

**Rules and Regulations
for
THE DOCTOR OF PHILOSOPHY
(Ph.D)
PROGRAMME**

2018



VIGNAN'S

Foundation for Science, Technology & Research

(Deemed to be **UNIVERSITY**)

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**VIGNAN'S FOUNDATION FOR SCIENCE,
TECHNOLOGY & RESEARCH**

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1. INTRODUCTION

The research programs and procedures are designed to ensure that a research scholar will be able to:

- gain fundamental knowledge in the chosen discipline.
- acquire in-depth knowledge in the field of research.
- use both analytical and practical research tools of the field.
- develop skills and capabilities to conduct original research.

The program shall enable the research scholar to prepare himself for a career in independent and original research and also to make a significant contribution in his/her field and profession.

The testing and examination procedures to measure the achievement of the objective is prescribed in these regulations under appropriate headings.

The objective of this document is to introduce the features, rules and regulations to be followed by all the stakeholders of the research programs.

2. DEFINITIONS

- ✓ **“Research”** means systematic study or investigation to discover new knowledge in the form of facts/patterns or new interpretation of ideas or inventions of new devices or exploration of a unified theory to explain diverse facts.
- ✓ **“Doctor of Philosophy (Ph.D)”** signifies that the awardee of the degree has undertaken a substantial piece of **original research**, which has been conducted and reported by the holder under proper academic supervision, and in a research environment for a prescribed period.
- ✓ **“Research Student/Scholar”** means a student who is admitted to Ph.D Program of the VFSTRU through the procedures adopted by the University.
- ✓ **“Research Supervisor”** means a member of the faculty of VFSTRU or a person recognized by the VFSTRU and authorized to be a guide who supervises the research work carried out by the research scholar for the award of Ph. D degree.
- ✓ **“Co-Supervisor”** means a person who may or may not be a member of the faculty of VFSTRU, who is recognized and approved by the VFSTRU to supervise the research work of a scholar jointly with a Research Supervisor.
- ✓ **The University Research Board (URB)** is the apex policy making body for Research and Development and Consultancy activities of the University.

3. ADMINISTRATION AND MONITORING

The academic research in the University is administered using three levels of hierarchy:

University Research Board, Research Monitoring Committee and Doctoral Committee. The composition of each committee is given below.

I. University Research Board (URB)

Vice Chancellor	-	Chairman
Five senior Professor/Researchers from Academic Institutions	-	Members

Five Scientists from R&D organizations or Industries	-	Members
Chancellor	-	Special Invitee
Dean (R&D)	-	Convener

The period of membership shall be for two years. The nomination of the same is made by Vice-Chancellor in consultation with Dean (R&D). The URB meets at least twice in a year.

II. Research Monitoring Committee (RMC): RMC has to monitor and implement the policies and decisions recommended by the URB. In addition, RMC monitors the progress in R&D projects and activities and makes recommendations for realizing immediate and long-term goals.

Composition of Research Monitoring Committee (RMC)

Dean R&D	-	Chairman
All Deans	-	Members
All Heads of Departments	-	Members
Two nominees of the Vice Chancellor	-	Members

The term of the nominees is for a period of two years. The RMC is expected to meet at least once in a semester.

III. Doctoral Committee (DC): DC is the body that recommends the course work, monitors and steers the progress of the research scholar.

The concerned HOD shall take care of the formation of the committee for each scholar in consultation with respective guides and forwards the same to the Dean (R&D) for approval and further action.

The constitution of the committee is as follows:

HoD/Nominee of HoD	-	Chairman
One intra departmental expert	-	Member
One inter departmental expert	-	Member
Expert from outside University	-	Member
Research Supervisor	-	Convener

The HoD/Research Supervisor should ensure the presence of external expert from outside the University in all the meetings.

Functions of the Doctoral Committee

- ✓ Shall recommend the Ph D. course work for the scholar and the same shall be submitted in the prescribed format to the Dean (Academic Registration & Evaluation) through Dean (R&D) for conducting the examination after successful completion of the contact hours.
- ✓ Shall assist to draw the Research Calendar by the scholar.
- ✓ Shall periodically perform review of the progress of all research scholars based on the report in the standard format and presentation. The bi-annual progress report of each scholar (four copies) should be certified by DC and forwarded to Supervisor, Department, Dean R&D and Scholar for records.

- ✓ The progress of the research scholar will be categorized as one of the following by the DC:
Excellent/Very Good/Good/Satisfactory/Not satisfactory.
- ✓ Suggest suitable remedial action if the scholar's progress is 'not satisfactory'. If the progress of a scholar is observed to be 'not satisfactory' for a consecutive period of two semesters, the matter shall be referred to RMC for a possible termination of the registration based on the recommendation of the DC.
- ✓ Shall assess the research work of a scholar based on a pre- synopsis seminar for submission of synopsis.
- ✓ Shall receive the synopsis of the thesis and after due verification of the compliance requirements, approve the names of external examiners for the evaluation of the thesis and forward to the Dean (R&D) for further action.
- ✓ Shall receive the comments/recommendations of the external examiners of the thesis and verify the compliance of the same after incorporation by the Scholar and submit with the Committee's recommendations to the Dean (R&D) for further action.
- ✓ Shall ensure that the work done by the scholar is authentic and not copied from any other source and does not fall into the category which could be considered as plagiarism. The research scholar and the guide (s) are required to submit a certificate in this regard.
- ✓ Shall consider early submission of thesis by outstanding research scholars and recommended.

4. ADMISSION REQUIREMENTS

4.1 Eligibility and Qualifications

4.1.1 General Guidelines

A candidate who wishes to get admitted for Ph. D program under full time/part time/ part time (external) scheme should apply in the prescribed form either by post or online on or before the due date fixed for the same.

Candidates employed in reputed research and development organizations/National Laboratories/Industries having research and development facilities recognized by Department of Science and Technology or by the VFSTR can apply for part-time(external) registration. They should have research facilities and qualified Supervisor at their work place. Vice Chancellor shall constitute a committee to examine the Institution from which the candidate is applying to ascertain the quality of research facilities. Only based on the recommendations of the committee, VC shall permit the registration of the candidates as per regulations.

Members of faculty and research staff of the VFSTR who wish to work on a part time basis for a Ph. D degree should also apply in the prescribed form on or before the due date.

Part time candidates from outside the VFSTR must be a regular faculty of UGC/AICTE approved degree/PG level engineering institutes or Scientists/Engineers employed in reputed research organizations/industries. Part-time admission will be given to the candidates who have a minimum of two years of service in any institution or industry after obtaining the basic qualifying degree.

Part-time scholar must complete his/her residential requirement by attending/completing the course work specified by DC. Ph.D scholar of VFSTR he/she should spend 80 hours per semester as compulsory resident requirement during the entire doctoral programme. Supervisor from VFSTR need to monitor and certify the same.

4.1.2 Qualifications

For engineering disciplines, candidates must have obtained PG degree or equivalent in any one of the relevant engineering specializations as recommended by the respective departments with minimum 60% aggregate marks.

For Management studies, candidates must have a master's degree in business management or any master's degree with relevant experience.

For Biotechnology and Sciences and Humanities, candidates must have a relevant PG degree or equivalent degree as recommended by the respective departments.

However, a candidate with an inter-disciplinary requisite qualification may be considered for admission with the approval of concerned department and RMC.

Candidates must have obtained a minimum of 60% aggregate marks in the qualifying degree in Engineering, Management and Science discipline, whereas 55% marks in Humanities. However, deserving/ exceptional cases may be referred to RMC.

4.1.3 Test, Interview and Admission

Shortlisted candidates have to appear for a written test and interview. All the candidates are required to qualify in a written test conducted by the University. Candidates, who have qualified in the GATE/CSIR/NET/CAT/SLET/GPAT examination, are exempted from written test for Ph. D admission. However, they should appear for the interview.

Candidates who are recommended for selection by the concerned department are to be approved by the Dean (R&D) and Chairman, URB respectively. The approved selection list shall be sent to Dean (Admission) for further action.

Candidates will be admitted in to the Ph. D program after payment of prescribed fees and completion of all the admission procedures. Admitted candidates will report to the concerned department; a committee appointed by HoD will allot Research Supervisor for each candidate on mutual consent.

4.2 FEES PARTICULARS

On selection for admission, candidates shall be required to pay the prescribed fee as determined by the University from time to time. The fee and deposits have to be paid on or before the stipulated dates regularly every semester, till the successful completion of the program and submission of thesis or cancellation of the admission as is the case maybe. If the fee is not paid by the stipulated due date, a late fee will be levied. Nonpayment of the prescribed fee beyond the extended due date will lead to the cancellation of admission.

4.3 RESIDENTIAL REQUIREMENTS

The residential requirement (**availability/presence of the scholars in the campus/department**) is essential to build the research atmosphere in the University and completion of the prescribed course work. The fulfillment of residential requirement has to be certified by the DC at the time of submission of his/her thesis.

The full-time scholar for the Ph. D program should normally carry out his/her research work at the University. In special cases, depending on the merit of each case, the DC may permit a scholar to do part of his/her work in another institution/organization.

All the scholars registered for Ph. D at VFSTR shall make at least one presentation every semester of his/her work on a date and time as directed by the DC. A copy of the semester progress report with the comments of the DC must be sent to the Dean (R&D).

For part time students, the residential requirement is a minimum of four weeks in the first year and must complete 80 hours per semester as compulsory resident requirement during the entire doctoral programme.

4.4 DURATION OF THE PROGRAM

Research scholars can submit the thesis only after completing a minimum of three years from the date of registration.

4.4.1 Maximum Duration:

The maximum duration to submit the thesis is six years from the date of registration. However, the RMC may extend the period of submission of the thesis by another two years on valid reasons and on the recommendation of the DC. The extended period is given for only one year and additional extension is sought before completion of the one year, if required.

The 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 up to 90 days.

4.4.2 Early Submission:

If a research scholar desires to submit the thesis prior to the completion of three years, Early submission for outstanding candidates is allowed as per case, with due recommendation by Doctoral Committee and with approval of Vice Chancellor.

5. ADMISSION PROCESS

5.1. Initiation

Normally, Dean (R&D) shall call for the information one month before the end of every semester from all the Heads of the Departments (HoDs) regarding the number of Ph. D vacancies to be filled up. Once the total number is known, the same is communicated by Dean (R&D) to Dean (Admissions) for further action.

After the due date, all the applications received by Dean (Admissions), are sent to HoDs of respective departments for scrutiny. The departments' shortlist the candidates based on the eligibility of the candidates and the requirement at that particular time. Shortlisted candidates list will be sent to the Dean (Admissions), who in turn will send out call letters to the shortlisted candidates for attending written test/ interview.

5.2. Written Test/Interview

Every candidate has to appear for a written test at the date and time mentioned in their call letter sent from VFSTR by the Dean (Admissions). Candidates who have qualified in the tests like GATE/CSIR/NET/CAT/SLET/GPAT are exempted from the written test. The shortlisted candidates of the written test examination will be asked to appear for interview before a committee duly appointed by the Vice Chancellor.

The list of short listed/selected candidates after the interview is recommended by Dean (R&D) and approved by Vice Chancellor. The list is then forwarded to Dean (Admissions), who will send the admission letters to the candidates. All selected candidates are expected to report to the Dean (Admissions) office before due date for completing the formalities such as verification of the certificates, payment of fee etc. The Dean (Admissions) shall send the list of candidates who have reported to to the Dean (R&D) for information. The candidates after completing the formalities with the Dean (Admissions) office are to report to the concerned HoD. The HoD of respective departments will allot the Research Supervisors for individual students on mutual consent. The finalized list of candidates along with the names of the Research Supervisors and the doctoral committee members will be sent to the Dean (R&D) for further action.

Immediately after the admission of all the Ph. D scholars, each Research Supervisor initiates the process of formation of DC for each candidate as per the 'Rules and Regulations of VFSTR'.

A 'Research Calendar' is drawn as described in section 5.5 for each candidate once the DC is approved by the HoD. The Dean (R&D) shall maintain the list of all the Ph. D registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/ registration etc.

5.3 Allocation of Research Supervisors

After the interviews and the selection of candidates, tentative allotment of research scholars to Research Supervisors will be made by the HoDs taking into consideration the preferences of the research scholars and guides with their mutual consent obtained in writing. The list of selected candidates along with their Research Supervisors is forwarded to the Dean (Admissions), who in turn forward the same to Dean (R&D), after satisfying with all the admission procedures.

If any candidate did not find a suitable Research Supervisor within the department, he/she can seek for Research Supervisor from within the University. If not, the HoD in consultation with the candidate can appoint an Co-Supervisor from other related Institutions, approved by the University. However, an internal Research Supervisor will be allotted for such candidates by the HoDs.

In the case of part-time/external candidates, the Research Co-Supervisor may be chosen by the scholars from their own organization or from any other organization duly approved by VFSTR. In such cases, the admission process is deemed to be completed only after the written acceptance and allotment of the Research Co-Supervisor. In such case also, department will appoint a Research Supervisor to the candidate.

5.4 Research Supervisors and their Eligibility Requirements

- ✓ Any regular Professor of the University with at least five research publications in refereed journals (SCI/SCI-E/Scopus) and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals (SCI/SCI-E/Scopus) may be recognized as Research Supervisor.
- ✓ Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a faculty member as a Research Supervisor with reasons recorded in writing.
- ✓ Only a full time regular teacher of the 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 or from other related institutions with the approval of the DC.
- ✓ The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview.
- ✓ 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/ Faculty/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions/ Colleges/Industry.
- ✓ A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph. D scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph. D scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph. D scholars.
- ✓ In case of relocation of Ph. D woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency.

- The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- ✓ Any change of Research Supervisor (s) under appropriate request, either from the Research Supervisor or from the scholar, the DC will evaluate the merit of the case and may recommend the same to the RMC for approval.
 - ✓ When a Supervisor of a scholar happens to be away from the University for more than six months, he/she shall continue to guide the scholar, but a Supervisor-in-charge shall be nominated by the Dean (R&D) in consultation with HoD.
 - ✓ The Supervisor who retires from service shall continue to guide a scholar already registered under him/her provided the provisional registration of the scholar is confirmed, upto a maximum period of one year from the date of his/her retirement on his/her written request. If the scholar has not submitted the thesis within one year, a Joint Supervisor shall be nominated by the Dean (R&D) based on the request of the Supervisor and/or the recommendation of the HoD.
 - ✓ When a Supervisor migrates to other University / Institution, such Supervisors shall be permitted to guide the scholars already registered under him/her provided their provisional registration is confirmed, otherwise an alternate Supervisor shall be nominated by the Dean (R&D) based on the request of the Supervisor and / or the recommendation of the HoD of the Supervisor. However, a Joint Supervisor shall be nominated by the Dean (R&D), in consultation with HoD, to take care of the administrative and research responsibilities of the scholar.

5.5 Research Calendar

The Research Calendar specifies for a scholar regarding his/ her course work schedules, timelines for finishing the course work, collection/review of literature, problem identification, half-yearly report submissions, research/review seminars, submission of synopsis and submission of final thesis. The scholar submits his/her tentative Research Calendar, in consultation with Supervisor, in the Zeroth DC Meeting. The DC will keep track of the progress of the scholar based on his/her Research Calendar and suggest suitable remedial actions as and when required.

6. REGISTRATION

6.1 Full Time/ Part Time/ Part-Time (External)

The VFSTR shall admit students to the research program leading to Ph. D degree under the following categories.

6.1.1 Full Time: Students under this category shall work full time for Ph. D course work and thesis and may receive assistantship from the University or fellowship from external agencies like CSIR/ UGC or any other recognized funding agency or may be self- financed.

6.1.2Part Time: Candidates employed (full time) in academic institutions/universities (including VFSTR)/R&D organizations recognized by a regulatory body or industries that have facilities for research (approved by VFSTR) may be considered for admission into the Ph. D program of the University, under the supervision of a Research Supervisor from VFSTR, through the normal admission procedure. They shall fulfill the stipulated eligibility and other requirements for Ph. D admission. These candidates shall be from institutions/universities/organizations that are within 100 km radius from VFSTR. This is to enable the research scholars to visit and meet the guide frequently and also to make use of the research facilities in the University.

6.1.3Part-time (External) Candidates working in research and development establishments / Industry with adequate research and library facilities may be considered for admission in to Ph. D program provided they satisfy the minimum eligibility conditions. There must be a competent and qualified person to supervise his work in that organization or locally, duly approved by VFSTR. The identified Co-Supervisor from such organization should give a willingness letter to guide the scholar in the prescribed format at the time of admission.

The concerned departments will have to identify a Research Supervisor to each of such candidates who would work under the external registration scheme.

6.2 Change of Registration Status

A student admitted to part time/external registration program may be allowed to change his/her registration to full time on the recommendation of DC and with the approval of RMC. However, for such cases the maximum duration of the program will be decided by the RMC case by case.

Similarly, a student admitted to a full time Ph. D program may be permitted to change his/her registration to part time based on a request from him/her, provided:

- ✓ he/she has completed the prescribed course works.
- ✓ the request is endorsed by the Supervisor(s) and the DC.
- ✓ a 'No Objection Certificate (NOC)' is obtained from the Head/ Dean of the Institution/University/ Organization which he/ she proposes to join.

6.3 Cancellation of Registration

The registration of a research scholar shall be cancelled by the RMC, under any one of the following conditions, based on the recommendation of the DC:

- ✓ the progress is not satisfactory for a period of two semesters consecutively
- ✓ he/she has not duly registered for any semester
- ✓ he/she could not obtain satisfactory grade in comprehensive viva, even in three attempts.
- ✓ he/she has not submitted the thesis by the end of the extended period as per prescribed norms
- ✓ fails to clear each prescribed course with a minimum of 60% marks in two attempts

7. COURSE WORK

The Ph. D program is aimed at giving a broad-based training in the concerned field in addition to specialization in a particular area. The scholar has to satisfy the following requirements successfully to complete the course works:

- ✓ Complete a minimum of four courses that are prescribed by the DC during the first meeting (Zeroth DC). These courses include: 1) Research Methodology (4 Credits), 2) Two Core courses related to the research topic and 3) Technical writing (2 credits). First and third mentioned courses are common compulsory courses for all the scholars.
- ✓ Obtain a minimum attendance of 75% per subject.
- ✓ Obtain a minimum of 60% marks in each course.

The full-time candidates may attend classes along with PG students of the respective department or allied departments if the subjects prescribed to them are offered in the ongoing PG programs.

The external and part time candidates will be permitted to write the examination after attending the classes along with PG students or the classes conducted exclusively for them.

The credit assigned to the Ph.D. course work shall be a minimum of 12 and maximum of 16 credits. This would be 6 credits from compulsory courses (Research Methodology – 4 credits, Technical writing – 2 credits). Remaining 6 credits would be from the core area of research.

All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the DC during the initial one or two semesters.

PG level online courses, in line with UGC norms, may be accepted as pre-Ph D course work after due approval of the Doctoral Committee. For such courses, an external examination may be conducted by the university as per the existing procedure, by considering the online examination marks as internal assessment marks.

A comprehensive viva shall be conducted at the end of first year (after completing the prescribed course works). The scholar has to successfully complete the comprehensive viva with a minimum 'satisfactory grade'. The registration will be cancelled if he/she fails to obtain satisfactory grade in three attempts.

8. PROGRESS REPORT

After successful registration of the programme, the Zeroth Doctoral Committee for the candidate would be convened by the department. During this meeting, the course works and research calendar of the student should be finalized.

The topic of the research work should be decided and presented in the first DC meeting (within 6 months of registration). Any change in the topic has to be reported to DC through prescribed form.

A research scholar shall submit, at the end of every semester, a progress report of research work done by him/her in the prescribed format through the guide who shall forward it to the DC. The research scholar shall as well appear before the DC once in every semester to present his/her work for progress evaluation. The progress of the research scholar will be categorized as one of the following by the DC:

Excellent/Very Good/Good/Satisfactory/Not satisfactory

The progress report is then forwarded to Dean – R&D for necessary action. Not satisfactory report in two consecutive DC meeting should be reported to RMC who in turn should assess the case separately to decide the continuity of the scholar.

9. LEAVERULES

All the Research Scholars are eligible for 15 days of casual leave in a calendar year on pro-rata basis. The total period of absence through casual leave should not be more than 10 days at a time. Head of Department, through concerned Supervisor would be the competent authority to sanction the leave.

Medical leave up to 10 days in a calendar year is admissible to Research Scholars on valid medical grounds, with the production of medical certificate issues by authorized medical authority. Registrar, with the recommendation from Supervisor and Head of the Department, would sanction medical leave for a stretch of maximum 6 days continuous.

Academic Leave of 15 days in a calendar year is permissible to Research Scholars for attending conferences and workshops, with due approval from the Supervisor, Head of the Department and Dean (R&D). ‘On Duty’ leave may be granted to Scholars for visit / work at other Institutions for carrying out the approved research work, with due approval from the Supervisor, Head of the Department and Dean (R&D).

10. PRE-SYNOPSIS SEMINAR

It is mandatory for every scholar, prior to the submission of the dissertation/thesis, to make a presentation in the Department before the Doctoral Committee, which shall also be open to all faculty members and other research scholars. The feedback and comments obtained during the pre-synopsis seminar may be suitably incorporated in the synopsis/thesis in consultation with the Research Supervisor.

After successful presentation of the pre-synopsis seminar and incorporating all the suggestions made, the research scholar may be allowed for the submission of the synopsis with approval of the Research Supervisor through the HoD concerned to the Dean (R&D) for conduct of synopsis viva.

10.1 Guidelines for Pre-Synopsis Report/Seminar

During the seminar, the presentation must cover the following aspects.

- ✓ Objectives and scope of the study
- ✓ Literature survey
- ✓ Identification of the research gaps based on literature review
- ✓ Problem formulation
- ✓ Research methodology
- ✓ Experimentation/ Data collection/Analysis

- ✓ General conclusions
- ✓ Specific contributions and conclusions
- ✓ Details of publications in journals and conferences
- ✓ Further scope of research
- ✓ References

The presentation should mainly concentrate on the candidate's work/contribution. The suggestions given during the seminar may be appropriately taken up in consultation with the guide.

11. SYNOPSIS OF THESIS

The synopsis of the thesis may be submitted after fulfilling the following conditions:

- ✓ Successful completion of all the prescribed courses
- ✓ Successful presentation of the research work in DC meetings (minimum 6 meetings)
- ✓ Satisfactory completion of the research work
- ✓ Satisfactory completion of pre-synopsis seminar.

The candidate shall submit six copies of the synopsis of the Ph. D work carried out in the prescribed format along with application form to the Dean – R&D through the HoD.

The synopsis shall be accepted only when the research scholar has at least two papers either published or accepted for publication in a SCI/SCI-Expanded/Scopus journal (to be assessed and accepted by DC).

Candidate also should have participated and presented his/her work in at least two National / International conferences.

The synopsis viva meeting shall be organized by the Dean (R&D). After satisfactory synopsis presentation of the research work, the Research Supervisor shall forward two copies of the revised synopsis (if revision of the same is recommended by the DC) and feedback report of the synopsis viva to the Dean (R&D) together with the panel of examiners. The suggested panel of examiners has to be duly approved by the DC.

Thesis rough draft as per the guidelines has to be submitted during the synopsis viva. Dean (R&D) shall forward the thesis for plagiarism check and language and grammar correction.

The selection of examiners from the suggested panel will be done by the Vice-Chancellor.

Dean R&D shall send the synopsis to the examiners for their approval. The acceptance for thesis examination/ evaluation should be received within two weeks. Dean R&D is expected to be in contact with the examiners for this purpose. After two weeks, if no reply is received, an alternative examiner may be appointed by the Vice- Chancellor for evaluation the thesis.

12. PREPARATION OF Ph. D THESIS

The thesis shall be prepared in an organized and scholarly fashion with an account of the original research work of the candidate leading to new techniques or correlation of facts already known (analytical, experimental etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge. It should as well exhibit the candidate's ability to undertake independent research and present the findings in an appropriate manner with actual accomplishments of the work, plainly stated and honestly appraised.

Thesis shall qualify with the accepted level of similarity index. Two copies of the thesis shall be submitted to the Dean (R&D) in accordance with the format and specifications prescribed. Thesis shall be submitted within one month from the date of approval of the synopsis by the DC.

The thesis shall include a certificate from the concerned Research Supervisor (and co-supervisor, if any) to the effect that the thesis is a record of *bonafide* research work carried out by the candidate under his/her/their supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a degree or a diploma. A similar certificate from the scholar is also included in the thesis regarding the authenticity of the work.

The candidate shall submit a no dues certificate from all concerned during the submission of the thesis.

13. SUBMISSION OF THESIS

Each Candidate, after completing the necessary formalities, is required to submit his/her thesis along with the duly filled in prescribed application form and the evaluation fee (as fixed by VFSTR), within one month after the approval of synopsis.

Vice-Chancellor shall recommend/tick one Indian and one foreign examiner for thesis evaluation from the panel of examiners approved by the DC.

Dean (R&D) shall send the thesis to the examiners, after getting their formal acceptance. The maximum recommended duration of waiting for the report on thesis is two months. After that Dean (R&D) shall inform the concerned examiner and can send the thesis to alternate examiner approved/ appointed by Vice-Chancellor. In short, the Dean (R&D) is expected to take necessary action to receive the report from the examiners at the earliest. The information regarding the status of evaluation shall be sent to the HoD and the research supervisor periodically.

The final VIVA voice shall be conducted in the presence of the committee under the chairmanship of Dean R&D, and with HoD, Guide (s) and the Indian thesis examiner as members.

14. THESIS EVALUATION

After successful submission of the thesis by the scholar, the research supervisor shall present a list of ten examiners (five from India and five from abroad) and the same shall be discussed in the DC and accepted with the changes, if any.

The thesis shall be forwarded by the Dean (R&D) to two examiners (one Indian and one foreign), selected by the Vice Chancellor from the suggested panel of examiners.

The Dean – R&D shall take necessary steps to get the reports from the examiners as quickly as possible. The examiners are expected to send their reports in the prescribed format within two months from the date of receipt of the thesis. If not, Dean (R&D) shall inform the concerned examiner and can send the thesis to alternate examiner approved/ appointed by Vice-Chancellor.

The examiner shall include in his/her report, an overall assessment, in the prescribed format, placing the thesis in one of the following categories:

- a. Recommend that the thesis be accepted in its present form
- b. Recommend that the thesis be accepted subject to:
The incorporation of corrections as indicated in the report(OR)Satisfactory clarifications to the questions raised in the evaluation report during viva-voce examination
- c. Recommend the thesis be revised as suggested in the report and sent me for evaluation (OR) refer to the Supervisor of the candidate for verification.
- d. I do not recommend acceptance of thesis for the reasons set out in detail.

If all the examiners recommended for the award of the degree, the thesis shall be provisionally accepted. The comments of the external examiners of the thesis shall be sent to the guide as soon as they are received, for necessary action and to prepare an Action Taken Report (ATR). Any minor revisions, modifications etc., suggested by the examiners shall be addressed/answered by the candidate in the ATR and shall be presented through the research supervisor to the DC and get approved. The same shall be appropriately included in the final copy of the thesis.

If all the examiners recommended rejection, the thesis shall be rejected and the registration of the research scholar shall be cancelled.

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 conducting the *viva-voce* examination. If the evaluation report of the external examiner is unsatisfactory and does not recommend *viva-voce*, the Dean (R&D) shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners as recommended by the Vice-Chancellor. The *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

The ATR is prepared by the scholar for the comments/ queries made by the external thesis examiners and is presented to the chairman of the Oral Defense Evaluation Committee and the examiner during the oral examination for their approval. The same shall be incorporated in the thesis and the revised copies of the thesis with the approval of the Doctoral Committee shall be submitted by the research scholar to the HoD, Library and Dean (R&D) for records.

Individual cases not covered by the above clauses shall be referred to the RMC. On deemed fit reasons, the RMC in turn shall refer to the DC, if necessary.

15. ORAL EXAMINATION

Open viva voce and **Oral Defense Evaluation Committee (ODEC)** evaluation must be done separately. The **ODEC** shall conduct the oral examination of the candidate, after the completion of the public presentation of the thesis work by the candidate. ODEC should have the following composition:

- ✓ Dean – R&D - Chairman
- ✓ One of the examiners who has evaluated the thesis
- ✓ HoD of the concerned department
- ✓ Research Supervisor(s)
- ✓ Members of the Doctoral Committee

The ODEC shall verify whether the scholar has fulfilled all the norms and conditions of VFSTR. The decision of the ODEC shall be final in this regard. ODEC shall forward the minutes of the meeting to Dean (AR&E) for further formalities.

16. AWARD OF Ph. D DEGREE

If the ODEC is satisfied with all the procedures followed and completed, it shall recommend that the candidate may be awarded the Ph. D degree. The decision of the ODEC is then forwarded through Dean (AR&E) to the Board of Management for the formal final approval.

17. PUBLICATION OF THESIS

A copy of the thesis and e-copy shall be sent to the library reference section and as well be uploaded on to the University website by the Dean (R&D).

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

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

18. THE ACT OF PLAGIARISM

In case of any malpractice such as plagiarism etc. are reported/ observed and proved, then the DC shall recommend that the thesis submitted for the award of Ph. D degree shall be forfeited and his/her research registration shall be terminated.

He/ She shall be debarred to register for any other program in VFSTR. Also, the recognition of his/her guide shall be withdrawn for a period of five years and the guide and co-guide (if any) shall be debarred from guiding the research scholars for any research program in VFSTR till such period.

19. POWER TO MODIFY

Notwithstanding to anything mentioned in the above said rules and regulations, the University Research Board reserves the right to modify any part or all of the above said regulations from time to time.