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# BRAINWARE UNIVERSITY

## Ph.D. PROGRAMME–VERSION3

### (Revised)

(w.e.f 1 May, 2026)

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RULES, REGULATIONS, ADMISSION, REQUIRED  
FORMS AND GUIDELINES



**BRAINWARE UNIVERSITY**

*398, Ramkrishnapur Road, Barasat, North 24 Parganas, Kolkata - 700 125*



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[www.brainwareuniversity.ac.in](http://www.brainwareuniversity.ac.in)

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## 1. Preamble & Overview of Programme

The Brainware University will award the following Doctoral Degrees "Doctor of Philosophy" - abbreviated as Ph.D.): Ph.D. in Science; Ph.D. in Engineering and Ph.D. in Commerce and Ph.D. in Management under School of Computational and Applied Sciences, School of Biotechnology and Biosciences, School of Engineering, School of Management & Commerce, respectively. Later, the University may introduce Ph.D. programme in other subjects under the existing Schools and/or under new Schools.

Name of school	PhD Programme	Department
School of Computational and Applied Sciences	PhD in Science (Computer Science)	Computational Sciences
	PhD in Science (Mathematics)	Mathematics
School of Biotechnology and Biosciences	PhD in Science (Biotechnology)	Biotechnology
School of Medical & Allied Health Sciences	PhD in Pharmaceutical Sciences	Pharmaceutical Technology
School of Law	PhD in Law	Law
School of Engineering	PhD in Engineering (Electronics & Communication Engineering)	Electronics & Communication Engineering
	PhD in Engineering (Computer Science Engineering)	Computer Science and Engineering
School of Management and Commerce	PhD in Management	Management
	PhD in Commerce	Commerce
	PhD in Hospital Management	Hospital Management
School of Humanities and Social Sciences	PhD in Humanities (English)	English and Literary Studies

This *Brainware University Ph.D. Programme V2-2024* has been prepared expressly with the objective to provide a detailed information on the University's procedures and guidelines as scholars relate to doctoral research. In addition, it is designed to assist Researchers, supervisors and other concerned professional staff in interpreting relevant University regulations and also in linking to relevant policies and procedures. This is prepared in consonance with the Brainware University (BWU) Ph.D. Regulations 2023, which is framed as per U.G.C regulations 2022 incorporating the relevant clause of latest NET entrance test criteria notification of 27 March 2024.

## 2. Eligibility

The following are eligible to seek admission to the Ph.D. programme:

(i) Candidates who have completed a 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(ii) Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(iii) Candidates who have completed M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(iv) In addition to the criteria mentioned in Clause 4.1.2., the part time candidates need to fulfil the following conditions and provide the relevant information along with the application:

The applicant must have been in continuous service with the sponsoring organization for at least two years at the time of submitting the application form for admission and he/ she must submit a 'No Objection Certificate' from the employer stating that:

- a. He/ she is on the regular payroll of the organization,
- b. He/ she is permitted to pursue studies on a part-time basis, and
- c. His/ her official duties will permit sufficient time for research.
- d. If the Ph.D. is sponsored by the employer, then a Sponsorship letter (on letterhead of the sponsoring organization) should include an undertaking stating that the period of study of the candidate will be treated as 'on duty' with usual salary/



allowances, and he/ she will be relieved for the period of studies.

- e. The candidate should also submit a certificate stating that the research facilities exist in his organization (which can be self-certified).
- (v) Sound English language skills are required for doctoral programs at BWU. The English Language Proficiency must be satisfied through communication skills during interview.

### **3. Duration of the Programme**

- (i) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- (ii) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.  
Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

In case a candidate does not submit the thesis within the stipulated maximum period of six (6) years counted from the date of enrolment, the candidate will be required to apply for extension of time permitted to submit the thesis on payment of prescribe fee (If there be any). The application should be submitted to the concerned Head of the Department (HOD), after being duly endorsed by the concerned Supervisor(s). The application after being approved in the concerned Departmental Research Committee (DRC) will be submitted to the Registrar for final approval.

- (iii) A candidate cannot submit any work for which a Degree or Diploma or other academic award has already been conferred on him/her by BWU or any other University or Institution, as his/her thesis but may incorporate it as part of the thesis with proper citation/reference.
- (iv) If the work is interdisciplinary in nature, with supervisors from different Schools, then the respective Departmental Research Committee (DRC) should present the work in a joint meeting of the Schools. The major part of work shall decide the branch of Ph.D. degree.
- (v) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

#### **4. Admission Categories and Procedure**

**4.1. Admission Category:** The applicant for admission to the PhD programme shall be classified under any one of the following categories which will be decided and recommended by the Candidate Selection Screening Committee as per the norms.

##### **4.1.1. Full-time Research Student/Candidate**

A research scholar in this category works full-time to pursue his/her Ph.D. The candidate under this category may be:

- (i) Self-Financed Research student/ Candidate - This category refers to persons with good track record and/or with experience to join the doctoral programme, who shall have to meet the expenditure of doing research work on his/her own as well as Government Funded Scholarships and University Sponsored Research Fellowship (BWU Fellowship). They'll be admitted through usual admission procedure.
- (ii) Research student working full time (JRF/ SRF/ RA) in a Sponsored R&D project at BWU can be admitted to PhD programme six months after joining the project provided his PhD topic is related to the project as certified by the Research Board. To be accepted as a PhD student, such a student will have to undergo the same admission procedure as applicable in general.

##### **4.1.2 Part-time Research Student/Candidate**

The research candidates under this category may be:

- a. Candidates working as a regular/contractual employee in the University.
- b. Candidates working as an employee in Govt. / Govt. aided / Private Engineering Colleges / Universities / Industries/ Public sector organizations/ a self-employed person will be eligible for admission to PhD Programme as a Part- Time Scholar provided he/ she has been in continuous service for the last 2 years in the same organization and can provide a No objection certificate from the employer at the time of interview. The DRC has to ensure the fulfilment of these conditions at the time of interview.
- c. Research student/ Candidate working regularly full-time in an R&D project in the institute can join as a part time student, six months after joining the project, if his/her PhD topic is related to the project as certified by the Research Board. However, part-time research student/ candidate may be given full time status when the project tenure is completed. To be accepted as a PhD student, such a student will have to undergo the same admission procedure as applicable in general.

#### **4.2. Admission Procedure:**

- i. The number of seats for Ph.D. for each concerned department offering PhD programme shall be decided on a bi-annual basis well in advance and notified in the University website. A candidate shall apply for the admission in Ph.D. course in prescribed form available at the University office/University website. The application form duly filled by candidate should be submitted along with required fee (as fixed by the University).

ii. The admission to PhD programme at Brainware University will be using the following methods, keeping in view the guidelines/norms in this regard issued by the UGC (U.G.C regulations 2022 and NET entrance test criteria notification of 27 March 2024) and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

**4.2.1** Brainware University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR-NET/GATE/CEED and similar National and state level tests as well as students with National/Internationally recognised Graduate scholarships (Eg. DST -INSPIRE, Maulana Azad National Fellowship, Jawarlal Nehru Memorial Fellowships ) based on only an interview.

The interview for these candidates can be convened by the Ph.D. Programme Coordinator separately on receipt of application of the forms as per requirement and availability of advertised seats. Interview will be held by a Candidate Selection Committee as defined in section 17.3.

NET Scores can be used for admission to PhD programmes. NET Candidates will be declared eligible under in three categories below as per UGC notification:

Category-1: Eligible for (i) admission to Ph.D. with JRF and (ii) appointment as Assistant Professor.

Category-2: Eligible for (i) admission to PhD. without.JRF and (ii) appointment as Assistant Professor.

Category-3: Eligible for admission to PhD. programme only and not for the award of JRF: or appointment as Assistant Professor.

The JRF-qualified students are admitted into the Ph.D. programme based on an interview as per the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations. 2022.

For students who qualify in Categories 2 and 3, 70% weightage will be given for test scores and 30% weightage for the interview for admission to Ph.D. programmes. The Ph.D. admission will be based on the combined merit of NET marks and the marks obtained in the interview/viva voce.

And/or

**4.2.2** Brainware University may admit students through an Entrance Test (BWU-PET) conducted at the level of the individual University level. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject specific (Annexure I).

Students who have secured 50% marks in the entrance test are eligible to be called for the interview. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.

Brainware University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available and filled from NET exams above. Clearing the



entrance exam does not ensure a call up for interview.

Provided that for the selection of candidates based on the entrance test conducted by the Brainware University, a weightage of 70% for the entrance test and 30 % for the performance in the interview/viva- voceshall be given.

#### **4.3. Admission of International students in Ph.D. programme**

The BWU may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time. Selection will be made as per admission norms given above. The guidelines as given in the policy for international students will be strictly followed.

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.iii below. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.iii.

#### **5. Enrolment of candidate for PhD programme (\*Refer Amendment 1: Page B1)**

A candidate selected for Ph.D. Programme will submit his/her application for enrolment (**Appendix 1: PhD Enrollment and Course Finalization form**) to the Head of the concerned department along with the following documents:

- (i) Enrolment Fee and course work fees as prescribed at the time. The fee structure maybe modified by the University from time to time.
- (ii) Self-attested photo copies of certificates of 10th, +2, Bachelor's Degree, DMC of Master's Degree, Master's Degree, M.Phil/NET Certificate etc.
- (iii) Migration Certificate, if the candidate is not already registered with BWU.
- (iv) NOC from the concerned Employer (in case of employed part time candidates as described above, Clause 2.iv).

On receipt of the required documents and fee, the Head of department will forward the cases to Ph.D. Programme Coordinator, for approval of enrolment of the candidates for Ph.D. programme.

#### **6. Allocation of Research Supervisors (\*Refer Amendment 2 & 3: Page B1)**

Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- i. Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and Permanent faculty members working as Assistant Professors in

Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by BWU, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as co-supervisors if they fulfill the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the BWU may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority. Concerned co-supervisors from need to submit an NOC from competent authority in prescribed format (Appendix III) along with a Bio-data as per format (Annexure VI)

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- ii. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D.scholars, respectively, at any given time.
- iii. In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- iv. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- v. No relation of the supervisor/co-supervisor such as wife, husband, son, daughter, sister, brother, wife's or husband's brother/sister, brother's son/daughter, sister's son/daughter, first cousin, nephew, grand-son, grand-daughter, daughter-in law and son-in law or any other close relation can be registered under his/her supervision.
- vi. The allocation of supervisor for a selected student shall be recommended by the concerned DRC, within one month of enrolment, if not allotted at the time of enrolment. The request of



the student and the consent by a faculty member to be the supervisor will be given due consideration by DRC while recommending the supervisor of student to DRC and Research Degree Board (RDB) for approval.

- vii. The Faculty to be assigned as co-supervisor from outside Brainware University/other Departments of Brainware University has to be recommended by the DRC after due consideration of the eligibility criteria outlined above. The intending co-supervisor has to submit the resume and NOC from the concerned organization on the letter head as per Appendix III. The said recommendation should finally be approved by the Chairman of the Research board.

### **6.1. Change of Supervisor and transfer of Scholars (Appendix IX:APPLICATION FOR CHANGE/ADDITION OF SUPERVISOR)**

Change of Supervisors can be made effective under the following cases:

- i. In case of a long leave of more than SIX months (Maximum up to 1 year)

A faculty member appointed as a Ph.D. supervisor is expected to be available at the institute for his/her research students till the submission of their thesis. However, in case of unavoidable circumstances, if the supervisors need to avail leave/lien/deputation beyond a period of SIX MONTHS, they shall nominate a co-supervisor, in consultation with the DRC, in the concerned subject (if not already present) for the candidates registered with them and the fact may be intimated to the University well in advance. The co-supervisor will take care of all the administrative work of the student, take updates on his/her work. The student will, however, continue to take academic inputs from the principal supervisor (on leave) through email, video conferencing etc. In case of unavailability of a Co- supervisor, the principal supervisor can ask the HoD to act as the caretaker supervisor, if he/ she so desires.

- ii. In case of a long leave of more than 12 months

- a. If there are more than one supervisor(s) for a research candidate, then if one supervisor proceeds for a long leave beyond 12 months, the other(s) may continue to be the supervisors for the concerned student.
- b. When there is only one supervisor for a research candidate and the research work done by the candidate is found to inadequate for thesis submission by DRC, another supervisor may be appointed by the DRC in consultation with the student, with a letter of "No Objection" from the student. Bio-data of the new supervisor(s) should also be attached with the application from the DRC.
- c. If the thesis has been submitted before the supervisor proceeds on leave, only a caretaker supervisor will be appointed.

If a major revision of the thesis becomes necessary, and the supervisor is on leave, he/ she should be asked to specifically state whether he/ she would be able to effectively help the Research Scholar in carrying out the major revision within a reasonable period. In case the supervisor expresses his/ her inability due to any reason, the caretaker supervisor, if he/she



provides the required help in carrying out the major revision, will automatically be treated as a supervisor of that candidate.

- d. If the DRC has already recommended the research work for submission of thesis (after completion of all other requirements) before the supervisor proceeds on leave, only a caretaker supervisor will be appointed.
- e. If the supervisor proceeds on leave for more than 24 months during the research work of a registered Ph.D. student, and if the DRC finds out that, he/ she has not contributed significantly to the thesis before proceeding on leave, he/ she will cease to be the supervisor(s).

### iii. A Supervisor Resigning

- a. If there are more than one supervisor(s) for a research candidate, then if one supervisor resigns, the other Co- supervisor may become the Principal supervisor for the concerned student on the recommendations of the DRC, provided he is affiliated to BWU in the same Department.
- b. If the resigning supervisor is the only supervisor for the research student, then a new supervisor will be appointed, if necessary, in such circumstances by the DRC.

### iv. A Supervisor Retiring

A faculty member who is due to retire within the next two years may be appointed as an additional supervisor and may continue to be the supervisor of already registered students under him even after his retirement provided the DRC is convinced of his availability/ continued guidance to the student. In other cases, a faculty member on retirement may continue as a supervisor, if reemployed or appointed Emeritus Professor; or, if DRC has recommended the research work for submission. Appointment of another supervisor/ caretaker supervisor may be done if the DRC deems necessary.

### v. Death of a Supervisor

The DRC will recommend a new supervisor for the concerned research student.

### vi. Supervisor Requesting a change/transfer of the Scholar

In case a Supervisor requests for the transfer of the research student or declines to supervise a research student, another faculty member, qualified to be Supervisor and actively engaged in a similar research area, and has given his consent to supervise the research student, may be appointed as the new Supervisor (as per the choice of the area of research) on the recommendation of the remaining members of DRC. After that, the DRC may be reconstituted by replacing the former Supervisor with the new Supervisor while retaining the other internal and external experts. [*Refer Appendix IX:APPLICATION FOR CHANGE/ADDITION OF SUPERVISOR*)]

#### vii. Supervisor Change Request by the Research Scholar

If a Research student wants to change his/her supervisor, a new supervisor will be appointed by the Registrar on the recommendation of the DRC. In addition to this, if the research student wishes to change the area of research under the new supervisor, the DRC needs to take care of the same. The application from the research student for the change of supervisor of research should be accompanied by the letters of No Objection from both, old and proposed supervisor/s, Bio-data of the new supervisor(s), with relevant documents as prescribed at the time of application. The DRC after considering such applications will send its recommendations to the Research Board for approval.

### 7. Coursework

Students admitted/enrolled to the Ph.D. programme shall be required to undertake coursework for a minimum period of one semester. The course work shall be treated as prerequisite for Ph.D. registration.

#### 7.1 Allocation of coursework

(i) Every candidate enrolled for the Ph.D. programme shall undergo course work. The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” and a research methodology course. The DRC can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

(ii) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

The course work shall consist of the following:

- **Paper I:** Research Methodology (Compulsory) [Credit: 4; Full marks 100; Duration: 60 hours]
- **Paper II:** Research and Publication Ethics (Compulsory) [Credit: 2; Full marks: 100; Duration: 30 hours]
- **Paper III:** Subject-based Paper relating to the candidate’s Ph.D. work. [Credit: 3; Full marks 100; Duration: 45 hours]
- **Paper IV:** Subject Based Case Study Report and presentation relating to the candidate’s Ph.D. work. [Credit: 3; Full marks 100; Duration: 45 hours]

#### 7.2 External End-Semester Examinations (Coursework):

(These divisions are subject to modification by the Academic Council/appropriate authority as and when necessary)

Candidate will be eligible to sit for the course work examination, if they have at least 75% attendance in course work classes. In case of attendance less than 75%, the candidate may be allowed to sit for the examination provided he shows valid reason in this context and this is approved by Registrar or Vice- chancellor. Such candidate may be required to pay additional fee in the form of fine as prescribed by the university.

**End-Semester theory examination (Full marks – 100, Duration: 3 hours)  
(Applicable for Paper I, Paper II and Paper III given above)**

- i) Ten Multiple Choice Questions (MCQ) of 1 mark each .....10 marks
- ii) Six questions of 5 marks each ..... 30 marks
- iii) Six questions of 10 marks each .....60 marks

**End-semester Evolution of case study base paper/course examination (Full marks – 100, Duration: 3 hours) (Applicable for Paper IV given above)**

- i) Submission of case study report ..... 60 marks
- ii) Presentation and Viva Voce ..... 40 marks

A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in each course/paper of the course work and overall, 55% in order to be eligible to continue in the programme. There will be no review of answer script or PPV or special supplementary examination for coursework.

Successful completion of a paper/course means the student/scholar need to fulfil all prescribed requirements of the paper/course in a semester examination and has to secure the requisite percentage and Grade as specified.

Controller of Examinations will declare the results of coursework examination followed by issuing hardcopy Grade Card to the students/scholars. Students/Scholars need to submit an application to the Registrar for coursework completion certificate, if required. Registrar may certify the successful completion of coursework depending on Grade card issued to the students/scholars.

Result of the research Scholar’s course work examination will be defined as per following order:

<b>Result (Final Semester): Letter Grade</b>	<b>Classification</b>
PPC	Programme Partially Completed
PSC	Programme Successfully Completed

**7.3 Backlog Examination:**

If any candidate fails to attend or secure pass marks at any paper/course of coursework examination in the semester, then that paper/course will be treated as a backlog paper/course. Candidate will get maximum two consecutive chances including regular chance and one backlog chance. This condition is applicable fail/non appearing in regular chance candidate also. If a Candidate fails to obtain minimum qualifying marks 55% in each course of coursework examination within the stipulated chances it may lead to cancellation of his/her candidature.

Backlog candidates have to submit respective backlog Examination form and requisite fees as and when notified by the Controller of Examinations.

A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and apply for registration.

## **8. Registration to PhD Programme (\*Refer Amendment 4: Page B2)**

A candidate will generally be eligible for registration within two years of enrolment provided he/she has completed coursework under approval by his/her supervisor and the Departmental Research Committee (DRC). The said period, however, can be extended subject to the approval of the Vice- Chancellor on payment of additional fees.

### **8.1 Pre-registration Seminar (\*Refer Amendment 1 & 2 to version 2 and 3: Page C1)**

- (i) The student once enrolled for Ph.D. course work may submit his/her application through his/her supervisor for pre-registration seminar to the Head of the concerned department on the prescribed form along with the Doctoral Research Proposal/Synopsis (duly checked for plagiarism) in the prescribed format, along with other approvals as given in Appendices I to V. After successful completion of the Course Work the proposal has to be submitted within 45 days of result declaration.
- (ii) The student will be required to submit his/her synopsis to the Head of the concerned department through his/her supervisor. It should briefly cover tentative topic of research, introduction, aims and objectives/hypothesis, methodology, plan of work/chapterisation, bibliography, etc. Thereafter, the student will be required to submit one copy of the proposal to the Ph.D. Programme Coordinator for needful corrections and subsequent approval. Next student will submit eight copies of the Ph.D. research proposal/Synopsis vide Annexure V, to the chairman, DRC.
- (iii) The meeting of the DRC to consider the Synopsis shall be held within 30 days of submission of synopsis by the candidate (Pre-registration Seminar). The meeting maybe delayed by a reasonable period (upto 60 days) if there are other proposals too that needs to be considered within the department and can be clubbed for presentation.
- (iv) The student may however present his/her synopsis for Ph.D. registration during the period of Ph.D. course work. The department will, however, forward the cases for registration of such students to the office of Dean Research only after the student passes the course work. In such cases, the date of Ph.D. registration will be the date of passing the Ph.D. course work. However, in case of candidate who presents his/her synopsis after declaration of the result of course work, the date of registration shall be the date of meeting of the DRC in which his case is recommended for registration.

- (v) Notwithstanding anything contained in this ordinance, the student will be required to submit his Doctoral Research Proposal/Synopsis for pre-registration seminar not later than 45 days from the date of passing the Ph.D. course work.
- (vi) In case a candidate seeks extension of time for presentation of his/her synopsis, the period for submission of synopsis can be extended by Ph.D. Programme Coordinator/Vice Chancellor by upto two additional months, on a request by the candidate on payment of prescribed fee and recommendations of the supervisor and Head of department.
- (vii) The Head of department will invite the candidate to give a presentation on the research proposal before the RDC of the department (Pre-Registration Seminar) to which other faculty members may also be invited. After the presentation by the candidate, RDC will formally meet and record its observations/recommendations.
- (viii) The DRC shall suggest changes, if necessary, in the title/scope, methodology of the topic selected for research, based on the performance of the candidate in the Pre-Registration Seminar (Appendix V: Format for evaluation)
- (ix) The DRC shall assess the preparedness and understanding of the candidate and may recommend to present the seminar again if the performance of the candidate is not satisfactory in the first instance. The candidate will be given only one more chance to re-appear for the Pre-registration seminar within 45 days from the date of publication of results.
- (x) If for a candidate, the DRC does not approve of the research proposal even after the second presentation, the candidate can deliver his/her pre-submission seminar again after a lapse of one year from the date of the second presentation, after fresh Provisional admission without undergoing Course Work.
- (xi) Once the pre-registration seminar is over, the DRC will send its recommendations to the Research Board (RB) through Ph.D. Programme Coordinator for considering the suitability of the topic and final approval thereof. The DRC will also inform Research Degree Board about the cases rejected by it, if any. Once approved by the RB, the candidate is then permitted to apply for Registration in prescribed form (Appendix II).

## 8.2 Registration

- i. Registration for Ph.D. degree shall be granted to a candidate provided that the Departmental Research Committee (DRC) is satisfied that:
  - (a) the candidate satisfies the requirements for eligibility as per norms;
  - (b) it shall be possible for the candidate to maintain regular contact with his/her Supervisor throughout the entire period of his/her work;
  - (c) the experimental part (if any) of the work can be carried out at this University or in other recognized University or organization or research institute or Industry

where adequate facilities for carrying out such work exist. Certificate to this regard should be submitted as per format (Appendix IV). Carrying out such work outside Brainware University shall require approval of the Supervisor, the respective Departmental Research Committee (DRC) and the Academic Council.

- ii. After the case has been approved by the Vice-Chancellor, the candidate will be informed about the registration.
- iii. If the candidate is accepted for registration, then he/she shall have to register his/her name within the stipulated time prescribed for this purpose by paying a registration fee and other fees determined by the University.
- iv. On payment of the fees, the candidate's name and other particulars shall be included in the register maintained by the office of the concerned Faculty.
- v. The University shall maintain the list of all registered Ph.D. students on its website on yearly basis. The list shall include the names of the registered candidates, topic of his/her research, name of his/her supervisor/co-supervisor, dates of admission and registration.
- vi. A certificate of registration will be issued by the Registrar after completion of the aforesaid formalities.
- vii. Permission to pursue Ph.D. degree in a different Subject/Faculty, other than the one the candidate has specialized in his/her post-graduate studies, may be granted in special cases on the recommendation of the Departmental Research Committee (DRC) and the Academic Council after judging the proficiency of the candidate in the subject concerned and on payment of the prescribed fees.
- viii. In case of failure to register within the prescribed time, the application shall be deemed to have been cancelled unless special permission is granted by the Vice-Chancellor on the basis of a written application by the candidate through the supervisor and Departmental Research Committee (DRC).
- ix. A candidate's registration may also be cancelled if he/she does not fulfill necessary criteria as required by the University. The registration is liable to be cancelled if:
  - the progress of the research student is not satisfactory or
  - the student has not reported in person to the supervisor for any one semester or
  - the research student has not submitted his/her thesis by the end of the prescribed /extended period as provided in the Regulations or
  - there is lack of progress as reported by the supervisor and also after giving due opportunity to the candidate for defending his case.

## 9. Change of topic/title of the Thesis

Any change in the topic or title of the thesis can be effected in the following manner:

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- (i) Minor Changes in the Title: If the change involves minor changes in grammar/syntax of the title of the thesis, then the change should be proposed by the supervisor to the DRC. On the recommendation of the DRC through the HoD of the concerned department, the Ph.D. Programme Coordinator will approve the proposed change. The request for minor changes in the title will be considered till the pre-submission seminar. [Appendix VII].
- (ii) Minor Change in the Topic: On request for a minor change of the research topic by the candidate and his/her supervisor, the DRC will take up the matter for consideration and on recommendation of the DRC along with the Research Board, the topic change will be approved by the Vice Chancellor. However, the request for minor change in the topic is applicable **within two years** from the date of registration of the candidate [Appendix VIII].
- (iii) Major Change in the Topic: A request for a major change in the research topic will be considered **within one year** from the date of approval and Registration of the original topic. Since the original topic of research is changed majorly, the previous registration will stand cancelled, and the candidate will have to undergo the Registration process again. [Appendix VIII]

## 10. Research Progress Review

- (i) A registered candidate shall work under the guidance of the Supervisor(s) appointed by the Departmental Research Committee (DRC).
- (ii) A registered candidate shall abide by such regulations as may be prescribed by the Departmental Research Committee (DRC) from time to time.
- (iii) A registered candidate shall report to his/her supervisor at the institution as per the supervisor's direction and shall carry out the research work to the satisfaction of the supervisor.
- (iv) A registered candidate, will have to undergo a half-yearly (six months) research progression review in front of the members of the DRC. For this, the student(s) will have to generate and submit a six-month progress report (in the given template – Annexure VII). After the approval of the report, by Supervisor and Head the student will be required to give a seminar presentation to provide updates about his/her research and invite suggestions/modifications/guidance towards a more enriched work towards the attainment of the Ph.D. degree.
- (v) Progress of a student will be monitored on a regular basis by the research Supervisor and the DRC. The progression reviews also provide a formal record of how the research work is going and recognition of the student's achievements. They also offer a structured opportunity to discuss students' professional development and career aims, and identify any training needs. Additional shorter meetings of internal DRC members maybe planned every three months as per departmental requirements with supervisor's and Head's

consent.

The progression review further lets supervisors consider their own competence to deal with any new research area. It also provides an opportunity for the supervisory team to revisit the distribution of supervisory responsibility. If different expertise is needed to support the student, the team can recommend a change in supervisors to the Research Board and Vice Chancellor.

- (vi) The six-monthly progress evaluation reports (Appendix VI) shall be submitted by the DRC to Ph.D. Programme Coordinator with a copy to the research scholar.
- (vii) Academic Council shall have the power to cancel the admission of a student at any time, on disciplinary or any other grounds which are considered to be not in consonance with the dignity, diligence and behavior of a research scholar or for non-payment of the relevant fees on recommendation of DRC.

#### **11. Thesis Submission and minimum standards/credits**

- i. Upon satisfactory completion of course work and obtaining the marks/grade prescribed above, the Ph.D. scholar shall be required to undertake research work, demonstrate progress and produce a draft dissertation/thesis within the stipulated period.
- ii. Before submitting the dissertation/thesis, the Ph.D. scholar, who has satisfactorily completed the coursework and other requirements, must present his/her work at a meeting of the Departmental Research Committee (DRC) in an open seminar (pre- submission seminar), where the Supervisor(s) shall be invitee members. The pre-submission seminar date shall be finalized in consultation with the external experts of the Departmental Research Committee (DRC). Any suggestion may be suitably incorporated under the advice of the supervisor(s). If necessary, the title can be modified at this stage as per Clause 10 above, provided the new title is approved both by the Supervisor and the respective Departmental Research Committee (DRC).

The notice for the meeting should be circulated a week in advance among all faculty in the school. The student, whose work is approved in the said meeting should submit the thesis within six months counted from the date of pre-submission seminar.

Further, in the case when the work presented is found unsatisfactory by the members of DRC, the candidate will be required to make necessary modifications. For such students, pre-submission seminar will again be arranged at a later date as per the rules and regulations.

- iii. Brainware university has a stringent policy against plagiarism as described in Annexure IV. University uses UGC recommended software applications to detect Plagiarism in research work. The research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree. Every Ph.D. Scholar shall get a plagiarism check on prescribed plagiarism checking software of his draft thesis to detect plagiarism and shall submit the report generated on the plagiarism checking software of his draft thesis along with a soft copy of the draft thesis and declarations about the plagiarism below for consideration by the Departmental Research Committee (DRC).

A Ph.D. scholar shall submit the thesis for evaluation (Appendix XIII), along with

- (a) an undertaking from the Ph.D. scholar that there is no plagiarism along with the original plagiarism report (Appendix XIV and Appendix XV) and declaration (Appendix XVII) and
- (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution (Appendix XVI).
- (iv) A registered candidate shall have to submit four hard copies (the number may be determined separately in case of co-supervision) and one soft copy of the thesis in pdf format duly recommended by the supervisor(s) embodying the results of the research he/she has carried out, together with four printed and one soft copy of the synopsis of the thesis. The copies of the thesis should be submitted to the Registrar together with a receipt of the fees paid to this University for this purpose. Proof of the candidate's fulfillment of other requirements shall also be submitted at this time.
- (v) The format of the thesis shall be decided by the Schools (Guidelines given Annexure IX).
- (vi) The thesis should be written in English. Any request for using any other language shall have to be submitted to the Departmental Research Committee (DRC) (through the supervisor) stating clearly the reasons for not writing in English. The Departmental Research Committee (DRC) shall then judge the given reasons critically and may or may not accept the request and the decision shall be binding to all concerned.
- (vii) The Research Board/Academic Council shall have the power to revoke any Ph.D. degree conferred duly, if the candidate is subsequently proved guilty of plagiarism, falsification/copying of data/information or any other form of academic or ethical malpractice. Such a decision of the Governing Board shall be final and binding to all concerned.

## 12. Thesis Evaluation and Evaluation Report

- i. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academicians with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to affect the provisions of this Regulations.
- ii. The Departmental Research Committee (DRC) shall prepare a list of six persons (not below the rank of a Professor), who are well known authorities on the subject for appointment as external examiners of a thesis by considering the list submitted by the Supervisor(s) (Appendix XVIII). Three external experts shall be from outside the state of West Bengal.

The panel shall include the following information for each expert:

- a) Name
- b) Academic Designation and status
- c) Postal Address
- d) Area of Specialization
- e) Phone number/ Fax No., if available
- f) E-mail

In case of retired persons, their last designation shall be indicated without which the panel would be considered incomplete.

- iii. Such examiners shall neither be teachers of this University nor persons who are supervising candidates for the Ph.D. degree registered at this University.
- iv. The final selection of the two external examiners from the panel thus submitted shall be done by the Vice Chancellor.
- v. External examiners and the Supervisor(s) will be requested to state their opinion about the thesis in the prescribed report (Appendix XIX) having the following options:
  - a) The candidate may be awarded the Ph.D. degree of the University.
  - b) The candidate may be awarded the Ph.D. degree of the University provided that the following modifications are addressed in a separate addendum. The Examiners present at the viva-voce must certify that the modifications are satisfactorily addressed, failing which the thesis must be resubmitted for examination after addressing the suggested modifications.
  - c) The candidate may be awarded the Ph.D. degree only after addressing the following questions and resubmitting the thesis.
  - d) The candidate shall not be awarded the Ph.D. degree of this University.
- vi. A detailed technical evaluation report (Appendix XIX) signed by the examiner must also be submitted by the all the examiners individually.
- vii. If one of the external examiners recommends rejection, the thesis shall be send to an alternate external examiner from the approved panel of examiners,
- viii. A thesis which has been directed to be re-submitted by at least one of the external examiners, maybe submitted again after due revision, modification or alteration not earlier than three months from the date of communication of the recommendation to the candidate. A re-submission fee shall have to be paid as decided by the University. External examiners appointed will examine the resubmitted thesis again. A thesis may be re-submitted only once.
- ix. If differences of opinion still remain in the recommendations of the external examiners, all the reports and the thesis will be sent to a third external examiner (recommended by the



Departmental Research Committee (DRC) and approved by the Vice-Chancellor) who will act as special adjudicator and his/her recommendation shall be considered as binding.

- x. If both the external examiners reject the thesis, it shall not be further processed for award of the Ph.D. degree of the University and will be considered as rejected.

### 13. Viva Voce

- i. The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- ii. BWU shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.
- iii. A viva-voce examination shall be held for the candidate to defend his/her thesis, for which notice will be issued 15 (fifteen) days before the examination.
- iv. The Vice-Chancellor, on the recommendation of the Departmental Research Committee (DRC), shall appoint one expert who is not a teacher of this University and is a well-known authority on the subject (preferably one of the external examiners who evaluated the thesis), along with the Supervisor(s) of the candidate, as examiners for the viva-voce examination.
- v. The examiners at the viva-voce examination may ask questions in order to satisfy themselves that the candidate has adequate knowledge of the particular branch of the subject on which he/she has submitted the thesis. The candidate shall provide answer to all the queries (if any) raised by the external examiner(s) within their adjudication report(s). If there is an addendum as mentioned earlier, the examiners will certify that it is satisfactory (Appendix XX).
- vi. If the examiners are not satisfied, the candidate may be directed to appear again at the viva-voce examination after three months. Such a candidate shall pay an additional fee duly determined by the University.
- vii. If the examiners of the viva-voce examination recommend that the candidate may be awarded the degree, then all the reports and recommendation shall be placed before the Vice-Chancellor by the RDB. After obtaining the approval, the Registrar will issue a provisional certificate for the candidate on award of the Ph.D. degree.
- ix. The formal degree will be awarded by BWU in the next Convocation.

## 14. Publication of Thesis

After the award of Ph.D. Degree, a candidate may publish the material contained in his/her thesis in the form of a book/ monograph etc., after obtaining permission from the Vice-Chancellor, on the recommendation of the DRC, provided that a request is made by the candidate within three years from the award of Ph.D. degree. Applications received after three years will not be entertained.

## 15. Depository with INFLIBNET (\*Refer Amendment 5: Page B2)

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

## 16. Termination from the Programme

A scholar's PhD procedure will be terminated if:

- i. He/she fails to complete the course work within the first year of provisional registration with a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work.
- ii. He/she fails to submit a satisfactory Research Proposal in three attempts. The PhD thesis has not been accepted after two re submissions.
- iii. Any disciplinary action has been taken against him/her on the recommendation of the appropriate committee.
- iv. He/she gets continuous non-satisfactory 6th month progress report.
- v. He/she does not respond to the mails sent by PhD office or supervisor over a period of three months.

## 17. Board and Committees and their role

### 17.1. The Research Board (RB)

The Research Board (RB) will comprise of following members:

- (a) the Vice-Chancellor - Chairperson,
- (b) One of the Professors – Nominated by the Vice Chancellor as Member Secretary
- (c) Deans of the Schools - Members,
- (d) Professors, Associate Professors and HODs of the University with proven track record in the field of research approved by the Vice Chancellor - Members,
- (e) External experts nominated by the Governing Board for a period of three years - Members

**\* Number of internal members should be twice the number of external members**

- 2. The nominated members will be eligible for re-nomination.

3. The powers and functions of RB shall be as defined in BWU First Statute as below:
  - (a) to recommend to the Academic Council the minimum qualifications for a Research Supervisor;
  - (b) to recommend to the Academic Council the names of University Professors and other teachers, for guiding research;
  - (c) to recommend the names of experts from outside the University to the Academic Council for guiding research;
  - (d) to consider the recommendations of the Departmental Research Committees for registration of candidates for Ph.D. degree;
  - (e) to consider the cases of registration for doctoral degree where there is a change of subject or of research topic;
  - (f) to review, if necessary, the evaluated progress report of a Research Supervisor regarding the work of a candidate for Ph.D. degree;
  - (g) to examine the cases of difference of opinions, if any, between examiners of a Ph. D thesis and forward the recommendation thereto to the Academic Council.
4. (a) One-third of the total number of the members rounded off to the next integer, shall form the quorum for a meeting of the Research Board.
  - (b) The Research Board shall meet once or twice a year for review of the points listed in 17.3 above or any other need as to be specified in the respective PhD regulations to be notified separately.
5. Any proposal for funding of a project work to any organization/ authority shall have to be forwarded through the Research Board.

#### **17.2. Departmental Research Committee (DRC)**

1. The Departmental Research Committee (DRC) for each department under the relevant school comprises of:

- i. Head of the Department- Chairperson
- ii. Professors of the Department to be nominated by DAC – Members\*
- iii. Dean of the Faculty School – Member\*\*
- iv. Two teachers of the respective department, each having a doctoral degree and nominated by the DAC.
- v. Two external subject experts from research institutions or Universities, not below the rank of a Professor, nominated by the Vice-Chancellor.

HOD or Department research coordinator, where it exists in form of a DRC member, arrange all correspondences concerned with DRC matters.

-DRC will be responsible for review of all the processes relating to enrolment, progress and final



completion of PhD of each candidate and send recommendations to the competent authority (Ph.D. Programme Coordinator, RB, VC as appropriate) for approval. The process will chiefly include the following:

1. Assigning the Supervisor, Co-Supervisors, if any, to each enrolled scholar before initiation of coursework classes and forward information to the Ph.D. Programme Coordinator.
2. Review and evaluate the Doctoral research proposal in the Pre- Registration seminar and recommend registration of the Scholar to the Research Board (RB) for approval.
3. Evaluate the progress of the candidate and submit recommendation to the Ph.D. Programme Coordinator as "Half Yearly Progress Evaluation Report" every six months.
4. Analyse and recommend any change in research topic, research title, research supervisor and any other relevant thing for approval by the RB.
5. Review and evaluate the Pre-Submission Synopsis and recommend submission, if applicable, in the form of "Pre-Submission Seminar/Synopsis Evaluation Report" to the PhD Registration Cell.
6. Vide sub-sections 3(i) and 3 (ii) Ph. D. Programme Version 3, application submitted for extension of Ph. D. submission. will be reviewed and recommended, if satisfactory. After this, it will be forwarded to Registrar for the final approval of the extension period recommended.

\*If there is no Professor in the subject, then the Vice-Chancellor may nominate a Professor of a related subject under the same Faculty/School till a full-time Professor of that subject or discipline is available.

\*\*In absence of Dean of the Faculty School, the Vice-Chancellor may also nominate a Professor of a related subject under the same Faculty School till the Dean of the Faculty School is available.

The tenure of membership of a person shall ordinarily be three years, however he/she can be re-nominated. Five members, including at least one external member, shall form the quorum.

### **17.3. Candidate Selection Screening Committee**

The Screening Committee for candidate interview and selection will consist of the following members:

- a) Dean of concerned School (Chairperson)
- b) Head of the concerned department
- c) Concerned Supervisor (s) and co-supervisor (s), if there be any
- d) One senior most Faculty member of the department holding Ph.D.
- e) One External Member outside BWU not below the rank of Professor
- f) Ph.D. Programme Coordinator, Member Secretary

In absence of Dean of the School, the Vice-Chancellor may also nominate a Professor/Dean of a related subject till the Dean of the Faculty School is available.

**\*Refer amendments and addendum**

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# ANNEXURES



## Annexure I

### Structure of Admission Test to Ph.D. Programme (BWU-PET)

- i. An entrance test (BWU-PET) will be conducted in each subject for admission to the programme.
- ii. The test will comprise of two papers, each of 75 minutes duration:

**Paper-I** (Common for all subjects): This paper will have 50 objective type multiple choice questions. The scope of paper will be General Aptitude, Reasoning, Numerical/ Mental Ability, Indian Education system, Analytical skills/ Research aptitude, Environment, language Proficiency, Teaching Aptitude and any other topic covered in Paper-I of the UGC-NET.

**Paper-II** (For subject opted by the candidate): This paper will have 50 objective type multiple choice questions. The scope of the paper will be limited to the core areas relating to concerned discipline/ subject.

- iii. The syllabus of Paper-II will be same as that of UGC- NET
- iv. Qualifying marks in the entrance test is 50 percent in aggregate. A relaxation of 5% marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-creamy layers)/Differently abled category in the qualifying marks for the entrance test.
- v. All candidates except those who have qualified UGC NET (any of the three categories)/ UGC- CSIR NET/SLET/GATE/ASRB/DBT or any National Entrance test for PhD will be exempt from appearing in entrance exam and maybe selected based on an interview.
- vi. There will be no negative marking in the Test.

### Selection Criteria for Admission

Weightage of different components for determining merit for admission is as under:

Components	Weightage (Percent)
Marks obtained in the Entrance Test/any NET	70
Performance in the Interview/Viva-voce	30
<b>Total</b>	<b>100</b>

## Annexure II

### Students' Responsibilities

All students are expected to comply with the University's policies, regulations and procedures which along with their programme handbook, other programme information and the terms and conditions of admission, form the contract between the student and University during their studies.

The particular responsibilities of the scholar while doing their research work should be:

- Fulfilling the requirements of their degree programme including any requirements for progress review.
- Taking advantage of the facilities and supervision offered by the University.
- Working like a professional, independent researcher accountable for the development of their own research.
- Maintaining ethical standards in the design, conduct and reporting of research.
- Working diligently and effectively throughout their studies.
- Following the rules of any other university, company or other organization that they are studying/working with during their programme.
- Making themselves available at the times agreed and maintaining regular contact with their supervisors.
- Maintaining a research diary (*The diary should be a daily record of what they are doing towards their research, viz. Record of time spent on the work, activities, analysis and speculation*). [Refer APPENDIX for the template of the Research diary]
- Reporting any results obtained from study to the Supervisor.
- Discussing any proposed employment with their supervisor to ensure it does not impede the successful completion of the students' programme of study.
- Participating in any training that is a required part of the programme.
- Notifying their Supervisors, or other relevant staff, of any special circumstances affecting their studies or assessment.

## Annexure III

### Supervisor's Responsibilities

- Once a faculty has been authorized to guide Ph.D. students, they should help their scholar(s) to get acquainted with the Ph.D. rules and regulations and necessary criteria for crossing each step towards attainment of the Ph.D. degree.
- As a first step, the Supervisor should help the student in writing a research proposal for Ph.D. programme.
  - In this regard, the supervisor should ensure that his/her area of expertise matches with the research interests of the student. If necessary, the supervisor may decide to take a Co-supervisor.
  - The supervisor should identify a topic that is within the mandate of the University, so that the research facilities and funding are available for the necessary.
  - Research students are categorized in the following
    - **Freshers:** Individuals who join BWU as students after post-graduation from universities. This will also include employed students who choose to obtain a Ph.D. degree which is completely different from their job domain.
    - **Employed Students:** Individuals who are employees of any organization or company and work for their Ph.D. while on the job, as a part of requirement for the job or out of individual professional interest from the job.
- Once Supervisor and the broad topic have been decided, further details of the problem are formulated in a manner that it enables research embodying new knowledge appropriate for the degree to be completed within the specified time. Experience of the Supervisor is an essential element in formulating the problem and it is the Supervisor's responsibility to ensure that the details are appropriately worked out. The Supervisor has to ensure that appropriate literature survey is done by the student and the student is able to **defend the proposal** before the Research Board.
- The Supervisor is expected to provide academic guidance by:
  - providing scholarly direction;
  - encouraging student in his/her academic work;
  - ensuring that appropriate time table for the completion of each phase of the work is established;
  - ensuring that student is given timely advice about style requirements and about the mechanics of presenting a thesis;
  - ensuring compliance with any legal, professional, ethical or safety guidelines associated with the project; and
  - identifying and helping student acquire any missing skills for his/her research.

- The Supervisor is also expected to encourage the student into wider contacts as appropriate to the discipline by:
  - encouraging seminar and conference presentations;
  - helping student make contact with other scholars in the field; and
  - helping student publish his/her work as appropriate.
  
- The Supervisor should also ensure that the Departmental Research Committee meets half-yearly (once in six months) to review the progress made by the student and send a half-yearly Doctoral Research Progress Report as per approved format [*Appendix of this handbook*] to the Ph.D. Programme Coordinator, with a copy to the Research Scholar.
  
- When the student has completed his/her Ph.D. work and all other related requirements for the programme, the Supervisor should arrange a pre-submission seminar in consultation with the members of the Departmental Research Committee, upon satisfactory completion of course work and obtaining the marks/grade prescribed in Course Work below, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
  - Before the pre-submission seminar, the supervisor should also ensure that the student summarizes his/her work in the form of Pre-Submission Synopsis Report, the copies of which are to be distributed to the DRC and the external experts at the start of the seminar.
  
- The seminar should be an open seminar and invitees should be asked to leave when the Committee comprising of the Departmental Research Committee and External Experts is discussing and preparing its recommendation. The recommendation of the committee should be duly signed in the form of 'Pre-Submission Seminar Evaluation' as per approved format [*Please refer APPENDIX of this handbook*]. The pre-submission seminar report has to be communicated to Ph.D. Programme Coordinator with a copy to the Research Scholar.
  
- After successful completion of the viva voce, the supervisor should forward the following documents to the BWU Registration Section for documentation:
  - Report of the final viva voce duly signed by all the members of the Doctoral Committee and the external examiner;
  - A certificate confirming incorporation of all comments by examiners and members of Doctoral Committee; If revised:
  - Five hard copies of the revised thesis as per BWU format;
  - Soft copy of the revised thesis;
  - Soft copy of revised abstract as a word document.



## Annexure IV

### Brainware University Plagiarism Policy and Guidelines

Ethics and honesty are the two major qualities required in academics be it teaching or research. One cannot claim others' work as their own, if they have not been involved in it. Academicians often knowingly or unknowingly present/publish or include others' work as their own or without giving due credit to the original owner. Such acts lead to unhealthy practices and malign the name of the institute or the individual. Hence, to avoid such acts, BWU has put in place a plagiarism policy in accordance with the UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 for all academicians as well as students to follow.

#### III.1 What is Plagiarism?

According to the online Merriam Webster Dictionary, "plagiarize" means:

- to steal and pass off (the ideas or words of another) as one's own
- use (another's production) without crediting the source
- to commit literary theft
- present as new and original an idea or product derived from

an existing source Also:

- Failing to put quotation marks for a quote or excluding the author of the quote,
- Providing incorrect information about the source of the quote,
- Copying the sentence but changing words without crediting the source,
- If the copied ideas make up for the major part of the work, they are also considered to be various forms of plagiarism.

#### III.1.1 Types of Plagiarism

Plagiarism is often not a very black and white issue. According to the plagiarism checking tool Turnitin, there are 10 majorly prevalent types of plagiarism which they have termed as follows:

1. **Clone:** (also called complete plagiarism) - The "clone" is a verbatim transfer of someone else's work and submitting it as their own, word-for-word.
2. **CTRL-C** - Also called verbatim plagiarism, this type of plagiarism contains significant portions of text exactly copied from a single source without attribution, indentation or quotation marks. It can be of two types, namely:
  - a) The plagiarist may cite the source of the borrowed text but without proper quotations
  - b) The plagiarist does not cite the source of the borrowed text which implies that he/she is trying to claim the portions of text to be his/her own.
3. **Find-Replace** - Can also be termed as paraphrasing, this type of plagiarism is copying phrases from a source or copying the content of the whole source (stealing an idea or the essential content of the source) and then changing their words without citing the

source.

4. **Remix** - This type of plagiarism involves collecting texts from multiple sources, paraphrasing them and combining them together in a single document and submitting them as their own.
5. **Recycle** - Can also be called Self-Plagiarism, where the writer borrows generously from the writer's previous work without citation.
6. **Hybrid** - This type of plagiarism is basically a combination of texts/paragraphs of sources, which may be perfectly cited or improperly cited, and copied passages without citation.
7. **Mash-Up** - The plagiarist here combines copied material (in its original form) from multiple sources and produces it without citation.
8. **404 Error**- 404 Error or Invalid source attribution includes citations to non-existent or inaccurate information about sources.
9. **Aggregator** - This type of plagiarism includes proper citation to sources but the paper contains almost no original work.
10. **Re-tweet** - This includes proper citation but relies too closely on the text's original wording and/or source. To understand each type of plagiarism better, please refer to the document by Turnitin from the link: [http://pages.turnitin.com/plagiarism\\_spectrum.html](http://pages.turnitin.com/plagiarism_spectrum.html).

Apart from the 10 types of plagiarism as per Turnitin, some other forms of plagiarism include:

11. **Replication** - If a single article is submitted for multiple publications, resulting in the same manuscript being published more than once. It is an ethical refraction, as while submitting the article the author has to make a declaration that the article is original and has not been submitted for publication elsewhere.

#### 12. **Inaccurate or Misleading Attribution**

When an inaccurate or insufficient list of authors who contributed to the manuscript, are provided that leads to misleading attribution. Due to this misleading attribution, it may happen that authors making significant This happens when authors are denied credit for partial or significant contributions made to a study, or the opposite-when authors are cited in a paper although no contributions were made.

Misleading attribution may also occur in a collaborative work, where the collaborative nature of the work and the collaborators involved are not mentioned in the concerned publications.

### III..2 How to avoidPlagiarism?

- a. Cite while writing.

Whenever you are writing, insert citations immediately when you are compiling text

- from other sources so that no citations/attributions go missing.
- b. Avoid copying and pasting. Paraphrase and cite the original source.
  - c. Avoid quoting an entire paragraph. Use short quotes comprised of one or two sentences.
  - d. Copied images and photos should also be properly cited.
  - e. Avoid self-plagiarism and cite your own previous works.
  - f. If required, ask permission from the copyright holder.
  - g. Facts that are readily available from numerous sources and generally known to the public are considered "common knowledge," and are not protected by copyright laws. These facts can be liberally used in the articles without citing authors.
  - h. In case of doubt, just cite!

### **III.3 Detection of Plagiarism**

While submitting the thesis, every student will have to submit a certificate (*Refer Appendix*) showing that plagiarism test has been conducted in his/her thesis and has similarity index below the permissible limit of 10%.

### **III.4 Similarity checks for exclusion from Plagiarism**

As per UGC guidelines, 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.
- iii. All generic terms, laws, standard symbols and standards equations.

### **III.5 Levels of Plagiarism**

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities up to 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

### **III.6 Penalties in case of plagiarism in submission of thesis and dissertations**

The university authorities shall impose various penalties depending on the level of plagiarism as follows:

- i. Level 0: Similarities up to 10% - Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% - Such student registration for that programme shall be

cancelled.

**Note 1:** Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

**Note 2:** Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period as decided by the University authorities.

### III.7 Procedure of dealing with plagiarism reports

If the drafted thesis is found to be plagiarized above the permissible limit, the DRC will convene a meeting with the candidate and listen to his side of the story. After listening to the candidate, the DRC will submit its recommendations based on the following recommendations:

**Self-plagiarism:** If the similarity index is found to be >10% due to candidate's published work which has been included in thesis but has not been properly cited, the candidate will be asked to resubmit the work with proper citations.

Also, if the plagiarism is due to a published work of the candidate from the doctoral research, a certificate (Self Plagiarism Exclusion Certificate- Refer APPENDIX XX) has to be issued by the supervisor specifying and attaching the articles that have been published by the student from the thesis work. Only these articles should be excluded from the check, no other article of student or supervisor should be excluded from the check.

**Low similarity index (11-25%):** If it is found that the plagiarism is the result of negligence or ignorance and without the intent to cheat and has a low similarity index, then the candidate may be allowed to re-submit the work with proper citations.

**Medium similarity index (26-40%):** If the candidate has failed to give proper citations, or copied a few paragraphs without the intention of cheating, he/she may be allowed to re-submit the work with proper citations and paraphrasing and warned that repeating the mistake may cause his/her registration to be cancelled.



## Annexure-V

### GENERAL FORMATTING GUIDELINES (Doctoral Research Proposal) (General Guidelines – Depts./Schools modify as per their requirements)

<b>Page Orientation</b>	Portrait
<b>Page Size</b>	A4 size
<b>Margins</b>	1 inch from all sides/Moderate in Word Doc.
<b>Headings</b>	Times New Roman/Calibri/Arial, Bold, Size-14 points, Title case
<b>Sub-Headings</b>	Times New Roman/Calibri/Arial, 12 points, Bold
<b>Body-text (paragraphs)</b>	Times New Roman/Calibri/Arial, 11 points, Justified

#### Front Page Format.

### DOCTORAL RESEARCH PROPOSAL REPORT

#### A. General Information

1. **Proposed Title of the Study:** \_\_\_\_\_

*(It specifies the area of the proposed research work and is not the exact title of the thesis. Title of the thesis emerges at a stage when the candidate is almost ready to submit his/her thesis. Before submitting the thesis, exact title which will appear on the thesis, has to be approved by the DRC. The proposed topic of research should be written in "Title Case" and should not be too lengthy.)*

2. **Student Name:** \_\_\_\_\_

3. **Student Code:** \_\_\_\_\_

4. **Department:** \_\_\_\_\_

5. **Course Code:** \_\_\_\_\_

6. **Supervisor(s):**

a. **Name of the Supervisor:** \_\_\_\_\_

b. **Designation of the Supervisor :** \_\_\_\_\_

c. **University affiliated to:** \_\_\_\_\_

d. **Name of Co-Supervisor (if any):** \_\_\_\_\_

*(Please attach a resume (in the prescribed format – APPENDIX V) of the supervisor, if he is an external faculty)*

e. **Designation:** \_\_\_\_\_

f. **University Affiliated to:** \_\_\_\_\_

7. **Date of Submission of Report (DD/MM/YYYY):** \_\_\_\_\_

Initially TWO hard copies of the proposal are to be submitted to Ph.D. Programme Coordinator for corrections and approval through the HOD. The timelines and general outlined in Clause 8.1 of the Ph.D. Programme Version 3 should be followed.



- For external supervisors, following documents also need to be submitted
  - Consent of organization permitting him to act as supervisor (Appendix III)
  - Bio-data in prescribed format (Annexure VI)
- Candidates wanting to work outside university, should submit consent of organization in prescribed format (Appendix X)
- After Approval, Eight CORRECTED hard copies and ONE SOFT COPY to be submitted to Head of DRC for approval in Pre-Registration Seminar.
- Each page of the proposal has to be given page number at bottom & at the right
- The length of the proposal will depend on the nature of the problem, but preferably less than 10 pages(spacing: 1.15 lines) are usually sufficient.
- Proposal should be Spiral Bound.
- Check your proposal against checklist provided at the end of this document.
- Tables and figures should be used only if relevant and absolutely necessary. If included, please follow the instructions given below:

#### **Tables**

- Number tables consecutively in the order of their first citation in the text and supply a brief title for each. Give each column a short or abbreviated heading.
- Be sure to give caption to each table and they are cited in the text.
- Table footnotes are to be avoided.
- If a Table has been published, cite the original source.

#### **Illustrations (Figures)**

- Letters, numbers, and symbols on Figures should be clear and uniform throughout, and of sufficient size so as to make legible.
- Figures should be made as self-explanatory as possible
- Be sure to give caption to each Figure and all figures are cited in the text.
- Figures should be numbered consecutively according to the order in which they have been first cited in the text.
- If a figure has been published, cite the original source.

#### **Units of Measurement**

Measurements of length, height, weight, and volume should be reported consistently throughout the proposal.

#### **Abbreviations and Symbols**

Use only standard abbreviations. Avoid abbreviations in the title. The full term for which an abbreviation stands should precede its first use in the text except in case of measurement units.

## References

A list of references contains details only of those works cited in the text. Punctuation marks and spaces within the references are very important. Keep uniformity with this respect.

Also consider the following:

1. Minimum 12 to 20 references are needed.
2. References should be written as per the format given (USE Standard reference formats as APA (American Psychological Association) (**Preferred**) or any uniform commonly used format as MLA (Modern Language Association) or Chicago.
3. 50-60 % references are needed are to be from reputed journal articles, that too from latest journals(within 5 years from the date of writing the proposal).
4. In case of conference proceedings dates, place of the conference and in case of published proceedings page nos. of proceedings should be given.
5. Citation dates for e-reference is a must.
6. Give the editions of the books referred by you.
7. Give full details of the reports taken as a reference i.e. place of publication, published by which agency, etc.



**Format of the outer cover of the Doctoral proposal/Synopsis (Schools/Depts may modify)**

**TITLE of Synopsis**

<Font Style: ALL IN CAPITALS FONT SIZE 16, BOLD, ARIAL, CENTRE, 1.5 LINE SPACING>

**A SYNOPSIS**

**Submitted to the School of..... in Partial  
Fulfilment of the Requirements for Registration for the Degree of**

< FONT SIZE 14, ARIAL, CENTRE, SINGLE LINE SPACING>

**DOCTOR OF PHILOSOPHY**

**In**

**..... (Name of Subject)**

< FONT SIZE 18, ARIAL, CENTRE, SINGLE LINE SPACING>

**Supervisor:**

**Submitted by:**

**“Supervisor Name”**

**“Student Name”**

< FONT SIZE 14, ARIAL, CENTRE, SINGLE LINE SPACING>



**DEPARTMENT OF .....  
BRAINWARE UNIVERSITY  
BARASAT, KOLKATA  
MONTH & YEAR OF SUBMISSION**

< FONT SIZE 16, ARIAL, CENTRE, SINGLE LINE SPACING>



## **Annexure-VI**

### **EXTERNAL SUPERVISOR'S BIO-DATA FORMAT**

1. Name
2. Present Designation, official address, telephone number & e-mail address
3. Permanent Address
4. Date of birth
5. Education (starting with high school/higher secondary, list all examinations passed, degrees obtained, dates and institutions/universities from which obtained).
6. Academic distinctions attained
7. Professional career beyond Master's degree to present date in chronological order (list all appointments and posts held, nature of the work done)
8. Broad field of research interests with specific areas of involvement.
9. Publications: give titles of papers, names of journals and dates of publications
10. Type of industrial and consultancy work done
11. Patents obtained
12. Visits abroad and nature of assignment
13. Membership of professional societies
14. Doctoral degrees thesis already supervised, if any (list titles)
15. Number of Ph.D. candidates, if any, currently registered under him along with university details
16. State in what manner connected with candidate's organization and proposed place of work.



## Annexure-VII

### DOCTORAL RESEARCH PROGRESS REPORT FORMAT

Proposed Research Topic:	
Name of the Student:	
Student Code:	
Department:	
Registration Date:	
Report Submission date:	
<b>SUPERVISOR(s)</b>	
a. <i>Name of the Supervisor:</i> _____	
b. <i>Designation of the Supervisor:</i> _____	
c. <i>University affiliated to:</i> _____	
d. <i>Name of Co-Supervisor (if any):</i> _____	
e. <i>Designation:</i> _____	
f. <i>University Affiliated to:</i> _____	

### Progress Reports Submitted so far

Sl. No.	Duration		Date of Submission	Remarks (if any)
	From	To		
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				



## Progress Report for the period from \_\_\_\_\_ to \_\_\_\_\_

### 1. SUMMARY:

Briefly (4-5 sentences) describe both the **research purpose and the underlying need** for this research. Include sufficient detail for readers to get acquainted with the project without having to refer to your proposal.

List the **objective(s)** of the research project, exactly as described in your approved Statement of Work.

### 2. ACTIVITIES AND PROGRESS:

Report on activities as outlined in your approved proposal for the period covered by this report and describe any changes to this, including the reasons for these. Do include any additional activities undertaken that are not in your work plan, providing the background to their inclusion.

### 3. OUTPUTS AND DELIVERABLES (Work done so far):

Describe any preliminary results, outputs or deliverable for this project (e.g. presentations, studies, papers)? Please describe, provide URLs or attach documents etc. If no preliminary results are available, state why (e.g., "The first period of data collection has only recently been completed and data analysis has not yet begun.").

### 4. ISSUES AND CHALLENGES (if any):

Report on any issues or problems related to your project/research that have impacted on the development and implementation of the project during the reporting period.

Detail what impact any issues may have on the achievement of project targets and set out how you plan to tackle these issues.

Report on any unexpected project achievements.

### 5. EVALUATION:

Provide a brief (4-5 sentence) assessment of how you feel your overall project is progressing in terms of accomplishing your objectives and adhering to your overall timeline.

### 6. COLLABORATION:

Is there any collaboration you have with any parties to work on the project tasks? If any; please list them and detail on what type of collaborations they are.

### 7. WORK REMAINING:

Briefly list the activities planned and/other information of relevance for the next stage of the project.

Name of the Research Scholar

\_\_\_\_\_

Signature & Date:

\_\_\_\_\_

Name of the Supervisor

\_\_\_\_\_

Signature & Date:

\_\_\_\_\_



## **GUIDELINES FOR PRE- Ph.D. SYNOPSIS SUBMISSION**

**Number of Copies for Submission:** Five hard copies and one soft copy (pdf file) in a properly labelled CD are to be submitted to the Chairman of the DRC through the supervisor. The soft copy of synopsis (Pre-Thesis Submission) should also be emailed to respective Supervisor/Co-supervisor.

**Language:** Language of the Synopsis (Pre-Thesis Submission) will be English unless the subject of the thesis requires the language to be other than English fully or in part, for which permission of the concerned DRC is required.

**Size of the Synopsis:** The size of synopsis should normally be 30-50 pages long typed on one side of good quality (not lower than 80 gsm) A4 size white paper. (Around 5000 words)

**Binding:** The binding of the Synopsis should be spiral binding.

### **Layout of the Synopsis:**

The Layout of the Synopsis should be as follows:

- i. Cover Page/Title page
- ii. Table of Contents
- iii. Abstract
- iv. Main body of work
  - a. Introduction
  - b. Literature Survey (Brief survey of earlier related work)
  - c. Objective of the Thesis
  - d. Research Methodology
  - e. Major Results and Discussion
  - f. Summary and Conclusions
  - g. Future Scope
  - h. List of References (cited in the text)
- v. List of publications (from the Ph.D. work)

### **Typing Instructions:**

Please follow the same formatting instructions as given for the Doctoral Research Proposal before or thesis later.



## **Annexure-IX**

### **GUIDELINES FOR PREPARING THE THESIS**

#### **General Instructions**

- On completion of the research work, the Ph.D. Thesis is to be prepared according to the format and guidelines provided in the coming sections.
- The students are advised to strictly adhere to the format.
- The Thesis should be free from grammatical, lexical and punctuation errors.
- The thesis should consistently use either American or British spelling but should not alternate between the two.
- When using numbers in the text, if the first word of a sentence is a number, it should be written in words.
- The length of the Thesis should preferably be restricted to 250 printed pages. (In case the number of pages in the thesis (excluding the initial pages) exceeds 250, the candidate should get it printed on both sides of paper.)
- The students are advised to restrict the total number of References to less than 200.
- The synopsis should be soft bound (preferably spiral bound) while the final thesis should be hard bound.
- The Guide and Co-guides have to be given a final copy of the Thesis.
- A final copy of the Thesis should also be given to the Ph.D. cell.

#### ***General Outline for Thesis Write-Up***

##### **Size and copies:**

The Thesis should be submitted in A4 size bond paper and 4 copies of the thesis and synopsis are required to be submitted to the Ph.D. Programme Coordinator along with panel of Examiners (sealed cover) duly signed by supervisor and co-supervisor. Photocopy/Print of the final copy should be such that it ensures consistent quality without grey or dark casts to the background.

The thesis submission form should be filled and submitted along with the necessary fee and enclosures.

The electronic version of thesis is to be submitted in CD in PDF form. A Candidate should keep a copy with him/her.

##### **General Compilation:**

##### ***Paper***

White A4 size Bond paper should be used for the preparation of the Thesis.

##### **Margins**

Margins on the blinding edge must be 1.5 inches and all other margins must be one inch i.e. the lay-out should provide

**1.5 inch** on the left side, **1 inch** on top and bottom **1 inch** on the right side.

(Pagination, headers and/or footer may be placed within the margin, but no closer than one-



## **Text Format**

### **Typeface**

For the body of the thesis, typing should be done on the 12 font size letter, **Calibri**. The font colour should be Black. Script or ornamental fonts should not be used. Print must be letter quality. Accent marks and hand annotation (if necessary) must be done, neatly in black ink.

The preceding and following space should be not less than the space between paragraphs The headings should not be centred - except possibly for chapter headings.

### **Heading Numbering**

If heading numbering is required, it should be in the format as below – For e.g. for Chapter 1

- 1. Heading1
- 1.1. Heading2
- 1.1.1. Heading3

### **Headers**

Headers are desirable but not essential. It helps to identify source of a single page or particular chapters. The headers should include chapter number and/or chapter heading. The font size should be 10 pts.

The header should not be present on the preliminary pages or chapter openings. They may also be omitted from pages with full page illustrations.

### **Object Numbering**

The tables, figures and equations should each follow a separate sequence of numbering Arabic numerals should be used in numbering.

Below the object, the Chapter number should be included as given. For e.g. Fig. 1-4 (Figure 4 in Chapter 1). The font size for figure and table captions may be 10 pts.

### **Tables and Figures**

Each Table should carry a title clearly describing the data presented alongside the number as mentioned above. The caption for the tables should be at the top of the tables.

Similarly, each Figure/Illustration should carry a caption that clearly describes the nature of data presented alongside the number as mentioned above. The caption should be at the bottom of the Figure.

All figures and tables should be numbered consecutively throughout, in the order in which they are placed in the text. The Figures, Graphs, Tables should be embedded in the text of the thesis,



immediately after the first mention of it in the text, on the same page if there is room, or on the following page.

Captions and titles of Figures and Tables should appear on the same page as the material itself.

All Tables and Figures must be referred to in the text by numbers and not by a phrase such as "the following table". Tables or Figures of peripheral importance to the text may be placed in an Appendix.

### References

- All publications cited in the thesis should be presented in a list of references following the text.
- Scholars are expected to restrict the total number of references to 200.
- Citation of References in the text should be given by author's last name (no initials) followed by the year. When two or more citations are given, list them in chronological order. When there are two authors, include both names, separated by "&"; when there are three or more names, give only the first author followed by "et al." If there are two or more papers by the same author(s) in the same year, identify them by "a", "b", etc. (and be sure to include the identifying letters in the Reference List).
- All References cited in the text (including those included in figure legends and tables) should be listed in References.
- The References should be started on a separate page, and citations should be arranged in alphabetical order by the first author's last name; The citations should not be numbered. All the authors should be listed (the term "et al." SHOULD NOT be used in the reference list). When there are two or more references to the same author(s), they should be listed in chronological order.
- References should be written as per Standard reference formats eg. APA (American Psychological Association) (**Preferred**) or any uniform commonly used format as MLA (Modern Language Association) or Chicago.

It is recommended to use bibliographic tools as Endnotes, Bookends or Zotero (Open Access) to maintain uniformity in the formats.

One example of each of the referencing are given below for reference:

#### Journal

Gopinath B., Radhakrishnan K., Sarma P.S., Jayachandran D., Alexander A. (2000). A questionnaire survey about doctor-patient communication, compliance and locus of control among South Indian people with epilepsy. *Epilepsy Res.* 39: 73-82.

#### Chapter in a Book

Wenzel H.J., Schwartzkroin P.A. (2006). Morphologic approaches to the characterization of epilepsy models. In: Pitkanen A, Schwartzkroin PA, Moshe SL (eds) *Models of seizures and epilepsy*, Elsevier Academic Press, San Diego, pp. 629-652.

**Book**

Pechenik J.A. (1987). A short guide to writing about biology. Harper Collins Publishers, New York.

**Book in a series**

Bhattacharjee M. (1998). Notes of infinite permutation groups, Lecture notes in mathematics no.1698, Springer, New York.

**Encyclopaedia articles**

Varley D.H., Immelman R.F.M. (1972). Libraries. Standard Encyclopaedia of Southern Africa, vol.6, p.618-619.

**Thesis/dissertation**

Smithers R.H.N. (1997). The mammals of Botswana. DSc thesis. University of Pretoria.

**Conference proceedings**

Bourassa S. (1999). 'Effects of child care on young children', Proceedings of the third annual meeting of the International Society for Child Psychology, International Society for Child Psychology, Atlanta, Georgia, pp. 44-6.

**Citations from Internet**

The following elements in sequence must be considered:

Author (if known), Date of publication/last updated, Title of article or document on website Type of medium [Online], Available from (website), Access date in brackets

Harris P. (2005). Reaching the top of the mountain. [Online]. Oxford University Press: Oxford. Available: <http://www.netLibrary.com/openbook/093456/html> [Accessed 8 January 2008]

Useful tips for referencing. [Online]. Available: <http://www.referencetips.org.za> [Accessed 5 November 2008].

Lawrence J.J. (2005). Cholera epidemics in central Africa. The Times, 26 June 2005. [Online]. Available:

<<http://thetimes.com>> [Accessed 27 June 2005].

**Patents**

Author(s) of patent – surname and initials Year of issue, Title of patent- italicized, Number of patent including country of issue

Cookson A.H. (1985). Particle trap for compressed gas insulated transmission systems, US Patent 4554399.

**Evidence of Publication**

At the end of the thesis, reprint of published papers or acceptance letters with manuscripts should be enclosed.



John Doe

Ph.D.

Science  
2023

## Binding

The Thesis shall be properly bound, using hard cover of **NAVY BLUE color**. The bound front cover should indicate in **WHITE/SILVER Embossed** letter with the following (also refer to the format of Cover page and title page for font and spacing guidelines):

1. Title
2. Name of the candidate
3. Registration No
4. Name of the Faculty/School in which the thesis is being submitted (e.g. School of Engineering.)
5. Brainware University Logo
4. Bottom: Department of \_\_\_\_\_, Brainware University, Barasat, Month and year of submission
5. Two plain blank papers should be provided at the beginning and at the end.

On the cover of the report along its thickness, the following matter shall be placed: Brainware University Logo, Thesis Title, name of the scholar, degree name (Abbreviated e.g. Ph.D.), department, and year of graduation.

## Arrangements of the Contents of a Thesis

1. The sequence in which the Thesis material should be arranged and bound should be as follows:
2. Title Page (Refer Template in the following pages)
3. Declaration by the student (Refer Template in the following pages)
4. Certificate by the Supervisor and Co-supervisor (if any) (Refer Template in the following pages)
5. Acknowledgement
6. Abstract
7. Contents
8. List of Figures
9. List of Tables
10. List of Symbols, Abbreviations and Nomenclature
11. Main body of the Thesis (all chapters, conclusion and summary)
12. References
13. Appendices (if any)
14. Publications by the scholar related to the thesis



15. Reprints of the publication (Optional)

16. CV of the student (Optional)

### **Arrangement of Chapters**

The suggested format for arranging the Thesis chapters is as follows. However, the following information is meant to serve as a general suggestion and not as a rigid prescription. The supervisor and the student may decide how this part of the dissertation should be structured.

1. Introduction
2. Literature Survey
3. Theoretical analysis
4. Materials and Methods
5. Results & Discussion
6. Summary
7. References
8. Appendices (if any)

### **Basic format and Content of the general pages**

#### **Cover Page Format (Next Page)**



**Format of the outer cover of the Doctoral Thesis as an example**

**TITLE of Thesis**

<Font Style: ALL IN CAPITALS FONT SIZE 18, BOLD, Tebruchet MS, CENTRE, 1.5 LINE SPACING>

**A THESIS**

**Submitted to the School of.....in Partial  
Fulfilment of the Requirements for Award of the Degree of**

< FONT SIZE 14, ARIAL, CENTRE, 1.5 line SPACING>

**DOCTOR OF PHILOSOPHY**

**In**

**SCIENCE (COMPUTER SCIENCE)**

< FONT SIZE 16, ARIAL, CENTRE, 1.5 LINE SPACING>

**By**

**“Name of the candidate”**

**Under the Supervision of**

**“Name of the Supervisor”**

< FONT SIZE 16, ROCKWELL, CENTRE, 1.5 LINE SPACING>



**DEPARTMENT OF .....  
BRAINWARE UNIVERSITY  
BARASAT, KOLKATA  
MONTH & YEAR OF SUBMISSION**

< FONT SIZE 16, ARIAL, CENTRE, SINGLE LINE SPACING>

# APPENDICES

(FORMS AND CERTIFICATES)



**BRAINWARE UNIVERSITY**

398, Ramkrishnapur Road, Barasat, North 24 Parganas, Kolkata - 700 125

**Ph.D. ENROLMENT AND COURSE FINALIZATION FORM**

Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Admission No.: \_\_\_\_\_

UG Degree			PG Degree		
Discipline & Name of Degree	Year of Passing	% of marks	Discipline & Name of Degree	Year of Passing	% of marks

Any other Degree: \_\_\_\_\_

Proposed Area/title of work: \_\_\_\_\_

**Proposed Supervisor(s):**

Name: \_\_\_\_\_ Dept.: \_\_\_\_\_

Designation: \_\_\_\_\_ Sign.: \_\_\_\_\_

Name: \_\_\_\_\_ Dept.: \_\_\_\_\_

Designation: \_\_\_\_\_ Sign.: \_\_\_\_\_

Name: \_\_\_\_\_ Dept.: \_\_\_\_\_

Designation: \_\_\_\_\_ Sign.: \_\_\_\_\_

**Proposed Course work:**

Sl. No.	Name of the Subject	Subject Code	Credits
<b>Total Credits</b>			

I hereby undertake to abide by all rules, regulation, norms and all academic requirements of the University as applicable from time to time.

\_\_\_\_\_  
(Endorsement of the Head with Date)

\_\_\_\_\_  
(Signature of the Candidate with Date)



## Ph.D. REGISTRATION FORM (FORMAT)

(To be submitted with Doctoral Research Proposal/Synopsis (Annexure V))

To

The Ph.D. Programme Coordinator  
Brainware University Barasat 700125.

**Sub: Proposed plan of work and approval**

Dear Sir,

Enclosed herewith is the detailed outline of the proposed plan of work relating to the Ph.D. Programme, for final approval by the Research Board. The proposed title of the plan of work is: \_\_\_\_\_

\_\_\_\_\_

I propose the following as my Supervisor And co-supervisor, IF ANY, as approved by the DRC in enclosed evaluation form.

\_\_\_\_\_

Date of Enrolment : \_\_\_\_\_

The following place and organisation for my research work may also be approved, if applicable

:Place: \_\_\_\_\_

Organisation: \_\_\_\_\_

Date \_\_\_\_\_

Yours faithfully,

(Signature of the Student)

Name of the Student:: \_\_\_\_\_

Student Code: \_\_\_\_\_

### Recommendations of the Proposed Supervisor(s):

I have scrutinized the proposed topic of research and I agree to act as his supervisor. I shall conduct thesis and other components of the Ph.D. programme of the candidate as per provisions of the Academic Regulations of BWU.

Date: \_\_\_\_\_

(Full Signature of proposed supervisor)

Date: \_\_\_\_\_

(Full Signature of proposed co-supervisor)

---

### **Recommendations of the Chairman of DRC with signature and date**

Date: \_\_\_\_\_

(Full Signature of Ph.D. Programme Coordinator)



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APPENDIX III

**CONSENT OF Co-SUPERVISOR'S ORGANISATION PERMITTING HIM/HER TO ACT AS SUPERVISOR**

*(To be provided on the letterhead)*

**CERTIFICATE**

This is to inform that we have no objection in case our Dr. \_\_\_\_\_  
(Name of the Proposed Supervisor), Designation \_\_\_\_\_ extends assistance and supervision  
to Shri/Ms. \_\_\_\_\_ (Name of Student) in his/her research work  
towards Ph.D. degree of Brainware University on the topic \_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_.

Place: \_\_\_\_\_.

Signature of Head/Controlling Officer of  
the Organisation with the official Seal

(Full Name & Designation)



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## APPENDIX IV

### **Consent of the Organisation proposed as Place of Research Work** *(To be provided on the letterhead if part time scholar performing work at outside organization)*

#### **CERTIFICATE FROM THE ORGANISATION**

Shri/Ms. \_\_\_\_\_ registered in the Ph.D. programme of Brainware University is also permitted to carry out his/her research work at \_\_\_\_\_ (Name of the organization and place). The available infrastructural and technical facilities needed for his/her research work are accessible to him/her. The proposed research work by the candidate will professionally benefit the organization.

Date: \_\_\_\_\_.

(Signature of the Head/Controlling Officer of the Organization)

Full Name & Designation



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APPENDIX V

## EVALUATION FORM FOR PRE-REGISTRATION SEMINAR

Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Enrolment No.: \_\_\_\_\_

Date Held: \_\_\_\_\_ Time: \_\_\_\_\_ Venue: \_\_\_\_\_

Proposed Title: \_\_\_\_\_

### **Evaluation by Subject Experts** (extra sheets of comments may be attached as given in the next page)

Sl. No.	Evaluation Criteria	Max. Marks	Marks Awarded
1.	Importance and Relevance of the Topic	10	
2.	Content/Material Presented		
	(a) Content of the topic	10	
	(b) Flow/Sequence of the topic presented	10	
3.	Literature review and it's relevance to the topic		
	(a) Proper identification of the gaps in the previous research	15	
	(b) Analysis of the available research	10	
4.	Overall Presentation		
	(a) Plan/Methodology of the work	15	
	(b) Audio-visual aids	05	
	(c) Presentation of Figures/Table/Charts/Data	10	
5.	Q & A /Discussions	15	
<b>Total Marks</b>		<b>100</b>	

Signatures of all members (Details overleaf)

( ..... Cont'd)



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### Comments Sheet

Sl. No.	Evaluation Criteria	Comment/Remarks (if any)
1.	Importance and Relevance of the Topic	
2.	Content/Material Presented (a) Content of the topic (b) Flow/Sequence of the topic presented	
3.	Literature review and its relevance to the topic (a) Proper identification of the gaps in the previous research (b) Analysis of the available research	
4.	Overall Presentation (a) Plan/Methodology of the work (b) Audio-visual aids (c) Presentation of Figures/Table/Charts/Data	
5.	Q & A /Discussions	
6.	Any other Suggestions	

#### Signature(s):

	Name	Signature
1.	Supervisor	_____
2.	Co-Supervisor	_____
3.	Internal DRC Members	_____
4.	External Examiner1	_____
5.	External Examiner2	_____
6.	Head of the Dept.	_____
7.	Coord. – Res. & Project	_____
8.	Ph.D. Prog. Coord.	_____



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APPENDIX VI

**HALF-YEARLY PROGRESS EVALUATION REPORT**

Scholar Name: \_\_\_\_\_

School : \_\_\_\_\_

Department: \_\_\_\_\_

**Evaluation Report(I/II/III/IV/V/VI)**

Date: \_\_\_\_\_

Progress review for Semester/Months (From-to): \_\_\_\_\_ to \_\_\_\_\_

Registration number: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Tuition fee paid (current sem): YES/NO (Receipt enclosed)

Ph.D. Topic/Area: \_\_\_\_\_

Details of the work done during the review period: *(Report to be attached as extrasheet)*

Paper Published/Communicated/Presented till date: *(Attach extra sheet)*

SCI: \_\_\_\_\_; SCOPUS: \_\_\_\_\_; SSCI: \_\_\_\_\_; Peer reviewed/UGC listed journals: \_\_\_\_\_

Conference: \_\_\_\_\_

Remarks/Suggestions (if any):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Recommendations: SATISFACTORY/NOT SATISFACTORY (Re-Review)/DE-REGISTRATION.

Evaluation Committee(Signature):

	<b>Name</b>	<b>Signature</b>
1. Supervisor	_____	_____
2. Co-Supervisor	_____	_____
3. Internal DRC Members	_____	_____
4. External DRC Member 1	_____	_____
5. External DRC Memembr 2	_____	_____
6. HoD	_____	_____
7. Coord. – Res. & Project	_____	_____
8. Ph.D. Prog. Coord.	_____	_____



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**APPENDIX VII**

**APPLICATION FOR THE CHANGE OF TITLE**

Scholar Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Course work Completion date: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Date of Last progress review: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_ Name of Co-supervisor: \_\_\_\_\_

Designation: \_\_\_\_\_ Designation: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

Current Title: \_\_\_\_\_  
\_\_\_\_\_

Proposed Title: \_\_\_\_\_  
\_\_\_\_\_

Reason/Justification for the Change (Attach Separate sheet for detailed explanation): \_\_\_\_\_  
\_\_\_\_\_

(Signature of the Student with date)

Recommendations by Supervisor(s)/DRC: \_\_\_\_\_  
\_\_\_\_\_

	Name	Signature
1. Supervisor	_____	_____
2. Co-Supervisor	_____	_____
3. DRC Member 1	_____	_____
4. DRC Member 2	_____	_____
5. DRC Member 3	_____	_____
6. DRC Member 4	_____	_____
7. HoD	_____	_____
8. Coord. – Res. & Project	_____	_____
9. Ph.D. Prog. Coord.	_____	_____



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APPENDIX VIII

**APPLICATION FOR CHANGE OF TOPIC**

Scholar Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Course work Completion date: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Date of Last progress review: \_\_\_\_\_

Current Topic in full (Registered): \_\_\_\_\_

\_\_\_\_\_

Proposed Topic: \_\_\_\_\_

\_\_\_\_\_

Reason/Justification for the Change: (**Attach extra sheet if necessary, signed by the candidate and the Supervisor(s)**)

\_\_\_\_\_

\_\_\_\_\_

**Declaration by the Student:**

I hereby understand that any further request for change of Topic will not be permitted by the University and further that a change of research topic entails a one-year delay in the submission of the thesis effective from the date of change.

\_\_\_\_\_  
(Signature of the Student with date)

\_\_\_\_\_  
(Signature of the Supervisor with date)

\_\_\_\_\_  
(Signature of the co-supervisor with date)

Recommendations of DRC: \_\_\_\_\_

	Name	Signature
1. Supervisor	_____	_____
2. Co-Supervisor	_____	_____
3. DRC Member 1	_____	_____
4. DRC Member 2	_____	_____
5. DRC Member 3	_____	_____
6. DRC Member 4	_____	_____
7. HoD	_____	_____
8. Coord. – Res. & Project	_____	_____
9. Ph.D. Prog. Coord.	_____	_____



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**APPENDIX IX**

**APPLICATION FOR CHANGE/ADDITION OF SUPERVISOR**

Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Course work Completion date: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Date of Lastprogress review: \_\_\_\_\_ CourseworkSGPA: \_\_\_\_\_

Name of Supervisor (*Existing*):

Name of Co-supervisor (*Existing*):

\_\_\_\_\_

Designation: \_\_\_\_\_ Designation: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

Proposed Supervisor (*New*):

Proposed Co-supervisor (*New*):

\_\_\_\_\_

Designation: \_\_\_\_\_ Designation: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

Date of Change effect from: \_\_\_\_\_

Reason/Justification for the Change/Addition:

\_\_\_\_\_  
\_\_\_\_\_

Enclosures (ifany): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
(Student's Signature with date)

Recommendation of Supervisors: \_\_\_\_\_

\_\_\_\_\_

Contd.



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\_\_\_\_\_  
(Signature of Existing Supervisor with Date)

\_\_\_\_\_  
(Signature of Existing Co-supervisor with Date)

\_\_\_\_\_  
(Signature of Proposed Supervisor with Date)

\_\_\_\_\_  
(Signature of Proposed Co-supervisor with Date)

Recommendation of DRC: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Chairman, DRC with date)

Date: \_\_\_\_\_

**(Full Signature & Stamp of Ph.D. Programme Coordinator)**



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**APPENDIX X**

**APPLICATION OF EXTENSION FOR SUBMISSION OF THESIS**

Name: \_\_\_\_\_ School: \_\_\_\_\_

Department: \_\_\_\_\_ Specialization: \_\_\_\_\_

Date of Admission: \_\_\_\_\_ Course work Completion date: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Date of Lastprogress review: \_\_\_\_\_ Date of Pre-submission seminar: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_ Name of Co-supervisor: \_\_\_\_\_

\_\_\_\_\_

Designation: \_\_\_\_\_ Designation: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

Date of Extension Requested: \_\_\_\_\_

Any Previous Extension Granted: YES/NO \_\_\_\_\_ If yes, date of extension granted till: \_\_\_\_\_

Reason(s) for Extension:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Student's Signature with date)

**Supervisor(s) Recommendation:**

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Signature of Supervisor with date)

\_\_\_\_\_  
(Signature of Co-supervisor with date)

**Recommendation of DRC:**

\_\_\_\_\_

\_\_\_\_\_  
(Signature of DRC chairman with date & Stamp)

\_\_\_\_\_  
**Full Signature & Stamp of Ph.D. Programme Coordinator**



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APPENDIX XI

**PRE-SUBMISSION SEMINAR/SYNOPSIS EVALUATION REPORT**

School of: \_\_\_\_\_

Department of: \_\_\_\_\_

Specialization: \_\_\_\_\_

Name of the Candidate: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Registration Date: \_\_\_\_\_

Title of the Thesis: \_\_\_\_\_

\_\_\_\_\_ Date of Last Progress Review Seminar: \_\_\_\_\_ Pre-submission

Seminar date: \_\_\_\_\_ Time: \_\_\_\_\_ Venue: \_\_\_\_\_

**Supervisor(s):**

Name of Supervisor: \_\_\_\_\_ Name of Co-supervisor: \_\_\_\_\_

Department: \_\_\_\_\_ Department: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

**Report of the Panel of Examiners on the Pre-Submission Seminar:**

*[Please tick (✓) the appropriate options]*

The student submitted a comprehensive report of the research work carried out by him/her and made a Seminar presentation in front of the panel of examiners.

The work done by the student towards the degree of Doctor of Philosophy (Ph.D.) is, as of date, found to be:

**Adequate** for the submission of the Ph.D. Thesis, within six months of this date, incorporating the suggestions (if any) in consultation with his/her Supervisor.

**Inadequate** for the submission of the Ph.D. Thesis in its present form and major modifications are required. (A separate sheet should be attached (next page) for the detailed observations/suggestions of the examiners).

The student must incorporate the modifications suggested and give the Pre-Submission Seminar again.

Suggested Date of repeat Pre-submission seminar: \_\_\_\_\_

**Note:** Details of Publications and other outcomes of the work done in the Ph.D. Thesis work in the form of patents / awards / etc., if any may be attached as a separate sheet.

**Signatures of all members (Details overleaf)**



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**COMMENTS/REMARKS:**

<b>Signature:</b>	<b>Name</b>	<b>Signature</b>
1. Supervisor	_____	_____
2. Co-Supervisor	_____	_____
3. DRC Member 1	_____	_____
4. DRC Member 2	_____	_____
5. DRC Member 3	_____	_____
6. HOD	_____	_____
7. Coord. – Res. & Project	_____	_____
8. Ph.D. Prog. Coord.	_____	_____





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APPENDIX XIII

**APPLICATION FORM FOR SUBMISSION OF Ph.D. THESIS**

1. Name of the Candidate: \_\_\_\_\_

2. Enrolment Number & Date: \_\_\_\_\_

3. School: \_\_\_\_\_

4. Department: \_\_\_\_\_

5. Date of Registration: \_\_\_\_\_

6. Registration Number: \_\_\_\_\_

7. Name, Designation, Department, School, Mobile Number, E-mail of the Supervisor/Co-Supervisor(s):

i. \_\_\_\_\_

Email: \_\_\_\_\_ Mobile Number: \_\_\_\_\_

ii. \_\_\_\_\_

Email: \_\_\_\_\_ Mobile Number: \_\_\_\_\_

iii. \_\_\_\_\_

Email: \_\_\_\_\_ Mobile Number: \_\_\_\_\_

8. Date of Submission of Thesis: \_\_\_\_\_

9. Title of the Thesis: \_\_\_\_\_

10. Number of Peer-reviewed Journal Publications from the Thesis work: \_\_\_\_\_

11. Number of Conference Publications from the Thesis Work: \_\_\_\_\_

12. Evaluation Fee payment details:

Name of the Bank & Branch	Demand Draft No	Drawee-Branch No	Date of Issue



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13. Address for Correspondence: \_\_\_\_\_

Phone No. with STD Code \_\_\_\_\_ Mobile No. \_\_\_\_\_

E-mail ID \_\_\_\_\_

\_\_\_\_\_  
Signature of Research Scholar

\_\_\_\_\_  
Signature of Supervisor/Co-Supervisor(s)

\_\_\_\_\_  
Signature of Chairman, DRC

\_\_\_\_\_  
Full Signature & Stamp of Ph.D. Programme Coordinator

### CHECKLIST FOR ENCLOSURES:

1. Application form for Submission of the Thesis
2. DD of \_\_\_\_\_ in favour of Registrar, Brainware University, Barasat.
3. Certificate from the Supervisor (Appendix XVI)
4. Certificate from the Co-supervisor (if any)
5. Attested photocopy of Enrolment Certificate
6. Attested Photocopy of the Course Completion Certificate
7. Attested photocopy of Ph.D. registration certificate
8. Title Change/Confirmation Letter (if relevant)
9. Extension Letters (if relevant)
10. Supervisor Change letter (if relevant)
11. Plagiarism Verification Report Duly Signed by Supervisor/Head and Librarian with Seal (APPENDIX XIV )
12. Self-Plagiarism Exclusion Certificate (Appendix XV).
13. Research paper(s) in refereed journal(s) published/accepted at the time of thesis submission and two seminar/conference papers.  
(Attach Attested Hard Copy of Published Papers/Acceptance Letters (with paper of publication) & Student Name same as Registered in Brainware University)
14. 5 Copies of Thesis (Three Soft Bound (Cover) & One Hard Bound (Cover) Thesis Print Back to Back).
15. 5 Copies of Abstract (with full signature of the candidate) of the thesis with title of the thesis in good quality paper.
16. 5 CD's/A pen-drive (Chapter wise with Abstract in PDF) Write Name, Department & Supervisor Sign on CD.
17. One self-attested photocopy of the cover page of the hard copy of thesis.
18. Undertaking to upload Doctoral Thesis on SHODHGANGA Platform (Appendix XXIV)



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APPENDIX XIV

**PLAGIARISM VERIFICATION**

• Title of the Thesis: \_\_\_\_\_  
\_\_\_\_\_

• Total Page: \_\_\_\_\_ Scholar's Name: \_\_\_\_\_

• Supervisor Name: \_\_\_\_\_

• Department: \_\_\_\_\_

• University: \_\_\_\_\_

This is to report that the above thesis was scanned for similarity detection. The outcome is given below:

• Software Used: \_\_\_\_\_ Date: \_\_\_\_\_

• Similarity Index: \_\_\_\_\_ Total wordcount: \_\_\_\_\_

The complete report is submitted for review by the Supervisor/HoD.

Checked by

\_\_\_\_\_

(Name & Signature)

\_\_\_\_\_  
Librarian, Brainware University

The complete report about the above thesis has been reviewed by the undersigned.

*(Check the appropriate box)*

The similarity index is below accepted norms.

The similarity index is above accepted norms due to the following reasons:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

The thesis may be considered for further verification for the award of degree.

\_\_\_\_\_

Student

\_\_\_\_\_

Supervisor

**[Copy of the Software Report to be attached]**



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**SELF-PLAGIARISM EXCLUSION CERTIFICATE**

The contents of the Chapters \_\_\_\_\_ and \_\_\_\_\_ have been published in the following research articles.

Sl. No.	Research Article	Thesis Chapter

This/These published work(s) has/have been included in the thesis and has/have not been submitted for any degree to any University/Institute.

Name of the Candidate

\_\_\_\_\_  
Signature of the Candidate with date

Name of the Supervisor

\_\_\_\_\_  
Signature of the Supervisor with date



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**FORMAT OF CERTIFICATE TO BE GIVEN BY SUPERVISOR(S)**

**CERTIFICATE FROM THE SUPERVISORS**

This is to certify that this thesis entitled “.....**Title of Thesis** .....  
.....“ submitted for the degree of Doctor of Philosophy (PhD) at Brainware  
University, Barasat by .....**Name of Student**.....is the record of research work  
carried out by him/her during the period from .....**Month, year**... to.....**Month,**  
**year** .....under my/our guidance and supervision, and this work has not formed the basis  
for the award of any Degree, Diploma etc. in this university or any other university of .

Co-Supervisor’s Signature (If Any)

Supervisor’s Signature

Name

Name

Designation, Affiliation

Designation, Affiliation

Date:

Date:



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APPENDIX XVII

**FORMAT OF DECLARATION TO BE GIVEN BY THE CANDIDATE**

**DECLARATION**

I, .....**Name of candidate**....., declare that the work embodied in the Ph.D. thesis titled “.....**Title of Thesis**..... ” is my own bonafide work conducted under the supervision of .....**Name of Supervisor (s)**.....at Brainware University, Barasat, Department of .....**Name of Department**.....

I further declare that the matter embodied in this Ph.D. does not contain any work or part of any work which has been submitted for the award of any degree either in this university or in any other institute without proper citation, to the best of my knowledge.

I also declare that:

- I have successfully completed the required coursework as per Brainware University PhD regulations.
- I have also given a pre-submission seminar and successfully incorporated the changes suggested on the basis of feedback and comments received.
- I have also published two papers in peer-reviewed journal from my research work of the thesis and presented two papers in conferences and have produced evidence of the same in the form of reprints/certificates of presentation.

Date:

Signature of the Candidate

**(Name of the Candidate)**



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**PANEL OF EXAMINERS FOR Ph.D. THESIS REVIEW APPENDIX XVIII**

**(To Be Submitted in Sealed Envelope marked Confidential by Supervisor)**

Name: \_\_\_\_\_ Registration No.: \_\_\_\_\_

School: \_\_\_\_\_ Department: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_ Name of Joint Supervisor(s): \_\_\_\_\_

\_\_\_\_\_

Designation: \_\_\_\_\_ Designation: \_\_\_\_\_

Institute: \_\_\_\_\_ Institute: \_\_\_\_\_

Title of the Thesis: \_\_\_\_\_

**Names of Examiners with Addresses:** (Give fax / email address, if available)

The panel should have a list of six persons (not below the rank of a Professor), of which three external experts shall be from outside the state of West Bengal (Preferably from well-known Universities/institutes viz. NITs/IIMs etc.).

<p>1. Name:</p> <p>Present Position:</p> <p>Postal Address:</p>    <p>Phone/Mobile nos.:</p> <p>Email:</p>	<p>2. Name:</p> <p>Present Position:</p> <p>Postal Address:</p>    <p>Phone/Mobile nos.:</p> <p>Email:</p>
<p>3. Name:</p> <p>Present Position:</p> <p>Postal Address:</p>    <p>Phone/Mobile nos.:</p> <p>Email:</p>	<p>4. Name:</p> <p>Present Position:</p> <p>Postal Address:</p>    <p>Phone/Mobile nos.:</p> <p>Email:</p>



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<b>5. Name:</b> Present Position: Postal Address:  Phone/Mobile nos.: Email:	<b>6. Name:</b> Present Position: Postal Address:  Phone/Mobile nos.: Email:
---	---

\_\_\_\_\_  
(Signature of the Supervisor)

Date: \_\_\_\_\_

Place: \_\_\_\_\_



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APPENDIX XIX

**Ph.D. THESIS EVALUATION REPORT**

Name: \_\_\_\_\_ Registration No.: \_\_\_\_\_

School: \_\_\_\_\_ Department: \_\_\_\_\_

Title of the Thesis: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**Comments about the Thesis:**

**General features of the Thesis:**

i. Organization and get-up of the Thesis: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

ii. Whether quality of work is comparable with other universities of repute? YES/NO (Please tick)

iii. Whether the thesis has reflected any new ideas with original thoughts? YES/NO (Please tick)

**Detailed Comments (the examiner may attach separate sheets with detailed comments, if required):**

i. Corrections for punctuation, grammar, spelling, typographical errors or language: (Please tick)

None	Minor	Require Changes

ii. Technical content of the Thesis: \_\_\_\_\_

\_\_\_\_\_

iii. Highlights and strong/weak points in the thesis: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Other Suggestions:** (A detailed sheet may be attached by the examiner, if necessary)

(Cont'd.....



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**Specific Recommendations:** (Please tick the appropriate box)

- The thesis is acceptable in the present form for the award of the Ph.D. degree.
- The thesis is acceptable and the corrections, modifications, and improvement suggested by me may be incorporated in the thesis to the satisfaction of the oral board. The revised thesis need not be sent to me.
- The thesis needs technical improvement/modifications, which must be carried out to my satisfaction before I recommend the thesis for acceptance.
- The thesis is not acceptable for the award of Ph.D. degree.

\_\_\_\_\_  
(Signature of the Examiner)

Name of the Examiner: \_\_\_\_\_

Designation: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

E-mail: \_\_\_\_\_



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APPENDIX XX

**Ph.D. VIVA-VOCE EVALUATION REPORT**

Name: \_\_\_\_\_ Registration No.: \_\_\_\_\_

School: \_\_\_\_\_ Department: \_\_\_\_\_

Date Held: \_\_\_\_\_ Venue: \_\_\_\_\_ Time: \_\_\_\_\_

Title of the Thesis: \_\_\_\_\_

The Candidate presented his/her work identifying major contributions made and thereafter was examined by the members of the Viva – voce Board. Specifically, the questions/clarification raised by all the thesis examiners were asked.

The audience present also asked questions.

Based on the thesis defense, the overall recommendation on the thesis is as follows: *(Please tick the appropriate box)*

**Candidate Passes**

- The Thesis is worthy of a PhD degree.
- The suggestion made have been addressed to properly. The Thesis is thus worthy of a PhD degree.

**Candidate re-sits the Evaluation**

- The Thesis requires major modifications as suggested, and the thesis must be sent to the examiners after changes have been incorporated.

**Candidate fails (reason detailed in viva-voce proceedings)**

- The Thesis is not worthy of a PhD degree.

	Name	Signature
1. Supervisor	_____	_____
2. Co Supervisor	_____	_____
3. DRC Member	_____	_____
4. DRC Member 2	_____	_____
5. External Examiner 1	_____	_____
6. External Examiner 2	_____	_____
7. HOD	_____	_____
8. Coord. – Res. & Project	_____	_____
9. Ph.D. Prog. Coord.	_____	_____



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APPENDIX XXI

### **Enrolment Certificate for Admission to Ph.D. Programme**

This is to certify that Sri Aishik Chatterjee has been enrolled as a Ph.D. scholar in the Department of Management under the School of Management and Commerce, Brainware University.

The Enrolment number is BWU/PMG/24/001, dated 3<sup>rd</sup> September 2024.

Supervisor (Name, Designation, Department): Dr. Indrajit Ghosal, Associate Professor, Department of Management, Brainware University.

Co-Supervisor (Name, Designation, Department): Dr. D. Sudarsana Murthy, Professor, Department of Management, Brainware University.

Registrar

(Signature with Official Seal)

Head of the Department

(Signature with Official Seal)

Name of The Department



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APPENDIX XXII

### COURSEWORK COMPLETION CERTIFICATE

This is to certify that Sri. /Smt. \_\_\_\_\_, on being enrolled under the Brainware University Ph.D. programme as “Ph.D. Scholar” on \_\_\_\_\_ (date of Ph.D. Enrolment) in the School of \_\_\_\_\_ under the Department of \_\_\_\_\_ (Subject/Department) under the Ph.D. rules, regulations and guidelines outlined in Brainware University Ph.D. Programme framed in consonance with U.G.C regulations 2022 and has successfully completed his/her Course Work on \_\_\_\_\_ (date).

\_\_\_\_\_  
Registrar (Signature with Official Seal)

\_\_\_\_\_  
Head of the Department (Signature with Official Seal)

[Department Name]



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APPENDIX XXIII

**FORMAT OF CONSENT LETTER FOR PART-TIME SCHOLARS FROM THE ORGANIZATION**

*(To be provided on the letterhead)*

**No –Objection Certificate**

This is to certify that we have no objection in case our employee Mr./Ms. \_\_\_\_\_  
\_\_\_\_\_(Name of the candidate),  
working as \_\_\_\_\_(Designation) at \_\_\_\_\_  
(Name of Organization) in pursuing part-time Ph.D. Programme at Brainware University,  
provided his schedule of duties within our organization is not disturbed.

Date:\_\_\_\_\_.

Place:\_\_\_\_\_.

Signature of Head/Controlling  
Officer of the Organisation  
with the official Seal

(Full Name & Designation)



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APPENDIX XXIV

**Undertaking to Upload the Doctoral Thesis on the SHODHGANGA Platform**

Name of the Scholar and Registration Number : .....

ORCID ID : .....

School : .....

Department : .....

Programme : .....

Research Supervisor : .....

Research Co-supervisor (s) : .....

Title of the Thesis : .....

Date of submission : .....

Key words (up to five) - Optional

- |    |    |    |
|----|----|----|
| 1. | 2. | 3. |
| 4. | 5. |    |

**Undertaking**

I hereby authorize Brainware University to upload the above thesis at Shodhganga repository vide UGC PhD regulations 2022, Clause no. 17

**Date:**

**Place:**

**Signature (Name of the Research Scholar)**

**Signature & Date**

**Research Co-Supervisor**

**Signature & Date**

**Research Supervisor**



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APPENDIX XXV

**UNDERTAKING BY FULL-TIME RESEARCH SCHOLAR OF BRAINWARE UNIVERSITY PhD PROGRAMME**

Dt. : \_\_\_/\_\_\_/\_\_\_

Name of Scholar : \_\_\_\_\_  
Enrollment Number/: \_\_\_\_\_  
PhD Programme : \_\_\_\_\_

I, hereby, present the following undertaking:

- a) I am enrolled at Brainware University PhD Programme September 2024 as a Full Time Scholar.
- b) (i) I am not employed anywhere currently. Therefore, I will not be required to furnish a No Objection Certificate (NOC) at present.

**OR**

(ii) I am employed at \_\_\_\_\_ and have been granted lien for pursuit of PhD Programme at Brainware University. I will produce the relevant NOC.

**(Strike out whichever is not applicable)**

- c) I will attend the university daily on all working day and mark my attendance in the department verified by supervisor and head of the department.
- d) At any time during my PhD I take up an employment and switch to part-time mode I will provide the NOC from my employer, promptly.

If the information provided by me is/ are found to be false/ untrue, at any point of time, and decision taken by Brainware University will be final

Signature of the Research Scholar

Date and Place



## **Addendum**

**to**

### **Brainware University Ph.D. Regulations version 3 wef 01.11.2025**

In continuation of the Brainware University Ph.D Rules regulations 2024 version 3 a clause for transfer of scholars from other universities/Institutes is added as follows. This addition is effective from 16.02.2025.

#### **18. Transfer of the Research Scholars Enrolled/Registered with Other Recognized Universities/Institutions and Credit transfer of Course Work**

The Brainware University will allow students enrolled/registered in other university/Institute of Higher education recognized by UGC only through its admission procedure as outlined in clause 4.2 of BWU Ph.D. Regulations. Such students will only be enrolled in the corresponding admission cycle as advertised on university website.

Such students if they have completed Ph.D. Course work in other university and have submitted certificate of completion of course work may be exempted from taking coursework at Brainware university. However, this is subject to the affirmative recommendation and equivalence clearance of the concerned DRC based on the evaluation of equivalence of the courses done and kind assent of the Vice-Chancellor. The credits of equivalent course work shall be transferable between universities, but any deficit subjects from that outlined in Brainware University coursework in Clause 7 of BWU Ph.D. Regulations will have to be undertaken and cleared within the time period of course work.



## Amendment to Brainware University PhD Programme Version 3 (w.e.f. 22.03.2025)

### Amendment 1. Clause 5

#### CURRENT:

A candidate selected for Ph.D. Programme will submit his/her application for enrolment (**Appendix 1: PhD Enrollment and Course Finalization form**) to the Head of the concerned department along with the following documents:

- (i) Enrolment Fee and course work fees as prescribed at the time. The fee structure maybe modified by the University from time to time.
- (ii) Self-attested photo copies of certificates of 10th, +2, Bachelor's Degree, DMC of Master's Degree, Master's Degree, M.Phil/NET Certificate etc.
- (iii) Migration Certificate, if the candidate is not already registered with BWU.
- (iv) NOC from the concerned Employer (in case of employed part time candidates as described above, Clause 2.iv).

#### AMMENDMENT:

Additional self-declaration document to be submitted by full-time scholars.

- (v) **Undertaking by the Full-Time Research Scholars of Brainware University PhD Programme (Annexure XXV)**

### Amendment 2. Clause 6.vi

#### CURRENT:

- vi. The allocation of supervisor for a selected student shall be recommended by the concerned DRC, within one month of enrolment, if not allotted at the time of enrolment. The request of the student and the consent by a faculty member to be the supervisor will be given due consideration by DRC while recommending the supervisor of student to DRC and Research Degree Board (RDB) for approval.

#### AMMENDMENT:

The allocation of supervisor for a selected student shall be recommended by the concerned DRC **before the commencement of coursework classes for the session**, if not allotted at the time of enrolment. The request of the student and the consent by a faculty member to be the supervisor will be given due consideration by DRC while recommending the supervisor of student to DRC and Research Board (RB) for approval.

### Amendment 3. Clause 6.vii

#### CURRENT:

- vii. The Faculty to be assigned as co-supervisor from outside Brainware University/other Departments of Brainware University has to be recommended by the DRC after due consideration of the eligibility criteria outlined above. The intending co-supervisor has to submit the resume and NOC from the concerned organization on the letter head as per Appendix III. The said recommendation should finally be approved by the Chairman of the Research board.

**AMMENDMENT:**

vii. The Faculty to be assigned as co-supervisor from outside Brainware University/other Departments of Brainware University has to be recommended by the DRC after due consideration of the eligibility criteria outlined **in clause 6.i and 6.ii** above..

The intending co-supervisor outside Brainware University has to submit the resume and NOC from the concerned organization on the letter head as per Appendix III with recommendation of the DRC to the Ph.D. Programme Coordinator. The said recommendation should finally be approved by the Chairman of the Research board.

The intending eligible co-supervisor from other Departments of Brainware University should submit an NOC duly recommended by the Head of the department where the co-supervisor is employed.

**Amendment 4. Clause 8****CURRENT:****. Registration to PhD Programme**

A candidate will generally be eligible for registration within two years of enrolment provided he/she has completed coursework under approval by his/her supervisor and the Departmental Research Committee (DRC). The said period, however, can be extended subject to the approval of the Vice- Chancellor on payment of additional fees.

**AMMENDMENT:****Registration to PhD Programme**

A candidate will generally be eligible for registration within **a maximum period of** two years of enrolment provided he/she has successfully completed the coursework and approved by his/her supervisor and the Departmental Research Committee (DRC). The said period, however, can be extended subject to the approval of the Vice- Chancellor.

**Amendment 5. Clause 15****CURRENT:****15. 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 Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

**AMMENDMENT:****15. 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 Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions. **The candidate will have to submit an “Undertaking to Upload the Doctoral Thesis on the SHODHGANGA Platform” (Appendix XXIV) that should include his/her ORCID ID at the time of submission of thesis.**



## **Amendment to Brainware University PhD Programme Version 2 and 3**

### **Amendment 1. Clause 8.1 (iv)**

#### **CURRENT:**

(iv) The student may however present his/her synopsis for Ph.D. registration during the period of Ph.D. course work. The department will, however, forward the cases for registration of such students to the office of Dean Research only after the student passes the course work. In such cases, the date of Ph.D. registration will be the date of passing the Ph.D. course work. However, in case of candidate who presents his/her synopsis after declaration of the result of course work, the date of registration shall be the date of meeting of the DRC in which his case is recommended for registration.

#### **AMMENDMENT:**

(iv) The student may however present his/her synopsis for Ph.D. registration during the period of Ph.D. course work in the DRC. The DRC on satisfaction will, however, forward the recommendation for registration of such students to the office of Ph.D. Programme Coordinator only after the student passes the course work. However, in case of candidate who presents his/her synopsis after declaration of the result of course work, the DRC on satisfaction will recommend candidate for registration to Ph.D. Programme Coordinator. In all cases, the registration will be done after completion of all formalities as outlined further in Clause 8.2. Registration.

### **Amendment 2. Clause 8.1 (xi)**

#### **CURRENT:**

(xi) Once the pre-registration seminar is over, the DRC will send its recommendations to the Research Board (RB) through Ph.D. Programme Coordinator for considering the suitability of the topic and final approval thereof. The DRC will also inform Research Degree Board about the cases rejected by it, if any. Once approved by the RB, the candidate is then permitted to apply for Registration in prescribed form (Appendix II).

#### **AMMENDMENT:**

(xi) Once the pre-registration seminar is over, the Ph.D. Programme Coordinator shall inform the decision of the Pre-Registration Seminar to the Registrar of the University through the Chairperson DRC. Based on the recommendations of the DRC about the Pre- registration seminar, the candidate is then permitted to apply for Registration (Appendix II) following the application procedure outlined below (Clause 8.2).