

**HINDUSTAN UNIVERSITY**  
**HINDUSTAN INSTITUTE OF TECHNOLOGY AND SCIENCE**

**Degree of Doctor of Philosophy (Ph.D.)**  
**Regulations**  
**(Effective from October 2008)**

**1.0 Program Objective**

The objective of the Ph.D. program is to provide talented and suitably qualified candidates with a congenial academic environment and infrastructure facilities to enable them to carry out original research and create new knowledge in areas of current national and international importance at peer acceptance standard.

**2.0 Categories of Admission**

Candidates may be admitted to the Ph.D. program under one of the following categories:

- a) Full-time scholars.
- b) Part-time (Internal) scholars who are staff members of the Hindustan Institute of Technology and Science ( HITS ) and who will be devoting part of their time only on the Ph.D. program. They may be assigned teaching and other academic responsibilities according to existing norms.
- c) Part-time (External) scholars sponsored by and employed in private and public sector organizations or Institutions having R&D infrastructure and recognized by Department of Science and Technology, Government of India or HITS.

Part-time (External) scholars can carry out part or all of their research work in the organization where they are employed under the supervision of a co-supervisor also employed in the same organization and a supervisor in HITS.

**3.0 Eligibility**

- 3.1 The candidate should have the minimum educational qualification mentioned below or any other equivalent qualification as approved by the Board of Management:

S.No.	Program	Minimum Qualification
1.	<b>Ph.D. Degree in Engineering / Technology</b>	<b>M.E./M.Tech./M.S. (by Research) in the relevant branch</b>
2.	<b>Ph.D. Degree in Science and Humanities</b>	<b>M.Sc./M.A./M.S. (by Research) in the relevant branch/MCA</b>
3.	<b>Ph.D. in Architecture and Planning</b>	<b>M.Arch. / M.Plan/M.S. (by Research) in Architecture and Planning</b>
4.	<b>Ph.D. in Management Science</b>	<b>MBA/M.S. (by Research)/PG Diploma of an IIM</b>

3.2 The candidate should have passed the qualifying examination mentioned in (3.1) with first class.

3.2.1 In those cases in which class is not awarded in the qualifying examination but only marks, the candidate should have obtained a minimum of 60 percent marks.

3.2.2 In those cases in which class is not awarded in the qualifying examination but only grades, the candidate should have obtained a CGPA of 6.5 on a ten-point scale.

3.2.3 For M.A. (English) Degree holders, the minimum marks is 55 percent.

3.2.4 For candidates with teaching or industrial experience of more than six years, a first class in either bachelor's level or master's level is permissible.

3.2.5 The requirement of class and minimum marks or CGPA does not apply if the qualifying degree is M.S. (by Research).

3.2.6 For S.C. / S.T. candidates: second class with a minimum of 55 percent marks is permissible.

#### **4.0 International Students**

Foreign nationals with valid passport and visa may be admitted under any one of the three categories of admission mentioned in 2.0. Such candidates with degrees from Indian Universities should have the same educational qualifications as mentioned in 3.0 for Indian students. Foreign nationals with foreign degrees shall possess the minimum educational requirements equivalent to the qualifications mentioned in 3.1 and 3.2 as recognized by HITS. After admission, they should apply, through HITS, for necessary clearance from the Government of India for study in India.

#### **5.0 Selection Procedure**

5.1 Eligible candidates possessing the minimum educational qualifications mentioned in 3.0 should apply in the prescribed application form (through proper channel wherever applicable) before the due date mentioned in the relevant notification issued by the University.

5.2 The applications by the candidates shall be processed by committees constituted by the Chairman, Board of Research, HITS.

5.3 Such committees will scrutinize the applications for eligibility norms. They will also conduct test/interview for the eligible candidates. Based on the performance in the test/interview, successful candidates shall be short listed by the committees.

5.4 For the short-listed candidates, the committees shall nominate research supervisors, taking into account the area of research of the candidate and the field of expertise of the supervisors. The recommendations of the committees will be forwarded to the Chairman, Board of Research for placing before the Vice-Chancellor.

## **6.0 Admission**

6.1 After acceptance of the list by the Vice-Chancellor, the Registrar's Office will inform the candidate about his provisional selection for the Ph.D. program and ask him to pay the prescribed fees. After the candidate pays the fees, the candidate is provisionally admitted and registered for the program effective from the last date prescribed for the payment of fees. His admission will be informed by the Registrar to the Chairman, Board of Research, concerned HOD, supervisor(s) and the sponsoring institution, if any.

## **7.0 Supervisor Recognition**

7.1 The following may be a supervisor for a Ph.D. scholar:

- (a) Faculty members of HITS having a Ph.D. Degree and who get themselves recognized by HITS to be supervisors.
- (b) Faculty with Ph.D. degree working in other institutions and who get themselves recognized by HITS to act as supervisors (see clause 7.2 below)
- (c) Retired faculty with Ph.D. Degree and who get themselves recognized by HITS to act as supervisors (see clause 7.2 below)

7.2 Faculty / Retired faculty with Ph.D. Degree from outside HITS may get themselves recognized as Ph.D. supervisors by applying to HITS in prescribed form. The applicant should possess Ph.D. degree in the broad area of research in which he proposes to act as supervisor.

7.3 The recognized supervisors working in public and private sector R&D organizations can act only as co-supervisors along with a supervisor from Hindustan University for Part-time (External) candidates sponsored by their organizations.

7.4 When a faculty member, who has supervised a candidate, retires, he can continue to be a supervisor. In such a case a faculty who is in service shall be appointed as a co-supervisor. The supervisor will be invited for all meetings in which the candidate's work is reviewed.

7.5 In case a faculty member supervising a candidate goes on leave exceeding 6 months, another faculty member will be appointed as co-supervisor of the candidate.

7.6 Change/Addition of Supervisor

The Doctoral Committee of a Ph.D. scholar may recommend change of supervisor or appointment of a co-supervisor for valid reasons.

#### 7.7 Maximum number of candidates under supervision of a supervisor.

A supervisor can act as supervisor to a maximum of six Ph.D. scholars at any time. However he can act as co-supervisor for three more Ph.D. scholars.

### 8.0 Doctoral Committee

8.1 There shall be a doctoral committee for each Ph.D. scholar to monitor the progress of the scholar. The Head of the Department will inform the Chairman, Board of Research, for each scholar the area of research, the name(s) of the supervisor(s) and panels of names, indicating the area of specialization, for constitution of doctoral committee within two weeks of the registration of the candidate.

8.2 The following will be the composition of the doctoral committee :

- |   |      |          |
|---|------|----------|
| (1) Chairman / Co-chairman, Board of Research   | .... | Chairman |
| (2) Head of the Department where the scholar is studying  | .... | Member   |
| (3) Supervisor  | .... | Convener |
| (4) Co-supervisor if any  | .... | Member   |
| (5) One faculty member of HITS nominated by<br>Chairman, Board of Research<br>(from a panel of 3 names provided by the HOD) | ...  | Member   |
| (6) One external member nominated by<br>Chairman, Board of Research (from<br>a panel of 3 names provided by the HOD)        | ...  | Member   |

In case any member goes on leave exceeding 6 months or resigns or retires from the University, Chairman, Board of Research will nominate another member.

### 9.0 Program Structure

#### 9.1 Course Work

9.1.1 The Doctoral Committee of the scholar shall meet within two weeks from the date of its constitution to prescribe course work for the scholar.

- 9.1.2 A minimum of four courses relevant to the area of research shall be prescribed by the Doctoral Committee.
- 9.1.3 At least two of these shall be those that are offered under any approved P.G. Program of HITS
- 9.1.4 If the doctoral committee deems it to be necessary, a maximum of two area-specific courses may be prescribed out of the total of four courses in 9.1.2. The course content of these courses following the rules for P.G. courses may be designed by the doctoral committee and got approved by the concerned Board of Studies.
- 9.1.5 The prescribed course work shall be completed by the scholar within 4 semesters from the date of registration in the case of full-time scholars and six semesters in the case of part-time scholars.
- 9.1.6 The Ph.D. scholar shall obtain a minimum CGPA of 6.5 in the courses prescribed for him subject to a minimum Grade of “C” in individual subject.
- 9.1.7 Candidates with the M.Phil. Degree in the Faculty of Science and Humanities may be exempted from course work, provided the M.Phil. Degree is related to the proposed Ph.D. field of research and if duly recommended by the doctoral committee.

## 9.2 Comprehensive Examination

- 9.2.1 On the successful completion of the course work, the Comprehensive Examination Committee constituted by the Chairman, Board of Research will conduct for the scholar a comprehensive examination. This will be in the form of a written-cum-oral examination to test the knowledge of the scholar in the fundamentals of the broad area of specialization and the course work undergone by him.
- 9.2.2 The Comprehensive Examination Committee will consist of five members of the doctoral Committee nominated by the Chairman, Board of Research. The Chairman of the Committee will be a senior faculty from the Department. The committee will include the candidate’s supervisor as a member. The result of the examination will be conveyed by the Chairman of the comprehensive examination committee to the Chairman, Board of Research either as satisfactory or not satisfactory.
- 9.2.3 If the performance of the scholar in the comprehensive examination in the first attempt is not satisfactory, he will be given one more opportunity to appear for the comprehensive examination within six months of the first attempt. The registration of the candidate who fails in both the attempts will be cancelled.

## **10.0 Progress Report**

- 10.1 Every six months commencing from the date of registration, the scholar shall submit progress report in the prescribed format to the Chairman, Board of Research through the supervisor and the Head of the Department.
- 10.2 The supervisor shall arrange to make a presentation by the scholar on his work every six months before the faculty of the department and once in a year before the doctoral committee.

## **11.0 Duration of Program**

- 11.1 The duration of the program and the time limit for submission of thesis are counted from the date of registration. The minimum and maximum durations shall be three and six years respectively for all categories of admission.

## **12.0 Extension of Maximum Duration**

- 12.1 In exceptional circumstances, on the recommendation of the doctoral committee, a maximum grace period of 2 years beyond the maximum stipulated in 11.1 may be granted by the Vice-Chancellor, six months at a time, to enable the research scholar to submit the thesis.
- 12.2 If the research scholar fails to submit the thesis within the extended period of two years, the registration of the candidate shall be cancelled.

## **13.0 Cancellation of Registration**

The registration is liable for cancellation for the following reasons:

- a) for reasons as in 9.2.3 and 12.2
- b) the scholar has not paid the prescribed semester fees within the stipulated time.
- c) two consecutive six monthly progress reports are not submitted or found to be not satisfactory by the doctoral committee.
- d) the scholar submits an application for withdrawal from the program.

In all the above cases, the fees paid by the scholar shall not be refunded.

## **14.0 Synopsis of Thesis**

- 14.1 On satisfactory completion of the course work, Comprehensive Examination and the Research work, the scholar shall submit ten copies of the synopsis of his research work in the required format through the

supervisor and the Head of the Department to the Office of the Chairman, Board of Research.

14.2 The synopsis shall be accepted only when the research scholar has at least one paper in the subject of research either published or accepted for publication in a refereed national/international journal.

14.3 If the Doctoral Committee approves the research work reported in the synopsis, it shall forward six copies of the approved synopsis to the Registrar along with a panel of six examiners, three from India and three from abroad.

## **15.0 Submission of Thesis**

15.1 The research scholar shall, within three months of acceptance of the synopsis, submit five copies of the thesis prepared in accordance with the format and specification prescribed. Along with the thesis copies, three copies of the abstract of the thesis in about 400 words will also be submitted. Under no circumstances, the thesis submission can be delayed beyond 3 months after acceptance of synopsis. In extraordinary circumstances, an extension of three months may be permissible with the recommendation of the doctoral committee.

## **16.0 Thesis Evaluation**

16.1 The thesis shall be referred to two examiners (one from India and another from abroad) nominated by the Vice-Chancellor from the panel of examiners recommended by the doctoral committee.

16.2 Chairman, Board of Research is to take such steps as necessary to receive the reports from the examiners as quickly as possible.

16.3 The examiners will be requested to send in the prescribed form their reports within three months from the date of receipt of the thesis.

16.4 The examiner shall include in his report an overall assessment of the thesis and state his recommendation in one of the following categories :

- a. Recommended for the award of the degree of Doctor of Philosophy: Highly commended / Commended.
- b. Recommended for the award of the degree of Doctor of Philosophy subject to revision being incorporated in the thesis as mentioned in the report which may be verified by the Viva-voce committee.
- c. Revision required as mentioned in the report and the revised thesis to be sent to him for final recommendation.
- d. Rejected

- 16.4.1 The examiner in his report of 200 to 300 words shall indicate the standard attained in case of category (a), the nature of revision required in case of categories (b) and (c) and the reasons for rejection in case of category (d).
- 16.4.2 If both the examiners recommend the award of the degree, the thesis shall be provisionally accepted.
- 16.4.3 If both the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar will stand cancelled.
- 16.4.4 If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice-Chancellor. If two of the three examiners recommend the award, the thesis shall be provisionally accepted. If two of the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar will stand cancelled.
- 16.4.5 If the recommendation from any examiner is of the category (c), then the scholar will be asked to revise the thesis as required and resubmit the thesis within 6 months. The revised thesis will be referred to the same examiner for his final recommendation.
- 16.4.6 Individual cases not covered by any of the above clauses shall be referred to the Vice-Chancellor for his final decision.

## **17.0 Viva - Voce Examination**

- 17.1 The Doctoral Committee shall recommend a panel of three examiners within India and with expertise in the area of research for constituting the Viva-Voce Examination Board.
- 17.2 Vice-Chancellor shall constitute the Viva-Voce Examination Board as follows :
- |  |       |          |
|--|-------|----------|
| (a) Supervisor of the Candidate          | ..... | Convener |
| (b) One Examiner of the thesis           | ..... | Member   |
| (c) An examiner from the panel in (17.1) | ..... | Member   |

The doctoral committee members of the Research Scholar will be invitees to viva-voce.

- 17.3 The Viva-Voce Board will ensure that the candidate has carried out the revisions, if any, pointed out by the thesis examiners. They will examine the scholar on his thesis work, in particular, on the questions if any raised in the thesis evaluation reports. The Viva-Voce Board will evaluate the candidate's performance as either satisfactory or otherwise.



- 17.4 If the Viva-Voce Board declares the performance of the scholar not satisfactory, he may be asked to reappear for viva-voce examination at a later date (not later than 3 months from the date of the first viva-voce examination).
- 17.5 If the performance of the candidate on the second viva-voce examination also is not satisfactory, the vice-chancellor, if he deems it necessary, shall refer the report of the Viva-Voce Examination Board, along with the thesis and the Thesis Examiner's Reports to a committee constituted for the purpose. The decision of the vice-chancellor shall be final.
- 17.6 On satisfactory completion of viva-voce examination, the candidate shall submit a copy of the thesis in the following forms with a certificate by the supervisor that all the revisions, if any as suggested by the examiners have been carried out.
- a) hard copy in A5 size and soft-bound
  - b) CD ROM or any other electronic medium as prescribed.

## **18.0 Award of Ph.D. Degree**

If the report of the viva-voce Examination Board is satisfactory, the candidate will be awarded the Ph.D. Degree with the approval of the Academic Council and the Board of Management.

## **19.0 Items not covered under the Regulations**

Items not covered under the above-said regulations will be dealt with by the vice-chancellor or a committee duly appointed by the vice-chancellor.

## **20.0 Power to Modify**

The Board of Management has the right to modify any of the above regulations from time to time.