

# Mangalayatan University

## Regulations 2022 for Research Programme Leading to Award of Ph.D. Degree

### 1. General

The Regulation shall call a Mangalayatan University Doctor of Philosophy regulation 2022. Detailed instructions exist in the University for its Ph.D. Program. The Ph.D. awarded by the University will be of a University Grant Commission Standard and Procedures for award of Ph.D. Degree. Regulations time to time.

These instructions comply with UGC Guidelines for Ph.D. 2022. Ph.D. Entrance Exam has been made mandatory for registration for Ph.D. in the University. These Regulations also stipulate evaluation of the Ph.D. Protocol and the candidate by two committees to ensure that only those candidates who are competent to carry out high quality research and to make positive contribution to knowledge in their chosen field, are allowed to register for Ph.D. This document shall be called "MU Regulations for Research Program Leading to Award of Ph.D. Degree – 2022".

Research Programme at the University will be controlled by the Vice Chancellor through the following committees:

- (a) University Research Council.
- (b) Research Protocol Evaluation Committee (RPEC) at each Department/Institute.
- (c) Research Progress Committee (RPC) for each research candidate.
- (d) Board for Examination for Ph.D. (Defense Committee) for each candidate.

Admission to Ph.D. Programme will be confirmed after the candidate passing the University Ph.D. Entrance Examination or on submitting a valid UGC/CSIR/GATE Examination score card. The University will conduct Ph.D. Entrance Examination twice a year.

### Designation of the Degree

The Ph.D. degree shall be designated as Doctor of Philosophy of Mangalayatan University.

2. A Summary of the registration process, research work and award of Ph.D. degree is presented the table below and the details follow after the table.

**Summary of the Process of Registration, Research Work  
and Submission & Approval of Thesis for  
Award of Doctor of Philosophy**

**Before Registration**

- Appear for Ph.D. Entrance Exam, Interview for admission, issue the Provisional Registration letter and join course work classes.
- After completion of coursework classes preparation of protocol.
- Contact Head of Dept/Head of Institute where Ph.D. work is planned.
- Selection/allocation of the Guide
- Presentation of Protocol to RPEC at Dept/Institute.
- Modification of Protocol as per RPEC recommendations.
- Submissions of Approved Protocol to Registrar/Director Research MU.
- Submission of Protocol to University Research Council.
- Modifications to Protocol as per Recommendations of University Research Council.
- Resubmission of Protocol to Registrar/Director Research MU.

**After Confirmation of Registration**

- Completion of Course Work.
- Ph.D. Research Work at designated Dept/Institute/Approved Research Centre.
- Present Progress Seminar to RPC once every Semester (every six months).
- Recommendation by RPC regarding continuation, mid-course correction or discontinuation depending on progress and quality of work after every six monthly progress presentation.
- In case the RPC at any stage during the research work feels that the candidate is not making sufficient progress or is not likely to complete his Ph.D. for any reason, the RPC, in consultation with the Guide, may recommend discontinuation of research work and cancellation of registration of the candidate.
- RPC will encourage the candidate to write research papers and to communicate these to indexed/peer reviewed journals for publication.

**After Completion of Research Work**

- After completion of sufficient research work and specified minimum period after registration, if satisfied, RPEC recommends writing of Pre Synopsis Report by the candidate.
- Presentation of Pre-synopsis Report to RPEC.

- RPEC may recommend further work if not satisfied or may recommend writing of Synopsis if satisfied. Recommendation of RPC will also be sent to Registrar.
- On approval by RPEC, the candidate will write the Synopsis and submit ten copies duly signed by the Guide, to Registrar MU within one month.
- The candidate will write and submit six copies of Thesis to Registrar MU within three months of submission of Synopsis.

#### **After Submission of Synopsis and Thesis at MU**

- Registrar/Director Research sends the synopsis to three reviewers selected by Vice Chancellor, for their consent to review the thesis of the candidate. One of the reviewers will be from outside the State (preferably from a foreign university where possible).
- On receiving consent of the reviewers, Registrar / Director Research send the thesis to the reviewers for review, asking them to review the thesis and send their comments, in the prescribed format, within 45 days. Gentle reminders will be sent to the reviewers every 15 days after expiry of 45 days till they send the reviews. In case a reviewer fails to send the review within six months, Vice Chancellor may identify another reviewer ask by the Registrar/Director Research to send the thesis for review.
- On the basis of reviews from two reviewers, if both the reviewers have recommended the thesis for award of Ph.D., the Vice Chancellor will ask the Controller of Examinations to organize Defense of the thesis. The Committee for Defense will comprise members of RPC, Director Research, University Research Council and minimum one external examiner who will normally be one of the reviewers.
- In case of non-recommendation or recommendation for additional work/major modifications to the thesis, Vice Chancellor will advise the candidate and the Guide to do further work/modifications as the case may be, in consultation with the Research Committee, and ask him to resubmit the thesis after complying with the instructions.
- In case the reviews suggest cancellation of registration of the candidate for poor quality research work or unacceptable practices such as violation of plagiarism, Vice Chancellor may, in consultation with Research Committee and after giving due chance to the candidate to present his/her case, order cancellation of registration of the candidate.

#### **On successful Defense of Thesis**

- On successfully defending the thesis and recommendation of the Defense Committee, the candidate will be eligible for award of Degree of Doctor of Philosophy (Ph.D.) on the day of Defense. On receiving the recommendation of the Defense Committee, and a No

Dues Certificate regarding clearance of all dues to the University, Controller of Examinations will issue a provisional certificate to the effect that the candidate has successfully defended his thesis and has been declared eligible for the award of Ph.D. Degree. The provisional certificate will also state that the certificate has been issued in accordance with the provisions of UGC Regulations for Award time to time.

- The candidate will be awarded the Ph.D. Degree during the next convocation.

### **3. Eligibility for Registration for Ph.D.**

A candidate seeking admission to the Ph.D. Programme of MU should be completed:

- 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.
- 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.

- e. A scholar who is already registered as a Ph. D scholar in some other university and whose supervisor joins Mangalayatan University may be transferred to Mangalayatan University. The scholar will obtain a 'No Objection Certificate' from his/her earlier university and after being registered in this university will get his/her registration, in the earlier university, cancelled. The transfer of course work credits completed and time spent in earlier university by the candidate and progress of work achieved will be considered by the University Research Committee for deciding the starting point for research work at Mangalayatan University.
- f. The university will also admit to its Ph.D. programme, recipients of the National Doctoral Fellowship or any other fellowship from a government/semi-government organization (through All-India selection procedure conducted by the agency/organization for award of research fellowships), such as Council of Scientific and Industrial Research (CSIR), University Grants Commission (UGC), All India Council for Technical Education (AICTE), Department of Science and Technology (DST), Defense Research and Development Organization (DRDO), Department of Atomic Energy (DAE), Department of Biotechnology (DBT), Indian Council of Agricultural Research (ICAR), Indian Council of Medical Research (ICMR), and similar other National Level Organizations and those selected for Quality Improvement program (QIP) of AICTE, Faculty Improvement Programme of a State or Central Government or Teacher Fellowship sanctioned by the UGC.
- g. Foreign students [Who have obtained and are holding research visa] will be required to produce clearance from the Government of India/relevant authorities, for being considered eligible.
- h. All candidates except those who have passed UGC/CSIR/GATE or equivalent examination will appear for the Ph. D Entrance Examination conducted by the University. Registration will be confirmed only for those candidates who pass the exam and those who have either done M. Phil. or have passed UGC/CSIR/GATE Examination.
- i. Number of Ph.D. registrations in the University at any given time will not be more than eight times the number of registered guides in the University. The maximum number of Ph.D. candidates to be registered every year will be worked out and notified by the

University in June/December every year. In case of vacancies being less than the number of eligible candidates, selection will be made based on merit at the entrance test and recommendations of URC.

#### 4. Types of Candidates for Research

4.1 Full Time Research Scholars who will carry out their research full time on the campus. Normally each of the full time research scholars will receive a scholarship from the University Research Grant/UGC/ AICTE/A sponsoring Institute/Agency or a Teaching Assistantship from the Institute/department to cover his living expenses and expenditure on his research work.

4.2 Part Time Internal Candidates (applicable to working faculty members in any of the departments/Institutes of Mangalayatan University).

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:

- a. The candidate is permitted to pursue studies on a part-time basis.
- b. His/her official duties permit him/her to devote sufficient time for research.
- c. 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.

4.3 External Candidates, who will register with the University, complete the mandatory residential and credit requirements as laid down and will be then permitted to continue their research work at their place of work if approved as a research Institute by the University. They will make a presentation to the concerned RPC at Mangalayatan University on the progress of their research work once every six months (At the end of each semester).

Following requirements will be met by the external scholars-

- a. There shall be an internal guide (from Mangalayatan University) for each external scholar.

- b. There shall be an external supervisor (at the place where the scholar is working). The scholar will submit a certificate from the external supervisor that he/she is willing to supervise the research work being undertaken by the scholar in that organization.
- c. NOC from the employing organization regarding the candidate's registration for Ph.D. at MU.
- d. Certificate from the employing organization to the effect that the organization has adequate facilities for research on the topic selected by the scholar and that he/she will be permitted to use these facilities.
- e. Certificate that the candidate will be granted leave to do the compulsory residential requirement at MU.

## 5. Course work

- 5.1 After registration of Ph.D., all candidates will be required to undertake Course Work as part of the Programme. 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 Progress Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 5.2 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 classes or laboratory work and evaluations, the departmental course work classes shall be conducted online/offline. The subjects to be undertaken by the candidate to satisfy the course work requirement will be decided by the RPEC in consultation with the Research Guide. The course work may include courses and seminars. Research Methodology will generally be one of the courses specified.
- 5.3 All candidates registered as External Candidates will spend one semester (at least 16 weeks) in the University during the research work, as a compulsory residential requirement.
- 5.4 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.



## 5.5 The Evaluation scheme of course work –

Code of Subject	Name of Subject	Credit	Marks
DRM901	Research Methodology	04	100*
RPE 901	Research and Publication Ethics	02	100*
COR 901	Core Subject of Research	04	100*
DSRL 901	Seminar / Review of Literature	02	100*
	Total	12	400

\*Internal - 30; Class Attendance - 10; Class Performance Test -10;  
Major Examination -50

## 6. Registration for the Ph.D. Programme

6.1 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.

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

- a) Applications from candidates for registration for Ph.D. will be received twice in a year. Applications will be submitted application through online in prescribed format and shall state the subject or inter-disciplinary field in which the candidate desires to pursue his research work and the University department/Institute where the research work will be carried out.
- b) In-house Candidates can submit their applications either online or to the concerned Institute or to Registrar/Director Research MU.
- c) University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED/M.Phil. and similar National level tests based on an interview. And/or
- d) University may admit students through an Entrance Test MURET conducted at the university level. The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject specific.
- e) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- f) 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.



- g) University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- h) Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70% for the entrance test and 30% for the performance in the interview/viva- voce shall be given.
- i) University shall 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;
- j) Adhere to the National/State-level reservation policy, as applicable.

**6.3** The Research Protocol Evaluation Committee (RPEC) at each department/Institute shall be chaired by the Head of Dept/Head of the Institute and have minimum five other senior faculty and external members. The RPEC will meet once in three months and will evaluate all the proposals received during the three month period. Proposals approved by the RPEC will be submitted to the Registrar MU for processing with the University Research Committee.

**6.4** Before applying for registration for Ph.D. the candidates are expected to select a research area and done some literature survey and presentation as seminar. Candidates are also expected to discuss the proposal with proposed Guide/Head of the Department through which the research work is intended to be carried out.

**6.5** Each candidate will have a research guide and may have one or more co-guides, especially for research problems of interdisciplinary nature. Only those candidates who meet the laid down criteria for Ph.D. guides and are registered with the University as Ph.D. guides will be allowed to carried out Ph.D. work. Normally, those with Ph.D. and working in the University departments/Institutes will be guides/co-guides for candidates registered with the University. In special cases, on recommendation of RPEC, those working in other universities/research organizations may be permitted as guides or co-guides if they have a Ph.D. degree and have minimum two years post Ph.D. experience and at least two papers published in peer reviewed/indexed journals.

**6.6** Candidates will apply for admission to the Programme of University in the prescribed format and submit four copies of the Ph.D. Protocol (Approach Paper) covering the broad area of interest, motivation for research in the selected area, brief display of knowledge gained and work done in that area, statement of

research problem, objectives and methodology of the proposed research. The Protocol shall ordinarily not exceed 5000 words.

- 6.7** Candidate will present the Protocol to Research Protocol Evaluation Committee (RPEC) at the Department/Institute through which he/she has planned to register.
- 6.8** The RPEC may approve/reject the proposal or suggest some modifications to the proposal. The proposal duly modified/corrected as suggested by RPEC will be submitted to the Registrar MU, along with the recommendations of RPEC. Name of Guide/Co-guide(s) will be included in the proposal.
- 6.9** Registrar/Director Research will communicate to the candidate the date and time of presentation of Ph.D. Protocol to the University Research Council.
- 6.10** If RPEC is satisfied with the proposal and presentation by the candidate, it will approve the candidate for registration for Ph.D. programme subject to his clearing the entrance examination and ratification by the University Research Council. The Council shall also approve the proposed Title of Research Work and the appointment of Guide & Co-guide(s) for the candidate.
- 6.11** University Research Council may suggest modifications to the topic. In such cases candidates will incorporate all the suggestions made by the council and resubmit the modified proposal duly signed by the Guide to the Registrar/Director Research. In case there are major changes suggested, the council may ask the candidate to present the protocol again after 30 days.
- 6.12** After the approval from the University Research council, URC Registration letter will be issued to the candidate.
- 6.13** The duration of the Ph.D. Program will be counted from the session of the admission i.e. July / December.
- 6.14 Admission of International candidates:**
- A. Before Registration
    - a. Offer letter sent to the Scholar
    - b. Online / Offline Application shall be Submitted.
    - c. Interview held by the Dean of Faculty/HOI/HOD/
    - d. Provisional Admission / Registration letter will be issued
  - B. After Provisional Admission / Registration:
    - a. University will release an Approval letter to the student
    - b. Candidate will contact the concerned Indian Embassy
    - c. Apply for and receive VISA
    - d. Arrival at Mangalayatan University to Join the online / offline Course work classes as scheduled by University
    - e. Student will prepare Protocol Presentation with help of allotted Guide and send it to the Guide for processing.
    - f. Processing of Protocol to University Research Council (URC), headed by Vice-Chancellor.

- g. Modification of Protocol as per URC recommendations.
- h. Re-Submissions and Re-processing of Protocol.
- i. URC Registration letter shall be issued.

After confirmation of registration, the process will be same as that for Indian students.

- 6.15** All candidates will be required to complete the specified number of credits for Ph.D. Course Work within six months (may be extended up to one year on recommendation of RPC) of provisional registration.
- 6.16** The Programme shall be carried out in the University Department or in a constituent college or in a Research Institutes recognized by the university for the purpose. If the research programme requires utilization of facilities outside the University, the candidate may avail of such facilities on recommendation of the guide and approval of the University. The Depts./Institutes through which the candidates register, will constitute a separate Research Progress Committee (RPC) for each candidate. The research work of the candidate will be monitored by the committee till the candidate completes his Ph.D.
- 6.17** A candidate may pursue part of his work in another University/Institution where suitable research facilities are available in the candidate's area of research, with the recommendation of the Guide and RPC. However, every candidate shall work under the direct supervision of the guide for a minimum period of 180 working days during the period of his research work. For candidates carrying out research work in other universities/research organizations, in addition to Internal guide(s), there will be external supervisor(s), approved by the University, who will supervise the candidate's research work in that organization.
- 6.18** Whenever University faculty members have research grants, with provision for selecting the research students, the faculty members holding that grant will select the candidates who have passed UGC/CSIR or GATE examination after evaluating the suitability of the candidates. In case such candidates are not available then test and evaluation will be held under the arrangements of the University as in the normal cases. Rest of the procedure will be as outlined in these Regulations.
- 6.19** Change of title of research project may be permitted, provided the RPC and the Guide of the candidate concerned recommend it. Such changes shall be generally allowed within one year of the registration; but under no circumstances it will be allowed after approval of Pre-synopsis presentation by the RPC. However, a minor change of title may be permitted any time during the tenure of research.

## 7 Fees

The candidates will pay the following fees:

- a. Non-refundable Registration fee along with the application.
- b. Annual fees as prescribed by the University.
- c. Examination fee shall be paid at the time of submission of thesis. The student will obtain no dues certificate and clearances before payment of examination fee.
- d. The quantum of fees will be decided by the University from time to time.
- e. The Refund of fees is subject to matter request submitted by the scholars and fees may refund before the execution of course work classes. The university will deduct 10% processing charge of deposit fees except (a) Non-refundable registration fees.

## 8 Cancellation of Registration

- a. Registration may be cancelled on the recommendation of the RPC, based on lack of progress, or if requested by the Guide and after giving due opportunity to the candidate for defending his/her case. The candidate on his part will be allowed to withdraw if he/she so desires. Such a candidate will not get any benefit of earlier registration if he/she joins for Ph.D. Programme again.
- b. Registration may be cancelled if the candidate fails to submit the thesis within the maximum stipulated period.

## 9 Eligibility Criteria for Guides and Co-guides

9.1 Following categories of People will be permitted to be Ph.D. Guide/Supervisor-

- i. Professors /Associate Professors/Assistant Professors of MU departments/Institutes holding Ph.D. degree.
- ii. Professors in other Universities having Ph.D. Degree specifically recommended by the RPEC for Ph.D. candidate on case to case basis. They should have published at least two papers in peer reviewed/indexed journals.

9.2 The Academic Council will also approve the appointment of Guides/Co-guides while approving the research proposals.

9.3 The University may also recognize eminent research scholars from outside the Institutions of MU as Guides especially for research areas of interdisciplinary nature.

9.4 Updated lists of Guides and Co-guides will be approved by the Academic Council once every year.

9.5 Approved guides shall normally not register more than two candidates in one academic year. Also the total number of Ph.D. candidates registered with a guide at any given time will not be more than eight. In case a Co-guide is also appointed,

the research scholar will be counted in the quota of the main Guide and not in the quota of the Co-guide.

9.6 The guide and co-guide(s) shall not be closely related to the candidate.

9.7 In the absence of the guide for a prolonged period of time (more than one year), the Vice Chancellor may appoint another person of similar branch / department / Institution as guide with the recommendation of the RPC/University Research Council.

- a. Due to recession in the operations of University whenever a faculty holding the supervision responsibility has left the services, a new in house primary supervisor was identified and allocated to the student who the exited faculty was guiding.
- b. In the absence of expertise available among the in-house faculty, primary supervisor is drawn from the related area/discipline either from the same department or from any other department of the University.
- c. In the absence of available resources in item (b) above respective HOD/Director of the Institute/Dean of the Faculty/PVC/VC is designated as primary supervisor in that order.
- d. As and when the faculty resources became available for supervising purpose, the supervisor attached for administrative purpose as shown in item (c) above has been withdrawn and the student has been attached to the expertise available.
- e. Since at that period of time, the operations of the University were receding research scholar's allocation to in house faculty was done at the ratio of 8: 6:4 for professor, Associate Professor, Assistant professor, respectively.
- f. Co-Supervisors however have been appointed from the faculties that have left the services provided they have been working with similar organization.

9.8 In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

## 10 Research Committees

- 10.1 The Programme shall be monitored by the Academic Council with the help of the University Research Council headed by the Vice Chancellor.
- 10.2 In addition to the University Research Council, there shall be a Research Protocol Evaluation Committee (RPEC) in each university/department/Institute. University departments, Institutes may also constitute RPECs in various subjects or distinct specializations within subjects and interdisciplinary fields in consultation with the relevant Departmental RPEC. The Dean of Faculty / Head of Institution / Department shall chair the RPEC and minimum three senior faculties shall be members of RPEC. One external expert may invite from other institute / department of University.
- 10.3 Department, Institutes where the candidate is pursuing his/her research shall constitute a Research Progress Committee (RPC) for each candidate registered for Ph.D. through the department/Institute. Department/Institute shall inform the names of committee members to the Vice Chancellor.
- 10.4 After submission of thesis and completion of review process by reviewers appointed by the Vice Chancellor, the candidate will be required to defend his thesis before a Ph.D. Examination Committee (Defense Committee). The Defense Committee will be constituted by the Controller of Examinations/Director Research for each candidate and will comprise of members of RPC, RPEC, University Research Council and subject experts generally including one of the reviewers of the thesis in question.
- 10.5 Research Progress Committee (RPC) shall be chaired by the Guide/Co-guide and a minimum of three other senior faculty members with requisite expertise in the area of research. Two members will be from within the department and one shall be either an external expert in the subject or from another department. Head of Department/Institute and Dean of concerned faculty if not members of the RPC shall be permanent invitees to all meetings of the committee. The RPC will be constituted for each research scholar to monitor the progress of his research work at the end of each semester and recommend the continuation or otherwise of the registration in respect of that research scholar. At the end of each semester the research scholar will submit a progress report in the specified format for evaluation by the RPC. The candidate will also make a presentation to the RPC after submitting the progress report.

10.6 The RPC shall evaluate the research work based on the six monthly report and advise the candidate on suitable modifications, if necessary.

### **11 Progress of Research Work.**

11.1 The candidates should complete their course work by 12 credits within six months of registration. They should score a min GPA of 6.75 (or 55% marks in aggregate where percentage system is used) to make them eligible to continue their research work.

11.2 Each candidate should submit and present a progress reports every six months i.e., at the end of each semester in the specified format. The RPC will assess this progress report and recommend continuation or otherwise of research work.

11.3 The RPC will write a progress report after presentation of the Progress Seminar by the candidate and submit it to Registrar/Director Research, MU.

11.4 The candidate will communicate adequate number of research publications to indexed international/national journals and international / national conferences. The RPC will decide the minimum research publications prior to writing of the thesis. Usually a minimum of two research publications accepted in the peer reviewed/indexed journals will be required before writing the thesis.

### **12 Duration of the Course**

12.1 The duration of the course will be from the time of registration to submission of thesis.

- a) The first residency will begin within one week of the orientation program.
- b) Supervisor and courses will be announced before the beginning of the first residency.
- c) From the first residency week itself all courses identified as requirement of the course work will begin.
- d) In case of non standardized courses or innovative courses, the student will be given courses in a seminar course frame work. A seminar course will have to be offered by a senior member of faculty with a clear course outline recommended by the RPEC and approved by the URC. Such course will have to be run through the Board of Studies of the department. The course teacher will have to conduct the entire course in as many hours as the credits indicate with a provision of conducting the classes in the office chamber of the faculty concern. The faculty may however use alternative pedagogies such as duly monitored library consultation, in company data analysis, field based data collection and take home rigorous assignments.



- e) Registration of a research topic on the proposed theme may happen within a maximum period of two years. The registration would required duly and successfully defended literature review based research protocol of the proposed research that will have to be recommended by RPEC and approved by the URC.
- 12.2 The minimum period for completion of Ph.D. work and submission of thesis for full time candidates will be three years including course work.
- 12.3 The maximum period for completion of Ph.D. work and submission of thesis for full time /Part time candidates will be six years.
- 12.4 In exceptional circumstances, under the recommendations of the RPC, extension of two years for full time/part time candidates may be permitted. If the thesis is not submitted within this stipulated period the registration of the concerned candidate for Ph.D. Programme will be cancelled.
- 12.5 A full time candidate may convert his status from full time to part time after completion of two years with the approval of the University on recommendation of the Guide and RPC.
- 12.6 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.
- 12.7 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

### **13 Thesis Submission and Evaluation**

- 13.1 After completion of course works the scholar shall complete sufficient research work and specified minimum period after registration, if satisfied, RPC will recommend writing of Pre Synopsis/Thesis Report by the candidate.
- 13.2 The candidate will write and submit three copies of the Pre-synopsis/thesis Report to the chair of RPEC duly signed by the Guide and Co-guide(s). The Pre-synopsis/thesis Report will be a detailed document covering the complete research work including literature survey, statement of research problem, research methodology, data collection/experimental work, analysis of data and results. It will be similar to the final Thesis. Chair RPEC will send one copy of Pre-synopsis Report to each member of RPEC.
- 13.3 After allowing one to two weeks time for the RPEC members to go through and evaluate the Pre-synopsis/thesis Report, Convener RPEC will convene the RPEC and ask the candidate to present the

Pre-synopsis Report (Seminar) to the RPEC. This presentation will be open to all faculty members and students.

- 13.4 After the presentation, RPEC may recommend further work if not satisfied or may recommend writing of Synopsis if satisfied. Recommendation of RPEC will also be sent to Registrar/Director Research.
- 13.5 On approval by RPEC, the candidate will write the Synopsis and submit three copies duly signed by the Guide, to Registrar/Director Research MU within one month.
- 13.6 The candidate will write and submit six copies of Thesis to Registrar/Director Research MU within three months of submission of Synopsis. One soft copy of the thesis will also be submitted on CD / Pendrive format in Sodhganga Inflibnet. The candidate may also submit in support of the thesis the contents of any work which may have been previously published by him/her, but the candidate shall not submit any work for which a degree or distinction has been earlier conferred on the candidate by this or any other University. The candidate will not, however, be precluded from incorporating any such work in a thesis covering a wider field, provided a clear statement of the work so incorporated is given.
- 13.7 Thesis will be submitted within six years for full time/part time and external candidates but not earlier than three years from the date /session of registration of the candidate.
- 13.8 Chair of RPC will submit to the Vice Chancellor a panel of six to ten experts who are acknowledged leaders in the field of study in different Universities / Institutions undertaken by the candidate. Vice Chancellor will select two or three experts from the list for reviewing the thesis of the candidate. The experts who have been referred in the thesis for their work in the area of research may also form the basis for selection of the reviewers. It shall be ensured that the reviewers are not known to the Guide or the Candidate so as to get unbiased adjudication of the thesis. The names of the external reviewers will be kept confidential and shall not be communicated to the Guide and the Candidate until the reports from the reviewers are received. One of the reviewers will be from outside the State of UP preferably from outside the country.
- 13.9 Registrar /Director Research will send the synopsis/thesis to two/three reviewers selected by Vice Chancellor, for their consent to review the thesis of the candidate.
- 13.10 On receiving consent of the reviewers, Registrar/Director Research will send the thesis to the reviewers for review, asking them to review the thesis and send their comments, in the prescribed format, within 45 days. Polite reminders will be sent to

the reviewers every 15 days after expiry of 45 days till they send the reviews. In case a reviewer fails to send the review within six months, Vice Chancellor may identify another reviewer and ask the Registrar/Director Research to send the thesis for review.

- 13.11 The reviewers shall submit a detailed report on the thesis. Their recommendations for acceptance of the thesis shall accompany a precise certificate that the candidate's work is of a standard suitable for awarding the degree. When a thesis is unanimously and unconditionally recommended for the degree by two examiners, the candidate will be eligible for appearing at the Viva-Voce (Defense) to defend his thesis. At the Viva-Voce the candidate shall incorporate to the suggestions made by the examiners, if any, in the thesis.
- 13.12 If both examiners reject the thesis, it will stand rejected and shall not be referred to any other examiner. The RPC of the candidate will then decide on whether the candidature of the scholar is to be cancelled or he/she is to be allowed to work on a revised topic. In case the scholar is allowed to continue his work on a revised topic, the evaluation of thesis will be done afresh as outlined in 19(a) to (i) above.
- 13.13 In case one reviewer approves the thesis for award of Ph.D. and the other is of the opinion that the thesis is not up to the standard and is therefore rejected, precise reasons for such rejection shall be stated by the reviewer. Vice Chancellor will select another reviewer and ask the Registrar/Director Research to send the thesis for review by this third reviewer. In case this new reviewer approves the thesis, it will be considered as approved. In case this reviewer rejects the thesis, the case will be decided as in (j) above.
- 13.14 If one of the reviewers feels that the thesis can be accepted after a revision, he shall state the points on which revision is needed. If there is any ambiguity or conditionality in the reports of the examiners, the Vice Chancellor may consider the appointment of the third reviewer. In case this new reviewer approves the thesis, it will be considered as approved.
- 13.15 If one or more examiners recommend re-submission of the thesis after modifications, it shall be done within a maximum period of six months from the date on which the candidate is so informed by the University or within maximum period of registration, whichever is later.
- 13.16 If the report from any one of the external examiners is not received within six months, the Vice Chancellor may appoint a new examiner amongst the approved panel of examiners and a copy of the thesis will be sent to the new examiner for review.

#### **14 Open Defense of the Thesis/Viva-Voce Examination**

- 14.1 After the reviewers have approved the thesis, a public defense of the thesis and Viva-Voce will be held by a board of examiners appointed for the purpose. Copies of reports of the reviews of the thesis shall be sent to all the members of the board of examiners conducting the Defense/Viva-Voce and also to the candidate prior to the Defense. Wide publicity will be given to the date, time and venue of Defense so that all interested faculty members and students may attend the Defense/Viva Voce Examination.
- 14.2 The board of examiners for the viva voce/defense shall consist of Guide, Co-guide(s), one external examiner, one internal examiner from the RPC and one or two members from the RPEC concerned and the University Research Committee. The external examiner will generally be one of the reviewers of the thesis of the candidate.
- 14.3 The topic, date and the time of defense of thesis shall be announced by the university well in advance so that the faculty members and others interested in the topic of the thesis can be present during defense. Those attending the public defense, who are not members of board of examiners, can also participate by asking relevant questions. The board of examiners shall take into consideration the views and criticism, if any, by the faculty members and others participating in the public defense of the thesis. However, only the members of the board of examiners shall decide the result of the examination.
- 14.4 The examiners of the Viva-Voce/Defense shall jointly submit a report to the Registrar on the performance of the candidate at the Defense, clearly indicating whether the candidate deserves to be admitted to the degree. If the candidate fails to satisfy the examiners at the Viva-Voce/Defense, the candidate shall be allowed by the Vice Chancellor to defend his thesis again after a period of three months from the date of first Defense.

## 15 Results

The candidate shall be declared eligible for the award of the degree of Doctor of Philosophy, on the recommendation of the board of examiners, after the Defense.

## 16 Award of the Degree

16.1 The Vice Chancellor, after considering the reports on the thesis and Defense, shall recommend to the Academic Council the award of Degree to the candidate.

16.2 The candidate shall be awarded the Degree in the next convocation of the University.

16.3 A provisional certificate will be issued to the candidate by Controller of Examinations, on successful completion of Defense. The certificate will also include words to the effect that the certificate has been issued in accordance with the provisions of UGC Regulations time to time for Award of degree.

16.4 A Ph.D. degree certificate under the seal of the University in the specified format and signed by the Vice-Chancellor, will be given to each successful candidate in the next annual convocation of the University.

16.5 Copies of the thesis accepted for the Degree of Doctor of Philosophy, with necessary corrections or modifications, if there be any, shall be retained in the University, Institute and Departmental libraries. Soft copy of the thesis will be hosted on the University/Institute Library Network. Abstracts of theses of all candidates admitted to the Degree by the University will be published in the "Mangalayatan Dissertation Abstracts".

16.6 Abstracts, written in English, of all theses, accepted by the University, will also be sent by the Registrar to the 'Dissertation Abstracts International' for publication, immediately after the candidate is admitted to the Degree.

16.7 Registrar MU will submit a soft copy of the thesis to the UGC within 30 days of successful Defense of the thesis by the candidate, for hosting the same on Sodhganga INFLIBNET.

## 17 Formation of University Research Council

- |    |   |                  |
|----|---|------------------|
| 1. | Vice Chancellor                                     | Chairman         |
| 2. | External Experts (Nominated by the Vice Chancellor) | 02               |
| 3. | Dean of Faculties                                   | Members          |
| 4. | Director of the Institute                           | Members          |
| 5. | Heads of the Departments                            | Members          |
| 6. | Controller of Examination                           | Member           |
| 7. | Registrar / Director Research                       | Member Secretary |

## 18 Formation of Research Protocol Evaluation Committee

- |   |  |          |
|---|--|----------|
| 1 | Dean of Faculties / Director of the Institute / Heads of the Departments | Chairman |
|---|--|----------|

- 2 Professors / Associate Professors of the department of the concern discipline (03 Senior) Member
- 3 Supervisor and Co-Supervisor (If any) of the concern scholar Member

#### **19 Formation of Research Progress Committee**

- 1 Supervisor of the Concerned Ph.D. Scholar Chairman
- 2 Co- Supervisor (If any) of the concerned Ph.D. Scholar Member
- 3 A Nominee of Chairman of RPEC Member
- 4 One expert in the field of the department Member
- 5 One or Two Experts from the outside department/Institute Member(s)

#### **20 Conclusion**

The Degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate on the basis of original research work of merit incorporated in a thesis, recommended by the board of examiners and successfully defended by the candidate during the Viva-Voce (Defense of the thesis).

The thesis shall demonstrate that the candidate has technical mastery of the chosen field of investigation and is capable of doing scholarly work. The result of research embodied in the thesis shall be a contribution to existing knowledge either by a discovery of some new facts or by a discovery of some new relation between facts already known, or by a critical survey of facts leading to some new interpretation. The thesis shall be accepted for evaluation in written in English and Hindi languages.

Director Research



For your kind approval to publish

Hon'ble Vice Chancellor