



RAMA UNIVERSITY UTTAR PRADESH, KANPUR
MANUAL FOR DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAM

The provisions of this Manual are in consonance with the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022. In case of any doubt or discrepancy, the provisions of the aforesaid Regulations shall prevail.

1. DESIGNATION OF THE DEGREE

- (a) The Ph.D. degree shall be designated as Doctor of Philosophy of Rama University
Uttar Pradesh, Kanpur.

2. DEFINITIONS

In these regulations, unless the context otherwise requires –

Academic Council (AC) means Academic Council of the University.

Applicant means an individual who applies through the prescribed application medium for admission to the Ph.D. Program of the University.

Candidate mean a person registered for the Ph.D. Program of the University.

CoE mean Controller of Examinations of the University.

Competent Authority means any authority in relation to the exercise of powers under this manual to whom or to which the power has been conferred.

Co-Supervisor means an additional Supervisor from the University or an outside organisation approved by ViceChancellor,RU to help in the research work of the Candidate.

Course Work means the courses prescribed as a part of the Ph.D. Program, which the Candidate shall successfully complete as a pre-requisite towards fulfillment of requirements of Ph.D. Program.

Credit means a number indicating the weightage assigned to a Course Unit, project, research work or any other academic component, in conformity with the credit hour instructional requirement.

Department means a sub-unit of a constituent Faculty of the University offering programs in a specific specialization and engaged in research in that specific domain.



Departmental Course Work A course work offered by the Department which carries out research in the preferred research domain of the Candidate.

Examiner means a subject expert appointed to evaluate the thesis and/ or called for Oral Defense of the thesis.

Executive Council (EC) means the Executive Council of the University.

Faculty means an Academic Unit established by the University to carry out teaching and research.

FRC means Faculty Research Committee.

Full-time Candidate means a Candidate registered for a Ph.D. devoting full time for completing the requirements of the Program.

Intake means the number of Candidates sanctioned for admission to Ph.D. Program.

M.Phil. means Master of Philosophy degree.

NRI/FN/PIO means Non-Resident Indian/Foreign National/Person of Indian Origin.

ODC means Oral Defense Committee constituted for Final examination of Ph.D. thesis.

Part-time Candidate means a Candidate who is registered for the Ph.D. Program devoting only a part of his/ her time towards the pursuit of Ph.D. Program while discharging his/ her official obligations.

Ph.D. means the degree of Doctor of Philosophy of Rama University Uttar Pradesh, Kanpur.

Pre-submission means final report and presentation after completing the research work and its pre-requisites, before being allowed to submit thesis.

RAC means the Research Advisory Committee.

Refereed Journal means a reputed professional journal or literary journal or a publication in which the research articles or papers are selected for publication by a panel of expert referees in the field.

Registration Period means the length of time commencing from the date of Registration after payment of fees and ending on the date of submission of the thesis.

Registration means formal enrolment of a Candidate in the Ph.D. degree Program.

Relative means the relations defined in section 6 of the Companies Act, 1956 and includes the wife's (or husband's) brother, wife's (or husband's) father, wife's (or husband's) sister, brother's son and brother's daughter.



Statutes, Rules and Regulations mean, respectively, the Statutes, Rules and Regulations of the University.

Supervisor means a member of the academic staff of the University, approved by URC to supervise the research work of the Candidate.

Synopsis means the research protocol submitted in the prescribed format by the Candidate for the proposed research work for Ph.D. Degree.

Title means the Title of the synopsis which is approved by the FRC and on which the Ph.D. Degree shall be awarded to Candidate upon successful completion.

UGC means the University Grants Commission established at New Delhi under University Grants Commission Act, 1956.

University means the Rama University Uttar Pradesh, Kanpur.

ViceChancellor means the Vice Chancellor of the University.

Website means the website of the University at www.ramauniversity.ac.in.

3. ADMINISTRATION OF THE DEGREE

(a) Academic Council shall exercise general supervision over the policies for the Program leading to award of Ph.D., subject to the provisions of the UGC Regulations and the University Statutes.

(b) The AC will regulate the Ph.D. Program through the following:

- i. Faculty Research Committee (FRC) at each Faculty.
- ii. Oral Defense Committee (ODC) for each Candidate.
- iii. Research Advisory Committee (RAC) for each research Candidate.

(c) The execution of the Program shall be done by the Dean, Research & Development (at University level).

4. ELIGIBILITY FOR ADMISSION TO PH.D. PROGRAM

(a) A Candidate for pursuing research for a Ph.D. Degree of the University must hold a Master's Degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an



authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

- (b) 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 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 marks procedures.
- (c) An Equivalence Committee may be constituted by the Vice Chancellor to consider applications other than those covered under Clause 4(a). It may propose other qualifications in specific areas, consistent with the norms of the statutory bodies, to the ViceChancellor for its recommendation to the AC for approval.
- (d) If considered necessary, FRC may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the ViceChancellor for its recommendation to the Academic Council for approval.
- (e) In exceptional cases a Candidate holding a Master's degree in an allied subject may also be considered for admission.
- (f) Students appearing for final year or final semester of their post- graduate degree examination will also be eligible to appear for the admission process subject to the fulfillment of minimum eligibility criteria in the final result.

5. INTAKE OF PH.D. PROGRAM

- (a) The University shall decide on an biannual basis through its academic units a predetermined and manageable number of Ph.D. Candidates to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the Candidate-teacher ratio, laboratory, library and such other facilities.



(b) The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

6. PROCEDURE FOR ADMISSIONS

- (a) Applications for admission to Ph.D. Program shall be invited through an open advertisement, for pre-determined intake for each research domain in the prescribed form as laid down by the University, from time to time.
- (b) The University shall admit Ph.D. Candidates only through an entrance test conducted by the Admission Cell of Rama University. It shall be conducted for different research disciplines by the University itself at the Centre(s) notified in advance.
- (c) The syllabus of the Entrance test shall consist of 50% of research methodology and 50% shall be subject specific. It shall consist of two parts, based on questions with short answers/MCQ. First part will consist of Research Methodology, covering questions from Logical Reasoning, Quantitative Analysis and Data Analysis and Interpretation, General Awareness and English Language. The second Paper shall include subject specific questions from the domain in which the applicant wishes to pursue research.
- (d) The Entrance Test shall be qualifying with qualifying marks as 50%.
- (e) An interview/viva voce shall be organized where the Candidates are required to discuss their research interest/area through a presentation before a duly constituted FRC. The interview/viva voce shall also consider the following aspects, viz. whether:
- i. the applicant possesses the competence for the proposed research;
 - ii. the research work can be suitably undertaken at the University;
 - iii. the proposed area of research can contribute to new knowledge.
- (f) After conducting Personal Interview of candidates at respective Faculty/ Department by respective FRC the final result will be declared for admission of the candidates.
- (g) The University reserves the right to limit the number of Candidates to be



admitted to the University at any time. The resources and other facilities/fiscal constraints would guide this decision.

- (h) In the case of international Candidates, the Entrance Exam may be arranged online and subsequent presentation/interview be held through video conferencing. In addition, such Candidates will normally be required to submit three letters of recommendation.
- (i) Entrance Test may be exempted for the following cases:
- i. Applicants who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/ SLET/ GATE/ GPAT *or* hold ICAR (ASRB)/ ICMR/ DST-INSPIRE fellowships in the preceding two years from time of applying for Ph.D. *or*
 - ii. Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Program through an Entrance Test *or*
 - iii. Candidates who were admitted previously to a Ph.D. Program at a recognized university through an Entrance Test and wish to transfer to the Ph.D. Program at Rama University. Such applicants will still have to appear before FRC for an interview/viva voce.
- (j) The University shall maintain the list of all the Ph.D. registered Candidates on its website on year-wise basis, which shall include name of the registered Candidate, topic of research, name of the supervisor/co-supervisor, date of registration.

7. PH.D. CANDIDATE CATEGORY

- (a) **An Indian national applying** for admission to the Ph.D. Program shall apply under one of the categories given below. The Ph.D. mode option (Full time/Part time) permitted against each category is also mentioned.
- i. Candidates who are awarded National Fellowships through National Competitive Examinations. (Full-time Registration only)
 - ii. **Regular Self-Financed Candidate:** students, self-employed or other working/ non-working Candidates. (Full-time/ Part time Registration based on employment status)
 - iii. **Sponsored Candidate:** Sponsored Candidates getting Government/ Semi Govt./ Private or other Scholarships/ Fellowships/stipends, who apply for



admission through the sponsoring organizations. (Full-time/ Part time Registration based on employment status)

- iv. **Corporate Research Candidate:** Candidates working with reputed organizations in India and having at least five years experience and possessing minimum prescribed academic qualifications. (Part-time Registration only)
 - v. Candidates who are working in Labs **under MoU** with the University. (Full-time/ Part time Registration based on employment status)
 - vi. **Candidates working as JRF/SRF/RA** in organizations **not under MoU** with the University. (Part-time Registration only)
 - vii. **Working Faculty outside the University:** Faculty members of other Universities/Institutes, possessing minimum prescribed academic qualifications. (Part-time Registration only)
 - viii. **Regular Academic Staff of the University:** Regular academic staff of the University. (Part-time Registration only)
 - ix. **Regular Non-Academic Staff of the University:** Regular member of non-academic staff of the University. (Part-time Registration only)
- (b) **An NRI/FN/PIO** will apply under the foreign Candidate category. (Ph.D. Full/ Part time based on employment status)

8. MODE AND DURATION

- (a) The University shall not conduct Ph.D. Program through distance education mode.
- (b) Registrations for Ph.D. Program shall be done in two modes:
 - i. **Full-time:** A Full-time Candidate means a Candidate devoting full time for completing the requirements of the Program.
 - ii. **Part-time:** A part-time Candidate means a Candidate who is devoting a part of his/ her time towards the Program while discharging his/ her official obligations. Registrations in this mode will be allowed provided all the conditions mentioned to the extant Ph.D. regulation are met.
- (c) The applicant for Part-time Ph.D. should:
 - i. prove to the satisfaction of FRC that his/ her official duties permit him/ her to devote sufficient time for research.



- ii. ensure that facilities for pursuing research are available at his/ her place of work in the chosen field of research, wherever required.
- (d) A Candidate may be allowed for valid reasons to change his/ her status from part-time to full-time or vice-versa on the recommendations of the FRC and with the approval of the ViceChancellor.
- (e) Minimum Registration period for a Full-time Candidate shall be 3 years and for a Part-time Candidate shall be 4 years. Maximum duration in case of both the modes shall be 6 years.
- (f) In case a Candidate fails to submit the thesis in the stipulated period, he/ she shall cease to be bonafide student of the University and shall not be entitled to the rights and facilities extended to regular students.
- (g) A Candidate may, under special circumstances, be permitted by the Vice Chancellor a further extension of maximum three years to submit thesis, on collective recommendations of the supervisor, RAC/ FRC concerned. Extension can be granted on year by year basis.
- (h) 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 240 days.

9. REGISTRATION TO THE PH.D. PROGRAM

- (a) The date of registration of the Candidate shall be the date of the payment done by candidate for registration. i.e. date of payment of registration fees. The candidate will be issued registration letter after registration done by the candidate. The registration period will end on the date of submission of thesis.
- (b) During the period when the Registration of the Candidate is in force, the Candidate shall pay the prescribed and other applicable fees to the University at the notified time intervals.

10. COURSE WORK

- (a) Each Department of a Faculty shall offer a bouquet of Course work related to its core research areas. All courses prescribed for Ph.D. course work shall be in



conformity with the credit hour instructional requirement duly approved by the authorized academic bodies.

- (b) After Registration each Candidate shall undergo a course work as a pre-requisite for Ph.D. preparation.
- (c) A minimum 12 credits course work shall be mandatory for all the registered Candidates (as per UGC guidelines).
- (d) The FRC may recommend additional courses based on the research area and academic background of the Candidate, subject to a maximum of 16 credits.
- (e) The Course work may be graded based on a written exam *or* an assignment *or* a publication. This shall be decided in advance at the time of the allocation of each Course work.
- (f) A Ph.D. Candidate has to obtain a minimum of 55% 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 Program and submit the dissertation/thesis.
- (g) The minimum credits through course work needs to be completed within the first two semesters for Full-Time as well as Part-time Candidates failing which the Registration of the Candidate shall be cancelled.
- (h) The FRC will not conduct the synopsis presentation of the candidate unless the Candidate has earned the requisite Course Work Credits.
- (i) Candidates already holding M.Phil. Degree and admitted to the Ph.D. Program, or those who have already completed the course work in M.Phil and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work.
- (j) Equivalent course credits may be transferred to the University if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the Candidate at another recognized university at the similar level.

11.ALLOCATION OF SUPERVISOR



- (a) The University shall decide on an annual basis a predetermined and manageable number of Ph.D. seats in each domain depending on the number of the available eligible Faculty Supervisors based on applicable statutory norms.
- (b) Any regular Professor of the University with a Ph.D. degree and at least five research publications in refereed journals and any Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals shall be eligible to be a Ph.D. Supervisor.
- (c) 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 person as Research Supervisor with reasons recorded in writing.
- (d) Only a full time regular teacher of the University can act as a Supervisor. An external Supervisor is not allowed. However, Co-supervisor may be allowed in inter-disciplinary areas from other department of the same institute or from outside organizations with approval of the ViceChancellor, RU.
- (e) The allocation of Supervisor for a Candidate shall be decided by the concerned FRC depending on the number of Candidates per Supervisor, the available specialization among the Supervisors and research interests of the Candidates as indicated by them at the time of Personal interview/viva.
- (f) No change of supervisor shall ordinarily be allowed, but in special cases, where the research work of a Candidate will suffer because:
- i. the supervisor may not be available to guide the Candidate on account of migration, retirement, long leave, or for any other reason; *or*
 - ii. the supervisor is not willing to, or not in a position to supervise a Candidate, *or*
 - iii. due to existence of extra-ordinarily situations necessitating such a change;
- in such a case the FRC may recommend a change of supervisor to the ViceChancellor, who may approve change of the supervisor.
- The FRC, at its discretion, may also decide whether change of supervisor will require fresh registration of the Candidate.
- (g) At any point of time, total number of Ph.D. seats shall not exceed eight for a Professor, six for an Associate Professor and 4 four for an Assistant Professor.
- (h) A supervisor shall not be allowed to supervise a Candidate who is his/her relative



whether by blood or by marriage.

12. APPROVAL OF SYNOPSIS

- (a) After passing the coursework exam of the Ph.D. Program, a Candidate shall be required to prepare his/ her Synopsis in consultation with the allocated Supervisor and make a presentation to the FRC. The Synopsis should cover the following:
- i. Proposed Title of research work
 - ii. The Review of related Literature (including Summary of the current technology/developments)
 - iii. The Statement of the Problem of the proposed research work
 - iv. The rationale of the Study
 - v. Outline of research proposal
 - vi. Objectives of research proposal
 - vii. Proposed methodology/ hypothesis(es)
 - viii. Possible applications of the proposed research
 - ix. Name of proposed Supervisor and/ or Co-supervisors
- (b) The presentation shall be made within two months after allocation of Supervisor and the Synopsis should reach the FRC members at least one week before the date of presentation.
- (c) The FRC may act on any of the following courses:
- i. upon making itself satisfied with the proposed Synopsis constitution of the RAC is done; *or*
 - ii. if not satisfied with the Synopsis, ask the Candidate to re-submit a revised Synopsis.
- (d) The Candidate can make another presentation before FRC within one month of the first unsuccessful presentation.
- (e) A Candidate shall ordinarily be allowed only two attempts for presentation before the FRC. In case, the Synopsis of a Candidate is not approved after second attempt, his/ her registration shall be cancelled.
- (f) A third attempt may be allowed only with the approval of the ViceChancellor on the recommendation of the FRC, with fresh registration.



- (g) Change of Title of research project may be permitted, provided the RAC and the Supervisor of the Candidate concerned recommend it. Such changes shall be generally allowed within one year of the first approval of the Synopsis and Title; but under no circumstances it will be allowed after acceptance of Pre-submission Report by the FRC.

13. RESEARCH ADVISORY COMMITTEE

- (a) There shall be a Research Advisory Committee (RAC) for each Ph.D. Candidate.
- (b) At the end of each six months from the date of approval of synopsis by the FRC the Candidate will submit a progress report in the specified format to the RAC.
- (c) The Candidate will also make a presentation to the RAC for evaluation of the work and further guidance.
- (d) The RAC after having considered the progress report of the Candidate may recommend one of the following:
- i. Continuation of registration; *or*
 - ii. In case the progress of the research Candidate is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures and may recommend continuation of registration with issuance of a warning to improve his/ her performance in consultation with the Supervisor(s); *or*
 - iii. Termination of registration if unsatisfied with progress of the candidate.
- (e) The six monthly progress report, with recommendations of the RAC, shall be submitted to the Chairperson of the FRC for final approval.
- (f) A minimum of four such six monthly reports shall be submitted by the Candidate where the RAC and Chairperson of the FRC recommends continuation of Registration.

14. PUBLICATION REQUIREMENTS

- (a) Before submission of the Pre-Submission for adjudication each Candidate shall publish a minimum of two research papers in refereed journals based on his/her research work for the Ph.D. degree, and produce evidence for the same in the form of reprint or acceptance letter from the publisher(s) of the journal.
- (b) The University shall adopt UGC-Care as the minimum standard for a journal to be



considered as a refereed journal.

- (c) Ph.D. Candidates must make two paper presentations in conferences/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.

15. SUBMISSION

- (a) On completion of research work the Candidate shall go for Pre-Submission presentation.
- (b) The Candidate shall make a presentation before the FRC and RAC, which shall also be open to all faculty members and other research Candidates. This shall be designated as Pre-Submission Presentation.
- (c) The RAC and FRC shall, upon being satisfied with the research done, and ensuring that all pre-requisites have been completed, permit the Candidate to submit the thesis. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the RAC.
- (d) If the RAC and FRC deem it necessary, it may call for another pre-submission presentation to review the incorporation of its feedback and comments.
- (e) The RAC and FRC will approve and forward its recommendations to the Dean-R&D for appointment of the thesis examiners.
- (f) No part of the thesis shall have been submitted for the award of any other degree or diploma.
- (g) The thesis shall involve in depth study and critical review of the area of his/her topic and creation of new knowledge in the area. It should bear evidence of the Candidate's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these.
- (h) The Candidate will also give a soft copy of the thesis for plagiarism check in the PDF and MS-Word format in 1CDs.
- (i) Candidate has to submit the thesis within three months of the approval of Pre-Submission. However, in case a Candidate fails to submit the thesis within



the stipulated time and has proper justification for the delay, the Dean of the Faculty may on the recommendations made by the RAC and on individual merits of each case, grant an extension of not more than two months.

16. EVALUATION

- (a) The RAC in consultation with Chairperson of FRC shall recommend a panel of not less than eight external experts, four from inside state and four from outside state to ViceChancellor.
- (b) The ViceChancellor will approve selected examiners on the recommendation of the concerned Dean and the CoE shall begin the evaluation process.
- (c) The thesis will be evaluated by four examiners, three of whom shall be external experts from different Universities and the fourth shall be Supervisor(s) or Co-Supervisor(s) (to be counted as one examiner).
- (d) At least one expert shall compulsorily be from outside the State. The University may opt to appoint one expert from outside the country.
- (e) Each examiner shall be requested to send a detailed evaluation report and his/ her recommendations on the prescribed Proforma within 15 days of the date of receiving the thesis.
- (f) If the thesis report is not received from an examiner in 15 days, a polite reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.
- (g) Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
 - i. the discovery of facts;
 - ii. a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his/ her opinion on the Candidate's capacity for critical examination and sound judgment.
- (h) All examiners will submit the reports on the prescribed form clearly stating one of the following:
 - i. The thesis is recommended for acceptance, *or*
 - ii. The thesis is recommended for acceptance subject to the Candidate



giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, *or*

- iii. The Candidate be allowed to resubmit the thesis in a revised form, *or*
 - iv. The thesis be rejected.
- (i) The examiner's reports shall be forwarded to the Supervisor(s) who will inform the Candidate eligible for oral defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.
 - (j) The reports of all internal examiners shall be counted as one report.
 - (k) If all the four reports recommend acceptance of the thesis, the Candidate shall be eligible for oral defense.
 - (l) If three of the four reports recommend rejection, the thesis shall be rejected. The Candidate may, however, be allowed by Vice Chancellor, on a case to case basis, to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for fresh evaluation of the resubmitted thesis. The revised version of the thesis would be sent to the concerned examiners for re-evaluation.
 - (m) In case two or one of the reports recommends revision of the thesis, Sub-Clause (h) (iii) of Clause 16 shall be applicable, and the Candidate will have to revise the thesis within two months. The revised version of the thesis would be sent to the concerned examiner/s for re-evaluation.
 - (n) Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.
 - (o) In case of ambiguous recommendations by the examiner, the Office of R&D will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his/ her decision.

17. ORAL DEFENSE EXAMINATION(VIVA-VOCE)

- (a) If the thesis is recommended for award of degree, the Candidate shall be required to defend his/ her research work orally (viva-voce examination) before a duly constituted Committee hereinafter referred to as the Oral



Defense Committee (ODC).

- (b) Composition of ODC: For the Candidates who get recommendations of acceptance in four reports the composition of the ODC shall be:
- i. Dean of concerned Faculty- Chairperson
 - ii. Supervisor(s)/Co- Supervisor(s)
 - iii. Two faculty members with specialization in the related area.
 - iv. Dean (R&D)
 - v. External Examiner
 - vi. CoE - Convenor
- (c) CoE shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the Candidate at least fifteen days in advance.
- (d) The date and time of the viva-voce shall be duly notified by CoE to enable the interested faculty members, staff members and students to attend it.
- (e) In the viva-voce examination, the Candidate shall be required to give his/ her response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present.
- (f) The ODC shall give its recommendations in the prescribed proforma. The ODC shall have the following options for its recommendations:
- i. Ph.D. degree be awarded for the reasons to be recorded, *or*
 - ii. Ph.D. degree be awarded. However, the Candidate should make necessary changes or prepare a supplement to be added to the thesis document as specified in the report of ODC and or textural corrections, if needed, , *or*
 - iii. Ph.D. degree be not awarded for reasons to be recorded in the report.
- (g) In case of difference of opinion among the members of ODC, separate reports shall be submitted.
- (h) CoE shall collect the report(s) of ODC in a folder, which will also contain:
- i. a copy of the thesis along with the Supplement, if required, and
 - ii. all the reports of the examiners of the thesis.
- (i) The recommendations of the ODC shall be submitted to the ViceChancellor for final decision.



- (j) If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for final decision.

18. ISSUANCE OF PROVISIONAL CERTIFICATES

- (a) After approval of the Vice Chancellor, the Candidate shall be issued a Provisional Certificate by CoE for having completed the requirement of the degree on the condition that the Candidate has submitted soft copies and hard bound copies of the final version of the thesis (incorporating any supplement recommended by the ODC) and has cleared all the dues.

- (b) No. of Hard Bound Copies to be submitted shall be:

- i. Faculty Library - 1
- ii. Dean Office - 1
- iii. R&D Office - 1
- iv. CoE Office - 1
- v. Supervisor(s) – as many as appointed

19. DEPOSITORY WITH UGC

- (a) The Office of the R&D shall submit a soft copy of the Ph.D. thesis to the UGC, within 30 days of issuance of Provisional Certificate, for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities/universities.

20. AWARD OF PH.D. DEGREE

- (a) A Ph.D. Candidate shall be eligible for award of Ph.D. degree at Convocation after approval of the Vice Chancellor.

21. CANCELLATION OF REGISTRATION

- (a) Registration of a Candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice Chancellor:
- i. The minimum credits through course work needs to be completed within the first two semesters.
 - ii. If Candidate fails to get approved synopsis in two attempts.
 - iii. If his/ her academic progress is found unsatisfactory or/and candidate remains absent in three consecutive monitoring reports.



- iv. If he withdraws from the Ph.D. Program and his/ her request is duly forwarded by the Dean (R&D).

22. DISCIPLINARY REGULATIONS

- (a) If a Ph.D. Candidate is found to be involved in an act of misconduct, and/or indiscipline, disciplinary action will be taken by the University as per Regulations relating to maintenance of discipline by students.

23. TRANSFER CASES

- (a) In case of relocation of Candidate for any reason, the research data shall be allowed to be transferred to the University to which the Candidate intends to relocate provided all the other conditions are followed in letter and spirit and the research work does not pertain to the project secured by the parent Faculty/ supervisor from any funding agency. The Candidate shall, however, give due credit to the parent guide and the faculty for the part of research already done.

24. FACULTY RESEARCH COMMITTEE

- (a) The Constitution of FRC shall be as follows:

| | |
|---|-----------------|
| i. Dean of the Faculty | Chairperson |
| ii. All Heads of Departments in the Faculty | Members |
| iii. All Professors in the Faculty | Members |
| iv. All eligible Supervisor(s) in the Faculty | Members |
| v. One External Expert | Invited Members |
| vi. Dean Academic Affairs | Invited Members |
| vii. Dean R&D | Invited Members |

- (b) The FRC shall be constituted by the Dean of Concerned Faculty.

- (c) FRC shall meet as and when necessary. Quorum shall be defined as at least 50% of the members present. In case of synopsis presentation by candidates one external expert is essential.

- (d) The functions of Faculty Research Committee (FRC) shall be as under:

- i. Conduct Personal Interview to scrutinize applications to support the Office of R&D in the Ph.D. admission process



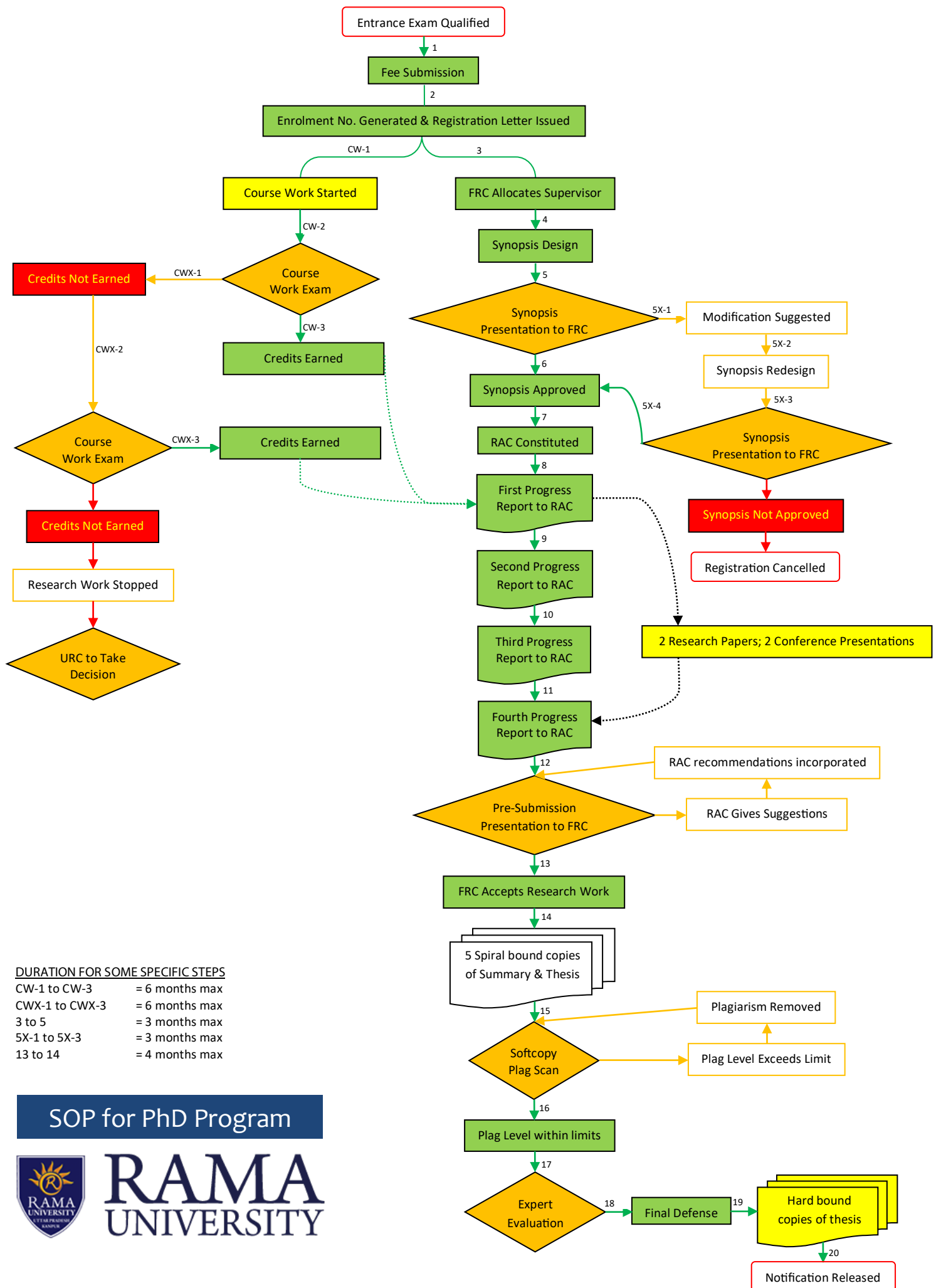
- ii. approve Synopsis and Title to finalize the proposed research of the Candidate
- iii. constitute RAC for each Candidate
- iv. perform such functions as are required for conduct of the Ph.D. Program.
- v. consider the recommendation of RAC for action/s as required.

25. RESEARCH ADVISORY COMMITTEE

(a) The RAC shall consist of:

- i. Supervisor Convenor
 - ii. Co-supervisor(s), (if any) Members
 - iii. Two senior Faculty members of the Department Members
 - iv. One senior Faculty member from another Department Member
- Dean of the Faculty and Head of the concerned Department, if not members of the RAC, shall be permanent invitees to all meetings of the Committee.

(End of the Document)



DURATION FOR SOME SPECIFIC STEPS

- CW-1 to CW-3 = 6 months max
- CWX-1 to CWX-3 = 6 months max
- 3 to 5 = 3 months max
- 5X-1 to 5X-3 = 3 months max
- 13 to 14 = 4 months max

SOP for PhD Program



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