



**BAHRA UNIVERSITY**

# Doctor of Philosophy (Ph.D.) Regulations

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## Preamble

Bahra University Shimla Hills offers research programmes leading to the award of the Ph.D. degree. The award of this degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in the various disciplines.

The research program provides the candidates an enabling research experience during their stay in the University thus helping them to enter their professional life with right perspective and knowledge related to their respective fields of specialization.

The research work shall be an original work characterized by the discovery of the facts or by a fresh approach towards the interpretation of the facts or development of any equipment making a marked advancement in technology.

The research work shall distinctly evince the candidate's capacity for creative examination and sound judgment and shall make original contribution to the existing treasure of knowledge.

The Ph.D. degree shall be conferred and awarded to a candidate who fulfills all the requirements specified in these Regulations in the discipline of the school in which he/she is registered.

## Definitions

1. 'Applicant' means a person who makes an application in the prescribed form for admission to the Ph.D. programme of the Bahra University, Shimla Hills.

2. 'Candidate' shall mean a person registered for the Ph.D. degree, who has completed the required course work and has submitted a synopsis duly approved by Research Degree Committee of university.
3. 'Supervisor' shall mean a person who is or has been a teacher/scientist/researcher in any University/Institute approved and/or recognized to guide research work by the RDC.
4. 'Co Supervisor' shall mean a supervisor appointed by the RDC as such in addition to the supervisor to help him in the accomplishment of the research work of the candidate.
5. 'Course Work' means the pre-Ph.D. work prescribed under R-13 of the UGC Regulations, 2009.
6. 'RDC' shall mean Research Degree Committee.
7. 'Full time research candidate' shall mean a candidate registered for the Ph.D. degree devoting full time for completing the degree requirements.
8. 'Part time research candidate' means a person registered for Ph.D. degree, whether sponsored or self-financed devoting a part of his time to pursue the research programme along with the discharge of his official obligations.
9. 'Sponsored research candidate' shall mean a research candidate who is in receipt of financial assistance for pursuing research work from any sponsoring organization or his employer.
10. 'Project fellow' mean a research candidate who is receiving financial assistance for pursuing research work from any project undertaken by the University.

11. 'Minimum Registration Period for submission of thesis' shall mean the period before the expiry of which a candidate shall not be allowed to submit his Ph.D. thesis.
12. 'Maximum registration period' means the period on the expiry of which a candidate's registration shall stand cancelled, however, the competent authority may give extension up to maximum one year in two spells of six month each.

### Notification for Ph.D. Programme

1. The University shall lay-down and decide well in advance on annual basis, number of Ph.D. seats in each school depending on the number of available eligible supervisors and the government norms.
2. The number of seats as aforesaid shall be notified on a regular basis on the University website and/or advertisement in the widely read national as well as regional newspapers.
3. A notification for Ph.D. Programme shall specify:-
  - a. The number of seats available in each Department/Faculty/subject, the date, place and syllabi of the Entrance Test at the University and
  - b. Procedure for admission

### Advisory Committee

An advisory committee will be constituted for every student enrolled in Ph.D. program to facilitate the interdisciplinary issues in the research. It will comprise of the following:

- a. Supervisor
- b. Co-supervisor

- c. Two members from interdisciplinary schools related to research area

### Constitution and Functions of Research Degree Committee

1. Constitution of RDC will be as follows:
  - a. Dean Academic Affairs – Chairman
  - b. Dean concerned School - Member
  - c. Supervisor – Member
  - d. External Expert –Member
  - e. Dean Research Development- Secretary
2. The RDC may meet as often as necessary in the interest of academic excellence.
3. The quorum of the RDC shall be not less than two-third of its members, however, external expert's presence is a must.
4. The RDC shall perform the following functions, namely:-
  - a. To approve the proposed research topic of each applicant on the basis of his defending its synopsis after the successful completion of the course work.
  - b. To register the student and allocation of guide according to the rules of the University.
  - c. To Review and Monitoring of the Research Progress.
  - d. To Recommend for Change and/or Inclusion of Supervisors.
  - e. To Recommend for Extension of Duration.
  - f. To Recommend for Acceptance/Change of Place of Work.
  - g. To Recommend for Thesis Submission.
  - h. To prepare the Panel of Thesis Examiners.

### Eligibility criteria for admission to Ph.D. programme

1. The minimum qualifications for admission to the Ph.D. programme shall be a Master's degree with 55% or equivalent grade / CGPA on ten point scale, in Engineering / Technology / Science / Management including Hotel Management / Pharmacy / Commerce / Law / Education / Social Sciences or any other equivalent qualification recognized by the University.
2. Following shall be the Scheme of Entrance Test for Ph.D. Programme:-
  - i.) There shall be two papers viz.
    - a. **Paper I** - carrying one hundred marks, of one hour duration and common to all applicants of various Faculties/Disciplines appearing at the test, the syllabi of which shall be based on the UGC/CSIR/NET and JRF Examinations and notified by the University separately.
    - b. **Paper II** - carrying two hundred marks, of two hours duration based on the individual subject/discipline to which the applicant belongs.
  - ii.) An applicant who fails to appear in Paper I shall not be permitted to appear in Paper II.
  - iii.) Applicants shall be short-listed on the basis of merit for the predetermined seats available in each Department / Faculty for Ph.D. programme of the University in an academic session.
3. The aforesaid Entrance Test shall be followed by an interview to be organized by the concerned School.
4. At the time of interview, Ph.D. candidates are required to discuss their research interest/area.

**Note:** NET/SET/GATE/JRF/GPAT qualified candidates will be exempted from entrance test.

5. The allocation of the supervisor for a selected applicant shall be decided by the concerned School only in a formal manner depending on the number of seats per supervisor, the available specialization among the supervisors, and the research interest of the applicant as indicated by him during interview.

### Admission

Candidates who have qualified in the Entrance Test and/or the interview shall be offered admission provisionally to the Ph.D. programme by requiring him to deposit the fee for it in the prescribed manner.

### Course work

1. Each student, including a part-time student after having been admitted, shall be required to undertake course work for a minimum period of one semester.
2. The course work shall be treated as pre-Ph.D. preparation and shall include a course on:
  - a. Research methodology (including quantitative methods and Computer Applications) and reviewing of published research literature in the relevant field
  - b. Advanced course in the relevant area to be decided by the concerned school.
3. A student who secures 'C' grade or above separately in each of the papers and SGPA 5.5 on ten point scale at the above examination shall be deemed to have successfully completed the course work.



4. A student who fails to secure the minimum prescribed grade 'C' and SGPA 5.5 on ten point scale at the above examination may be permitted to reappear at the next ensuing examination(s).
5. The University may allow or require a part-time student to carry out the course work of one semester in any Institution/sister Department within or outside the University, provided that such a student shall have to appear at the examination conducted by the University at the end of such course work semester.

### Appointment of Supervisors

1. The following persons shall be eligible to act as research supervisors:-
  - a. All Professors and Associate Professors in the University schools who possess a Ph.D. degree of a recognized University.
  - b. All Assistant Professors in the University schools possessing a Ph.D. degree with at least five years teaching experience or at least five years' experience of post-doctoral research work in recognized institutions and having at least five published research papers in referred research journal(s).
  - c. An eminent scholar or a scientist, researcher or a teacher, working or retired, not being a teacher of this University, who holds a Ph.D. degree may be recognized as a supervisor by the Vice-Chancellor on the recommendation of the School if he is actively engaged in research work for at least five years and has not less than five published research papers to his credit in referred journal(s).

2. The University may permit joint supervision either in the same department or different departments/Faculties in special cases provided:
  - a. The reasons for such joint supervision are well ascertained by both the supervisors.
  - b. The RDC decides as to who out of the two shall be the main supervisor.
  - c. The candidate shall be counted as one full candidate in the quota of the main supervisor.
  - d. The co-supervisor shall not act as an examiner.
3. The University may permit, on the recommendation of RDC, appointment of a caretaker supervisor in special circumstances such as a supervisor proceeding on long leave of six months or more and the like.
4. A new supervisor may be appointed on the recommendation of RDC in the event of death, or prolonged illness of the supervisor or if inability to guide is expressed by the supervisor on or after his superannuation or resignation from the services of the University.
5. No supervisor shall have, at any given point of time, more than eight registered Ph.D. scholars with him.
6. No supervisor shall guide any of his close relatives.

### **Leave and attendance**

1. In addition to the holidays declared by the University, a Ph.D. candidate may avail leave up to thirty days during an academic year.
2. A Ph.D. scholar shall not be entitled to any inter-semester or winter breaks or summer vacations.

3. Maternity/Paternity leave shall be admissible as per the University rules, only once, during the entire tenure of a student for Ph.D.
4. A candidate who has put in a minimum of seventy five percent attendance during the course work shall be admitted to the examination which follows the course work.

### Registration

1. Upon successful completion of course work the student shall be required to present and defend a synopsis of his proposed research work before the RDC who may either approve or may require him to resubmit the same within a period of six months for approval after incorporating, suggestions/modifications, if any, made by it, under the guidance of his Supervisor. The RDC may allow not more than three attempts to a student for defending the synopsis of proposed research work.
2. Upon approval of the synopsis by the RDC, the application for registration shall be placed before the Chairman RDC who, after satisfying himself that the candidate possesses the requisite qualification and that the subject offered can well be pursued for the Ph.D. programme, may permit the candidate to get himself registered as a candidate for Ph. D. programme by fulfilling conditions, ie,
  - a. The candidate must have completed the course work
  - b. A candidate has presented his/her research proposal to the members of RDC
  - c. A candidate has submitted 5 copies of his/her accepted research proposal duly signed by the supervisor and forwarded by Chairman RDC

3. Every candidate registered for Ph.D. programme shall be duly enrolled, unless he has already been enrolled once in the University, as a research student of the University on payment of prescribed fee and required documents in original.

- **Minimum registration period for submission of thesis**

No full time candidate shall be permitted to submit his thesis for the award of Ph.D. degree before the expiry of a period of eighteen months from the date of his registration, and not before the expiry of thirty months if he is a part time candidate for the programme.

- **Maximum registration period for submission of thesis**

No full time candidate shall be permitted to submit his thesis for the award of Ph.D. degree after the expiry of a period of sixty six months from the date of his registration and if he is a part time candidate, after the expiry of a period of seventy eight months from the date of his registration.

- **Extension of maximum registration period**

The competent authority may give extension up to maximum one year in two spells of six month each.

### **Conversion of candidature**

The University may, on the application of a part-time candidate, register him as a full-time candidate or allow a full-time candidate to be registered as a part-time candidate for the Ph.D. programme provided all other conditions for such candidature are fulfilled to the satisfaction of the RDC.

### Progress report

1. Till the submission of his thesis each candidate registered for Ph.D. degree shall submit periodically a six monthly progress report in the prescribed proforma to the RDC through his supervisor(s).
2. The RDC shall evaluate the progress report of Ph.D. candidates by arranging a seminar, if deemed necessary.

### Change of research topic

A candidate ordinarily shall not be permitted to change his subject/topic during the course of his study. However, if an occasion arises due to technical difficulties, on the recommendation of the RDC, permit any modification of the topic within a period of one year (and not thereafter) from the date of registration. The University may permit a candidate to submit his thesis after two years of such modification or change of the topic.

### Eligibility conditions for submission of thesis

No candidate shall be allowed to submit to the University the thesis produced by him for its evaluation unless he has –

1. Published at least TWO research paper in a referred Journal and produces evidence for the same in the form of an acceptance letter or its reprint;
2. Made before the RDC, a pre-Ph.D. presentation of his research work as draft thesis and it may be attended by the teachers and research scholars of his School, for getting feedback and comments, which may be suitably incorporated under the advice of his Supervisor into the draft thesis as directed by the RDC at the conclusion of such presentation.

### Submission of thesis

1. A candidate shall be required to submit four printed copies of his thesis along with two soft copies to the University.
2. Following shall be the color of the cover of the thesis: -
  - a. Faculty of Science – Purple;
  - b. Faculty of Commerce & Management - Orange;
  - c. Faculty of Engineering & Technology – Sky blue;
  - d. Faculty of Education - Black;
  - e. Faculty of Pharmacy – Green.
3. The thesis shall be submitted in English.
4. A 'no dues' certificate duly signed by the Head of the Department, library, finance department, Hostel Warden and Sports Officer, shall be submitted along with the thesis.
5. The Supervisor shall furnish a certificate verifying that the thesis contains original work of the candidate.

### Appointment of Examiners

1. The RDC shall, prepare and suggest to the Vice-Chancellor through Chairman RDC a panel of **SIX** evaluators from outside the University (including adequate details regarding designation, full postal and e-mail addresses, basic and cell-phone numbers, field of his expertise etc.). The panel shall include not less than three names of experts from outside the State. If necessary, the Vice-Chancellor may call for any additional name(s) for the panel from the RDC. In each case the supervisor shall give a certificate to the effect that the names suggested in the panel are not close relatives either of the supervisor himself or of his candidate.

2. The vice chancellor will select a panel of three examiners out of which at least one shall be from outside the State or even the country from out of the panel submitted as (i) above in a preferential order and this list is kept confidential. The Chairman RDC will contact these three external examiners for evaluation of the thesis. In case, any examiner declines then the next on the list will be contacted. Finally these three external examiners will submit their reports.

### Evaluation of thesis

1. The University shall, after obtaining the consent of the examiners appointed by the Vice-Chancellor out of the panel submitted by the supervisor, dispatch a copy of the thesis produced and submitted by the candidate to each one of them for evaluation requesting them to send their evaluation report to the Chairman RDC within a period of two months of the receipt of the thesis by them.
2. An examiner shall be required to send his report on the prescribed form clearly stating that the:
  - a. Thesis is recommended for the award of the Ph.D. degree; or
  - b. Thesis is recommended for the award of Ph.D. degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of viva-voce examination; or
  - c. Candidate be required to submit his thesis in the revised form; or
  - d. Thesis is rejected.
3. The RDC shall -

- a. Accept the recommendations of the examiners if all the three examiners recommend the acceptance of the thesis;
- b. Reject the thesis if two of the three examiners recommend rejection;
- c. Accept the thesis if two examiners approve the thesis and other examiner recommends revision or reject or not submit the report timely, the viva-voce examination may be held. However, the comments of the examiner recommending revision shall be sent to the supervisor and the clarifications of the candidate will be placed before the viva-voce committee.
- d. Require the candidate on the basis of the report(s) of examiner(s) to revise within one year the thesis if two out of the three examiners recommend(s) revision, such revised version of the thesis being again sent for the recommendation of the same examiner(s) who recommended its revision.
- e. Thesis will be rejected if two of the examiners recommend rejection even after the revision of the thesis.

### Viva-voce examination

1. The RDC shall, on receipt of satisfactory evaluation reports from the examiners, appoint:
  - a. An external examiner from out of the three external examiners who evaluated the thesis for conducting viva-voce examination. However, if all the three original examiners are not available, the Vice-Chancellor may, for reasons to be recorded in writing, appoint a new external examiner from out of the existing panel; and



- b. A Viva-Voce Committee consisting of The external examiner of the thesis, Dean of concerned School, The Supervisor(s) of the PhD thesis and The Chairman RDC.
- c. In case the Chairman RDC is also the supervisor, the Vice-Chancellor will nominate an additional member to the Board.
2. The supervisor shall fix a suitable date of the viva-voce examination in consultation with the external examiner. The Chairman RDC shall, on the request of the Supervisor, notify the day, date, time and place at least ten days in advance to all concerned.
3. The Chairman RDC shall be responsible for the proper conduct of the viva-voce examination.
4. At such viva-voce examination the candidate shall be required to openly defend his research work in the presence of both the examiners, teachers, research scholars of the University who may be invited to witness and make queries, if any, strictly relating and relevant to the topic of research.
5. The viva-voce examiners shall, at the very outset of the examination, be informed of the comments and recommendations made by the examiners.
6. The Viva-Voce Committee shall submit a comprehensive report on the performance of the candidate on the viva-voce examination

### **Award of Ph.D. degree**

The reports of the examiners (including those of the Viva-Voce Committee) shall be placed before the Vice-Chancellor for acceptance or rejection, as the case may be, of the thesis, on behalf of the RDC who shall report the same to the Academic Council for confirmation.

### Submission of a soft copy of thesis

The University shall, within a period of thirty days, after the successful completion of the evaluation process and announcement of the award of Ph.D. degree to a candidate, submit a soft copy of the Ph.D. thesis to the UGC for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

### Provisional Certificate

1. Till the time the Ph.D. degree is conferred on the candidate, the University shall, on the application of the candidate, issue to him a Provisional Certificate for its intended use.
2. The University shall ensure that both, the Provisional Certificate and the Ph.D. degree, contain an express statement to the effect that the Degree has been awarded in accordance with the provisions of UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2009.

### Cancellation of registration

The University may, on the recommendation of the RDC, cancel the registration of a Ph.D. candidate on any one or more grounds of the following; namely, if-

1. A candidate abstains from the programme for a continuous period of four weeks without prior information in writing to his Supervisor;
2. Two consecutive progress reports of the candidate are not satisfactory;
3. The candidate fails to submit the thesis within the maximum registration period permitted above;
4. The candidate resigns from the Ph.D. programme and his Supervisor(s) recommend(s) cancellation of registration;

5. The candidate is found involved in an act of misconduct and/or indiscipline and the competent authority recommends his termination from the programme.

### Re-registration

1. A candidate whose registration has been cancelled on any ground may apply for re-registration for the Ph.D. programme and the University may register him afresh as a candidate without requiring him to appear at the entrance test and without undergoing the course work.
2. A candidate whose thesis has been rejected by the examiners may be permitted to re-register himself for Ph.D. degree on a topic approved and recommended by the concerned RDC.

### Fee

1. The University may prescribe fees payable at the various stages of the Ph.D. programme.
2. Fees once deposited shall not be refunded under any circumstances.

### Reservation/Relaxation

Reservation in admission to Ph.D. Programme for students belonging to SC/ST/OBC/PH and other like categories shall be as prescribed by the Government of India/State of Himachal Pradesh.

### **Interpretation**

In case any question arises regarding the interpretation of these provisions, the matter may be referred by the Vice- Chancellor whose decision thereon shall be final.

### **Amendment of Rules**

These rules can be amended by the academic council depending upon the academic requirements of the University.