

Ph. D. Regulations for year 2021-2022

1	PREAMBLE	
	<p>These Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) have been framed on this subject with a view to fulfilling the provisions in the University Grants Commission (Minimum Standards and Procedure for Awards of M.Phil. /Ph.D. Degree) Regulation, 2016 and its two amendments, 1st amendment of the Regulations, 2018 and the 2nd amendment of the Regulations, 2018 and UGC Gazette Notification (Specification of Degrees), 2014.</p> <p>The Degree of Doctor of Philosophy (Ph.D.) is awarded to a candidate who has submitted a thesis on the basis of original work done in any particular discipline/inter-discipline that makes a contribution to the advancement of knowledge, which is approved by suitably appointed examiners and prerequisites, as per regulations.</p>	
2	SHORT TITLE AND COMMENCEMENT	
	A	<p>The regulations shall be called the "Regulations Governing the Degree of Doctor of Philosophy for all Doctoral Program leading to the Ph.D. degree" offered by the Swami Vivekananda University.</p> <p>These shall apply to every candidate applying for admission, registration, conduct and conferment of the Degree of Doctor of Philosophy (Ph.D.) of this University.</p>
	B	<p>Notwithstanding anything contained in any other Rule or Regulation for the time being in force, all admissions, course works, registrations, and conferment of Degree shall be guided by these regulations.</p>
	C	<p>The regulations hereunder are subject to amendments by the Research Advisory Committee (RAC) of the University, from time to time, after considering the recommendations of the Board of Research Studies.</p> <p>Such amendments will come into force from the date of their notification by the University and apply to such batches of candidates, including those already undergoing the programme, as may be determined by the RAC.</p>
3	DEFINITIONS	
	3.1	" University " means the Swami Vivekananda University established and incorporated under section 3 of this Act
	3.2	" Higher Educational Institution " means a university or institution specified under Section 2 (f) of the UGC Act 1956
	3.3	" Act " means the University Grants Commission Act, 1956 (3 of 1956);
	3.4	" Adjunct Faculty " means a part-time or contingent instructor, but not full-time faculty member hired to teach by the University.
	3.5	<p>"Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters.</p> <p>The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters.</p> <p>It is expressed up to two decimal places;</p>

3.6	<p>"Credit" means the number of hours of instruction required per week over the duration of a semester.</p> <p>A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;</p>
3.7	<p>"Commission" means the University Grants Commission established under Section 4 of the UGC Act 1956;</p>
3.8	<p>"Course" means one of the specified units which go to comprise a programme of study;</p>
3.9	<p>"Course Work" means courses of study prescribed by the Research Advisory to be undertaken by a student registered for the Ph.D. Degree;</p>
3.1	<p>"Degree" means a degree awarded by the University in accordance with the provisions of section 36 of The Swami Vivekananda University Act 2019 and Section 22 of the UGC Act 1956 ;</p>
3.11	<p>"External examiner" means an academician/researcher with published research work who is not part of the Higher Educational Institution/University where the Ph.D. scholar has registered for the Ph.D. programme;</p>
3.12	<p>"Foreign Educational Institution" means–</p> <p>(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and</p> <p>(ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, <i>but excluding distance, online, ODL mode</i>;</p>
3.13	<p>"Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale</p>
3.14	<p>"Guide/Research Supervisor" means an academician/researcher recognized by the University to supervise the Ph.D. scholar for his/her research.</p>
3.15	<p>"Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;</p>
3.16	<p>"Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;</p>
3.17	<p>"Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;</p>
3.18	<p>"Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;</p>
3.19	<p>"Programme" means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;</p>
3.20	<p>"Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution/University and Programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions/University ;</p>

3.21	" Research Proposal " means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
3.22	" Caretaker Supervisor " shall mean a member of the academic staff who is a recognized research supervisor appointed to look after the candidate's research interests in the absence of the Supervisor.
3.23	" Co-supervisor " shall mean an additional supervisor recommended by the Research Advisory Committee to help in the accomplishment of such research work which is of the interdisciplinary nature as envisaged in the relevant clause.
3.24	" Sponsored Research Student / Candidate " shall mean a full time research student/candidate except that, he /she, receives complete financial support from the sponsoring organization or his/ her employer.
3.25	" Residency " shall mean the minimum period for which a student/ candidate must attend the University on full-time/part-time basis.

4	Eligibility criteria for admission to the Ph.D. Programme
	Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. Programme:
4.1	Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution, accredited by an Assessment and Accreditation Agency which is approved, recognised 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.
4.2	A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

4.3	Candidates who have cleared the M.Phil. Course Work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completed the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
4.4	A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.
4.5	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.

5	Duration of the Programme :	
5.1		Ph.D. Programme shall be for a minimum duration of three (3) years , including Course Work, and a maximum duration of Six (6) years from the date of admission to the Ph.D. programme. The minimum duration of three (3) years may be relaxed and allowed to submit in case of work conducted for more than two (2) years before the registration. It should be endorsed by the Supervisor and approved by the relevant Research Board.
5.2		A maximum of an additional Two (2) years can be given through a process of Re-registration as per the Rules of the University; provided, however, that the total period for completion of a Ph.D. programme should not exceed Eight (8) years from the date of admission in the Ph.D. programme.
5.3		Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed Ten (10) years from the date of admission in the Ph.D. programme.
5.4		Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

6	Procedure for Admission	
	6.1	The University shall lay down and decide, in the beginning of the Admission, a predetermined and manageable number of doctoral students, based on the number of teachers eligible to guide doctoral research in any given subject-discipline and their respective vacancies.
	6.2	A seat shall be considered to be vacant only after a registered research scholar submits his/her Thesis for Ph.D.
	6.3	The available number of seats should be obtained from respective departments through the Doctoral Committee before notification. All faculty members of the department having Ph.D. degree shall be the members of the Doctoral Committee. The Head of Deptt/T.I.C./Senior most faculty member of the Department having Ph.D. Degree shall be the ex officio Convenor of the Doctoral Committee. In extraordinary circumstances, if no Ph.D holder faculty member is available in the department, Vice Chancellor shall nominate the Convenor of the department. The University shall notify the number of seats available for Ph.D. Programme in its website. If Head/TIC is not in a position to become member of the Doctoral Committee, then the senior most faculty member with Ph.D. degree or a faculty member having Ph.D. may be nominated by the Vice Chancellor for the Chairperson of the Doctoral Committee.
	6.4	Admission to the Ph.D. programme shall be through the Ph.D. Entrance Test to be conducted in the University by the PG Department/recognized Institute concerned in each discipline for Master's level students. The syllabus of the Entrance Test shall consist of 50% questions on research methodology and 50% on the subject concerned.
	6.5	Applicants, who have qualified UGC-NET (including JRF) / UGC-CSIR NET (including JRF) / SET / GATE / JEST, or holding teacher fellowship or having M.Phil. Degree or having previously completed Ph.D Course work from any recognized University or any International student or completed Ph.D Course Work from any recognized University previously shall be exempted from the Ph.D. Entrance Test.
	6.6	<p>Once the results of the Ph.D. Entrance Test are declared (qualifying marks 50%), the concerned PG Department shall organize the meeting of the Board of Research Studies for presentation and viva voce for final selection of a Ph.D. candidate. Provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers) / Differently-abled category in the entrance examination conducted by the Universities.</p> <p>Provided further that, if in spite of the above relaxation, the seats allotted for SC/ST/OBC (Non Creamy layer)/Differently-Abled categories remain unfilled, the University shall launch a Special Admission Drive, for that particular category within one month from the date of closure of admissions of General Category. The University will devise its own admission procedure, along with eligibility conditions to ensure that most of the seats under these categories are filled.</p>

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	6.7	The PG Department concerned shall call only successful candidates for counselling-cum-interview session, wherein these candidates shall be expected to discuss their research interest/area through a presentation before a duly constituted Board of Research Studies which shall objectively assess their past academic records and award marks giving equal weightage to both of these aspects. To qualify in the viva voce test, the candidate must obtain a minimum of 50 % marks or as may be determined by the University Authority from time to time. Subject-wise merit list will be prepared and admission to fill up the vacant positions of Ph.D. Programme will be offered in order of merit.
		The interview/viva voce shall also consider the following aspects, viz. whether:
	a	The candidate possesses the competence for the proposed research;
	b	The research work can be suitably undertaken at the University;
	c	The proposed area of research can contribute to new/additional knowledge.
6.8	Each PG Department/recognized Institute shall admit only a pre-determined number of students to its Ph.D. programme. After declaring the available seats in the respective subjects, no seat will be added later on.	
6.9	The reservation of seats for SC, ST, OBC-A, and OBC-B, shall be as per the rules of the state government.	
6.10	The University shall maintain the list of all the M.Phil. / Ph.D. registered students on its 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.	

7	Allocation of Research Supervisor :
	Eligibility criteria to be a Research Supervisor, Co-Supervisor AND Number of Ph.D. scholars permissible per supervisor, etc.
7.1	Any regular Whole Time Professor of the University/Institution with at least Five research publications in refereed journals, and, any regular Whole Time Associate/Assistant Professor of the University with a Ph.D. degree and at least Two research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
7.2	External supervisors are not allowed. However, a Co-Supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other recognized institutions with the approval of the Research Advisory Committee.
7.3	The allocation of Research Supervisor for a selected research scholar shall be decided by the Board of Research Studies depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

	7.4	In case of topics which are of inter-disciplinary nature, where the Board of Research Studies feels that the expertise in the Department has to be supplemented from outside, the Board of Research Studies may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
	7.5	A Research Supervisor/Co-Supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
	7.6	In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the 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 scholar will however give due credit to the parent guide and the institution for the part of research already done.

8	Course Work : Credit requirements, number, duration, syllabus, minimum	
	8.1	The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
	8.2	The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits (one full paper of 100 marks) shall be assigned to one or more courses on Research Methodology 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.
	8.3	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 Board of Research Studies.
	8.4	The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Board of Research Studies.
	8.5	All candidates admitted to the Ph.D. programmes shall be required to complete satisfactorily the course work prescribed by the Board of Research Studies during the initial one/two semester.

8.6	Candidates already holding M.Phil. Degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and those who have already completed Ph.D. course work in any recognized University, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
8.7	A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis. Unsuccessful candidates, due to not appearing for the examination or not obtaining the qualifying marks in the examination are eligible to appear once in the next chance for the said purpose to qualify the Ph.D. course work examination.
8.8	Regarding the Ph.D. course work examination, Doctoral Committee will recommend the name of paper-setters, moderators, examiners with the approval of the Vice Chancellor. HOD/Teacher-in-Charge/ Seniormost faculty member of the Department having Ph.D Degree will act as a convener in the moderation board, prepare the final question papers, and look after the total examination process i.e. works during and after the examination. Finally, all answer scripts and tabulation sheet (hard copy and soft copy) will be submitted to the Controller of Examinations.

9	Doctoral Committee and its functions:	
9.1	To determine the manageable number of seats available in the Departments/Centres for Ph.D. programme, and specializations related thereto;	
9.2	To conduct the Research Eligibility Test of the Ph.D. Programme;	
9.3	To prepare and finalize the list of the qualified candidates of the Research Eligibility Test and submit it to the appropriate authority.	
9.4	To conduct and finalize the result of Ph.D. Course Work Examination and submit it to the appropriate authority.	
9.5	On the basis of the recommendation of the Doctoral Committee, the authority concerned will issue the course work completion certificate to the candidate concerned.	

10	Board of Research Studies and its functions:	
	There shall be a Board of Research Studies, as defined in the Rules / Regulations of the Swami Vivekananda University for the Ph.D. Programme. This Board shall have the following responsibilities:	
	10.1	To prepare and recommend the names of the Ph.D. candidates for Registration and allot Ph.D. supervisors after reviewing the presentation and viva voce relating to the research proposal and provisionally approve the topic and title of research.
	10.2	To recommend the name of new / joint supervisor(s) in case of death / resignation / retirement of the supervisor.
	10.3	To recommend the name of a new supervisor in case of Re-registration when an existing supervisor is no longer an employee of the university.
	10.4	To frame / revise all courses / modules of coursework for Ph. D. programme, which has to be subsequently approved by the Vice Chancellor.
	10.5	To perform any other duties related to the Ph.D. programme as desired by the University authority.

11	Research Advisory Committee, its Constitution and Functions :	
	11.1	There shall be a Three (3) Member Research Advisory Committee of the University Department concerned for each Ph.D. scholar. The members of the Research Advisory Committee shall be (a) The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, (b) The Head of the Department concerned; when the HoD/TiC of the Department concerned will be the Convenor of RAC, being at the same time supervisor of the scholar, the senior most faculty member having Ph.D. degree will be the member or as nominated by the Vice Chancellor (c) An expert from department concerned or allied/relevant department(s) of the University /other Universities to be nominated by the Board of Research Studies from the Panel of 03 (Three) members submitted by the Research Supervisor in consultation with the Head of the Department.
	11.2	This committee shall have the following responsibilities:
		(i) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
		(ii) To periodically review and assist in the progress of the research work of the research scholar.
		(iii) To review the research proposal and finalize the topic of research.

	11.3	A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institution/College with a copy to the research scholar.
	11.4	In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/College, with specific reasons, for cancellation of the registration of the research scholar.

12	Evaluation and Assessment Methods, minimum standards/credits	
	12.1	Prior to the submission of the thesis, the scholar shall make at least one presentation in the Department before the Research Advisory Committee of the Institution concerned, which shall also be open to all faculty members, other research scholars and students. The feedback and comments obtained from them may be suitably incorporated into the thesis in consultation with the Research Advisory Committee.
	12.2	Ph.D. scholars must publish at least one (1) research paper in a refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
	12.3	The University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
	12.4	<p>The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners nominated by the Vice Chancellor (not below the rank of Professor/Scientist Grade E or its equivalent who have their expertise on the relevant field of research work) out of a list submitted by the supervisor(s), if any, of whom one examiner shall be from outside the state or may be from outside the country. The viva voce, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.</p> <p>The thesis submitted by a candidate not attached to any supervisor will be examined by three external experts of which at least one expert shall be from outside the state or may be from outside the country.</p>

	12.5	The public viva voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the viva voce examination. If the evaluation report of the external examiner on the thesis is unsatisfactory and does not recommend viva voce, the Institution shall send the thesis to another external examiner out of the approved panel of examiners and the viva voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
	12.6	The Institutions shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.
	12.7	One soft copy of the thesis shall be sent to U.G.C. within three months from the date of award of Ph.D. degree to a candidate and another soft copy of the Ph.D. thesis shall be preserved in the University.

13	Issuing a Provisional certificate	
	Prior to the actual award of the degree, the university shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.	

14	Depository with INFLIBNET	
	Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.	

15	FEES :	
	Non-refundable fees related to the Ph.D. Programme may be determined by the appropriate authority of the University from time to time.	

16	SC/ST/OBC/PWD applicants from the other states will not get reservation facility.	
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In case of any dispute that may arise in connection with the above regulations, the decision of the University Academic Council shall be final and binding. Further, the University Authority shall have the right to amend any provisions of these regulations, as necessary, at any time.