

ORDINANCES OF UNITED UNIVERSITY, PRAYAGRAJ

(As on 01.06.2023)

PRELIMINARIES

- (a) These “Ordinances” shall be known as the Ordinances of the United University, Prayagraj, established in 2021, according to the Uttar Pradesh Universities (Amendment) Act, 2021 (UP Act No.17 of 2021) dated 24th August 2021.
- (b) These Ordinances will include Academic Ordinances, Service Ordinances and Ordinances related to Discipline and Conduct of Students.
- (c) The Rules under the Academic Ordinances shall be applicable for all the regular Programs offered by the University and any matter relating and incidental thereto.
- (d) The Rules under the Service Ordinances shall be applicable to all the regular employees of the University.
- (e) The Rules under the Ordinances related to Discipline and Conduct of Students shall be applicable to all the bonafide students of the University.
- (f) They shall come into force with immediate effect after their formulation by the Executive Council (EC), approved by the Governing Body.
- (g) Subject to the provisions of the Act and Statutes, the Ordinances shall be made, revised, amended by the EC as deem fit.
- (h) The provisions of the Rules under these Ordinances will prevail over all Orders, Codes, Manuals, Circulars, Memos, Procedures, Policies, Schemes and such other documents of the University.
- (i) Unless the context otherwise requires, any abbreviation or shortened form of a word shall represent and mean exactly that word as defined in the Act, the Statutes, the Ordinances and the Regulations.
- (j) “Clause”/“Sub-clause” Means duly numbered Clause/Sub-clause of the Ordinances.
- (k) “He” includes “She” and “His/Him” includes “Her”.

ORDINANCE-1
ACADEMIC ORDINANCES

1. Definitions

- (a) “Faculty Advisor” means a faculty member assigned the task to provide Program-specific and Course-specific information to students and to advise them on the selection of suitable courses.
- (b) “Class” means a specific group of students meeting for specific instructional purposes. It shall also refer to the meeting itself for a lecture, a tutorial or a practical.
- (c) “Continuing Student” means a student who has registered in one or more courses in a particular program being run at the University.
- (d) “Program” means an area of study leading to the conferment or award of a degree, diploma, certificate, or any other academic distinction or title of the University.
- (e) “Program Detail” means Scheme of Courses that constitutes a Program.
- (f) “Course” means a subject offered as a unit of studies within an Academic Program.
- (g) “Course Detail” means detailed syllabus of a course and its LTP (Lecture-Tutorial-Practical per week) structure.
- (h) “LTP” means Lectures, Tutorials and Practical (Laboratory) hours of a course per week in a regular term.
- (i) “Lecture” means a class in which a designated teacher delivers lecture on the theoretical concepts of a particular course to a group of students.
- (j) “Tutorial” means a class that offers students (generally in smaller groups compared to lectures classes) the opportunity to talk about material being taught, ask questions, and discuss material with their classmates and a designated tutor.
- (k) “Practical” means classes that require students (generally in smaller groups compared to lecture) to perform certain functions that help them to test and understand what is being taught in the lecture or otherwise.
- (l) “Pre-requisites” means conditions that must be met before a student can register for a course. Pre-requisites can include other courses or a specific skill level (e.g., a minimum grade in a specific course).
- (m) “Scheme” means the courses of the Program, their sequencing, their pre-requisites, and their nature whether they are compulsory or optional.
- (n) “Scheme and Curriculum” means and includes description of nature, duration, pedagogy, syllabus, and such related details for a Program.
- (o) “MTE” means Mid-Term Examination.
- (p) “ETE” means End-Term Examination.
- (q) “Roll Number” means a unique number allotted to a student after completion of all admission formalities in a particular Program. Roll number of a student remains unchanged throughout the duration of his enrolment in a particular program at the University. A student will not be considered as a bonafide student of a Term, if the Roll Number of the student has not been validated.
- (r) “Fresher” means a student who registers for the first time at the University in any program.

- (s) “Disciplinary Probation” refers to the status assigned to a student under punishment for having committed some act(s) of indiscipline, academic or otherwise and once assigned, the student remains on Disciplinary Probation for the period decided by the Proctorial Board.
- (t) “Suspension” by the University means withdrawal of the right of access to all or some of the premises or facilities of the University from students where action is taken as an interim measure pending further investigation
- (u) “Rustication of students” by the University means the withdrawal of the right of access to all premises and facilities of the University for a specified period and/or till the fulfillment of certain conditions.
- (v) “Expulsion of a student” by the University means his permanent removal from the University rolls with prohibition from future enrolment.

2. Courses of Studies

The courses of studies at the United University shall be:

- (i) Four-year Bachelor’s Degree Programs in Engineering, Pharmacy, Design, Agriculture and Hotel Management.
- (ii) Five Year Degree Programme in Medical Science.
- (iii) Three-year Bachelor’s Degree Programs under lateral entry schemes in Engineering and Pharmacy.
- (iv) Three-year Bachelor’s Degree Program in Business Administration, Commerce, Computer Applications, Sciences and Humanities.
- (v) Two- year Bachelor’s in Education.
- (vi) Two-year Master Degree Course in Computer Applications.
- (vii) Two-year Master’s Degree Programs in Business Administration, Engineering, Pharmacy, Commerce, Science and Humanities.
- (viii) Three-year Master’s Degree / Diploma Programs in Medical Science.
- (ix) Five-year Bachelor’s Degree Programmes in Architecture.
- (x) Five-year Bachelor’s (Honours) Degree Programmes in Law.
- (xi) Five-year Bachelor’s Degree Programmes in Law.
- (xii) Three year Bachelor’s Degree Programmes in Law.
- (xiii) Fiver-year Integrated Master’s Degree Program in Management.
- (xiv) Three-year part-time Master’s Degree Programs in Engineering.
- (xv) Three-year Diploma in Engineering
- (xvi) Two-year Diploma in Engineering under lateral entry scheme.
- (xvii) Two-year Diploma in Pharmacy.
- (xviii) Two-year Diploma in Hotel Management
- (xix) One Year Certificate Programme.
- (xx) One-year and Two Year Postgraduate programme in Law.

Also, Full-Time & Part-Time Doctoral Programs in Medical Science, Engineering, Technology, Management, Pharmacy, Applied Sciences, Humanities and Social Sciences, Education and Law. Dual Degree Programs.

3. Eligibility Criteria for Admission

Admissions to various programmes will be made as per the guidelines given by the Regulatory bodies from time to time. This will be published on the Web Site every year and also in the brochure.

4. Selection Process

- (a) Admission of students shall be done on the basis of merit providing equal opportunity to all without any discrimination on the basis of gender, religion, caste or creed. However, the University shall make provisions for reservations in admission of students of the weaker section of the society, student having excelled in sports and persons with disabilities in accordance with the guidelines of the UGC/ Regulatory Bodies or as per the provisions made by the University.
- (b) Applications for admission to various Programs of studies shall be invited through advertisement in regional & national newspapers, university web site and other electronic media.
- (c) Selection for admission shall be made for a particular Program on the basis of merit to be decided either through competitive examination or marks obtained in qualifying examinations as applicable or both and/ or personal interview/ personal interview+ group discussion, wherever applicable, to be decided by the University from time to time.
- (d) Every student selected for admission in first year of a Program shall fill Admission Form along with Form for Hostel Accommodation/ Availing Transport Facility arranged by the University. He shall submit all essentially required documents for Admission along with notarized Affidavits/ Undertakings from self and parent/ legal guardian, as specified.
- (e) Initially Provisional Admission will be given to all the students till the completion of all the admission formalities and verification of the credentials.
- (f) Regular Admission will be given only after submission of medical fitness Certificate in the prescribed format available on the university website, deposition of prescribed fees and other admission formalities.
- (g) If the deficiency is not removed or the required formalities are not completed by the prescribed date as notified in the university website, the Provisional Admission shall stand cancelled.
- (h) Hostel Accommodation/Transport Facility (if available) will be provided to the admitted students either on provisional or regular basis as the case may be.

5. Fee Structure

- (a) A fee structure shall be established for different Program concomitant with the objectives of the University to provide quality education.
- (b) The Academic fees chargeable from students for various Programs of studies shall be recommended by the Fee Committee and approved by the Executive Council. The fee revision, if any, shall be notified by the University. Fee once revised shall be applicable to all the newly enrolled students, provided it shall be done only at the beginning of the academic year.
- (c) The fee structure approved by Executive Council will be published on the University Website and admission brochure every year.

6. Syllabi & Scheme of Examinations

- (a) The subjects and the course contents for every Program shall be followed as approved by the Executive Council on the recommendations of Academic Council. For each Degree/Diploma Program, there will be a separate Board of Studies which will prepare the detailed syllabi and schemes of examinations and forward the recommendation to the Academic Council.
- (b) Details of Curriculum of UG & PG Programs will be published as approved by the University. The University shall follow semester in the courses as decided/adopted by the University.
- (c) The University follows Choice Based Credit System (CBCS) except for the courses where Regulatory Bodies suggest otherwise. The prominent features of Choice Based Credit System are process of continuous evaluation of student's performance and flexibility to allow a student to progress at an optimum pace suited to his ability or convenience to fulfill the requirement of the minimum credits earned for continuation in the Program of study.

7. Medium of Instruction and Examination

In all the Academic Programs, the medium of instruction and examination shall be English.

8. Tenures of Courses

The maximum period in which a student will be allowed to complete his degree/ diploma requirements is as follows:

For Doctoral Programs	- Six Years
For 5-year Degree Programs	- Eight Years
For 4-year Degree Programs	- Seven Years
For 3-year Degree/Diploma Programs	- Five Years
For 2-year Degree/Diploma Programs	- Four Years
For 1-year Degree/Diploma Programs	- Two Years

Note: However if the Regulatory body gives direction otherwise, the University will follow the same.

9. Academic Session, Academic Calendar and Academic Load

Academic Session

In Semester System, the academic session of the University is divided into three parts: two regular semesters termed as Odd and Even Semesters and a Summer Term. The two regular Semesters (Odd and Even) are normally of eighteen weeks duration whereas Summer Term is approximately of nine weeks duration.

Academic Calendar

The exact dates of all the important events, such as orientation, registration, late registration, commencement of classes, adding and dropping of courses, submission of documents, examinations, submissions of grades, conversion of I-grades, vacation, mid-semester recess, etc., during the Academic Session are specified in the Academic Calendar of the University, approved by the Executive Council on the recommendation of the Academic Council.

Academic Load

Each course carries a weightage in terms of credits depending upon the academic load which, in turn, is determined by the number of contact hours (lectures and tutorials), laboratory hours (if applicable) and additional hours that a student is expected to devote per week. Under CBCS Scheme, the student is expected to register for such number of credits or subjects as specified in CBCS regulations framed and adopted by the University.

A student may, however, be permitted by Dean Academic Affairs as recommended by the HOD of the concerned Department to take an extra course to (i) clear backlogs, or (ii) improve Grade Point Average, if it is required to meet the minimum academic requirements.

The university may allow change of branch in third semester subject to the availability of seats in specific branches, satisfying minimum CPI requirement and pre-requisite fulfilment as decided by the Academic Council from time to time.

If any student is seeking transfer in any semester of any course from some other institute/university, the credits earned by him in the earlier institute/ university may be transferred as per the provisions of the regulatory authorities.

For B Sc (NURSING), GNM & MBBS courses, all conditions as per regulatory body's provision will be followed.

10. Registration

All students are required to register in each semester/ summer term, if any, for the courses to be pursued by them, as per the Program, on the dates specified in the Academic Calendar.

The sole responsibility for the registration in time as specified in academic calendar in a semester/ summer term will be of the student concerned only.

Registration Procedure

The registration procedure shall involve:

- (a) Online/ offline filling of the registration form mentioning the courses to be credited in the year semester/ summer term, if any
- (b) Payment of fees and clearance of outstanding dues (if any).

The candidate admitted to the University in his first year in any Program is required to submit documents of having passed the qualifying examination by the last date given in the Academic Calendar to get his registration regularized. The students of the University whose results have not been declared and are seeking registration in other semesters/ summer term shall be admitted only provisionally. However, they shall have to fulfil all the requirements of registration after the results are declared on or before the last date prescribed by the University, failing his provisional registration will stand cancelled.

Late Registration: If for any compelling reason like illness etc., a student is unable to register on the day of registration, he can register by the last date of registration specified in the academic calendar on payment of the late registration fee.

Cancellation of Registration: Unauthorised absence for a period of three/ two or more weeks at a stretch during a year or semester / summer term, respectively, shall result in automatic cancellation of the registration of a student from all the courses in that semester/ summer term.

Summer Term Registration: A list of courses to be offered in the Summer Term shall be brought out by the Office of Dean Academic Affairs, towards the end of the academic year (before the date of declaration of results) or by the date as specified in the Academic Calendar.

Students shall have to register for these courses at the beginning of the Summer Term on the advice of their Academic Advisors. However, this facility is not available to students not registered for the subjects earlier in a semester. Late Registration in summer term is not permitted.

There will be sufficient number of theory, tutorial and laboratory classes in Summer Term as prescribed by the Board of Studies of concerned Department for certain subjects/year(s) of study in a Program, for which the process of evaluation will one mid semester examination of 30 marks and end semester examination of 50 marks. Teacher assessment marks will be the same as was awarded in regular semester.

Students who have any subject backlog in regular session will have an opportunity appear in summer semester as per following system:

Students who appeared/were allowed to appear in final exam but failed the subject – Can register for summer exam by paying fee as prescribed from time to time and straightaway appear for the exam. If they also wish to attend classes, they can pay total fee as prescribed from time to time and do so.

Students who were debarred due to shortage of attendance (if attendance in the subject is between 40% and 75%) – Can register in summer semester by paying as prescribed from time to time per subject, will have to attend classes for 5-6 weeks and appear for mid-term and final exam during summer semester.

A student can appear for a maximum of 16 Credits during summer semester.

Attendance requirement for appearing in mid/ End summer semester examinations will be similar to normal semesters.

11. Performance Evaluation

- (a) Courses: Performance Evaluation of the students in a course/ subject shall be a continuous process based on their performance in the mid-semester examinations, quizzes, short tests, assignments, and the annual/end-semester examinations.
 - (i) Theory Courses in Semester System

For courses based on Semester System, the evaluation will be done through mid-semester examination and one end-semester examination. This will be in addition to quizzes, assignments, class participation, etc. The mid-semester examination will carry a weightage of 30% marks, and the end-semester examination will carry a weightage of 50% marks. The remaining 15% marks will be awarded by teacher for performance in quizzes, presentations and assignments etc. to be devised by the department/teacher and 5% will be given for the attendance as per laid down criteria.

(ii) Laboratory Courses

In each laboratory course, the student will be required to carry out the number of experiments as specified in the course. Each laboratory class/ practical conducted will be assessed by the course instructor based on the work done during the class, submission of the report, and understanding of the work done.

There may be an examination at the end of semester/ summer term with or without an additional/external examiner. The total marks at the end of the semester will be sum of the marks awarded in all the experiments conducted which will be awarded out of 100marks.

The students have to perform all prescribed experiments (up to minimum 10). The continuous evaluation during semester shall be of 50% marks. The End Term practical examination shall be of three hours of 50% marks.

(b) Summer Training, Project, Seminar etc.

Summer Training, Project, Seminar, and other learning oriented activities shall have associated credits as stated in the Program details.

(c) Attendance requirement

Since all the courses are professional in nature, it is therefore obligatory on the part of the student to attend each and every Lecture, Tutorial, and Laboratory class in a course. However, on account of late registration or illness or any other contingencies, ***the attendance requirement will be a minimum of 75% for appearing in Mid-Term, and End-Term Examination, of the classes scheduled/held.***

Examination	Attendance Requirement	Course Coverage	Remarks
Mid Term I	75%	Minimum 40% of Syllabus	
Mid Term II	75%	Minimum 80% of Syllabus	course covered after Mid Term
Make Up	75%	Full Syllabus	To be held after 100% course covered
End Term	75%	Full Syllabus	7 days Preparation leave

Make-up test/Improvement

- Attendance Criteria – 75% (can appear if he has missed 1st or 2nd mid-term examination on genuine medical or any other unforeseen emergent circumstances).

Final Exam

- Students with attendance between 40% and 75% will be debarred from appearing in final exam but will get an opportunity to appear for the subject in summer semester
- Students with attendance less than 40% in a particular subject will be barred from final examination and will not be allowed in summer semester as well (fail status)

Attendance will be tabulated as per following criteria:

- Overall Attendance (all theory and labs combined) above 75% - Allowed to appear for all papers
- Overall Attendance below 75% - Will be treated subject wise:
 - *For subjects with attendance above 75% - Will be allowed to appear in Make-up and Final Exam*
 - *For Subjects with Attendance between 40% and 75% - Will be allowed to appear in summer semester*
 - *For Subjects with attendance below 40% - Will be considered fail in the subject and will have to attend classes and reappear in future corresponding semesters*

However, in extraordinary case the requirement of attendance can be further relaxed by 10% by the Academic Council for genuine cases with proper documentation.

(d) Credits and Grade System

All courses, except non-credit courses, shall have credits associated with them as per their LTP Structure which shall be determined as follows:

- (i) One lecture hour per week per semester shall be assigned one credit.
- (ii) One tutorial/ practical hour per week shall be assigned half credit.

However, the credits associated with every course will be a whole number, i.e., wherever the sum comes out to be in half credit on calculation following the aforesaid process, the half shall be rounded off to the next whole number.

Students admitted in the programs shall be awarded letter grades 'P' and above provided they have secured at least 30% marks in end-semester/ summer semester examinations. The final grades shall be based upon their performance in examinations (80% marks) and work carried out during the semester/summer term in the form of assignments, presentations, quizzes etc., the details of which will be worked out by the respective faculty member (20% marks). The letter grades based upon the overall marks obtained in a course shall be as follows:

S. No.	Marks (out of 100)	Letter Grade	Description	Grade Point
1.	91–100	O	Outstanding	10

2.	81– 90	A+	Excellent	9
3.	71– 80	A	Very Good	8
4.	61– 70	B+	Good	7
5.	51– 60	B	Average	6
6.	50 ^a	C ^a	Pass ^a	5 ^a
7.	41–50 ^b	C ^b	Adequate ^b	5 ^b
8.	40 ^b	P ^b	Pass ^b	4 ^b
9.	<50 ^a	F ^a	Fail ^a	0 ^a
10.	<40 ^b	F ^b	Fail ^b	0 ^b

a=for practical subject only;

b = for theory subject only

Students obtaining ‘F’ grades will be required to register (with fee) and repeat or substitute theory and/or practical subjects in summer term or as and when offered.

(e) ‘S’ and ‘U’ Grades

A student may be awarded ‘S’ or ‘U’ grade in the Project/ Dissertation/Thesis based upon his satisfactory or unsatisfactory performance before the Committee constituted for the evaluation of work carried out by the students at various intervals during the academic year as per the evaluation scheme of the programme.

(f) Change of Grade Already Awarded

A letter grade once awarded shall not be changed unless a representation is made by either the student or the faculty who taught that course to the Dean-Academic Affairs through the HOD. All such cases will be considered by the Dean-Academic Affairs who will recommend the change of grade(s), if any, specifying the reasons for the same to the Vice-Chancellor. The Vice-Chancellor will consider the recommendations on their merit and take a decision.

(g) Challenge Evaluation

The provision of re-evaluation of answer scripts after declaration of results as a mechanism for redressal of grievance of a student with reference to evaluation. The request of students for challenge evaluation shall be considered by a Committee constituted by the Vice-Chancellor.

12. Conduct of Examinations and use of Unfair Means (UFM) and/ or Misconduct during Examinations

The Central / Departmental Examination Committee shall appoint requisite number of Centre Superintendents and Assistant Centre Superintendents for proper conduct of all examinations. The Examination Committee/ Centre Superintendents in consultation with the respective Head of the Departments will assign flying squad/ invigilation duties to faculty members in requisite number to ensure fair and smooth conduct of examination as per the set rules.

Any student observed not focusing on working on his answer sheet shall be duly warned. An entry of the act shall be made in the answer sheet/ booklet, if a student is found to possess smart phone/ mobile phone/ electronic gadget or using unfair means or engaging in misconduct with the Invigilator(s). Intimation of the happening shall be given to Centre Superintendent directly or through Flying Squad, who may permit that student to continue to write the examination, after completion of the necessary formalities.

After the examinations are over, the Committee constituted to look into cases of unfair means and misconduct during examinations will consider the student's intention as well as behaviour. After examining the facts of the case and statement of the student and the concerned invigilator, the committee shall recommend suitable punishment which may be from a minimum of declaring the student to have failed in that one particular examination to declaring him as having failed in that entire semester/ summer term. The intensity of punishment shall increase with repeat occurrence of UFM/ Misconduct by the same examinee. The Vice-Chancellor will consider the recommendations of the Examination Committee and take a decision.

The student held guilty of using UFM/ Misconduct during any examination of a subject shall be awarded only grade 'P' in theory and 'C' in practical whenever declared pass in the subject and will not be permitted to repeat this subject to improve his grade in the subject.

13. Semester Performance Index(SPI):

The SPI shall be a weighted average of the grade points earned by a student in all the courses he registered for in a semester and describe his overall performance in that semester. If the grade points associated with the letter grades awarded to a student are g_1, g_2, g_3, g_k etc. and the corresponding credits are c_1, c_2, c_3, c_k , the SPI shall be given by:

$$SPI = \frac{c_1g_1 + c_2g_2 + c_3g_3 + \dots + c_kg_k}{c_1 + c_2 + c_3 + \dots + c_k} = \frac{\sum_{i=1}^k c_i g_i}{\sum_{i=1}^k c_i}$$

14. Cumulative Performance Index(CPI)

The Cumulative Performance Index (CPI) shall indicate the overall academic performance of a student in all the courses registered up to and including the latest completed semester/ summer term. It shall be computed in the same manner as the SPI, considering all the courses (say, n), and shall be given by.

$$CPI = \frac{\sum_{i=1}^n c_i g_i}{\sum_{i=1}^n c_i} = \frac{\sum_{j=1}^m TC_j(SPI)}{\sum_{j=1}^m TC_j}$$

Where TC_j is total credits of j semesters, and m is number of semesters completed.

Whenever a student is permitted to repeat or substitute a course, the new letter grade, if better, obtained shall replace the old letter grade in the computation of CPI.

For courses under CBCS scheme, all the courses in which a student registers in a semester, excluding those in which the student gets an F grade will be considered while calculating the

SPI/CPI. The SPI/CPI shall indicate the overall academic performance in the courses cleared up to that semester.

15. Grade Report Card

The Grade Report Card may be issued to each student at the end of each academic year. The duplicate copy of the Grade Report Card or the Transcript Card, if required can be obtained on payment of prescribed fee.

16. With holding Grade Report Card

The Grade Report Card of a student may be withheld if he has not paid his dues or if there is a case of indiscipline pending against him or for any other such reasons.

17. Promotion to Subsequent Year of Study

- (a) Promotion to subsequent year shall be made as mentioned below:
“A student must obtain 50% credits offered during that academic year with a minimum of 5.5 CPI to get promoted to next year. However if anyone is debarred from the complete semester, he/ she will not be promoted.”
- (i) A student with F Grade has to repeat the relevant subjects in the summer term to clear them with improvement in his CPI to move into next year of study. If it is perceived that it will not be sufficient to attain the desired result/CPI, the student may be allowed to repeat one or more subjects (with C and/or P grades) by the HOD/ Dean-Academic. Affairs so that he may attain the desired CPI to move into the next year of the study. However, any student who has dropped/ deemed to drop a Semester shall not be permitted to register for the courses of that Semester in the Summer-Term.
- Further, all such candidates whose CPI is below 5.50 may also be allowed to register in summer term if they so desire to improve their CPI. However, total number of subjects to be allowed in summer term will be such that the total credits for them do not exceed 16, unless and until permitted by the committee constituted for the purpose by the Vice-Chancellor in genuine cases and in unprecedented circumstances, and no course where the candidate has obtained grade better than C will be repeated.
- (ii) The student of Diploma Program should obtain a minimum CPI of 5.00 to move to the next higher year of Program and the students of all degree Programs should obtain a minimum CPI of 5.50 to move into the next higher year of Program, provided the student does not have F grade in any of the laboratory subject.
- (iii) If the student is not able to move into subsequent year of study due to non-attainment of requisite minimum CPI, he shall have to repeat subjects with F grade (along with subjects with C and P grades, if required) in semesters of next year in which these are offered so as to clear them with improvement in his CPI to move into next year of study.
- (iv) A student of first year who could not obtain required CPI for promotion to second year of his Program of studies for two consecutive years will be declared unfit for the Program and disqualified for that particular Program.

- (v) A student having backlog of first year will not be promoted to third year and a student having backlog of second year will not be promoted to fourth year till he clears his backlogs.

18. Conversion of CPI to Percentage of Marks

The Conversion of CPI to exact percentage of marks does not have a perfect rational. However, its equivalence at best can be arrived at by multiplying CPI with 10.

19. Award of Certificates and Degrees

A student of Diploma in Engineering Programme will be awarded a Diploma, if he obtains a minimum CPI of 5.00 and complete the credit and other requirement of the Program as specified in the Program detail. The student of Diploma Program obtaining CPI of greater than or equal to 5.00 but less than 6.50, will be placed in Second Division.

A student of Bachelor's or Master's Program will be awarded a degree if he obtains a minimum CPI of 5.50 and completes the credits and other requirements of the Program as specified in the Program detail. The student obtaining CPI of greater than or equal to 5.50 but less than 6.50, will be placed in Second Division.

If the CPI is greater than or equal to 6.50 but is less than 8.00, the candidate will be placed in First Division. If the CPI is greater than or equal to 8.00, the candidate will be awarded the diploma/ degree in First Division with Honours, provided he clears all the subjects in single attempt in normal duration of the Program, and that too in regular semesters/ trimesters without use of unfair means/ misconduct during examinations.

20. Ph.D. Program

In the present Information Technology era, the social science research has received new dimensions where theoretical modelling involves mathematical programming and computer science techniques to analyse and assess the available information, quantitative and qualitative research inputs to analyse the data so as to arrive at innovative research findings. The quality research studies had been very instrumental in bringing economic development, business growth, improved business management practices, better quality of life, industrial processing, and environmental sustainability and so on.

Recognizing the importance and need for quality research in different domains of social sciences, the University has commenced PhD program duly approved by the UGC in the year 2020-21. The PhD program aims to attain higher standards and quality research outputs. The program caters to the needs for full time PhD research scholars as well the working professional. The salient features are as under;

Objective:

- 1.1 Emphasis on promoting Fundamental Interdisciplinary Applied Research focusing on economic and social development, emerging business and enterprising needs and environmental issues through innovative and effective technology to meet the essential requirements of different segments of the society.
- 1.2 Focus on quality research work involving real world problems and providing the realistic solution in tune with global standards.
- 1.3 Promoting research studies in non-technical areas such as Arts, Humanities and design that add to innovations and creativity, empathy and social sensitivities. This will facilitate better understanding of society and human being as essential ingredients for sustainable

and balanced life.

- 1.4 The suggested broad areas where research work can be taken up are; Climate and Environmental issues, Energy, Agriculture Products, Agro Industry, Pharmaceuticals and Medical Sciences, Management, Automation and Rural Technology, Interdisciplinary Research of Biological and Medical Sciences with Bioinformatics, relevant areas of Arts and Humanities etc. The focus will be the cutting edge areas that could contribute to new or additional knowledge in the areas of emerging concerns worldwide.

2. Admission to Ph.D. Program:

- 2.1 The number of students' intake shall depend on availability of research supervisors and other required research inputs and facilities in each department. The DRDC will decide in advance the availability of seats for the new admission in the department.
- 2.2 Admission to the Ph.D. program may be held twice in the academic year, preferably at the beginning of each semester viz. May-June and November - December.
- 2.3 The admission to PhD program will be conducted as per the norms decided by the RDC involving written examination and or Viva Voce and following required other criteria and procedure as per UGC norms from time to time.
- 2.4 The University will notify well in advance on the university website and also through advertisement furnishing the number of seats for admission in each department, criteria for admission, the procedure for admission etc. for clarity of the prospective candidates.
- 2.5 The preference in the PhD admission will be given to NET / JRF qualified candidates.
- 2.6 All the candidates seeking admission in the PhD program has to undergo personal interview mandatorily to discuss research interest before the duly constituted Departmental Research Committee. The committee will examine whether the candidate possesses the competence for the proposed research work and decide about the admission.

Modes of Ph.D. Program:

3.0 University offers following two categories of Ph.D. Program namely, Ph.D. Full- Time and Ph.D. Part-Time.

3.1 Full-Time Ph.D.

- 3.1.1 A Full-Time Ph.D. Scholar shall be required to remain present in the Department (where registered) from the beginning of the program till the final submission of the Ph.D. Thesis.
- 3.1.2 A Full-Time Ph.D. scholar receiving scholarship from UGC/CSIR/AICTE/any other funding agency, shall have to undertake a minimum of 6 hours per week of academic work load as assigned by the Department.
- 3.1.3 The University may also consider exceptionally potential research scholars on full time basis and pay them an honorarium as per the university norms. In that case, the candidate will have to work full time in the department and undertake teaching / Lab workload as assigned by the concerned Department.

3.2 Part-Time Ph.D.

- 3.2.1 Part-Time Ph.D. candidates shall be allowed provided all the eligibility criteria as prescribed by the University are met. In the part time PhD program preference will be given to candidates working as academicians, industry professionals and candidates working in Education and Research organizations.
- 3.2.2 All candidates admitted in the Part-Time PhD program will be required to produce “No Objection Certificate” from their respective organizations and also an undertaking that they will be relieved for completing course work classes and appearing in the course work examinations and also they will be available for a minimum period physically as and when they are required to be present for PhD work such as progress presentation, research proposal and paper presentation, participating in conferences and workshops and meeting with their respective PhD supervisors etc. during the period of their PhD work.
- 3.2.3 The “No Objection Certificate” from the employer should have mention about the nature of employment.
- 3.2.4 The candidate pursuing part time PhD program will have to present in the Department to interact, present and submit the progress report as and when required by the department.

4 Criteria for Admission to Ph.D. Program

The following are the norms for being eligible for admission to the Ph.D. program;

- 4.1 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's 7-point scale (or an equivalent grade in a point scale wherever the grading system is followed), or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country, or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 4.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for the candidates belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the University Grants 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 the grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible only on the basis of the qualifying marks without including the grace mark procedures.
- 4.3 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. program.
- 4.4 The cases of candidates who have passed an examination outside the Indian

Universities system and those who may not have obtained a Master's degree may be considered for admission to the program subject to the condition that each case shall be examined on its own merit by the Admissions Committee and University Research Advisory Committee and in accordance with the recommendations of the Equivalence Committee of the University.

- 4.5 All the candidates seeking admission to PhD program will be required to appear Research Entrance Test (RET) and qualifying RET will a mandatory requirement.
- 4.6 A Ph. D Aspirant who has qualified NET, SLET, GATE or M. Phil (admitted to M. Phil program through entrance examination) will be exempted from research entrance test.
- 4.7 M. Phil Candidates shall also be exempted from the course work.

5 Ph.D. Program– Organization, Coordination and Committees

- 5.1 The overall execution of the Ph.D. program shall be monitored and controlled by the Dean Research and Consultancy at University level.
- 5.2 The Academic Council shall coordinate and exercise general supervision over the academic policies for the Ph.D. Program leading to award of Ph.D. Degree, subject to the provisions of the University Act, Statutes and UGC guidelines. However, URAC (University Research Advisory Committee), FRC (Faculty Research Committee), DRC (Departmental Research Committee) and any other Committee(s) constituted in this regards by the Competent Authority shall organize and coordinate the Program.

5.3 Composition, Functions and Powers of Committees

5.3.1 URAC (University Research Advisory Committee)

Composition of the University Research Committee shall be as under:-

- i. Vice Chancellor – Chairperson.
- ii. Pro Vice Chancellor.
- iii. Dean Research and Consultancy – Convener.
- iv. Dean Academic.
- v. Associate Dean Research.
- vi. Two Senior Professors.
- vii. Two external experts.

Functions and Powers of URAC

- i. The role of URAC is to formulate and lay down policy guidelines for the conduct of Ph.D. program so as ensure high standard of original, relevant and useful research work.
- ii. Review, identify and recommend the thrust areas for research.
- iii. Monitor progress of research work in the University.
- iv. Consider and approve the recommendations of FRC (Faculty Research Committee), and Standing Committee of URAC (University Research Advisory Committee)
- v. This committee is empowered to provide exemptions in exclusive cases on the basis of merit of individual case from compliance of prescribed regulations related to the Ph.D. program.

5.3.2 Standing Committee of URAC

Composition:

- i. Dean Research and Consultancy – Chairman.
- ii. Associate Deans research and Consultancy
- iii. Two Deans of Faculties.
- iv. Two Senior Professors.

Functions of the Standing Committee of URAC

- i. To act as facilitator of URAC, preparing agenda items for URAC, handling routine matter other than major policy issue, and appraise the Chairman URC for seeking advice.
- ii. To implement the decision of URAC in letter and spirit.
- iii. To consider and approve the recommendation of various FRC (Faculty Research Committee).
- iv. To perform work related to Research and Consultancy, as suggested by URAC.
- v. To act on and approve any matter related to Ph.D. Program on behalf of the URAC as suggested by the Chairman of the URAC.

5.3.3 Faculty Research Committee (FRC)

Composition: The composition of the Faculty Research Committee (FRC) shall be as under:

- i. Associate Dean (Research and Consultancy) – Chairman.
- ii. Dean of the Faculty.
- iii. HoD
- iv. One Professor nominated by the Dean of respective Faculty.

Functions of FRC

The functions of FRC shall be as under:

- i. Constitute Departmental Research Committee (DRC) for each research student.
- ii. Consider and approve the recommendation of various Departmental Research Committees (DRC).
- iii. Frame rules and regulations related to overall functionality of the Ph.D. program of the respective faculty.
- iv. Finalize and execute the Ph.D. admission process of the faculty.
- v. Perform such functions as are required for operationalization of the Ph.D. program subject to suggestions and guidance of the University Research Committee (URAC).

5.3.4 Departmental Research Committee (DRC)/ Research Advisory Committee (RAC)

5.3.4.1 Composition of DRC

(For general policy matters related to research activities of the Department)

- i. HoD – Chairman
- ii. At least **TWO** Ph.D. Supervisors of the Department
- iii. Associate Dean (Research & Consultancy)
- iv. One external expert from other Institutions than University (Optional)
- v. All the Professors/Associate Professors of the Department

Functions of DRC

- i. The committee shall have the responsibility to process and finalize all the research related activities of the department and shall also work as Research Advisory Committee (RAC) for each Ph.D. student of the Department.
- ii. To review the research proposal and finalize the topic of research.
- iii. 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.
- iv. To periodically review and assist in the progress of the research work of the research scholar.
- v. In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend with specific reasons for cancellation of the registration of the research scholar.
- vi. DRC shall conduct the Comprehensive Examination on completion of course work and consider and approve the synopsis of the thesis when submitted and recommend a panel of the examiners for the evaluation of the thesis.

5.3.4.2 Composition of RAC

(To act as Research Advisory Committee for each student)

- i. HoD – Chairman
- ii. Ph.D. Supervisor – Convener
- iii. Co-Ph.D. Supervisor (if any)
- iv. One external expert from other Institutions than University
- v. one Professor/Associate Professor of the Department

RAC and its functions:

The following will be the functions of the RAC

- i) To review the research proposal and finalize the topic of research.
- ii) To guide the research scholar to develop the research study design and methodology of research. Also identify and suggest additional course (s) if required to be undertaken by the candidate.
- iii) To periodically review and assess the progress of the research work and provide necessary guidance.

- iv) A research scholar shall be required to appear before the RAC once in six months to present the progress of research work for evaluation and further guidance. The six-monthly progress review reports shall be submitted by the RAC to the DRC for onward transmission to Dean Research Office periodically.
- v) In case the performance of the research scholar is not satisfactory consequently and if RAC feels that the scholar has not evinced required interest, the RAC shall recommend to DRC for discontinuation of the scholar from the program and cancel the registration.

6 Duration of the Ph.D. Program

- 6.1 Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years. Duration of Ph.D. program is counted from the date of registration till the date of submission of the Ph.D. thesis.
- 6.2 The women candidates and Persons with Disability (at least 40% of disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil. /Ph.D. for up to 240 days.
- 6.3 In case of exceptional circumstances like, serious illness/hospitalization/family tragedies etc., the Vice-Chancellor, on the recommendation of **University Research Advisory Committee (URAC)**, **Faculty Research Committee (FRC)**, and **Departmental Research Committee (DRC)**, may grant extension for a maximum period of one year.
- 6.4 The Vice-Chancellor, on the recommendation of **URAC**, **FRC**, and **DRC** may permit a candidate to get re-registered on the same topic, the requirement of the regular attendance shall not be applicable to such re-registered candidate. The research scholar has to apply for re-registration within six months' time from the date of completion of extended period by making the payment of applicable fee.

7 Procedure for Admission

- 7.1 The office of the Dean, Research and Consultancy at the University on behalf of University Research Advisory Committee (URAC) in consultation with Faculty Research Committee (FRC) and Departmental Research Committee (DRC), shall execute and oversee the entire admission process.
- 7.2 Applications for admission to Ph.D. program in the prescribed format, shall be invited for predetermined and manageable intake depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms set by UGC and other regulatory bodies, twice in a year normally in December and May.
- 7.3 The admission shall be based on the criteria notified by the University in advance, keeping in view the guidelines/norms in this regard issued by the UGC and statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government applicable to the University time to time.
- 7.4 The university shall conduct an Entrance Test with qualifying marks as 50% (a relaxation of 5% of marks to be allowed for those belonging to the SC/ST/OBC (non-creamy layer)/ Differently-abled and other categories of candidates as per the decision of the Commission from time to time). The syllabus for the Entrance Test shall consist of: (a). research methodology (50%) and (b). subject-specific (50%). The Entrance Test shall be conducted at the Centre(s) notified in advance by the University.
- 7.5 The admission shall be based on the performance of the qualified candidates in the interview/viva-voce to be organized by the Department concerned where the candidates shall be required to discuss their interest/area through a presentation before a duly constituted Departmental Research Committee.
- 7.6 The interview/viva-voce shall also consider the following aspects, viz. whether:
 - 7.6.1** The candidate possesses the competence for the proposed research;

7.6.2 The research work can be suitably undertaken at the Institution/College;

7.6.3 The proposed area of research can contribute to new/additional knowledge relevant and useful to the society.

7.7 The candidates who have qualified UGC/CSIR-JRF/NET/SLET/GATE, or are Teacher Fellowship holders, or have passed the M.Phil. Programme with course work recognized by the U.G.C., as per the UGC Regulations (Minimum Standards and Procedures for award of M.Phil./Ph.D. Degree, 2009), shall be exempted from the written test.

7.8 In case of international students, NRI, Person of Indian Origin (P.I.O.) and Foreign Nationals, the Entrance Exam may be exempted and subsequent online mode presentation/interview be held. In addition, their admission would be in accordance with the policy guidelines laid down by the Government of India.

8 Ph D Course Work

8.1 The Ph.D. course work shall be offered with credit system. A minimum of 18 credits course work, in two semesters, is mandatory for all the Ph.D. students, as per the following details:

Table-1: Course Work and Evaluation Scheme

S. n.	Course name	Semester	Teaching L	Evaluation			Credit
				CA	ESE	TOTAL	
1	Research Methodology*	I	4	50	50	100	4
2	Research and Publication**Ethics	I	2	25	25	50	2
3	Core Subject-1***	I	4	50	50	100	4
4	Review of Published Research work	II	4	50	50	100	4
5	Core Subject-2****	II	4	50	50	100	4
6	Supporting Course 1(Optional)	I	2	25	25	50	2
7	Supporting Course 2 (Optional)	II	2	25	25	50	2
TOTAL			18	225	225	450	18

Note: L-Lecture; P-Practical; CA- Continuous Assessment; ESE- End Semester Examination

*Research Methodology- Based on Quantitative Method, Computer Application and Research Ethics.

**Research and Publication Ethics-Based on basics of philosophy of ethics, research integrity, publication ethics, and other matter related to publication misconducts.

***Core Subject-1: Based on fundamentals and major advancement of research subjects.

****Core Subject-2: Research Area/ Topic specific-providing fundamentals and major recent advancement in the Area/Topic. This course should serve as prerequisite before student finally embark on research problem.

Guidelines on Continuous Assessment (CA)

1. Continuous Assessment (CA) of a course (except the paper, Review of Published Work) will be based on Assignments (three Assignment), quizzes, Case Studies, Seminar, Mini Project and its presentations, which may also be related to some real life examples from Corporate and Industrial houses and some Financial & Economic Institutions etc.
2. Continuous Assessment (CA) of the course “Review of Published Work” would involve one interim presentation and another final major presentation after submission of final Report. There may not be any formal class room teaching; however Ph.D. students should participate in discussions & presentations of papers.
- 8.2 In addition to 8.1, the structure of Course work may be modified to accommodate the various recommendations given by different regulatory bodies UGC, ICAR etc. from time to time.
- 8.3 All courses prescribed for Ph.D. work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods, duly approved by the authorized academic bodies.
- 8.4 All students admitted to Ph.D. program shall be required to complete the course work prescribed by the Department during the initial two semesters.
- 8.5 A Ph.D. student has to obtain a minimum of 55% (in aggregate at the end of semester) of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale), in the course in order to be eligible to continue in the Ph.D. program and submit the thesis.
- 8.6 The candidates failing to obtain a minimum 55% may be allowed to continue provisionally for a maximum period of two more semesters during which the candidate would be required to fulfill the minimum required marks or CGPA. He/she shall be allowed to reappear in the next end-semester examination. No further chance will be given to candidate.

9 Progress Report

- 9.1 The Ph.D. students shall give the presentation of his/her course work/research work before the Department Research Committee (DRC) and submit a progress report through supervisor in every 6 months to the University.
- 9.2 The progress report shall be signed by the student, Supervisor and Associate Dean (Research) of the Faculty.
- 9.3 In case the progress of the research student is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research student fails to implement these corrective measures, the DRC may recommend with specific reasons for cancellation of registration of the research student.

10 Allocation of Research Supervisor

Eligibility criteria to be a research supervisor and co-supervisor and Number of Ph.D. students permissible per supervisor etc.

- 10.1 A regular Professor of the University with Ph.D. and at least five research publications in refereed journals (with ISSN No.) and any regular Associate/Assistant Professor of the University with a Ph.D. Degree and at least two research publications in refereed

journals (with ISSN No.) may be recognized as Research Supervisor.

Provided that in areas, disciplines wherever there is no or only a limited number of refereed journals, the Vice – Chancellor may relax the above condition for recognition of a faculty to act as Research Supervisor.

- 10.2 Only a full time regular faculty member of the University can act as a supervisor, the external supervisors are not allowed. However, co-Supervisor can be allowed in inter-disciplinary areas from the same department or other Department/ Faculty/ Institute/ Centre of the same University or from other University and other related academic institution/ Industry/Corporate Houses/Financial Institutions/Media/Law and Medical set-up etc. with the approval of the University Research Advisory Committee (URAC) on the recommendation of DRC & FRC.
- 10.3 The allocation of Research Supervisor for a selected research scholar shall be decided by DRC and duly approved by FRC and URAC depending on the number of scholars per Research Supervisor, availability of specialization amongst the faculty and research interest of the scholar as indicated by the scholar at the time of admission.
- 10.4 In case of topics, which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department/Faculty/Institution/ Centre has to be supplemented from outside the Department/Faculty/Institution/ Centre may appoint a Research Supervisor from Department/Faculty/ Institution/Centre itself who shall be known as the Research Supervisor, and co-supervisor from other Department/ Faculty/Institute/Centre of the same University or from other University and other related academic institution/Industry/Corporate Houses/Financial Institutions/Media/Law and Medical set-up etc. with the approval of the University Research Advisory Committee (URAC) on the recommendation of DRC & FRC.
- 10.5 A Research Supervisor/ Co-supervisor of a Professor position, at any given point of time, can guide a maximum of Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum four (4) Ph.D. scholars.
- 10.6 A recognized supervisor shall be eligible to supervise after his superannuation for a period of two years.
- 10.7 A retired Professor/Associate Professor/Senior Scientist or equivalent in the concern subject if approved by the URAC shall also be permitted to act as a co- supervisor.
- 10.8 A person approved by URAC can act as a Co-supervisor.
- 10.9 Professor Emeritus shall be eligible to act as a Research Supervisor/co-supervisor.
- 10.10 A close relative / blood relative of the candidate cannot function as research supervisor or co-supervisor.
- 10.11 In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other condition 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.
- 10.12 **Approval of Synopsis**
After completion of the course work, a research scholar will be required to prepare Synopsis for the proposed research work. The following will be the procedure for approval of the synopsis.

- 10.12.01 The synopsis should be submitted within 6 months of course work completion and in any case not later than 12 months.
- 10.12.02 The Synopsis should include national and international reviews related to the proposed research work, clear objectives of the proposed research, proposed research methodology and research plan along with expected research output. The synopsis should also contain the list of relevant references.
- 10.12.03 The research scholar will be required to give a presentation before the RAC which will be open to all.
- 10.12.04 RAC will evaluate the synopsis based on the contents and its presentation, clarity of the scholar on the research topic etc. The RAC can suggest required changes and advice the scholar to resubmit the synopsis after required modifications.
- 10.12.05 The RAC will submit the recommendation to the DRDC. The DRDC shall refer the synopsis to one/two external experts for their comments. After approval by the external experts, the DRDC will recommend to the Dean, Research for approval of the Synopsis.
- 10.12.06 Once the Synopsis are finalized, the title of the research work cannot be changed. However, in rare cases, on the recommendations of DRDC/Dean Research, the Vice Chancellor may permit the changes in research topic.
- 10.12.07 The following will be the obligations of the research Supervisor;
- a) Regular contact with the Ph.D. scholars, and ensure that the scholars have been working on the Research project.
 - b) Guiding the scholar about the choice of relevant courses and conferences related to the research.
 - c) Advising the scholar for contacting relevant national and international organizations for research.
 - d) Assisting the scholar on incorporation of knowledge dissemination element in the research.
 - e) Regular review and feedback on the PhD project
 - f) Preparation of the final statement from supervisor summarizing the overall PhD progress and thesis submission
 - g) Active participation in the assessment and PhD defense.

11 COMPREHENSIVE EXAMINATION

- 11.01 A comprehensive examination is designed to test the overall comprehension of the student in subjects/ topics closely related to his/her research work. It is organized and conducted by **DRC**.
- 11.01 Each Ph.D. student, after completion of prescribed course work, shall be required to take a comprehensive Examination.
- 11.02 The comprehensive Examination will be **oral examination** and a Ph.D. student is required to give a presentation about his/her Research Plan and progress before members of **DRC**.
- 11.03 A Ph.D. student must clear the Comprehensive Examination within six months of completing the course work. If a student fails to clear Comprehensive Examination in

his/her first attempt, a second Comprehensive Examination shall be conducted. If a student is unsuccessful again, his Ph.D. registration may be cancelled.

12 STATE OF ART SEMINARS

After the comprehensive Examination, a Ph.D. scholar is required to give a general seminar in the respective Department covering the review of literature, identifying frontiers of his/her research topic and justifying the **relevance, impact and usefulness of research problems** undertaken. The State of the Art Seminar shall be given within six months from the successful completion of the Comprehensive Examination. A detailed Research Plan shall be submitted and discussed by the student at the time of delivering the State of the Art Seminar.

13 Criteria for Pre submission of the Research work

- 13.01 A research scholar can make pre submission of the research work on completion in all respects in an Open seminar on completion of minimum of three years period from the date of registration to PhD program. This will be presented before the DRDC and one External Expert.
- 13.02 The Research scholar must have made a minimum of **THREE** Six (6) monthly progress report before the ARC during the period of 3 years.
- 13.03 The research scholar must have participated at least in **TWO** International Conferences during the period and presented research papers on the research area.
- 13.04 A Scholar must have at least two publications (accepted/published) in SCI/ SCOPUS/ ABDC indexed journals before the open seminar. The manuscripts shall have the name of the student as the principal author.
- 13.05 The candidate must have attended a minimum of **ONE** Research Methodology Workshop during the period.
- 13.06 The ARC must recommend that the research work is completed in all respects and Supervisor should give recommendations and observations on the research study before the pre submission of the research work.

14 OPEN SEMINAR BEFORE SUBMISSION OF Ph.D. THESIS

- 14.01 Before proceeding to finalize the thesis, each Ph.D. student must deliver a Seminar before the **DRC** open to faculty and students.
- 14.02 During the Open Seminar, a student is expected to present details of his research finding highlighting the major achievement of his/her research work.
- 14.03 Comments/criticism/suggestions received during the presentation should be incorporated in his/her thesis to the satisfaction of the supervisor.
- 14.04 The final Thesis after incorporating the comments and observations during the Open Seminar duly certified by the Supervisor and ARC should be submitted within three months from the date of receiving the comments and observations from the ARC.

15 THESIS SUBMISSION, EVALUATION AND EXAMINATION

- 15.01 The process and overall execution of submission and evaluation of the Ph.D. thesis leading to the award of the Ph.D. degree will directly be supervised by the **Dean Research and Consultancy** through **DRC** and **FRC** on behalf of the University research Advisory Committee (**URAC**), of which the Vice-Chancellor is the Chair Person.
- 15.02 The maximum time duration for the submission of the thesis after the date of successfully delivery of the Open Seminar will be three months.

- 15.03 In exceptional circumstances if the student fails to submit the Thesis within specified period, then an extension of three months can be given by **URAC** on the recommendation of **DRC** and **FRC**.
- 15.04 If the student fails to submit the Thesis within the extended period he/she has to deliver Open Seminar again.
- 15.05 After completing all the formalities, **DRC** would allow the student to submit his Thesis. The student would submit three copies of synopsis and thesis, through supervisor in soft cover who would get the report on **similarity** index and check for **plagiarism**. The supervisor shall be satisfied for limits of **similarity** index (<20%) and **plagiarism** (<10%) before forwarding it to the **Dean Research and Consultancy**. In addition, the student would submit an undertaking about the originality of the work and vouching that there is no plagiarism and that the work has not been submitted for award of any other degree/diploma in the **United University** or any other institution.
- 15.06 Four hard copies of the Thesis (Soft bound) and one soft copy (CD) should be submitted for Thesis Evaluation. The Thesis should be in the specified format as given below:

15.06.01 The back and front cover of the Thesis copy should be in Maroon Colour.

15.06.02 The Thesis should be typed in double spacing using Times New Roman font with 12 font size.

Chapter heading: Bold/Caps 14 font size.

15.06.03 Main Heading (Section) : 12 font Bold

15.06.04 Subsection Heading 12 font, bold, italic

15.06.05 References in the thesis should be as per standard of International Journals (e.g. IEEE, Springer, Elsevier, etc. journals, the scholar must ensure that every reference cited in the text is also present in the reference list (and vice versa).

15.06.06 Thesis should be printed back to back (both sides) but new chapter should start from a new front page.

15.06.07 The sequence should be: Inner cover page, undertaking of the student, Certificate of the Supervisor(s), Acknowledgement, Abstract (not more than 4 pages), Table of contents, List of figures, list of tables, nomenclature followed by Chapters, References, and Appendix.

Requisite number of hard bound copies with soft copy (CD) pasted on last page of thesis [1. Academic Office, 2. Institute Library, 3. Departmental Library, 4. Supervisor (s), 5. Candidate] incorporating all the corrections suggested by the Thesis Examiners is to be deposited in the respective offices/departments.

CD: containing the final corrected copy of the Thesis in PDF format is to be submitted in the Dean (R&C) Office.

Mention on the CD with black CD Marker (1) Name of the candidate (2) Roll No. of the candidate (3) Title of the Thesis.

- 15.07 The Ph.D. Thesis submitted by a research student shall be evaluated by his/her **Research Supervisor(s)** and at least **two External Examiners**, who are not in employment of the University, of whom one examiner preferably from **outside the country**.
- 15.08 On the recommendation of the supervisor(s), the **DRC** through **FRC** shall forward a panel of **eight external examiners** (at least three of the Examiners in the panel shall

- be from outside the country) from the concerned area of Research to the **Dean Research and Consultancy** who subsequently would forward it to **URAC** for consideration.
- 15.09 From this panel, the Vice- Chancellor, in consultation with the members of **URAC** shall appoint two External Examiners (One may be from outside the country).
- 15.10 The name of any close relative of the candidate shall not be included in the panel of examiners.
- 15.11 After submission of the thesis and constitution of the panel of the Examiners, the office of the **Dean Research and Consultancy** would seek consent of the approved Examiners.
- 15.12 After receiving the consent of the Examiners, the office of the **Dean Research and Consultancy** would send the thesis for evaluation to the Examiners.
- 15.13 Each Examiner will examine the thesis and submit a detailed evaluation report and his recommendation on the prescribed format clearly stating one of the following:
- (i) The Thesis is acceptable in the present form and Recommended for the Oral Defense.
 - (ii) The Thesis is acceptable and recommended for the Oral Defense subject to the student incorporating given modifications, corrections and improvements to the satisfaction of the Oral-Examination Board.
 - (iii) The thesis needs major improvements/modifications, which must be carried out by the student to the Examiner's satisfaction before the Examiner recommends the Thesis for acceptance and subsequently for the Oral-Examination.
 - (iv) The Thesis is rejected.
- 15.14 If reports from all the Examiners of the thesis are of category (i), the student shall be eligible for Oral Defense.
- 15.15 If one or more reports are of the category (ii), the Supervisor(s) shall ensure and certify that all the suggestions have been incorporated by the student which would make the student eligible for the Oral Examination.
- 15.16 If one or more reports are of the category (iii), the student would be advised to revise the thesis accordingly and resubmit it normally within a period of one year for re- evaluation by the same set of Examiners.
- 15.17 If one of the report recommends rejection (category IV), the comments in the report shall be communicated to the student, and the student shall be given an opportunity to give replies to the comments made in the report and may accordingly revise the thesis. Such reply of the student and his thesis shall be sent to the next (new) examiner in the Examination Panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected.
- 15.18 If reports from both the External Examiners recommend rejection, the thesis shall be rejected. The student may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remain unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.
- 15.19 In case of any confusion and doubt arising out of the procedure laid down in thesis regulations or any ambiguous recommendations by the Examiners or a situation not covered in the above regulation, Dean Research and Consultancy would refer the matter to the Vice-Chancellor for his decision.

16 ORAL DEFENSE EXAMINATION (Viva-Voce)

- 16.01 If the thesis is acceptable and recommended for the Oral Defense, the student shall be required to defend his thesis orally (Viva-voce Examination) before duly constituted **Oral Defense Committee (ODC)**.
- 16.02 Composition of Oral Defense Committee (ODC)
- (i) Dean Research and Consultancy of the University.

- (ii) One External Examiner.
- (iii) Dean of respective Faculty.
- (iv) Associate Dean Research
- (v) Head of the respective Department (HoD).
- (vi) Supervisor and Co-supervisor.

* In exceptional circumstances when the External Examiner is not available for viva- voce examination, the next person on the approved panel of examiners shall be appointed as an External Examiner on ODC by the Dean Research & Consultancy.

- 16.03 The date and time of the viva-voce shall be notified by the Dean Research and Consultancy to enable the interested faculty members, staff members and students to attend the Oral Defense Examination.
- 16.04 During the viva-voce examination, the student shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries raised by members of the Oral Defense Committee.
- 16.05 The **ODC** will recommend on the prescribed format one of the following:
- (i) that the Ph.D. degree be awarded.
 - (ii) that the student should appear for another Oral Examination as prescribed by the Committee.
- 16.06 In case the **ODC** recommends that the student be awarded the Ph.D. degree, **ODC** shall recommend to the **Vice-Chancellor** through **FRC & URAC** that the Ph.D. degree may be awarded to the student.
- 16.07 After successful oral defense of the thesis, the student shall submit five copies of the thesis along with its soft copy, after incorporating all necessary modifications/corrections as suggested during the examination process, to be bound in the specific format of the University. The hard bound copy of the thesis must contain the appropriate copyright certificate in the beginning of the thesis.
- One copy of the thesis shall be sent to Central Library, one to the Department/Departmental Library, one will be retained by the student after endorsement of satisfactory defense, one will be retained by the office of the Dean, Research and Consultancy and the fifth copy will be sent to the Supervisor of the student.
- 16.08 The student shall also submit a “Summary of the Research” in requisite number of words along with requisite fee for its publication in the **International Dissertation Abstracts**.
- 16.09 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree. The Dean Research and Consultancy of the University shall submit an electronic copy of the Ph. D. thesis to the **INFLIBNET**, for hosting the same so as to make it accessible to all Institutions/Colleges within a period of thirty days.

17 Provisional Degree

The candidate may be issued a **Provisional certificate** after successful completion of the examination procedure in accordance with the provisions of the UGC (Minimum Standards and Procedure for awards of Ph.D. Degree) Regulations 2016 and after the Competent Committees and the Vice-Chancellor approve the recommendations of the Viva-Voce Board.

18 Award of Ph.D. Degree

A Ph.D. student shall be eligible for award of Ph.D. degree at Convocation after approval of the Vice Chancellor.

19 Other Explanations

Notwithstanding what is contained in the Ordinance, the Academic Council or the Vice Chancellor may, in exceptional circumstances and on the recommendations of the **DRC, FRC, URAC**, as well as on the merits of each individual case, consider, at its discretion and for the reasons to be recorded in writing, relaxation of any of the provisions except those related to CGPA requirements for qualifying the course work.

21. Convocation

- (a) The Convocation of the University shall be held at a date fixed by the Executive Council. The Registrar shall report to the Executive Council the names of all students who fulfill the requirements prescribed for various Degrees of the University and have become qualified under these regulations for the award of the Degrees, the names of the persons to the awarded the degrees shall also be submitted to the Uttar Pradesh Higher Education Council before 30 days of the date of the Convocation for its approval.
- (b) If a student is unable to attend the Convocation in person to receive his degree, he may obtain his degree in absentia by submitting an application in prescribed format fifteen days prior to the convocation.
- (c) If the Convocation is not held due to some unforeseen reasons or unavoidable circumstance within one year after the batch of the students has become eligible to receive the degree, the degree be dispatched by mail or collected by the students from the office of the Registrar.
