

SHRI MATA VAISHNO DEVI UNIVERSITY



Kakryal, Katra -182320, J&K.

Doctor of Philosophy (Ph.D.) Ordinances

(As approved by the Executive Council in its 32nd meeting held on 21st Feb 2021)

INDEX

No.	Particulars	Page No.
	General	3-4
R. 1	Admission Eligibility	4-5
R. 2	Short-listing and Intake	5-6
R. 3	Categories of Ph.D. Students	6
R. 4	Schedule of Admission	7
R. 5	Admission Fee	7
R. 6	Registration	8
R. 7	Course Work	8-9
R. 8	Time Limit for Ph.D. Work and conversion of Ph.D. status	9-10
R. 9	Thesis Supervisor(s)	10-12
R. 10	Performance Monitoring	12-13
R. 11	Comprehensive Examination	13-14
R. 12	Grant of Leave	14-15
R. 13	Financial Assistance	15-16
R. 14	Attendance Requirements for Assistantship	16
R. 15	Synopsis	16
R. 16	Board of Examiners	16-17
R. 17	Thesis Submission	17-18
R. 18	Thesis Defence	18
R. 19	Thesis Evaluation	18-20
R. 20	Award of Ph.D. Degree	20-21
R. 21	Appeal	21
R. 22	Saving	21

General

A. The admission to pursue the degree of Doctor of Philosophy (Ph.D.) is granted at any of the Academic Departments in the following Faculty of the University.

- (a) Faculty of Management
- (b) Faculty of Engineering
- (c) Faculty of Science
- (d) Faculty of Humanities and Social Sciences

B. Subject to general guidance of the Academic Council relating conduct of Ph.D. program, the registration and admission of students to Ph.D. program will be organized by the **School Research Committee** which will consist of the following Members:

1. Head of the School – Chairman
2. *Five Faculty (preferably Professors/ Associate Professors with higher preference to Professors, if available) or Associate Faculty members in case sufficient Ph.D. qualified faculty members are not available in the School on rotation basis with 50% members changing every year unless sufficient members are not available in the School. Further, these Ph.D. qualified faculty members must have a minimum of one year of post Ph.D. teaching experience, and have atleast two papers (post Ph.D.) in refereed journals (SCI, SCIE, SSCI, Scopus, ABDC (only A&B) to be eligible to be included in the School Research Committee to whom one will be nominated as Member Secretary by the Head of the School- Member.
3. Other faculty members of the School including Supervisor & Co-Supervisors maybe invitees to the meetings as per need.*

The Academic Affairs Committee (AAC) of the concerned School shall nominate four faculty members of the School concerned of whom one will be nominated as Member Secretary by the Head of School.

The School Research Committee will be constituted for one year, for the term 1st October to 30th September so as to enable completion of admission process of the beginning of the Academic Session by the outgoing SRC. The SRC will be notified after the approval of the Competent Authority every year.

School Research Committee will be responsible for the conduct and monitoring of all matters relating to research, consultancy and Ph.D. program including admissions, comprehensive examination, mid-term review of progress, approval of synopsis & panel of examiners etc.

** Notified vide no. SMVDU/R&D/20/181 dated: 26-06-2020*

Doctoral Student Research Committee (DSRC) shall be constituted for each Ph.D. student to evaluate the progress of the student at the end of each semester as under:

- a) Ph.D. Supervisor - Coordinator
- b) Ph.D. Joint Supervisor(s)/ Co-Supervisor(s)
- c) Expert Faculty Member from the School
- d) Expert Faculty Member from allied School
- e) External Expert Faculty Member

Further, the Ph.D. Supervisor shall propose a panel of members to the Committee, in consultation with the Head of the School and the SRC shall provide recommendations regarding constitution of the committee. All the members of DSRC should be Ph.D. qualified. The feedback of the evaluation done by the committee, in each semester, shall be provided to the Ph.D. student in writing. The DSRC shall also be responsible for review of the progress of the Doctoral Student for consideration of the request, if any, of the Ph.D. student regarding enhancement of Assistantship (as applicable), extension in Ph.D. program beyond 05 years, conversion of Ph.D. registration from full-time to part-time or vice-versa and other similar matters.

- C. Admission to the Ph. D Program may be made twice in the Academic Year (i.e. for each semester viz. Jan-May & August-December) through due selection process. The number of seats for the Ph.D. program shall be announced in advance by each School through SRC of the School, depending on the number of available Research (Ph.D.) Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the student (scholar)- teacher ratio as per R.9.
- D. The advertisement in at-least two (2) National newspapers, of which at least one (1) shall be in the regional language shall be published in advance which provides: the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.

The list of all the Ph.D. registered students shall be maintained and uploaded on University website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

R. 1 Admission Eligibility

- A. A candidate for admission to Full-Time Ph.D. program must have obtained Master's Degree in Engineering/ Technology/ Sciences/ Management/ Humanities & Social Sciences or in inter-disciplinary/trans-disciplinary discipline with minimum CGPA of 6.75 on a ten point scale in relative grading system or minimum CGPA of 6.00 in absolute grading system or 60% marks in aggregate of any University

established bylaw (In order to encourage inter-disciplinary research, the SRC may also exercise desired flexibility w.r.t. the qualifying degree of the applicant(s) as found suitable.) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme. Candidates, whose result of qualifying degree has not been declared can also apply. If selected and if the result of the qualifying degree of the candidate has not been declared as yet, (does not apply to cases of revaluation/re-appear etc.), the candidate may be offered provisional admission; however, the candidate is required to submit proof of having met the eligibility criteria by 15th September failing which the provisional admission will be deemed to be cancelled without any further notice and the fee submitted will be forfeited.

- B. A candidate applying for admission to Ph.D. programme & seeking registration on Full- time basis must have qualified National level examination such as UGC NET / CSIR/GATE in concerned discipline or may have been granted INSPIRE Fellowship or should be sponsored by a reputed organization where he/she is working. However, candidate(s) who are not NET/GATE qualified may also apply for admission to Ph.D. programme, seeking registration on full-time basis for which they may be considered in case of left over seats. However, such candidates shall not be entitled for any Financial Assistance- ship from the University.

A candidate applying for admission to the Ph.D. program & seeking registration on Part- time basis, must have same minimum academic qualifications as mentioned at para above. Such candidates will however be required to submit '**No Objection Certificate**' (as per Format) from their employer along with the Application Form, failing which the candidate will not be considered for selection process.

R. 2 Short-listing and Intake

- A. The short-listing of applications for the purpose of admission test/interview shall be done by the concerned SRC.
- B. Ph.D. students shall be admitted through an Entrance Test (Written test followed by Interview of qualified candidates) conducted by the SRC of the School. Candidates who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher- fellowship holder or have passed M.Phil. programme will be exempted from appearing for the written test.

- C. The Written Test (as a part of Entrance Test) shall be qualifying in nature, with qualifying marks as 50%. The syllabus of the Written Test (as a part of Entrance Test) shall consist of 50% of research methodology and 50% shall be subject specific. The candidates who qualify the Written Test will be required to appear for an interview/viva-voce to be conducted by SRC where the candidates are required to discuss their research interest/area through a presentation before a SRC. The interview/viva voce shall also consider the following aspects, viz. whether:
- The candidate possesses the competence for the proposed research;
 - The research work can be suitably undertaken at the University/Faculty/School;
 - The proposed area of research can contribute to new/additional knowledge.

R. 3 Categories of Ph.D. Students

- A. The students for Ph. D. program can be placed under the following categories:-
- a) Students registered on Full-Time basis without Assistantship.
 - b) Student registered on Full time basis with UGC/CSIR/DBT/DST/INSPIRE/DAE researchscheme studentship.
 - c) Students Sponsored by employer or any organization.
 - d) Students registered on part-time basis (Including University Staff).
 - e) Self-financing foreign students.

In addition to the general eligibility norms, all the candidates seeking admission to the Ph.D.program either Sponsored (Seeking Full-Time or Part-Time Registration) or Non-sponsored candidates, seeking Part-Time Registration, (**except candidates working as Faculty members in Hr. Education Institutions**), shall also have to comply with the following requirements:

1. Governments employees or employees of PSU or research establishment or private industries (approved by SRC) with a minimum experience of two years as on date of application will be considered eligible.
2. All sponsored candidates are required to produce a **CERTIFICATE** from their employers on printed letter head to the effect that for the period of his/ her studies for Ph.D., the candidate would be treated on duty with usual salary and allowances and he/she will be fully relieved for the period of study for pursuing his/her studies and that the prescribed fee payable by candidate will be paid by the Sponsor.
3. Non-sponsored candidates, seeking registration on Part-time basis are required to furnish an NOC (As per Format) from their employer along with application for admission stating that the candidate is permitted to pursue Ph.D. program on part-time basis and that:
 - i. His/her official duties permit him/her to devote sufficient time for research.
 - ii. Facilities for research in the field of study of the candidate are available at the workplace.

4. Faculty Members / Staff of the University wishing to pursue Ph.D. shall have to sign a Service Bond [on Rupees ten non-judicial stamp paper, duly notarised] pledging to serve the University for a minimum period of 3 years after completion of his / her Ph.D. degree, failing which he / she shall have to pay / reimburse the full amount of salary as received by him / her from the University for the entire Ph.D. course period, along with interest there upon.

R. 4 Schedule of Admission

- A. The candidates shall apply for admission to the University on the prescribed form stating clearly his/her qualifications.
- B. Applications for admission shall be received by the University and sent to respective School for short-listing, Entrance Examination/test (if required), as per the decision of the SRC.
- C. All admissions to the Ph. D. work shall be provisional and the same shall be confirmed only when the research plan of a candidate, after successful completion of Written/Oral Comprehensive Examination, has been approved by the SRC.
- D. The details of modus operandi of acquisition of background material and of the method of assessment to be followed shall be worked out by the SRC and approved by the Vice Chancellor and Academic Council.
- E. At the time of interview, the candidates shall be required to be physically present & discuss their research interest/area.
- F. Candidate admitted to Ph.D. program may be enrolled preferably coinciding with the commencement of a semester. Normally the candidate will start with the pre-Ph.D. course work immediately after joining. However, in case a candidate is enrolled after significant delay after commencement of semester and is not in a position to join the course work, then he/she may utilize the time left in the current semester for doing background research work and may join the course work on the commencement of the next semester. Minimum duration for award of Ph.D. degree is 3 Years and maximum is 6 years.
- G. Normally every Ph.D. student shall pursue research in the University but he may be permitted by the Vice Chancellor on the recommendations of DSRC considered by the SRC of the School, to be absent from University for ordinarily not more than two semesters on the ground that it is in the interest of his research that he should work at Institutions of National Repute e.g. CSIR Labs, ICR, ICMR, ICAR, IITs, IISc., NITs, DRDO etc. The Supervisor of the Ph.D. student will be required to certify that the requisite research facilities are not available at SMVDU and are necessarily required for conduct of his/her research work. A certificate will also be required from the other research institution that the research facilities required are available at that institution and shall be made available to the Ph.D. student.
- H. No student, registered on full-time basis, shall undertake any employment during the period of his study without permission of Vice Chancellor to be granted on the recommendation of the SRC.
- I. No candidate shall without previous permission of the said authorities join any other course of study or appears at any other exam conducted by the University or a Public Body.

R. 5 Admission Fee:

As per existing norms

R. 6 Registration

- A. The date of registration will be the date of enrolment in the program. Each Research Student shall have to register during the prescribed period at the beginning of the semester at the time of joining the Ph.D program. Ph.D. Student shall be required to renew his/her registration every semester till the submission of the thesis. In case a Ph.D. student fails to register in the semester registration, his/her name will be automatically struck off the rolls of the University.
- B. In case a student wants to withdraw from a Semester on medical grounds or any extenuating circumstances, then the same may be allowed by the Vice Chancellor based on the recommendations of the Ph.D. Supervisor (& Co-supervisor, if any) of the student & SRC of the School to a maximum of two semesters. Registration in a semester is a mandatory requirement before applying for withdrawal from that semester.
- C. Further, the period of Semester Withdrawal will not count towards the minimum period of 3 years for submission of thesis but will count towards the maximum allowable registration period of 6 years.
- D. The current semester registration of a Ph.D. student may be extended for at-most a period of one month beyond the last date of registration of subsequent semester, subject to the student applying for the same on the grounds that his/her submission of thesis will be completed within that period, if so recommended by his/her Ph.D. Supervisor, duly forwarded by concerned HoD & Dean of concerned faculty subject to approval of Dean (R&D), provided the overall time limit for submission of Ph.D. thesis is not violated. The student must submit the application at-least 15 days prior to commencement of registration of subsequent semester. In case the student is unable to submit the Ph.D. thesis by the extended time, then the student will be required to do semester registration and pay the applicable fee/dues within 3 working days after completion of extended time.

R. 7 Course Work

- A. *Ph.D. students having **M.A./M.Sc./M.Com/MBA/MCA or equivalent qualification** are required to complete minimum 14 credits in the Pre-Ph.D. Course-work while in the case of candidates having **M.Tech./M.Phil. or equivalent degree**, they are required to earn a minimum of 10 credits in the pre-Ph.D. course-work.*
- B. The pre-Ph.D. course work shall be treated as prerequisite for Ph.D. preparation. Course work must also involve review of published research in the relevant field.

** Notified vide no. SMVDU/R&D/21/1569-1575 dated: 10-03-2021*

- C. A minimum of 04 credits shall be assigned to one or more courses on Research Methodology (mandatory) which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree. *The course on Research Methodology may be conducted at School Level, where the respective school shall design their own syllabus for Research Methodology, based on the broad areas as already detailed above and specific to their subject requirements. Further specific topics in the course which may pertain to expertise of some other school, could be handled by faculty member of concerned school.*
- D. All courses prescribed for Ph.D. course-work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Academic Council.
- E. The School where the Ph.D. student pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Ph.D. Supervisor only, which shall be reported in the student's DSRC.
- F. All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the School with in a maximum of 03 semesters from the date of joining (excluding semester withdrawal).
- G. Grades in the course work, including research methodology courses, shall be assessed by the Course Coordinator & finalized by SRC and the final grades shall be communicated.
- H. The minimum CGPA requirement for continuation of Ph.D. Degree is 7.50. In case the SGPA/CGPA is below 7.0 he/she will have to discontinue the doctoral programme. If the SGPA at the end of first semester is above 7 but less than 7.5, he/she will be asked to take more courses in order to make up the required SGPA/CGPA. Only after successful completion of the CGPA requirements, the student will be registered for Ph.D. Degree work and the date of joining the programme will be considered as the date of registration.

R. 8 Time Limit for Ph.D. Work and conversion of Ph.D. status

- A. Every candidate shall pursue, as a student of the University, a course of research for not less than 3 years, including course work, irrespective of whether he/she is registered on full-time or part-time basis.
- B. The student should be registered in the Ph.D. Program for a minimum duration of 03 years for award of Ph.D. degree and a minimum period of two years after successful conduct Comprehensive exam, to be considered for award of Degree subject to the student having completed all other requirements for award of Degree. The maximum period of Ph.D. registration is 6 years (the period of Semester Withdrawal will not count towards the minimum period of 3 years for submission of thesis but will count

** Notified vide no. SMVDU/R&D/21/1569-1575 dated: 10-03-2021*

towards the maximum allowable registration period of 6 years). The women candidates and Persons with Disability (more than 40% disability), may be allowed relaxation of at-most additional two years, beyond the normal maximum permissible duration for Ph.D., by the Vice Chancellor on the basis of recommendations of DSRC of the student & SRC of the School.

- C. In case a student, initially allowed registration on full-time basis, wishes to change the registration to part-time basis, the same may be considered only after approval of research plan (subject to the student having attended at-least two semesters after joining, not counting semester-withdrawal period, if any) i.e after reasonable progress in the thesis work **OR** after completion of at least two years after initial registration, whichever is later. The request of the students must be considered by the DSRC of student & SRC of School and recommendations made in this context will be placed before the competent authority for consideration and approval. The reasonable progress in the thesis work shall be assessed through a “Research Progress Seminar” before the DSRC of the student. DSRC of the students shall submit its recommendations, along with the minutes of “Research Progress Seminar”, for consideration of the request of the student for conversion of registration from full-time basis to part-time basis.
- D. The students registered on part-time basis may be recommended by SRC to convert their registration status to Full-Time basis only in exceptional circumstances, subject to fulfilling the eligibility for registration on full-time basis. The time period for conversion of registration from part-time basis to full-time registration status should not exceed one year from the date of registration or date of approval of research plan; whichever is earlier.

R. 9 Thesis Supervisor(s)

- A. Any regular Professor, with at-least 05 research publications in refereed journals or any regular Associate or Assistant Professor of the University with a Ph.D. degree and having a minimum of one year of post-Ph.D. teaching experience in recognized Institute/University with at least 02 papers in refereed journals (Post-Ph.D.) is eligible to act as Ph.D. Supervisor. The Supervisor has to be from amongst the regular faculty of the University and only Co- Supervisor can be appointed from outside the University.
- B. The supervisor & Co-supervisor(s) shall be appointed by the SRC at the time of selection process of Ph.D. students.
- C. *If necessary, on the recommendations of the supervisor through the DSRC, the SRC may recommend the appointment of Co-Supervisor(s) not exceeding two from inside or outside the University. Co-Supervisor for Ph.D. student shall only be appointed where recommendations of the Ph.D. Supervisor exist with sufficient justification (clearly indicating the distribution of the research work guidance by both) which are accepted by the SRC and is so recommended by the SRC to the Competent Authority. External Co-supervisor may be allowed by HVC, in inter-disciplinary areas from institutions of repute / industry, on the recommendations of the SRC*.

**Notified vide no. SMVDU/R&D/21/379-382 dated 21.01.2021*

- D. The allocation of a supervisor for Ph.D. students shall be decided by the SRC concerned in a formal manner; depending on the number of students per faculty member, the available specialization among the faculty supervisors and the research interest of the student.
- E. A research supervisor/co-supervisor who is a Professor, at any given point of time, cannot guide more than 08 Ph.D. Students. An Associate Professor as a research supervisor can guide up-to a maximum of 06 Ph.D. students while an Assistant Professor as a research supervisor can guide up-to a maximum of 04 Ph.D. students.
- F. As a variety of different complex situations may arise, the Head of School shall examine the matter on case to case basis and put-up the recommendations for consideration of the Vice Chancellor for a decision to be taken in the spirit of the approved proposal.
- G. Assistant/Associate Professors of Higher Education Department, J&K, having Ph.D. Degrees may be considered to act as Co-Supervisors for Ph.D. Students of SMVDU, if so needed and decided by SRC of the School, subject to their meeting the relevant guidelines of UGC and SMVDU and approval of the Competent Authority of the University.

R 9.1 Change/Appointment of Supervisors

A faculty member appointed as a Ph.D. supervisor is normally expected to be available to a Ph.D. Student in the University till the conduct of his/her final thesis defense. However, under unavoidable circumstances, such as, long leave of more than 12 months, resignation, retirement, or death, a supervisor may not be accessible to the student. In such special cases, appointment of supervisor(s) will be regulated as under:

- a) **Case 1:** In case the non-accessibility of the Supervisor is due to his / her joining some other institution with suitable research facilities and if his / her Ph.D. student wishes to pursue research at that institution under the same Supervisor provided the student's research plan has been approved and if the Supervisor duly recommends the request of the student, the same may be allowed subject to the following conditions:
 - i. Ph.D. Student will be required to submit an application to the Head of the School for applying for this facility, duly recommended by the Supervisor along with NoC including confirmation of requisite research facility and its accessibility to the student for the duration of his / her stay there by the Competent Authority of that institution;
 - ii. The recommendations of the SRC on this matter shall be placed before the Vice Chancellor for approval;
 - iii. The registration of the Ph.D. student will continue at SMVDU and the student will be required to adhere to all applicable Rules & Regulations at SMVDU as may be notified from time to time;
 - iv. The Ph.D. student shall be allowed a maximum time of 2.0 years for pursuing research at the other Institution;

- v. Any financial liability arising out of availing of this facility by the Ph.D. student shall be borne by the student and not by SMVDU;
- vi. The Ph.D. student shall not be eligible for continuation of University Assistantship, for the duration that he/she is at the other institution.
- vii. Monthly attendance report, duly certified by the Ph.D. Supervisor & the competent authority of the Institution where the Supervisor is working is required to be sent by the Supervisor to the Head of School at SMVDU.
- viii. The supervisor will ensure that the student meets all requirements for continuation of registration and the DSRC of the student, as required under regulations, shall be held at the School of registration at SMVDU.
- ix. The student is required to pay all the fees as applicable during this period at SMVDU.
- x. The Ph.D. student will be required to give an undertaking that he/she will continue to abide by all regulations & rules of SMVDU and will not do any such action that may adversely affect the dignity of the University

Case 2: In case the non-accessibility of the Supervisor is due to his / her joining some other institution and if he/she consents to continue to Supervise the student and if the student also requests for continuation of the Supervisor despite his/her non-accessibility,

provided the Ph.D. student's research plan has been submitted, then the SRC may recommend to consider the request of the student. However, in such case, if a co-supervisor (from within the University) is not already appointed for this Ph.D. student, then the same may be appointed as per standard procedure (R.9 of Ph.D. regulations, with relaxation in time-limit). However, the above is applicable only if the Ph.D. Supervisor joins another University/ Institution.

- b) If at any point of time (including non-accessibility), the Supervisor expresses his inability to continue as Supervisor, the SRC can recommend appointment of co-supervisor as Supervisor. In case, if no co-supervisor is available then SRC may recommend a fresh Supervisor.
- c) In case of superannuation or death of the supervisor, a new Co-Supervisor/Supervisor/ may be appointed on the recommendations of the SRC.
- d) Any faculty member three years before his/her retirement can only be appointed co-supervisor and not as main /first supervisor.
- e) However, under circumstances other than above, as may be recommended by SRC, the change of supervisor(s), Joint-Supervisors for Ph.D. students shall be allowed only during the completion of course work or before finalization of Research Plan of a Ph.D. student.

- f) In case of relocation of a Ph.D. woman student due to marriage or otherwise, the research data is allowed to be transferred to the University to which the student wishes to relocate provide all other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The student will however give due credit to the parent supervisor and the institution for the part of the research already done.

R.9.2

The Vice-Chancellor shall have the authority to change/appoint the Supervisor/Co-Supervisor, in cases of extra-ordinary nature.

R. 10 Performance Monitoring

- A. The academic progress of each Ph.D. candidate will be monitored by the DSRC constituted for each Ph.D. student. The DSRC will review the progress of each candidate in course work, as well as research, by any means, including oral examination of the candidate, if necessary, and recommend, after due consultation with the supervisor(s), such steps to the candidate as are necessary to improve his performance.
- B. The recommendations of the DSRC will be submitted to the SRC of the School for consideration and further recommendations in this regard. The DSRC of the Ph.D. student will review the progress of the student before commencement of every new semester (May-June/November-December) and submit their report in this regard to the SRC of the School. The registration of a Ph.D. student in a semester will depend upon the recommendations of the DSRC & SRC in this regard in the recently concluded semester. The coordinator of the DSRC must ensure that the recommendations of the DSRC are made available to the SRC well in time before the commencement of the next semester. The Chairman of the SRC must ensure that the recommendations of the SRC have been made before commencement of the next semester.
- C. The DSRC may award 'X' grade if the progress of the student is 'satisfactory' during the semester.
- D. If the progress is 'unsatisfactory', 'U' grade will be awarded. For the first appearance of 'U' grade, a warning would be issued to the candidate by SRC. If performance does not improve after the warning, the fellowship may be withheld.
- E. If a student is awarded two consecutive 'U's, the registration will stand terminated.
- F. Submission of progress report (in the prescribed format) should continue till the thesis is submitted.
- G. If a student registered on full-time basis remains absent for more than four weeks from the School/Faculty concerned without approval of the supervisor and HoD

concerned or a student registered on part-time basis remain absent for more than four weeks from the School/Faculty concerned without approval of the supervisor and HoD concerned, his/her admission/registration to the Ph.D. program, is liable to be cancelled.

R. 11 Comprehensive Examination

After successfully completing the required course work, a Ph.D. Student will be required to appear in Written Comprehensive Examination, followed by an Oral Comprehensive Examination before evaluation of the Research Proposal.

Procedure of Comprehensive Examination

The following general procedure shall be followed by SRC for conducting the comprehensive examination for Ph.D. students:

- a) Written Comprehensive Examination will be conducted within one month after successful completion of requisite course work, with minimum CGPA requirement.
- b) 50 percent marks will be the qualifying marks in the Written Comprehensive Examination. If a Ph.D. student fails in the first attempt of Written Comprehensive Examination, he/she will be given one last and final opportunity to pass the Written Comprehensive Examination within one month. If he/she does not clear/pass this exam in the second attempt, his/her name will be struck off the rolls and Ph.D. registration would stand cancelled from the date of announcement of such result.
- c) After a Ph.D. Student has passed the Written Comprehensive Examination, the Oral Comprehensive Examination (of 50 marks) should be conducted by the SRC within one month time from the date of declaration of the result of Written Comprehensive Examination. A Research Student will get maximum of two attempts to clear/ pass the Oral Comprehensive Examination.
- d) The Head of the School will declare the result of the Written as well as Oral Comprehensive Examination within two weeks of the date of such examination.
- e) After Successful completion of the Written and Oral Comprehensive Examinations, a Ph.D. Student will prepare, submit and present his/her proposed Research Plan to the SRC within a maximum of three months from the declaration of the result of Oral Comprehensive Examination. The SRC, on the basis of the performance of the student in the Comprehensive Examinations and Research Plan (shall only be on broad topic in which he/she intent to do the research and the topic may be finalized at the time of Pre- Ph.D. Synopsis defense) shall submit its recommendations (in the format) regarding confirmation of registration of Research Student to the Ph.D. program on the approved Research Plan which shall be notified subsequently.
- f) In case, the SRC is not satisfied with the performance of the Ph.D. Student's

Research Plan, the updated Research Plan will have to be re-submitted within a maximum of four weeks keeping in view the suggestions of the faculty/SRC, and duly approved by the SRC failing which the admission/registration of the Ph.D. student is liable to be cancelled.

- g) Ph.D. student must successfully complete the comprehensive examination and Research Plan within a maximum of 18 months from the date of their joining the Ph.D. programme, failing which, upon the recommendation of the SRC, their registration is liable to be cancelled.

R. 12 Grant of Leave

A. During Course Work:

A student registered in the Ph.D. program on full-time basis, during his/her stay at the University will be entitled to leave for 30 days, including leave on medical grounds, per academic year. He/she will not be entitled to mid-semester breaks, summer and winter

vacations. He/she, however, may be permitted to avail of leave only up to 15 days during winter vacation at the end of the first semester. Leave beyond 30 days in an academic year may be granted to a Ph.D. student in exceptional cases subject to the following conditions:

- a. The leave beyond 30 days will be without Assistantship/ Scholarship and
- b. Such an extension of up to additional 30 days will be granted only once during the programme of the student.
- c. The leave may be granted by the Dean of the Faculty subject to the approval of the Head of the School on the recommendation of the Supervisor; and a proper leave account of each student shall be maintained by the Faculty/School/Programme Coordinator concerned.

B. After Completing the Course Work:

- a) A student registered on full-time basis, during his/her stay at the University will be entitled to leave for 30 days per academic year. He/She will not be entitled to mid- semester breaks, summer and winter vacations. In addition, a Ph.D. student who has completed his/her course work may be granted leave on medical grounds up to 10 days per academic year.
- b) The woman Ph.D. Students will be eligible for Maternity Leave with Assistantship for a period not exceeding 240 days once during the tenure of their award.

R. 13 Financial Assistance

- A. A Ph.D. student registered on full-time basis and if is UGC-NET/GATE qualified, shall be entitled for an Assistantship of Rs. 25000/- per month for first two years and Rs.

28000/- permonth for next one year (as per UGC guidelines) along with a contingency of Rs. 12,000/- per year for the initial two years and a total of Rs. 25,000/- for the third year or till the time he/she submits the Ph.D. thesis **whichever is earlier**. The maximum period of the Assistantship shall be 3 years from the date of Joining the Ph.D. Program, extendable by oneyear only; subject to review of his/her performance by the SRC and its recommendations thereof and on the approval of the Vice Chancellor. The Student shall be required to render 10 hours per week of academic support for the School/Faculty/ University. This will be outside his/her normal academic work. The assistantship will continue subject to his/her satisfactory academic performance, defined by minimum SGPA of 7.50 in the preceding semester and/or his/her satisfactory performance in the Comprehensive Examinations, research work and discharge of responsibilities assigned under the Assistantship scheme.

- B. An Additional Security Deposit (ASD) equal to an amount of 20% of the monthly Assistantship payable by the University to the research student shall be retained by the University up-to the period up-to the period, the research student clears his/her Comprehensive Examination and till date of approval of his/her research plan. The ASD shallbe released in lump-sum to the concerned research student after submission of thesis.
- C. In case of discontinuation from the Ph.D. Program by the research student, the amount of Additional Security Deposit (ASD) shall stand forfeited along with Security deposit.
- D. Further, Ph.D. students who have been allowed registration on full-time basis and who were not initially UGC-NET/GATE qualified at the time of their obtaining admission in Ph.D. at SMVDU, but however, later on qualified UGC-NET/GATE while their pursuing Ph.D. at SMVDU, are eligible for award of Assistantship from the date of recommendations of the SRC in this respect.

R. 14 Attendance Requirements for Assistantship

A Ph.D. student irrespective of the source of Research Assistantship while pursuing course work, must attend at least 75% of classes in each course in which he/she is registered. In case his/her attendance falls below 75% in any course during a month, he/she will not be paid Assistantship for that month. Further, if his/her attendance again falls short of 75% in any subsequent month in that semester, his/her studentship and Assistantship will be terminated. APh.D. student after having completed the course work must attend to his /her research work on all the working days and mark attendance except when he/she is on duly sanctioned leave. The requirement of 75% attendance will apply as above, on daily attendance except in the cases where longer leave has been duly sanctioned within the leave entitlement of the student. For the above purpose, if 75% works out to be a number which is not a whole number, the immediate lower whole number will be treated as the required 75% attendance.

R. 15 Synopsis

- A. Each student will be required to give at least a Seminar and/or demonstration of his/her research work before the DSRC and faculty members & Ph.D. students of the

School before being eligible for appearing for Pre-Ph.D. Synopsis Defense. The recommendations in this regard shall be submitted in the prescribed format.

- B. After successful conduct of Pre-Ph.D. Seminar at the Faculty Level & before the DSRC, the Ph.D. Student shall be required to submit 02 copies of the thesis-synopsis (including select bibliography/references related to the research work done) on the approved Research Plan (duly endorsed by the Ph.D. supervisor) to Dean of the Faculty for recommendations regarding conduct of his /her Pre-Ph.D. Synopsis Defense (PPSD) before the SRC including the supervisor/ Co-supervisor of the Research Student. The supervisor must ensure that a copy of the Pre-Ph.D. synopsis is made available to all members of the SRC at-least 03 days in advance. The presence of at least one Supervisor/Co-Supervisor from SMVDU during the conduct of PPSD will be mandatory. The SRC will submit the Report of the PPSD held in the prescribed format.

R. 16 Board of Examiners

- A. After the successful defense of Pre-Ph.D. Synopsis of Ph.D. student, Supervisor of the Ph.D. student shall propose the Board of Examiners duly recommended by the SRC, for the evaluation of Ph.D. thesis. The Board will consist of the Ph.D. Supervisor(s) as Internal Examiner(s) and three External Examiners of which at least one will be from India and at least one from abroad. *The panel of examiners for Ph.D. thesis evaluation recommended by School Research Committee (SRC) should not include the name/names of a person / persons, with whom the student has published her / his Research Paper / Papers. The supervisor shall obtain a list of publications including ones under review / communicated, from the student before submission of the proposal for panel of examiners. The supervisor shall also be required to give an undertaking to this effect (in the prescribed format) along with the list of Examiners.*

As far as possible, it must be ensured that the proposed Examiners (Foreign/ Indian) for evaluation of Ph.D. thesis should belong to Universities/ Institutes having been ranked in the 'The Times Higher Education World University Rankings' for Foreign Universities and among top 150 NIRF ranking for Indian Universities/ Institutions. Each of the examiners shall be expert in the subject of the thesis. These external examiners may be chosen by the Vice Chancellor from a list of 10 examiners recommended by the supervisor(s) and approved by the SRC after thoroughly checking the credentials of the proposed Examiners. The List of Examiners approved by the SRC, along with the synopsis, will be forwarded to the Vice Chancellor within two weeks from the date of approval of the examiners list and or four weeks from the approval of the synopsis.

- B. The Examiner(s) shall be required to submit the report/recommendations on the evaluation of the Ph.D. thesis in the revised prescribed format.
- C. Each of the approved External/Indian/SAARC Examiner shall be entitled for an Honorarium as under rules.

**Notified vide no. SMVDU/R&D/21/3601-3606 dated 17.06.2021*

R. 17 Thesis Submission

- A. The Ph.D. student shall be required to publish at-least 02 research papers in referred journal(SCI Or SCI-E Journals / Journals indexed in SCOPUS (only for Ph.D. students of School of Languages & Literature and School of Philosophy & Culture) / IEEE Journals / Nature / Harvard Business Review / ABDC Indexed journals (applicable only to students registered prior to session 2017-18) / ABDC Indexed Journals under category A&B only (applicable to students registered from session 2017-18 onwards) & make two paper presentation in conferences/seminars before the submission of the dissertation/thesis for adjudication and produce evidence of publication in the form of a presentation certificate and/or reprints / acceptance letter. The thesis must be submitted along with the Certificate from Supervisor, in this respect, in the prescribed format. **In extra ordinary situation, Ph.D. students may be allowed to submit the thesis before paper publication but he/she shall be required to submit the evidence of publication before conduct of final defense.**

The student shall submit a declaration on non-judicial stamp paper certifying that the Research papers, one published and one accepted by during his / her Ph.D. duration are directly related to his / her Ph.D. thesis.

- B. The student can submit the thesis after the completion of three years from the date of registration/joining.
- C. The student is required to submit the thesis within three months from the successful conduct of PPSD. Extension of one month for submission of Thesis may be provided upon the specific recommendations of Supervisor justifying the reasons explicitly for delay in the submission of Thesis and SRC; subject to approval of the same by the Vice Chancellor. If the research student fails to submit thesis by the period extended upto 04 months; his/her PPSD shall be conducted afresh and same procedure concerning submission of Thesis shall be followed.
- D. The thesis shall normally be written in English in the specific format and shall contain a critical account of the student's research. It should be characterized by discovery of facts of fresh approach towards interpretation of facts and theories or significant contribution to knowledge of design or development, or a combination of them. It should bear evidence of the candidate's capacity for analysis and judgment and also his ability to carry out independent investigation, design or development. A thesis must be supplemented by published work, if necessary. No part of the thesis or supplementary published work, shall have been submitted for the award of any other degree/Diploma. Normally, three copies of thesis in soft cover have to be submitted in the format prescribed by the University. In case of joint supervision, four copies of the thesis are required to be submitted.

- E. The recommendation of the SRC shall be reviewed by the Vice Chancellor and considered by the Academic Council. Three (one internal, one from abroad and the supervisors) examiners out of the panel approved shall be appointed for each thesis
- F. Provided that application for submission of thesis shall also be countersigned by the Dean of the Faculty.
- G. He/She has completed the minimum period of registration including any extension prescribed by the Dean of the Faculty.
- H. He/She has completed the course work requirement as prescribed by the SRC with CGPA not below 7.50 and has also cleared the comprehensive examination.
- I. *The candidate produces a "No Dues Certificate" from all concerned in the prescribed form and gets it forwarded along with the report of the Dean.*

R. 18 Thesis Defence

- a) The open Oral Defence of the Ph.D. student will be allowed only after the requirement regarding the publication of the research work has been met as indicated at R17.A.
- b) The open Oral Defence of the thesis shall be conducted by a Committee under the Chairmanship of the Vice-Chancellor or his nominee, and consisting of Dean of Faculty, Head of School and One External Examiner from India and Supervisor(s)/Co-Supervisor concerned. If none of the External Examiners is available for the conduct of the oral defence, an alternative external examiner from India (**from the panel of Indian Examiners already approved by the Vice Chancellor**) shall be nominated by the Vice Chancellor for the purpose.
- c) **Every attempt must be made so that the final defense of the Ph.D. student is conducted within 06 months from the date of receipt of Ph.D. thesis for evaluation by R&D Wing.**

R. 19 Thesis Evaluation

(i) A certificate by the student, duly countersigned by the supervisor & Co-Supervisor, confirming that the Ph.D. Thesis has been put through the anti-plagiarism software approved by the University and that match of up to 10% (refer UGC Regulations, 2018, for details) has been observed must be submitted. The complete report of anti-plagiarism software of the Ph.D. thesis must accompany the certificate.

*** (ii) For checking the plagiarism, the similarity < 1% should continue to be excluded while generating the plagiarism report, as this provision is available in the plagiarism check software available with the University in lieu of generic terms, laws, standard symbols and standard equations etc. as suggested by the UGC. The above may be certified by the concerned Head of School, besides the supervisor(s).***

**Notified vide no. SMVDU/R&D/21/3588-3594 dated 17.06. 2021.*

*** Notified vide no. SMVDU/R&D/20/183 dated 26.06.2020*

**** Notified vide no. SMVDU/R&D/21/3595-3600 dated 17.06.2021*

The candidate shall supply four bound copies of his thesis which shall comply with the following condition:-

- a) It must be a piece of research work, characterized either by the discovery of new facts, or by a fresh interpretation of facts or theories; in either case it should evince the student's capacity for critical examination and judgment. It shall be satisfactory so far as its literary presentation is concerned.
- b) The student shall indicate how far the thesis embodied the results of his own research or observations and in what respects his investigations appear to him to advance the study of the subject of the thesis.
- c) The student may incorporate in his thesis the contents of any work which he may have published on the subject and shall inform the examiners if he had done so, but he shall not submit as his thesis any work for which a degree has been conferred on him by this or any other University.
- d) The examiners shall be free to consult each other before submitting their respective reports. They shall also be free to get clarification about the structure of the thesis, sources of data and some general issues directly from the Supervisor or the Joint Supervisors, as the case may be.
- e) The examiners may recommend that the degree be awarded or that the degree be awarded subject to satisfactory Viva-Voce test on issues connected with the thesis or that the thesis be rejected or that the thesis be re-submitted to which effect they may make such suggestions as they deem fit for the improvement of the thesis. In the event of two of the examiners recommending rejection or suggesting improvement of the thesis with a view to its re-submission, the thesis on the recommendation of the Committee of the Academic Council, provided for in Clause 16 here in after, shall be referred to a fourth examiner to be selected by the Vice Chancellor from out of the original panel of examiners. The fourth examiner so appointed shall not be informed of the recommendations of the other three examiners. The recommendation of the fourth examiner shall be final.
- f) The Viva-Voce test, if not already held in the manner as aforesaid provided, shall be conducted before the thesis is finally approved for the award of the degree in accordance with the rules prescribed in this behalf.
- g) *The candidate, who is required to re-submit the thesis, must do so within a maximum period of six months (for major revision) and within a maximum period of three months (for minor revision) from the date of supply of comments of the examiners to the candidate by the university.*
- h) A re-submitted thesis may only be examined by the original Board of examiners unless they or any of them are unable or unwilling to act and may only be re- submitted once.

- i) The reports of the examiners shall be sent by the Dean of the Faculty to the Head of School concerned, who in consultation with the Supervisor/Joint Supervisors, as the case may be, shall prepare (i) a summary of the reports and submit the same along with the original reports to the Vice Chancellor for his considerations, (ii) a summary of the technical part of the reports of examiners to be made available to the candidate in-case the thesis is either required to be re-submitted or is accepted for the award of the Degree. If the reports of the examiners are not unanimous, the same shall be placed before a Committee of the Academic Council consisting of the Vice Chancellor, Dean of the Faculty's, Heads of the School, the Supervisor/Joint Supervisors of the candidate concerned and one Professor nominated by the Vice Chancellor.
- j) It shall be the function of the Committee after considering the reports of examiners to make a recommendation to refer a thesis to a fourth examiner in terms of Clause 18 or for acceptance or rejection of a thesis, as the case may be, or require a candidate to revise and resubmit his/her thesis. In case the Committee decided to require a candidate to revise and resubmit the thesis in terms of clause 18, such a decision need not be reported to the Academic Council.

R. 20 Award of Ph.D. Degree

- ❖ A Ph.D. Student is required to publish at least two papers (at least one as First Author) in SCI Indexed / Expanded SCI Indexed Journals / Journals indexed in SCOPUS (only for Ph.D. students of School of Languages & Literature and School of Philosophy & Culture) / IEEE Journals / Nature / Harvard Business Review / ABDC Indexed journals (applicable only to students registered prior to session 2017-18) / ABDC Indexed Journals under category A&B only (applicable to students registered from session 2017-18 onwards) in order to become eligible for the award of Ph.D. degree as indicated at R17.A.
- ❖ On the completion of all stages of the examination, the oral Defense Committee shall recommend to the Dean one of the following courses of action:
 - a) That the Degree be awarded.
 - b) That the candidate should be examined on a further occasion in a manner they shall prescribe.
 - c) That the degree shall not be awarded. In case (a), the Oral Defense Committee shall also provide to the candidate a list of all corrections and modifications, if any, suggested by the examiners.
- ❖ The degree shall be awarded by the Academic Council, provided that:
 - a) The Oral Defense Committee, through the Dean so recommends.

- b) *The candidate has to submit four hard cover copies of the thesis, from amongst the same ones submitted by him earlier, after incorporating all necessary corrections and modifications including appropriate IPR notice. The hard bound copies of the Ph.D. thesis, submitted after the viva-voce examination, must contain the appropriate copyright certificate in the beginning of the thesis, on a separate page on the left side. One of these copies is for Central Library along with the soft copy of the thesis.*
- c) Ph.D. scholars must publish at least two papers (at least one as First Author) in SCI Indexed / Expanded SCI Indexed Journals / Journals indexed in SCOPUS (only for Ph.D. students of School of Languages & Literature and School of Philosophy & Culture) / IEEE Journals / Nature / Harvard Business Review /ABDC Indexed journals (applicable only to students registered prior to session2017- 18)/ABDC Indexed Journals under category A&B only(applicable to students registered from session 2017-18 onwards) in order to become eligible for the award of Ph.D. degree and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

❖ The relevant IPR notice to be incorporated in the soft/hard bound thesis, reports, etc. shall be chosen from the following:

- a) The thesis/report etc. for which formal copyright application has NOT been filed should carry the copyright notice as: Shri Mata Vaishno Devi University (SMVDU), 201...*the year of submission of the thesis/report].
- b) The thesis/report etc. for which formal copyright application has been filed with the copyright office should carry the copyright notice as: Shri Mata Vaishno Devi University (SMVDU), 201...*the year of submission of the thesis/report]. All rights reserved. Copyright Registration Pending.
- c) The thesis/report etc. for which in-addition to a formal copyright application with the Copyright Office, patent/design application has also been filed with the patent office, should carry the "IPR Notice" as: Shri Mata Vaishno Devi University (SMVDU) 201...*the year of submission of thesis]. All rights reserved IPR filed.
- d) The University shall submit a soft copy of the thesis to the UGC within a period of 30 days, for hosting the same on INFLIBNET, accessible to all.

R. 21 Appeal

An appeal against cancellation/withdrawal of registration/studentship shall lie to the Vice Chancellor which may be preferred within 60 days of such cancellation/withdrawal and the decision of the Vice Chancellor shall be binding and final.

R. 22 Saving

In the event of any ambiguity in the interpretation of the provisions contained in the ordinance, the decision/interpretation made by the Vice Chancellor for clarification of such ambiguity shall be final & binding.