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Chennai-600119

**REGULATIONS FOR
DOCTOR OF PHILOSOPHY
R2023**

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JEPPIAAR UNIVERSITY

REGULATIONS FOR THE DOCTOR OF PHILOSOPHY

DEFINITIONS AND NOMENCLATURE

In the regulations, unless the context otherwise requires

- i. “University” means Jeppiaar University, Chennai, Tamil Nadu - 600119.
- ii. “Research Board” means the committee duly constituted by the Vice-Chancellor of the University for the Effective Co-ordination of the research activities.
- iii. “Programme” means Doctoral programme leading to the award of Ph.D. degree in Arts, Science, Engineering & Technology, Management, Education, Indian Languages etc;
- iv. “Supervisor” means any faculty member of the University or outside the University who has been recognized by the University to guide the research scholars.
- v. “Co-Supervisor” means a recognized supervisor to guide the scholars in interdisciplinary research that requires more than one expert to guide the research scholars.
- vi. “Head of the Department” means Head of the Department of the Supervisor.
- vii. “Place of Research” for the scholars shall be the Department where the supervisor is working.
- viii. “Research Advisory Committee” means a committee constituted by the Vice-Chancellor for each research scholar, to monitor the progress of his/her research work.
- ix. “Research scholar” means any candidate admitted by the University either under the Full time and Part time categories, pursuing research for the award of Ph.D. degree of the University.
- x. “Course Work” means theory course(s) that is/are prescribed by the Research Advisory Committee for the scholar to undergo as a part of the programme requirement.
- xi. “Publication” means full-length research articles reporting new research findings in respective fields, which comprise presentations on new concepts, the development of innovative methods that include figures, tables, and references; the results of which have a general impact and contribute to the advancement of the particular field, and are always peer reviewed.

1.0 PREAMBLE

Doctor of Philosophy (Ph.D.) is the Highest Academic Degree which requires in-depth study and extensive intellectual effort. The Doctor of Philosophy (Ph.D.) Degree is awarded to a candidate who, as per these regulations, has submitted a thesis on the basis of original research either in any particular subject/discipline or involving more than one discipline(inter-disciplinary) that makes a contribution to the advancement of knowledge, which is approved by the Board of Examiners as required. The Ph.D. Regulations-2023 of Jeppiaar University, from the admission to the award of “Degree of Doctor of Philosophy” is based on the UGC (Minimum Standards and Procedure for award of Ph.D. Degree) Regulations 2022.

2.0 ELIGIBILITY CRITERIA

- 2.1 Master’s Degree from UGC recognized University or any other qualification recognized as equivalent thereto in the fields of study notified from time to time by the University.
- 2.2 A minimum of 55% marks or CGPA 5.50 on a 10-point scale in the qualifying examination for Faculties of Arts, Science, Engineering & Technology, Management, Education, Indian Languages etc; In the case of SC/ST/OBC (Non-creamy layer)/Differently-abled candidates, 50% marks or a CGPA of 5.0 on a 10- point scale in the Master’s degree.
- 2.3 Educational qualifications:

S.No.	Programme	Qualification for Admission
1	Ph.D. Degree in Engineering/ Technology	M. E./ M. Tech./ M. S. (By Research) in the relevant branch of engineering or technology
2	Ph.D. Degree in Science and Humanities	M.Sc./M.S (By Research) in the relevant branch of science and humanities/ M.C.A/ M.A (English/Psychology etc.,)
3	Ph.D. Degree in Management	MBA/ Post-Graduate Diploma in Business Management or Administration awarded by Indian Institute of Management (IIM)/ M.S (By Research) in Management/ Any other permissible discipline

3.0 Ph.D PROGRAMME

Ph.D. Programme is available in the following two categories:

- a) Full-time
- b) Part-time

Candidates who satisfy the eligibility criteria as in Clause 2.0 are eligible to apply for Ph.D. Programme.

3.1. Full-Time Ph.D. Programme

3.1.1 Candidates under Full-time mode shall do research work in the University campus only. The Full-time Ph.D. scholars shall report daily in the department at least during the office hours of the University and they should sign every day in the attendance register at the respective place of research.

3.1.2 Project staff/fellow working in a sponsored project which has at least three/two years tenure from Govt. of India/ Industries/Govt. of Tamil Nadu can also register under the full time mode.

3.1.3 Candidates in employment who want to pursue Full-time study should be sponsored by their employer and should avail leave for the minimum duration of the programme, and should be formally relieved from their duty to join the research programme.

3.1.4 Candidates who are selected under the National level Fellowship programmes or by any recognized bodies and who satisfy the eligibility conditions as per the regulations shall apply for the Full-time category in the respective discipline.

3.2. Part-Time Ph.D. Programme

The following categories of candidates are eligible to apply for a Ph. D in the part-time category:

3.2.1 Part-Time Internal Scholars

Full-time teaching faculty members of university departments are eligible under this category. The nomenclature shall continue for such scholars as long as they are in service in the university.

3.2.2 Part-Time External Scholars

- i. The University reserves full rights for admitting candidates under the part-time external category.
- ii. The part-time candidate shall register under a research supervisor who is recognized by this University.
- iii. The Part-time candidate should be employed as Assistant Professor in a recognized College/University approved by AICTE/UGC where facilities for carrying out research work are available.
- iv. Research Scientists or similar cadre in private or Government Institutions/Industrial Units with Research and Development facilities are also eligible to apply for part-time Ph.D. programme with a supervisor recognized by Jeppiaar University
- iv. Part-time external scholars should sign in the attendance register at least one month per academic year in the place of research (weekends might be utilized for carrying/discussing research work).

3.3 Change of category

Provision exists for change of category from full-time to part-time and vice-versa provided the residency and attendance requirements are satisfied. The change of

category shall be approved by the Vice-Chancellor only once during the tenure, subject to written request letter along with submission of necessary documents with the recommendation of the supervisor, Head of the department, Dean of the concerned faculty and the scholar. Change of category more than once may be considered only under extraordinary circumstances, if deemed fit. Change of category is permitted only for scholars who have completed the confirmation of provisional registration. In case of a change from fulltime to part-time or vice-versa, the minimum period shall be accounted as whichever is higher. If the request is approved, official communication shall be issued to the effect.

4.0 MODE OF SELECTION

- 4.1 University shall issue notifications for Ph.D. admission twice in every year, in December and June.
- 4.2 The candidates desirous of registering for Ph.D. Programme under any one of the above categories shall apply by filling all the relevant details mentioned in the online application form posted on the University website, or can apply in person. For online submissions, submit the completed application along with all enclosures to the Dean (Research) before the due date by registered post as indicated in the notification issued from time to time.
- 4.3 Incomplete applications and applications with false information in any respect shall be summarily rejected without any intimation to the candidate.
- 4.4 The O/o Dean (Research) shall screen the applications as per the eligibility norms and shall conduct the written/screening test through the Research Board only for eligible candidates. Candidates appearing for the written/screening test should obtain a minimum marks as specified by the Research Board to qualify for the interview process.

5.0 RESEARCH BOARD

The following is the constitution of the Research Board (hereafter referred to as RB).

Designation	Members
Dean (Research),	Convener
Dean of respective schools of the scholar	Member
One Senior Faculty member of the scholar domain (rotation)	Member

5.1 The RB has the following functions

- ✓ Selection of candidates for admission to the Ph.D. programme.
- ✓ Allotment of Research Supervisors to students enrolled for the Ph.D. programme.
- ✓ Facilitating research facilities in the department.

- ✓ Maintenance of research quality and quality of publications.
- ✓ Sorting out any other research-related issue

5.2 If there is any dispute either in the constitution or functioning of the RB, the decision of the Vice-Chancellor shall be final.

5.3 The minutes of the RB, together with the list of candidates and their research supervisors, along with recommendations of the Dean of the respective faculty, will be placed before the Vice-Chancellor for approval.

6.0 ADMISSION

- 6.1 The selected candidates shall be issued a selection order and, they will be admitted to Ph.D. programme in the respective department based on his/her PG qualification. The candidates should join before the last date mentioned in the selection order by paying the prescribed fees, failing which they will forfeit the seats.
- 6.2 The scholar, supervisor, co-supervisor, Research Advisory Committee (RAC) members and examiners shall not be relatives to one another.

7.0 TUTION FEES & OTHER FEES

- 7.1 The selected candidates shall pay the prescribed fees before the last date mentioned in the selection order, failing which they will forfeit the seats.
- 7.2 The yearly fees shall be paid by the scholars within the prescribed date till the scholars submit the thesis. Late payment of fees will attract fine as per the university norms. The supervisors should monitor the regular payment of yearly fees by those scholars who are working under them.
- 7.3 The registration is liable for cancellation if the research scholar has not paid the yearly fees within the stipulated time.

8.0 SUPERVISOR RECOGNITION

- 8.1 The applicant for supervisor recognition should possess Ph.D. degree from UGC recognized university in the relevant area of research in which he/she has carried out research.
- 8.2 The applicant should have published a minimum of two publications in SCI/SSCI/Scopus/UGC listed journals which is mandatory for supervisor recognition.
- 8.3 The eligible candidates can apply in the prescribed application for supervisor recognition.
- 8.4 The supervisorship will be awarded in the same faculty in which his/her Ph.D. Degree was awarded

8.5 A research supervisor shall not be allowed to register a candidate for Ph.D. if the candidate is a blood relative to the supervisor.

8.6 The Vice-Chancellor shall be empowered to summarily withdraw the research supervisorship on the following grounds:

- ✓ Moral turpitude/Sexual harassment
- ✓ Plagiarism
- ✓ Fraudulent academic claims
- ✓ Any act prejudicial to the reputation of the University without assigning any reason thereof.

8.7 Change of Supervisor:

Change of research supervisor shall not be permitted as a routine. In exceptional cases, such change may be permitted, if valid reasons are provided by the candidate. The committee headed by the Vice-Chancellor shall look into the request of the petitioner, if there is any conflict between the scholar and the research supervisor. The research supervisor under whom the scholar has originally registered shall give a “No Objection Certificate” and the new proposed research supervisor should give a “Certificate of Willingness” to guide the candidate. However, the Vice-Chancellor, on the recommendation of the Research Board, has the right to assign a new research supervisor to the research scholar, and change of supervisor order shall be issued officially by Dean (Research).

9.0 NUMBER OF SCHOLARS

A Professor who is a recognized supervisor shall guide only a maximum of **8** Ph.D. scholars as supervisor/co-supervisor at any time. An Associate Professor who is a recognized supervisor shall guide only a maximum of **6** Ph.D. scholars as supervisor/co-supervisor and an Assistant Professor who is a recognized supervisor shall guide only a maximum of **4** Ph.D. scholars as supervisor/co-supervisor at any time.

10.0 DURATION OF THE PROGRAMME

10.1 The duration of the programme and the time for submission of thesis are counted from the date of provisional registration.

10.2 The minimum duration of the programme is three years for those who join after completing Master’s degree and two years for those with M.Phil. degree for Full-time scholars. For part-time scholars, the minimum duration is four years for those who join after completing Master’s degree and three years for those with M.Phil. degree.

10.3 The Dean (Research) on approval of Vice-Chancellor shall permit if deemed fit for reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrant his/her

absence from the programme. However, the break of study period shall not be counted for the minimum duration of the programme.

- 10.4 Break of study shall be granted upto a maximum period of one year. Such request shall be made in writing by the scholar with the recommendation of the supervisor, Head of the Department and Dean of the respective school, and it should reach the Dean (Research), prior to availing the break of study. The orders for break of study shall be issued by the Dean (Research) on approval of Vice-Chancellor after assessing the need. If prior permission is not sought and obtained, it will be considered as a case of discontinuation and action will be taken to cancel the registration of such scholars. Break of study period will be counted for the maximum duration of the programme. The scholar should remit the yearly fees during the break of study period also.
- 10.5 The maximum duration of the programme shall be six years for full-time and part-time scholars of all the schools.
- 10.6 Women candidates (who availed maternity leave) and persons with disability (more than 40% disability) are allowed a relaxation of two years. Thus, the maximum duration for such scholars shall be eight years.

11.0 EXTENSION OF DURATION

- 11.1 Scholars who do not submit the thesis within the maximum duration of the programme (six years) shall apply for extension of time three months prior to the completion of six years in the prescribed format with the recommendation of Supervisor, Head of the Department and Dean of the school. In such cases a maximum grace period of one year, beyond the normal maximum period of six years shall be granted by the Dean (Research) on approval of Vice-Chancellor.
- 11.2 If the scholar fails to submit the thesis within seven years from the date of joining the programme, the registration shall be cancelled without any further notice

12.0 RESEARCH ADVISORY COMMITTEE (RAC)

- 12.1 There shall be a Research Advisory Committee (RAC) for every scholar to monitor the progress of research work.
- 12.2 The Research Advisory Committee (RAC) shall consist of research supervisor as the convener, co-supervisor, if applicable as the co-convener, one internal expert and one external expert in the field of research of the scholars.
- 12.3 For the selection of two experts for RAC, the research supervisor should suggest two names within the department and three names from other premier institutes, who have some expertise in the area of research of the scholar. The Vice-Chancellor will select one expert from the department of the scholar and the other expert from any other institute.

- 12.4 The Research Advisory Committee will meet once in six months.
- 12.5 The first RAC meeting shall be convened within a month from the receipt of provisional registration orders. The research topic and the courses to be undertaken by the scholar shall be decided in the meeting and the minutes of the first RAC meeting in the prescribed format should be forwarded to the Dean (Research), .
- 12.6 The other RAC meetings shall be convened periodically during the second week of July and December every year to review the research progress of the Scholars and to offer suggestions/modifications.
- 12.7 The Research Advisory Committee shall have the following functions:
- i) Advice and recommend on all matters connected with the candidate's research from admission till the submission of the thesis.
 - ii) Approve the topic of research.
 - iii) Scrutinize the research proposal submitted by the candidate.
 - iv) Recommend the course(s) that the candidate has to undergo.
 - v) Assess and approve the progress reports of Ph.D. scholars in the prescribed format and report on the fitness or otherwise of the candidate to proceed with his/her research work.
 - vi) If necessary, recommend and approve change of title of thesis, change of supervisor and change of status of researcher (full time to part time and vice-versa).
 - vii) Review and endorse the research progress of the candidate periodically.
 - viii) Supervise the presentation by the candidate of the final draft of his/her proposed thesis for approval before the submission of synopsis of the thesis to the Dean (Research) and sign a certificate to this effect to be submitted along with the synopsis.
 - ix) Assess the conduct/validity of experiments/field work, peruse laboratory observation notebooks, data recording and analysis and publications.
 - x) Assess the quality and quantum of research work for submission of synopsis.
 - xi) **Verify the one mandatory publication in regular issue, indexed in SCI/SCIE/SSCI for School of Engineering & Technology (SET) and one Scopus indexed journal/conference proceedings to permit the scholar to submit the synopsis.**
 - xii) **Verify the one mandatory publication in regular issue, indexed in Web of Science Core Collection for other schools and one Scopus indexed journal/conference proceedings to permit the scholar to submit the synopsis.**
 - xiii) Approve the synopsis of the thesis.
 - xiii) Approve the panel of Foreign and Indian Examiners.
 - xiv) Finalize and approve the title of the thesis.
 - xv) Monitor the corrections carried out, if any pointed out by the thesis evaluation

- 12.8 The convener will convene the Research Advisory Committee meetings with intimation to the Dean (Research).

13.0 COURSE WORK

- 13.1 All research scholars (full-time and part-time) shall undergo four courses of study.
- 13.2 One course shall be a direct study, where scholars undergo classes with the supervisor and write his/her examination at University.
- 13.3 Three courses shall be undertaken in NPTEL platform with postgraduate level and it is mandatory to successfully complete the course for a pass.
- 13.4 Research Methodology by IITM, 8 week course in NPTEL is a mandatory course for all scholars irrespective of disciplines.
- 13.5 Two NPTEL courses of minimum 3 Credit (scholar should undergo one course of 12 and above weeks and the other course of 8 and above weeks) shall be recommended by RAC which may involve advanced topics, latest developments in the chosen field of research, and related to the research problem.
- 13.6 The Ph.D. scholars [full-time/part-time] should complete their course work within two semesters from provisional registration. Further one semester extension of timing for completing course works shall be granted by the Dean (Research) on approval of Vice-Chancellor.
- 13.7 Scholars who opted for interdisciplinary research can take an additional course work relevant to the topic as prescribed by the RAC.
- 13.8 Requirements for Ph.D. programme shall also include successful completion of research in the major field of study and submission of thesis thereon.
- 13.9 Confirmation of Provisional registration:**
- i. After the successful completion of course work(s) and comprehensive examination, the RAC meeting shall be convened to verify the course work completion, and assess the progress of research work. Upon satisfaction with the performance, the RAC recommends the confirmation of provisional registration in the prescribed format as minutes of RAC along with check list for confirmation of Ph.D. scholar registration.
 - ii. The scholar shall be issued confirmation of provisional registration by the Dean (Research), upon completion of all the courses prescribed by RAC in its first meeting and satisfactory progress in research. The provisional registration shall be cancelled for those scholars who do not fulfill the requirements within two years from the date of provisional registration.

14.0 MONITORING THE PROGRESS OF THE SCHOLAR

- 14.1 The research scholars, both full-time and part-time, shall submit Research Progress Reports in the prescribed format duly endorsed by the Research Advisory Committee once in six months to the Dean (Research), until they submit their synopsis.
- 14.2 Failure to submit the progress reports for two consecutive RAC meet shall result in the automatic cancellation of registration.
- 14.3 The minutes of the meeting of the Research Advisory Committee along with enclosures will be sent to the Dean (Research).
- 14.4 The pre-synopsis presentation before the RAC is a mandatory requirement to assess the quality and quantum of research in addition to the incorporation of the suggestions offered by RAC members.
- 14.5 The pre-synopsis presentation before the RAC is a mandatory requirement to assess the quality and quantum of research in addition to the incorporation of the suggestions offered by RAC members.
- 14.6 The presentation shall be arranged before the submission of the synopsis in the presence of RAC, faculty members, research scholars, M.Phil. and P.G. students.
- 14.7 The participants may suggest new ideas/references/suggestions to improve the work and so on.
- 14.8 A report on this event along with an attendance sheet shall be forwarded by the research supervisor with the endorsement of the RAC and HOD to the Dean (Research), during the submission of synopsis.

15.0 SUBMISSION OF SYNOPSIS

- 15.1 The scholar shall be permitted to submit the synopsis 3 months before the completion of minimum duration of the programme.
- 15.2 **The Ph.D. scholars in the School of Engineering and Technology (SET) have to publish one research article in regular issue, indexed in SCI/SCIE/SSCI and one Scopus indexed journal/conference proceedings, which are mandatory prior to the submission of their synopsis; otherwise the synopsis shall not be accepted for submission.**
- 15.3 **The Ph.D. scholars in the other schools have to publish one research article in regular issue, indexed in web of science core collection and one Scopus indexed journal/conference proceedings, which are mandatory prior to the submission of their synopsis; otherwise the synopsis shall not be accepted for submission.**
- 15.4 The research scholar shall submit three copies of the synopsis approved by the Research Advisory Committee along with a soft copy to the Dean (Research),

through the research supervisor, HOD and Dean of the respective Faculty. The guidelines for the preparation of synopsis are given in Appendix tables.

- 15.5 The RAC meeting should be conducted just before the submission of synopsis to assess the quality and quantum of research, contents of synopsis, verify the two publications and approve the panel of Indian and foreign examiners. All these shall be presented as minutes of RAC meeting while submitting the synopsis along with certificate for submission of synopsis, attendance certificate for pre-synopsis presentation, proforma for submission of synopsis and checklist.
- 15.6 The research supervisor shall mandatorily submit the panel of examiners (Indian and Foreign) duly approved by RAC, along with the synopsis through proper channel to the Dean (Research), in the prescribed format. A panel of ten examiners (five from foreign countries and five from India) shall be provided by the supervisor. The examiners shall be from reputed Universities /Institutes/Organizations.
- 15.7 The proposed Indian Examiners should hold a Ph.D. Degree with not less than 10 years experience at the post-graduate level with publications at national/international level journals in the same or related research area of the thesis to their credit.
- 15.8 If the research scholar has carried out part of his/her work in another institution, the panel should not include the names of the Scientists/Professors with whom he/she has worked for a short duration.
- 15.9 If the Vice-Chancellor observes that the panel of examiners is not from reputed Institutions, he/she shall call for fresh panel or suggest examiners (both Indian and Foreign) of his/her choice.
- 15.10 The Vice-Chancellor will select one Indian and one overseas examiner from the panel and will also indicate the order of priority of examiners from 1 to 5 from the panel of Indian and foreign examiners submitted.
- 15.11 Once the Vice-Chancellor has approved the panel of examiners and assigned the priority (order of preference), the Dean (Research), shall forward/dispatch the synopsis to the first examiner in both the panels and seek their acceptance for evaluation of the thesis.
- 15.12 Once an examiner accepts the invitation and agrees to evaluate the thesis, the Dean (Research), shall arrange to send the thesis for evaluation along with the associated formats, guidelines and procedure for assessment. The covering letter of the Dean (Research), to examiners shall insist on the confidentiality of the appointment, and request the examiners not to reveal the appointment to the supervisor/scholar/anybody.
- 15.13 If any examiner declines to accept the invitation to evaluate the thesis, the synopsis shall be sent to the next examiner in the list.

- 15.14 If there is no response from the examiner three weeks after dispatching the synopsis, the Dean (Research), shall send them synopsis to the next examiner in the same order of priority in the respective panel.
- 15.15 If the acceptance to evaluate the thesis is not received from the first panel of examiners, the Dean (Research), shall call for a fresh panel from the research supervisor.

16.0 SUBMISSION OF THESIS

- 16.1 The thesis shall report, in an organized and scholarly fashion, an account of original research work of the scholar leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, hardware oriented, etc.) and demonstrate a quality contribution to the advancement of knowledge as well as the scholar's ability to undertake sustained research.
- 16.2 The thesis shall be prepared in accordance with the prescribed format and specification as given in Appendix. **Five hardcopies of the thesis with soft copy in CD (PDF format) in each copy of the thesis** along with proforma for submission of thesis and checklist shall be submitted after the completion of the stipulated period to the Dean (Research).
- 16.3 The thesis shall include a declaration from the scholar, and a certificate from the supervisor and co- supervisor (if applicable) as prescribed, to the effect that the thesis is a record of original research work carried out by the scholar and the work reported in the thesis is not copied from other sources/not submitted elsewhere for a degree or diploma.
- 16.4 The research papers shall be attached to the Ph.D. thesis.
- 16.5 The RAC shall certify the quality and authenticity of the publications and ensure that both the candidate and the research supervisor are listed as first and corresponding authors respectively in the articles with the correct affiliations.
- 16.6 Fees shall be paid by the scholars every year during the notified period till the submission of the thesis. Any other fees as applicable shall be paid as notified from time to time. In case, any scholar has not paid the tuition fees and other notified fees, then the processing of synopsis and thesis shall not be processed until all the fees are paid. No dues certificate should be submitted while submitting the thesis.
- 16.7 The thesis shall comply with the following conditions to merit the award of Ph.D. degree:
- It should be a piece of research work characterized either by finding of new facts or by a fresh approach towards interpretation of facts and theories.
 - It should reflect the candidate's capacity for critical examination and judgment.

iii. It should be satisfactory in terms of presentation and adhering to proper methodology of thesis writing.

If the research scholar has carried out part of his/her work in another institution, the panel should not include the names of the Scientists/Professors with whom he/she has worked for a short duration.

- 16.8 The thesis shall not exceed 300 pages excluding the bibliography, Appendices, etc. If it exceeds the specified number of pages, the research supervisor should write to the Dean (Research), with the reasons and get prior approval from the Dean (Research). The thesis should be in A4 size. The specifications for the preparation of the thesis and a model cover page of the thesis are given in Appendix.
- 16.9 The thesis shall be typed on both sides of the page in order to save paper and postage.
- 16.10 The thesis shall contain a certificate from the supervisor specifying that the thesis submitted is a record of research work done by the candidate during the period of study under him/her, and that the thesis has not previously formed the basis for the award of any Degree, Diploma, Associateship, Fellowship or similar title. A statement from the supervisor indicating the extent to which the thesis represents independent work on the part of the candidate should also be made including free from plagiarism.
- 16.11 The thesis shall also contain a declaration by the candidate that the work reported in the thesis has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged and no part of the thesis is plagiarized.

17.0 EVALUATION OF THESIS

- 17.1 The thesis shall be referred to two examiners (one from India and another from abroad) nominated by the Vice-Chancellor from the panel of examiners recommended by the RAC. The Vice-Chancellor if deems it necessary may also nominate examiners from outside the panel.
- 17.2 The examiners appointed shall evaluate the thesis and report on the merit of the thesis for the award of the Ph.D. degree. Each examiner is expected to give a detailed report on the thesis, apart from a duly filled in proforma for evaluation sent by the Dean (Research).
- 17.3 The examiners shall be requested to send his/her report within 45 days from the date of receipt of the thesis to the Dean (Research). The reports sent by e-mail shall be accepted, provided the email ID is the official email ID of the examiners.
- 17.4 If an examiner fails to send the report within the stipulated time, the Dean (Research), shall send a reminder to him/her immediately after the expiry of the

deadline and request him/her to send the report within the next thirty days. If the concerned examiner does not comply even after the extended period, the Dean (Research), shall cancel the appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis.

- 17.5 In the event of a request from the examiner(s) for more time for evaluation or receipt of the report after the appointment has been cancelled or postal delay or loss of report, etc. appropriate decision will be taken based on the facts in consultation with the Vice-Chancellor.
- 17.6 The two examiners shall send the individual detailed reports along with the duly filled in proforma to the Dean (Research). The Dean (Research) will forward the reports to the research supervisor of the scholar.
- 17.7 The supervisor (convener) shall prepare a consolidated report, bringing out the salient points made in the individual reports of the examiners, and place the consolidated report and the examiners' reports before the RAC. After approval of the RAC members, the minutes shall be forwarded to the Dean (Research).
- 17.8 If both examiners unanimously recommend the award of the degree, the candidate will be asked to appear for a public Viva-voce examination.
- 17.9 If both examiners give definite recommendation against the award of the degree, the thesis will be rejected.
- 17.10 If one of the examiners recommends the thesis for the award of the degree and the other examiner rejects the thesis, the thesis shall be referred to a third examiner belonging to the same category (i.e., Indian or foreign) for evaluation.
- 17.11 The third examiner will not be provided with the report of the other two examiners. If the third examiner recommends the award of the degree, the candidate will be asked to appear for a public Viva-voce examination. If the third examiner also does not recommend the award of the degree, the thesis will be rejected.
- 17.12 If the examiner(s) recommends suggestions /corrections/ modifications /alterations and does not insist on resubmission, asking the candidate to carry out the corrections/modifications in the thesis, then the candidate will be informed accordingly through the research supervisor. The candidate shall carry out the corrections suggested by the examiners. The supervisor shall furnish a certificate stating that all corrections have been carried out, which shall be endorsed by the RAC, HOD and the Dean. The corrected thesis along with the certificate shall be sent to the Dean (Research), before the Viva-voce examination.
- 17.13 If the examiner(s) recommends revision and resubmission, by one or both the points of revision shall be indicated clearly in the report(s). The necessary corrections shall be carried out by the scholar and the revised version shall be

submitted along with the Minutes of RAC meeting for resubmission of thesis to the Dean (Research), who will in turn send the corrected thesis to the concerned examiner(s). If the examiner(s) is/are still not satisfied with the revised version, the thesis will be sent to another examiner. If the revision is accepted by the examiners, the Viva-voce examination will be conducted.

18.0 PUBLIC VIVA-VOCE EXAMINATION

- 18.1 The reports of the examiners shall be made available to the convener (research supervisor) of the Viva-voce board, and the co-research supervisor (if any). The reports shall be placed in the RAC and obtain the approval for the conduct of Viva-voce examination.
- 18.2 The Viva-voce Board shall consist of the research supervisor, co-supervisor, if applicable, the Indian examiner (External Examiner) who evaluated the thesis and the Head of the Department (Internal Member). The research supervisor shall be the convener of the Viva-voce Board. The research supervisor shall consolidate the results of the Viva-voce Examination and communicate to the Dean (Research).
- 18.3 If the Indian (External) Examiner, who evaluated the thesis, is unable/unavailable to conduct the Viva-voce examination, one of the examiners from the panel of Indian examiners submitted shall be appointed by the Vice-Chancellor to conduct the Viva-voce examination.
- 18.4 The Viva-voce examination shall be conducted within two months from the date of receipt of the reports by the examiner. The Viva-voce should not be conducted on Saturday, Sunday and public holidays. The date of Viva-voce examination shall be finalized in consultation with the external examiner and Head of the Department at least 15 days prior to Viva-voce date and the same shall be communicated to the Dean (Research). The circulars for viva-voce shall be communicated to the Dean (Research), other departments, other Institutions, faculty members and research scholars, at least two weeks prior to the viva-voce examinations. A minimum of 25 members excluding the viva-voce board members shall be present for the Viva-voce examination.
- 18.5 If the Head of the Department happens to be the research supervisor, one of the senior faculty members in the department shall be recommended by the Head of the Department as an Internal Examiner and the same has to be forwarded to the Dean (Research) for approval.
- 18.6 A copy of the thesis will be kept in the Department Library for perusal by those interested in the thesis for at least 15 days preceding the conduct of the public Viva-voce examination.
- 18.7 The purpose of the Viva-voce examination is to test the understanding of the scholar on the subject matter of the thesis and the competence in the general

field of study. The scholar shall be asked to make a brief presentation before the audience and answer the questions raised by the examiners and the audience.

- 18.8 The Viva-voce examination shall be held in all seriousness befitting the solemnity of an examination and no attempt shall be made to treat it as a mere formality. The candidate and the supervisor shall not indulge in any action that may be perceived as influencing the external examiner.
- 18.9 The minutes of Viva-voce shall contain a comprehensive report including the performance of the candidate, the answers furnished by the candidate to the questions raised by the Indian and Foreign examiners in their reports, the Viva-voce board of examiners as well as by the audience. The proceedings of Viva-voce along with a list of participants with their signature, designation and address and checklist should be submitted to the Dean (Research) immediately after the Viva-voce examination (on the same day).
- 18.10 A candidate who is successful in the public Viva-voce Examination shall be recommended for the award of the Ph.D. degree by the Viva-voce Board of examiners.
- 18.11 If a candidate fails to defend his/her thesis satisfactorily in the Viva-voce examination, the candidate may be permitted to reappear for the Viva-voce after a period of three months.
- 18.12 The Viva-voce board shall recommend one of the following:
- i. that the degree be awarded
 - ii. that the candidate be re-examined in a second Viva-voce examination. (This will be done after a period of 3 months).
 - iii. that the degree be not awarded and the thesis be rejected.
- 18.13 The consolidated recommendation will be placed before the Board of Management for its approval from the date of Viva-voce examination and the Degree for the approved candidates will be awarded in the convocation in person or in absentia.

19.0 AWARD OF Ph.D. DEGREE

- 19.1 After the thesis is approved by the Board of Management, prior to the actual award of the degree in the Convocation, a certificate of completion of Viva-voce and Provisional Certificate shall be issued on written request from the scholar to the effect that the Degree has been awarded in accordance to the provisions of UGC Regulations, 2022.
- 19.2 The Ph.D. Degree Certificate shall contain the name of the scholar, photo of the scholar and also the title of the thesis along with the name(s) of the Faculty/Faculties and discipline(s).

20.0 CANCELLATION OF REGISTRATION

- 20.1 The registration of a scholar who has not submitted his/her thesis before the end of the maximum duration including the extension period for the programme.
- 20.2 The registration is liable for cancellation, if:
- i. The scholar has not paid the yearly fees within the stipulated time.
 - ii. Two successive progress reports are not submitted or not satisfactory.
 - iii. If the scholar fails to complete the confirmation of provisional registration within two years from the date of registration for the Ph.D. programme.
 - iv. Prior permission not obtained for break of study from the Dean (Research).
 - v. Does not complete the course work(s) within the stipulated time.
 - vi. If the scholar misbehaves in the University campus and acts against the rules and regulations of the University.
 - vii. The scholar wishes to withdraw from the programme and requests to cancel his/her registration.
 - viii. Extension of time (beyond six years) not obtained.
 - ix. Submission of thesis beyond three months from the date of approval of synopsis by the RAC without prior permission.
 - x. Submission of revised thesis incorporating the suggestions of any examiner beyond six months.
 - xi. The act of plagiarism involved in the research article/ synopsis/thesis.
 - xii. Communicating with the thesis examiners in any form by the scholar/ supervisor/ co-supervisor, if applicable/anybody.
 - xiii. Any violation of the rules and regulations of Ph.D. programme.
- 20.3 Under any circumstances of the above cancellation cases, the fees paid by the scholar shall not be refunded.

21.0 PUBLICATION OF THESIS

Papers arising out of the thesis may be published by the scholar and the supervisor. However, the thesis shall be published by the scholar and supervisor after the award of the degree only with the approval of the university.

22.0 THE ACT OF PLAGARISM

- 22.1 In the case of scholars who have committed the act of plagiarism in the synopsis/ thesis/journal publication, he/she shall be called for enquiry at the university and shall be advised to rectify the plagiarism and resubmit the documents with appropriate penalty. If the scholar fails to rectify the plagiarism in the documents, the thesis/degree shall be forfeited, and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other program in the university.

- 22.2 For the abetment of above such action, the recognition of his/her Supervisor shall be withdrawn for a period of five years, and he/she shall be debarred from guiding the scholars for any research program in the university during this period.
- 22.3 If any scholar has committed an act of self-plagiarism in the publications and it is ascertained by the Committee constituted by the Vice-Chancellor, such work shall not be allowed in his/her thesis and the scholar shall be fined upto Rs.50000/- with a warning to the supervisor. The synopsis/thesis of such scholar shall be accepted only based on a new publication in a referred journal (as applicable). If plagiarism is detected in the publications/thesis of any other scholar under the same supervisor, the recognition of his/her supervisorship shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars for any research program in the university during this period.
- 22.4 If plagiarism is observed at the later stage, at any point of time, the Ph.D. degree awarded to the scholar shall be withdrawn.

23.0 POWER TO MODIFY

Notwithstanding all that has been stated above, the Board of Management has the right to modify any of the above regulations from time to time only with a valid reason for the betterment of the reputation of the university.

24.0 RESEARCH ETHICS

- 24.1 All individuals conducting research in connection with the university should incorporate appropriate consideration of ethical issues into the design and management of projects.
- 24.2 Research involving interaction with environmental issues, human subjects or communities should be informed by context specific ethical practice. Scholars must respect the human rights and dignities of all those involved in any inquiry project and must appropriately address questions of consent, power relations, deception, confidentiality, and privacy. Scholars must address a range of complex issues around developing and maintaining respectful and ethical relationships with research partners based on mutual respect for academic traditions and institutional circumstances. Information and/or complaints regarding the above issues, shall be referred to the committee constituted by the Vice-Chancellor for necessary action.
- 24.3 At the time of admission, each scholar must give an undertaking that he/she shall abide by the regulations.

25.0 MISCONDUCT IN RESEARCH

- 25.1 Falsification, fabrication, or dishonesty in creating or reporting laboratory results, research results, and/or any other assignments; sexual harassment of other scholars; contacting the examiner about thesis evaluation are considered to be misconduct.
 - 25.2 Submitting plagiarized work for an academic requirement. Plagiarism means representation of another's work or ideas as one's own; it includes the unacknowledged word-for-word use and/or paraphrasing of another person's work, and/or the inappropriate unacknowledged use of another person's ideas.
 - 25.3 Submitting substantially the same work to satisfy requirements for one course or academic requirement that has been submitted in satisfaction of requirements for another course or academic requirement without the permission of the instructor of the course for which the work is being submitted or supervising authority for the academic requirement.
 - 25.4 All complaints related to research activities or any matters relating to differences among scholars or complaints about the supervisor or seeking of any information related to research shall be addressed to the competent authority. Only in the absence of any response, alternate measures shall be sought.
 - 25.5 The registration of any scholar exhibiting misconduct will be cancelled. Such a scholar will not be eligible for readmission to any of the courses of this university. Further, if such scholar receives any fellowship from the university, it will be withdrawn and the fellowship has to be refunded from the date of the last award. The Vice-Chancellor shall be the ultimate authority in imposing disciplinary actions against the scholars for acts of prohibited behavior.
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