



# Aliyah University

## University Research Programme (URP)

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### E-GUIDELINES: ONLINE PRE-SUBMISSION SEMINAR

The pre-submission seminar may be presented only **after a minimum period of two years from the date of registration seminar of the research proposal and after three years from the date of admission/enrolment.**

#### **For the candidate:**

On completion of Ph.D. research work, the research scholar will apply for pre-submission seminar to the Convener and Chairperson of DSC through signed e-copy/ signed colour scan copy of **Form No. AU/URP: 4A**. The scholars must submit signed colour scan copy /soft copies of the List of Enclosures given in **Form No. AU/URP: 4A**. All signed colour scan/ e-copy documents to be submitted (via email) to the Convener and Chairperson of DSC.

The research scholar will submit a signed and dated e-copy (.pdf format) of synopsis of the thesis (around 5000 words) and self attested PhD Registration Certificate to the Convener and Chairperson of DSC. Format of synopsis of the thesis (around 5000 words) is given in the **Annexure**.

A PhD scholar must publish (or receive 'accepted for publication') at least one research paper in UGC CARE journal or Scopus indexed or Web of Science indexed journals and make two paper presentations in national/international conference/seminars **OR** at least two publications in UGC CARE journal or Scopus indexed or Web of Science indexed journals and one paper presentation in national/international conference/seminar, prior to the pre-submission seminar presentation. *[Requirement for publication in UGC CARE Journal or Scopus indexed or Web of Science indexed journals is effective from 14 June, 2019 as per Public Notice No. F.1-1/2-18(Journal/CARE) dated 16<sup>th</sup> September, 2019]*. Please keep, as proof, a screenshot of the Journal being in the approved list at the time of publication, as the CARE list is dynamic and may change later on. **Prior to 14<sup>th</sup> June 2019, publication can be in any UGC approved journal (UGC Journal No. to be given)]**.

E-conference presentations will be accepted but the research scholar must submit evidence for the same in the form of research paper presentation certificates and/or reprints. **Participation in webinars will not be acceptable.**

The research scholar must submit online evidence of research paper presentation certificates and/or reprints of publication (self attested with date) along with the filled and signed in **Form No. AU/URP: 4A** to the Chairperson and Convener of DSC.

Hard copies of the Synopsis of the thesis in given format, self-attested PhD registration certificate, evidence of research paper presentation certificates and/or reprints of publication (self attested with date) along with the filled and signed in **Form No. AU/URP: 4A** must be submitted once normalcy returns.

**For the DSC/DRC:**

***(a) Of scholars under AU PhD Regulation - 2017:***

After scrutiny of application form for pre-submission seminar (filled and signed in Form No. **AU/URP: 4A** and all enclosures) submitted by the scholar, DSC will recommend a panel of 3 (three) external experts (**Form No. AU/URP: 4B**) (not below the rank of Associate Professor), preferably local (Kolkata and adjoining areas) through DRC, duly approved by concerned Dean, to URP for selection by the Chairperson, BRS (*as per Amendment to Regulations for the Award of Degree of Doctor of Philosophy (Ph.D.), Doctor of Litt., Doctor of Sc. and Doctor of Law – 2017 of Aliah University vide 7<sup>th</sup> Academic Council meeting, dated 30.08.2020*).

***(b) Of scholars under both AU PhD Regulations - 2014 & 2017:***

After scrutiny of application form for pre-submission seminar (filled and signed in Form No. **AU/URP: 4A** and all enclosures) submitted by the scholar, DSC will announce/ notify well in advance (minimum 7 days before), organise an **open seminar** and invite **one external subject expert (in case of AU PhD Regulation-2017 only)**, all DSC members, all faculty members and scholars of the department/allied departments to online/offline/blended presentation. Registration link/URL for online presentation (in case of online and blended) will be notified on university website by the Department.

If the DSC is satisfied with the work, general seminar presentation and the minimum requirement of paper publication and paper presentation in seminar/conference, then the DSC will send the signed and dated e-report in prescribed format (**Form No. AU/URP: 4C**) and an e-copy of signed and dated approved synopsis through the DRC to the concerned Dean, who will forward it to URP for obtaining approval of Chairperson, BRS. The feedback or comments obtained in the seminar may be suitably incorporated into the thesis in consultation with the DSC. Hard copies of all documents to be submitted to URP cell once normalcy returns.

If the DSC is not satisfied with the quality of the work, the general seminar preparation of the candidate and the minimum requirement of paper publication and paper presentation in seminar/conference, the candidate will have to appear again for the seminar within a maximum period of one year. In that case, the candidate should follow the entire procedure same as the 1<sup>st</sup> attempt. If the candidate fails to satisfy DSC in the second attempt, the registration will be cancelled automatically.

If the DSC is satisfied and approved the report on pre-submission seminar, then the DSC will recommend a panel of 6 (six) thesis examiners (preferably Professor but not below the rank of Associate Professor, three from state and three from outside state) in given format (**Form No. AU/URP: 4E**). In this case, the supervisor (Convener of DSC) will submit a list of 6 (six) thesis examiners to the DSC in a given format (**Form No. AU/URP: 4D**) (preferably Professor but not below the rank of Associate Professor, three from state and three from outside state). The signed and dated forms will be sent through the DRC to the concerned Dean, who will forward it to URP for selection of thesis examiners by the Chairperson, BRS. The Chairperson, BRS will select two thesis examiners, at least one from outside the state, as external examiners and the supervisor and Co-supervisor (if any) will be internal examiner(s).

Hard copies of all the filled and signed in Forms (AU/URP: 4A, 4B, 4C, 4D, 4E) and all enclosures must be submitted to URP cell once normalcy returns.

## **Format of Synopsis of the Thesis (around 5000 words)**

General Instructions:

- Synopsis of the thesis (around 5000 words) should be in soft bound form.
- Channel file/spiral bindings are not Acceptable)

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### **Cover Page Template for the Synopsis of the Thesis**

**TITLE OF THE PHD THESIS**

Synopsis of the thesis submitted in partial fulfillment of the requirements for  
the degree of Doctor of Philosophy

**by**

**Name of the PhD Student**

**PhD Registration No.-XXXXXXXXXXXX**

**Under the guidance of**

**Name of the Supervisor**



**Name of the Department**

**Aliah University, Kolkata**

**Year**



# Aliah University

## Application for Pre-Submission Seminar

(To be filled-in by the candidate)

1. Name in full: \_\_\_\_\_
2. Enrollment/Ph.D. Registration No: \_\_\_\_\_ Date: \_\_\_\_\_
3. Department: \_\_\_\_\_
4. Date of Ph.D. Registration Seminar: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_
5. Name of Supervisor \_\_\_\_\_ Co-supervisor \_\_\_\_\_
6. Title of the Thesis: \_\_\_\_\_

7. Number of Research Paper Published in UGC CARE Journals/Scopus-indexed/Web of Science-indexed journals effective from 14 June, 2019 (after date of enrollment): \_\_\_\_\_

**OR**

Number of Research Paper Published in UGC Approved listed Journals prior 14 June, 2019 (after date of enrollment): \_\_\_\_\_

(Write details of publication in the format given in **Annexure**)

8. Research Paper Presentation in national and international Conference/Seminar (after date of enrollment):  
[Author(s) name (Surname, First name initials), (Date). *Title of Contribution*, Conference Name, Location. DOI or URL if applicable.] (**Attached copy of certificates, self attested**)

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

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

[Use separate sheet for submitting more than two presentations of research paper (Optional)]

**Note:** At least **one publication & two research paper presentations** OR at least **two publications & one research paper presentation** are required.

9. I, hereby, declare that,

i) The research work presented in the Synopsis of the Thesis is my own original work, and it has not been presented and will not be presented to any other University or Institute for Ph.D. or any other higher degree.

ii) I will submit my thesis **within six months** from the date of pre-submission seminar.

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

**Full Signature of the Candidate:** \_\_\_\_\_

<b>Certified by-</b> <b>Supervisor:</b> _____ <b>Co-Supervisor:</b> _____	_____ <b>Chairperson, DRC/DSC</b>
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**Enclosures:** (i) Photocopy of Ph.D. Registration certificate (self attested), (ii) Six copies of the Synopsis of Thesis (5000 words) in soft bound, (iii) Two copies of the Synopsis, e-signed by the Candidate and Supervisor(s) (.pdf file in CD), (iv) Reprints of published papers and national/international conference/seminar presentation certificates.

**Details of publications related to the topic of the Thesis (after date of enrollment)**

[Author(s) name (Surname, First name initials), (Year), Title of the paper, Journal Name, Vol., Pages] (**Attached copy of reprints**)

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

[UGC CARE Journals/ Scopus-indexed/ Web of Science/ UGC approved list (Journal number : \_\_\_\_\_)]

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

[UGC CARE Journals/ Scopus-indexed/ Web of Science/ UGC approved list (Journal number : \_\_\_\_\_)]

*[Use separate sheet for submitting more than 2 publication of research papers (Optional)]*

\_\_\_\_\_  
**Candidate**

\_\_\_\_\_  
**Supervisor**

\_\_\_\_\_  
**Co-Supervisor**



# Aliyah University

## List of Proposed Panel of External Experts by DSC to the Chairperson, BRS (Pre-Submission Seminar)

The DSC of Mr/Ms ..... Enrollment No. ....  
of the Department of ..... is proposing the list of External Experts  
of the same area of research for the pre-submission seminar of the scholar.

Date of Ph.D. Registration Seminar: \_\_\_\_/\_\_\_\_/\_\_\_\_

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

### **CERTIFICATE**

I /We certify that the persons proposed as External Experts are actively engaged in research in the field of work of the thesis. I /We further certify that none of the experts are collaborators or co-authors with any of us in any paper published with the content of this thesis work.

\_\_\_\_\_  
Supervisor (with date)

\_\_\_\_\_  
Co-Supervisor (with date)

**Enclosure:**

### **1. Proposed Panel of External Experts**

**Signature of the DSC Members:**

DSC	Name	Signature with date
Chairperson (Ex-officio)		
Convener (Supervisor)		
Member (Convener, DRC)		
Member (Invited) (Co-Supervisor)		
Subject Expert		
Subject Expert		

**Forwarded by-**

\_\_\_\_\_  
Dean of S&T / H&L

\_\_\_\_\_  
Coordinator/  
Jt. Coordinator, URP

**Proposed Panel of External Experts** [preferably local (Kolkata and adjoining areas)]

<b>*Order of Priority</b>	<b>Sl. No.</b>	<b>Name, Designation, Department and Affiliation</b>	<b>Contact Address, Email and Mobile No.</b>
	1.		
	2.		
	3.		

\* The order of priority to be assigned by the Chairperson, BRS

I appoint the External Experts for pre-submission seminar of Mr./Ms. ....  
with the above mentioned order of priority.

**Chairperson, BRS**





# Aliah University

## Report of Pre-Submission Seminar

(To be filled-in by the Department)

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

Name in full: \_\_\_\_\_

Enrollment/Ph.D. Registration No: \_\_\_\_\_ Date: \_\_\_\_\_

Date of Ph.D. Registration Seminar: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

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

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

Date of the Seminar: \_\_\_\_\_ Time: \_\_\_\_\_ AM/PM

### **Recommendations:**

We certify that,

1. The above candidate presented his/her research work in an Open Seminar in defense of his/her thesis in our presence in the University, Department of \_\_\_\_\_ /online.
2. The candidate has published \_\_\_\_\_ (no.) research papers in UGC CARE/Scopus indexed/Web of Science indexed journals (effective from 14<sup>th</sup> June, 2019) and presented \_\_\_\_\_ (no.) research papers in national/international Conference/Seminars.

### **OR**

The candidate has published \_\_\_\_\_ (no.) research papers in UGC-listed journals, Journal numbers \_\_\_\_\_ (prior to 14<sup>th</sup> June, 2019) and presented \_\_\_\_\_ (no.) research papers in national/international Conference/Seminars.

3. The Synopsis of the Thesis (5000 words): Approved / NOT Approved (If not approved, please annex reason)
4. The quality of research work and presentation of the candidate are **satisfactory/ NOT satisfactory** (If unsatisfactory, please annex reason)

### **Signed & Dated by:**

Designation	Name	Signature with date
External Subject Expert		
<b>DSC Members</b>		
Chairperson (Ex-Officio)		
Convener (Supervisor)		
Member (Convener, DRC)		
Member (Co-Supervisor)		
Subject Expert		
Subject Expert		

**Brief report of the Pre-Submission Seminar on the overleaf**

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Brief report on the candidate's depth of knowledge, quality of research work, performance of seminar presentation, paper publication and paper presentation:

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<u>Initial of the External Expert</u>	<u>Initials of the DSC Members</u>
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APPROVAL		
The pre-submission report may be approved.		The pre-submission report of the research work leading to Ph.D. degree is <b>Approved</b> / <b>NOT Approved</b> (please cite reason).
_____ <b>Dean</b> <b>Faculty of S&amp;T/ H&amp;L</b>	_____ <b>Coordinator /</b> <b>Jt. Coordinator, URP</b>	_____ <b>Chairperson, BRS</b>

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**Enclosures:** (i) Signed and Approved Synopsis of the Thesis (one hard copy)  
(ii) Soft copy of the Synopsis e-signed by the Candidate and Supervisor(s) (.pdf file in CD)  
(iii) Filled and Signed Forms AU/URP: 4A & AU/URP: 4C and all enclosures therein.



# Aliyah University

## Submission of the Names of Experts for Appointment as Thesis Examiners

(To be filled-in by the Supervisor)

1. Department enrolled in \_\_\_\_\_
  2. Name in full : \_\_\_\_\_
  3. Enrollment/Ph.D. Registration No: \_\_\_\_\_ Date: \_\_\_\_\_
  4. Date of Ph.D. Registration Seminar \_\_\_\_\_
  5. Date of Pre-submission Seminar \_\_\_\_\_
  6. Name of Supervisor \_\_\_\_\_ Co-supervisor \_\_\_\_\_
  7. Title of the Thesis \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

### **CERTIFICATE**

I/we certify that the persons proposed as the thesis examiners are actively engaged in research in the field of work of the thesis and are eligible as per the Ph.D. Regulations-2017 & 2014 of the University. That the work carried out by the student is original and satisfactory. I/We further certify that none of the examiners are collaborators or co-authors with any of us in any paper published with the content of this thesis work.

\_\_\_\_\_  
Supervisor (with date)

\_\_\_\_\_  
Co-Supervisor (with date)

Date:

\_\_\_\_\_  
Chairperson, DRC/DSC

Departmental Seal

**Enclosures:** Details of the Thesis Examiners (Preferably typed and printed)

**Note:** Department will submit Filled in and Signed Form Nos. AU/URP: 4D & AU/URP: 4E and all enclosures therein to the URP through the respective Dean of Faculty (in a sealed envelope).

**DETAILS OF THE EXTERNAL THESIS EXAMINERS**

**(Three from West Bengal and Three from Outside West Bengal)**

**(To be filled-in by the Supervisor)**

**External Examiner No.: 01**

**Outside West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)

**DETAILS OF THE EXTERNAL THESIS EXAMINERS**  
**(Three from West Bengal and Three from Outside West Bengal)**  
**(To be filled-in by the Supervisor)**

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**External Examiner No.: 02**

**Outside West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)

**DETAILS OF THE EXTERNAL THESIS EXAMINERS**  
**(Three from West Bengal and Three from Outside West Bengal)**  
**(To be filled-in by the Supervisor)**

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**External Examiner No. : 03**

**Outside West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)

**DETAILS OF THE EXTERNAL THESIS EXAMINERS**  
**(Three from West Bengal and Three from Outside West Bengal)**  
**(To be filled-in by the Supervisor)**

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**External Examiner No. :04**

**Within West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)

**DETAILS OF THE EXTERNAL THESIS EXAMINERS**  
**(Three from West Bengal and Three from Outside West Bengal)**  
**(To be filled-in by the Supervisor)**

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**External Examiner No.: 05**

**Within West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)



**DETAILS OF THE EXTERNAL THESIS EXAMINERS**

**(Three from West Bengal and Three from Outside West Bengal)**

**(To be filled-in by the Supervisor)**

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**External Examiner No.: 06**

**Within West Bengal**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.
Research profile and justification for recommendation (below in brief):			

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**Supervisor** (with date)

**DETAILS OF THE INTERNAL THESIS EXAMINER(S)**

((To be filled-in by the Supervisor))

**Internal Examiner: Supervisor**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.

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**Supervisor** (with date)

**DETAILS OF THE INTERNAL THESIS EXAMINER(S)**

(To be filled-in by the Supervisor)

**Internal Examiner: Co-Supervisor**

Name:			
Designation:			
Department:			
Institute:			
Address:			
Telephone:		Fax:	
Email:		Url:	http://www.

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**Supervisor** (with date)



# Aliah University

## List of Proposed Panel of Thesis Examiners Recommended by DSC to the Chairperson, BRS

(To be filled-in by the DSC)

1. Name in full : \_\_\_\_\_
2. Enrollment/Ph.D. Registration No: \_\_\_\_\_ Date: \_\_\_\_\_
3. Department enrolled in \_\_\_\_\_

### A. External Thesis Examiners:

Sl. No.	West Bengal Name, Designation and Affiliation	Sl. No.	Outside West Bengal Name, Designation and Affiliation
1.		1.	
2.		2.	
3.		3.	

### B. Internal Thesis Examiners:

Supervisor Name & Designation	Co-Supervisor (if any) Name, Designation and Affiliation

### Signature of the DSC Members:

DSC	Name	Signature with date
Chairperson (Ex-Officio)		
Convener (Supervisor)		
Member (Convener, DRC)		
Member (Co-Supervisor)		
Subject Expert		
Subject Expert		

### Forwarded by-

_____	_____
Dean of S&T / H&L	Coordinator / Jt.Coordinator, URP

**Note:** Department will submit this proposed Panel of Examiners with Filled in and Signed Form No. AU/URP:4D and all enclosures therein to the URP Section through the respective Dean of Faculty (in a sealed envelope).

## Appointment of Thesis Examiners

(The List of Examiners is same as recommended by the DSC)

(To be filled-in by URP)

I appoint the thesis examiners with the following order of priority for-

Mr./Ms./Mrs. \_\_\_\_\_

Enrollment/ Ph.D. Registration No. \_\_\_\_\_ Date: \_\_\_\_\_

Department enrolled in \_\_\_\_\_

### A. External Thesis Examiners (State and Outside the State)

Sl. No.	West Bengal Name, Designation and Affiliation	In order of Priority *	Sl. No.	Outside West Bengal Name, Designation and Affiliation	In order of Priority *
1.			1.		
2.			2.		
3.			3.		

\* The order of priority to be assigned by the Chairperson, BRS (at least one from outside of the state)

### B. Internal Thesis Examiner(s):

Supervisor Name and Designation	Co-Supervisor (if any) Name, Designation and Affiliation

Date:

\_\_\_\_\_  
Chairperson, BRS