

SHRI MATA VAISHNO DEVI UNIVERSITY



Kakryal, Katra -182320, J&K.

Doctor of Philosophy (Ph.D.) Ordinances

(As approved by the Executive Council in its 35th meeting held on 30th November, 2024)

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General

- I. The admission to pursue the degree of Doctor of Philosophy (Ph.D.) is granted at any of the Academic Departments in the following Faculties of the University.
 - a) Faculty of Management
 - b) Faculty of Engineering
 - c) Faculty of Science
 - d) Faculty of Humanities and Social Sciences

- II. 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 done through the **School Research Committee (SRC)** which will consist of the following Members:
 - a) Head of the School – Chairman

 - b) Five Faculty members of the School, preferably Professors/ Associate Professors (including one member to be nominated as member secretary). The qualified Faculty members from the allied School(s) may also be included in the SRC if sufficient number of Ph.D. qualified faculty members are not available in the School. The eligibility to be the member of the SRC shall be governed by Rule (9) para i of this ordinance. Further, 50% members shall be changed every year on rotation basis in case sufficient number of eligible members are available.

 - c) Other faculty members of the School eligible as Ph.D. Supervisors & Co-Supervisors shall be the Special Invitees during the admission procedure.

 - d) The Academic Affairs Committee (AAC) of the school shall submit recommendations for the constitution of SRC of the School to the R&D wing for the approval of the Competent Authority

 - e) Once approved the SRC will be notified and constituted for one year, for the term 1st October to 30th September next year so as to enable completion of admission process at the beginning of the Academic Session with regard to Ph. D. admissions

School Research Committee will be responsible for the conduct and monitoring of all matters relating to Ph. D. Students and Ph.D. program of the School including admissions, appointment of Supervisor, Co-supervisor, conduct of comprehensive examination, approval of research plan, Progress review by DSRC of Ph.D. student, approval of synopsis, panel of examiners, enhancement of Assistantship (as applicable), Re-registration/Extension in Ph. D. program beyond 06 years, Conversion of Ph. D. status from full-time to part-time or vice-versa and other similar matters

III. **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. Co-Supervisor(s)
- c) Expert Faculty Member from the School
- d) Expert Faculty Member from allied School

The Ph.D. Supervisor shall propose a panel of members for DSRC which will be constituted within one month from the date of joining of the student on the recommendation of SRC with approval of Competent Authority. The DSRC shall be responsible for review of progress of the Ph. D. student in every semester and shall submit its recommendations as 'Satisfactory' or 'Unsatisfactory'.

Research Plan shall be presented by the student in front of members of DSRC and SRC together. Also, a student shall defend his/her Pre- Ph. D. synopsis in front of members of DSRC and SRC together.

IV. **University Research Committee (URC)**

University Research Committee (URC) shall consist of the following Members:

- a) Senior most Dean among the Deans of various Faculties – Chairman
- b) All Deans of Faculties – Member
- c) Dean/ Associate Dean (Academic Affairs) – Member
- d) Dean/ Associate Dean (R&D) – Member Secretary

The URC shall endeavor to ease the process of carrying out research, including Ph.D., Sponsored Research Projects & Consultancy in the University. The URC will also decide on policy matter pertaining to Research & Consultancy activities in the University. The recommendations of the URC pertaining any matter shall be submitted to Vice-chancellor for review and approval.

V. **Admission to the Ph. D Program**

Admission to the Ph.D. Program shall 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 provided to the R&D section in advance by each School through SRC, depending on the number of available Research (Ph.D.) Supervisors and other academic and physical facilities available.

The list of all the Ph.D. registered students shall be maintained and uploaded on University website on year-wise basis by the respective schools. 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

The following are eligible to seek admission to the Ph. D programme

I. The Candidates who have completed:

- a) 1 year/2- semesters master's degree program 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.
- b) 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.
- c) A 4-year/8-semester 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.

- II. 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.

- III. 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 within four months from the date of issue of provisional offer of appointment failing which the provisional admission shall be deemed to be cancelled without any further notice and the fee submitted will be forfeited.

Candidates applying for admission to Ph.D. programme on full-time basis having UGC/CSIR-NET/GATE/SLET are eligible for the University Assistantship. However, Non-NET/Non-GATE candidates are also eligible to apply for Ph.D. programme and will be considered for assistantship as per merit of SMVDU Exam (written & interview) and SMVDU policy in this regard.

A candidate applying for admission to the Ph.D. program through Part- time mode:

- I. Government employees or employees of PSU or research establishment or private industries should have a minimum experience of 02 years as on date of application.
- II. Must have same minimum academic qualifications as mentioned at para above. Such candidates will, however, be required to submit 'No Objection Certificate' from their employer along with the Application Form at the time of admission, clearly stating the following:
 - a) The candidate shall be permitted to pursue studies on 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 for the joining till the completion of course work.

R.2 Short-listing and Admission Procedure

The short-listing of applications for the purpose of admission test/interview shall be done by the concerned SRC as per the Admission Eligibility Criteria (R.1)

R.3 Categories of Ph. D. students

A. The students for Ph. D. program can be placed under the following categories:-

- I. Students registered on Full-Time basis with University Assistantship.

- II. Student registered on Full time basis with UGC/CSIR/DBT/DST/INSPIRE/DAE research scheme studentship.
 - III. Students registered on Full-time without Assistantship
 - IV. Students Sponsored by employer or any organization.
 - V. Students admitted through part-time basis (Including University Staff).
 - VI. Self-financed foreign students.
- B. 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:
- I. 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.
 - II. 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.
 - III. Non-sponsored candidates admitted through 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:
 - a. The candidate shall be permitted to pursue studies on 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 from the joining till the completion of course work.
 - IV. Faculty Members / Staff of the University wishing to pursue Ph.D. shall submit a NOC from University in the prescribe format

R.4 Schedule of Admission

- I. The candidates shall apply for admission to the University on a prescribed form stating clearly his/her qualifications.
- II. Applications for admission shall be received by the University and sent to respective School for short-listing.
- III. 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/similar National level tests/ DST-Inspire fellowship/ any other National Level Fellowships or have passed M.Phil. programme will be exempted from appearing for the written test.
- IV. The syllabus of the Written Test shall be based on subject specific and Research Methodology.
- V. Students who have secured 50% marks in the entrance test are eligible to be called for the interview/viva-voce before the SRC and Vice Chancellor or his Nominee, wherein the candidate is required to present his/her research interest/area through a presentation. 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 School/ Faculty/University
 - The proposed area of research can contribute to new/additional knowledge/outcomes.
- VI. A relaxation of 5% marks will be allowed in 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 UGC from time to time
- VII. 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.
- VIII. All admissions to the Ph. D. work shall be provisional and the same shall be confirmed only after successful completion of written comprehensive examination and approval of the research plan by SRC.

- IX. Normally every Ph.D. student shall pursue research in the University but he may be permitted by the Vice Chancellor on the recommendations of his/her Supervisor and the SRC of the School, to be absent from University for ordinarily 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. In rare cases, where the period of absence is beyond 02 semesters, a special approval may be granted by the Vice Chancellor upon very specific justification provided by the Supervisor, duly endorsed by the SRC, indicating clearly that the work of the student can not be completed unless it is continued at the other institution due to non-availability of requisite facility at SMVDU.
- X. No student, registered on full-time basis, shall undertake any employment during the period of his study as full-time student.
- XI. In case, a student leaves the University before completion of 02 years and is paid University Assistantship, he/she will refund all amount paid to him/her.
- XII. No candidate shall without prior permission of the Competent Authority, join any other course of study.

R. 5 Admission Fee (As per Existing Norms)

R. 6 Registration

- I. 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.
- II. 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.

- III. 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.
- IV. 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 and SRC 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

- I. The minimum course credit requirements during a Ph. D. program for the students registered with 04-year bachelor's degree/ PG degree or equivalent qualifications will be as per the below mentioned details in addition to 6 credits of Mandatory courses Research Methodology and Research & Publication Ethics:

Qualifying Degree	Discipline Specific Courses/ Electives	Mandatory Courses (Total 06 credits)		Total
M.A/M.Sc/M.Com/MBA/M.Tech/ M. Phil in similar Disciplines	12.0 Credits	Research Methodology = 4.0	Research & Publication Ethics= 2.0	18.0 Credits
M. Sc/ MCA for pursuing Ph. D. in the Faculty of Engineering	18.0 Credits			24.0 Credits
Four-Year Degree Program (FYUP)/B. Tech	24.0 Credits			30.0 Credits

- II. The Ph.D. course work shall be treated as pre-requisite for Ph.D. preparation. The courses to be taken by the student for the course work shall be decided under the guidance of the Supervisor and may also include the courses taken from SWAYAM and other approved credit transfer mechanism of the University.

- III. The Ph.D. course work must include courses on Research Methodology and Research and Publication Ethics (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.
- IV. 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.
- V. 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.
- VI. 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).
- VII. 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.
- VIII. A Ph.D. scholar must obtain a minimum of 5.5 CGPA in the UGC 10-point scale in the course work to be eligible to continue in the programme.
- IX. The minimum CGPA requirement for continuation of Ph.D. Degree is 5.5.. If the SGPA/CGPA at the end of the semester is below 5.5, he/she will be asked to take additional courses in order to make up the required SGPA/CGPA within a total time of 03 semesters from the date of joining. 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. In case, a student fails to get a CGPA of 5.5, even after taking additional course, his/her registration will be cancelled.

R. 8 Comprehensive Examination

After successfully completing the required course work, a Ph.D. Student will be required to appear in Written 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 followed by Research Plan Presentation for Ph.D. students:

- I. Written Comprehensive Examination shall be completed within maximum period of 01 month after declaration of result of requisite course work, with minimum CGPA requirement.
- II. 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 after the declaration of result of first attempt. If he/she does not clear/pass this exam in the second attempt, his/her name will be struck off from the rolls and Ph.D. registration would stand cancelled from the date of declaration of such result.
- III. Written Comprehensive Examination result shall be declared by the Head of the School on the same day.
- IV. After passing comprehensive examination, a student shall submit/present his/her research plan. Conduct of comprehensive examination and submission/presentation of research plan shall be completed within 03 months from date of declaration of result of course work. SRC of the School jointly with DSRC will submit the recommendations in a prescribed format to the R&D section for the approval by the Competent Authority.
- V. The research plan may be on a broad area/topic of research in which he/she intent to do the research and the topic may be finalized at the time of Pre- Ph.D. Synopsis defense.
- VI. In case, the SRC is not satisfied with the Ph.D. Student's Research Plan, the updated Research Plan will have to be re-submitted within a maximum of 01 month 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.
- VII. Ph.D. student shall complete the course work, comprehensive examination and submit/present Research Plan within a maximum of 18 months from the date of his/her joining the Ph.D. programme excluding the period of semester withdrawal (if any).
- VIII. If the candidate fails to submit the research plan within stipulated time period

(maximum 18 months), the request for the grant of extension may be considered on the request of student and the recommendations of supervisor and SRC of the school.

R. 9 Thesis Supervisor

- I. Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in University with a Ph.D., and at least three publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the University.
- II. In areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- III. Supervisor can be allotted from other School/ Discipline of the University.
- IV. Co-Supervisors can be allotted on the request of the student duly recommended by the Supervisor and SRC (not exceeding two co-supervisors) within the same School of the University or other Schools of the University or other Higher Education Institutions/Universities with the approval of the competent authority.
- V. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- VI. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. The slot as Co-supervisor will be considered as Half (1/2).
- VII. 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 other Higher Educational Institution/ University 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.
- VIII. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation.

R 9.1 Change/ Appointment of Supervisors

- I. In case a regular faculty member of the university, appointed as a supervisor of a student **passes away or is not medically fit to supervise the student** and the Pre-Ph.D. synopsis defense/thesis submission of the student has already been successfully completed, then the Head of the School shall be appointed as the administrative supervisor of the student replacing the present supervisor.
- II. In case a regular faculty member of the University **resigns from the university and is currently not a regular faculty of the SMVD University and** the Pre-Ph.D. synopsis defense/thesis submission of the student has already been successfully completed then the same supervisor may be allowed to continue as Ph. D. Supervisor.
- III. In case the supervisor **resigns from the university/** passes away/proceeds on EOL or any other long leave before Pre-Ph. D. synopsis defense, the School Research Committee (SRC) of the school to which the student belongs, shall appoint a fresh supervisor for the student. The SRC may also consider appointing the existing co-supervisor of the student, if any, as the supervisor, provided he/she is a regular faculty member of the university, and is not on EOL or any other long leave.
- IV. Regarding the cases where a regular faculty member of the university, appointed as a supervisor of a student, **proceeds on Extra Ordinary Leave (EOL)/Lien/Deputation/ Foreign Services**, then on the recommendations of SRC, a co-supervisor may be appointed on the request of the student, from within the University.

R.9.2

The Vice-Chancellor shall have the authority to change/appoint the Supervisor/Co-Supervisor, in cases of extra-ordinary nature (to be recorded in file)

R. 10 Performance Monitoring

- I. 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 the candidate in each semester till thesis submission.
- II. The DSRC may award 'X' grade if the progress of the student is 'satisfactory' during the semester.
- III. 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.
- IV. If a student is awarded two consecutive 'U' grades, the registration may be terminated.

- V. Submission of progress report (in the prescribed format) should continue till the thesis is submitted.
- VI. If a student registered on full-time basis remains absent for more than four weeks from the School/Faculty concerned without permission of the supervisor and Head of School concerned, his/her admission/registration to the Ph.D. program, is liable to be cancelled.
- VII. If a student registered on part-time basis remain absent for more than four weeks (during his/her course work) from the School/Faculty concerned without permission of the supervisor and Head of School concerned, his/her admission/registration to the Ph.D. program, is liable to be cancelled.

R. 11 Time Limit for Ph. D. work and Conversion of Ph. D. status

- I. 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.
- II. The student should be registered in the Ph.D. Program for a minimum duration of 03 years for award of Ph.D. degree 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 towards the maximum allowable registration period of 6 years).
- III. A maximum of an additional two (2) years can be given through a process of re-registration on the request of the student duly recommended by the Supervisor and the SRC of the School. However, the total period for completion of a Ph.D. programme shall not exceed eight (8) years from the date of admission in the Ph.D. programme.
- IV. Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) shall be allowed an additional relaxation of two (2) years on the request of the student duly recommended by the Supervisor and the SRC of the School.
- V. 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 earlier. The request of the students duly recommended by the Supervisor and recommended by the SRC of School will be placed before the competent authority for consideration and approval.

- VI. 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 later. University will not provide any financial assistantship to those students.
- VII. In case of re-registration of Ph. D. student in the Ph. D. programme, the concerned student shall continue with the remaining work and shall not be required to do the course work again.
- VIII. In extra Ordinary cases, Ph. D. student may be allowed for re-registration/ extension of additional time beyond the stipulated time period on a request/ appeal made to the Vice Chancellor duly forwarded by the Supervisor and recommendations of SRC of School.

R. 12 Grant of Leave

I. 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 a 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.

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 Head of the School on the recommendation of the Supervisor; and a proper leave account of each student shall be maintained by the School.

II. 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.

The leave may be granted by the Head of the School on the recommendation of the Supervisor; and a proper leave account of each student shall be maintained by the School.

- b) 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. The leave may be approved by the Competent Authority on the recommendation of the Supervisor and Head of the School and a proper leave account of each student shall be maintained by the School.
- c) The woman Ph.D. Students will be eligible for Maternity Leave/ Child Care leave for upto 240 days in the entire duration of the Ph. D. programme. The leave may be approved by the Competent Authority on the recommendation of the Supervisor and SRC of the School

R. 13 Financial Assistance.

A Ph.D. student registered on full-time basis shall be entitled for an Assistantship as per University norms.

R. 14 Attendance Requirements

Coursework

A Ph.D. student (Full time/ Part time) 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 (if applicable) 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 (if applicable) will be terminated.

General Attendance during and after Completion of Coursework

A full-time Ph.D. student 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 Full-time Ph. D. student is entitled to leave as per rule R.12 of this ordinance.

R. 15 Pre- Ph. D. Synopsis Defense

- I. Each student shall be required to appear for Pre-Ph.D. Synopsis Defense before a committee comprising of DSRC of the student and SRC of the School;

- II. A request shall be made by the concerned student, duly recommended by his/her supervisor, to the Head of the School, stating that “The Concerned student has completed his/her research work and has fulfilled all the requirements for the submission of thesis and is prepared for appearing in Pre-Ph. D. Synopsis Defense”.

The application of the student must be accompanied by the proof of two publications, proof of presenting of two conference papers and the notification of the approval of the research plan.

- III. The Head of the School shall forward the same to the Dean of the concerned faculty for seeking permission of conduct of the Pre-PhD Synopsis defense and will notify the permission, once obtained.
- IV. The recommendations of the committee in this regard shall be submitted in the prescribed format to R&D section. In case the SRC is not satisfied, it may recommend the student to complete the work and then re-apply to the Chairman, SRC for the Pre-PhD Synopsis Defense after a minimum period of 1 month, unless this period goes beyond the maximum registration limit of the candidate, in which case the candidate will be allowed for Pre-PhD Synopsis Defense before the completion of the registration period by the Chairman, SRC.
- V. The Ph.D. Student shall be required to submit 05 copies of the synopsis (including select bibliography/references related to the research work done) on the approved Research Plan (duly endorsed by the Ph.D. supervisor) to committee comprising of DSRC and SRC of School, which shall submit its recommendations in the prescribed format for PPSD. After the successful completion of Pre-Ph. D. synopsis defense, the recommendations of the committee in the prescribed format along with the requisite documents (03 copies of synopsis & List of examiners) shall be forwarded to R&D section.

R. 16 Board of Examiners

- I. A list of 10 external examiners (04 from abroad and 06 from India) will be provided by the supervisor(s) duly approved by the SRC in a sealed envelope, along with synopsis of the Ph. D. student.
- II. After the successful defense of Pre-Ph.D. Synopsis of Ph.D. student, the list shall be forwarded along with recommendations of SRC, 03 hard copies of synopsis, one soft copy (PDF format) and other requisite documents to R&D section.
- III. As far as possible, it must be ensured that the proposed Examiners (Foreign/ Indian) for evaluation of Ph.D. thesis should belong to Universities/ Institutions of repute. Each of the examiners shall be expert in the subject of the thesis. The panel of examiners for Ph.D. thesis evaluation approved 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.

- IV. The list of the examiners provided by the Supervisor duly recommended by the SRC shall be reviewed by the Competent Authority. Three external examiners from the list (two from India & one from abroad) shall be appointed for each thesis evaluation by the Competent Authority.
- V. The Examiner(s) shall be required to submit the report/recommendations on the evaluation of the Ph.D. thesis in the prescribed format.
- VI. Each of the approved Examiners shall be entitled for an honorarium as under rules for evaluation of the thesis.

R. 17 Thesis Submission

The candidate shall submit four spiral bound copies of his/her thesis which shall comply with the following conditions:-

- I. The Ph.D. student shall be required to publish at-least 02 publications (at least one published and one accepted) of which at least one as First Author in referred journals indexed in Science Citation Index (SCI)/ Science Citation Index Expanded (SCI-E)/ Social Science Citation Index (SSCI) /Arts and Humanities Citation Index (AHCI)/ Emerging Source Citation Index (E-SCI) with Clarivate Impact Factor/ Harvard Business Review/ ABDC Indexed Journals (under category A*, A & B only).
- II. The Ph.D. student of School of Languages and Literature and School of Philosophy & Culture shall be required to publish at-least 02 publications (one as first author) in Journals indexed in SCOPUS.
- III. In case, a Ph. D. student has publications with multiple authors, then in at least 02 of these publications none of the authors should be a non-Ph. D., except the Ph. D. student himself/herself.
- IV. At the time of acceptance/publication of the paper, the journal must be indexed in the given database.
- V. Ph. D. student should have made two paper presentations in conferences/seminars before the submission of the thesis for adjudication and produce evidence of presentation like presentation certificate and/or reprints.

- VI. The student can submit the thesis after the completion of three years from the date of joining.
- VII. 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.
- VIII. 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. 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. Four spiral bound copies of thesis have to be submitted in the format prescribed by the University.
- IX. 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.
- X. In case Similarity (generated through Turinitin/or any software as specified by the University) is more than 10%, a certificate by the student, endorsed by the Supervisor(s) should be submitted justifying the similarity with respect to his/her own work.
- XI. 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 his thesis or any work for which a degree has been conferred on him by this or any other University.
- XII. The application for submission of thesis with the 04 no. of spiral bound copies of Ph. D. thesis along with documents as mentioned in the checklist (notified by the R&D section) are required to be submitted through Head of School to the R&D section

R. 18 Thesis Evaluation

Ph.D. Thesis submitted by the student shall be evaluated by three external examiners (two from India one from abroad) appointed by the Competent Authority.

- I. The examiners may recommend that the degree be awarded subject to satisfactory Viva-Voce examination 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 any of the examiners recommending rejection, the thesis on the recommendation of the University Research Committee (URC), 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.
- II. The Viva-Voce examination shall be conducted only after receiving satisfactory reports from all the examiners as mentioned in (i) above, before the thesis is finally approved for the award of the degree in accordance with the rules prescribed in this behalf.
- III. 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.
- IV. 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.

R. 19 Thesis Defense

- I. The open Oral Defense 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 defense, 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.
- II. 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. 20 Award of Ph.D. Degree

- I. The Ph.D. student shall be required to publish at-least 02 publications (one as First Author) in referred journals indexed in Science Citation Index (SCI)/ Science Citation Index Expanded (SCI-E)/ Social Science Citation Index (SSCI) /Arts and Humanities Citation Index (AHCI)/ Emerging Source Citation Index (E-SCI) with Clarivate Impact Factor/ Harvard Business Review / ABDC Indexed Journals (under category A*, A&B only). The Ph.D. student of School of Languages and Literature and School of Philosophy & Culture shall be required to publish at-least 02 publications in Journals indexed in SCOPUS. In case, a Ph. D. student has publications with multiple authors, then in at least 02 of these publications none of the authors should be a non-Ph. D., except the Ph. D. student himself/herself.
- II. 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 that case, the Oral Defense Committee shall also provide to the candidate a list of all corrections and modifications, if any, suggested by the examiners.
- III. 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.
- IV. 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 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.