotment

	Dated
1. Name of the Candidate:	
2. Regd. No:	
3. Name of Department:	
4. Name of the Programme:	
5. Research Interest of the Candidate:	
6. Current Semester Fee Payment Receipt No	Dated
(Please attach the proof of the payment of Semester fee)	
	Signature of Applicant
(For Office Use)	
1. Name of the Scholar:	
2. Regd. No.:	
3. Name of the Supervisor Allotted:	
4. Designation of the Supervisor:	
Signature of Faculty Members of the Department	
Signature of HOD	
Signature of Dean	

Format for Supervisor Allotment

Ref. No.:	Dated
From	
The Controller of Examinations,	
Central University of Punjab, Bathinda-151401	
То	
Ref.: Your Admission dated	(For the Year)
Sir	
This is to inform you that you have been permitted to	register yourself for the Ph.D. Programme
in the subject	under the supervision of
1. Your Registration No. for the Ph.D. Programme is	
2. Your Place/Department of Research Work is	
3. Your date of Registration is	
	Controller of Examinations
Copy to:	Controller of Liaminations
1. Dean, in-charge Academics for kind information	
2. Dean, School concerned for kind information	
3. Head of the Department	
4. Supervisor Concerned	
5. File	

Format for Topic/Synopsis Approval

Ref. No.:	Dated
From	
The Controller of Examinations,	
Central University of Punjab, Bathinda-151401	
То	
Ref.: Your synopsis presentation before RAC dated	
Sir	
This is to inform you that you have been permitted to	
supervision of	under the
1. Registration No.	
2. Your date of successful completion of course work is	
3. Your date of topic/synopsis approval is	
	Controller of Examinations
Copy to:	
1. Dean, in-charge Academics for kind information	
2. Dean, School concerned for kind information	
3. Head of the Department	
4. Supervisor Concerned	
5. File	

Application for Change of Topic of Research

	Dated
То	
The Controller of Examinations,	
Central University of Punjab, Bathinda-151401	
Subject: Request for Change of Topic of Research – Reg.	
Sir	
I,	ation No
1. Existing Topic of Research:	
2. Reasons for Change of topic of research:	
3. Proposed Topic of Research:	
4. Consent of the Supervisor:	
5. Current Semester Fee Payment Receipt No. with Date	
	Signature of Applicant
Enclosures:	
1. Supervisor allotment letter	
2. Topic approval letter	
3. Any other	

Format for Topic Change

Ref. No.:	Dated
From	
The Controller of Examinations,	
Central University of Punjab, Bathinda-151401	
То	
Ref.: Your revised synopsis presentation before RAC dated	
Sir	
This is to inform you that you have been permitted to carry on your	research work on the revised
topic	under
the supervision of	
1. Registration No.	
2. Your date of revised topic/synopsis approval is	
	Controller of Examinations
Copy to:	
1. Dean, in-charge Academics for kind information	
2. Dean, School concerned for kind information	
3. Head of the Department	
4. Supervisor Concerned	
5. File	

Application for Change of Supervisor

(In extraordinary cases only)

Dated
То
The Controller of Examinations,
Central University of Punjab, Bathinda-151401
Subject: Request for Change of Supervisor – Reg.
Sir
I,, the Ph.D. Scholar of the Department bearing the Registration No.
admitted to the Ph.D. Programme on
working on the topic under the supervision of
1. Reasons for Change of Supervisor:
2. Consent of the Existing Supervisor:
3. Name of Proposed Supervisor:
4. Consent of the Proposed Supervisor:
5. Topic of Research (Required to be Changed): YES / NO
6. Reasons for Changing the topic of research:
7. Proposed Topic of Research:
8. Consent of the Proposed Supervisor for the new topic of research:
9. Current Semester Fee Payment Receipt No. with Date
Signature of Applicant
Enclosures:
1. Supervisor allotment letter
2. Topic approval letter

3. Any other

Format for Change of Supervisor

(In extraordinary cases only)

Ref. No.:	Dated
From	
The Controller of Examinations,	
Central University of Punjab, Bathinda-151401	
То	
Ref.: Your Application dated	
Sir	
This is to inform you that you have been permitted to regis	ter yourself for the Ph.D. Programme
in the subject	under the supervision of
	of research work is
1. Registration No.	
2. Your date of approval of new supervisor is	
	Controller of Examinations
Copy to:	
1. Dean, in-charge Academics for kind information	
2. Dean, School concerned for kind information	
3. Head of the Department	
4. Supervisor Concerned (Old & New)	
5. File	

Six-Monthly Progress Review Report

Period of the report: DDD	M M Y Y Y Y	to D D M M Y Y Y Y
Student Information		
Full Name	:	
Registration No.	:	
Department/Centre	:	
Name of Supervisor	:	
Name of Co-Supervisor (if any)	:	
Progress Report evaluated by	the Research Advisory (Committee (RAC)
Progress (attach brief report):		Satisfactory/Unsatisfactory
Recommendation for promoting to the	ne next semester (Tick):	Recommended/Not Recommended
Remarks, if any:		
(Signature)	(S	Signature)
Vice-Chancellor's Nominee		Dean of the School
Name:		Name:
Designation:		Designation:
Date:		Date:
(Signature)		(Signature)
HOD/Officiating HOD		Convener (Ph.D. Supervisor)
Name:		Name:
Designation:		Designation:
Date:		Date:

Pre-Ph.D. Thesis Submission Seminar Evaluation Report

		Date:
Name of Student:		
Regd. No.:		
Department:		
Thesis Title:		
Suggestions made by RAC:		
Recommended for Submissio	on of Thesis for External l	Evaluation: YES / NO
Signature of Supervisor	Signature of HOD	Signature of VC Nominee
	Signature of Dean of Sch	nool

Ph.D. Thesis Submission for External Evaluation

1.	Name of the Scholar:
2.	Regd. No.:
3.	Name of Department:
4.	Title of Thesis:

Document Check List (Put tick mark)

- 1. Performa for accepting the Ph.D. Thesis
- 2. URKUND/TURNITIN Analysis Result/Report (Similarity Index < 10)
- **3.** Grammarly Report for Quality of Writing (Overall score > 95)
- **4.** DMC of Coursework/Letter of Exemption of Coursework
- 5. Copy of Front Page of Approved Synopsis
- 6. Certificate of Original Work/Undertaking for Plagiarism by Student & Supervisor
- 7. Declaration in Annexure VIII
- **8.** Copy of the Research Paper Publication(s)
- **9.** Copy of the Certificates of Conference/Seminar Presentations
- 10. Declaration for Research/Conference Papers
- 11. Ph.D. Pre-Submission Seminar Report with Attendance Sheet
- 12. No Dues Statement
- 13. Thesis Submission Fee Slip
- 14. Four Copies of hard bound thesis
- **15.** Soft copy of thesis in 2 CDs
- **16.** List of Experts (Sealed Envelop)

Signature of Ph.D. Scholar with Date

Final Thesis Submission for Ph.D. Degree

1.	Name of the Scholar:
2.	Regd. No.:
3.	Name of Department:
4.	Title of Thesis:

Document Check List (Put tick mark)

- 1. Performa for accepting the Ph.D. Thesis
- 2. Student Approval Form
- 3. URKUND/TURNITIN Analysis Result/Report
- **4.** Copy of Front Page of Approved Synopsis
- 5. Certificate of Original Work/Undertaking for Plagiarism by Student & Supervisor
- **6.** Declaration in Annexure VIII
- 7. Summary of Incorporate of Suggestions in Thesis (if any)
- 8. No Dues Statement
- **9.** Five Copies of hard bound thesis
- **10.** Soft copy of thesis in 2 CDs

Signature of Ph.D. Scholar with Date

STUDENT APPROVAL FORM

Name of Author	
Department	
Degree	
University	
Guide	
Thesis Title	
Year of Award	

Agreement

- 1. I hereby certify that, if appropriate, I have obtained and attached hereto a written permission / statement from the owner(s) of each third party copyrighted matter to be included in my thesis / dissertation, allowing distribution as specified below.
- 2. I hereby grant to the university and its agents the non-exclusive license to archive and make accessible, under the conditions specified below, my thesis / dissertation, in whole or in part in all form of media, now or hereafter known. I retain all other ownership rights to the copyright of the thesis / dissertation. I also retain the right to use in future works (such as article or books) all or part of thesis, dissertation, or project report.

Conditions:

1. Release the entire work access worldwide	
2. Release the entire work for 'My University'	
only for	
1 year	
2 years	
3 years	
and after this time release the work for access	
worldwide.	
3. Release the entire work for 'My University'	
only, while at the same time releasing the	
following parts of the work (e.g. because other	
parts relate to publications) for worldwide access:	
a) Bibliographic details and Synopsis only	
b) Bibliographic details, synopsis and the	
following chapters only:	
c) Preview / Table of Contents / 24 pages only	
4. View only (No Downloads) (Worldwide)	

Signature of Scholar	Signature of the Supervisor
Place:	
Date:	
	Signature of Registrar/Controller of Examinations

^{*}In case of clause no.2,3&4, the application should be forwarded through Registrar/Controller of Examinations by citing valid reasons such as Patent, Book or Article Publishing.

Plagiarism Verification Form

Date
1. Title of the Thesis:
2. Total No. of Pages in the Thesis:
3. Research Scholar's Name:
4. Name of Supervisor:
5. Name of Department:
This is to report that the above thesis was scanned for similarly detection. Process and outcome is given below:
6. Software used: Date:
7. Similarity Index: Total word count:
The complete report is submitted for review by the Supervisor.
Signature of the Scholar with Date
The complete report of the above thesis has been reviewed by the Undersigned. (Check Box)
The similarity index is below accepted norms.
The similarity index is above accepted norms, because of the following reasons :
Checked by
Checked by
Signature of Supervisor with Date
Name:
Date:

DECLARATION FOR RESEARCH PAPER

I, (Name of	of student, bearing the R	Registration No) hereby	
declare that	t I am the first author of the research/conference/semin	nar paper(s) entitled:	
a.	Journal Paper:		
b.	Conference/Seminar Paper-1:		
c.	Conference/Seminar Paper-2:		
have been j	published/presented in the:		
a.	Journal, Volume, Issue No, and Page No, ISSN		
	, Submitted on the date, Accepted on the date		
	, and Published on the date, is UGC-CARE		
	Listed/SCOPUS/WoS Indexed (put tick mark as applicable).		
b.	Conference/Seminar-1 Name, C	Organized by at	
	on the date		
c.	Conference/Seminar-2 Name, C	Organized by at	
	on the date		
The presen	tation certificates and the reprint of journal publication	on are attached. These papers are on	
the topic o	f my Ph.D. research work carried out in the Departm	nent of,	
under the School of			
free from plagiarism.			
a:		G'	
	of the student	Signature of the Supervisor	
Name:		Name:	
Date:		Designation:	
		Date:	

CERTIFICATE OF ORIGINAL WORK (SUPERVISOR)

I,		certify	that	my	doctoral	scholar
	has	prepared	his/her	dissert	tation/thesis	entitled
"						
				",	for the awa	rd of the
Ph.D. degree at the Central	University of	of Punjab, ur	nder my gu	idance. T	The thesis sub	mitted by
him/her is a record of o	riginal rese	arch work	and plagia	rism fre	e. The work	has not
previously formed the ba	sis for the	award of a	ny other	degree/di	ploma at th	e Central
University of Punjab, or a	ny other Un	iversity/Inst	itution. Th	e thesis	represents inc	dependent
work of him/her. The thes	is has been	duly check	ed through	n Plagiari	sm detection	software
and	the contents	s of thesis	are plagia	ırism fre	e and do no	ot violate
copyright norms. The duly	self-attested	d Plagiarism	report is a	attached.	He/she has c	arried out
this research work in t	he Departi	ment of			, S	chool of
	, Ce	entral Univer	rsity of Pur	njab, Bath	ninda.	
Name and Signature of su	pervisor					
Department of						
School of						
Central University of Punja	b, Bathinda	- 151401				
Date:						

UNDERTAKING FOR ORIGINAL WORK (PH.D. SCHOLAR)

I, undertake that I have prepared my dissertation/thesis entitled
"
", for the award of the
Ph.D. degree at the Central University of Punjab. The thesis submitted by me is a record of
original research work and plagiarism free. The work has not previously formed the basis for
the award of any other degree/diploma at the Central University of Punjab, or any other
University/Institution. The thesis represents independent work of me. The thesis has been
duly checked through Plagiarism detection software
thesis are plagiarism free and do not violate copyright norms. The duly self-attested
Plagiarism report is attached. I have carried out this research work in the Department of
, School of, Central
University of Punjab, Bathinda.
Name and Signature of Scholar
Registration No.:
Department of
School of
Central University of Punjab, Bathinda - 151401
Date:

REPORT Of Ph.D. PUBLIC DEFENCE/VIVA-VOCE

1.	Name	
2.	Registration No.	
3.	Title of the Thesis	
4.	Name of the Department	
5.	Name of the School	
6.	Name of the Supervisor	
7.	Name of the Co-Supervisor (if any)	
8.	Name of the Examiners for the Evaluation of the Ph.D. Thesis	a. Within the State: b. From Outside State: c. From Abroad:
9.	Date of Viva-Voce	
10.	Name of External Examiner to Conduct Viva-Voce	
11.	Public Defense/Viva-Voce	Satisfactory/Unsatisfactory
12.	Response to Questions Asked during Viva-Voce	Satisfactory/Unsatisfactory

Comments on the Quality of Pr	resentation:	
Comments on the Candidate's	Ability to Answer Questions	s from the Examiners and the
Audience:		
Overall Comments:		
(a) Thesis Recommended from	the Award of Ph.D. Degree:	(Yes / No)
(b) Recommended after modifi	cation for the Award of the	Ph.D. Degree: (Yes / No)
		~
Signature (Co-Supervisor)	Signature (Supervisor)	Signature (Head of Department)
` •	/	
Signature	Signature	Signature
(Dean in-Charge, Academics)	(External Examiner)	(Dean of School)