



Ref. No. U-508/SVSU/2024/504

Date: 03.03.2024

NOTIFICATION

It is hereby notified for information of all the concerned that the Academic Council in its 33rd meeting held on 29.12.2023 vide resolution No. 33(89) and in anticipation of approval by the ratification by Executive Council has approved the revised **Ordinance No. V-30A relating to the "Doctor of Philosophy (Ph.D)"** as per revised guidelines of UGC-2022.

The copy of revised Ordinance No. V-30A is enclosed and shall be applicable to Doctor of Philosophy (Ph.D) from Academic Session 2023-24 onwards

This issues with the approval of the Hon'ble Vice Chancellor.

Memo. No. U-508/SVSU/2024/504

Copy forwarded to information of:-

1. The Hon'ble Vice-Chancellor
2. The CEO
3. Pro Vice Chancellor
4. Director-Research
5. All Deans / HOIs/Principals/HODs
6. The Controller of Examination
7. The Additional Registrar- Academics
8. Guard File

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Executive Council in its 34th meeting held on 22.07.2024 vide resolution No. 34(9) has approved the revised Ordinance No. V-30A relating to the "Doctor of Philosophy (Ph.D)"

ORDINANCE No. V-30A

ORDINANCE RELATING TO THE DOCTOR OF PHILOSOPHY (PH.D.) PROGRAMME

1. This Ordinance may be called the "Ordinance relating to the "Doctor of Philosophy (Ph.D)" Programme (as per revised guidelines of UGC-2022).
2. This ordinance come into force from academic Session 2023 onwards
3. This supersedes the previous Ordinance No.V-30A issued in the year 2016 relating to "Doctor of Philosophy (Ph.D)" Programme

Chapter-1

GENERAL TIME-FRAME

1. The PhD programme shall follow semester system as follows:
 - (a) Jan-June (Even Semester) and
 - (b) July-December (Odd semester).
2. Minimum period for completion of Ph.D is three years from the date of registration including the mandatory course work. Maximum period is six years. Additional two years may be allowed through re-registration and female candidates and candidates with disability (40% or above) may be allowed an additional relaxation of two more years in re-registration.
3. Supervisors shall assign and schedule research work to their students. Full time students shall not leave the department without permission form supervisors on any working day. Supervisors shall assign and moderate the timing of research work, taking into account the availability of facilities, and safety of students as well as general rules of movement of students in campus.
4. A research student shall also be trained in academic activities by their participation in teaching and evaluation including laboratory and administrative work, as scheduled by the head of the department in consultation with the research guide.
5. A research student shall cease to be on the rolls of the University as soon as his/ her open defence viva-voce is over, or from the date on which the registration/re-registration is cancelled or lapsed.

Chapter-2

CALENDAR AND NOTIFICATION FOR ADMISSION

6. Application for admission to the PhD.Programme will be received twice ina year, i.e. for January batch(Even semester) and for July batch (odd semester).Notification for admission shall give details of vacancies of Ph.D. position in each department under various categories of applicable reservation, eligibility and procedure of selection.
7. Research and Development Cell will be responsible for all the record from admission till end of the program and even thereafter as the case may be and for all the communication with the candidate while for DRC and RAC department will communicate with the research scholar, the Ph.D. Section of R&D Cell must be marked with a copy of the same communication. In short Ph.D. section of R&D Cell will be point of all communication with reference to research scholar under the guidance and administrative control of Director Research.

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Chapter-3

COMMITTEES FOR ADMINISTRATION OF Ph.D. PROGRAMME

DIRECTOR OF RESEARCH (DOR)

8. One of the Deans of the University shall be nominated by the Vice Chancellor as Director Research to administer and govern all matter relating to research programme / activities of the University for a period of three years OR a separate full time Director Research may be appointed by the University as deemed fit. The Vice Chancellor may appoint Additional/Joint/Assistant Directors as and when required.

There shall be a Research & Development (R&D) Cell in the University which shall be headed by the Director (Research) and supported by Additional/Joint/Assistant Directors as required.

Functions & Responsibilities:

R&D Cell shall control the Ph.D. admission, conduct of course, RDC meetings, Pre-submissions of thesis and viva-voce examination after evaluation of thesis by the external expert. DRC and RAC shall be conducted by the Department concerned and 6 monthly progress report shall be submitted to the R&D Cell. The evaluation of thesis shall be done by Controller of Examination, however, the reports of external experts shall be forwarded by the R&D Cell to the Hon'ble Vice-Chancellor for the appointment of external expert to conduct Ph.D. viva voce examination if these are in order and in conformity with University Ordinances.

R & D Cell shall also maintain the records of research publications, will submit the report on publication (research papers, book chapters, books, monographs etc) for giving incentive to faculty members. R & D Cell will conduct FDP and other academic activities to support and create research environment and to educate the faculty members and research scholars to publish their research papers in high impact indexed Journals, preferably in SCI/Scopus/Web of Science/Pubmed etc. R & D Cell shall also forward and recommend the claims of faculty members for attending and presentations in National and International Conferences as per University Research Promotion Policy.

R & D Cell shall also maintain the records of seed money, research projects, consultancies and other research oriented activities including patent filing, examination and grants of Patents and Copyrights.

The above functions and responsibilities will be shared by the Additional / Joint / Assistant Directors / Coordinator Ph.D. in R & D Cell whose appointments shall made by the Vice Chancellor in consultation with the Director Research either as full time faculty members or from amongst the existing faculty members as additional charge. In case the existing faculty members are assigned such additional responsibilities, their teaching workload and other departmental responsibilities shall be adjusted accordingly.

IT Department with fully cooperate the R & D Cell as and when required and desired by the Director Research in ERP, management and IT related issues.

DEPARTMENTAL RESEARCH COMMITTEE (DRC)

9. Every department in the university shall have a Departmental Research Committee (DRC) with the Dean of the faculty concerned as the Chairman, the Head of the Department concerned as the

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- convener, and all recognized Research Supervisors in the Department as members.
10. The DRC shall regulate and administer all matters regarding doctoral research in the Department.
 11. The DRC shall meet before the beginning of every semester to decide upon the number of research students and the areas of specialization to which they may be admitted for research in the University Department. The DRC shall also meet whenever circumstances so require.
 12. The DRC shall prepare the syllabus of the subject specific Coursework no.3 in consultation with R&D cell (on the basis of UGC's prescribed syllabus).
 13. The DRC shall be empowered to take decisions on recommendations of the Research Advisory Committee on matters such as change of Research Supervisor/Co-Supervisor, joint supervision, revision of topic/area of research, conversion of registration from full-time to part-time and vice-versa, extension of the period of registration, de-registration and granting of re-registration, cancellation of registration in case of unsatisfactory progress/unethical practices in research committed by the student/misconduct of the student, condonation of delay in submission of thesis and consequent re-admission, etc. as provided for in the relevant Clauses contained herein.
 14. Quorum for meetings of the DRC shall be 50% of the members, fractions being rounded off to the next integer.
 15. All decisions taken by the DRC shall be reported to the Director of Research with copies of relevant documents for issuing orders, wherever necessary.

RESEARCH ADVISORY COMMITTEE (RAC)

16. There shall be a Research Advisory Committee (RAC) to monitor the progress of every student registered for research in the University.
17. The Head of the University Department in consultation with the Research Supervisor shall constitute the RAC with the Research Supervisor as Convener, the Co-Supervisor if any, and two approved Research Supervisors nominated by the Research Supervisor, one of whom shall be from the same department, within fifteen (15) days from the issuance of provisional registration order.
18. The RAC shall be in existence during the entire period of registration of the candidate, with such changes in membership as may become necessary from time to time.
19. The RAC shall conduct the oral exam of the scholar for Course 4 of Coursework.
20. The RAC shall meet at the end of every semester to evaluate the progress of the research student and may provide necessary advice including suggestions for improving the progress pursuing the course work in a sister department in the university should that be relevant to a candidate's research. The RAC shall also meet whenever circumstances so require.
21. The RAC may make recommendations to the DRC on matters such as change of Research Supervisor/Co-Supervisor, revision of topic/area of research, conversion of registration from full-time to part-time and *vice-versa*, extension of the period of registration, de-registration and granting of re-registration, cancellation of registration in case of unsatisfactory progress/unethical practices in research committed by the student/misconduct of the student / voluntary discontinuance, condonation of delay in submission of thesis and consequent re-admission, etc.

Ph.D. ADMISSION COMMITTEE

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22. Ph.D. Admission Committee shall be constituted with the Director of Research as Chairperson and members nominated by the Vice-Chancellor, to look into various issues related to PhD admission in general.

Chapter-4

ELIGIBILITY FOR ADMISSION

23. Eligibility for admission to Ph.D. Programme shall be a qualification in any one of the following: (A) Two year/four semester Master's Degree in relevant disciplines after a three year Bachelor Programme, with a minimum of 55%marks aggregate or equivalent grade. (B) One year/two semester Master's Degree in relevant disciplines after a four year Bachelor Programme, with a minimum of 50% marks aggregate or equivalent grade, (C) Four year Bachelor Degree in relevant disciplines with a minimum of 75% marks in aggregate or its equivalent grade. (D) M.Phil. Degree in relevant disciplines with 55% of marks or its equivalent grade. The decision of Departmental Research Committee (DRC) on eligibility conditions and Degree, discipline and specializations of study completed by each candidate shall be final.

The admission will be done on the basis of Entrance Test conducted by the Swami Vivekanand Subharti University. The number of seats for Ph.D. shall be decided well in advance and notified on the University website. The pattern and mode of Entrance Test will be decided by the Deans of the Faculty and R & D. Cell collectively and in tune with the UGC guidelines issued from time to time. The last dates for admissions, deposit of fee and the date for commencement of course work shall be decided by the R & D Cell. The Course work of first two common papers shall be conducted and monitored by the R. & D. Cell; however, the Course work exam shall be conducted by the Controller of Examinations in consultation with the R & D Cell. Course work of subject specific course shall be conducted by respective department and monitored by R & D Cell.

24. An applicant having a Post Graduate degree in an allied subject may also apply, but his/her eligibility shall be determined by the Research & Development Cell on the recommendation of the Departmental Research Committee (DRC) in view of the National Education Policy-2020 to promote interdisciplinary and multidisciplinary research. The decision of the R & D Cell, if approved by the Vice Chancellor shall be final. A candidate, possessing a foreign post graduate degree shall be eligible for registration under Ph.D. program subject to fulfillment of 'Equivalence Criteria' as laid down by the Association of Indian Universities or UGC.

25. Candidates holding an equivalent qualification from an accredited/recognized foreign educational institution can be considered. A relaxation of 5 % or its equivalent grade shall be allowed for those candidates belonging to SC/ST/OBC (Non-creamy layer)/PWD/EWS sections and Buddhist Minorities.

26. Candidates awaiting results in their final year/semester can also apply for admission, and can be considered for provisional registration.

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ELIGIBILITY FOR BEING CALLED FOR INTERVIEW

27. Admission shall be conducted on the basis of an interview by DRC. To be called for the interview, the candidates should have qualified in any one of the following:
- (a) Junior Research Fellowship offered by UGC/CSIR/INSPIRE/NBHM/ CEED/ KSCSTE/ ICCR or any other similar agency recommended by DRC, (or being considered for JRF on the condition of getting PhD registration), (b) a pass in National level tests such as NET/GATE/CEED/CUET (conducted by NTA within one year) etc. as considered by DRC, or (c) qualified in URET, if conducted by the concerned department, as mentioned below.
28. R&D Cell will decide to conduct University Level Research Entrance Test (URET) for admission for those who are not qualified in the fellowship/National level test as mentioned above, with the permission of Vice-Chancellor, and shall be notified accordingly. The syllabus of the tests shall include research methodology in the discipline and subject specific topics in equal proportions and is to be given along with notification for admission. A cut-off of 50% is applicable (with 5% relaxation for candidates belonging to SC/ST/OBC (Non-creamy layer)/PWD/EWS sections). A proportion of 70:30 weightage in the results of entrance test and interview shall be used to decide the selection of the candidates.
29. R&D Cell in consultation with respective DRC can decide the number of candidates to be called for interview based on the number of seats available. DRC is also free to fill any vacancy arising during the admission process, beyond the vacancies notified.

DRC INTERVIEW FOR ADMISSION

30. Every student applied for admission and satisfying the minimum eligibility conditions shall be invited by the R&D Cell in consultation with concerned Department for an interview to be conducted by DRC for admission. The students invited for interview are free to approach research supervisors/facilitators of the Department for discussing their research interest and they shall prepare a broad research proposal (in 100 words) under a broad topic, which shall be submitted and presented by the student during interview. DRC shall select candidates in the interview and allocate facilitator(s), and a list of those students who are selected and wait-listed (if needed) against each vacancy shall be prepared by R & D Cell, as per the following criteria:

Candidate with JRF/Pass in National level test and those working in projects /International /Foreign /Transferred candidates	100 % based on interview
Candidate called for interview through URET	70 % Marks in CET + 30 % interview

During the interview, the Board shall also consider the following aspects, viz. whether:

- The candidate possesses the competence for the proposed research;

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- The research-work can be suitably undertaken at the Institution/College;
- The proposed area of research will contribute to new/additional knowledge.

31. The Assistance Registrar (Academics) shall issue provisional selection letter and upon joining and payment of fees and forward the joining report and along with supporting Documents to the Director of Research for provisional Registration, the admission shall be confirmed.
32. The registration will be effective from the date of commencement of the course work. The student shall pay subsequently semester fee as applicable from the current academic semester onwards. The registration order will be issued by the Director of Research, indicating the Name of the student, date of registration, topic of research, and the name of the supervisor after the approval of topic by RDC.
33. Ordinarily a student is expected to join in two weeks' time after receiving the selection letter. The Dean/HoD/VC may allow a candidate to extend the joining time on case to case basis as deemed fit..
34. The list of registered candidates along with the names of facilitators(s) shall be forwarded to the Vice-Chancellor through Director Research for ratification in every quarter.
35. Those who were offered JRF, and those who are working in externally funded projects (with at least a minimum of two years of fellowship remaining) can apply at any time, provided they hold the minimum qualifications for PhD admission and DRC shall conduct special interview and admit them if found suitable. While considering JRF candidates for admission, wherever applicable, they shall be considered in the category in which they have qualified JRF. Candidates admitted through project fellowships may take up research in the areas directly corresponding to their project, and the Principal Investigator may be the Research Supervisor/Co-supervisor under whom the research project is carried out, unless DRC decides otherwise.

RESERVATION OF SEATS

36. (a) Seats shall be reserved in admission to PhD programme as per Governmental policies. DRC of each department shall determine numbers of seats reserved in various categories while declaring vacancies before admission.
- (b) Total seats as per faculty strength in the department shall be taken as a block and seats for reservation shall be determined using 200 point DoPT reservation roster effective at the time of notification with prospective effect. Vacancies in each category is determined by subtracting the number of students currently enrolled in various categories.
- (c) DRC shall admit candidates to each of these vacancies and allot facilitators taking into account the area of proposal, expertise of facilitators and also even distribution of candidates in each category among faculty members.
- (d) Reservation shall not be applicable for admission to supernumerary positions and for co-guidance.
- (e) Once regular admission is over, DRC may conduct special admission drive to fill vacancies in SC/ST reserved category of students.

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INTERNATIONAL STUDENTS

37. (a) Foreign students, who have been sanctioned scholarships under the cultural exchange programme/other such programmes of the Government of India and other countries, and those students applying for study in self-financing mode may be admitted to the PhD programme of the University. DRC shall hold a test/ interview, if necessary, to ascertain the competence of the candidate to undertake a PhD work. (b) Each supervisor can guide up to two international research students on a supernumerary basis over and above the permitted strength. (c) Guidelines/directions issued from office of ISGR of the University shall be binding on admission and further course of research for those students. (d) International student's admission can be considered anytime without waiting for a notification being issued by the University.

(b) The employees of SVSU shall be considered as internal candidates under supernumerary category to strengthen faculty of SVSU under career advancement scheme.

PART-TIME REGISTRATION

38. Working professionals, scientists, faculty members and teachers, executives under Government services/public sector undertaking/private sector undertakings (including NGOs at the middle and top-level management with minimum of 10 years of experience) and Swami Vivekanand Subharti University Non- teaching employees of all grades (whose probation has been successfully completed and declared) are eligible for part time PhD registration, if they fulfil all other conditions for Ph.D. admission and eligibility for being called for interview. Senior professionals and officers in industry/civil/defence services shall be considered for part time registration, and R&D Cell in consultation with DRC may decide to conduct special test (DET) and interview for their admission if decides so. Part time candidates shall be permitted to complete the course work as per DRC recommendation through online/off-line modes. A no-objection certificate shall be obtained by the candidate from the employer (or appropriate authority) to the effect that the candidate is permitted to pursue PhD programme under part-time mode, his/her official duties permit them to devote time for research, and (if required by the DRC concerned).

TRANSFER OF REGISTRATION

39. Transfer of scholars from other Universities for seeking registration/admission in Ph.D., following guidelines are made for all male and female both:

1. The scholar who has successfully passed the course work from other University may be considered for transfer, however, if the scholar has not passed course work, he/she shall be considered for fresh admission and will have to appear and pass the Entrance Test of the University. The credits earned by the scholar at any other University may be transferred if the University Equalization Committee finds them equal to the SVSU Ph.D. course work credits.
2. If, his/her RDC has been held, and the research topic is approved, the registration will be

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transferred only on the production of the "No Objection Certificate" from the parent University/Institution.

3. If the scholar has done considerable amount of research work after approval of the research topic by the RDC, his/her transfer will be considered but he/she will have to publish requisite number of research papers with affiliation of SVSU as per recommendations of Equalization Committee.

Following shall be the composition of Equalization Committee comprising the following members:

1. Dean Academics – Chairman
2. Director Research (Applied Sciences) – Member
3. Deans/HOI/HOD of concerned College/Department – Member
4. One Senior Professor of the subject concerned – Member
5. Proposed Supervisor of the scholar – Member
6. Director IQAC – Member

The committee will make specific recommendations for exemption of course work/RDC/registration as the case may be and also evaluate the amount of work done by the scholar, so as the equivalent to the period of research. The committee will recommend that how much waiver of fee and/or minimum period for submission of thesis shall be granted to the scholar. However, the final decision of the same will only be taken by Hon'ble Vice Chancellor.

Chapter-5 RESEARCH SUPERVISOR

40. Any regular Professor/Associate Professor of the University with five research publications in peer-reviewed or refereed journals and any regular Assistant Professor of the university with a Ph.D. degree and at least three research publications in peer-reviewed or refereed journals may be recognized as Research Supervisor in the concerned department; provided that in certain areas/disciplines, the Vice Chancellor may relax the above condition of publication for recognition as research guide for a faculty member with sufficient reasons submit to the ratification by the Academic Council.

Normally, a regular faculty member below 70 years of age shall act as supervisor, however, in case of unavailability of competent supervisors in a specific subject, the senior faculty members beyond the age of 70 years may be appointed as supervisors provided they are actively engaged in research and possess sound health and mind. The requests for transfer of supervisor after the approval of their candidature by the RDC should normally be discouraged unless there are such conditions/circumstances are created that the continuation of the supervisor is detrimental to the honor, prestige and image of the University or there is acute differences between the scholar and/or the supervisor, however, on production of NOC from the supervisor, the Hon'ble Vice Chancellor may allow the

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change/transfer of the supervisor at any stage. The permission for additional co-supervisor may be granted by the Hon'ble Vice Chancellor on case to case basis if the academic interest of the student and the research so demands.

41. Co-Supervisor can be allocated from the same department or from other department of the University or from other institutions with the consent of the proposed co-supervisor and approval of the DRC (of the department where the candidate is registered) and Director of Research.
42. **Number of research scholars:** (a) An eligible Professor/ Associate Professor/ Assistant Professor can guide up to eight, six, and four PhD scholars respectively at a given time (International and internal students are counted over this limit per clause 36(b). (b) The co-guideship will be taken into account (as 0.5) for counting the number of vacancies for PhD admission under a Research Supervisor. (c) A supernumerary position of one candidate per faculty is allowed, with the approval of Director Research. (d) In case a research guide is directed to supervise a student by University, that position is counted as an additional supernumerary.
43. Co-supervisors (from University) shall act as research guides in the event the main supervisor is on leave or out of campus for long term. In case in-house co-supervisors are not allocated, another faculty member (preferably an RAC member) shall be appointed by Director Research, on the request of the supervisor, as faculty in-charge for each student for monitoring the student, while the regular supervisor is away for a long term.
44. DRC may recommend to the Vice-Chancellor through Director Research for appointing a supervisor from another Department to act as the guide for any specific reason for a student admitted/considered for admission in that department. Once approved by VC, the candidate shall be attached to the parent department for all matters except that the supervisor is from outside the department. Supervisor shall be included in DRC or in any other committee as special invitee for making any decision about this candidate.
45. 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.
46. Emeritus/adjunct faculty can act as Co-Guide till the end of their service in the University to utilize their expertise.
47. The vacancy against a research supervisor shall arise after submitting thesis by a Student who have registered under him/her supervision.

Chapter-6

SELECTION OF TOPIC, SYNOPSIS, ATTENDANCE, COURSE WORK

TRANSDISCIPLINARY/MULTIDISCIPLINARY/INTERDISCIPLINARY RESEARCH

48. Trans-disciplinary/Multidisciplinary/Inter-disciplinary research catering to the needs of the society should be encouraged while deciding the topic research in the departments. Such a research

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can be undertaken by research students in any of the departments of SVSU. In these cases, the DRC can decide on the requirement of the research supervisor/co-guide and the qualifications of the candidates.

TOPIC OF RESEARCH AND THE TITLE OF THESIS

Registration of Scholar:

49. The facilitators shall be appointed by the DRC based on the preference of the scholar and the requirements of the topic of research. The facilitators shall help and guide the scholar in completion of the course work and the preparation of synopsis. The scholar and/or the facilitator may file a request to the Director Research for change if the circumstances so required. DRC will approve the synopsis before the conduct of course work exam and the scholar shall make the power point presentation of his/her synopsis before the DRC that will be evaluated by the DRC and the awards shall be submitted to COE through Director Research or as per University guidelines from time to time. The scholar shall submit three hard copies of the duly approved copy of the synopsis (signed by the scholar + proposed supervisor and co-supervisor if any) by DRC in the office of the R & D Cell. The Dean of the college shall submit a panel of 6 to 10 external experts, preferably Professors from the Universities having exceptional expertise in innovative and creative research. The Hon'ble Vice Chancellor may appoint any one from the panel suggested or may add any name in the panel to act as external expert of RDC. The Vice Chancellor on recommendation of the Director Research may order to conduct single RDC of allied subjects. The RDC on presentation of the topic by the scholar may approve or modify the title and/or objectives of the synopsis proposed. The RDC may also suggest to improve the synopsis with certificate of the supervisor that all modifications suggested by the RDC have been duly incorporated. The Director Research shall forward the revised synopsis to the Hon'ble Vice Chancellor for his approval and the R & D Cell shall issue the registration letter to the scholar containing the title of the topic and name(s) of supervisor/co-supervisor with other necessary details. The date of registration shall be the same as the date of commencement of the course work.

CONVERSION OF REGISTRATION FROM FULL-TIME AND PART-TIME AND DE-REGISTRATION

50. Conversion of registration full-time to part-time and *vice-versa* shall be allowed, by DRC, and approval by Director Research. However, if the research student has already completed the pre- submission presentation and the committee has recommended the submission of final thesis, he/she may be allowed to submit the thesis without conversion from the full-time to part-time. The candidate has to produce a certificate to this effect from his/her supervising teacher.

DE-REGISTRATION AN DRE-REGISTRATION

51. A PhD student shall be eligible to apply to **deregister** from the PhD program for valid reasons,

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after completing the minimum residential period, with supervisor's consent and DRC's recommendation. A vacancy is then made open with the supervisor. The student shall also be eligible to **re-register** within a period of ten years from the time of registration and submit synopsis and thesis (under the same supervisor, or with other supervisor in case the original supervisor cannot guide him/her for any reason, as decided by DRC/RDC), the total time of registration will not include the deregistered period. However, the student needs to pay all the fees for the period under de-registration.

52. Candidates who had spent maximum period of research shall be eligible for re- register with the recommendation of RAC and DRC, by paying the fee for re- registration, and they shall be allowed to continue to complete the work within additional two years. Irrespective of original date of registration, re-registered students shall follow current regulation thereafter.

ATTENDANCE AND LEAVE

53. The supervisor shall maintain attendance register of the students registered under him/her, and shall report the attendance to the University whenever needed.
54. Female candidates are entitled to avail maternity leave /child care leave for upto 240 days in the entire duration of the PhD programme.
55. A research scholar with fellowship may avail the stipulated leave permitted by the funding agency. In other case a student is entitled to have a leave for 30 days in an academic year. Additionally, leave without fellowship for three months on medical grounds or for any other genuine reason with the consent of the research supervisor, shall be allowed. The Vice Chancellor will have the power to sanction any other kind of leave over and above the existing ones in exceptional cases based on the merit of the case.

CHANGE OF SUPERVISOR

56. A request for change of supervisor can be made only once and for very demanding situations. In all such cases there has to be a request from the student addressed to the Director of Research, and upon direction from DOR, the DRC shall discuss and forward recommendations back to DOR, and a final decision shall be made by Vice-Chancellor. This provision of changing supervisor is not permitted in case of research students admitted through research projects. In exceptional cases, the Vice Chancellor may allow the change of Supervisor more than once.

MANDATORY COURSE WORK AND COURSE REGISTRATION

57. Every student registered for the Ph.D. programme shall be required to undertake a mandatory course work for a minimum period of one semester in the University. The credit requirement is a minimum of 16 credits as follows. DRC in consultation with R&D Cell may introduce additional credits for common courses or introduce additional common courses as per requirement of any department.

The mandatory Course work, shall be completed within one year from date of admission (or two semesters).

Name of Subject	Subject Code	Credits
A: Medical Discipline (MD/MS)		
Biostatistics and Computer Applications	CW-001-M	04
Basic course in Biomedical Research (BCBR) to be completed on SWAYAM & score card to be submitted to the Examination Cell	CW-002-M	04
Research Topic Specific (Oral Examination to be conducted by the Department)	CW-003-M	04
B: Dental Discipline		
Research Topic specific (Oral Examination, to be conducted by the Department)	CW-001-M	04
Biostatistics and Computer Application	CW-002-M	04
Research advances in(Subject domain)	CW-003-M	04
C: For other courses including 3-year M.Sc. Medical Subject		
Advanced Research Methodology and Computer Applications	CW-001	04
Statistical Tools, Research Publication Ethics and IPR	CW-002	04
Research advances in(Subject domain)	CW-003	04
Research Topic specific (Research Topic to be conducted by the Department)	CW-004	04

Note: CW stands for course work code

58. A student, admitted for the Ph.D. program shall be required to do the Course work prescribed by the University during the initial one or two semesters. The course work shall be treated as prerequisite for research synopsis submission & presentation. A minimum of sixteen credits for two-year post-graduate degree holders shall be assigned with adequate number of courses on General Research Methodology & Computer application, research publication ethics & statistical tools IPR & research topic related methodology.
59. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the program and submit the dissertation/thesis.
60. Grades in the course work, including research methodology courses shall be finalized after accumulative assessment by the CoE and the DRC and the final grades shall be communicated to the Department and research student.
61. Syllabus for Course 1 & 2 shall be framed by R&D Cell of the University, Course 3 shall be prepared by DRC. Syllabus for Course 4 shall be framed by RACs of each candidate and is to be reported to DRC. Syllabus shall

become effective immediately when it is framed by DRC and RAC respectively and shall be made operative without any further approval. Syllabus shall be approved by internal Board of Studies constituted by the Vice Chancellor.

62. DRC/Equalization Committee can exempt a candidate from undergoing any or all of these courses by duly considering successful completion of research level courses by a candidate previously (or being done from another Institute) from any institutions with certificates, and DRC's decision shall be communicated to Director Research for approval. RAC can also recommend UGC recognized online courses as part of credit requirements, subject to the approval of DRC.
63. The instructors for the courses 1 and 2 shall be arranged by the HoD/R&D Cell in consultation with Deans. Courses 3 and 4 shall be taught by the supervisor or those teachers suggested by RAC. All components of evaluation and grading shall be done by the respective instructors in continuous manner using CBCS grading system adopted and shall be approved by Faculty Council for common courses and by RAC (for other courses). The Grade cards shall be issued by the Controller of Examinations (CoE), upon the approval by the Dean.
64. CBCS grading system adopted by the University shall be used to assign letter grades by the instructor. A candidate must obtain a CGPA of 6.00 to continue in the Ph.D. programme.
65. RAC can direct students to undergo other courses in any semester offered by any department, or a UGC recognised online courses, the grades of which shall be communicated to CoE, who shall issue grade card upon the approval by Dean.
66. Every effort shall be made by each research student that a minimum of two publication in refereed international journal and two presentations in National/ International level conferences before submission of thesis.



PRE-SYNOPSIS PRESENTATION

67. Prior to submission of the synopsis, the Research Scholar shall make a Pre- synopsis presentation before the RAC and faculty members and research students shall be invited by the facilitator. The feedback and comments of the participants may be suitably incorporated into the draft thesis under the advice of the Supervisor by the candidate. The Research Supervisor must intimate to the Office of the Director Research about the schedule of conducting the Pre-synopsis Presentation, during RDC well in advance.

SUBMISSION OF SYNOPSIS

68. Submission of the Synopsis is the first step in the thesis adjudication process. The student shall submit four copies of the synopsis and a soft copy of the Synopsis (in pdf for on a labelled CD or Pen drive) to the head of the department, along with the filled up form and the following documents:
 - a. Proof for the payment of fees
 - b. Copy of course-work grade card/certificate
69. The synopsis shall contain the title of the thesis along with a very brief write-up on the introduction, review of literature, objectives, research methods, and expected outcomes of the work in a maximum of 1000 words.

Synopsis shall be printed on A4 size paper with 12 fonts' size with 1.5 line spacing.

70. The Head shall issue a letter of acceptance of synopsis to the student in the prescribed format indicating the title of the thesis and date of submission, and forward a copy to the Director Research, through the Dean. The Dean shall forward the synopsis to R&D Cell along with panel of external experts to enable presentation of synopsis by student before RDC.
71. Ph.D. synopsis submission form shall be filled along with the proper supporting documents as per the checklist provided in the format given. Allotment of Supervisor will be confirmed & Co-supervisor (if required) will be allotted by the RDC.
72. Synopsis will be presented by Research Student before the RDC consisting one external expert as scheduled by the R&D Cell.
73. RDC may accept the synopsis as it is or with modification or may not accept the synopsis
74. If the synopsis is not accepted, will be returned to the research student who will under guidance of his/her supervisor will prepare a fresh synopsis for presentation during Re RDC.

Chapter-7

SUBMISSION OF THESIS AND VIVA-VOCE EXAMINATION

75. **Pre-submission of draft thesis:** The scholar shall submit a spiral bind of the thesis along with "No Dues" + copies of requisite number of research papers published on prescribed proforma in the R & D Cell. The Director Research confirm the date and time for presentation. The power point presentation shall be made before the pre-submission committee which shall be consist of Director Research, Dean/Principal/HOD + Supervisor + all faculty members and research scholars. All members shall be free to offer their comments/suggestions for the improvement of quality of the thesis. The written comments/suggestions shall be forwarded to the scholar by the concerned Dean as early as possible, preferably on the same day. The scholar shall submit the final thesis in the R & D Cell after incorporation all suggestions/modifications suggested by the pre-submission committee along with all desired certificates/documents + the certificate from the supervisor that all suggestions/modifications have been duly incorporated in the final draft of thesis. Plagiarism check of the final thesis shall be done by the library who shall issue the certificate about the plagiarism. The final thesis must have less than 10% plagiarism and should contain the relevant certificate from authorized signatories along with plagiarism check report from the authorized/recognized software of SVSU/UGC. The final thesis should be submitted within one month from the date of pre-submission to avail the buffer period, however, if the final thesis is submitted after one month, the extension fee as the case may be, shall become due against the scholar and the evaluation shall be processed only after "No Dues" from the accounts section.

Submission of Final Thesis: The scholar shall submit 4 hard bound copies of the thesis in the R & D Cell along with all desired and required certificates + soft copy of the thesis on CD and on email (research@subharti.org) in the R & D Cell. The supervisor shall ensure that the panel of external experts is also forwarded in hard copy to the R & D Cell along with the thesis. The R & D Cell shall issue a certificate of submission to the scholar preferably on the same day of submission after satisfying all requirements of submission of thesis including "No Dues" from the accounts section.

76. The structure of the thesis shall be as given below:
 - A. Front cover (format indicated in Appendix 1)
 - B. Inner facing page (format indicated in Appendix 1)
 - C. Declaration by the candidate (format indicated in Appendix 1)
 - D. Certificate from Research Supervisor(s) (format indicated in Appendix 1)
 - E. Acknowledgements
 - F. Contents
 - G. List of Symbols, if any

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- H. List of Figure, if any
 - I. List of Tables, if any
 - J. List of abbreviations used, if any
 - K. Body of the Thesis-individual chapters with various sections to be decided by the Faculty
 - L. References
 - M. Appendices, if any
 - N. List of research papers published/presented at seminars by the research student during the period of registration
 - O. Copies of relevant publications (optional)
77. A certificate of submission of thesis indicating title of thesis and date of submission shall be issued by R & D Cell to the student, R & D Cell shall forward the thesis and necessary documents to the Controller of Examinations for adjudication.
78. Simultaneously, a panel of 8 adjudicators of which 5 from outside Meerut, not in the service of the SVSU (Professors or Associate Professors or professionals of equivalent grades with experience in guiding Ph.D) who has research experience in the area, shall be submitted by the supervisor in a sealed cover marking the registration number, and name of the student, and title of thesis, directly to COE.

INVITING ADJUDICATORS

79. Immediately after the receipt of the thesis in proper form from the R&D Cell, the CoE shall invite three adjudicators selected by the Vice-Chancellor from a panel of eight adjudicators submitted by the Supervisor to evaluate the thesis. The supervisor shall be the internal examiner. A copy of synopsis shall be sent along with the invitation. Upon receiving their willingness, the CoE shall despatch thesis to each of them immediately after receiving the consent with an adjudication format. The adjudicators shall be asked to report in the given format within 30 days of thesis received.
80. Supervisor or co-supervisor (if the supervisor is unavailable for any reason) shall also submit evaluation report (confidential) in the same format to the controller of examinations of the thesis, before conducting the viva-voce examination.
81. Electronic means shall be used for adjudication at each stage, wherever possible.

Chapter-8 Evaluation of Thesis

82. The supervisor shall upload the soft copy of the thesis on University ERP along with copy of synopsis and summary (approx. 5000 words) + panel of external experts under intimation to R & D Cell. The supervisor and Dean of the Faculty shall collectively submit a list of 10 external experts, preferably Professor and Associate Professor, actively engaged in research in the subject/field concerned to the topic/subject of the scholar. The list should contain the name and designation with contact number, email and correspondence address along with the years of teaching and research experience. The external experts should preferable be out of the State or beyond 200 KM within the State of Uttar Pradesh. The Hon'ble Vice Chancellor may appoint any two external experts to evaluate the thesis from the panel suggested or outside the panel as deemed fit and the third examiner shall be the supervisor. In case of the unavailability of external experts as Professor/Associate Professor in a specific subject within the above geographical area, the Hon'ble Vice Chancellor may appoint any external

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experts as deemed fit. The examiners shall submit their reports on prescribed proforma. The entire process of evaluation of thesis shall be completed by the Controller of Examination and the reports so received shall be forwarded to R & D Cell. Director Research will examine the reports and will recommend to the Hon'ble Vice Chancellor either for conduct viva voce examination or revision/rejection as per the reports of the examiner based on following guidelines:

- (a) If one of the two or both external experts recommend the revision or major changes of the thesis, the revised thesis shall be submitted.
- (b) If, one of the two or both external experts recommend the minor changes and/or revision, the minor changes/revision shall be made and preferably the same examiner shall be invited either to evaluate the thesis again or to conduct the viva voce examination as the case may be.
- (c) If, one of the two external experts reject the thesis, it shall be forwarded to third external expert whose decision shall be final.
- (d) If, both the external experts reject the thesis, it shall be rejected even if the internal/supervisor might have recommended it.

83. The examiner shall be required to give his / her opinion about research scholar's capability for critical examination and sound judgment. All examiners shall submit the reports on the prescribed format clearly indicating one of the following four definite recommendations;

- a. The thesis is recommended for the award of Ph.D. with Viva-voce examination
- b. The thesis is recommended for the award of Ph.D. Degree subject to research scholar giving satisfactory answer to queries, specifically mentioned in the report, at the time of viva-voce examination, or incorporation of suggestions, modifications, and corrections, if any.
- c. The research scholar be allowed to resubmit his / her thesis in the revised form.
- d. The thesis is rejected.

84. The University shall take a decision on the basis of recommendations of the examiners according to Evaluation Proforma (attached separately).

85. Thesis after successful completion should be uploaded on website as per UGC Norms.

86. In case of ambiguous recommendations by the examiner, CoE will approach the examiner for a clear recommendation. In case clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor.

NO-DUES CERTIFICATE AND CLEARANCE FROM ACCOUNTS & DIRECTOR RESEARCH BEFORE OPEN DEFENCE

87. Students shall obtain the No-dues certificate (in the prescribed form) before the conduct of Open Defence/Viva-voce examination, from (i) The supervisor, (ii) The Dean/HOD, (iii) The University Librarian, (iv) The Hostel Warden, (v) The Dean of Students' Welfare, (vi) The head of the University Central Instrumentation Facilities (in case of science departments), and (vii) any other department/centers which the department and the University/RAC may direct. Controller of examinations shall obtain a clearance from the academic branch/Director Research before conducting Viva-voce examination in respect of the registration or any pending issues of the candidate concerned.

VIVA-VOCE EXAMINATION

88. The public viva-voce of the research scholar to defend the thesis shall be conducted if any two out of three the external examiners recommend acceptance of the thesis (and after incorporating any correction suggested by them and accordingly certified by the supervisor). If the evaluation report of more than two of the external examiners is unsatisfactory and does not recommend viva-voce, the Controller of Examination shall send the thesis to another

external examiner out of the approved panel selected by Vice-Chancellor) and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory.

89. Upon receiving specific recommendations for the acceptance of the thesis and conduct of Viva-voce from two of the external examiners (adjudicators), the VC shall select one among them as Chairman of the Open Defence viva-voce Board, and supervisor as the Convener and HOD as member. An order may be issued by the CoE for holding the Viva-voce in consultation with the supervising teacher with copies to the HoD, Director Research and Dean.

90. The Convener shall decide a time and date for Open Defence viva-voce examination, in consultation with the HoD and the Chairman of the Open Defence viva-voce board. The Convener shall also notify the research student well in advance. Viva-voce can be conducted in online/offline/hybrid modes.

91. The Convener of the Open Defence viva-voce Board shall make all arrangements necessary for the conduct of Open Defence viva-voce. He /She shall cause to publish the details of the Open Defence/Viva-voce examination, such as name of the research student, title of the thesis, venue, date etc. on the notice board of the University Department concerned and shall send invitations to scholars whose participation will enrich the proceedings of the Open Defence.

92. The convener shall also arrange to display a copy of the thesis in the library (with help of Director Research) of the University/ Department/School concerned three days prior to the date fixed for the Open Defence.

93. At the Open Defence viva-voce, the research shall make a presentation on the research problem, significance of his/her work, methodology used, the salient features of the study, major findings/results and their policy implications/ prospects-for further study, as the case may be. This shall be followed by a viva-voce examination conducted by the Open Defence /Viva-voce Board. The research student may also respond to questions put forward by the audience with the permission of the Chairman.

94. The Chairman of the Open Defence viva-voce Board shall record the minutes of the Open Defence viva-voce in a Minutes Book maintained for the purpose by the HoD/Dean. Members of the audience shall enter their names and affix their signatures in the attendance sheet/book circulated.

95. A report needs to be prepared for incorporating the recommendation of the Viva- Voce Board with the following contents and the same may be made available in the University website.

Name of the candidate:

Title of the Thesis:

Date of Open Defence:

Venue and Time:

Recommendations of the Open Defence viva Voce Board:

[.....]

Signatures of (Supervisor), (Head), (Chairman)

96. Viva- Voce Board report should be submitted to the office of the CoE/Director Research after the open defence. The report shall be submitted to the Vice-Chancellor by Director Research for approval.

DEPOSITORY WITHIN FLIBNET

97. Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. Degree, the Director Research shall cause the Librarian to submit an electronic copy of the Ph.D. thesis to INFLIBNET for hosting the same to make it accessible to all Higher Educational Institutions/Research Institutions.

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98. Issue of UGC Regulation Compliance Certificate: The viva voce examination report shall be forwarded by the R & D Cell to the Hon'ble Vice Chancellor for his approval and thereafter a scholar may apply for issuance of UGC Regulations Compliance Certificate on prescribed proforma along with requisite fee. On receipt of the requisite documents, the R & D Cell shall forward the report to the Registrar office preferably on the same day or latest in 3 working days to the office of the Registrar who shall issue the certificate to the scholar. R & D Cell shall forward the names with all details to the Office of the Registrar for notification and for issuance of final degree of Doctor of Philosophy during the convocation.

DECLARATION OF AWARD OF Ph.D

99. Once Vice-Chancellor approved the report of open defence /viva-voce, a notification of the successful completion of Ph.D. shall be issued to the candidate with the approval of the Vice-Chancellor (with a copy to the Supervisor) by COE subject to the ratification by the Academic Council and Executive Council. The same shall be intimated to Director Research for closing the personal file of the candidate. Ph.D completion certificate as per the format will be issued to the scholar by Director Research.

POWER TO REMOVE DIFFICULTIES

100. In case there is any difficulty in the operation/implementation of these regulations, the Vice-Chancellor shall have the power to exercise discretion to implement the regulations smoothly.

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Registrar

1. Format for front cover and inner facing page

TITLE OF THE THESIS

A thesis Submitted to Swami
Vivekanand Subharti
University, Meerut

Doctor of Philosophy
III
XXXXXXXXXXXXXXXXXX

in the Department of
XXXXXXXXXXXXXXXXXX

By
X. X. XXXXXXXX
Reg.No. XXXXX

Department of XXXXX
Faculty
Swami Vivekanand Subharti
University, Meerut

Format for declaration by research student

I hereby declare that this thesis is a bonafide record of the research work carried out by me under the supervision and guidance of----- and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which has been accepted for the award of any other degree or diploma of a University or other institute of higher learning, except where due acknowledgment has been made in the text. It is also further certified that the thesis is free from plagiarism after having checked using software and the similarity found by running the plagiarism software is less than .. %.

Place:

Name and Signature of research student

Date:

2. Format for declaration by supervisor

This is to certify that this thesis is a bona fide record of the original research work carried out by-----under my/our supervision and guidance at the Department of-----in the school of-----in the Swami Vivekanand Subharti University, Meerut, and the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

Place:

Name and Signature of research supervisor

Date:

Place:

Name and Signature of Co-supervisor (if any)

Date: