



VIVEK UNIVERSITY

[Estd. by Govt. of Uttar Pradesh, as per Uttar Pradesh Private Universities Act, 2019, no.21 of 2024.]
MORADABAD ROAD, POST AGRI, BIJNOR, UTTAR PRADESH-246701, INDIA

Ph.D. Ordinance (2024)

**As per UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 &
Vivek University Statutes, 2024 (Chapter-26, Section -I)**

APPLICABILITY: This Ordinance shall apply to the programme leading to the degree of Doctor of Philosophy (Ph.D.). The ordinance may be revised/ modified as per need in accordance to UGC Ph. D. regulations.

Short Title, Applicability and Commencement

- 1) These Regulations may be called Vivek University Ph.D. Ordinance, 2024.
- 2) These Regulations shall apply to all Ph.D. Programmes offered by the Constituent School/Colleges of Vivek University.
- 3) These Regulations shall come into force from the Academic Session 2024-25.

Definitions

In these Regulations, unless there is something repugnant in the subject or context:

- I. **“University”** means Vivek University, Bijnor.
- II. **“Academic Council”** means the Academic Council of Vivek University.
- III. **“Research Advisory Committee (RAC)”** means the Committee constituted by the University to approve all the research activities of the University. Each Constituent School will have its own Research Advisory Committee.
- IV. **“Chancellor”** means the Chancellor of Vivek University.
- V. **“Vice Chancellor”** means the Vice Chancellor of the University and Chairman of Research Advisory Committee of Vivek University.
- VI. **“Chairman”** means the Chairman of the Research Advisory Committee.
- VII. **“Dean-Research”** means Head of Research activities of the University and member Secretary of the Research Advisory Committee.
- VIII. **“Course Coordinator”** means Coordinator of the relevant programme of the Constituent School of Vivek University.
- IX. **“Finance Officer”** means the Chief Finance Officer of Vivek University.
- X. **“Registrar”** means the Registrar of Vivek University.
- XI. **“Controller of Examination”** means the Controller of Examination of Vivek University.
- XII. **“Dean”** means the Dean of the Constituent School of Vivek University.
- XIII. **“Guide/Supervisor”** shall mean a member of the academic staff of the University approved by the RAC to guide/supervise the research work of the research scholar.
- XIV. **“Co- Supervisor”** shall mean a member of the academic staff of the University or other University/ College/ Research Institution, other than the Supervisor, as approved by the RAC to guide/supervise the research work of the research scholar.
- XV. **“Caretaker Supervisor”** shall mean a member of the academic staff of the University appointed to act as the supervisor of the research scholar in the absence of the original Supervisor before and/or after submission of the thesis.
- XVI. **“Candidate/Applicant”** shall mean who has applied for the Ph.D. programme but is not yet registered for the same.
- XVII. **“Regular Student”** means a student who has registered for a full time or part time for Ph.D. Programme offered by the Constituent School/ Department of Vivek University and is progressing as per schedule.
- XVIII. **“Course Work”** means courses of study prescribed by the School/Department to be undertaken by a student registered for the Ph.D. Degree;
- XIX. **“Grade Point”** means a numerical weight allotted to each letter grade on a 10-point scale;

- XX.** “**BOS**” shall mean the Board of Studies of the School/Department concerned.
- XXI.** “**Board of Examinations**” shall mean Board of Examiners constituted for the purpose of evaluating the thesis.
- XXII.** “**School**” shall mean an academic institution maintained or admitted by the University.
- XXIII.** “**Department**” shall mean a Department of Studies and may also include a Centre for Studies & Research.
- XXIV.** “**SRAC**” shall mean School Research Advisory Committee.
- XXV.** “**DRAC**” shall mean Department Research Advisory Committee.
- XXVI.** “**Research Scholar**” shall mean a person registered for the Ph.D. programme and devoting adequate time for completing the requirements of this degree.
- XXVII.** “**Research Proposal**” shall mean the detailed synopsis of the research work prepared for the selected topic submitted only after the completion of the course work.
- XXVIII.** “**Research Work Plan**” shall mean the proposed schedule in months for each component of the research proposal.
- XXIX.** “**Sponsored Research Scholar**” shall mean a research scholar sponsored by an employing Organization.
- XXX.** “**Minimum Submission Period**” shall mean the minimum period for which a research scholar must be registered, prior to the date of submission of the thesis. The date of registration will be the date on which the first installment of fee is deposited.
- XXXI.** “**Registration Period**” shall mean the length of period commencing with the date of registration and ending on the date of award of the Ph.D. degree, counting out any gaps as per Clause of the Ordinance.
- XXXII.** “**Ph.D. Regulations**” shall mean the rules and regulations framed under this Ordinance for smooth operation and coordination of the Ph.D. programme.
- XXXIII.** “**ODC**” shall mean the Oral Defense Committee of the University.
- XXXIV.** “**Degree**” shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.

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Dean Research
Vivek University, Bijnor

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Criteria for Ph.D. Registration and Award of Degree

Research Rule (RR)-1:

1.1 Notification for Ph.D. Programme:

- a. The University shall lay-down and decide well in advance on Bi-annual basis, a manageable number of doctoral students depending on the number of available eligible supervisors.
- b. The number of seats as aforesaid shall be notified on a regular basis on the University website and/or advertisement in the widely read national as well as regional newspapers.
- c. A notification for Ph.D. program shall specify; the number of seats available in each School/Department/Subject, the date, place and syllabi of the Entrance Examination; and procedure of application submission.

1.2 Eligibility criteria for Applicants:

For admission to Ph.D. Programme in a related subject, an applicant fulfilling the following criteria shall be treated as eligible to appear for “Vivek University Research Aptitude Test (VRAT)” and application form shall be available online at university website www.vivekuniversity.ac.in or offline.

Following shall be the criteria for admission to the Ph.D. Programme in the University:

- a. The minimum qualifications for admissions to Ph.D. Programme shall be 1 year/2-semesters master's degree programme after a 4-years/8-semesters bachelor's degree programme or a 2-years/4-semesters master's degree programme after a 3-years bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least **55% marks** in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- b. The University shall admit applicants to Ph.D. degree programme through Entrance Test

and personal interview conducted by it.

- c. Applicants who have qualified for fellowship/scholarship in UGC-NET/CSIR-NET/GATE/GPAT/CEED and similar National level tests shall be exempted from the Entrance Test.
- d. Provided that a candidate seeking admission after a 4-years/8-semesters bachelor's degree programme should have a minimum of **75% marks** in Aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- e. 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.

1.3. Eligibility Check:

A Screening Committee may be constituted to check the eligibility of the applicants. The following may be the members of the committee:

1. Dean/Associate Dean- Research
2. Admission officer/OSD to Registrar
3. Nominee of concern SRAC

1.4 Exemption from “Vivek University Research Aptitude Test (VURAT)”:

The applicants fulfilling at least one of the following conditions will be exempted from VURAT:

- a. Qualified in NET/SET/GATE/GPAT etc. examination of the apex bodies as CSIR/UGC/ICAR/ICMR/DBT/AICTE etc. as per as per UGC (Minimum Standards and Procedure for Award of M. Phil/Ph.D. Degree) Regulations, 2022.
- b. M. Phil Degree in a relevant subject obtained from any University, recognized by UGC u/s (2f) of UGC Act 1956, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever the grading system is followed.

The applicants entitled to exemption from “Vivek University Research Aptitude Test (VURAT)” shall also submit the application form along with relevant supporting documents within the stipulated period.

1.5: Procedure to Conduct “Vivek University Research Aptitude Test (VURAT)”:

VURAT will be conducted twice in a year probably in the month of February and September. Notification of the entrance exam shall be updated well in advance on the Vivek University website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, and all other relevant information for the candidates. The “Vivek University Research Aptitude Test (VURAT)” shall be conducted at the Centre(s) notified in advance.

1.6 Structure of “Vivek University Research Aptitude Test (VURAT)”

a. Written Examination:

For “Vivek University Research Aptitude Test (VURAT)”, there would be two sections of question paper (Section-I would be Research Aptitude & Research Methodology of 50 marks & Section -II would be subject specific of 50 marks). The Question paper will have 100 questions (50 questions of Research Aptitude & Research Methodology and 50 questions of subject specific) with multiple choices. The “Vivek University Research Aptitude Test (VURAT)” shall be of two hours duration (i.e. 120 minutes).

Applicants have to qualify in aggregate with 50% marks (A relaxation of 5% is allowed to SC/ST/OBC (Non- creamy layer)/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Central Govt. Commission from time to time). After qualifying the Vivek University Research Aptitude Test (VURAT), the applicant has to appear in the interview which shall be of 30 marks. An Applicant has to score

minimum 50 percent marks in interview also. Selected applicants list will be displayed on university website.

Table 1.0: Break up of marks in VURAT

S.N.	Paper	Subject	Total Marks	Qualifying marks (percentage)
1	Section-I	Research Aptitude & Research Methodology	50	50% (45% for the candidates belonging to SC/ST/OBC (Non-creamy layer)/ EWS categories.
2	Section-II	Subject specific applied for Ph.D.	50	
3.	Interview	Based on Research aptitude	30	50% (45% for the candidates belonging to SC/ST/OBC (Non-creamy layer)/ EWS categories.
4	Total Marks		130	50% (45% in case of reserved categories).

b. Personal interview:

Points to be considered during the personal interview:

- Whether the applicant possesses the requisite competence for the proposed research.
- Whether the research can be suitably undertaken at the Vivek University/ Place of Research.
- Whether the proposed area of research can contribute to new/additional knowledge.

Note: The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered Research Scholar, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

RR-2: Duration of the Programme:

- Ph.D. Degree Programme shall be for a minimum continuous duration of 03 years (06 Semesters), including course work, and a maximum duration of 06 years (12 Semesters)

from the date of admission to the Ph.D. programme. An additional 02 years can be given through a process of re-registration as after the approval in the Research Advisory Committee; however, the total period for completion of a Ph.D. degree programme should not exceed 08 years from the date of admission in the Ph.D. degree programme.

- b. Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of 02 years; however, the total period for completion of a Ph.D. programme in such cases should not exceed 10 years from the date of admission in the Ph.D. programme.
- c. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave, after approval by the competent authority of the University, for up to 240 days in the entire duration of the Ph.D. degree programme.

RR-3: Registration /Admission after Interview:

- a. The eligible applicant seeking admission to the Ph.D. Programme shall apply to the Dean-Research, Vivek University, Bijnor-246701, Uttar Pradesh, India in the prescribed Ph.D. registration form (available on the University website/ University campus) along with the registration fee as may be prescribed from time to time.
- b. The registered research scholars are required to compulsory pursue Pre Ph.D. course work and attain a minimum of 55% marks in aggregate.
- c. After the declaration of the coursework results, research scholars will be allotted the supervisor, provided all the requirements are met.
- d. The date of registration shall be the date of provisional admission which shall be confirmed after the successful completion of the Pre Ph.D. course work.
- e. After successfully completing the Pre Ph.D. course work, the research scholar shall present the research proposal before School Research Advisory Committee/ Department Research Advisory Committee (SRAC/ DRAC).
- f. As per the rules of Vivek University Ordinance, **registered applicants shall not be allowed to register simultaneously for any other regular degree programme/course.**
- g. Dean-Research shall admit the students as per the rules and regulations of the Vivek University.

RR-4: Eligibility Criteria for Research Supervisor and Co- Supervisors:

- a. A regular Professor/Associate Professor with a Ph.D. Degree of Vivek University with at least five research publications in refereed journals. A regular Assistant Professor of the University with a Ph.D. degree and three research publications in refereed journals may be recognized as Research Supervisors.
- b. Faculty/Scientists desirous of supervising Research scholar of other disciplines/interdisciplinary studies, shall submit an application with their detailed curriculum vitae (CV) to Dean-Research for recognition as Research Co- Supervisor of Vivek University along with evidence of regular service and publications of research articles in the related discipline.
- c. To decide upon recognition of Research Co- Supervisor, Dean-Research shall refer the application (with CV and other enclosures including publications) to the Chairman, Research Advisory Committee. The Dean-Research shall notify the recognition after formal approval by the Vice Chancellor.
- d. An eligible Professor/Associate Professor/Assistant Professor can guide up to 08/06/04 Ph.D. scholars, respectively at any given time. Each supervisor can guide up to 02 international research scholars on a supernumerary basis over and above the permitted number of Ph.D.
- e. *Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.*
- f. In case of inter disciplinary/multi disciplinary research work, if required, a Co-Supervisor from outside the Department/School/College/University may be appointed after the approval of RAC.
- g. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. Scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- h. No Supervisor shall guide any of his close relatives as specified by the University.
- i. The University may permit, on the recommendation of SRAC/DRAC approved by the

RAC, appointment of a caretaker supervisor in special circumstances such as a supervisor proceeding on long leave of six months or more.

- j. A new supervisor may be appointed by the SRAC/ DRAC on the recommendation of RAC in the event of death, or prolonged illness of the supervisor or if inability to guide is expressed by the supervisor on or after his / her superannuation or resignation from the services of the University.
- k. Any request for change of Supervisor(s) is highly discouraged and may only be considered under exceptional circumstances only within 18th Month of first registration. The request for change of Supervisor(s) may be submitted to Dean-Research through concerned SRAC/DRAC Chairman with his/her recommendations on the basis of statements of concerned Supervisor(s) as well as Research Scholar.

Note: The hiring of external main Supervisor for the purpose is not allowed, Co-Supervisor may be allowed as per Vivek University Ph.D. Ordinance. Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority. The number of candidates that can be supervised by a Supervisor/ Co- Supervisor shall be governed as per UGC norms and Vivek University Ordinance with Professor/Associate Professor/Assistant Professor guide up to 08/06/04 Ph.D. scholars, respectively, at any given time.

RR-5: Course work for Ph.D. registered Research Scholar:

The course work is compulsory and will carry **18 credits** (As per UGC Regulations, 2022). The breakup of these credits is as under:

- a. **Research Methodology (4 credits):** It includes Research Methodology, Tools and Techniques including Instrumentation, Communication Skills and teaching learning pedagogy.
- b. **Research & Publication Ethics (2 credits):** It includes research & publications ethical values like plagiarisms etc. as notified by UGC.
- c. **Quantitative Methods and Computer Applications (4 credits):** It includes Quantitative Methods and Computer Application in research.
- d. **Subject specific course work (4 credits):** There shall be one subject specific paper.

- e. **Field work (4 credits):** It includes Seminar/ conference, review of literature, library and other academic activities related to subject specific.

Table 2.0: The Course Structure and the Assessment scheme

S.N.	Subject	Total credit	Total marks	Minimum marks to be scored for successful completion
1.	Research methodology	4	100	50
2	Research & Publication Ethics	2	50	25
3	Quantitative Methods and Computer Applications	4	100	50
4.	Subject specific paper/s	4	100	50
5.	Field work	4	100	50
Total		18	450	225

Admitted Research Scholar shall be required to undertake course work. The course work will be for a minimum period of one semester. Research Scholar will have to qualify course work papers in first two semesters. The course work shall be treated as Pre-Ph.D. preparation. A Ph.D. scholar must attain a minimum of 55% marks in aggregate for being eligible to continue the programme and submit the thesis.

If found necessary and as per the recommendation of the RAC, UGC recognized online courses may be carried out by Research Scholars within or outside the University, for which due credit will be given to them.

Evaluation of the course work will be done by the faculties of the Vivek University. The question papers for the course work shall be prepared by the experts other than supervisors to be appointed by the Vice Chancellor.

In general, the answer books of course work shall be assessed by the concerned Paper Setter. However, in case the Paper Setter is not available other competent faculty may be appointed by the Vice Chancellor on the recommendation of Dean Research/ SARC/DRAC chairperson.

The candidates shall be awarded grades/ marks in each course and their results will be provided in terms of SGPA/ % marks as per university norms. Ph.D. Scholar will need to secure a minimum of 50% marks/ grade in each subject of Course Work. The aggregate percentage for passing the Course Work will be 55%, in uniformity with UGC Guidelines. A candidate who fails to secure the minimum prescribed Marks/ Grade- C in any of above courses and SGPA 5.5 on ten-point scales at the above examination shall be permitted to reappear at the next ensuing examination(s). He/she can apply for scrutiny as per the University norms and guidelines.

All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

RR-6: Composition & Functions of committees:

The various constituted committees (RAC/ SRAC/ DRAC) of the University/ School/ Department shall be responsible to supervise and conduct the Research activities of Ph. D. Programme in the University.

Research scholar has to present his/her synopsis/ research proposal before committee(s) for the approval of research title, timeline of Ph.D., aims/objectives, methodology and tentative chapter plan, progress of research, Pre Ph.D. presentation etc. The committee(s) may also decide the additional course(s) that he/she may have to do, if necessary.

Composition & Functions of RAC:

University Research Advisory Committee (RAC) which shall be the nodal office controlling the Ph.D. programme and Research Activities in the University: The Research Committee shall be responsible for overall development of Research Activities in the University.

The composition of **University Research Advisory Committee (RAC)** shall be as:

- | | | |
|----|---|------------------------|
| 1. | Vice Chancellor | Ex-officio Chairperson |
| 2. | Registrar | Ex-officio Member |
| 2. | Two experts/members not below the rank of Members Professor/Associate Professor from the other University/ College /Research Institution nominated by the Chancellor for the period of two years. | |
| 3. | All Deans of the constituent Schools of the University | Ex-officio Members |
| 4. | Special invitee(s) with the permission of the Vice Chancellor (if any) | Member |
| 5. | One expert/member from the university nominated by Vice-Chancellor for the period of two years | Member |
| 5. | Dean Research | Member secretary |

Functions and Responsibilities:

1. To exercise general supervision over the research work conducted within the University.
2. To consider all matters related to research on its own initiative or when referred by various Faculties, Academic Units and Constituent Schools of the University.
3. To promote Inter- School and Inter-Departmental research in the University.
4. To frame and revise the policies and rules for Ph. D. Programme time to time in accordance to UGC and other Statuary Bodies.
5. To make periodic review of ordinances, regulations and instructions pertaining to the Ph. D. Programme and to recommend to the Academic Council for any modifications thereof.
6. To scrutinize the bio-data of prospective external Research Co-Supervisors and issue the registration letters.
7. To promote quality research, publications, patents, projects, consultancy etc.
8. To organize training programme for the faculty members to enhance their research competency in the area of methodology, data analysis, statistical tools etc.
9. To undertake annual review of the research activities of Departments, Faculties,

Academic Units and Constituent Colleges of the University;

10. To consider any other matter, which may be referred to the committee or which may deem fit for research growth of the University.

Composition & Functions of SRAC:

The School Research Advisory Committee is the committee constituted for the purpose of continuously guiding; scrutinizing and reviewing the progress of the research work of each research scholar at School level. There shall be an independent committee for each School/Department.

Each School offering the Ph. D. Programme shall constitute the SRAC and it should be approved by the Vice Chancellor.

The composition of **School Research Advisory Committee (SRAC)** shall be as below:

- | | | |
|----|---|------------------|
| 1. | Dean/Head of the Department | Chairperson |
| 2. | One Expert/member not below the rank of Professor/Associate Professor Internal/External to be nominated by Dean after approval of Vice Chancellor | Member |
| 3. | Dean Research/Associate Dean Research | Members |
| 4. | Special invitee(s) with the permission of the Vice Chancellor (if any) | Members |
| 5. | Research Supervisor(s) | Member Secretary |

Functions and Responsibilities:

1. To promote, facilitate and coordinate the research activities of the School/ Department(s).
2. To approve the Research proposal.
3. To allocate the Ph. D. supervisors.
4. To monitor and conduct Ph. D. course work running in the School/ Department.
5. To monitor and evaluate the quality of Ph. D. work in the School/ Department.
6. To take appropriate action on the recommended RAC guidelines and directions of RAC.
7. To consider any matter related to the research programme of the School/Department.
8. To conduct at least two meetings in a year to monitor and evaluate the progress of

research work of the research scholars and send the proceedings to the office of Dean (R&D).

9. To Analyze the Thesis evaluation report of both the external examiners and supervisor and assure that the modifications/changes if any, are incorporated in the thesis.

Note: The quorum of SRAC in case of finalization of research proposal, pre-thesis submission, presentation shall be deemed to complete only when expert (External)/examiner and Dean Associate Dean (R&D) are present.

The presence of expert is not mandatory while the progress report of research scholar(s) is proceeded.

The meetings of all the above committees shall be held only during the working hours and working days of the University. Any deviation from this, shall require the approval of the Vice Chancellor. Under exceptional circumstances, meetings of these committees may be conducted online, using the pre-approved platforms, with the prior approval of the Vice Chancellor.

RR-7: Progress Report:

- a. All the registered Research Scholars shall be required to submit an elaborated progress report to the Dean of concerned School/ Head of Department, through their Research Supervisors, in every six months. The research progress report should be detailed report of the research work conducted in 06 months period.
- b. The SRAC/ DRAC shall be constituted by the Dean of concerned School/ Head of Department, for every Ph.D. scholar. Each semester, a Ph.D. scholar shall appear before the SRAC/DRAC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance.
- c. The Committee shall carefully and strictly scrutinize the progress reports and prepare a brief statement on the progress of Research Scholar and submit to the Dean Research office. In case of unsatisfactory reports, the research scholar will be given 01 month to incorporate the suggestions and submit the progress report again. In case of any dispute, the Dean-Research will take the final decision with the approval of Vice Chancellor. Dean Research office shall maintain a record of these reports and statements.

RR-8:**8.1 Cancellation of Registration**

Registration of a Research Scholar shall be cancelled (in any one of the following eventualities, after due approval by Vice Chancellor through Dean-Research).

- a. If Research Scholar fails to comply with rules of attendance as stipulated.
- b. If a Research Scholar (full time) remains absent for a continuous period of four weeks without prior intimation/sanction of leave, admission shall be terminated (except in special cases).
- c. If he/she resigns from the Ph.D. Programme, the resignation should be duly recommended by the Supervisor.
- d. If he/she fails to submit the fee in any semester (subject to the provision contained in the University Ordinances).
- e. If a Research Scholar fails to submit two reports consecutively with due clearance of the fee, his/her registration shall be treated as cancelled.
- f. If his/her research progress is found unsatisfactory in two reports consecutively and cancellation of the registration is recommended by the SRAC/ DRAC.
- g. If he/she does not clear the course work examination within specified time/grades as stipulated.
- h. If he/she is found involved in an act of misconduct or indiscipline and termination has been recommended by a competent authority/ committee as appointed/ constituted by the University.

8.2 RE-REGISTRATION

- a. A candidate, whose registration has been cancelled on any ground, may apply for re-registration for the Ph.D. Programme and the University may register him/ her as a fresh candidate without requiring him/ her to appear at the entrance test and without undergoing the course work.
- b. A candidate whose thesis has been rejected by the examiners may be permitted to re-register himself/herself for Ph.D. degree on different topic to be approved and recommended by the concerned RAC.

RR-9:

9.1 Submission of Thesis

1. Before submitting the dissertation/thesis, the Ph.D. scholar shall make a Pre Ph.D. presentation before the SRAC/DRAC, which shall also be open to all faculty members and other research scholars of the Department/ School/ University.
2. Ph.D. thesis should be submitted after completion of three years (36 months) from the date of registration.
3. Following certificates shall be submitted along with the thesis:
 - a. 'No Dues Certificate' from the Head of the concerned Department/ Dean of concerned School, where the research work was carried out.
 - b. No Dues Certificate' duly signed by Account section; Libraries (departmental & Central) & Sports section of the University.
 - c. Declaration by Research Scholar regarding originality of the research work should be given on A4 size paper and the same is to be attached with the thesis.
 - d. Certificate duly signed by the Supervisor for the fulfillment of the entire requirement by the candidate as prescribed by the University.
 - e. A certificate from the Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other University.
 - f. Minimum two Research papers of the Research Scholar (published/ accepted) should be related and relevant to the research work reported in the thesis with Vivek University affiliation.
 - g. Plagiarism report duly signed by the Research Scholar, Supervisor and verified by the Departmental School Academic Integrity Panel. It must be an integral part of the thesis.
4. A Ph. D. Research Scholars will be preferred to publishing two research papers in a peer reviewed journal and attended/ paper presented in two National Seminar/ Conference before the submission of the thesis/monograph. The SRAC/DRAC may recommend the research scholars, having no publications, if deem fit for the submission of the thesis.
5. Research scholar may be allowed to submit his/her thesis of a period of three months after the completion the date of thesis submission, failing which the candidate will have to pay the

prescribed fine for late submission.

6. The thesis shall be submitted in four copies soft bound form along with a electronic copy (CD/ pen drive), required for sending to the external examiners.

9.2 Format for Thesis

A. Preparation

Research Scholars submitting the thesis are required to adhere to the following guidelines- regarding paper size; text layout etc., except in special cases (if any) in which concerned Faculty/ Head of Department / Dean is satisfied that it is not possible to comply with the requirements of these guidelines:

- a. Size of the paper should be A4 (8.5" x 11.5") except for maps, drawing, and graphs.
- b. The text should be typed on one side of the paper leaving a margin of 4 cm on left hand side and 2 cm on right hand side as well as 2 cm at the top and 2 cm at the bottom.
- c. The text should be typed in 1.5 line spacing using normal type face/electronic typing/ PC word processing in 12 font size of Times New Roman (English Font) or Mangal/Kruti (Hindi Font); Fancy fonts are not allowed for text writing.

B. Cover layout is also specified:

Affiliation of the Supervisor could be added but it should not contain administrative designation like Head of the Department/ Dean, etc. Also do not write as Dr./Prof./ Mr./Ms./Mrs./Captain etc. before the name of research scholar wherever it is mentioned in the thesis.

7. After attaining the examiners reports, the research scholars are required to submit the point-by-point rebuttal to the suggestion/queries raised by the examiner/s, if any. The rebuttal shall be duly endorsed by the supervisor mentioning the suggestions/ recommendations of the examiners have been incorporated by the research scholar in the Ph.D. thesis.

8. After incorporating the suggestions/recommendations in the Ph.D. thesis, research scholar shall submit 05 copies of final hard bound thesis in the prescribed format to the Dean Research office to be presented in Ph.D. viva voce examination.

RR-10: Appointment of Examiners

- a. The process for appointment of examiners shall be undertaken soon after the Research Scholar submits his/her thesis.
- b. The Vice-Chancellor may indicate the order of priority of examiners from 1 to 3 from the list of 08 external examiners (04 by the Chairperson of SRAC/ DRC and 04 by the Research Supervisor). The thesis shall be sent to the examiners and evaluated by two external examiners. One examiner from within the State and one shall be from outside the State. *“The Supervisor of the Research Scholar shall be an internal examiner”*. The Vice-Chancellor may recommend and approve the experts of the concerned research area other than the proposed panel.
- c. If the approval of the examiners panel is delayed beyond three months, Dean Research may bring this to the kind attention of the Vice-Chancellor directly.

RR-11: Evaluation

- a. After the approval of the panel of examiners, Dean Research shall invite the first two examiners from the approved panel, to examine the thesis. Dean Research shall forward the thesis to the examiners as soon as possible. If an examiner does not accept the invitation within thirty days from the date of dispatch of the invitation letter, the Dean Research shall send an invitation letter, to the next examiner on the panel.
- b. The external examiners shall independently send their reports to the Dean Research within sixty days from the date of receipt of the thesis. If an examiner fails to do so, the Dean Research will send him/her a reminder immediately after the expiry of the said period and request him/her to submit the report within thirty days. If the examiner concerned fails to comply even within the extended period, the Dean Research shall cancel his appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis. In the event of a request for late submission of the Examiner's report, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc., the Dean-Research will take an appropriate decision in the interest of the Research Scholar concerned after the approval of Vice Chancellor.
- c. The reports received from the external examiners shall be immediately forwarded to the Controller of Examination, who after ascertaining that the reports are positive,

shall arrange for viva and defense of the thesis at the earliest date, suitable to internal examiner, the external examiner and the Chairperson.

- d. Dean of the concerned school will be the Chairperson for the Oral Defense Committee.
- e. Based on final reports of external examiners, the thesis will be accepted/rejected as per given in **table 3.0**.

Table:3.0 Template for Examiner's evaluation report

S.N.	Examiner 1	Examiner 2	Action
1	Accept	Accept	Viva Voce
2	Accept	Accept with minor corrections/ revision	Revise thesis with corrections & submit within 15 days for viva voce.
3	Accept	Accept with major corrections /revision	Revise thesis with corrections & submit within 30 days for viva-voce
4	Accept with corrections/ revision	Reject	Revise thesis with corrections shall be sent to the 03 th examiner nominated by the Vice-Chancellor
5	Reject	Reject	Reject & declared ineligible for the award of Ph.D. degree

A positive report from the 03th examiner will be pre-requisite for the viva-voce examination. However, if the report from the 03th examiner refers rejection of the thesis, the Vice-Chancellor will make the final decision.

RR-12: Plagiarism and subsequent actions

- a. If the University receives complaint of plagiarism with sufficient evidence or if any Examiner points out occurrence of plagiarism in the thesis, thesis shall be sent to the Vivek University Research Ethics Committee by the Vice Chancellor, to verify and ascertain the occurrence of plagiarism (with the help of software and by physical verification).
- b. If plagiarism is proved, a show cause notice shall be issued to the Research Scholar and a copy of the same to Supervisor/s (for information only). After receiving reply of show cause notice, all documents/reports/answers to the show cause notice shall be placed before

the RAC for appropriate action including possible annulment of Registration of the Research Scholar and initiation of disciplinary action against the Research Scholar.

- c. Unsigned and undated complaints without the address of the complainant will not be entertained by the University.
- d. The University shall also strictly maintain confidentiality of the name and address of the complainant.

RR-13: Viva-Voce and Defense of the Thesis

- a. The viva-voce board (ODC) shall consist of Research Supervisor and one of the three external examiners, approved by the Vice Chancellor. The viva-voce may be conducted offline or online. The date, time and the place for the viva voce and the defense of thesis shall be notified by the Dean Research in advance. Normally, the viva voce and the defense of the thesis shall be arranged in the University concerned School/ Department.
- b. The defense of the thesis shall be open and take place in the presence of all faculty members of the concerned department, research scholar and Supervisor/s. The Supervisor (Internal Examiner), one External Examiner and the Chairperson shall jointly evaluate the performance of the candidate. In case of dispute, the Dean Research shall take the final decision.
- c. If neither of the external examiners is able to be present at the time of the viva voce/defense, the Vice-Chancellor, on the recommendation of the Supervisor, Chairperson of DRC and the Dean Research shall appoint a senior research Supervisor to act as an examiner for the defense of the thesis. In case the internal examiner is not available, the Vice-Chancellor shall appoint one of the senior Research Supervisor on the recommendation of the Dean Research and Dean / Head of the Deptt.
- d. The examiners present for the viva-voce and the defense of the thesis shall submit their final consolidated report along with the reply given to the queries raised by the external examiners in the written form, signed and accepted by the members of the Viva-Voce Panel to the COE.
- e. In case the defense is not satisfactory, the examiners may unanimously recommend with reasons that a fresh viva-voce and defense of the thesis be organized within a period of not less than one month. If the defense is still not satisfactory, the Committee would

record the reasons for the same. The Committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

RR-14: Depository with the University Grants Commission (UGC)

- a) Following the successful completion of the evaluation process and announcement for the award of Ph.D. degree, the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission, for hosting the same in INFLIBNET accessible to all Colleges/Institutions/Universities.
- b) The University shall issue a provisional certificate, certifying to the effect that the Degree has been awarded in accordance with the Regulations issued by the University Grants Commission as per the Notification dated 1st June 2009 and subsequent in the Gazette of India, published on 11th July 2009 and amended in May 2016 or time to time Notification by the UGC.

RR-15: Ph.D. through Part-time Mode-

Ph.D. Programme through part-time mode is permitted as per University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022, provided all the above conditions stipulated in the Ordinance are fulfilled. Research Scholar are required to submit a "No Objection Certificate" for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- i. The candidate is permitted to pursue studies on a part-time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.

RR-16: Ethical Committee for Research

Ethical committee of Vivek University shall be constituted as per UGC / CPCSEA/ other concerned agencies guidelines (if required).