

# **DELHI SKILL & ENTREPRENEURSHIP UNIVERSITY**

**Established by Govt. of NCT of Delhi vide Act 04 of 2020**



**Revised Ph.D. Regulations – 2022**  
**(Effective from Academic Year 2022-2023)**

**Delhi Skill & Entrepreneurship University**  
**Sector-9, Dwarka, Delhi - 110077**

# REVISED REGULATIONS FOR THE PROGRAM LEADING TO DEGREE OF DOCTOR OF PHILOSOPHY (2022)

## SHORT TITLE AND COMMENCEMENT

- (a) These regulations may be called as “**Delhi Skill & Entrepreneurship University (DSEU) Ph.D. Regulations for the degree of Doctor of Philosophy (Ph.D.) 2022**”.
- (b) These Regulations have been approved in the 4<sup>th</sup> Academic Council and 8<sup>th</sup> BOM, shall be applicable to all students admitted to the Ph.D. Programme at DSEU from the year 2022-23 onwards.

## 1. DEFINITIONS

- i “**Applicant**” shall mean an individual who applies for admission to the Ph.D. program of the Delhi Skill and Entrepreneurship University (henceforth referred as DSEU).
- ii “**Academic Year**” is a period of nearly twelve months devoted to completion of requirements specified in the scheme of teaching and the related examination.
- iii “**Board of Research Studies**” shall mean the Board of Research Studies of DSEU.
- iv “**Campus**” shall mean the one of the campuses of DSEU.
- v “**Course Work**” shall mean courses of study approved by the SRC through the Supervisor to be undertaken by a student registered for the Ph.D. Degree.
- vi “**Co-Supervisor**” shall mean an additional supervisor assigned to the research scholar under the provisions of this regulation.
- vii “**Deans of Schools**” shall mean the Deans of the Schools of DSEU.
- viii “**Dean Research**” shall mean the Dean Research heading the Ph.D. Program of DSEU.
- ix “**Degree**” shall mean the Degree of Doctor of Philosophy (Ph.D.) of DSEU.
- x “**DPO**” shall mean the Doctoral Program Office of DSEU.
- xi “**Educational Institution**” shall mean those recognized colleges/ institutions/ universities which offer Bachelor's degrees or higher degrees.
- xii “**Examination**” shall mean examination conducted by DSEU.
- xiii “**Faculty Member**” shall mean Assistant Professor/ Associate Professor/ Professor of DSEU.
- xiv “**Full Time Research Scholar**” shall mean a person registered for the Ph.D. Degree devoting Full-Time for completing the degree requirements.
- xv “**Part Time Research Scholar**” shall mean a person who is registered for the Ph.D. degree and will devote part of her/his time towards their pursuit and devote part of her/his time towards the discharge of her/his official obligations.

- xvi "**Registration Period**" shall mean the length of time span commencing with the date of provisional registration at the University till the completion of the Ph.D. program.
- xvii "**RAC**" shall mean the Research Advisory Committee of the research scholar of DSEU.
- xviii "**Research Scholar**" shall mean a person registered for the Ph.D. program.
- xix "**Second Workplace**" shall mean a Research Laboratory/Research Centre/ Research & Development Organization/ Academic Institute/ Faculty of Studies/ Centre for Advanced Studies and Research /Industry/ Government Department/ Public Sector Undertakings approved as the second workplace of any research scholar by DSEU for carrying out wholly/partly research work leading to the degree of Doctor of Philosophy of the University.
- xx "**SRC**" shall mean the School Research Committee of each School of DSEU.
- xxi "**Sponsored Research Scholar**" shall mean a person, sponsored by Government or Private Research & Development Organizations, Public Sector Undertakings, Industries and Educational Institution of repute, registered for the Ph.D. Degree devoting full time for completing the degree requirements.
- xxii "**Supervisor**" shall mean a DSEU Faculty Member appointed as supervisor for a research scholar, as per the Guidelines.
- xxiii "**University**" shall mean DSEU, Delhi.

## 2. GENERAL GUIDELINES

The program leading to the degree of Doctor of Philosophy shall follow the following general provisions: -

- 2.1 The minimum eligibility qualifications for admission to the Ph.D. program shall be as per clause 4 of the Regulations.
- 2.2 A research scholar shall be required to earn the prescribed minimum credits through relevant courses and carry out her/his research work as per the clause 13.2.
- 2.3 A research scholar shall be required to complete all requirements for the award of the degree within a period as per clause 17.
- 2.4 A research scholar shall be registered provisionally in the Ph.D. program at the time of joining.
- 2.5 After confirmation of registration, a research scholar may be allowed to pursue part of her/his research at any other Research & Development Organization/ National lab of repute/ any other University, within the country or abroad with the approval of the School Research Committee and Board of Research Studies,

which shall be designated as the second workplace for the research scholar, provided adequate research facilities in the respective research area are available at such places.

**2.6** The award of the Ph.D. Degree shall be made to a successful research scholar in accordance with the regulations of the DSEU as per clause 22.

**2.7** In addition to the research work, all the research scholars who have been awarded with any fellowship, have to undertake Practical classes/Tutorials/Skill Oriented Courses to the extent of 8 hours per week along with other duties like internships/checking of assignments/invigilation duties etc. as assigned to them from time to time.

### **3. CLASSIFICATION OF AN APPLICANT**

The applicant seeking admission to the Ph.D. programme shall be classified under any one of the following categories:

#### **3.1. Full Time Research Scholar**

A person registered for the Ph.D. Degree devoting Full-Time for completing the degree requirements, with financial assistance from the university or any other sources including sponsored research projects or various fellowship schemes and satisfying the minimum qualification criteria as defined in clause 4.

#### **3.2. Part Time Research Scholar**

A person who is registered for the Ph.D. degree and will devote part of her/his time towards their pursuit and devote part of her/his time towards the discharge of her/his official obligations & satisfying the minimum qualification criteria as defined in clause 4.

### **4. MINIMUM QUALIFICATION CRITERIA FOR ADMISSION**

#### **4.1 For Engineering:**

- a. An applicant with M.E./ M.Tech Degree or equivalent from a recognized University/ Institution in the relevant discipline with minimum of 60% marks in aggregate or its equivalent CGPA in the point scale wherever grading system is followed.
- b. An applicant not satisfying clause 4.1(a.) of minimum educational qualification, seeking admission after a 4-year/8-semester B.Tech./ B.E. 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.

#### **4.2 For Computer Applications:**

- a. An applicant with MCA/MSc degree in relevant discipline from a recognized University/ Institution with minimum of 60% marks in aggregate or its equivalent CGPA in the point scale.
- b. An applicant, not satisfying clause 4.2(a.) of minimum educational qualification, seeking admission after a 4-year/8-semester bachelor's degree programme in the relevant discipline should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

#### **4.3 For Sciences and other Disciplines:**

- a. An applicant with Master's degree in the relevant discipline from a recognized University/Institution with 60% marks in aggregate or its equivalent CGPA in the point scale.
- b. An applicant not satisfying clause 4.3(a) of minimum educational qualification, having a 4-year/8-semester bachelor's degree programme in the relevant discipline should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

\* In all the programs mentioned above 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 shall be considered.

#### **4.4 An applicant is eligible for Part Time Research Scholar/Full Time Research Scholar (Sponsored), provided she/he fulfils the following conditions:**

- a. The Applicant possesses the minimum qualification criteria for the degree as mentioned in clause 4.1, 4.2 & 4.3.
- b. The applicant is presently employed under the following categories:
  - i. Applicants working in organizations which have MOU with DSEU.
  - ii. Applicants working on Full-Time basis (regular/adhoc/contract) in a National Level R&D Lab/ a reputed organization/ recognised educational institution/ university/ PSU/ Corporate/ Industry registered under Company's Act organization.

- iii. Applicants working in projects (JRF/SRF/Project Assistant/Research Assistant etc.) in National-Level R&D Institutions.
- iv. The Applicant possesses at least two years of relevant work experience in the above categories, as at b(ii). However, for c(ii) work experience is not mandatory.
- v. The applicant gets a NOC from employer, at the time of provisional registration.

## **5. RESERVATION/RELAXATIONS**

- 5.1** In all the Ph.D. programs of the University, reservation of seats for applicants in all the categories, including SC/ST/OBC (non-creamy layer)/Person with Benchmark Disability (PwBD)/ Economically Weaker Section (EWS)/ Defence Personal (DP) will be applicable as per the policies of Govt. of National Capital Territory of Delhi.
- 5.2** SC/ST/OBC (non-creamy layer)/EWS/PwBD/ DP applicants will be given 5% marks relaxation in the minimum qualification criteria as prescribed in the clause 4.1, 4.2, and 4.3.
- 5.3** Provided further that, if in spite of the above relaxation, the seats remain unfilled, they shall be filled by the applicants from the unreserved category.

## **6. SELECTION PROCEDURE FOR ADMISSION**

- 6.1** The applicants shall be admitted on the basis of an entrance test followed by an Interview.
- 6.2** The applicants who have secured minimum qualifying marks of 50% in the entrance test shall be considered for the interview.
- 6.3** A relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (non-creamy layer)/EWS/PwBD/Defence Personal (DP) in the entrance examination conducted by the University.
- 6.4** The entrance test shall consist of 50% questions on Research Aptitude/Methodology, which may include quantitative methods/computer applications, experimental techniques etc., and 50% subject-specific questions. The syllabus for the entrance test shall be approved by the BRS.
- 6.5** The weightage for the entrance test will be 70% and 30% for the interview/viva-voce.
- 6.6** The interview shall be conducted by a committee as prescribed in clause 6.11.

- 6.7** The Interview Committee shall evaluate the applicant on her/his aptitude and competence to carry out the research in the intended area.
- 6.8** Regular faculty members of DSEU or faculty on deemed deputation of DSEU and applicants who have qualified UGC/CSIR-NET/JRF examination or valid Gate score (with qualifying marks) in the relevant area of research shall be exempted from taking the entrance test.
- 6.9** Foreign students who apply through Ministry of Human Resource Development or foreign students under a Cultural Exchange Scholarship Programme of Government of India shall be exempted from taking the entrance test.
- 6.10** The university shall notify the detailed information well in advance, through its website and through advertisement in two national newspapers of which one is in Hindi.
- 6.11** The composition of the Interview committee shall be as follows:
- a. The Vice Chancellor/ Vice Chancellor nominee
  - b. Dean of the School/ Head of the concerned Department nominated by Vice Chancellor
  - c. All university approved Supervisors of the concerned department
  - d. External Expert, if required

## **7. PROVISIONAL REGISTRATION**

- 7.1** After the merit list of applicants is received from the DPO, the offer letter shall be issued to the selected applicants depending on the availability of seats in the concerned Department, by the Dean Research.
- 7.2** The date of joining the Ph.D. programme shall be the date of provisional registration of the research scholars.

## **8. CONVERSION OF REGISTRATION**

- 8.1** A Full Time research scholar who gets an employment in any organization during her/his Ph.D. program may be eligible to convert to Part Time research scholar with due recommendation of her/his supervisor(s), RAC and approval by SRC.
- 8.2** In case of a genuine reason, a Full Time research scholar may be eligible to convert to Part Time research scholar after completion of minimum period of atleast one year from the provisional registration with recommendation her/his supervisor(s), RAC and approval by SRC.

- 8.3** A Part Time research scholar may be allowed to convert to Full Time research scholar with due recommendation of her/his supervisor(s), RAC and approval by SRC.

## **9. RENEWAL OF REGISTRATION**

- 9.1** Every research scholar shall be required to renew her/his registration at the start of every year till the submission of the thesis.
- 9.2** A research scholar, who fails to renew her/his registration and fails to pay the requisite fee, shall cease to be a research scholar with immediate effect.
- 9.3** In exceptional cases of de-registration, the Vice-Chancellor shall have the power to allow re-registration of the research scholars.

## **10. ATTENDANCE AND LEAVE**

A research scholar who has been awarded any fellowship shall be entitled to avail leave as per leave/attendance rules given below, which may be amended from time to time.

- 10.1** A research scholar must attend to her/his research work on all working days and mark attendance except when she/he is on duly sanctioned leave.
- 10.2** A research scholar shall be entitled for leave of 30 days per academic year including medical leave.
- 10.3** A research scholar shall not be entitled to summer and winter vacation.
- 10.4** Leave beyond 30 days in an academic year may be granted to a research scholar in exceptional cases, subject to the following guidelines:
- a. The leave shall be subject to the approval of the SRC concerned on the recommendations of the RAC.
  - b. A female research scholar shall be entitled for maternity leave as per UGC norms subject to the approval of the SRC, on the recommendation of RAC.

## **11. ROLES AND RESPONSIBILITIES**

### **11.1 DEAN RESEARCH AND THE DOCTORAL PROGRAM OFFICE**

The DPO shall be headed by Dean Research. The Dean Research shall be responsible for smooth working of the DPO and oversee all its activities.

- a. The Ph.D. admission process for the Ph.D. program will be initiated and coordinated by the DPO.
- b. The DPO shall prepare and share the approved information bulletin.



- c. The DPO shall arrange for the screening of the applications to shortlist the eligible applicants and shall also arrange the issue of admit cards to the eligible applicants.
- d. The entrance test and the interviews shall be coordinated by the DPO.
- e. The DPO will prepare the department wise final merit list and shall notify the same on the website.
- f. The DPO shall be responsible for sharing the Academic calendar for the Ph.D. Program with the concerned authorities for publication.
- g. The DPO shall maintain all the records of registration and the progress of the research work of the research scholars.
- h. The DPO shall be responsible for maintaining the list of all the Ph.D. registered scholars on the university website on a year-wise basis. The list shall include the name of the registered research scholar, topic of her/his research, name of her/his supervisor/co-supervisor and date of registration.
- i. The Dean Research shall coordinate the activities for the BRS and oversee the activities of the various SRCs and RACs of the University.

## **11.2 BOARD OF RESEARCH STUDIES (BRS)**

- a. There shall be a BRS that will lay down the broad policy guidelines pertaining to the Ph.D. programs. Dean Research/Chairperson DPO will be the Convenor of the BRS. The composition of the BRS will be as follows:
  - i. The Vice-Chancellor - Chairperson
  - ii. Pro Vice Chancellor
  - iii. Dean Research/Chairperson DPO
  - iv. Deans of Schools/ Chairperson SRCs
  - v. Campus Director of the respective campuses where the Ph.D. program is running
  - vi. One External member nominated by the Vice Chancellor

However, the concerned head(s) of the department(s)/ Faculty member(s) shall be invited member(s), if any specific case is to be discussed.
- b. Key responsibilities of the BRS
  - i. The BRS shall supervise all academic and procedural matters related to the Ph.D. program of the University.

- ii. They shall review the policies governing the Ph.D. program and the status of scholars registered in the program and will make recommendations as deemed necessary.
- iii. The BRS shall ensure uniform implementation of the Regulations and provide advice on procedural and related matters pertaining to the Ph.D. program.
- iv. Normally, the BRS meeting shall be held at least once in every six months or earlier, as required.
- v. BRS will approve the list of graduating scholars provided by the DPO for Convocation.

### **11.3 SCHOOL RESEARCH COMMITTEE (SRC)**

- a. The SRC will work at School Level.
- b. The composition of the SRC shall be as follows: -
  - i. Dean of School/The Vice Chancellor Nominated Academician - Chairperson
  - ii. HODs (Nominated by the Vice Chancellor) - Convener
  - iii. One External Expert approved by the Vice Chancellor, to be nominated from a panel suggested by the Chairperson
  - iv. One professor from each campus belonging to the department nominated by the Vice Chancellor. Associate/Assistant Professor may be nominated in case of non-availability of the Professor.  
\*Concerned supervisor(s) of the research scholar may be invited as & when required.
- c. SRC has the following responsibilities:
  - i. The SRC shall supervise all academic matters related to the Ph.D. degree of their department and shall ensure proper implementation of Ph.D. Regulations.
  - ii. The SRC shall consider and examine the recommendations of the research supervisor and the RAC pertaining to the provisional registration, evaluation of research proposal/extension of Ph.D. duration, etc., for ratification/ recommendation, as applicable.
  - iii. The SRC members shall meet once in three months or before if necessary to discuss the urgent matters. Decisions taken in the SRC meeting shall be forwarded to the DPO and further to BRS.

- iv. The SRC shall approve the leaves beyond 30 days in an academic year and maternity leave as well.

#### **11.4 RESEARCH ADVISORY COMMITTEE (RAC)**

- a. RAC must guide the research scholar in developing the study design & methodology of research and identify the course(s) that he/she may have to do. There shall be a RAC for each scholar. The RAC has to be formed for each research scholar before making a proposal for their research. The composition of the RAC shall be as follows:
  - i. Head of Department – Chairperson (nominated by the Vice Chancellor)
  - ii. Supervisor – Convener
  - iii. Two members from the department, nominated by the Supervisor and approved by chairperson RAC.
  - iv. External expert in the relevant area, from the panel approved by the Vice Chancellor, to be nominated by the chairperson RAC.
- b. This Committee shall have the following responsibilities:
  - i. To advise the research scholar to develop the study design and methodology of research.
  - ii. The research scholar shall present to the RAC the progress of her/his work for evaluation and further guidance as required.
  - iii. The six-monthly progress reports with the comments of the RAC shall be submitted to the SRC and DPO.
  - iv. In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to comply with these corrective measures and the progress is unsatisfactory second time in a row, the RAC may recommend to the DPO and SRC with specific reasons for cancellation of registration of the research scholar.
  - v. After completion of course work, the candidate has to present/defend her/his research proposal in front of RAC.
  - vi. The Pre-Ph.D. submission seminar has to be made before the RAC, which shall also be open to all faculty members & other research scholars.

## **12. RESEARCH SUPERVISOR/CO-SUPERVISOR**

- 12.1. A research supervisor shall be a faculty member of the University as defined in the Regulations. A faculty member of DSEU may agree to be a research supervisor provided:
- a. She/he has been awarded a Ph.D. degree from a recognized university/institution.
  - b. She/he is a full-time regular faculty of the university or faculty on deemed deputation in the University.
  - c. She/he has at least five (5) publications in SCIE/SCI/SSCI/Scopus/ESCI indexed journals.
- 12.2. Every admitted student shall be allocated a research supervisor(s) by the Ph.D. interview selection committee depending on research interest of the student and the availability of the vacant slot with the prospective Supervisor.
- 12.3. In case of interdisciplinary or collaborative work, a Co-Supervisor either from the university or any other recognized institution /industry/research organization may be allocated to the student by SRC.
- 12.4. Co-supervisor has to fulfil the minimum eligibility criteria as mentioned in clause 12.1 (a) & (c). However, if the Co-supervisor belongs to reputed industry/R&D organization, the eligibility criteria may be relaxed after the due approval of the Vice Chancellor on the recommendation of SRC.
- 12.5. For allocation of a Co-supervisor, a student should give a write up to justify the role and contribution of the Co-supervisor leading to provision of facilities and value addition to his/her research work. The write up shall be duly justified by both the Supervisor and the proposed Co-supervisor.
- 12.6. Allocation of Co-supervisor should be permitted by SRC only upto one year after date of final registration of the student in the PhD Programme. However, this time frame for allocation of Co-supervisor may be relaxed by the SRC in special cases when Supervisor goes on deputation / long leave due to any reasons /death / retires.
- 12.7. A research scholar may be allowed to have only one supervisor and one Co-Supervisor at any time during her/his research.
- 12.8. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) research scholars, respectively, at any given time.

12.9. A faculty member appointed as a research supervisor is normally expected to be available to the research scholar in the university till the viva-voce of her/his Ph.D. thesis work. Roles & responsibilities of research supervisor as follows:

- a. The research supervisor for a research scholar will supervise her/him in the research process.
- b. The research supervisor may recommend additional course work for the research scholar as per the requirements and within any stated constraints.
- c. The research supervisor shall assist in the formation of the RAC of the research scholar.
- d. The research supervisor will serve as the convener of the RAC of the research scholar. The research supervisor shall facilitate the RAC meeting and submit the evaluation form of each RAC meeting to the DPO office.
- e. It is mandatory for the research supervisor to attend all the seminars delivered by the research scholar at the University.
- f. The research supervisor will serve as the member of the evaluation committee across all stages of the Ph.D. process after the successful completion of the course work.
- g. The research supervisor shall ensure plagiarism check of all seminar documents submitted by the research scholar.
- h. At the time of submission of the thesis by the research scholar, the research supervisor needs to certify the purpose and originality of the work.

12.10 However, under unavoidable circumstances, such as a long leave of more than twelve months, a research supervisor may not be available to the scholar. In such special cases, the appointment of supervisor(s) shall be regulated as under:

- a. Where a co-supervisor exists, the supervisor proceeding on long leave for more than twelve months can continue the joint supervision. Where a Co-supervisor does not exist, the SRC shall appoint a Co-supervisor from the university in cases where a student has not yet submitted her/his thesis.
- b. Provided further, if a supervisor proceeds on leave for a period less than twelve months initially, but later extends her/his leave beyond twelve months, the clause 12.10(a) shall be followed.
- c. Provided, if the thesis is submitted before the supervisor proceeds on leave, she/he shall continue to be the supervisor.

12.11 In an exceptional situation like resignation, retirement, or death; an additional research supervisor shall be appointed by SRC.

- 12.12 The research supervisor will suggest the names and contact details of at least eight potential external examiners, in order of preference, for evaluation of the thesis submitted by the research scholar.
- 12.13 The research supervisor shall discuss the review comments received from the external examiners on the thesis submitted by the research scholar, and she/he shall assist the research scholar in responding to the comments and revising the thesis as required.
- 12.14 The research supervisor shall facilitate the administrative requirements of the research scholar (e.g., leave of absence, discontinuation, etc.) and other requirements (e.g., application for taking up teaching assignments, specific learning requirements, etc.).
- 12.15 In case there are any changes in the composition or functioning of RAC, or any changes with respect to progress or performance or evaluation requirements of the research scholar or any disciplinary actions recommended/ taken, the research supervisor should inform the SRC and DPO.
- 12.16 Counting of Seats for a Supervisor
- a. A full time/part time student shall be counted against one seat for the purpose of filling the prescribed number of seats registered with a Supervisor.
  - b. A student under Co-supervision shall be counted against half seat for the purpose of filling the prescribed number of seats registered with a Supervisor/Co-supervisor.
  - c. The seat under a supervisor shall fall vacant after thesis submission of a candidate.

### **13. COURSE WORK**

- 13.1 Each research scholar shall be required to take course work as prescribed by the Supervisor.
- 13.2 The credits requirement for the Ph.D. course work shall be:
- a. A minimum of 12 credits for scholars with an acquired master's degree in relevant discipline.
  - b. A minimum of 24 credits for scholars with an entry after a 4-year bachelor's degree.
  - c. A candidate seeking admission to computer applications program with MCA/MSc in the relevant discipline will have to undergo a course work of minimum 18 credits.

- d. The Course Work shall comprise of:
    - i. Three Compulsory Courses viz. Research Methodology (3 credits), Research and Publication Ethics (2 credits), and Seminar (1 credit).
    - ii. Directed Courses related to the broad research area of the student recommended by the supervisor.
  - e. UGC recognized online courses shall be considered as part of the credit requirements for the Ph.D. Programme.
- 13.3 All research scholars admitted to the Ph.D. program shall be required to complete the course work prescribed by the university during the first two semesters. However, the minimum duration to complete the course work could be one semester.
- 13.4 It is mandatory for the student to successfully complete the course work with minimum credit requirements within a period of maximum two years from the date of her/his provisional registration to be eligible for being a candidate failing which the registration of the student shall stand cancelled.
- 13.5 No exemption in course work shall be given to the candidates with M.Phil degree.
- 13.6 A research scholar has to obtain a minimum of 55% marks in each of the courses taken in order to be eligible to continue in the program and submit the thesis. If the marks obtained by any scholar in the prescribed course work are below the required marks, the research scholar has to take up additional courses to bring up the marks equal to or above 55% marks in each of the courses taken in order to be eligible to continue in the programme and submit the thesis.

#### **14. EVALUATION OF RESEARCH PROPOSAL**

- 14.1. An applicant having provisional registration and has successfully completed the course work shall be eligible to present her/his research proposal before the RAC and the RAC shall evaluate her/his broad field of research, academic preparation, and potential to carry out the proposed research.
- 14.2. On the basis of the content of the research proposal, the RAC may either recommend the case for approval of research proposal for final registration as a candidate to the SRC or may direct the student to revise the research proposal.
- 14.3. For approval of the research proposal student will be provided a maximum of two consecutive attempts immediately after the completion of her/his course work before the RAC. If RAC does not approve the research proposal in maximum two

attempts after completion of course work, the provisional registration of the student may be cancelled. Maximum duration to defend the research proposal shall not exceed 2.5 years from the date of provisional registration.

## **15. CONFIRMATION OF THE PH.D. REGISTRATION**

- 15.1 On the successful completion of the research proposal, the recommendation of the RAC shall be submitted to SRC.
- 15.2 The date of confirmation of Ph.D. registration shall be confirmed by the Dean Research/DPO on confirmation of registration by BRS.

## **16. PERFORMANCE MONITORING**

- 16.1 A research scholar shall appear before the RAC once in six months to make a presentation of the progress of her/his work for evaluation and further guidance.
- 16.2 In addition to the presentation, a six-monthly report will be submitted by the research scholar to RAC.
- 16.3 If the progress is 'unsatisfactory', the report must indicate 'Unsatisfactory Progress' and must include appropriate action to be taken in this regard. For the first appearance of 'Unsatisfactory Progress' report, a warning will be issued to the research scholar by RAC and in case an applicant is availing any fellowship, her/his fellowship shall be withheld.
- 16.4 If there are two consecutive 'Unsatisfactory Progress' reports, the registration may stand terminated on the recommendation of RAC followed by SRC and approval of the Vice Chancellor.
- 16.5 Progress report presentation and submission of progress report in each semester shall continue till the Pre-Ph.D. seminar.

## **17. MINIMUM AND MAXIMUM REGISTRATION PERIOD**

The duration of the Ph.D. program shall be for a minimum period of three years and a maximum period of six years from the date of provisional registration.

- 17.1 In exceptional cases, the Vice Chancellor on the recommendation of the RAC, SRC, and Dean Research, may grant a relaxation up to a maximum of two year in the maximum duration for the submission of thesis on the basis of six-monthly progress report. 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.



17.2 Women and PwBD (having more than 40% disability) candidates shall be allowed a relaxation on a six-monthly basis up to an additional relaxation of two (2) years by the Vice Chancellor on the recommendation of the RAC, SRC, and Dean Research. 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.

## **18. PRE-PH.D. SUBMISSION SEMINAR**

On completion of the research work, every research scholar shall give a Pre-Ph.D. submission seminar before the RAC. The seminar shall be open to all faculty members and other scholars.

18.1 The research scholar shall prepare a synopsis of the thesis work focused on the research questions/research gaps, data collection, analysis, research findings and the discussions.

18.2 The synopsis will be shared by the scholar at least two weeks prior to the proposed date of the Pre-Ph.D. Seminar to the DPO and all the members of RAC.

18.3 The feedback and comments (including the final title of the thesis) obtained from the RAC may be suitably incorporated in the draft thesis.

18.4 If the research results of the thesis constitute new possible things for the protection of intellectual property rights (IPRs), the Ph.D. candidate and supervisor shall inform the university or the RAC about the matter. In this case, the Ph.D. candidate, with the consent of the supervisor, may request that the submitted thesis be treated discreetly before the thesis is submitted for assessment, until the defence/viva-voce.

18.5 The IPR Cell or the competent body of the university designated for the purpose shall conduct the procedure for legal and commercial protection of research results, in accordance with the relevant regulations. In this case, the public defence can be extended in agreement with the Ph.D. candidate, for a maximum duration of one year, starting on the day of the procedure of evaluation of the thesis. Request for extension of defence/viva-voce must accompany the certificate of the technology transfer from the competent authority.

## **19. Ph.D. THESIS SUBMISSION**

The research scholar shall submit her/his thesis along with the synopsis within three months from the date of Pre-Ph.D. submission seminar.

- 19.1 However, in case a research scholar fails to submit her/his thesis within the stipulated time and has suitable justification for the same, SRC may grant her/him extension of time by not more than three months based on individual merits of each case.
- 19.2 The research scholar may be allowed to submit her/his thesis within a period not exceeding six months, otherwise, she/he shall have to reappear in the Pre-Ph.D. submission seminar.
- 19.3 The thesis shall be written in English in the specified format and shall contain a critical account of the research which should be characterized by the discovery of facts or a fresh interpretation of the facts and theories or significant original contribution to the advancement of knowledge or a combination of these.
- 19.4 It should also bear evidence of the research scholar's analytical ability to carry out an independent investigation, design, or development.
- 19.5 A research scholar may submit her/his thesis within the stipulated time as per clause 17, provided that:
  - a. She/he has successfully completed the required course work and evaluation of research proposal as specified in the regulations.
  - b. The research scholar has published at least three papers in the refereed journals of repute out of which at least two papers must be in SCI/SCIE/SSCI/Scopus indexed journals and produced the evidence in the form of published article/acceptance letter.
  - c. The research scholar should also have the evidence of presentation of two research papers in national/international conferences.
  - d. The research scholar should publish at least two first author research papers.
  - e. An Indian/US/UK patent granted shall be considered equivalent to one SCI/SCIE/SSCI indexed journal publication.
  - f. The research scholar shall submit three copies of the thesis with a soft cover along with the soft copy as a single pdf file for evaluation.
  - g. In case of issues related to Intellectual Property Rights, necessary patents shall be filed before disclosure in the Pre-Ph.D. submission seminar.
  - h. Each thesis shall go through a plagiarism check that shall be verified by the concerned supervisor(s) before thesis submission. In case the extent of plagiarism is more than 10%, the research scholar may need to rework

and resubmit the thesis. The thesis shall be submitted together with an originality report produced by the anti-plagiarism software application.

- i. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate of verification by the concerned 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. This has to be submitted along with the thesis at the time of thesis submission to the Dean Research. An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher.
- j. The research scholar may incorporate in the thesis the contents of any work published by her/him on the subject during the course of Ph.D. and shall indicate the same in the thesis. If any content of the published work authored by multiple authors has been incorporated in the thesis of one of the authors, then the same content cannot be included by any of the other co-authors for the award of any degree. In this regard, a concurrence from all the co-authors shall also be taken before the submission of the thesis.
- k. Regarding Self Plagiarism or cases where published work of the student is shown as Plagiarism in the check, a certificate (Plagiarism Self Exclusion Certificate) has to be issued by the supervisor specifying and attaching the articles that have been published by the student from thesis work. Only these articles should be excluded from the check. No other article of the supervisor or the student should be excluded from the check. The exclusion at the time of performing the check should be limited to the following:
  - 1) Quotes
  - 2) Bibliography
  - 3) Phrases
  - 4) Small matches upto 14 words
  - 5) Small similarity less than 1%
  - 6) Mathematical Formula

7) Name of Institutions, Departments etc

8) Own published work

1. The research scholar shall also submit a scholar approval form in the prescribed format for hosting and distributing their thesis in digital format in 'Shodhganga', or any other platform designated for this purpose by the UGC.

## **20. APPOINTMENT OF EXAMINERS**

20.1. Upon successful completion of Pre-Ph.D. seminar and submission of synopsis (five copies)/the Ph.D. thesis (three copies) by the research scholar, the supervisor shall propose a panel of examiners to the Controller of the Examination.

- a. The list shall include eight external examiners.
- b. The examiners identified in the list should be from the institutions of repute, have a proven record of research in the said domain and should be cited in the thesis. Examiners could be experts from across the country or outside the country.

20.2. A person working in the same laboratory/Institution(s) where the research scholar is employed cannot be appointed as external examiner for evaluating the thesis of that research scholar. Further, no person can be appointed as external examiner from Laboratory/Institution to which one of the supervisor(s) of the research scholar belongs.

20.3. On receipt of all the documents from the scholar, the Dean Research shall forward the same to the Controller of Examination.

20.4. In the panel of the prospective examiners, the detail of each of them along with her/his full name, exact designation, area of research/expertise, name of Department/Laboratory, name of University/Organization with complete postal address, email ID, landline and/or mobile number shall be provided in the prescribed proforma.

## **21. Ph.D. THESIS EVALUATION**

21.1. It would be the prerogative of the Vice Chancellor to appoint two examiners, choosing from the panel of examiners given by the Controller of Examination.

21.2. The Controller of Examinations shall ensure all communication with the examiners viz. requesting for their consent to be Ph.D. examiners, sending both

hard copy as well as soft copy of the Ph.D. thesis for evaluation, and receiving the report(s) of the examiners, by postal mail as well as through email.

- 21.3. A period of 1 to 4 months is to be permitted to external examiner for the evaluation.
- 21.4. The examiners may recommend for
  - a. Conducting Ph.D. viva-voce for the award of Ph.D. degree; or
  - b. Conducting Ph.D. viva-voce for the award of Ph.D. degree subject to corrections/revisions being made in consultation with the supervisor before viva voce; or
  - c. Re-submission of the thesis within twelve months; or
  - d. Rejection of the thesis
- 21.5. The open viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation reports of both the examiners on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination.
- 21.6. If the evaluation report of only one of the examiners is satisfactory, recommending for the viva-voce examination and the report of another examiner is unsatisfactory and does not recommend viva-voce, the university shall send the thesis to the third examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the third examiner is satisfactory. If the report of the third examiner is also unsatisfactory, the thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree.
- 21.7. If the evaluation report of both the examiners is unsatisfactory and does not recommend viva-voce, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 21.8. The Controller of Examinations shall forward the reports of all the examiners to the Dean of the respective School. The Dean of the concerned School shall recommend an appropriate course of action as per clause 21.4 for the approval of the Vice Chancellor. The Dean of the concerned School shall also communicate the copy of the reports of all examiners to the concerned supervisor. Anonymous reports of the examiners, if recommended for revision(s), shall be shared with the research scholar and the revised thesis may be submitted within three to six months from the date of communication by the Dean.
- 21.9. After receiving the satisfactory evaluation reports, a research scholar shall be required to appear in the viva-voce examination before the internal examiner and

the external examiner nominated by the Vice Chancellor. The Controller of Examination shall organize the viva-voce examination.

- 21.10. The open viva-voce examination may also be conducted through video conferencing, if necessary,
- 21.11. The viva-voce examination shall be open to the members of the SRC, all faculty members of the department, and research scholars. Other interested experts/researchers may also attend the same.
- 21.12. If the thesis has undergone revision after external evaluation, the soft copies of the final version of the Ph.D. thesis, after revision, must be re-submitted to the DPO. In order to ensure that the soft copy is complete and is an exact replica of the print version (accepted for the award of Ph.D.), the supervisor shall authenticate the soft copy submitted by the scholar.
- 21.13. The university shall develop appropriate methods to complete the entire process of evaluation of the Ph.D. thesis within a period of six months from the date of submission of the thesis.
- 21.14. The examiners appointed shall conduct the open viva-voce and shall recommend to the Dean Research, one of the following courses of action:
  - a) That the Ph.D. degree be awarded
  - b) That the research scholar be re-examined at a later specified time in a specified manner
  - c) That the Ph.D. degree shall not be awarded

In case of (a) and (b), the examiners shall also provide to the research scholar a list of all corrections and modifications in the thesis (if required) including suggestions made by the examiners during the thesis evaluation. In the case of (c), the reason must be recorded in detail.

- 21.15. The report in the prescribed format and duly signed by the examiner(s) shall be put in a sealed envelope along with an attendance sheet and copy of notifications, all of which shall be submitted to the Controller of Examinations through the Dean of respective School.

## **22. AWARD OF THE PH.D. DEGREE**

- 22.1 The Ph.D. Degree shall be awarded by the university provided that:
  - a. The examiner appointed for viva-voce so recommends; and
  - b. The research scholar produces a 'No Dues Certificate'; and

- c. The research scholar has submitted three hardcover copies of the thesis; one for the departmental library, one for the central library & one for supervisor, after incorporation of all necessary corrections/ modifications; and
  - d. The research scholar has submitted one soft copy of the thesis form after incorporation of all necessary corrections/modifications.
- 22.2 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 the UGC Regulations.
- 22.3 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the university shall submit an electronic copy of the Ph.D. thesis to the Shodhganga/ Institutional Electronic archive, for hosting the same to make it accessible to all Institutions/Colleges.

### **23 TEACHING-CUM-RESEARCH FELLOWSHIP AND GRANTS**

- 23.1 The number & amount of Teaching-cum-Research Fellowships instituted by the University for the full time research scholars, shall be decided by the Vice Chancellor in consultation with the Dean Research/Chairperson DPO.
- 23.2 The full time research scholars may avail JRF/SRF/GATE fellowship, as per UGC/AICTE guidelines.
- 23.3 A candidate can avail only one fellowship/ financial assistance at a given point of time. The fellowship is provided only in case candidate is not receiving any financial assistance from any other sources.
- 23.4 The award of fellowship shall be reviewed every semester. Continuation of the fellowship is subject to satisfactory research performance and satisfactory academic performance in the discharge of responsibilities assigned to the research scholar.
- 23.5 The duration of the fellowship is three years and shall be extended for a maximum period of one year by the Vice Chancellor.
- 23.6 The admission to the program and award of fellowship are not linked. Admission to any program does not guarantee the award of the fellowship.
- 23.7 The fellowship shall be paid on a monthly basis. The research scholar with fellowship would be expected to contribute 8 hours per week to the university through designated teaching assistance, laboratory, assignments, and other work of academic nature and requirement.

23.8 Travel and contingency grants will be allowed to the scholars as per the University norms

#### **24. FEE**

Fees shall be decided by the university and shall be notified in the university prospectus/ Information Bulletin at the time of admissions. Unless prescribed otherwise, a full fee shall be charged from the candidate on an annual basis till the submission of the Ph.D. thesis.

#### **25. CANCELLATION OF PH.D. REGISTRATION**

Registration of a research scholar shall be cancelled in any one of the following conditions after due approval of the Vice Chancellor:

- a. If she/he resigns from the Ph.D. Programme
- b. If she/he fails to renew her/his registration in any year subject to the provisions contained in the regulations.
- c. If she/he is absent for a continuous period of four weeks without sanction of leave.
- d. If the registration is not confirmed.
- e. If she/he fails to appear for 2 consecutive progress reviews without seeking prior approval of the RAC.
- f. If her/his academic progress is found unsatisfactory in terms of clause 16.
- g. If she/he fails to submit the Ph.D. thesis in a stipulated time as per clause 17.
- h. If she/he is found involved in an act of misconduct and/or indiscipline and termination is recommended by a supervisor/competent authority.

#### **26. TRANSFER OF CREDITS**

In case a student has successfully completed her course work from any other recognized university / institute and wishes to migrate to DSEU under an approved supervisor of DSEU, she/he shall be required to fulfil the minimum eligibility & clear the selection process as prescribed in clause 4 & 6. The transfer of course credits may be allowed, on the recommendation of the SRC after due verification of her marksheet/ credits earned. The time span between completion of earlier course work and when the candidate has applied for course work exemption at DSEU should not be more than five years for transfer of course credits.

#### **27. GENERAL**



Notwithstanding anything contained in these regulations, as given above, all criteria including eligibility criteria/guidelines prescribed and/or issued by Board of Management of DSEU and/or UGC from time to time, shall be applicable for the Ph.D. program(s) of the University.

## **28. INTERPRETATION**

Any case of doubt or dispute arising about the interpretation of these regulations, or anything not contained in these regulations, shall be referred to the Vice Chancellor whose decision shall be final.