



# **Doctoral Research Programme Regulations**

**2024 - 2025**



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**Amendments**

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## **Doctoral Research Programme Regulations of MSRUAS leading to Ph.D. Degree (Applicable for 2023-24 Batch onwards)**

### **D.1 Short Title and Commencement**

- a) The regulations listed under this head are common for all Doctoral Programmes leading to the Ph.D. degree offered by the University.
- b) The regulations hereunder are subject to amendments by the Research and Innovation Council (RIC) of the University, from time to time, after considering the recommendations of the Board of Management. Such amendments will be effective from such date and apply to batches of research scholars, including those already undergoing the programme, as may be determined by the RIC.

### **D.2 Definitions**

- a) "Commission" means University Grants Commission (UGC);
- b) "Council" means Research and Innovation Council
- c) "Statutes" mean the MSRUAS Statutes.
- d) "University" means the M. S. Ramaiah University of Applied Sciences (MSRUAS).
- e) "Faculty or Faculties" means a Faculty of the University or the Faculties, collectively, of the University.
- f) "Department" means an academic unit under the relevant Faculty offering the Ph.D. degree programme.
- g) "Programme" in these regulations means the Doctoral programme in a faculty leading to the award of the Ph.D. degree of the University.
- h) "Supervisor" means the research supervisor who supervises and/or guides the Research Scholar.
- i) "Co-supervisor" means the additional research supervisor who supervises and/or guides the Research Scholar along with the supervisor.
- j) "Research Scholar" means the student who is pursuing Ph.D. degree programme and work with professors and other professionals in a particular field of study and focus on uncovering new information that can be published in academic or trade journals or patent journals
- k) "Course" means a set of courses a Research Scholar is required to successfully complete to become eligible for the award of the Ph.D. degree.
- l) "Course" means a subject, either theory or practical or both, listed under the programme;
- m) "Full-Time Scholar" means Research Scholars who are spending their Full-Time on campus for research programme;
- n) "Part-Time Scholar" means Research Scholars who are employed and are spending a part of their time on campus for a research programme.

### D.2.1 What is expected out of Doctoral Research Thesis

The Doctoral Research Thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, and interpretation/critical analysis of the results should exhibit advanced technical and research skills.

## D.3 Committees

### D.3.1 Research and Innovation Council

The Research and Innovation Council (RIC) of the University is responsible for administering the Ph.D. Programme. A Dean – Office of Research and Innovation will manage the Ph.D. programme of the University.

**The RIC has the following members:**

S. No.	Details	Designations
1	Vice-Chancellor	Chairperson
2	Pro-Vice Chancellor – Science and Engineering	Member
3	Pro-Vice Chancellor – Health Sciences	Member
4	Pro-Vice Chancellor – Social Sciences	Member
5	Dean – Office of Research & Innovation	Member-Secretary
6	Dean – Academics	Member
7	Academician- External	Member
8	R & D - External	Member
9	Dean (FET)	Member
10	Dean (FAD)	Member
11	Dean (FMC)	Member
12	Dean (FDS)	Member
13	Dean (FPH)	Member
14	Dean (FHMCT)	Member
15	Dean (FMPS)	Member
16	Dean (FLAHS)	Member
17	Dean (SSS)	Member
18	Dean (SL)	Member
19	Dean (RMC)	Member
20	Dean (RPT)	Member
21	Dean (RINER)	Member

### D.3.2 Progress Review Panel (PRP) / Doctoral Committee

For each Research Scholar, the PRP is constituted as follows:

- One independent Chair (Chairman – Doctoral Committee of the respective department (HOD)) approved by the Dean - Office of Research and Innovation, knowledgeable in the rules and regulations of the Ph.D. programme of the University

- Three Examiners (one of which may be external to university, other two are from either within the department or within the University having expertise in the relevant research field) approved by the Chairman – Doctoral Committee of the respective department, who are reasonably conversant with the research area of the Scholar
- Supervisor(s) of the Research Scholar: One of the Supervisors will be designated as the Main Supervisor and the other as co-supervisor
- PhD Thesis submission to strictly adhere to lie within 6 years, as per UGC norms. Re-registration to be done at the end of 6 years when a scholar needs additional time, the process of request to the Vice Chancellor (Chairman of RIC) through proper channel should start 6 months before the end of 6 years. Deviations to be reported to the research office with due signatures & valid reasons for further actions. In such cases, the decision of RIC is final.
- Mandatory to have any break in research communicated with approvals from HOD before the break is taken, to be recorded in the Office of Research and Innovation with due signatures.
- If the scholar (both Full Time and Part Time) is not responsive to the communication sent by RUAS (via the supervisors, HOD's Deans, ORI) for more than 3 months, there will be a review with the doctoral committee, to send an official note to the scholar, and the doctoral committee reserves all right to take a stand on further progress of the PhD continuity.
- If the scholar is not incorporating the suggestions by the doctoral committee, an independent review may be sought by the ORI to communicate the expected quality of the PhD thesis. The scholar must abide by the decision of the reviewers and comply within the tenure of the PhD.

The independent Chair, any one of the three Examiners and the Main Supervisor form the quorum. Convening the PRP is the responsibility of the Main Supervisor. On completion of the review, the Main Supervisor will forward the PRP report to the Faculty / Department Doctoral Coordinator, who is responsible for keeping the files of each scholar. In case of any conflicts arising between the scholar and the supervisor, the Chairperson of the Doctoral Committee in consultation with Dean - Office of Research and Innovation, can facilitate the conduction of PRPs and other related proceedings.

### **D.3.3 Moral and Ethics Committee**

All the Research Scholars should submit the filled in ethics declaration form during PRP-

1. Depending upon the nature of the research study, the proposed methodologies and the level of risk involved, PRP can insist on full ethical approval by the ethics committee. In such cases, the full ethical approval by the ethics committee should be obtained before PRP-2. In addition, the PRP can advise research scholars to strive for honesty in all scientific communications. The Ethics Committee constitute from time to time will comprise

- Dean – Office of Research and Innovation (Chairman)



- The Dean of any one Faculty nominated by the Dean – Office of Research and Innovation
- Coordinators of the Ph.D. Programme drawn from each of the Faculties of the University
- Two members drawn from any of the University's Faculties who will be nominated by the Vice Chancellor
- Two members external to the University

Further, the RIC may refer individual cases to any other competent ethics committee as it deems fit.

### **D.3.4 Constitution of Viva Voce Examiners**

The panel of Examiners for conducting the Viva-Voce comprises:

- An Independent Chair Conversant with the rules and regulations of the University
- Two of the three approved thesis Examiners (One Indian Examiner, One Foreign Examiner and One examiner from the PRP panel)

All the members are required to form the quorum. The viva-voce will be held on the University campus. However, with the prior written approval of competent authority, video conferencing as a part of Viva - Voce can be considered if the examiners express their inability to attend Viva-Voce physically. In no circumstances will the scholar's physical absence be exempted for Viva-Voce. In addition, along with the scholar at least one of the examiners and independent chair should always be present during the Viva-Voce.

### **D.3.5 Constitution of Ph.D. Selection – Admission Committee**

Dean – Office of Research and Innovation, Deans of the Faculty, HoDs and Experts nominated by HoDs and Coordinators of Doctoral Research Programme constitute Selection and Admission committee for the selection of candidates for Doctoral Research Programme. The selection of candidates is carried out as per the procedure explained in section D.4.5.3.

### **D.3.6 Coordinators of Doctoral Research Programme**

An academic staff of each Faculty of the University nominated by the Vice Chancellor will act as the Faculty Coordinator for the Doctoral Research Programme.

### **D.3.7 Coordinators for Publications & IPR**

An academic staff of each Faculty/Department of the University nominated by the Vice Chancellor will act as the Faculty/Department Coordinator for the Publications & IPR.

### **D.3.8 Office of Research & Innovation**

The University would like to undertake research with national and international organizations in Government, Public, and Private sectors in thrust areas to generate knowledge for the benefit of society. The Office of Research and Innovation will coordinate the University's research activities with such organizations. The Dean who heads the office

will report to the Vice Chancellor of the University, while leveraging the guidance and advice of the leadership team of the university (VC, PVCs, Registrar).

## **D.4 Research Programme**

### **D.4.1 Nomenclature of the Programme**

The nomenclature and the abbreviation given below shall be used for the Doctoral Degree Programme of the University:

***(i) Doctor of Philosophy <Department, Faculty Title>***

In addition, the descriptive letters Ph.D. and the name of the Department and Faculty shall be written within brackets. For example: a Doctoral degree in the Mechanical Engineering Department from Faculty of Engineering and Technology will be abbreviated as:

**Ph.D. (Department of Mechanical Engineering, Faculty of Engineering and Technology)**

### **D.4.2 Medium of Instruction**

The medium of instruction for the Doctoral Programme is English.

### **D.4.3 Research Themes**

The information pertaining to the Research Themes of various Faculties of the university is available on the university website.

### **D.4.4 Programme Duration**

- (1)** Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. In special cases such as medical needs, work related issues, research expeditions, research missions, exchange programmes in India and abroad, a break in research can be permitted to research scholars to a maximum duration of 1 year. In such cases, the scholar must submit a request to the Doctoral Committee citing the reason for the break in research. The Doctoral committee can decide to permit or not to permit based on the justification provided by the scholar while seeking such break in research. The doctoral committee needs to send the information to Office of Research and Innovation for records.
- (2)** A maximum of an additional two (2) years can be given through a process of re-registration, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- (3)** Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

The period falling between the date of first registration for the programme and the date of official submission of the thesis, less the period(s) of 'break of research', if any, will be the total duration of the Ph.D. programme. A Scholar who has not completed the degree within the stipulated six-year period may seek extension, and the RIC may choose to appoint the PRP of the Scholar itself as the sub- committee or any other appropriate subcommittee to review the matter. RIC shall review the merits of the individual cases and may decide to give extension or deny the request for extension.

## **D.4.5 Admission of Scholars**

### **D.4.5.1 Eligibility**

In multi-disciplinary research area, decisions about subject area of research related to entry level qualification can be referred to a select committee of respective Deans and PVCs.

Candidates for admission to the Ph.D. programme shall have successfully completed:

1. A 1-year/2-semester Master's degree programme (after 4 year undergraduate degree) with at least 60% marks in aggregate or its equivalent grade in the UGC 10- 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 to assess, accredit or assure quality and standards of educational institutions.

A 2-year/4-semester master's degree programme, with the same conditions as in sub- clause above; A candidate seeking admission after a 4-year/8-semester bachelor's degree with Research should have a minimum CGPA of 7.5/10 or equivalent grade. In such cases, the scholars need to complete technical courses for 18 credits + mandatory courses for 6 credits = 24 credits, equivalent to the course in the first year PG programme, and specific to the area of research chosen. A qualifying exam is to be taken by the student organized by respective department where the student is registered at the end of One year before start of the Research Project as part of the PhD process.

### **D.4.5.2 Ph.D. Application Form**

Eligible candidates may apply for the Ph.D. Programme of the University. The application form, including the eligibility criteria, can be downloaded from [www.msruas.ac.in](http://www.msruas.ac.in) or can be obtained directly from the Director (Admissions). The filled-in application form should be submitted to the Director (Admissions) within the prescribed date and together with the requisite application fee. The submission of an application form does not guarantee admission to the Ph.D. Programme.

### D.4.5.3 Selection

Selection for admission to the Ph.D. programme will be through a written test (Ramaiah Research Programme Entrance Test (RRPET)) followed by an interview (Research Topic and Evaluation of Basics) as described below. The relative weightages (see Merit list below) for the written test, interview and the previous academic performance, taken together, shall form the basis for preparing the merit list of eligible candidates.

#### Written Test Procedure

- (i) Written Test will cover the general aptitude and analytical concepts and are designed to assess the candidates' depth of knowledge and potential to carry out research work
- (ii) The test will have the following, five components:
  - a) Logical and Analytical abilities (15%)
  - b) Reasoning abilities (15%)
  - c) General Knowledge (10%)
  - d) English Language (10%)
  - e) Respective Core Course (course contents equivalent to post graduate degree) (50%)
- (iii) Tests/Questions may be a mixture of multiple choice, fill in the blanks, one-two line answers and short answers. They will not require long, descriptive answers
- (iv) The use of a calculator is permitted
- (v) The total mark for the written examination is 100 and consists of 100 questions over a duration of 2 hours

#### Interview Procedure

**Interview procedure has two components, namely: Presentation on the Research Topic and Evaluation of Basics**

- Candidates will be asked to make a presentation outlining his/her research interests and abilities for about 10 minutes. The candidate will be evaluated for his/her oral presentation skills, ability to articulate complex ideas, how he/she would respond to hypothetical scenarios that may be posed or other appropriate methods to assess the candidate's research and analytical potential. Format for the presentation can be downloaded from the website [www.msruas.ac.in](http://www.msruas.ac.in)
- The candidate will be evaluated to assess the basics pertaining to UG and PG specialization of individual candidate by the panel for about 20 minutes

#### Merit List

A final merit list will be drawn up based on the:

- (i) Performance in the written test (70%)
- (ii) Performance in the Interview (30%)

*Ref: As per UGC\_PhD regulations guidelines (2022-2023)*

A minimum of 50% in each of the two categories, entrance test and interview are mandatory. A scholar is required to score 50% marks combined in the written test and interview.

The University/College shall maintain the list of all the registered Ph.D. scholars on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the

name of his/her supervisor/co-supervisor, date of enrolment/registration.

#### **D.4.5.4 Intake Capacity**

A faculty member with a Ph.D. degree is eligible to supervise (or co-supervise) a Research Scholar. During the period falling between the Scholar's registration and the thesis submission, a Scholar is conducting research under the supervisor(s) guidance. Candidates are admitted to the Ph.D. Programme twice a year. On both occasions, the number of seats available for admission to the Ph.D. Programme will be decided based on the number of supervisors available and the number of vacancies available under each supervisor.

#### **D.4.5.5 Reservations**

The University will abide by the relevant Government rules and regulations with respect to reservation of seats, if any, at the time of admission of candidates for the Ph.D. programme.

#### **D.4.5.6 Foreign Students**

To maintain a global learning atmosphere in the University, foreign students are encouraged to seek admission to the Ph.D. programmes offered by the University. The rules and regulations applicable to such applicants are the same as that applicable to Indian applicants. They should have Master's degree qualification recognized by the Association of Indian Universities (AIU) in the related discipline or equivalent and proof of proficiency in English.

For candidates with master's degree Programme with English as medium of instruction, proof of proficiency in English is not required. However, the RIC may, from time to time, specify certain additional guidelines applicable exclusively to research students from foreign countries.

#### **D.4.5.7 Ph.D. Registration**

Selected candidates (both full-time and part-time) are required to fill in the Ph.D. registration form that is available in the Office of Research & Innovation and submit it along with the requisite fees. Research Scholars are also required to re-register at the beginning of each academic year. The Registration Renewal Form needs to be submitted along with the requisite annual fees. Registration Forms or Registration Renewal Forms submitted without payment of the corresponding fees will not be accepted. The Initial Registration forms as well as the annual Registration Renewal forms are available in the Office of Research & Innovation. At the time of initial registration to the Ph.D. programme, all the selected candidates are required to sign an undertaking with respect to the IPR policy of the University, moral code of conduct and any other issues relevant to academic research programme. Part-time Scholars, in addition, must attach a No Objection Certificate from their employer which includes an undertaking with respect to the IPR policies of the University. Irrespective of the mode of research study opted by the Research Scholar (Full time or Part time), the IPR policies stated in Chapter 9 of MSRUAS statutes will be binding on the Research Scholars with no exceptions.

After initial registration, each candidate will be provided an 'Enrolment letter', 'Registration

Identification Number’ and an ‘Identity card’. The identity card can be used for accessing other facilities of the University such as e-library, library, sports facilities, laboratory facilities etc. If a Research Scholar requires accommodation, he/she may make an application at this stage in the required format. After the completion of prescribed course works by the scholar, a Ph.D. Registration confirmation letter will be provided.

#### **D.4.5.8 Research Facilities and Scholar’s Care**

A Research Scholar will be provided with:

1. Research Supervisory team
2. Cubicle with the necessary computing facility
3. Access to Internet
4. Access to Library, Journals, Laboratories and Workshop
5. Space to set up his/her experimental facility in consultation with Supervisor, HoD and Dean
6. Access to Reprographic Facilities
7. Help to access other Libraries, Professors, Advisors and Organizations
8. Any other facilities that are essential and within the reach of the University
9. Accommodation on the University Campus on payment of the requisite fee (if requested and subject to availability).

#### **D.4.6 Programme Fee**

The Programme Fee will have components as described in the programme prospectus and University website. The fee will be decided by the Board of Management with the approval of the Board of Governors in accordance with the recommendations of the Fee Regulation Committee constituted by the Government of Karnataka. The Fees once paid will not be refunded under any circumstances. The continuation of a Scholar’s registration in subsequent academic years is subject to payment of the prescribed Fee and Registration for each of those years.

##### **Mode of payment of Semester Tuition Fee/other dues for all students:**

The semester tuition fee and other dues can only be paid online by all scholars (details available on university portal). The hard-copy of the fee receipt, generated by the system after the successful payment of the requisite fee, should be retained by the students as proof of payment for their own records. All fee payments to the university, including Ph.D. thesis submission fee, fee for priority issuance of degree certificate, etc, are also to be deposited online through the university portal.

Imposition of penalty for late payment of tuition fees (for already enrolled students)

- i. No Late Fee Penalty shall be applicable if the Semester Tuition Fee is paid by 31<sup>st</sup> day of January (for January semester) and 30<sup>th</sup> day of September (for September semester).
- ii. Late Fee of INR 1000 for Indian students / 100 USD in case of foreign students shall be applicable. The late fee is applicable to the students who pay fee after 1<sup>st</sup> February to 15<sup>th</sup> February for the Semester of January / 1<sup>st</sup> October to 15<sup>th</sup> October for the semester of September.

iii. Late Fee of Rs. 1500 for Indian students / 150 USD in case of foreign students (in addition to Late Fee of Rs. 1000 / 100 USD as applicable) shall be applicable to the students who pay fee between 16<sup>th</sup> February and before 28<sup>th</sup> February for the Semester of January / between 16<sup>th</sup> October and 31<sup>st</sup> October for the semester of September.

iv. The University portal will not allow students to pay the Tuition Fee for any Semester, until and unless she/he pays the tuition fee for all the previous Semester (including Late Fee, if applicable).

**v. Failure to pay the Semester tuition fee (even by the late fee deadline) along with progress report for two consecutive semesters would entail cancellation of the student's enrollment/Registration in the University.**

### Free-ships, Tutorships and Scholarships

The Board of Management, in consultation with the Board of Governors, may consider offering Free Ships/Tutorships/Scholarships to deserving Scholars who maintain a minimum level of performance on a yearly basis.

Research Scholars will be counseled and encouraged to avail Scholarships available from various Government and other Agencies exclusively for Research Scholars. As a custodian of such Scholarship Funds, the University will strictly adhere to the norms of the Scholarship Funding Agency.

The University will make efforts to provide teaching/research assistantships for deserving Research Scholars, wherever possible. The University may also create an Endowment Fund to offer Scholarships to deserving Research Scholars. Research Scholars may also work on sponsored (funded) research projects for their Ph.D. and avail themselves of any related assistantships.

#### D.4.7 Ph.D. Programme Structure

The following table describes the Ph.D. programme structure of the University. CL: Course Leader.

PRP: Progress Review Panel (refer to subsection on Committees)

#### Programme Structure for Full-Time Scholars:

Sl. No.	Course Code	Course Title	Proposed Credits	Duration
1		PhD Induction and Foundation, Enrollment	-	6 Months (for both FT and PT)
2	RIC711A	Research Methodology (RM)	4	
3	RIC712A	Research and Publication Ethics (RPE)	2	
4	XXX7YYA	Technical or Specialization Paper 1 (of the domain chosen for carrying out research)	3	
5	XXS7YYA	Topic related Seminar pertaining to Scholar's Research	2	
		PRP-1		
6		Registration to PhD Program	-	6 Months (for both FT and PT)
7	XXX7YYA	Technical or Specialization paper 2 (of the domain chosen for carrying out research)	3	

9	XXS7YYA	Comprehensive Exam (Candidate is required to give a colloquium in front of the PRP members, the scholar can be evaluated for the understanding of the research topic chosen and the basics related)	2	
10		PhD – Research Problem Formulation	-	
		PRP-2		
11	PhD721A	Work on Objective 1	-	6 Months for FT
12	PhD722A	Work on Objective 2	-	9 Months for PT
		PRP-3		
13	PhD723A	Work on Objective 3	-	6 Months for FT
14	PhD724A	Work on Objective 4	-	9 Months for PT
		PRP-4		
15	PhD731A	Synopsis	-	6 Months (for both FT and PT)
16	PhD732A	Colloquium Presentation	-	
		PRP-5		
17	PhD733A	Thesis Submission	-	6 Months (for both FT and PT)
		PRP-6		
		Total Credits	16	

**Note 1:**

**XXX – First two XX refers to department code (Ex: Civil Engineering, CE) and the third X refers to type of the course (Ex: Core course, elective, laboratory, etc.)**

**Doctoral programme course codes start with 700 series.**

**YY – First Y refers to year of study and the second Y refers to the course number in the programme structure in that year**

**A – Refers to First time course framing, (if any revision greater than 25% is done subsequently, it will be “B”)**

**(Ex: A civil engineering course in the first year will have a course code CEC711A)**

(Departments to refer to the MOM of Revised Course Codes across RUAS 2022-23 session onwards dated 26.07.2022, circulated by Associate Dean - Academics to all HODs)

**Note 2:**

All the course leaders / Supervisors are required to enter the marks of the courses they have taught into the ERP (including the NPTEL course if taken by the scholars) within one month of the examination being conducted.

All 3 and 4 credit courses will carry 100 marks (CE-50, SEE-50) and all 2 credit courses will carry 50 marks (CE-25, SEE-25).

All non-credited courses are to be entered as satisfactory upon the completion of PRPs.

The PRP will meet once in every six months (January and July) for a Full-Time Scholar and once every nine months for a Part-Time Scholar.

Submission of Thesis meets the partial requirement towards the award of Ph.D. degree for part-time Research Scholars sponsored by an organisation, it is necessary that the organisation should commit providing necessary infrastructure and facilities in their organisation for satisfactorily carrying out one's research work.



### D.4.8 Academic Calendar

#### General Academic Calendar

The general academic calendar, common to Ph.D. programme of the University is given below:

Sl. No.	Activity	January Session	September Session
i	Release of Ph.D. admission Notification	November 1 <sup>st</sup> week	June 1 <sup>st</sup> week
ii	RRPT, Selection of Ph.D. scholars	2 <sup>nd</sup> Week of December	2 <sup>nd</sup> Week of July
iii	Enrollment	1 <sup>st</sup> Week of January	1 <sup>st</sup> Week of August
iv	Session Begins	2 <sup>nd</sup> Week of January	2 <sup>nd</sup> Week of August
v	Mid Semester Exams / Assignment submission	2 <sup>nd</sup> Week of March	2 <sup>nd</sup> Week of October
vi	Session Ends	2 <sup>nd</sup> Week of May	2 <sup>nd</sup> Week of December
vii	Semester End Exams	3 <sup>rd</sup> Week of May	3 <sup>rd</sup> Week of December
viii	Results Announcement	1 <sup>st</sup> Week of June	1 <sup>st</sup> Week of January
ix	Issue of grade card	3 <sup>rd</sup> Week of June	3 <sup>rd</sup> Week of January

\* This calendar is only indicative, and the exact dates would be notified separately, before the beginning of each semester.

#### D.4.9 Ph.D. Supervisor(s) and Advisor(s)

The allocation of Research Supervisor for a selected research scholar shall be decided by the Department Doctoral Committee concerned depending on the number of vacancies available with a Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.

In the case of topics which are inter-disciplinary and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Doctoral Committee 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/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

#### Main Supervisor:

Once the Supervisor is allotted, officially, the Scholar can discuss the problem in detail and evolve a road map to plan the research activities together with the Supervisor/s.

The relevant form for requesting allotment of the Main Supervisor is available in the Office of Research and Innovation. The Main Supervisor will necessarily be from the Faculty of the University.

#### Co-Supervisor:

A Scholar can have a maximum of 3 Supervisors. If the Main Supervisor and the Scholar feel that they need additional help from other experts, in the subject, they should submit a written request to the Doctoral Committee (PRP) to recommend the names of other Supervisors. A co-supervisor can be an expert with a Ph.D., either from within the department or from other

departments of the University or from Industries / Institutes of repute depending on the expertise required. In exceptional cases, the committee can also recommend an expert without a Ph.D. from an Industry, who is having an exceptional track record of publications/patents/product commercialization as co-supervisor. However, an application needs to be submitted by the co-supervisor external to the University, along with his/her resume and No Objection Certification (NOC) from his/her employer to the doctoral committee for its approval. The Doctoral Committee will take a decision in this regard. Such a Research Supervisor will not be paid any remuneration by the University as this service is considered purely an honorary service.

The External Supervisor is, however, required to follow the rules regarding confidentiality, non-disclosure and IPR policies of the University for the Ph.D. programme under consideration. The recommendation of the committee should reach Dean – Office of Research and Innovation, following which a Ph.D. guideship confirmation letter will be issued to the candidate. The list of Supervisors is finalized before submission of the Statement of Research Problem to the Office of Research and Innovation. An expert with a Ph.D. qualification from a reputed University and sufficient Teaching/Research/Industrial experience (equivalent to at least an Associate Professor) but not employed in the University may also be considered for appointment as a co-Supervisor.

In the event of the primary supervisor leaving the RUAS before the completion of the course:

- Change in Supervisor with similar expertise to be communicated to the HOD, and with concurrence from the candidate, outgoing supervisor and new supervisor who has accepted / allotted along with the signature of Dean of respective Faculty.
- Faculty leaving the RUAS will require to provide an NOC from their employers to continue as co-supervisors

This is applicable only if the RUAS faculty who are leaving the organization have supervised more than 70% (with at least 4 PRP's completed).

### **Inter-Departmental PhD Guideship**

A Scholar registered in a particular department should have their Supervisor (Main) in that department. Co-supervisors can be from other departments based on subject matter expertise. This holds good in the case of smaller departments and in Health Sciences, unless there is no faculty availability in the department owing to faculty leaving the organization. In this exceptional case, there will be a formal request after consulting the scholar to re-assign the Main supervisor to another department in RUAS. It is mandatory for the scholar to be awarded a degree from the department that the original admission is taken.

### **PhD Guideship record**

HODs to evaluate the eligibility criteria of respective departments as per the RUAS guidelines and submit the updated list of eligible PhD supervisors to ORI.

HOD's to update the list of eligible supervisors to ORI before the beginning of every semester, in case of faculty members who have left the Institute.

### **Advisor:**

Research Scholars may sometimes find it essential to consult experienced individuals in

Industry, Research Organizations or Academia for their research work on a regular basis even if that individual does not have the required qualification to become a Research Supervisor. Such an individual may be considered as an Advisor, and he/she must be suitably acknowledged in the thesis and other publications arising out of the programme. An application for an Advisor after PRP - 3 will not be entertained by the Doctoral Committee. The necessary forms to apply for Co- Supervisor(s) or Advisor(s) are available in the Office of Research and Innovation.

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

A permanent faculty member working as Professor/Associate professor in the University with a Ph.D. degree and at least five research publications in peer-reviewed journals and permanent faculty member working as Assistant Professor in the University with at least three research publications in peer-reviewed journals can be recognized as a supervisor.

A Research Supervisor/Co-Supervisor who is a Professor cannot guide more than six (6) Ph.D. Scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars (including co-supervision) and an Assistant Professor as Research Supervisor can guide up to a maximum of two (2) Ph.D. scholars. However, additional research scholars can be allotted to a supervisor over and above the allotted number provided the Research Supervisor is implementing a major sponsored research project with the advice of university leadership. Further, each Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis. At any point in time the total number of candidates under a research supervisor shall not exceed the number as prescribed above, including the candidates under co-supervision.

*However, in the disciplines where the terminal degree is a Post Graduate Degree (Health Sciences related faculties including Allied Health Sciences), a faculty having the following requirement, can be the supervisor (as per ICMR guidelines):*

- *A faculty should possess a Post Graduate degree in the specialty concerned with total teaching experience of 15 years and PG teaching experience of 10 years in the subject concerned and should have guided or co- guided 5 Post graduate students whose dissertations must have been submitted. In addition, he/she should have published 5 original publications as 1<sup>st</sup> or corresponding author in the indexed Journals.*
- *In the faculty of Physiotherapy, in addition to MPT, qualification of MD or MS in relevant subjects of medical faculty such as Orthopedics, Respiratory Medicine, Pediatrics, Community Medicine, MD (OBG), DM (Neurology) and MCH (Cardiothoracic Vascular Surgery) are also eligible.*

**Note:** The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University/College. He/she cannot increase the number by using recognition from multiple universities/colleges.

The allocation of Research Supervisor for a selected research scholar shall be decided by the Department Doctoral Committee concerned depending on the number of vacancies available

with a Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.

In the case of topics which are inter-disciplinary and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Doctoral Committee 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/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

### **The Supervisor's obligations and Roles/Responsibilities of Supervisory Team**

It is supervisor's responsibility to ensure at all formalities described in the PhD Regulations and in the Ordinances of HEIs (common guidelines to all universities) are fulfilled.

The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching skills and career guidance. The supervisor's responsibilities include information and advice to scholars on all aspects related to the PhD programme while focusing on guidance on academic aspects of research activities. This may include regular meetings with a scholar (typically once a week unless restricted due to reasons otherwise). The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors where deemed appropriate, whether the proposed PhD project is feasible within the given time frame, whether the project has the potential to lead to new results of significantly high standard of an international level PhD thesis, and whether the scholar has sufficient time to enable him to have a realistic opportunity for submission of thesis. It is envisaged that an ideal PhD programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D. programme and they have reached an agreement on the demands and expectations from each other. The responsibilities of the supervisor include:

- Regular contact with the Ph.D. scholars, and discussing to see if the ideas are good for the research project and be accessible at appropriate times for consultation and ensure that the research diary is maintained by the Research Scholar
- Guiding the scholar about the choice of relevant courses, journals for the publications, patents and conferences related to the field
- Advising the scholar to contact relevant national and international organizations in research

- Assisting the scholar on incorporation of knowledge dissemination element during study
- Regular review and feedback on the PhD project
- Preparation of the final statement from supervisor summarizing the overall PhD programme at the time of PhD thesis submission
- Active participation in the assessment and PhD defense,
- Supervisory teams should be conversant with the current regulations of the University Academics regarding the Ph.D. degree programme
- Ensure all paperwork/stages of progression are completed within the prescribed time-limits
- Ensure that Research Scholars complete specified courses on time
- Be accountable to the University for the satisfactory progress of the Scholar's research programme
- Read any written document that the Research Scholar has produced and provide constructive criticism of the work within a specified time
- Be able to advise the Research Scholar on Safety, IPR and Ethics related issues together with the University's general and the relevant academic Regulations
- Play an active role in introducing the Research Scholar to other researchers, appropriate academic bodies and learned societies within the chosen field
- Ensure that the Research Scholar is made aware of the progress or if the standard of work is unsatisfactory and arrange for appropriate supportive action where necessary
- Devote sufficient time, after managing all other responsibilities, to dedicate to the needs of the Research Scholars
- Guide and ensure that the Research Scholars prepare for PRP, prepare presentations, prepare papers for Conference and Journals and prepare the Thesis for submission as per the RIC's / University's requirements
- To nurture the young Faculty Member into research guidance for smooth conduct of Research Scholar's programme, a research supervisory team consisting of Faculty Member with experience of research supervision and a young Faculty Member with no prior experience of independent research supervision will be insisted on a case-to-case basis.

#### **D.4.10 Ph.D. Research Problem Statement**

A Research Scholar is required to submit his/her Statement of Research Problem as part of PRP-2 in accordance with the guidelines for approval of the selected Problem by the Doctoral Committee. The relevant form for this purpose is available in the Office of Research and Innovation. The Doctoral Research thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, the interpretation/critical analysis of the results should exhibit advanced technical and research skills.

## D.5 Credit Scheme and Credit Structure

### D.5.1 Credit Definition

15 hours of study/course work is equivalent to one credit. At the time of submission of the thesis, the Scholar must have secured at least 16 credits as per the credit accumulation sheet and must have passed PRP reviews 1 to 6.

## D.6 Course Details

### D.6.1 Course Registration

A Research Scholar is mandatorily required to register for Research Courses as indicated in the programme structure given in D4.7. The Research Scholar is eligible for the corresponding credits upon successful completion of the registered course(s) and will be awarded credits in the subsequent PRP. Research scholars, with the advice of his supervisor/s, can also earn credits of technical courses by undergoing assessment in online platforms such as SWAYAM, Coursera, etc.

### D.6.2 Course Work: Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

The minimum number of credit requirements for the Ph.D. programme should be at least 12 credits and a maximum of 16 credits.

The coursework shall be treated as a prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, qualitative methods, computer applications, research ethics, and review of published research in the relevant field, fieldwork, etc.

A Research Scholar is mandatorily required to register for Research Courses as indicated in the programme structure given in D4.7. The Research Scholar is eligible for the corresponding credits upon successful completion of the registered course(s) and will be awarded credits in the subsequent PRP. Research scholars, with the advice of his supervisor/s, can also earn credits of technical courses by undergoing assessment in online platforms such as SWAYAM, Coursera, etc.

Students who register for Ph.D. directly from four-year undergraduate with research need to complete technical courses for 18 credits equivalent to the course in the first year PG programme + mandatory courses for 6 credits = 24 credits, and specifically to the area of research chosen. They will have to take a Qualification exam

The specific components for assessment and grading are provided in Annexure 4.

All Ph.D. entrants, irrespective of discipline, shall be required to take credit-based courses in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral training period. Other courses shall be advanced-level courses preparing the students for the Ph.D. degree. Lifelong learners/ accomplished researchers as evinced from their original contributions in terms of patents granted or new relevant knowledge or/and artistic practices desirous to get a research degree the Research Advisory Committee / Doctoral Committee may

provide choices in selecting the courses/credits that facilitates the entrepreneur in the monetization of IP thus generated. Credits earned for completed course work are transferable from one institution to another institution through the Academic Bank of Credits. All fresh Ph.D. entrants, irrespective of discipline, will be required to take credit-based courses in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral training period. Ph.D. scholars may also have 3-4 hours per week of actual teaching experience gathered through teaching assistantships or other forms of knowledge dissemination that are not repetitive. All dissemination activities include External presentations and posters, popular articles conveying scientific information (or Scientific articles) to the public, production of books, commissioned research and Internal presentations must be approved by the Doctoral Committee. Teaching for the Department, supervision of fellow students/technical staff, dissemination tasks can also be credited as knowledge dissemination and as a work commitment.

All courses prescribed for Ph.D. course work shall conform to the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.

The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Doctoral Committee, as stipulated under sub-Clause 8.1 below, of the research scholar.

All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters. In case of pandemic situations, provision of blended mode should be made available.

Candidates already holding M.Phil. Degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated course may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. coursework prescribed by the Department. Provided that, the candidates sponsored/authorized by the Govt. of India institutions/organizations who work for their Ph.D. degree in a University under an MoU/exchange programme/Govt. of India scheme, etc. may be exempted from Ph.D. course work provided they produce certificate of completing a course work of equivalent duration/credit from their respective institution/organization.

Grades in the course work, including research methodology courses, shall be finalized after a combined assessment by the Progress Review Panels / Doctoral Committee and the Department and the final grades shall be communicated to the Institution/College.

A Ph.D. scholar must obtain a minimum of 55% 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 coursework to be eligible to continue in the programme and submit the thesis.

### **D.6.3 Attendance and Progress Monitoring**

Research Scholars may download the Scholar's Diary from the University's website at the time of registration to the Ph.D. programme. A Full-Time Research Scholar should have at least one entry per week, evidencing the meet with his/her supervisor for discussion on his/her research topic (for a Part-Time Research Scholar this entry should be made at least



once every fortnight). A record of technical discussions and any suggested action points should also be stated in the diary. If a Research Scholar is away, the Research Scholar must communicate, in writing (preferably by e-mail), with the Supervisor which will also be entered into the diary. Failing to do so may make the Research Scholar ineligible to register for the subsequent PRP. The original diary of the Research Scholar will be in the custody of the Research Scholar, and he/she is expected to produce the diary for inspection during PRP reviews and at the time of thesis submission.

A quarterly update of the research progress to be made by the Part-Time scholars, to the respective Supervisors / HOD's.

This is applicable for both external and internal part-time scholars.

Mandatory for the PRP's to be conducted and recorded by the Supervisor within the stipulated timeline, of 4 PRP's in Four years (maximum).

Any deviations to be updated via the HOD to Office of Research with due signatures and valid reasons.

#### **D.6.4 Temporary Absence of Research Scholars**

There are no specific leave rules for either the Full-time or Part-Time Research Scholars. However, a Full-Time Research Scholar who wishes to avail leave of absence due to illness and personal reasons must keep the Supervisor informed through written communication. The above procedure is applicable only in the case of short leave of absence (less than a week). For any long leave (more than one week and less than 30 days) of absence the Research Scholar (both Full-time and Part-time) should keep the supervisory team informed and the leave so availed should be entered into the Scholar's diary by the Main Supervisor. Research Scholar is required to ensure that a record of leave availed by the Research Scholar is made available to the main Supervisor. The Office of Research and Innovation should be kept informed.

#### **D.6.5 Guidelines to Handle Research Scholars who are not Regular in their Studies**

A Research Scholar is required to meet his/her assigned Supervisor(s) on a regular basis (weekly once for Full-Time and once every fortnight for Part-Time Research Scholars). If a Research Scholar skips two successive regular meetings without valid reasons, the supervisory team can, *suo moto*, bring it to the notice of the Dean – Office of Research and Innovation and Dean may advise the Research Scholar to discontinue his/her studies or re-register for the next available opportunity. If the Research Scholar has valid reasons, he/she is expected to submit all the evidence and supporting documents to the Office of Research and Innovation through the supervisory team for its review and consideration. The Supervisory team must send a letter to the Dean - Research and Innovation citing the Research Scholar's sporadic attendance or absence, along with a signed copy of the meeting logbook. The Dean - Research and Innovation may seek an explanation from the Research Scholar and give him/her sufficient time (not exceeding 15 days) to provide his/her response. Based on the reply received or in the event no response is received, the Dean - Research and Innovation in consultation with the Doctoral Committee will take a decision on whether or not to allow the Research Scholar to continue the Programme.



### **D.6.6 Guidelines for 'Break of Studies'**

If a Research Scholar wishes to suspend research work for a period not exceeding one year, he/she may apply through the Supervisor(s), requesting the permission of the Doctoral Committee for a break of studies. The necessary form, for making this application, can be obtained from the Office of Research and Innovation. Along with the application, necessary documents are to be submitted supporting the reason cited for the requested break of studies. The Doctoral Committee may accord approval for such a case and approve the Research Scholar's request to re-register at a later date and inform Office of Research and Innovation. Where a Research Scholar suspends studies without the prior approval of the Doctoral Committee, any subsequent request for re-registration to the Programme by the Research Scholar may not be entertained by the Doctoral Committee. In all such cases the decision of the Doctoral Committee will be final without the possibility of any kind of appeal.

## **D.7 Assessment and Quality Monitoring**

### **D.7.1 Doctoral Programme Progress Assessment**

#### **Progress Review Panels / Doctoral Committee**

The PRP / Doctoral Committee is a panel comprising members approved by the Dean - Research and Innovation for reviewing the progress of each Research Scholar. The panel consists of an independent Chair, 3 Examiners (one examiner may be external to the University, drawn either from Industry / Research institutes of repute) and the Supervisor(s). The panel reviews the progress of each Research Scholar based on the written reports submitted by the Research Scholar and a 20-minute presentation. Efforts will be made to maintain the same panel for the entire Ph.D. programme cycle of the Research Scholar. The constitution of the PRP is described in the subsection D.3.2 on Committees.

### **D.7.2 Guidelines for Conducting PRP Review of a Research Scholar's Progress**

Each Research Scholar is required to make a presentation on the progress made in his/her research topic to the PRP at the end of each semester in the format prescribed by the Office of Research and Innovation. The Research Scholar should submit 3 copies of the progress report to the Doctoral Committee one week in advance. The Supervisors are only observers at the PRP and they do not have the right to defend or prompt the Research Scholar when he/she is presenting the report during the PRP. The PRP will allow the Research Scholar to make a 20-minute presentation in a specified format and this is followed by about 30 minute question and answer session. At the end of the PRP session, at least 10 minutes time is reserved for Panel Members to make their recommendations to the Research Scholar. At the end of the PRP, the Panel will declare the result (Pass or Fail) and award the credits earned. If the progress demonstrated by the Research Scholar is considered unsatisfactory, the PRP may declare the progress as '**Unsatisfactory**' which is equivalent to a '**Fail**' result. Based on the PRP's recommendation the Doctoral Committee will enter the credits earned in the Credit

Accumulation Report after it has been ratified by the Doctoral Committee before issuing the Research Scholar a signed copy of the Credit Accumulation Report.

Convening the PRP is the responsibility of the Main Supervisor, and the Faculty / Department Doctoral Coordinator will send a reminder in this connection at least three weeks in advance. After the PRP review is over, the Main Supervisor will forward the report to the Faculty / Department Doctoral Coordinator. All the documents must be maintained in the candidate's file in custody of Faculty / Department Doctoral Coordinator, which is required to be submitted to Office of Research and Innovation during the submission of thesis.

### **D.7.3 Guidelines for a Research Scholar Failing in the PRP**

If a Research Scholar's progress is found to be unsatisfactory by the PRP, the PRP declares a 'Fail' result. The Research Scholar will be advised to make up for the deficiency and present the progress in the next PRP. If a Research Scholar fails, he/she loses the credits associated with the period of six months (nine months in the case of Part-time Research Scholars) of his/her study. If the Research Scholar fails again to make up the deficit in the extended period, he/she may be advised to discontinue his/her research studies. However, if the Research Scholar has valid reasons for his/her unsatisfactory progress, the Doctoral Committee may take this into consideration and provide the Research Scholar with an appropriate extension of time not exceeding 6 months (nine months in the case of Part-Time Research Scholars). Beyond this point, any request for further extensions will be denied:

- If a Research Scholar fails to earn credits in each PRP, he/she is allowed to attend the next PRP and make up for the shortfall in credits (from the previous PRP). If a Research Scholar gets "Unsatisfactory" result in each PRP in both the first and subsequent attempts, then the Research Scholar will not be eligible for assessment of next PRP till he/she satisfactorily completes the previously attempted PRP
- If a Research Scholar is not able to be present at a particular PRP, he/she must have taken prior, written permission from his/her supervisory team and the approval of the Doctoral Committee. If he/she has failed to do so a "FAIL" result will be declared and the Research Scholar will be treated as a Research Scholar who has failed in that PRP
- The progress reports submitted by a Research Scholar to the PRP should have the signatures of the Members of the Supervisory Team. In case the Members of the Supervisory Team have conflicting opinions about the progress report of Research Scholar, the matter must be brought to the notice of the Doctoral Committee (and Dean – Office of Research and Innovation if required) to resolve the issue.

### **D.7.4 Thesis Submission**

A Research Scholar is required to submit 3 copies of color-printed thesis (in the specified format available in the Office of Research and Innovation) for evaluation by the panel of Examiners. The thesis is to be submitted to the Office of Research and Innovation. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any

other Institution. A plagiarism report showing similarity index less than 10% should be enclosed with the thesis. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission. Along with the thesis, the Supervisory team should suggest a panel of potential Examiners in the specified format which should be submitted to the Office of Research and Innovation in a sealed envelope. At the time of thesis submission, the Research Scholar should ensure that he/she has secured the minimum credits and published in at least two refereed/cited journals alongside presenting his/her work in at least two reputed Conference Proceedings (the Research Scholar should have personally presented the research work at the Conference). In addition, publishing / grant of patents / Commercialization of a product / building of a prototype based on the outcome of the research/ submitted a policy to the government or government agencies may be considered. The thesis submission form should accompany the Thesis Evaluation Fee and the Research Scholar must have cleared all outstanding Fee dues and obtain confirmation of this effect from the University's Accounts Officer. The soft copy of the thesis should be uploaded on Shodhganga website (<https://shodhganga.inflibnet.ac.in/>) and the document ID obtained after uploading the thesis be submitted to Office of Research and Innovation. The bound hard copy thesis must be submitted to the Main Supervisor who, in turn, is required to forward it with his signature. Where this procedure is not followed, the Research Scholar is expected to provide written justification for not doing so. The Thesis Submission Form should be enclosed with a sealed cover which should carry the names of the up to 4 Examiners from India and up to 4 Examiners from abroad duly evidenced by the Supervisor(s).

Note: An original report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.

### D.7.5 Ph.D. Thesis Evaluation

A Thesis submitted will be evaluated by three Examiners, namely:

**Examiner-1:** One of the Members of the Research Scholar's PRP (Usually the Supervisor)

**Examiner-2:** External Examiner – from Indian University or Research Organization or Industry

**Examiner-3:** External Examiner – from any Overseas University /Research Organization

Vice Chancellor of the University will choose examiner – 2 from the list of Indian Examiners and examiner – 3 from the list of foreign examiners. The Thesis will then be sent to three examiners who will be requested to evaluate it within 2 months. The Office of Research and Innovation will decide and facilitate the honorarium for thesis evaluation. The Examiners are required to submit the evaluation report in a specified format. A **Satisfactory** report from all the three examiners is required for the thesis to be accepted and to be eligible for scheduling

a Viva Voce.

#### **D.7.6 Ph.D. Viva-Voce Procedure**

A satisfactory report by all three Examiners of the student thesis is a must for the arrangement of Viva-Voce. If any one of the Examiners does not give a satisfactory report after the review of the thesis, the thesis will not be considered as accepted. However, if the Examiner(s) recommends the re-submission of the thesis, then the Research Scholar is required to revise the thesis based on the suggestions from the Examiner(s) and re-submit the Thesis within the next six months. The format for requesting a thesis re-submission is available in the Office of Research and Innovation. If the PRP finds the revised Thesis to be satisfactory, the PRP may declare it as an affirmative acceptance. In case of any confusion or conflict, the PRP may choose to send the revised thesis to the same Examiner(s) for re-review. If the revised thesis is accepted by the corresponding Examiner(s), the Viva- Voce examination will be scheduled.

At least two of the three examiners who have evaluated the thesis and an independent chair will constitute a panel to conduct the Viva-Voce Examination. The members of the Viva - Voce examination will be constituted by the Dean – Office of Research and Innovation (refer to subsection D.3.4) and a date for the examination will be notified to the Research Scholar and the Viva - Voce Examiners. The supervisory Team may attend the Viva-Voce examination if the Research Scholar desires so. However, the Supervisory Team will not participate in the examination process and decision making. The Research Scholar is required to present his/her work for about 20 minutes and the format of presentation should follow the guidelines specified by the Office of Research and Innovation. The question-and-answer session will be held after the presentation. The Independent Chair in consultation with the other examiners will prepare a report in a specified format and submit it to the Dean – Research and Innovation. Based on the recommendations of the panel of Viva-Voce examiners, a decision on the award of the Ph.D. degree to the Research Scholar will be made by the Dean- Research and Innovation. Based on the recommendation of the evaluation committee and Dean – Research and Innovation, to award the degree, a notification from the Office of Registrar will be issued announcing the award of the degree. If the Research Scholar's performance in the Viva-Voce examination is found to be **Unsatisfactory**, the panel of Viva-Voce Examiners will be advised to prepare the report accordingly and submit it to the Dean - Research and Innovation to arrive at an appropriate decision.

The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

#### **D.7.7 Award of Ph.D. Degree**

The University will award the Ph.D. Degree to the Research Scholar in the first available

Convocation of the University. Nevertheless, within fifteen days of successful completion of the Viva-Voce, the Office of the Registrar will issue a Provisional Certificate to the Research Scholar.

## **D.8 Degree Certificate**

The Degree Certificate, issued under the University seal, will have the Research Scholar's name, the name of the degree awarded, the name of the concerned Department as well as Faculty, and the title of the Thesis. The Degree Certificate will bear the signature of the Vice-Chancellor of the University.

### **D.8.1 Convocation**

A Convocation Ceremony will be held once every year. The Research Scholar will be awarded the Ph.D. Degree Certificate by the Vice Chancellor or his/her nominee (Normally –a Pro Vice Chancellor) during the Convocation Ceremony. The Degree will be awarded in the presence of the University's Mace. Graduating Research Scholars who are unable to attend the Convocation can apply for the award of the degree *in absentia* after paying the prescribed fee.

### **D.8.2 Corrections in Grade Cards and Certificate**

A Research Scholar can apply for correction in any transcript and/or degree certificate issued by the University within six months from the date of issue.

### **D.8.3 Issue of Reprint of Transcripts, Degree Certificate**

In the event of a Research Scholar losing the original transcripts or degree certificate, he/she can apply for issue of re-printed documents. Re-printed transcripts will be issued against payment of the prescribed fee. The reprints will carry the caption "Duplicate"

### **D.8.4 Inter University Transfer of Research Scholars**

Inter-University transfer of Research Scholars is not permitted.

## **D.9 Other Academic Matters**

### **D.9.1 Missing a Course / Failure to Complete a Course**

If a Research Scholar is unable to complete a course due to any reason leading to non-assessment, the Research Scholar is required to re-register for that course in the next offering.

### **D.9.2 Guidelines for Change of Research Supervisor by the Research Scholar**

A Research Scholar during the research period may find it necessary to change the Supervisor(s) for a variety of reasons including superannuation, resignation, death, incompatibility etc. In such situations, a Research Scholar can request the Doctoral Committee to allot a new Research Supervisor. The Doctoral Committee needs to take a

decision after considering the recommendations of the other members of the Supervisory Team of the Candidate. The format for making an application requesting a change of Supervisor is available in the Office of Research and Innovation. Normally, the decision about the change of supervisor will be completed within 30 days of receipt of written request. If the scheduled PRP of the Research Scholar falls within the duration of 30 days, that PRP of the Research Scholar will be deferred till the decision is arrived about the change of Supervisor. If the change of supervision results in extension of the duration of the research programme, the Research Scholar shall bear the fee for the extended duration. However, if the change of Supervision is because of unforeseen circumstances (death, resignation, termination of supervisor or suggestion for change of topic by the Supervisor) which are beyond the control of Research Scholar, University shall decide the fee for extended duration if any.

### **D.9.3 Guidelines for Change of Research Topic / Title by the Research Scholar**

A Research Scholar may at some point of time find that it is difficult to continue with the current research topic which has already been approved at PRP-2 and would like to start with a new topic. In such an instance the Research Scholar is required to submit a written request to the Doctoral Committee within 18 months from the day of Registration. The Doctoral Committee, after deliberations, may permit the Research Scholar to take up a new study plan. The topic cannot be changed by the Research Scholar more than once in the Ph.D. programme cycle. If the topic change involves a change of supervisor(s), the guideline suggested in Section D.10.3 should also be followed.

In some cases, while the main topic and the objectives remain the same, a minor deviation may be needed. Such a case is termed as 'Title Change'. The Research Scholar along the Supervisory Team should bring this matter to the notice of Doctoral Committee through the PRP report and have this ratified. In any event a request for a title change will not be permitted more than twice in the duration of Ph.D. programme of the Research Scholar.

The format for requesting a change in topic or title can be obtained from the Office of Research and Innovation. In such cases, the period that should not be accounted for the duration of the Ph.D. programme, and it will be recommended by the respective PRP and approved by Dean – Office of Research and Innovation in consultation with Doctoral Committee.

### **D.9.4 Guidelines for Research Scholar for Withdrawing from the Ph.D. Programme**

For unforeseen reasons, if the Research Scholar wishes to withdraw from the Ph.D. Programme, he/she is expected to submit a request letter along with the No Dues Certificate in the format specified by the Office of Research and Innovation. Only an un-conditional request letter will be entertained. Final settlements, if any, will be considered only after the approval of the request by the Doctoral Committee. Those who withdraw from the Ph.D. programme cannot make any claims with respect to any subsequent publication, patent or

any such Research Scholarly benefits. Upon the request by the Research Scholar the University can issue a Certificate stating the academic record of completed courses along with credits after the payment of stipulated fee.

If a scholar has availed free ship/fellowship/any financial assistance from the University and wishes to withdraw from the Ph.D. programme, he/she is required to reimburse the entire amount to the University and complete the remaining withdrawal formalities. Any exceptions to this are required to get the approval of the Vice Chancellor.

#### **D.9.5 Research Scholars Grievances and Redressal Committee**

The provision of Research Scholars Grievances and Redressal Committee is described in Chapter 8 of the MSRUAS Statutes.

#### **D.9.6 Guideline on IPR generated by the Ph.D. Research Scholar**

The provision governing Intellectual Property that is generated by a member of the University is as described in Chapter 9 of the MSRUAS Statutes.

#### **D.9.7 Guideline for Obtaining Clearances from Ethics Committee**

If a Research Scholar's work needs clearance from an Ethics Committee (for the constitution of the Ethics Committee refers to the subsection on 'Committees'), the Research Scholar and the Supervisory Team are expected to prepare the necessary documents for obtaining clearance with the guidance of the Dean-Office of Research and Innovation. Research involving animal or human participants, animal or human materials, personal information, or involving clinical trials, or combinations of such studies, require Ethics Committee approval. The Ethics Committee may choose to take recommendations from an expert concerned.

#### **D.9.8 Participation in Conferences, Symposium and Publications**

The University has guidelines for sponsoring staff and Research Scholars who wish to attend Conferences and Symposia. This is applicable to Ph.D. Scholars. The format for requesting permission to attend Conference/Workshop/Symposia is available in the Office of Research and Innovation. A Ph.D. Scholar is expected to publish at least two research paper in a renowned peer reviewed journal or personally present the research work at two reputed and well-established Conferences in addition to publishing the work in the proceedings of the Conference. Permission to publish the research work in a Journal or a Conference can be requested in a specified format. Subject to the approval by the Dean – Office of Research and Innovation, upon the recommendation of Supervisor and Head of the Department, the Research Scholars may be given financial assistance to present paper in refereed conferences. When the request form for permission is submitted to the office of Research and Innovation, brief particulars of the intended publication (including the Title, Authors and the Abstract) will be placed on the University's intra-net/web site for 15 days. If anyone feels that his/her name is not included or if anyone finds unacceptable or confidential information in the abstract, they are free to request a stay of the publication to the Dean – Office of Research and Innovation. The Dean – Office of Research and Innovation will examine the case and take a decision on the matter and have the same ratified by the RIC. No request for a stay



of publications is accepted beyond the period of 15 days.

### **D.9.9 Code of Conduct**

The provision relating to the code of conduct that applies to every member of the University is as described in Chapter 8 of the MSRUAS Statutes

### **D.9.10 Discipline for Research Scholars**

The provision relating to discipline that applies to every member of the University is as described in Chapter 8 of the MSRUAS Statutes

### **D.9.11 Academic Appeal by Research Scholar**

A Research Scholar or Student can appeal against the assessment of a course or thesis whose result has been officially announced. The appeal in the written form should be submitted to the Dean – Office of Research and Innovation within six days of the announcement of results. The permissible grounds for academic appeal by a Research Scholar are:

- During the assessment of the course in question, regulations of the program were not followed or there was an administrative error or any other significant procedural irregularity that may prejudice the performance or assessment of the student
- Evidence of unfair or improper assessment on part of one or more examiners. However, the student is not permitted to question the academic judgment of the examiner or panel
- Evidence of extenuating circumstances was severe enough to have prevented the student from making an informed decision at that time whether to appear/attempt for an assessment or to apply for a deferral

The Dean – Office of Research and Innovation shall refer the appeal by the student to RIC along with the remarks of Independent Chair, wherever applicable. A Special Committee set up by the RIC will review the facts and veracity of the incident/s cited in the appeal. The Special Committee shall comprise the members who do not have conflicts of interest and have not been associated with the examination or assessment of the course under question. The Special Committee shall submit the report to RIC. The terms of reference shall be determined by the RIC at the time of constituting the Committee. The RIC shall examine the special Committee's report to arrive at a decision to adjudicate the appeal. The decision of the RIC shall be the final.

***Any other issues not covered in this document will be referred to the Research and Innovation Council. The decision of the Research and Innovation Council on such matters shall be final.***

***These Regulations may be amended from time to time by the Research and Innovation Council and approved by Board of Management. Failure to read and understand the regulations is not an excuse.***



## Annexure – 1

SOP/ Process flow of PhD program at RUAS			
Sl no	Process	Responsibility	Documentation for Audit
1	Finalize PhD regulations and upload on website	OofR	Regulations document
2	PhD call for applications announced on social/ print media	OofR	Advertisement/ Flyer
3	Application	O of Admissions	Online application form
4	Entrance exam	O of R/ Faculty	Question paper
5	Interview	Dept/ Faculty	Interview report
6	Candidate selected and admitted after fee payment/ Student registration	O of Admissions/ Finance/ COE	Selection letter/ Portal (email/log in id created)
7	Scholar details added into the database at O of R/ Induction	O of R	Student file/ Online Database
8	Course enrolment	Dept/ Faculty	Announcement of courses
9	Guide allocation (Student/HOD/Supervisor)	Dept/ Faculty	letter from Dean/HoD
10	Setting up doctoral committee	Dept/ Faculty	letter from Dean/HoD
11	PRP 1	Supervisor/ Doc committee	PRP report
12	PRP 2	Supervisor/ Doc committee	PRP report
13	PRP 3	Supervisor/ Doc committee	PRP report
14	PRP 4	Supervisor/ Doc committee	PRP report
15	PRP 5	Supervisor/ Doc committee	PRP report
16	PRP 6	Supervisor/ Doc committee	PRP report
17	Pre-PhD presentation	Supervisor/ Department	Report
18	Thesis submission to O of R along with list of external examiners	Supervisor/ Doc committee	Covering letters with supporting documents
19	Selection of external examiners for thesis review	O of R	Invitations
20	Reviewers' comments received	O of R	Reviewers' reports
21	Opening of comments by a committee and fixing timeline for response by scholar based on nature of comments	O of R/ Doctoral committee	Doctoral Committee with Minutes of Meeting

22	Scholar incorporates comments and supervisor approves	Supervisor/ Doc committee	Scholars' response report and table of modifications, Doctoral Committee with Minutes of Meeting
23	External examiners intimated for their acceptance of changes	O of R	Email
24	Viva Voce	Doctoral committee/ Ext examiners/ O of R/CoE	Report
25	Declaration of results within 24 hours	O of R/ CoE	Notification
26	Awarding degree	CoE/ Registrar's office	Certificate

**Annexure – 2**  
**UGC Regulations 2022**

[https://www.ugc.gov.in/pdfnews/0909572\\_Minimum-Standards-and-Procedure-for-Award-of-PhD-Degree.pdf](https://www.ugc.gov.in/pdfnews/0909572_Minimum-Standards-and-Procedure-for-Award-of-PhD-Degree.pdf)

**UNIVERSITY GRANTS COMMISSION**

**NOTIFICATION**

New Delhi, the 7th November, 2022

**University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022**

**No. F. No. 1-3/2021(QIP).**—In exercise of the powers conferred by clauses (f) and (g) of sub-section (1) of section 26 of the University Grants Commission Act, 1956 (3 of 1956), and in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulations, 2016 and its amendments, the University Grants Commission hereby makes the following Regulations, namely: -

**1. Short title, Application, and Commencement. –**

- (1) These Regulations may be called University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.
- (2) They shall apply to every university established or incorporated by or under a Central Act, a Provincial Act, or a State Act, every college, and every institution deemed to be a University under section 3 of the University Grants Commission Act, 1956.
- (3) They shall come into force from the date of their publication in the Gazette of India.

**2. Definitions. –** (1) In these Regulations, unless the context otherwise requires, -

- a) “Act” means the University Grants Commission Act, 1956 (3 of 1956);
- b) “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;
- c) “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;
- d) “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;
- e) “College” means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;
- f) “Commission” means the University Grants Commission established under Section 4 of the UGC Act 1956;
- g) “Course” means one of the specified units which go to comprise a programme of study;
- h) “Course Work” means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- i) “Degree” means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act;
- j) “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;
- k) “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;

- l) "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;
- m) "Guide/Research Supervisor" means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research;
- n) "Higher Educational Institution" means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
- o) "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;
- p) "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- q) "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- r) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;
- s) "Programme" means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- t) "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- u) "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- v) "University" means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution for higher education deemed to be a University under Section 3 of the Act.

(2) Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

**3. Eligibility criteria for admission to the Ph.D. Programme.**—The following are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed:

- i A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme 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 programme 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.

(2) Candidates who have completed the M.Phil. programme 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. programme. 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.

**4. Duration of the Programme.-** (1) Ph.D. Programme shall be for a minimum duration of three

(3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

- (2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- (3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

**5. Procedure for admission. -**

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

- (2) Admission to the Ph.D. programme shall be made using the following methods:

- i. HEIs may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

And/or

- ii. HEIs may admit students through an Entrance Test conducted at the level of the individual HEI. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.

- iii. Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.

- iv. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.

- v. HEIs may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

- vi. Provided that for the selection of candidates based on the entrance test conducted by the HEI, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

- (3) Universities and Colleges which are eligible to conduct Ph.D. programmes, shall:

- i. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

- ii. Adhere to the National/State-level reservation policy, as applicable.

- (4) The Higher Educational Institution shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of

admission) admitted under them on the website of the institution and update this list every academic year.

**6. Allocation of Research Supervisor.-** Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- (1) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

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.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- (2) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- (3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- (4) 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.
- (5) 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.

**7. Admission of International students in Ph.D. programme.-**

- (1) 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 6.3 above.
  - (2) The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
8. 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 6.3 and clause 7.1.

**9. Course Work.- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**

- (1) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- (2) 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.



- (3) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

**10. Research Advisory Committee and its Functions.**—(1) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the Higher Educational Institution concerned for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:

- i. To review the research proposal and finalize the topic of research.
- ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.

(2) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.

(3) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

**11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.**—

- (1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- (2) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Higher Educational Institution concerned, which shall also be open to all faculty members and other research scholars/students.
- (3) The Higher Educational Institution concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- (4) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- (5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of this Regulations.
- (6) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- (7) The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

**12. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes.**—

- (1) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
  - (2) Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:
    - i. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
    - ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.
- 13. Ph.D. through Part-time Mode-**
- (1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
  - (2) The Higher Educational Institution concerned 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.
  - (3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.
- 14. Grant of M.Phil. Degree.-** Higher Educational Institutions shall not offer the M.Phil.(Master of Philosophy) programme.
- 15. 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.
- 16. Award of Ph.D. degrees prior to Notification of these Regulations.-** Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.
- 17. Depository with INFLIBNET.-** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

RAJNISH JAIN, Secy.  
[ADVT.-III/4/Exty./367/2022-23]



## Annexure – 3

## Link for National Medical Commission Regulations for Postgraduate Medical Education

<https://www.nmc.org.in/MCIRest/open/getDocument?path=/Documents/Public/Portal/LatestNews/financial%20PGMER%20draft.pdf>

## Annexure – 4

**Addendum to RUAS PhD Regulations- 2023-24  
(MOM of 21<sup>st</sup> RIC, 6<sup>th</sup> August 2024)**

**Components of Grading**

There shall be **TWO components** of grading in the assessment of each course:

**Component 1: Continuous Evaluation (CE):** An assignment relevant to the course to test the higher order thinking be given by the course leader in the beginning of the semester. The scholar is expected to solve independently and submit the report for the assessment. This subcomponent represents the formative assessment of students' learning.

In case of scholars opting for online credited courses (Ex: NPTEL), the marks in the certificate be considered. If a scholar has opted non-credited course, the PRP / Doctoral committee should assess the course content and give an assignment to the student and assess as mentioned above.

**Component 2: Semester-End Examination (SEE):** This component represents the summative assessment carried out in the form an examination conducted at the end of the semester.

In case of scholars opting for online credited courses (Ex: NPTEL), the marks in the certificate be considered. If a scholar has opted non-credited course, the PRP / Doctoral committee should assess the course content and conduct SEE.

Marks obtained CE and SEE components have equal weightage (CE: 50% and SEE: 50%) in determining the final marks obtained by a student in a Course.

In case of failure (less than 40%), the scholar can take up the assessment in the next available opportunity.

CGPA for courses:

Scholars will be awarded grades based on marks scored.

Sl. No.	Marks Scored	Grading	GPA Grade Points
1.	90.1 – 100	O (Outstanding)	10
2.	80.1 – 90	A+ (Excellent)	9
3.	70.1 – 80	A (Very Good)	8
4.	60.1 – 70	B+ (Good)	7
5.	55.1 – 60	B (Above Average)	6
6.	50.1 – 55	C (Average)	5
7.	40 – 50	P (Pass)	4
8.	Below 40	F/Ab (Fail/Absent)	0