

**VINAYAKAMMISSION'S RESEARCH FOUNDATION, SALEM  
(Deemed to be University)**

**REGULATIONS GOVERNING**

**DOCTORALDEGREE (Ph.D.) PROGRAMME**

**[Amended as per the University Grants Commission (Minimum standards and  
Procedure for theAward of Ph.D. Degrees),Regulations, 2022**

**1. Title and Commencement**

In exercise of the powers conferred by the Memorandum of Association of Vinayaka Mission's Research Foundation – Deemed to be University (VMRF(DU)), the Academic Council of VMRF(DU) hereby makes the following regulations in the name of “Doctor of Philosophy (Ph.D.) Regulations for Research at VMRF(DU), in line with the UGC (Minimum Standards & Procedure for Award of Ph.D. Degree) Regulations, 2022 which are subject to modifications, from time to time as decided by the Academic Council & Board of Management of this University. These regulations are applicable to all the approved Ph.D. programmes of VMRF (DU) except Faculty of Nursing\*.

These regulations may be called VMRF (DU) Ph.D. Regulations 2022. These regulations come into force with effect from October 2022 and are subject to such modifications as may be approved by the apex body of the University from time to time.

**2. Preamble**

The Degree of Doctor of Philosophy (Ph.D.) is awarded to a candidate, who, as per these regulations, has submitted a thesis on the basis of original research work done by him/her in any particular discipline or more than one discipline, that makes a contribution to the advancement of knowledge in the filed so as to contribute to the betterment of the community and has had the thesis approved by suitably constituted examiners as required.

**3. Definitions**

In the Regulations, unless the context otherwise requires,

*\* The Nursing PhD programme shall be governed by the VMRF(DU) DOCTORAL DEGREE (Ph.D.) NURSING PROGRAMME 2021 Regulations*

- i. “University” means Vinayaka Missions Research Foundation (Deemed to be University)
- ii. “Programme” means Research Advisory Programme leading to the award of Ph.D.
- iii. “Supervisor/Guide” means any faculty member of the University who has been recognized by the University to supervise the research scholars.
- iv. “Research Advisory Committee (RAC)” means a committee constituted by the University for each Scholar to monitor the progress of his/her research work.
- v. “Scholar” means any candidate admitted by the University either under Full-time or Part-time categories for pursuing research for the award of Ph.D. degree of the University.
- vi. “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places.
- vii. “Credit” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit.
- viii. “Course” means a theory subject directed study prescribed by the Research Advisory Committee for the scholar to undergo as a part of the Ph.D. Programme.
- ix. “Course Work” means courses of study prescribed by the RAC to be undertaken by a student registered for the Ph.D. Degree.
- x. “Degree” means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act.
- xi. “External examiner” means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme.
- xii. “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate, and higher levels in its home country and (ii)

- which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode.
- xiii. “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale
  - xiv. “Interdisciplinary Research” means research conducted by a Ph.D. scholar into two or more academic disciplines;
  - xv. “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own;
  - xvi. “Research Proposal” means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit with the approval of respective RAC

#### 4. Programme Categories

There shall be 3 categories of Ph.D.

##### 4.1. Full-Time Ph.D. Programme

- 4.1.1 All candidates who pursue full time research in this University shall belong to this category. Candidates under Full-Time shall do research work in this University and shall be available at the assigned department of the University/Institution during the working hours for curricular, co-curricular and related activities and shall sign in an attendance register on all working days of the Institution, subject to availing leave as per the leave provisions that remain in current for teaching staff of the Institution.
- 4.1.2 Candidates in employment, who want to pursue Full-Time studies may be sponsored by their employer with leave for the research/Programme period and should get formally relieved from their duty to join the research programme.
- 4.1.3 Candidates who are sponsored by the AICTE (under Quality Improvement Programme (QIP) for Teachers of Engineering Colleges, Pharmacy) or by any other Government Agency and who

satisfy the eligibility conditions shall be eligible for Full-Time only, in the disciplines as notified in AICTE Supervisor lines.

## **4.2 Part-Time (Internal) Ph.D. Programme**

4.2.1 ***Part-Time (Internal) Candidates:*** All candidates employed as a Full-Time faculty member in VMRF (DU) who pursue Part-Time research in this University shall belong to this category. Provision to pursue Part-Time Ph.D. programme is available only to the Regular Full-Time faculty members of the institutions under the ambit of Vinayaka Mission's Research Foundation (Deemed to be University) VMRF(DU). The non-Teaching staff are not permitted to pursue in part time mode except who possess the academic position.

## **4.3 Part-Time (External) Ph.D. Programme**

4.3.1 ***Part-Time (External) Candidates:*** The Candidates working outside VMRF (DU), in Industrial units, Government departments, Research organizations or other Institutions preferably PG institutions (In exceptional cases the Vice Chancellor can give special permission to do research in non-PG Institutions after getting report /NOC from the Institutions where the candidate employed). The University shall obtain a "No Objection Certificate" through the candidate for a Part-Time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- i. The candidate is permitted to pursue studies on a Part-Time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.
- iv. Availability of sufficient learning resources
- v. Availability of sufficient laboratory facilities

4.3.2 The Admission in Part-Time Ph.D. Programme from the industry / R&D organizations candidates shall be admitted subject to the following

conditions.

- i. The candidates from Renowned R&D organizations (like Philips, Himalaya, Wipro, Colgate etc.,) with sophisticated research facilities can be allowed to apply the programme.
- ii. The qualified candidates shall be verified based on the approval of subcommittee nominated by the VC.
- iii. The committee shall visit the R&D organization to verify the availability of adequate facilities and effective monitoring system in place.

*Note:*

*During the period of the part time research programme, a minimum period of 180 days of residential attendance as a research scholar will have to be put in by the candidate in respective constituent college of the University where the respective supervisor is employed. This period of attendance may be at a stretch or on several occasions including weekends except holidays. However, they should put in a period of at least 45 days in a year.*

#### **4.4 Conversion of registration from Full-Time to Part-Time and Vice-Versa**

##### **4.4.1 Part time to Full-Time**

- i. A student admitted to a part-time programme may be allowed to change his/her registration to full-time studies at the beginning of a semester upon the recommendation of the Research Advisory Committee (RAC) and with the approval of the University if he/she gets relieved from his/her place of work for a period of at-least two years to do research after successful completion of the course work.
- ii. The student will have to submit two No Objection Certificates from the respective Head of the Institution/organization,
  - a. From the parent organization/institution that he/she worked stating he/she would be allowed to work as a Full-Time research scholar at an institute where the Supervisor is working.

- b. From the University's affiliated PG College/Institute where the Supervisor is working for accessing the available facilities.
- iii. For the purpose of determining the time-period, one half of the period spent as apart-time student will be counted towards full-time studies.
- iv. In the event of scholar who are unemployed at that moment (wherein they are not able to furnish NOC from the parent institute/organization), the scholar will have to submit an undertaking to the effect that the scholar would work as a Full-Time research scholar at an institute where the Supervisor is working for at-least a period of two years provided if he/she completed of course work.
- v. Application for change of registration from Part time to Full-Time is permissible only once during the tenure of Ph.D. admission for candidate.
- vi. No change of Discipline/Branch/Topic will be considered.
- vii. Once the Change of registration is permitted all norms/guidelines/rules applicable as prescribed for Full-Time Research scholars.

#### **4.4.2 Full-Time to Part-Time**

Conversion of registration from Full-Time to Part-Time may be permitted if the candidate gets employment in an academic/research/professional/technical institution and fulfil the conditions as stated in clause 4.3.

Concealing factual information to get any of the above conversion is a serious offence, and the candidate stands the risk of cancellation of registration.

**4.4.3**The candidates have to pay the prescribed fee for such conversions.

## **5. Academic, Research, Administrative, and Infrastructure Requirements to be fulfilled by the Departments/ Colleges/ Schools for Conducting Ph.D. Programmes**

The following are eligible to seek admission to the Ph.D. programme

- i. Post-graduate Colleges of VMRF(DU) offering 4-year Undergraduate Programmes (as per National Education Policy 2020) and/or Post-graduate Programmes, may conduct Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
- ii. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
- iii. To offer a PhD programme constituent colleges/ Departments should run PG programme in the respective discipline and minimum of 5 years of successful running in PG programmes. Adequate infrastructure, administrative support, research facilities and library resources is to be ensured in line with requirements of running research programmes.

## **6. Eligibility criteria for admission to Ph.D. Programme**

The following are eligible to seek admission to the Ph.D. programme

- 6.1. **Candidates who have completed:** A 1-year/2-semester master's degree program after a 4-year/8-semester bachelor's degree program or a 2-year/4-semester master's degree program after a 3-year bachelor's degree program or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per

the decision of the Commission from time to time. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree program should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

6.2. **Candidates who have completed the M.Phil. program** with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. program. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC/ University from time to time.

6.3. Guidelines for Interdisciplinary Research

- i. Interdisciplinary Research shall be allowed and encouraged.
- ii. Eligibility for admission remains the same.
- iii. Registration for Ph.D. cannot be done in another subject.
- iv. For registration the candidate must get consent letters from two supervising teachers, one in his/her core subject and the other in the area of the subject in which he/she prefer the choice of subject.
- v. In case of topics which are of inter/multi-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/College/Institution on such terms and conditions as may be specified and agreed upon by the



- consenting Institutions/Colleges.
- vi. Ph.D. Registration in such cases can be given on the recommendation of a Committee consisting of,
    - a. Two supervising teachers
    - b. Deans of both Faculties
    - c. Head of the Department and the head of the proposed Centre of Research if any and
  - vii. The recommendation may be approved by the Vice Chancellor for Registration and further action.
  - viii. The entrance test for admission can be written in the core subject (PG qualification among the two subjects concerned) of the candidate.
  - ix. The Parent department discipline shall be considered from where students admitted for award of degree.
  - x. Part Time mode Ph.D. is not allowed for those who have completed both UG and PG in Open University/ correspondence mode. However, they are allowed to pursue in full time mode.

## **7. Duration of the Programme**

The duration of the programme and the time for submission of the thesis are counted from the date of provisional registration. The minimum and the maximum duration of the programme are given below:

### **7.1.Full-Time**

#### ***i. For all Faculties except Medicine***

The PhD programme shall be a Minimum period of 3 years including course work and maximum of 6 Years.)

#### ***ii. For Faculty of Medicine***

Minimum of 2 years for M. D / M.S and P. G. Diploma (2 to 3 years as prescribed by NMC) and Three Years for candidates with M.Sc.(Medical Subjects) and maximum of 4 and 6 years respectively.

**7.2.Part – Time**i. ***For all Faculties except Medicine***

Minimum period of 4 years and maximum of 8 years.

ii. ***For Faculty of Medicine***

Minimum of 3 years for M. D/ M.S. / P. G. Diploma (2 to 3 years as prescribed by NMC) and 4 years for candidates with M. Sc. (Medical Subjects) and maximum of 6 and 8 years, respectively.

**7.3.Reregistration**

After the expiry of the maximum period including the extension granted, a candidate will be permitted to Re-register as per the following regulations.

- i. For those candidates who want to re-register under the same supervisor on the same area of research, the earlier Research Advisory Committee and the course works completed will hold good.
- ii. For those candidates who want to re-register with a different supervisor on a different area of research will be subjected to the regulations applicable for the fresh candidates.
- iii. If the area of research is the same, the Research Advisory Committee will decide whether the earlier course works completed can be considered for exemption or not.

**7.4.Attendance Requirement**

Research scholars of Ph.D. (Full-Time) programme have to sign in the attendance register maintained in the department/institution on all working days. Each student is expected to possess a minimum of 75% attendance (10% relaxation in attendance shall be permitted on valid reasons provided with the concurrence and permission of the Vice - Chancellor of the University on payment of prescribed fee) in each semester / year, failing which the candidate will not be permitted to appear for the examinations.

- 7.4.1. At the beginning of the course work candidate required to submit undertaking certificate as per the (Annexure II).

### **7.5.Extension of Maximum Duration**

7.5.1. In exceptional circumstances if the Research Advisory Committee recommends and the Research Board deems it fit, a maximum grace period of 1 year beyond the normal maximum period may be granted, by the Vice-Chancellor, six months at a time, to enable the research scholar to submit the thesis. The fees prescribed as from time to time shall be paid beyond the maximum duration.

### **7.6.Break of Study**

7.6.1 Permission for break of study in research programme shall be granted up to a maximum period of one year in spells of 6 months at a time. Such period shall be extended for the calculation of duration of the programme to be fulfilled for the minimum duration. The research scholar should remit the programme fee during the break period also.

7.6.2 The Vice-Chancellor shall permit break of study of the research scholar, on reasons deemed fit and in extraordinary circumstances like medical grounds, and other compelling reasons which warrant his / her absence from the programme. Permission for break of study shall be obtained before the commencement of the break. Likewise, resumption of study after the break must be reported within ten days after resumption.

## **8. Place of Research**

8.1. For Full-Time research scholars, the place of research will be the department and the institution where the supervisor works.

8.2. For Part-Time research scholars the place or places of research will be the place of working of the candidate and/or the place of working of the supervisor / co-supervisor subject to the condition that at least one of these places either as a PG institution or R&D organization.

## **9. Procedure for Admission**

Admission to the Ph.D. programme shall be made using the following methods:

The university will release advertisement in leading dailies/ print media and university

websites at appropriate time with the number of vacancies. There shall be normally 2 sessions in a year for registration in April & October subject to vacancies. The application form can be downloaded from the university website [www.vinayakamission.com](http://www.vinayakamission.com). (Annexure I) The filled-in application to be submitted along with prescribed fee and the relevant certificates based on the advertisement released by the University.

9.1. Admission shall be made through an Entrance Test / Interview conducted at National Level by the university. Those who qualified for fellowship/Scholarship in UGC – NET / UGC – CSIR NET /GATE/ CEED and similar level national test are exempted from the entrance test, but have to appear for the interview. However M.Phil. Full-Time/Part-Time candidates are not exempted from the entrance Examinations.

9.2. The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed form through proper channel wherever applicable, on or before the deadline mentioned in each session/quarter of the year to the University. The application form (Annexure I) can be downloaded from university website [www.vinayakamission.com](http://www.vinayakamission.com).

- i. An Entrance Examination shall be with qualifying marks as 50% & a relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/ EWS (Economically Weaker Section) differently-abled category and other categories candidates as per the notification of UGC from time to time

Entrance Examination will of two parts

- a. Written Examination
  - b. Interview
- ii. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% of subject specific.
  - iii. Candidates who have secured 50 % marks in the entrance test are eligible to be called for the interview.
  - iv. The university may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

- v. A Weightage of 70% to the entrance test & 30% to the performance in the interview/Viva Voce shall be given.
  - vi. In interview the candidates are required to discuss their research interest/area through a presentation before Research Committee, constituted by the Head of the Institution. The interview shall also consider the following aspects, namely whether:
    - a. The candidate possesses the competence for the proposed research.
    - b. The research work can be suitably undertaken at the Institution/ College.
    - c. The proposed area of research can contribute to new/additional knowledge.
- 9.3. The University shall maintain a list of Ph.D. supervisors, along with the details of Ph.D.scholars admitted under them on the university website.
- 9.4. A Research Board/committee constituted by the university/ constituent colleges shall determine the suitability of such candidates and the admission to the appropriate field, after giving due consideration to the performance in the entrance test, relevant inter – disciplinary fields of research, if any, and the faculty in which the candidate shall be registered, keeping in view the Research Supervisor lines/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 if necessary. The respective committee will forward the list of selected candidates along with the applications of all the candidates to the Ph.D. Section.
- 9.5. The Ph. D Section will seek the approval of the Vice-Chancellor for the provisional registration of the selected candidates.
- 9.6. The Candidates whose registration has been approved by the Vice Chancellor shall be provisionally admitted to the Ph.D. Programmewith intimation to the concerned Heads /Deans of the Institution, HOD, supervisor, the candidate, and the sponsoring institution, if any.
- 9.7. On receipt of the Provisional registration of the candidates, thesupervisors of

the students shall recommend a panel of Six names (Internal & External - each 3) for forming the Research Advisory Committee (RAC) as per the clause 11 below for their respective students and send the same to the Ph.D. Section. The Ph.D. Section shall confirm the Research Advisory Committee as in clause 11 below, get the approval of the Vice-Chancellor and communicate the same to the respective supervisors further action.

**10. Eligibility criteria for Recognition of Research Supervisor/ Co-Supervisor: Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.**

10.1. Only a Full-Time regular faculty members of the Vinayaka Mission's Research Foundation (Deemed to be University) working in post graduated departments/ constituent colleges/ Schools can act as a supervisor. External supervisors are not allowed. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- i. In Faculty of Medicine a Research Supervisor shall have not less than 15 years of teaching experience after obtaining his/her postgraduate degree and shall also have not less than ten years of postgraduate teaching experience as a faculty member with at least 3 publications in a referred / indexed journal (Scopus & Web of Science and UGC Care Journals), even if he/she does not hold a Ph.D. Degree.
- ii. For Dentistry, Homoeopathy the Research supervisors not possessing Ph.D. degree shall have not less than 13 years of teaching experience after obtaining his/her postgraduate degree and shall have not less than 8 years of Post graduate teaching experience as a faculty member with at least 3 publications in referred/indexed journal(Scopus & Web of Science and UGC Care Journals) in the recent two years.
- iii. For faculty members possessing the Ph.D. degree shall follow the below conditions (clause 10.2)

10.2. For others, the faculty member should have a Ph.D. degree.

- i) Any Professor of the University minimum five research publications in indexed journals (Scopus & Web of Science and UGC Care Journals) in the last 5 years may be recognized as a research supervisor.
  - ii) Associate Professor atleast one year of post Ph.D. teaching experience and minimum of five Ph.D. Publications in indexed Journals (Scopus & Web of Science and UGC Care Journals) in which one should be post Ph.D. publication.
  - iii) Assistant Professor at least one years of post Ph.D. teaching experience and minimum of three Ph.D. publications indexed Journals (Scopus & Web of Science and UGC Care Journals) in which one should be post Ph.D. publication.
- 10.3. At any given point of time, a Research Supervisor/co-supervisor who is a professor, can guide up to a maximum of eight (8) Ph.D. scholars, an associate professor as Research Supervisor can guide up to a maximum six (6) Ph.D. scholars and an assistant professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 10.4. Restriction in intake of PT & FT ratio of candidates/ supervisors as per the university direction from time to time.
- 10.5. Such of the persons who satisfy all the requirements stated above shall apply to the university in the prescribed application form (Annexure III) for being recognized as Research Supervisors in their respective disciplines. Recognition as supervisor for guiding research work shall be accorded on the recommendation of the Research Board (BOS research) and approval of the Vice-Chancellor. Those who are in probationary period met eligibility criteria as supervisor can avail the Ph.D. candidate after the completion of their probation.
- 10.6. Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
- 10.7. In case of faculty of Medicine / Dentistry/ Homeopathy the Co-Supervisor shall possess a PG degree from a recognized university with minimum 10 years of teaching/research experience after obtaining P. G. and those possesses a

Ph.D. Degree with 5 years of teaching experiences after obtaining PG. For other faculties Co-Supervisors should possess Ph.D. degree with minimum one research publication in indexed journals.

- 10.8. In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- 10.9. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years. As per the VMRF(DU) service rules a recognized supervisor/co-supervisor for Medicine can officiate up to the age of 70 years, therefore he/she shall not enroll new candidates after the age of 67 years. For other faculties the supervisors shall officiate up to the age of 60 years therefore he/she shall not enroll new candidates after the age of 58 for full time and part time the age of 57. Under special circumstances the change in age of supervisors shall be considered case to case subject to the discretionary power of Vice Chancellor. In case of retirement or relieved supervisors permitted to continue the guidance and complete the research and viva of the existing Research Scholars those who completed minimum period of research.
- 10.10. Admission of International students in Ph.D. programme
  - i. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 10.3 above.
  - ii. The selection procedure for Ph.D. admission of international students as per the University and keeping in view the guidelines/norms in this regard



issued by statutory/regulatory bodies concerned from time to time.

10.11. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 10.3 and clause 10.10(i).

10.12. Responsibilities of Supervisor / Co-Supervisor

- i. The supervisor / co-supervisor should furnish a letter of consent duly forwarded by the Dean / Head of the Institution of service for officiating as a supervisor / co-supervisor for the candidate to be registered. (Annexure III a & Annexure III b).
- ii. The supervisor shall sign all the papers, declarations, certifications, authentications, log books and other related documents pertaining to the registration, submission of synopsis and thesis etc. of the registered candidate.
- iii. The supervisor shall also serve as convener in the matters of interaction with the university connected with all the research activities of the scholar, until the award of the degree.
- iv. The supervisor shall suggest to the university, the members of the Research Advisory Committee and the examiners for the methodology examination & the thesis evaluation.
- v. The supervisor shall also be a member and convener of the public viva - voce examination committee.
- vi. When a co-supervisor is available, the supervisor and co-supervisor shall interact with each other in matters relating to the research work of the scholar.
- vii. When a supervisor will not be available at his / her office for a period exceeding three months, for reasons like illness, foreign trip and any unforeseen reasons, an interim supervisor will be nominated by the university for supervising the research work of the scholar for the interim period, as follows.
  - a. If the period is less than one year and if there is an existing a co-supervisor, the co-supervisor will be the interim supervisor. In

special cases if there is no vacancies or non availability of supervisors such period can be considered as independent research to the maximum of four months. In such case Co-supervisor may be allotted to act as supervisor for this interim period until the new supervisor allotted.

- b. In suchcases an interim supervisor will be nominated for that period by the university, after consulting the Head of the Department / the scholar and on approval by the Research Board.

10.13. Change of supervisor under any other conditions may be considered under special circumstances with the concurrence from theHoI's/Dean of the institutions theuniversity will allocate a new supervisor.In general only one such change of supervisor is permissible in the entire research programme under ordinary circumstances.

## **11. Research Advisory Committee**

11.1. There shall be a Research Advisory Committee for similar purpose as defined in the Statutes/Ordinance of the university, for each Ph.D. scholar. The supervisor shall furnish for every candidate a panel of 6 experts (3 internal & 3 external) from well versed academia, with Research Advisory qualifications in the field of proposed research, from the recognized higher education institutions/ organizations. The following members shall “constitute the Research Advisory Committee” as approved by the Vice-Chancellor.

- i. The Research Supervisor (Convener)
- ii. Two experts selected and approved by the Vice Chancellor of the respective faculty from a panel of six experts(3 Internal & 3 External) recommended by the Research Supervisor
  - One Internal Expert from the same department or from other Department of the same institutions the candidate Registered
  - One External expert from outside VMRF (DU) institutions(preferably with in 500kms radius of the Institution)
  - The Research Advisory Committee members shall meet the

minimum eligibility criteria prescribed for eligible Research Supervisors

iii. The Co-guide, if any.

The Research Advisory committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research
- To guide the research scholar in respect of the proposed research work and to identify the course(s) that he / she may have to do.
- To periodically review and assist in the progress of the research work of the research scholar.
- To review the pre synopsis presentation of the research scholar.
- To Act as an Academic Integrity Panel for Plagiarism.

In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.

Institutional ethical committee clearance is to be obtained in case of research in Medicine/ Dentistry/Nursing/ Pharmacy and other areas, wherever necessary.

11.2. The 1st Research Advisory Committee shall be convened to propose the title/broad topic and to prescribe the course work (the title and syllabus of paper 2 and 3) to undergo by the candidate. The minutes of meeting shall be submitted as per the Annexure IV.

11.3. A research scholar shall appear before the Research Advisory Committee once in six months (from the date of provisional registration) to make a presentation of the progress of his/her work for evaluation and further guidance. During the presentation candidate required to submit the prescribed half yearly progress report (HPR) to the RAC for review. The HPR and minutes of the meeting shall be duly signed by the respective RAC members and shall be forwarded by the concerned

Hol's. The research scholars must submit their half yearly progress reports until their synopsis submission along with enclosures such as Attendance certificate & Minutes shall be submitted in the prescribed format (Annexure IVa & Annexure Vd, Annexure Ve) through the research supervisors with the Research Advisory committee comments to the Ph.D Section (Deputy Director Research). After the successful course completion every scholar shall submit (Annexure Vc) with Minutes. In service certificate shall be submitted once in every year those who are pursuing Ph.D. in Part-Time mode (Annexure Vf).

- 11.4. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

## **12. Programme Structure**

- 12.1. Course Work & Assessment (For all disciplines)

The research scholars should complete a minimum of following three courses (minimum of 12 credits) prescribed by the Research Advisory Committee

- 12.2. The courses shall be

- i. Research methodology including research and publication ethics (as per UGC) for the subject.
- ii. A back- ground subject related to his/her Ph.D. research.
- iii. An advanced subject in the area of research

- 12.3. The course work shall be completed within a period of the first two semesters.

- 12.4. The research scholar shall submit the prescribed application (Annexure V) and course work completion certificate and IA [Annexure Va & Vb] & fee for attending the final examination. The final examination for the course work is centralized and conducted by the Controller of Examinations along with the end semester examinations of other programmes. A research scholar has to obtain a

minimum of 55% marks in the course work or its equivalent grade in the UGC 10 point scale is to be eligible to continue the programme and submit his/her thesis.

- 12.5. If the candidate fails to get the minimum of 55% marks, then a grace period of maximum of six months shall be given at the end of which the research scholar shall be re-examined. Then, if found fit, RAC committee shall submit the minutes of the RAC meeting for the course completion (Annexure Vc) the research scholar shall be permitted to proceed (Registration Confirmation) with the Research work. Otherwise, the research scholar's provisional registration shall be cancelled.
- 12.6. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme if applicable.
- 12.7. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 12.8. Directed Course

The directed course is done under the guidance of the Supervisor.

For research methodology, the internal assessment (IA) for the course work should be followed with the following components,

i.	5 Seminars	-	15 Marks
ii.	3 Tests	-	15 Marks
iii.	Open access Publishing	-	05 Marks
iv.	Publication Misconduct	-	05 Marks
v.	Databases and Research Metrics	-	10 Marks
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	Total	-	50 Marks

Whereas, for paper II and III the internal assessment for the course work should be followed with the following components.

i.	5 Seminars	-	15 Marks
ii.	3 Tests	-	15 Marks
	Total	-	30 Marks

The syllabus for the directed course is assigned to the above components in such a way that the entire syllabus is covered. The schedule for the course work shall be prepared by the Supervisor who teaches the course work and the IA marks should be submitted to the Controller of Examinations well in advance as per the Annexure Vb.

All the candidates have to appear for an External End Semester examination in each subject conducted by the Controller of Examinations of the university. The end semester examinations marks for research methodology is 50 and for paper II and III 70 for each. The passing minimum is 50% marks in the end semester examination. Whereas the overall passing minimum is 55% per course marks.

#### 12.9. Letter Grades and Grade Points (GP):

Based on the performance in each subject, the student is awarded a final letter grade. The letter grades and the corresponding grade points are as follows.

Sl. No.	Letter Grade	Grade	Grade Point
1	O	Outstanding	10
2	A+	Excellent	9
3	A	Very Good	8
4	B+	Good	7
5	B	Above Average	6
6	C	Average	5
7	P	Pass	4
8	F	Fail	0
9	Ab	Absent	0

Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis. A scholar who gets less than C grade in a course work, he/she has to redo that course.

A research scholar shall take a comprehensive examination within the completion of two semesters of his/her research programme and by passing examination for the course work but before the completion of four semesters. The comprehensive examination is mandatory.

If the performance of the research scholar in the comprehensive examination is satisfactory, his/her provisional registration shall be confirmed. If the performance is unsatisfactory, he/she shall be given one more opportunity to appear for the examination within six months of the first examination. In case, the research scholar fails to successfully complete the comprehensive examination within the prescribed time limit, his/her provisional registration shall be cancelled by the University.

### **13. Cancellation of Registration**

- i. If the research scholar fails to submit the thesis within the period of maximum duration, the registration shall automatically stand cancelled without notice to the candidate/ supervisor, unless the candidate applies for an extension with justification along with the recommendation of the supervisor in the prescribed format and the request is complied with.
- ii. A prerequisite for consideration of such a request is that all fee payable to the university for the period already approved should have been paid.
- iii. The extension, if approved, will only be provisional to start with, and shall be approved only on payment of fees for the extended period.
- iv. If the research scholar fails to submit the thesis within the extended period, the registration shall be cancelled automatically without notice to the candidate/ supervisor.
- v. The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the supervisor for any one semester/or if found guilty for violation of research ethics/ regulations is liable to be cancelled by the University.
- vi. The registration of a research scholar who has not submitted his/ her thesis by the end of the prescribed /extended period as provided in the Regulations will be cancelled by the University.

### **14. Change of Title**

Normally a student shall complete Research Advisory research on the subject title approved by Research Advisory Committee (RAC), under the supervision of the research guide. After approval, the change of title cannot be entertained after the course work completion period. Only minor changes such as addition and deletion of words shall be permitted. However, under exceptional circumstances, a student may be permitted, only once, to change the title and objectives of research. Such change may necessitate seeking fresh approval from RAC and the Ethics Committee if necessary. In such cases, the student has to work for another minimum essential period (12 more months for full time and 18 months for part time) before being eligible to submit PhD Thesis. If the candidate has already completed the course work or attended the mandatory lectures he/she will not repeat the same. However, a consent may be received from RAC. Under no circumstances, a request for change in the title be entitled once the synopsis is submitted

### **15. Submission of Synopsis**

- i. On completion of the minimum period of research work, not less than three months before the submission of the thesis, every candidate shall submit, a copy of synopsis along with the application (Annexure VI) Manual preparation for synopsis (Annexure VI a) checklist for synopsis (Annexure VI b) and the prescribed fee to the university through the Research Supervisor.
- ii. The synopsis shall be accepted only when the research scholar has passed the course work exams and must have publication of at least two original research papers from the research work carried out by the scholar in indexed journal (SCOPUS/Web of Science/ PubMed/IEEE/UGC CARE LISTED) and two paper presentations in conferences/seminars and evidence to be produced for the same in the form of presentation certificate and / or reprints.
- iii. Prior to the submission of synopsis, the scholar shall make a pre- presentation in the department before the Research Advisory Committee of the institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft synopsis in consultation with the Research Supervisor. The Pre- synopsis RAC Report (Annexure VIc) shall be submitted



- during the Synopsis submission.
- iv. The synopsis shall be 30 typewritten or printed pages(one side only of A4 size – 1 1/2 line spacing using a font size of 12 with Times New Roman font) (Annexure VI d). The synopsis (wrapper) may contain the details as shown in the format prescribed by the university (AnnexureVIII). Thesis submission is to be done after clearance of the synopsis by the Research Advisory Committee and permitted by the Vice – Chancellor.
  - v. The Research Supervisor on approval of the research work reported in the synopsis, shall forward three hard copies and one soft copy of the approved synopsis to the Ph.D. Section along with a panel of at least five examiners from India, and five from abroad (Annexure VI e).

## **16. Submission of Thesis**

- i. The thesis shall report, in an organized and scholarly fashion, an account of original research work of the research scholar leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, hardware oriented etc) and demonstrating a quality as to make a definite contribution to the advancement of knowledge of mankind and the research scholar's ability to undertake sustained research and present the findings in an appropriate manner with actual accomplishments of the work plainly stated and honestly appraised
- ii. The student should submit the copies of the thesis in bound form (3 - Spiral Binding) and with a softcopy (including scanned certificates) for Ph.D. at the time of submission for evaluation. Once the thesis is accepted, it is the student's responsibility to get it properlybound before and depositing 4 copies (1. University copy 2. Institution/Library copy 3.Research Supervisor copy 4. Research Scholar copy) at the time of Viva Voce Examination. The frontcover of the bound copy should be the same as the title page of the thesis. The front cover should have printing on the side to include the author's name, abbreviated thesis title (optional), degree, department, and the year. Thesis shall be submitted not earlier than three months and not later than six months, from the approval of

- the synopsis by the Research Advisory Committee to the university along with application (Annexure VII) & Guidelines for Thesis (Annexure VII a) Check list (Annexure VII b) no dues Certificate (Annexure VII c) along with prescribed fee.
- iii. The thesis shall be prepared strictly following the formats and specifications prescribed. The title page (Annexure VII d), declaration of candidate (Annexure IX ), certificate by the supervisor (Annexure X), quality, size, numbering and titles of diagrams, tables and photographs, if any, list of references, numbering of pages and size of the margins etc shall be as per formats approved by the university. The running matter shall be typed or printed on one side only on A4 size white paper with 1½ line spacing, using font size 12 with Times New Roman font. The wrapper of the thesis may contain details as shown in the format prescribed by the university (Annexure VIII)
  - iv. The Research Scholar Shall Adhere the University VMRF(DU) Academic Integrity and Prevention of Plagiarism Regulations, 2019 in line with UGC Regulations dt.23.07.2019. Plagiarism Certificate shall be obtained from the Institution/Department Academic Integrity Panel (Annexure XI). Shall be enclosed at the end of the thesis.
  - v. No candidate shall ordinarily be permitted to submit his/her thesis after maximum period mentioned in clause 6. Provided that the university may for valid reasons and on the recommendations of his supervisor, grant extension of time for not more than one year to the candidate. A candidate, who is not able to submit his/ her thesis even after the grant of extension of one year the registration stands cancelled.

## **17. The Act of Plagiarism**

- i. If a dissertation / thesis submitted contains material copied, even partially, except quoted for illustration, comparative or literature study or reference, with due acknowledgement, from any published or pre-published paper, journal article, note, dissertation, thesis, book or work based on which a degree, diploma or certificate has been awarded to the scholar or any other, in any hard or soft form, then the dissertation/thesis so produced will be derecognized and the

scholar's registration at this University will be cancelled and the scholar will be debarred from registering for any programme with this University any further. The Ph.D degree, if already awarded, may also be withdrawn, if the nature of the malpractice warrants.

- ii. Penalty in the case of Plagiarism shall be imposed as per the VMRF(DU) Academic Integrity and Prevention of plagiarism regulations, 2019 in line with UGC Regulations dt.23.07.2019

### **18. Evaluation of Thesis**

- i. The Thesis shall be referred to two examiners (one from India and the other from abroad) nominated by the Vice-Chancellor from the panel of examiners.. The Vice-Chancellor, if he deems fit, may also nominate the examiners from outside the panel.
- ii. The examiners are expected to send their reports of adjudication in the prescribed format (Annexure XII) within two months from the date of receipt of the thesis.
- iii. The examiner shall include in his/her report an overall assessment placing the thesis in any one of the categories. Highly commended / Commended / Revision required / Rejected.
- iv. For the cases of revision/rejection, the examiner shall mandatorily enclose a report of 200 to 300 words, indicating the nature of revision required and the reasons for rejection, as the case may be.
- v. The supervisor shall consolidate the salient features of the reports sent by the examiners and submit to the university.
- vi. If both the examiners have either Highly Commended or Commended the research work and recommended the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification etc., suggested by the examiners shall be brought to the notice of the research scholar and be carried out by the research scholar before the public viva - voce examination is arranged.
  - a. If both examiners recommended rejection, the thesis shall be rejected and the registration of the research scholar shall stands cancelled.
  - b. If one examiner recommends the award of the degree while the other

recommends rejection, then the thesis shall be referred to a third examiner of the same category (from within India or outside India) to be nominated by the Vice-Chancellor from within or outside the panel. If two of three examiners recommend the award, the thesis shall be provisionally accepted. If two of the examiners recommend rejection, the thesis shall be rejected and the registration of the research scholar shall stand cancelled.

- c. In case where revision and resubmission of the thesis is recommended, candidate shall be permitted only once to revise and resubmit the thesis along with plagiarism report within six months and the revised thesis shall be referred to the same examiner.

### 19. Public Viva Voce Examination

- i. The viva - voce examination board shall be constituted by the Vice-Chancellor as follows:

Examiner of the thesis in India or a specialist in the subject from the panel (in the absence of the former)	Member
Supervisor of the candidate in the university	Member- Convenor

If necessary, the Vice-Chancellor may nominate the co-supervisor or a member from outside the panel as an additional member.

- ii. The viva -voce examination shall be conducted as “Open Defence Type” examination.
- iii. The results of the viva - voce examination, duly endorsed by the examiners, together with the list of participants, their designation, address and signature shall be forwarded to the university by the supervisor.
- iv. If the performance of the research scholar at the public viva - voce Examination is reported by the viva - voce examination Board to be NOT SATISFACTORY, the research scholar may opt to reappear for the viva - voce examination at a later date, not later than six months from the date of the first viva - voce examination. On the second occasion, the viva - voce Examination Board shall include an additional

examiner nominated by the Vice-Chancellor.

- v. If the performance of the candidate at the viva - voce examination on the second occasion is also reported to be NOT SATISFACTORY, the registration shall stand cancelled.
- vi. On satisfactory completion of the viva - voce examination, the candidate shall submit a copy of the thesis in CD-ROM, certified by the supervisor that all the corrections, if any, have been duly incorporated as suggested by the examiners, for UNIVERSITY ARCHIVES. A soft copy of the final approved thesis shall be sent to the UGC for hosting the same in INFLIBNET so as to make it accessible to all research institutions / universities.

#### **20. Issuing a Provisional Certificate:**

Prior to the actual award of the Ph.D. degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations

#### **21. Award of Ph.D. Degree**

If the report of the public viva - voce Examination Board is SATISFACTORY, the Candidate will be awarded the Ph.D. Degree with the approval of the apex body of the university.

#### **22. Publication of Thesis**

Papers arising out of the thesis may be published by the research scholar. However, the thesis as a whole shall not be published by the candidate without the specific written permission from the university.