



DRAVIDIAN UNIVERSITY

Srinivasavanam, Kuppam – 517 426

Ph.D REGULATIONS : 2021-2022 Admissions onwards

(Modified based on the University Grants Commission's (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) Regulations, 2016, dated 05th May, 2016 and University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, dated 23rd July, 2018 and APSCHE's Report of the Committee on Research Regulations for M.Phil/Ph.D Programmes.

Note: The Candidates who were admitted prior to these regulations remain under old regulations concerned.

1. PREAMBLE

Dravidian University offers Research Programme, namely, Doctor of Philosophy (Ph.D). This programme is offered in different subjects under different departments of Dravidian University through full-time and part-time modes. The University also offers Ph.D. programme through Extramural Mode.

2.0 GENERAL

- (a) A candidate carrying on Full-time research shall not be a student pursuing any other full-time course, or engage himself or herself in any other full-time occupation during the period of research.
- (b) A candidate who is an employee may be permitted to carry on Part-time Ph.D. programme only when he/she satisfying the eligibility as per 3.2 and 3.3.
- (c) Candidates shall have to join within the specified date, paying the necessary fees and submit all original certificates simultaneously. Joining report duly signed by the guide and Head of the Department concerned shall be submitted to the School Dean, concerned, and Dean of Academic Affairs.

(d) Registration fee and Tuition fee once paid will not be refunded or readjusted to any other programme. A Full-time candidate should submit his/her progress report through the guide for every quarter together with attendance particulars through proper channel to the Dean of Academic Affairs.

(e) A Part-time candidate should submit his/her progress report through the guide for every year together with attendance particulars through proper channel to the School Dean concerned to the Dean of Academic Affairs.

(f) In case, the progress report at any stage is adverse or not satisfactory, the registration of the candidate shall be cancelled, and as recommended by the DRC. It is desirable that a guide maintains a record of the progress reports.

(g) If a Full-time Research Scholar absents continuously for 3 months without any written intimation to the Department, the guide concerned shall report the same to the DRC concerned, School Dean concerned and Dean of Academic Affairs through proper channel recommending cancellation of the registration.

(h) If a Part-time Research Scholar has not attended the department concerned at least for 30 days in a year for two consecutive years, the guide shall report the same to the DRC and through the Dean concerned, to the Dean of Academic Affairs for cancellation of the registration.

(i) The non-teaching staff category candidates of **Dravidian University / any other recognized institution** shall be subjected to the same rules and regulations as other research candidates, in terms of actual attendance in the departments, progress reports and leave of absence from the institutions where they are working.

(j) The Dean of Academic Affairs may convert Part-time Research to Full-time when a Research scholar is selected under Faculty Improvement Programme / Faculty Development Programme by the UGC by obtaining specific remarks from the Research Supervisor, the Head of the Department and the Dean of School concerned. If there is no vacancy under Full-time at that point of time, the scholar may be converted into Full-time as against Part-time. Further, if there is no vacancy in Part-time, it may be treated as an extra seat.

(k) The Dean of Academic Affairs may convert Full-time registration to Part-time and vice-versa subject to the availability of seat by obtaining specific remarks from the Research Supervisor, the Head of the Department and the Dean of School concerned. This conversion is allowed only once.

(l) The Conversion of Ph.D from Full-Time to Part-Time be allowed if the candidate gets permanent Government Job after the Registration as a full-time scholar. The request letter is to be submitted through proper channel and approved by the DRC.

2.1. Duration

- (a) Ph.D (full-time) with M.Phil Degree: Minimum 2 years and
Maximum 4 years.
- (b) Ph.D (full-time) without M.Phil Degree: Minimum 3 years and
Maximum 5 years.
- (c) Ph.D (part-time) with M.Phil Degree: Minimum 3 years and
Maximum 5 years.
- (d) Ph.D (part-time) without M.Phil Degree: Minimum 4 years and
Maximum 6 years.

2.2. Continuation from M.Phil to Ph.D (Full time/Part time)

Dravidian University M.Phil degree holders, under regular mode, governed by earlier M.Phil/Ph.D guidelines, can register for Ph.D. programme by applying within two months from the date of award of M.Phil. degree provided he/she gets the consent of a research guide from the same department. This provision is applicable for M.Phil. (Full-Time) to Ph.D. (Full-Time) and M.Phil. (Part-Time) to Ph.D. (Part-Time) only. Notwithstanding anything contained in the above, in exceptional cases, the Vice-Chancellor can review and take a decision, which is final and binding on all parties.

3. Intake, Eligibility, Admission Process and Fees

3.1 Intake

Intake in Ph.D. programme in a particular subject / Department depends on the vacancies available with the recognized Research Supervisors in that particular subject / Department subject to condition that not more than 2 (two) Ph.D., Scholars shall be registered with a supervisor per year.

Maximum entitlement of seats

Designation	Ph.D (both full-time & part-time)
Professor	8
Associate professor	6
Assistant Professor	4

3.2. Eligibility Criteria for Full-time

(a) Candidates with at least 55% marks in the Masters Degree in a particular notified subject for admission into Ph.D. programme (full-time / part-time).

(b) The Reservation for SC / ST / BC / PWD and other categories shall be as per the rules of Government of Andhra Pradesh.

(c) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the University Grants Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

3.3 Eligibility Criteria for Part-time

In addition to fulfilling the eligibility criteria specified in 3.2 above, the candidate shall be satisfied any one of the following criteria:

A candidate who is an employee may be permitted to carry on Part-time Ph.D. programme only when he/she satisfy the eligibility as per 3.2 and belongs to any one of the following categories:

a) A Teacher/Research Assistant/Research Fellow/Teaching Assistant working in the Dravidian University / any other recognized institutions with not less than three years Service.

b) Non-Teaching Staff of the Dravidian University / any other recognized institutions with not less than four years of Regular Service.

c) A Teacher working in Dravidian University / other universities Recognized by UGC with 2 years of teaching experience ./ A Teacher working in Recognized colleges affiliated to any University with three years experience.

d) Junior Lecturers in Govt./Aided Junior Colleges or Polytechnics/ DIET/PG Teachers equivalent to Junior Lecturers working in Govt./Aided Colleges/Recognized Junior Colleges by the Govt. with three years of teaching experience.

e) Librarians / Deputy Librarians / Assistant Librarians/ Directors/ Deputy Directors/ Assistant Directors working in Govt./Aided Colleges / Govt./Aided / Recognized Junior Colleges by the Govt. with three years of experience.

f) Lecturers in Physical Education / Physical Directors working in Govt./Aided Colleges / Govt./Aided Junior Colleges/Recognized Degree Colleges by the Govt. with three years of experience.

g) Teachers with PG Degree working in Govt./Aided Engineering Colleges/Recognized Private UG/PG Colleges with three years of teaching experience.

h) Employees working in Reputed National/State Institutions with not less than three years of Regular service.

i) Permanent teachers working in Govt./Aided High Schools/Recognized Schools by the Govt. with not less than four years of Service, as teacher.

3.4 Extramural Research

- a. For admission into Ph.D. programme under Extra-mural category, there should be an Internal Guide recognized by the University in the recognized research institution where the candidate is working. In addition to the Internal Guide, a faculty member eligible to guide research from within the concerned Department of University or its PG Centers has to be included as an External Guide.
- b. Registration of a candidate under extramural category shall be done once in a year, i.e., in July every year.
- c. Eligibility for admission under Extramural category shall be as follows :
 - i. Scientists or technical Officers working in a research institution recognized by University with a P.G. or equivalent degree satisfying the eligibility conditions noted under 3.2 and having put in two years of experience (Ph.D. Part Time).

Or

- ii. Research Scholars with P.G. or equivalent degree satisfying the eligibility conditions noted under 3.2 having a fellowship awarded by a duly constituted selection committee approved by university and attached to institutions recognized as Research Centers by university and having completed at least six months with scholarship tenable for a further period of two years (Ph.D. Full Time).

3.5. Admission Procedure

Admissions shall be made on the basis of merit ranking in the entrance test, i.e., Andhra Pradesh Research Common Entrance Test (APRCET) or Dravidian University Research Common Entrance Test (DURCET) or any other selection process as per the State Government of Andhra Pradesh / Dravidian University whichever is applicable from time to time.

3.6. Fees

A Candidate selected for Ph.D. programme shall pay the stipulated fee as indicated in Dravidian University Research programmes prospectus or as prescribed by State Government of Andhra Pradesh, from time to time.

3.7. Penalty Fees

Penalty Fees shall be levied for extension of time for Ph.D Students and to be granted by the Dean of Academic Affairs after completion of the maximum period based on the following criteria:

- a. Obtaining specific recommendations from the research supervisor.
- b. Year-wise penalty fees:
 - (i) First year: Rs.5000/-
 - (ii) Second year: Rs. 5000+ 10,000 = 15,000/-
 - (iii) Third year: Rs. 5000 + 10,000 +15,000 = 30,000/-
 - (iv) Beyond Three years and up to Five years: Rs. 50,000/- (It is one time final payment of penalty with no more extensions.).

If the candidate(s) fails to submit the thesis within the permitted extension period, his/her registration stands cancelled automatically.

4.0 Registration of Candidates

- (a) The Registration of Candidates into Ph.D programme shall be done by the office of the Dean Academic Affairs based on the recommendations of the Departmental Research Committee (DRC) of a particular Department.

(b) All such Candidates recommended for admission into Ph.D programme shall pay stipulated fees for confirmation of their admission.

(c) Registration proceedings shall be issued to the candidate by the office of the Dean Academic Affairs based on the recommendations of the DRC concerned specifying his / her research topic along with research proposal and allotment to a particular recognized research supervisor.

4.1. Departmental Research Committee (DRC)

- Every academic department must have a Departmental Research Committee (DRC).
- All recognized Research Supervisors shall be the Members of the DRC.
- The Head of the Department is the Convener of the Committee.
- The Chairman, Board of Studies is the Chairman of the Committee.

4.1.1. Functions of DRC

The functions of the Departmental Research Committee, with regard to the research admission, are:

- a) To fix up the number of seats in Ph.D. to be filled up every year for research admissions (the strength of the candidates with a guide at any time shall not exceed the number given in Research Regulations).
- b) To approve the Academic Calendar for Ph.D. programme for the academic year.
- c) To recommend syllabi for Pre-Ph.D. course work for Paper-I (Research Methodology) approved by the BoS, concerned.
- d) To suggest panel of examiners and paper setters for Pre-Ph.D. examinations Paper-I (Research Methodology).
- e) To prepare Database of experts for each specialized area which can be used for the preparation of panel of examiners for adjudicating the Ph.D. thesis. The database may be periodically updated and made available to BoS. To evaluate the progress in the research work of the scholars.
- f) To participate in all the Viva-Voce examinations and seminars of the Pre.Ph.D./Ph.D. programmes.
- g) Title of the Research Topic, as mutually agreed by the Guide and Student.

5.0 Title of the Research Topic

(a) The field or area of research shall be specified in the application at the time of registration. The Full-time candidate has to present a seminar on the provisional topic chosen within the broad area of research given in the application before the Departmental Research Committee (DRC) within six months from the date of registration, so as to finalize the topic of research whereas in the case of Part-time, it will be within one year.

(b) The finalized title of the thesis shall be communicated to the Controller of Examinations and also to the Dean of Academic Affairs.

(c) After the finalization of the topic (Six Months for Full-Time and One year for Part-Time), change of topic is allowed with penal fee of Rs.5000/-.

(i) Request for Change of topic can be submitted through proper channel up to Pre-Ph.D written examination. (ii) After this period, any modifications in the title may be allowed with the recommendations of DRC. (iii) Any major change in the title be referred to URC.

6.0. Allotment of selected candidates to Research Supervisor

(a) The allotment of selected Research Scholar to a recognized Research Supervisor shall be decided by the Departmental Research Committee (DRC) concerned depending on the number of scholars/vacancies per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

(b) In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/School on such terms and conditions as may be specified on mutual consultation.

6.1. Change of Research Supervisor

If a candidate wishes to change his / her Research Supervisor or include a co-guide for valid reasons, the request may be considered by the DRC as per the merits of the case. However, such cases where the candidate is permitted, he/she can submit the thesis only after six months from the date of change of Research Supervisor or inclusion of additional Research Supervisor.

7.0. Pre-Ph.D Course work and Examinations

The course work consisting of 14 credits for Ph.D., candidates shall be as follows:

PAPER – I: Research Methodology which could also cover areas, such as, quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. for 100 marks (written examination) / Four Credits

PAPER – II: Broad Area concerned with dissertation/thesis work including recent advances in it, for 100 marks (written examination) / Four Credits

PAPER – III: Research topic area concerned with dissertation/thesis work including recent advances in it, for 100 marks (written examination) / Four Credits

PAPER – IV: Seminar for 50 marks / Two Credits

7.1. Syllabus and Examination

a) The Departmental Research Committee of the concerned department shall prescribe the syllabus for Paper-I while the syllabus for Paper-II and Paper –III shall be provided by the concerned research guide. The paper setting is to be done by External examiners.

b) The candidate shall give a seminar on the research topic emphasizing the importance of the problem, review of literature, methodology and techniques to be adopted including interpretation of data and the expected outcome. The seminar is open to all members of the department.

C) In case of full-time candidates, the Pre-Ph.D. examination is to be conducted after 9 months and before one year from the date of registration, while in case of part-time candidates the examination is to be conducted after 18 months and before the completion of second year from the date of registration. The date of payment of fee at the time of admission will be treated as the date of registration.

(d) Seminar Committee shall consist of the Research Guide concerned, Head of the Department and the Chairman, Board of Studies and other members of DRC. The candidate shall give a seminar on the research topic emphasizing the importance/significance of the problem/topic (10 marks), review of related literature/theory (10 marks), research design/methodology and technique adopted for carrying out the research (10 marks), work (research) progress (10 marks) and the expected outcome/hypothesis (10 marks).

(e) Seminar Evaluation

1. The Seminar Examination Committee shall consist of:
 - a) The Chairman BoS
 - b) The Head of the Department
 - c) The Guide / Research Supervisor
2. Average marks, awarded by the above shall be treated as marks awarded to the candidate. The Examination Committee shall follow the apportioned marks as indicated above.
3. Minimum qualifying marks is 25 out of 50.
4. Controller of Examination shall schedule the seminar examination as the last exam of Pre-Ph.D examination schedule.

8.0 Attendance

- a) A full-time Ph.D. student is required to spend the minimum prescribed period of three years, in the case of Master's Degree holders and two years in the case of M.Phil. degree holders, in the University.
- b) The prescribed minimum period for Ph.D. part-time research with M.Phil. degrees is four years and five years for those without M.Phil. A part-time candidate employed in an outside institution will be required to spend at least six weeks every year in the concerned University Department during the prescribed total period of research.
- c) If a candidate pursuing Ph.D. programme under either Full-Time/Part-Time/Extramural is unable to complete the work in the prescribed period approved by the DRC concerned the Dean Academic Affairs can give extension of time up to six months from the date of expiry of registration beyond which the registration of the candidate ceases.
- d) After the end of maximum period, A grace period of 30 Days will be given to the Ph.D. Research Scholars after completion of stipulated period for submission of thesis. After 30 days the candidate has to pay the Extension (penalty) fee as prescribed in fee structure for submission of thesis. However, candidates who have excellent progress and who have got employment may be considered for conversion of their full-time programme to part time upon recommendations of the DRC provided they have fulfilled the attendance criteria and qualified in the Pre-Ph.D. examination. Such candidates have to pay necessary conversion fee.
- e) Women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for upto 240 days.

f) The research candidates, who require field-work, approved by the DRC, is eligible for ALL days, as sanctioned by the DRC. Their field-work shall be considered as a part of working research days.

9.0 Evaluation of Ph.D Course work (Pre-Ph.D. Examination)

(a) The panel of paper setters and examiners for Paper-I (Research Methodology), shall be provided by the Chairperson, Board of Studies. The panel of paper setters and examiners for Paper-II and Paper-III shall be provided by the Research guide concerned.

(b) Evaluation of the Paper-I (Research Methodology) and II of Part-I Course work shall be by double valuation method comprising one Internal Examiner (Paper-I by the Chairperson, BOS; Papers -II and -III by Research Guide) and External Examiner.

(c) A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

(d) Failed Candidates in first attempt will be given only one another chance to qualify in the examination.

9.1. Exemption from Ph.D (Part-I: Pre-Ph.D) Written Examination

a) Candidates who have passed M.Phil Degree Examination from any Recognized University are exempted from writing Pre-Ph.D. Examination both Paper-1(Research Methodology), Paper-2 (Broad Area). However, the candidate has to write Pre-Ph.D. Examination in Paper-2 if his/her Ph.D. Topic is different from that of M.Phil. The candidate has to make a request for exemption, to be approved by the DRC.

b) The Candidate shall complete Paper-3 and Paper-4 seminar and there is no exemption in this regard.

c) After qualifying in the Pre-Ph.D. written examination, if there is any change in the area or field of research, the candidate has to take the Pre-Ph.D. written examination in the new area of research before the submission of synopsis.

10.0 Submission Criteria for Ph.D thesis

This section covers plagiarism parameters, pre-thesis submission talk and publication details.

10.1 Plagiarism Check

a) Similarity checks for inclusion under Plagiarism

It is mandatory and implied that the research work carried out by the Ph.D students shall be based on original ideas. Hence the plagiarism check shall include 1. Abstract/synopsis 2. Objectives 3. Research design/Methodology 4. Hypothesis 5. Core chapters 6. Conclusion including findings/Results/observations. The maximum allowed similarity is 10%.

It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

Every Ph.D students shall submit a compact disc (CD) at the time of submission of his / her thesis. The said CD shall contain three files relating to his / her research work, namely, (1) first file with title page, (2) second file with the above listed 6 aspects only, (3) third file with complete thesis / dissertation as per the reporting format applicable to a particular subject.

b) Similarity checks for exclusion from Plagiarism

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.

c) 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%

d) Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Research programs.

e) Penalties in the cases of plagiarism in submission of thesis

Institutions Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the plagiarism.

- i. Level 0:** Similarities up to 10% - Minor similarities, no penalty: no revision.
- 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 advised to submit the revised script within a period of one year.
- iv. Level 3:** Similarities above 60% - Such student registration for that programme shall be cancelled and the respective Research Supervisor will not be allotted research scholars in the next spell of research admissions, that is, for one batch.

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 recommended by the IAIP and approved by the Vice-Chancellor.

10.2 Pre-thesis-submission Talk

Prior to the submission of the thesis, the scholar shall make a presentation in the Department before the DRC concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them, if any, may be considered by the Research Supervisor for quality improvement.

10.3. Publication of research papers and seminar/conference paper presentations

a) Ph.D. scholars must publish at least one (1) research paper in referred journal and make two paper presentations in conference / seminars before the submission of the dissertation / thesis for adjudication, and produce evidence for the same in the form of presentation certificates and / or reprints.

11.0 Submission of Synopsis

A candidate can submit the Ph.D. synopsis only when he / she

- (a) Has passed the Ph.D. Written examination.
- (b) Has published at least *One research article* or accepted for publication in the area of research in a standard / refereed research journal. (The list of such journals shall be furnished by the Departmental Research Committee (DRC) of the Department concerned and should be made available to all the candidates.)

Only such research articles where the name of the candidate or the research supervisor appears as the first or second author will be considered for this purpose. If the candidate has a co-guide or if the candidate receives considerable help from any teacher/scientist/co research scholar for the same work, they may appear as the third author.

- c) Has presented pre-thesis-submission talk on the topic of the thesis in the Department, the School Dean, the Guide, the Head of the Department, Chairperson of Board of Studies, Faculty and other Research Scholars shall be present for the seminar. The guide, Head of the department and Chairman of Board of Studies are must for the talk.
- d) The synopsis should be written in English only, except in the case of languages.

11.1 Every candidate shall submit TEN (10) hard copies of the synopsis to the Controller of Examinations through proper channel at least One month prior to the submission of thesis along with the following:

- i) Soft copy of the synopsis
- ii) Certificate from the Head of the Department to the effect that the Ph.D. Research Scholar has presented the open seminar (Pre-thesis-submission-Talk) on the topic of the thesis.

11.2 The research supervisor while forwarding the synopsis to the Controller of Examinations he/she shall address a letter to the Chairman of Board of Studies, along with a copy of synopsis with a request to submit the panel of examiners to the Controller of Examinations.

11.3 The synopsis may be sent to the examiners either by post or by e-mail. The acceptance through e-mail is also acceptable.

12.0 Submission of Thesis:

- 12.1 The Thesis should be written in English only, except in the case of languages.
- 12.2 (a) A Full-time candidate with M.Phil. Degree may submit his/her thesis after two years from the date of registration.
- (b) A Full-time candidate without M.Phil. Degree may submit his/her thesis after three years from the date of registration.
- 12.3 (a) A Part-time candidate with M.Phil. degree may submit his/her thesis after three years from the date registration.
- (b) A Part-time candidate without M.Phil. degree may submit his/her thesis after four years from the date of registration.
- 12.4 The candidate should submit the thesis only after One month from the date of submission of synopsis but not later than six months failing which a penal fee Rs. 3000/- should be paid by the candidate for a maximum of three more months' extension to submit the thesis.
- 12.5 The candidate has to submit FIVE (5) copies of thesis to the Controller of Examinations through proper channel along with the following:
- i) Xerox copies of the two published articles or accepted for publication.
 - ii) Certificate from the Departmental Research Committee (DRC) to the effect that the articles published or accepted for publication are a part of the thesis and they have been published in a standard / refereed journal (as per the list given by the DRC).
- 12.6 The thesis shall be prepared as per the following format.
- a) Paper Size - A4
 - b) Font – New Times Roman, Font size -12 for text
 - c) 1.5 line spacing
 - d) One side printing
 - e) Hard Bound binding
 - f) Tissue / Transparent sheets should not be used
 - g) The thesis should not be dedicated.
 - h) The title page should contain Dravidian University logo only.

The Research Supervisor shall meticulously observe the above norms while preparing the thesis.

- 12.7 The candidate shall also enclose to the thesis, a certificate from the guide(s) under whom he/she worked that the thesis submitted is a bonafide record of research work done by the candidate during the period of study under his/her/them and that the thesis has not previously formed the basis for the award of any Degree, Diploma, Associate ship, Fellowship or other similar title to the candidate or to any other person(s).
- 12.8 The candidate shall also append to his/her thesis copies of published papers relevant to his/her work.

13.0. Evaluation of Ph.D Thesis

- (a) The Ph.D. thesis submitted by a research scholar shall be evaluated by three external examiners, who are not in employment of the University, of whom at least one shall be from outside the state. However, when the Vice-Chancellor deems that there is specific need and / or lack of availability of expertise concerned within India, the Vice-Chancellor may ask for a panel of six foreign examiners, from the BoS concerned and appoint one from the panel as one of the three examiners.
- (b) Two panels of examiners for valuation of the thesis shall be obtained by the Controller of Examinations, that is, one from the Chairperson, Board of Studies and another from the Research Guide concerned. In case if both of them are the same, the panel may be obtained from the senior-most from the rest of the staff. Each panel shall have 06 (six) names of experts from other Universities.
- (c) The Ph.D. thesis shall be adjudicated by three examiners selected by the Vice- Chancellor from above two panels.
- (d) The Adjudicator's summary report of the thesis should be accompanied by a detailed report. In case the thesis is recommended for revision or rejected outright, the reason for the same has to be incorporated in the report.
- (e) If the reports of all the examiners are favorable, the candidate shall be permitted to take Viva-voce and he/she shall be awarded the Ph. D degree on the recommendation of the Vive-voce committee.
- (f) If a thesis is approved and recommended for award by two examiners and suggested for revision by the third examiner, viva-voce examination shall be conducted and the result shall be announced after incorporating the changes in the thesis as suggested by the third examiner which will be verified by the viva-voce committee.

(g) If all the examiners reject the thesis, the registration of the candidate stands cancelled.

(h) If the thesis is approved by one examiner and suggested for revision by two examiners or all three examiners ask for revision, the candidate will be permitted to resubmit and it will be referred to the same examiner(s), who have suggested for revision and resubmission. At the time of resubmission, the guide has to certify that all the suggestions made by the examiner(s) have been incorporated. A minimum time limit of one month shall be enforced for resubmission in all such cases.

(i) If two of the examiners approve the thesis and one rejects, or vice-versa or if one of the examiners approves the thesis, one rejects and the other asks for revision, the candidate may be permitted for resubmission. However, in such cases, the examiner(s) who have rejected the thesis shall have to be replaced by new examiner(s) while keeping the other examiner(s) the same. A minimum time limit of one month shall be enforced for resubmission in all such cases.

(j) If two of the examiners ask for revision and one examiner rejects the thesis or one examiner asks for revision of the thesis and the remaining two reject the thesis, the registration of the candidate stands cancelled.

(k) In a nutshell, the following are the guidelines for taking further course of action in recommending the thesis for the award of Ph.D. degree.

S. No.	Recommendation of the adjudicator(s)	Action on the further processing of the thesis
1	All the three adjudicators have recommended for the award of the degree	To constitute Viva-Voce committee
2	One of the three adjudicators have recommended for revision of the thesis	To revise the thesis by the scholar on the suggestions of the adjudicator(s) and submit the revised thesis to the viva-voce committee which will be verified by the viva-voce committee.
3	Two of the three adjudicators recommended for revision of the thesis	To revise the thesis by the scholar on the suggestions of the adjudicators and submit revised thesis through proper channel certified by the Research Guide.
4	One of the three adjudicators has recommended for rejection of the thesis	To send it to another adjudicator
5	One examiner asks for revision of the thesis and the remaining two reject the thesis	To cancel the registration
6	All of the three adjudicators recommended for rejection of the thesis	To cancel the registration

14.0. Expediting evaluation process

(a) The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

(b) In cases where an examiner is not fixed within 15 days from the date of giving e-mail or has not sent the report within two months from the date of dispatch of the thesis the Vice-Chancellor may consider the change of the examiners with another examiner.

15.0. Ph.D. Open Viva-voce examination

a) The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for awarding the Ph.D. Degree.

b) The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by Viva-voce Committee comprising the Research Supervisor and at least one of the two Indian external examiners, and shall be open to be attended by Members of the DRC, interested persons including all faculty members of the Department, other research scholars and other experts/ researchers.

c) The viva-voce relating to Ph.D. thesis shall be conducted by a viva-voce committee to be appointed by the Vice-Chancellor. The viva-voce committee shall consist of –

- (i) School Dean
- (ii) Research Supervisor
- (iii) The Head of the Department (Convener).
- (iv) The Chairperson of the Board of Studies
- (v) One of the examiners who adjudicated the thesis as Chairperson (by designation), (to be nominated by the Vice-Chancellor)

d) Head of the Department, Research Supervisor, and one External Examiner are compulsory Members for conduct of viva-voce and to meet the quorum.

e) If the guide superannuates from the University service or is on long leave/ deputation or cannot attend on any other valid reasons the co-guide/ Chairman BoS/Head will also be the convener.

f) The Viva is open to all members of the department and allied departments. The candidate shall have to successfully defend his/her work to the satisfaction of majority members of the Viva-Voce committee.

g) A candidate who is not successful at the Viva-Voce may be permitted to take the viva- voce a second time within a period of three months. No candidate shall be permitted to take the viva-voce more than twice. If the candidate fails for the second time, the case shall be disposed off by the Vice-Chancellor on its merits.

h) After the completion of the Viva-Voce examination, the Convener of the Viva-Voce Committee will submit the recommendations along with the Corrected final copy of the thesis in Hard Bound and two soft copies in DVD form for placing them in the University library and on INFLIBNET through UGC, respectively.

i) The awarded Ph.D. thesis shall be uploaded by the Controller of Examinations/any other designated authority on the website of INFLIBNET without fail.

16.0. Notification and Provisional Certificate

Prior to the actual award of the degree, the University shall issue a Notification followed by a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

17.0 Eligibility Criteria for Recognition of a Research Supervisor and Co-Supervisor.

a) Any regular professor / Associate Professor of the University with at least five research publications in refereed journals having science citation index / journals having impact factor given by Thomson Reuters / UGC listed journals and any regular Assistant Professor of the university with a Ph.D.degree and at least two research publications in refereed journals having science citation index / journals having impact factor given by Thomson Reuters / UGC listed journals and one year regular service in the University may be recognized as Research Supervisor.

b) Only a full-time regular teacher of the concerned University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the DRC.

c) A Research Supervisor shall have a minimum of 9 months of left over services as on the date of filling the details to be able to guide the scholars.

d) The DRC of the relevant Department processes the application for recognition as research guide and to place it before the URC. The Registrar shall give necessary orders for recognition based on the recommendation of URC and approval of Vice-Chancellor.

e) Faculty on lien/deputation shall include an eligible teacher from their departments as co-guide for every research student working under their guidance. Further, in case the teacher extends his lien period beyond one year, the co-guide shall be nominated as the principal guide and in case the teacher on-lien wishes to continue to guide the candidate, he/she can do so as co-guide for a maximum of three years from the date of sanction of initial lien.

f) The Faculty and Scientists from Institutions recognized as Research Institutions, interested to guide the research scholars registered for Ph.D. in University under part- time category may be permitted to be included as co-guide(s), while a teacher from the University will act as the guide.

g) A retired teacher may act as Research Guide for full-time, if he/she is appointed as Emeritus Professor and or if he/she has a Major Research Project with Junior Research Fellowship/Senior Research Fellowship. Those faculty having Emeritus position or a Research Project beyond their retirement can act as guides for not more than two years.

h) Any retired teacher will continue to guide his/her already registered Ph.D. candidates for two years and should include a co-guide for each of his/her research scholar soon after his/her retirement.

i) Faculty who resigned/retired voluntarily from service shall include an eligible teacher from their departments as co-guide for every research student working under their guidance. However, their guideship will be terminated in two years from the date of resignation/voluntary retirement, while the co-guide will become the Principal Guide.
