



# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University)  
(Declared Under Section 3 of the UGC Act, 1956)



## REGULATIONS GOVERNING DOCTORAL DEGREE (Ph.D.) PROGRAMME 2016

(Amendment Regulations - 2020)





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**REGULATIONS GOVERNING**

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**University Website: [www.vinayakamission.com](http://www.vinayakamission.com)**



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

**REGULATIONS GOVERNING  
DOCTORAL DEGREE (Ph.D.) PROGRAMME 2016  
[Updated as per the University Grants Commission  
(Minimum standards and Procedure for the Award of Ph. D. Degrees)  
Regulations, 2016 & 2018 and subsequent three amendments of  
VMRF(DU)]**

## **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), which are subject to modifications, from time to time as decided by the Academic Council of this University.

In view of the UGC (Minimum standard & procedure for Ph.D degree regulations – 2018 Amendment i) & ii) & guidelines the VMRF (DU) and VMRF (DU) Academic Council & Board of Management hereby makes the following regulations to amend the “Regulations Governing Doctoral Degree Programme”

These regulations may be called the “Regulations Governing Doctoral degree Programme (Amendment) regulations 2020”. These regulations come into force with effect from the year 2020 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,

- i. “University” means Vinayaka Mission’s Research Foundation (Deemed to be University)
- ii. “Programme” means Doctoral Programme leading to the award of Ph.D..
- iii. “Supervisor means any faculty member of the University who has been” recognized by the University to supervise the research scholars.
- iv. “Doctoral Committee” means a Committee constituted by the University for each Scholar to monitor the progress of his/her research work.
- v. “Research Co-ordinator” means Head of the Institution / Department / Organization of the Part-time (Ext.) scholar where he/she is employed
- vi. “Scholar” means any candidate admitted by the University either under Full-time or Part-time category for pursuing research for the award of Ph.D. degree of the University.
- vii. “Course” means a theory subject/a practical subject of PG programme/a directed study prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Programme.

### **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 currently for teaching staff of the Institution.

4.1.2. Candidates in employment, who want to pursue Full-Time studies should be sponsored by their employer with leave for the research 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 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 to full time faculty members & staff of the institutions under the ambit of Vinayaka Mission's Research Foundation (Deemed to be University) (VMRF(DU)). The non Teaching staffs are not permitted to pursue in part time mode except who possess the academic position (Wherever applicable)

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

4.3.1 Part Time (External) Candidates: The Candidates working outside VMRF (DU), in Industrial units, Colleges, 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) / sponsored for pursuing Ph.D. Programmes in this University while continuing to serve in their respective Institutions/ organizations (which are recognized Annexure XIII) as the Research Centers of VMRF (DU) University where ever applicable shall belong to this category. They shall pursue research in their place of employment and /or in this University

- 4.3.2 Further their request to submit the undertaking stating that the having
- a. Sufficient learning resources
  - b. Sufficient laboratory facilities

*Note:*

*During the period of the part time research programme, a minimum period of 6 months of residential attendance as a research scholar will have to be put in by the candidate in respective constituent college of the University. This period of attendance may be at a stretch or on several occasions including weekends. However they should put in a period of at least 45 days in a year.*

The Admission in Part Time Ph.D Program from the Non - academic Institutions/ Organization candidates shall be scrutinized case by case based on the requirement of the area of research

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

Conversion of registration from Full – Time to Part – Time may be permitted if the candidate gets employment in an academic/research/ professional/technical institution, after getting verification of job from the employer notwithstanding the length of service. However the candidates have to pay the prescribed fee for such conversion.

Similarly, conversion from Part – Time to Full – Time may also be permitted if the candidate so desires, provided he/she ceases to be an employee. In this case, if no request is forthcoming from the Part – Time candidate for conversion from Part – Time to Full – Time, the registration shall be cancelled once he/she ceases to be an employee.

At the time of granting part time registration to the candidate, it should be ensured that he/she is employed. Concealing factual information to get any of the above conversion is a serious offence, and the candidate stands the risk of cancellation of registration.

## **5. Eligibility criteria for admission to Ph.D.programme:**

- 5.1. Candidates for admission to the Ph.D. programme shall have 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.
- 5.2. Candidates with M.Phil degree, having 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) and a person whose M. Phil. Dissertation has been evaluated and the viva – voce is pending may also be admitted to the Ph. D. programme.
- 5.3. 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 mark procedures.
- 5.4. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. programme

5.5. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of one year 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 M.Phil/Ph.D for upto 240 days

5.6. Guidelines for Interdisciplinary Research

Regulation for Interdisciplinary Research shall be in the Ph.D Regulation,

- i) Interdisciplinary Research must 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) 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

In case of two subjects in the same faculty the composition of the committee can be as follows:

- a) Two supervising teachers
  - b) Dean of the Faculties
  - c) Head of the Department and the head of the proposed Centre of Research if any and
- vi) The recommendation may be approved by the Vice Chancellor for Registration and further action.
  - vii) The entrance test for admission can be written in the core subject (PG qualification) (among the two subjects concerned) of the candidate.
  - viii) Guidelines for interdisciplinary Research The Parent department discipline shall be considered from where students admitted for award of degree.

- 5.7 Part Time mode Ph.D is not allowed who have completed in Open University/ correspondence mode. However they are allowed to pursue in full time mode.

#### Transfer of Candidates from other Institution

Scholar intends to relocate shall be allowed to transfer provided all the other conditions in VMRF-DU regulations are fulfilled.

The admission of such candidates can be considered subject to the fulfilling the norms such as submission of NOC and discontinuing certificate from previous University/Institution concerned and sort out of legal and copyright issues.

In such cases Candidates who have cleared the course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or a n equivalent grade in a point scale wherever grading system is followed) shall be exempted from Research Methodology course work. However, Paper 2 & 3 shall be decided by the Doctoral Committee.

## **6. 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:

### **6.1 Full – Time:**

#### ***For all Disciplines except Medicine :***

Minimum period of 3 years and maximum of 6 Years. (Minimum duration may be reduced by 1 year if the M. Phil Degree relates to the Ph. D. field of Research and candidates are exempted for Research Methodology course work if the M.Phil., Degree is related to the proposed Ph.D field of research to the extent recommended by the Doctoral Committee.)

#### ***Medicine :***

Minimum of 2 years for M. D / M.S / P. G. / Diploma and Three Years for

candidates with M. Sc. (Medical Subjects) and maximum of 4 and 6 years respectively.

## **II. Part – Time:**

### ***For all Disciplines except Medicine :***

Minimum period of 4 years and maximum of 8 years. (Minimum duration may be reduced by 1 year if the M. Phil Degree relates to the Ph. D. field of Research and candidates are exempted candidates are exempted for Research Methodology course work if the M .Phil., Degree is related to the proposed Ph.D field of research to the extent recommended by the Doctoral Committee

### ***Medicine :***

Minimum of 3 years for M. D/ M.S. / P. G./ Diploma and 4 years for candidates with M. Sc. (Medical Subjects) and maximum of 6 and 8 years respectively.

- 6.1.1. If the research scholar fails to submit the thesis within the period of maximum duration, the registration shall automatically stands 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.
- 6.1.2. 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.
- 6.1.3. The extension, if approved, will only be provisional to start with, and shall be approved only on payment of fees for the extended period.
- 6.1.4 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.

## **6.2 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 Doctoral 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 new Doctoral Committee will decide whether the earlier course works completed can be considered for exemption or not.

### **6.3 Attendance Requirement**

Research scholars of Ph.D. (Full Time) programme have to sign in the attendance register maintained in the department 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.

- 6.3.1 At the beginning of the course work candidate required to submit undertaking certificate as per the (Annexure I)

### **6.4. Extension of Maximum Duration**

- 6.4.1. In exceptional circumstances if the Doctoral 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.

### **6.5. Break of study**

- 6.5.1. 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 accounted for the calculation of duration of the

programme. The research scholar should remit the programme fee during the break period also.

6.5.2. 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.

## **7. Place of Research**

7.1. For full time research scholars, the place of research will be the department and the institution where the supervisor works.

7.2. 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 is a PG centre.

## **8. Admission**

The university will release advertisement in leading dailies 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.

8.1 Admission shall be made through an Entrance Test / Interview conducted at National Level by the university.

passed UGC – NET (including JRF)/ UGC – CSIR NET (including JRF)/SLET/GATE/ holder or equivalent examinations 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.



8.2. 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 test 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) differently-abled category in the entrance examinations conducted by the University.

Entrance will of two parts

1. Written Examination
2. Interview

ii). The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% of subject specific. Candidates who secure 50% in the written test shall be eligible for interview. 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.

iii). A Weightage of 70% to the entrance test & 30% to the performance in the interview/Viva Voce shall be given

8.3. 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. The respective committee will forward the list of selected candidates along with the applications of all the candidates to the Ph.D Section through the Heads of the Institutions/ Dean of the respective faculties.

- 8.4. The Ph. D Section will seek the approval of the Vice-Chancellor for the provisional registration of the selected candidates.
- 8.5 The Candidates whose registration has been approved by the Vice Chancellor shall be provisionally admitted to the Ph.D. Programme by the Controller of Examinations (COE) with intimation to the concerned Heads /Deans of the Institution, HOD, supervisor, the candidate, and the sponsoring institution, if any.
- 8.6 On receipt of the Provisional registration of the candidates, the supervisors of the students shall recommend a panel of Six names for forming the Doctoral Committee(DC) as per the clause 11 below for their respective students and send the same to the respective HOIs through the respective Heads of the Departments. The HOI shall confirm the Doctoral Committee as in clause 10 below, get the approval of the Vice-Chancellor and then communicate the same to the university Ph.D Section for record and to the respective supervisors through the respective Heads of the departments for further action.
- 8.7 The women scholar has to secure the seat in another university through proper admission process. The applicant should obtain a no objection certificate from the parent university through proper channel for getting the research data transferred and a statement of 'assurance of due credit' from the scholar

## **9. Recognition of Research Supervisor/ Co-Supervisor**

- 9.1. Only a full time regular teacher of the Vinayaka Mission's Research Foundation (Deemed to be University) can act as a supervisor.

External supervisors are not allowed.

9.2. In Medicine and Alternative Medicine, a Research Supervisor for Ph. D. degree shall have not less than 15 years of teaching experience after obtaining his postgraduate degree and shall also have not less than ten years of postgraduate teaching experience as a faculty member with at least 2 publications in a referred / indexed journal, even if he/she does not hold a Doctoral Degree.

9.2.1 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 two publications in referred/indexed journal in the recent two years.

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

i). Any Professor of the University minimum five research publications in indexed journals with SNIP/ IF > 1 in the last 5 years may be recognized as a research supervisor.

ii). Associate Professor atleast one year of post Ph.D experience with one post Ph.D Publications indexed Journal.

iii). Assistant Professor at least one years of post Ph.D experience with one post Ph.D publications indexed Journal.

9.4. Such of the persons who satisfy all the requirements 9.1 to 9.3 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 by the Vice-Chancellor.

9.5. In case of topics which are of inter-disciplinary nature where the department concerned feels that the expertise in the department has to be supplemented from outside, the department may appoint a Research Supervisor from the department itself, who

shall be known as the Research Supervisor, and a co-supervisor from outside the department/ faculty/college/institution on such terms and conditions as may be specified and agreed upon by the university.

- 9.6. The Co – supervisor may possess a degree of the recognized university with minimum 10 years of teaching/research experience after P. G. for Medicine, Dentistry and Alternative Medicine and a Ph.D Degree with 5 years of teaching experiences after P.G for other disciplines and should have at least one research publication in accredited journal for all disciplines
- 9.7. Since the recognized supervisor/co-supervisor for Medicine, Dentistry, Nursing and Alternative Medicine officiate up to the age of 70 years, he/she shall not enroll new candidates after the age of 67 years. (undertaken shall be given).

For the Research Supervisors in other disciplines In general for the allotment of students the superannuation shall be considered as per the University Service Rules policy (VMRF-DU 60 years). In such case 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.

- 9.8 Responsibilities of Supervisor / Co-Supervisor
- i) The supervisor / co-supervisor should furnish a letter of consent and no objection certificate obtained from 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 serve also 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 Doctoral Committee and the examiners for the methodology examination & the thesis evaluation.
- v) The supervisor shall also be a member 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 other cases 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.
- viii) Change of supervisor under any other conditions may be considered under special circumstances with the concurrence from the university and the candidate has to propose a new supervisor in accordance with the regulations for research programme in force.
- ix) Such change of supervisor is permissible only after the approval of the provisional registration.

- x) Only one such change of supervisor is permissible in the entire research programme for which the scholar has registered under ordinary circumstances.

## **10. Number of Candidates (DC)**

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.

Approval for guiding additional candidates, under extraordinary circumstances, shall be decided by the Vice-Chancellor based on the merit of such cases.

- 10.1 Restriction in intake of PT & FT candidates as per the university direction Time to Time.

## **11. Doctoral Committee**

11.1. There shall be a Doctoral Committee, or an equivalent body 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 from well versed academia, with doctoral qualifications in the field of proposed research, from the faculty of the university. The following members shall “constitute the Doctoral Committee” as approved by the Vice-Chancellor.

- i. The Guide (Convener)
- ii. Two External experts selected and approved by the Vice Chancellor of the respective faculty from a panel of six experts recommended by the Guide
  - One External Expert preferably from other than the Institution or from other Department of the same institutions the candidate Registered but within the VMRF (DU) institutions in the relevant area of research
  - One External expert from outside VMRF (DU) institutions (preferably within 500kms radius of the Institution)

- iii. The Co-guide, if any.

The Doctoral 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 Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral 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 and Pharmacy area, wherever applicable. Any DC Member shall meet the minimum eligibility criteria of eligible Research Supervisor.

Except the first and pre-synopsis doctoral committee meeting the other progress meetings may be conducted through Skype/video conferencing if a DC member is not able to attend the meeting.

- 11.2. A research scholar shall appear before the Doctoral Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The committee with external expert shall meet during the 1st Doctoral committee meeting for course work, title selection and during the pre-synopsis presentation. The 1st Doctoral Committee shall be convened and the committee shall recommend the proposed title and the course work to the university as per the Annexure IV. The other half yearly DC meetings the external expert may be

invited through SKYPE or by anyother electronic means. A research scholar shall appear before the Doctoral Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The research scholars must submit their six monthly progress reports (Annexure IV a) through the research supervisors with the doctoral committee comments to the Ph.D Section (Deputy Director Research).

- 11.3. In case the progress of the research scholar is unsatisfactory, the Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral 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 Medicine/ Dentistry/Nursing and Pharmacy wherever it is applicable.

## **12. Programme Structure**

### **12.1 Course Work & Assessment (For all disciplines)**

- i. The research scholars should successfully complete a minimum of three courses (minimum of 09 credits) prescribed by the Doctoral Committee
- ii. The courses shall be
  - (i) Research methodology for the subject.
  - (ii) A back- ground subject related to his/her Ph.D. research
  - (iii) An advanced subject in the area of research
- iii. The course work shall be completed within a period of the first two semesters.
- iv. Candidates already holding M.Phil Degree & admitted to the Ph.D Programme or those who have already completed the course work in M.Phil & have been permitted to proceed to the Ph.D May be exempted for the Research Methodology course work of the M.Phil degree is related to the proposed Ph.D field of research to the extent recommended by the Doctoral Committee.



- 
- v. 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 in order to continue the research work.
  
  - vi. 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, DC committee shall submit the minutes of the DC meeting for the course completion (Annexure Vc) the research scholar shall be permitted to proceed (Registration Confirmation) with the doctoral work. Otherwise, the research scholar's provisional registration shall be cancelled.

## 12.2 Directed Course

The directed course is done under the guidance of the Supervisor. For the internal evaluation there should be the following two components.

i.	5 Seminars	-	15 Marks
ii.	3 Tests	-	15 Marks
-----			
Total - 30 Marks			
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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 may be prepared by the Supervisor who teaches the course in the format given below and may be submitted to the Controller of Examination well in advance.

**12.3 Course Code & Title : Name of the Supervisor : Department :**

S.No.	Component	Syllabus	Date
1	Seminar - 1	From unit 1	
2	Seminar - 2	From unit 2	
3	Seminar - 3	From unit 3	
4	Seminar - 4	From unit 4	
5	Seminar - 5	From unit 5	
6	Test – 1	Covering Units - 1 & 2	
7	Test – 2	Covering Units – 3 & 4	
8	Test – 3	Covering all theUnits	

For each of the courses, the maximum internal mark awarded is 30 marks. All the candidates have to appear for an external (Semester) examination in each subject conducted by the Controller of examinations for 70 marks. The passing minimum is 35 marks in the semester examination. The overall passing minimum is 55 marks.

**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.

Letter Grade	Grade Points	Range of Marks
O (Outstanding)	10	95-100
A+ (Excellent)	9	90-94
A (Very Good)	8	85-89
B+ (Good)	7	75-84
B (Above Average)	6	65-74
C (Average)	5	55-64
F (Fail)	0	<55 Failure due to insufficient marks in the course
Ab (Absent)	0	Failure due to nonappearance in the examination

Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis. A scholar who gets less than C grade in a course work, he/she has to redo that course.

#### **12.4 Comprehensive Examination**

- (i) A research scholar shall take a comprehensive examination after 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.
- (ii) The comprehensive examination shall be in the form of written and oral as recommended by the Doctoral Committee.
- (iii) Comprehensive examination shall be conducted by a panel of examiners which consists of the members of the Doctoral Committee along with one external examiner as recommended by the supervisors and forwarded through proper channel and approved by the Vice Chancellor.
- (iv) The Supervisor shall intimate the research scholar sufficiently in advance, the scope of the examination and other relevant details.
- (v) 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.

#### **12.5 Monitoring the Progress of Candidates**

- i). A research scholar shall appear/report before the Doctoral Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.

The six monthly progress reports shall be submitted by the Doctoral Committee to the Director (Research) with a copy to the research scholar. The Doctoral Committee meeting may be conducted through Skype/video conferencing if a DC member is not able to attend the meeting.

- ii). In case, the progress of the research scholar is unsatisfactory, the Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral Committee may recommend to the respective HOIs with specific reasons for cancellation of the registration of the research scholar.

## **12.6 Cancellation of Registration**

- i). 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 is liable to be cancelled by the University.
- ii). 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.

## **13. Change of Title**

Normally a student shall complete doctoral research on the subject title approved by Doctoral Committee (DC), 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. The change may necessitate seeking fresh approval from DC 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 lecturers he/she will not have to repeat the same. Under no circumstances, a request for change in the title be entitles once the synopsis is submitted

## 14. Submission of Synopsis

- 14.1. 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.
- 14.2. 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.
- 14.3. Prior to the submission of synopsis, the scholar shall make a pre- presentation in the department before the Doctoral 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 DC Report (Annexure VIc) shall be submitted during the Synopsis submission.
- 14.4. The synopsis shall not exceed 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 Doctoral Committee and permitted by the Vice – Chancellor.
- 14.5. 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).

## 15. Submission of Thesis

- 15.1. 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
  
- 15.2. The student should submit the copies of the thesis in fully 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 properly bound 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 front cover 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 Doctoral 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.
  
- 15.3. 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)

- 15.4. 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.
- 15.5. 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 in all, to the candidate. A candidate, who is not able to submit his/ her thesis even after the grant of extension of one year, shall have his/ her registration cancelled.

## **16. The Act of Plagiarism**

- 16.1. 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.
- 16.2. 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

## **17. Evaluation of Thesis**

- 17.1. 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, recommended by the Doctoral Committee. The Vice-Chancellor, if he deems fit, may also nominate the examiners from outside the panel.

- 17.2. 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.
- 17.3. 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.
- 17.4. 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.
- 17.5. The supervisor shall consolidate the salient features of the reports sent by the examiners and submit to the university.
- 17.6. 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.
  - 17.6.1. If both examiners recommended rejection, the thesis shall be rejected and the registration of the research scholar shall stand cancelled.
  - 17.6.2. 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.
  - 17.6.3. In case where revision and resubmission of the thesis is recommended, candidate shall be permitted only once to revise and resubmit the thesis within six months and the revised thesis shall be referred to the same examiner.



## 18. Public Viva Voce Examination

18.1 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.

18.2 The viva -voce examination shall be conducted as “Open Defense Type” examination.

18.3 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.

18.4 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.

18.5 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.

18.6 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.

## **19 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.

## **20 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.





## **DIRECTORATE OF RESEARCH**

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