

1. General Eligibility criteria for admission to Ph.D. programme

Subject to the conditions stipulated in these Ordinances, the following candidates are eligible to seek admission to the Direct Ph.D. programme:

1.1. Candidates who have completed:

- i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a pointscale wherever grading system is followed

Or

Equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC decision from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC decision from time to time.

- ii. Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC decision from time to time.

2. Categories for Ph.D. Admissions

Categories for which the admission can be sought in the Ph.D. program are as follows:

- 2.1 Full-time
 - 2.1.1 Candidates with National Fellowships [JRF (UGC /CSIR /ICMR /ICAR /CFTI)/ INSPIRE/MANF/Women Scientist Scheme (WOS) or any other equivalent fellowship for Ph.D. programme.
 - 2.1.2 International students who are being sponsored by ICCR, New Delhi or any other designated Department of Government of India]
 - 2.1.3 Candidates with NET/SET/SLET/GATE/CEED.
 - 2.1.4 Candidates through IUST Entrance Test
- 2.2 Part-time
 - 2.2.1 Internal (Permanent faculty/staff of IUST)
 - 2.2.2 External (External permanent employees of Government / Semi-Government Organizations / Institutions / Industry / National laboratories / or any other recognized Institution / organizations/ Foreign candidate category)

3. Eligibility for Admission to Part-time Ph.D. Programme

The general eligibility criteria for part-time candidates shall be the same as is applicable to full time candidates with following additional conditions :

- 3.1. **Internal**
(Permanent faculty/staff of IUST)
 - 3.1.1. Teachers with at least three years of substantive service
 - 3.1.2. Non-teaching Staff with at least five years of substantive service
- 3.2. **External**
(Permanent employees of a University, Government / Semi-Government Institutions, Industry, National laboratories, or any other recognized Institution)
 - 3.2.1. University teachers with at least three years of substantive service;
 - 3.2.2. Permanent scientists of nationally recognized institutions with at least three years of substantive service;
 - 3.2.3. Govt. College teachers with at least three years of substantive service;
 - 3.2.4. State/Central Govt. employees with at least 5 years of substantive service.
- 3.3 In both the cases (Internal and External) candidates shall have to submit NoC from their employer to pursue the studies.

4. Procedure for admission

Following mechanism shall be observed for Admission to the Ph.D. programme :-

- 4.1 Candidates with National Fellowships [JRF (UGC /CSIR /ICMR /ICAR /CFTI)/ INSPIRE/MANF/Women Scientist Scheme (WOS)/ any other fellowship for Ph.D. programme or international students who are being sponsored by ICCR, New Delhi or any other designated Department of Government of India] shall be granted admission directly following an interaction with the DRC which shall determine the suitability of the candidate/s considering his/her area of interest and available resources (Refer to Clause 2.1.1. & 2.1.2).
- 4.2 In case any vacancy/ies is/are left after the procedure at 4.1, candidates having qualified NET/SET/SLET/GATE/CEED shall be called for interview to be conducted by the concerned Departmental Research Committee (DRC) (Refer

to Clause 2.1.3).

- 4.3 In the event of any vacancy after admitting the candidates as per clause 4.1 & 4.2 the University shall admit students through an Entrance Test conducted by the University (applicable to categories of admission mentioned in Clause 2.1.4. & 2.2). The Entrance Test shall comprise of 50% questions on research methodology, and 50% shall be subject specific.
- 4.3.1 Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- 4.3.2 A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- 4.3.3 If needed, the number of candidates to be called for an interview shall be reduced based on the number of seats available, which shall be communicated in advance.
- 4.3.4 Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70% for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

Note : For Administrative convenience, the University may call applications from candidates as defined under Clause 4.1 & 4.2 simultaneously.

5. Selection Procedure

- 5.1. The DRC during the interview/interaction shall make recommendations on the basis of :
 - a. student interest
 - b. inclination
 - c. research aptitude
 - d. area of specialization/interest
- 5.2. The merit list in respect of candidates as defined under clause 4.1 & 4.2 shall be evaluated out of the 30 points and in respect of candidates as defined under clause 4.3 shall be evaluated out of the 100 as per the following breakup:-
 - a. 70% weightage will be provided to the marks obtained in entrance test
 - b. 30% weightage to Interview / Presentation.
- 5.3. DRC shall finalize the list of selected candidates.
- 5.4. Mere appearance in the list of qualified candidates shall not entitle a candidate to the final selection if he/she is found otherwise in-eligible.
- 5.5. In case of two or more candidates having secured equal points/ merit for shortlisting and /or admission, the inter-se merit shall be determined in order of preference as follows:
 - a. Candidates having higher marks in PG Programme.
 - b. Candidates having higher marks in UG Programme.
 - c. Candidates older in age if marks at (a)&(b) above are equal.
- 5.6. The procedure of question paper setting, moderation and other details shall be governed as per Regulations governing PhD Entrance Test. The Departmental Research Committee shall arrange for the logistics of the test as per Regulations.

- 5.7. The Entrance Test Paper shall be arranged by the Dean of the School concerned in consultation with the Chairman DRC.
- 5.8. There shall be single Entrance Test paper with two parts having the following break up:
 - i) Part – I Research Methodology.
 - ii) Part-(II) Core paper (Subject based).
- 5.9. The question paper shall have 70 MCQ's with 1 marks each with no negative marks. Breakup of the question paper shall be as follows:
 - i) Part – I 35 Questions
 - ii) Part – II 35 Questions
- 5.10. Merit list of the candidates shall be made public.
- 5.11. All the candidates called for interview shall have to face a selection committee comprising of DRC members & a Dean Research's nominee. The candidates shall be assessed on their subject knowledge & research aptitude.
- 5.12. Selected candidates will have to complete the registration formalities along-with deposition of registration fee and other fee as may be prescribed within the 15 days. However, in respect of in-service candidates, the maximum time limit to complete the registration formalities shall be 2 months;
- 5.13. A list of all the registered scholars shall be maintained on the university website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.
- 5.14. University may provide limited number of fellowships to the research scholars admitted to full-time Ph.D. program as per University norms, however scholars shall have no claim over the University fellowships.

6. Duration of the Programme

The duration of the programme would be as follows:

Full time scholars: Minimum: 3 Years and Maximum 6 years.

Part time scholars: Minimum 04 years and maximum 07 years.

6.1. Rules for Full-time Scholars

- 6.1.1 Every candidate shall pursue as a full-time research scholar of the University, a course of research for not less than three years (including course-work) from the date of admission.
- 6.1.2. A scholar must submit his/her thesis within a period of 1 year from the date of completion of minimum programme duration of three years (including course-work). However, on valid grounds, extension shall be granted for two years maximum in two spells of one year each by BORS only, if the progress of research work is 50% (40% in case of women candidates and persons with disability) and the case is duly recommended by the DRC.
- 6.1.3. In case a scholar fails to submit his/her thesis within the stipulated period as above, he/she will have to re-register for the programme and will be treated as a fresh candidate except that he/she will be exempted from carrying out the course work. However, extension beyond stipulated time will be granted only to those scholars whose

research work is 80% and above (60% in case of women candidates and persons with disability). All such scholars are required to submit the thesis within one year from the date of Extension. The female scholars and the scholars with disability (more than 40%) can submit their thesis up to a maximum of eight (8) years.

Note: The department will ensure that the DRC recommends the cases of extension three months prior to the expiry of the registration period of the candidate.

- 6.1.4. Differently abled (more than 40%) candidates shall however be allowed a relaxation of two years for Ph.D. in the maximum duration. Women candidates shall be entitled to Maternity Leave/Child Care Leave once in the entire duration of PhD. for up to 240 days and this period shall not be considered while computing statutory period of registration or re-registration or residency.
- 6.1.5. In case a full time Ph.D. Scholar undertakes employment (Govt./Private) after successful completion of two years from the date of enrolment in the Department, his/her status from full-time to part-time will be converted by the BORS on the recommendations of the DRC subject to the completion of course work and approval of synopsis by DRC.
- 6.1.6. If a full time Ph.D. Scholar joins service (Govt./Private) after the completion of the minimum period of Ph.D. i.e., three (03) years, he/she is required to get his/her status converted from full-time to part-time by the BORS on the recommendation of the DRC. However, such scholars are eligible to submit the thesis within a period of 1 year from the date of completion of minimum programme duration of three years (including course-work).
- 6.1.7. In case, a full time Ph.D. scholar has put in one or more years of residency period and gets employment in the Govt. or semi Govt. Departments/ industry on substantive basis, his /her registration shall remain in abeyance till his/ her employer allows him/her to complete remaining period of residency, but the period during which registration shall remain in abeyance shall not exceed three years and the prescribed statutory period for submission of Thesis shall be worked out accordingly. The scholar requesting his/her registration to be kept in abeyance shall make an application recommended by the supervisor to the Chairman DRC who shall forward it to the Dean of Research through concerned Dean of the School for approval. In case, the period of abeyance of Scholar(s) is/ are more than one year, the concerned supervisor is eligible to supervise additional scholar(s) accordingly as supernumerary.
- 6.1.8. In case of a full time Ph.D. Scholar working under External Funded Research Project, he/ she shall not be allowed to leave his/her Research Programme halfway till the completion of the project for which the candidate has to submit an undertaking to this effect at the time of his/her joining the Ph.D. Programme. However, if there is any compelling reason(s) for leaving the programme halfway, the same

shall be considered by the DRC for recommending conversion of full time to part time registration.

6.2. Rules for Part-Time Scholars:

6.2.1. 80% of the intake capacity in a Department/ Centre for Ph.D. shall be offered to candidates who will join on full-time basis and the remaining 20% for part-timers.

Provided that in case the seats fall vacant in part-time category due to non- availability of candidates, the seats shall be offered to the candidates eligible under full-time category or vice versa.

6.2.2. The part-time scholars shall not be permitted to submit thesis for the Ph.D. Degree before the successful completion of a period of four years from the date of joining. An extension shall be granted after 4 years, for a period of 2 year on the recommendations of the Supervisor endorsed by the DRC and approved by BORS. The total period of Ph.D. shall remain the same i.e., 7 years (8 years in case of women candidates and persons with disability greater than 40%)

6.2.3. Part-time scholars shall be required to put in full-time attendance at the concerned University Department for at least two years before submitting their thesis. The attendance can be completed in four spells during the registration period.

6.2.4. In case a scholar fails to submit his/her thesis within the stipulated period as above, he/she will have to re-register for the programme and will be treated as a fresh candidate except that he/she will be exempted from carrying out the course work.

7. Allocation of Research Supervisor: Eligibility criteria to become a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

7.1. Any permanent Professor/Associate Professor of the University, with at least five research publications in peer-reviewed or refereed and any permanent faculty member working as Assistant Professor in the University with a Ph.D. degree and at least three research publications in peer-reviewed or refereed journals may be recognized as Research Supervisor in the University. Such research supervisors cannot supervise research scholars in other institutions, where they can act as co-supervisors.

Provided that in areas/ disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. Only a full-time permanent teacher of the University/ College concerned can act as a Research Supervisor. Adjunct faculty members shall not act as Research Supervisors and can only act as co-supervisors.

7.2. The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC depending on the number of scholars per Research Supervisor, the available specialization among the supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

- 7.3. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from other Departments within or outside the University (National/ International) on such terms and conditions as may be specified and agreed upon by the consenting Institutions duly recommended by the DRC & approved by Dean Research.
- 7.4. A Research Supervisor/Co-Supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. One additional research scholar can be allotted to each supervisor over and above the allotted number provided the Research Supervisor is implementing a major sponsored research project. Further, each Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis. At any point of time the total number of candidates under a research supervisor shall not exceed the number as prescribed above including the candidates under co-supervision. Note: The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University/College. He/she cannot increase the number by using recognition from multiple universities/colleges.
- Note: For calculation of vacancy, a seat shall be deemed to be vacant after issuance of Academic Clearance in favour of the Scholar and his/her subsequent submission of thesis.**
- 7.5. Each Supervisors can guide upto two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 7.4.
- 7.6. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisors or a co-supervisors, shall not exceed the number prescribed in clause 7.4 and Clause 7.5.
Provided that co-supervising two scholars shall be considered as supervising one scholar
- 7.7. The supervisor of the scholar shall be from the same Department/ Centre of the university where he/she is registered, but a co-supervisor/joint supervisor can be appointed from some other Department/ Centre within or outside the university with the approval of the DRC to facilitate interdisciplinary research or to make use of infrastructure not available in the Department/Centre of the university where the scholar is registered.
- 7.8. An external supervisor, i.e. outside of University, shall not be allowed.
- 7.9. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- 7.10. The superannuated distinguished teachers with exceptional research profile

re-appointed on contract or honorary or emeritus Professor may continue as Research Co-Supervisors till the age of 70. The university, after considering the research track record and fitness of such superannuated teachers to supervise scholars, may decide on his/her continuation as Research Supervisor without financial commitment.

- 7.11. In case of relocation of a 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 that same is recommended by DRC and approved by Dean Research and all other conditions in these Ordinances are followed in letter and spirit and the research work does not pertain to the project secured by the University or the supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the University for the part of research already done.
- 7.12. Ph.D. Scholars (JRF) already pursuing Ph.D. at any other recognized Institution of repute including IITs/ NITs and other institutions of national importance shall be allowed to migrate to the University on the following conditions :
 - 7.12.1 Scholar has to first apply for admission to the Ph.D. Programme in response to the admission notification issued by the University. He / She shall fulfill all eligibility criterion as is required for admission to Ph.D. and appear before DRC for Viva Voce Presentation.
 - 7.12.2 In the event of selection to Ph.D. programme, the minimum duration of completed Course Work (Credits earned and the duration spent on course work) not more than one year, shall be transferable through Academic Bank of Credits.
 - 7.12.3 All courses prescribed for Ph.D. course work shall conform with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly evaluated and given equivalence by DRC.
 - 7.12.4 The candidate shall have to produce a certificate of completing a course work of equivalent duration/credit from their respective institution/organization by Registrar and NOC from the Supervisor.

8. Change of Supervisor

- 8.1. Notwithstanding anything contained contrary in these Statutes, change of supervisor can be made in the manner prescribed as follows:
 - 8.1.1 Ordinarily the candidate shall continue his/her Ph.D. programme under the supervisor selected/allotted by/to him/her by the DRC;
 - 8.1.2 The change of supervisor can be considered by the BORS on the representation submitted by the scholar with convincing justification duly recommended by the DRC, and the Dean of the School concerned;
- 8.2. Where a supervisor/co-supervisor has left the employment or has proceeded on long leave or is incapacitated or passes away, or has expressed his/her inability in writing to supervise, a new supervisor/ co-supervisor shall be appointed by BORS on the recommendation of DRC with effect from the date of the DRC meeting.
- 8.3. In situations of natural exigency or any other valid reasons to be recorded

specifically, the DRC may change the allotted supervisor on the request of the scholar. The allocation of new supervisor shall be placed before the BORS for confirmation.

9. **Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.**

- 9.1. The credit assigned to the Ph D. Course work shall be 12-16 credits, which may consist of the following:
 - (i) One Course of 4 credits on **RESEARCH METHODOLOGY** designed by the concerned School.
 - (ii) One Course of 2 credits on **RESEARCH AND PUBLICATION ETHICS** for awareness about publication ethics and publication misconduct as prescribed by the UGC.Remaining 6-10 credits shall be decided by the concerned Department as per the requirement with a maximum of 4 credits per course.
- 9.2. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Students Research Advisory Committee (SRAC).
- 9.3. The DRC shall formulate the syllabi for the prescribed papers. A candidate is required to complete the course work during initial one or two semesters.
- 9.4. A scholar shall register the courses in which he/she has to appear for examination for completion of mandatory requirement of course work.
- 9.5. The HOD shall notify the dates for the conduct of the examination on completion of course work, and get papers evaluated.
- 9.6. The grades in the course-work, including research methodology courses shall be finalized after a combined assessment by the DRC and the final grades shall be communicated to the Dean Research.
- 9.7. If student is not able to qualify a paper, he/she shall be allowed to reappear in the examination to be held in the next semester.
- 9.8. The date of reckon of registration shall be counted from the date the student is enrolled through admission to the course work.
- 9.9. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis. After the successful completion of the Course Work, the Research Synopsis of the candidates duly approved by the DRC will be presented before the BORS for its approval.
- 9.10. Project Fellows/Project Assistants appointed in various research projects shall be allowed to simultaneously pursue Ph.D. Programme or vice versa subject to the condition that the topic of Ph. D be broadly related to the theme of research project subject to fulfillment of other eligibility conditions (entrance test/exempted category).
- 9.11. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

10. Residency and attendance

- 10.1. The residency period for full time Ph.D. Scholars shall be for a period of three years.
- 10.2. Part-time scholars shall be required to put in full-time attendance at the concerned University Department for at least two years before submitting their thesis. The attendance can be completed in four equal spells in the first three years only.
- 10.3. All the research scholars or candidates are expected to be present for every lecture, seminar or for any activity as prescribed for them.
- 10.4. Attendance during credit/audit courses should be 100 percent, which will be closely monitored, and reports send to DRC. Relaxation of maximum 25 percent in attendance is permissible to the scholars on account of medical problems, family problems or any other valid reason which shall be recorded in writing.
- 10.5. Daily attendance of the scholar shall be maintained by the concerned Head which shall have to be produced on demand preferably at the time of seminar presentation of the scholar.

11. General Guidelines for Scholars

- 11.1 A regular, i.e., full-time scholar shall not take any employment (Govt./ Private) during the first two years of registration.
- 11.2 Every scholar shall submit half yearly 'Detailed Progress Report' after successful completion of Course Work to the concerned SRAC. The concerned DRC shall schedule 04 oral presentations based on the inputs recommendations from SRAC.
- 11.3 In case of unsatisfactory report, the SRAC shall make note of it and also suggest corrective measures to the scholar.
- 11.4 Provided that if a scholar fails to submit the progress report of his/ her research work within the specified period of time, his/ her fellowship may be withheld till he/she submits the Progress report, and the matter be reported, in writing, by SRAC to DRC for necessary action.

12. Cancellation of Admission

- 12.1 The admission of a Ph.D. scholar shall be deemed to be cancelled if he/she has not submitted his/her thesis within the stipulated time limit, including extensions.
- 12.2 The DRC shall recommend to the BORS the cancellation of the admission of a scholar on:
 - 12.2.1 His/her unsatisfactory progress reported by the concerned supervisor through SRAC.
 - 12.2.2 Provided he/she fails to submit two (02) consecutive progress reports of his/her research work.
 - 12.2.3 He/she has taken admission in any academic programme in any University/Institution.
 - 12.2.4 If he/she does not apply for extension before expiry of stipulated maximum period.

12.2.5 He/she has taken employment within two year of registration/admission.

12.3 The DRC can recommend for registration cancellation if a scholar is found guilty of misconduct.

12.4 The request of cancellation of admission in Ph.D. programme can be considered on the written request of the candidates duly endorsed by the concerned supervisor and Head of the Department/ Centre.

13. Refund of Fee

In case a student opts for withdrawal of his/her admission within a period of one month from the date of admission, he/she shall forward his/her application for withdrawal through the concerned Head of the Department/ Centre. Once the office of the Dean Research receives the application, the admission of the student shall be deemed to be cancelled. No pleas for re-admission shall be considered afterwards for any reasons whatsoever and refund of fee (if any) shall be considered as per the following refund policy of the University: -

- In case a student chooses to withdraw from the programme of study in which he/she is enrolled, the following five-tier system for the refund of fees remitted by the student is to be followed:

S. No	Percentage of Refund of Fees	Point of time when notice of withdrawal of admission is served to University
1	100%	Up to 15 days from the date of admission.
2	50%	More than 15 days upto one (01) month from the date of admission.
3	00%	More than 30 days after date of admission.

- In case of S.No. (1) in the table above, an amount of 5% of the fees as processing charges will be deducted from the refundable amount subject to a minimum of Rs. 5,000/-
- The University will follow the said system and the *additional deductions* shall not be above Rs. 5000/- in addition to the deductions mentioned in the table above which shall be as under:
 - a) Admission Fee will not be refunded in any case.
 - b) Full Security Fee shall be refunded irrespective of time of withdrawal.
 - c) Hostel rent/Bus Fee is refundable on pro-rata monthly basis.
 - d) There shall be a cancellation fee of Rs. 2000/- for cancellation of admission.

14. Re-registration:

The scholar who fails to submit Ph. D. Thesis even within the extended period of registration as stipulated in these Statutes, he/she shall be eligible for re-registration to be granted by the Dean Research on the recommendation of the DRC and the Dean of the concerned School for a maximum period of two years, reckoning from the date of DRC meeting in which re-registration was recommended for which the scholar has to pay the prescribed fee.

15. Submission, evaluation and assessment

15.1 Upon satisfactory completion of course work and obtaining the marks/grade

prescribed in sub-clauses above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by these Ordinances.

- 15.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the DRC which shall also be open to all faculty members and other research scholars. The DRC after critical examination of the scholars' work based on the presentation shall recommend:
- a. writing of the thesis and onward submission
 - b. writing of the thesis with minor suggestions which may be suitably incorporated into the draft dissertation/thesis in consultation with the SRAC.
 - c. Major changes and a fresh presentation after the suggestions offered by the DRC are incorporated in the research work by the scholar.

Once the DRC recommends the writing of the thesis, 06 copies of thesis and a soft copy in non-editable format should be submitted within three months of the said recommendations.

- 15.3 While submitting the dissertation/thesis for evaluation there shall be an undertaking from the research scholar and a certificate from the Research Supervisor attesting the originality of the work, vouching that there is no plagiarism or plagiarism is within the permissible limit as mentioned in relevant UGC Regulations with amendments from time to time 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. The UGC regulation on Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions Regulations, 2018 with amendments from time to time shall be followed.
- 15.4 The thesis shall be checked for Plagiarism content by the Librarian before issuance of Academic Clearance.
- 15.5 Before submission of Ph.D. thesis for evaluation, the scholar shall obtain Academic Clearance as per the format finalized for the purpose by the University.
- 15.6 A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- 15.7 The Scholar shall submit the thesis in the office of the Head of the Department/Centre.
- 15.8 On obtaining the academic clearance and internal report from the concerned supervisor, the Ph.D. thesis submitted by a research scholar shall be evaluated by at least two external examiners, who are not in

employment of the University. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the following committee: -

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| a. Dean of School | Chairman |
| b. Concerned Research Supervisor/Co-Supervisor | Member |
| c. At least one of the two external examiner | Member |
| d. Head of the concerned Department | Member Secretary |

Besides the viva shall be necessarily publicized and shall be open to be attended by members of the SRAC, DRC, faculty members of the Department, other research scholars and other interested experts/researchers/ students.

- 15.9 The supervisor should send a panel of 8 examiners at professors level having the specialization relevant to the area of scholar's research to Chairman DRC. However, in new & emerging fields/ subjects, 50% of the examiners can be of Associate Professor level. The Chairman DRC shall forward the same to Vice Chancellor through concerned Dean of School. Vice Chancellor on the recommendations of the Dean Research shall select four examiners for evaluation of thesis in order of preference.
- 15.10 External Examiners need to evaluate the thesis within a time frame of two months from the receipt of thesis. In case the reports are not received within the stipulated time, further action in terms of grant of extension or change of examiner shall be initiated at the level of Dean Research.
- 15.11 After reports are received from the examiners, Vice Chancellor shall nominate one of them as expert to conduct the viva voce.
- 15.12 The open viva-voce of the research scholar to defend the dissertation/thesis, either online or offline shall be conducted only if the evaluation reports of the external examiners on the dissertation/thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination which shall clearly indicate any one of the following:
- Recommended for the award in present form and for publication OR
 - Recommended for the award but for publication only after making changes suggested in the report OR
 - Recommended for the award only after candidate has made changes suggested in the report. The revised version need not be sent to evaluator (s) for second evaluation, but DRC must certify that changes as suggested by me have been incorporated by the candidate.
 - Recommended for the award only after candidate has made changes suggested in the report. The revised version should be sent to evaluator(s) for second evaluation and based on their report, degree be awarded or rejected as the case may be.

e. Thesis be rejected as per detailed report.

15.13 If reports from both examiners do not recommend the award of degree, research scholar shall be declared ineligible.

15.14 If one of the evaluation report by the external examiner is unsatisfactory and does not recommend viva-voce, the DRC shall send the dissertation/ thesis to third external 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 dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree.

15.15 The reports from the external examiner should be received within three months. In case any examiner fails to forward the response within three months of receipt of the thesis, the thesis may be sent to 4th examiner from the panel.

16. Depository with Shodhganga@INFLIBNET

16.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, an electronic copy of the Ph. D. thesis shall be submitted by the Controller of Examinations to the Shodhganga@INFLIBNET, for hosting the same to make it accessible to all Institutions/Colleges.

16.2 A provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the latest UGC Regulations with amendments from time to time shall be issued by the Dean of School/ Dean Academic Affairs prior to the actual award of the degree.

16.3 The colour code for Ph.D. thesis hard copy binding shall be MAROON RED.

17. Annexures

17.1 Format of Synopsis for Ph.D. programme (Annexure – I).

17.2 Format for Change of Supervisor (Annexure – II).

17.3 Format for change of Research Topic (Annexure – III)

17.4 Format for submission of six monthly progress report (Annexure – IV).

17.5 Format for Academic Clearance (Annexure- V).

17.6 Format for the Plagiarism Verification (Annexure – VI)

17.7 Format for the proposed list of Ph.D Examiners for approval of Vice Chancellor (evaluation of Thesis) (Annexure – VII).

17.8 Format for front cover of Thesis (Annexure VIII)

17.9 Format for contents of Thesis (Annexure-IX)

17.10 Format for scholar's Declaration Certificate (Annexure X)

- 17.11 Format for Supervisor's Certificate (Annexure XI)
- 17.12 Format for examiners report on Ph.D. Thesis. (Annexure XII)
- 17.13 Format for examiners report on Viva Voce examination of the Scholar (Annexure XIII).
- 17.14 Format of Certificate regarding completion of criteria as per UGC (Minimum Standards and Procedure for Award of Ph.D Degree) Regulations. (Annexure – XIV)
- 17.15 Check list for award of degree (Annexure – XV).

ISLAMIC UNIVERSITY OF SCIENCE & TECHNOLOGY, KASHMIR

Format of Synopsis for Ph.D. Program

Name of Scholar :

Registration No. :

School :

Department :

Supervisor :

Co-Supervisor (if any) :

1. Title of the Research:

2. Introduction (Maximum 500 words):

3. Review of Literature (Maximum 500 words):

4. Knowledge Gaps (Maximum 100 words):

5. Originality of the proposed work (Maximum 100 words):

5. Hypothesis (Maximum 100 words):

6. Objectives (Not exceeding 5)

I.

II.

III.

7. Methodology (Maximum 500 words):

8. Deliverables (Maximum 100 words):

9. Collaboration with other departments/universities/ institutions (Maximum 100 words):

REFERENCES (Not more than 10)

Signature of Scholar

Signature of Supervisor

Forwarded three copies of Synopsis to Chairperson DRC.

Format for Change of Supervisor

1. Name of the Scholar:
2. Topic of Research:
3. Name(s) of the present Supervisor and Co-Supervisor(s):
4. Reasons for change of Supervisor/ Co-Supervisor :

.....
(Signature & Name of the Scholar)

Recommendation of the DRC

.....
.....
.....
.....

To be signed by DRC member(s)

Remarks of Dean of the Concerned School.

.....
.....

Signature of the concerned Dean

Recommendations of Dean Research

Dean Research

Format for Change of Research Topic

1. Name of the Scholar:
2. Topic of Research (Present):
3. Topic of Research (Proposed):
4. Name(s) of the present Supervisor and Co-Supervisor(s):
5. Reasons for change of Topic:

.....
(Signature & Name of the Scholar)

Justification by Supervisor/ Co-Supervisor

.....
.....
.....

Signature of Co-supervisor (if any)

Signature of Co-supervisor

Recommendation of the DRC

.....
.....
.....

To be signed by DRC member(s)

Remarks of Dean of the Concerned School.

.....
.....

Signature of the concerned Dean

Approved/ Not Approved

Format for submission of Six-Monthly Progress Report*

(To be submitted by the Ph.D. Scholar*)

1. Name of the Scholar:
2. Name(s) of the Supervisor and Co-Supervisor(s):
3. Topic of Research:
4. Six-monthly Progress Report for the period, from: to:.....
5. Detailed Progress Report to be submitted on separate sheet(s) (Please add separate sheet, if necessary)
6. Summary of Progress Report (not more than 500 words)

.....
(Signature & Name of the Scholar)

Remarks of the Supervisor:

.....

Remarks of the Co-Supervisor(s):

.....

Remarks of the other SRAC members:

.....

Name & Signature of
Co-Supervisor(s) if any

Name & Signature of
Supervisor

Signatures of other SRAC members

Recommendation of the DRC

.....

.....

.....

To be signed by DRC member(s)

***It is mandatory for SRAC to maintain the record of each student. The progress report to be endorsed in DRC.**

Format for Academic Clearance

Name of the scholar :
Name of the Supervisor :
Name of co-supervisor (if any) :
Registration No. :
Topic :
Date of Registration :

Reference

- | | | | |
|---|----------------------|------------------|----------------------|
| 1. Departmental Research Committee minutes recommending submission of thesis: Yes/ No | | Yes/ No | <input type="text"/> |
| 2. BORS minutes wherein supervisor and topic were approved: | | Yes/ No | <input type="text"/> |
| 3. Total Ph. D. course credits | Prescribed | | Earned |
| | <input type="text"/> | | <input type="text"/> |
| 4. Photocopy of marks statement, as proof for the course work done successfully: | | Yes/No | |
| 5. No Objection Certificate (NOC) submitted | | Yes/No (Attach) | |
| 6. All the major objectives of synopsis covered | | Yes/No | |
| 7. Change of topic (if any): | | Yes/No | |
| 8. Change of supervisor (if any) | | Yes/No | |
| 9. Pre-submission seminar with date (MoM) | | Yes/No(Attach) | |
| 10. Student Research Advisory Committee Report (SRAC) | | Yes/No (Attach) | |
| 11. Plagiarism verification certificate: | | Yes/No (Attach) | |
| 12. Progress reports (six monthly) | | Yes/No (Attach) | |
| 13. Teaching classes assigned to Scholar | | Yes/ No (Attach) | |

Name and signature of the Supervisor

Seal and signature of the HoD

Seal & Signature of Dean of the School

.....

Remarks of the office of the Dean Research:

FORMAT FOR PLAGIARISM VERIFICATION

- 1. Name of Research Scholar: _____ Registration No.: _____
- 2. Course (PhD): _____
- 3. Title of the Thesis: _____
- 4. Department/Centre: _____
- 5. School _____
- 6. Name of Supervisor: _____
- 7. Name of Co-Supervisor (s) If any: _____

I S/D/o..... hereby take oath and state:

- (i) That, I am registered for the Ph.D. programme on the topic titled in the Department/Centre ofIslamic University of Science &Technology, Kashmir under Registration No.
- (ii) That the thesis as a whole or in part is neither copied nor plagiarized from others’ work/sources by me.
- (iii) That, the contents of my thesis submitted to the Islamic University of Science &Technology, Kashmir, for the award of Ph.D. Degree are original and my own work, and is not plagiarized.
- (iv) That, if, my thesis is found copied or come under plagiarism, I will be solely responsible for it and the University shall have sole right to cancel my research work ab-initio.
- (v) That, I shall be responsible for any legal dispute/case(s) for violation of any provisions of the Copyright Act relating to my thesis.

Signature of Research Scholar

.....

The Plagiarism report of the above thesis has been prepared by Librarian & the same has been reviewed by the undersigned and the similarity index is within University norms. The thesis may be considered for submission to the University.

Signature of Co-Supervisor (if any)

Signature of Supervisor

Signature of other members of DRC

Format for the Proposed List of Ph.D. Examiners for the approval of Vice Chancellor
(for evaluation of thesis)

NAME OF THE SCHOLAR:	
DEPARTMENT	
THESIS TITLE:	
NAME OF SUPERVISOR	
NAME OF CO-SUPERVISOR (IF ANY)	

LIST OF EXTERNAL EXAMINERS FOR Ph.D. THESIS EVALUATION				
S. No	Name of Examiner	Designation	Telephone No. & Address	Email ID
1				
2				
3				
4				
5				
6				
7				
8				

(Signature of the Co-Supervisor if any)

(Signature of the Supervisor)

Chairperson DRC

Vice Chancellor

Format for Front Cover of Thesis

TITLE OF THE THESIS

(Times New Roman 19 Font)

Thesis

(Times New Roman 16 Font)

**Submitted to the Islamic University of Science & Technology
in partial fulfillment of the requirements**

for the degree of

(Times New Roman 16 Font)

DOCTOR OF PHILOSOPHY

in

..... (Times New Roman 22 Font)

by

Scholars name (Times New Roman 16 Font)

Registration number (Times New Roman 16 Font)

Under the supervision of

(Times New Roman 16 Font) (Name of the Supervisor)



Department of

School of

**©ISLAMIC UNIVERSITY OF SCIENCE & TECHNOLOGY-
AWANTIPORA 192122** (Times New Roman 16 Font)

Year

(Times New Roman 16 Font)

Broad Format for Contents of Thesis

(May vary from School to School)

CONTENTS

CHAPTER	TOPIC	PAGE
I.	INTRODUCTION	--
II.	REVIEW OF LITERATURE	--
III.	MATERIALS AND METHODS	--
IV.	RESULTS AND DISCUSSION	--
V.	SUMMARY	--
	REFERENCES	---

Format for Scholars Declaration Certificate

DECLARATION

I hereby declare that the thesis titled:
..... which is submitted by me to the
Department of, School of, Islamic University of
Science & Technology, Awantipora in partial fulfillment of the requirement for the award of the degree of Doctor of
Philosophy has not previously formed the basis for the award of any degree or the other similar title or recognition
to the best of my knowledge. This is to declare further that I have also fulfilled the requirements of the Ph.D.
Ordinance.

Signature of the Scholar

Format for Supervisor's Certificate

CERTIFICATE

On the basis of declaration submitted by....., scholar of Ph.D., I hereby certify that the thesis titled “.....

..... ” which is submitted to the Department of / Centre for , Islamic University of Science & Technology, Awantipora in partial fulfillment of the requirement for the award of the degree of Doctor of Philosophy, is an original contribution with existing knowledge and faithful record of research carried out by him/her under my guidance and supervision.

To the best of my knowledge this work has not been submitted in part or in full for the award of any Degree to this University or elsewhere.

Signature and name(s) of the Supervisor(s)

Format for Examiner’s Report on Ph.D. Thesis

Title of Thesis:.....
.....
.....

Name of the Scholar:

Subject/Field of Research:.....

Department/Centre/ School:.....

1	The thesis be accepted for the award of the Ph.D. degree	(YES / No)
2	The thesis be accepted for the award of the Ph.D. degree subject to the incorporation of minor revision, thesis need not to re-submit	(YES / No)
3	The thesis be revised and submitted again in the revised form. Please clearly specify the grounds on which the thesis is to be revised.	(YES / No)
4	The thesis not acceptable in the present form. (Please clearly specify the reason for rejection)	(YES / No)

(1) In case the examiner makes the recommendation (1) stated above:

The Examiner will give a detailed report on separate sheet(s) on the following points:

- a) It must be a piece of research work characterized either by the discovery of the facts or by a fresh approach towards the interpretation of facts. In either case it should evince the scholar’s capacity for critical examination and second judgment.
- b) It must be satisfactory from the point of language and presentation of the subject matter.

However, if the Examiner feels that some minor corrections in the Thesis are needed, which should be incorporated therein before the VIVA VOCE Examination is held, he/she should attach a separate sheet, giving his suggestions/details of corrections to be made in the Thesis.

- c) The questions to be asked will be based on the evaluation of the thesis. The Examiner may also indicate in the enclosed proforma [Annexure-] the questions which he/she would like the scholar to answer at the time of the VIVA VOCE examination.

- (2) In case the examiner makes recommendations (2) stated above:
He/she may kindly state reasons and suggests the lines on which the thesis needed to be minor revision. These comments will be conveyed to the scholar through his/her supervisor to enable him/her to revise the thesis [Please attach separate sheet(s)].
- (3) In case the examiner makes recommendations (3) stated above:
He/she may kindly state reasons and suggests the lines on which the thesis is to be revised. These comments will be conveyed to the scholar through his/her supervisor to enable him/her to revise the thesis [Please attach separate sheet(s)].
- (4) In case the examiner recommends rejection of the thesis:
He/she may kindly state the reasons for doing so [Please attach separate sheet(s)].

Note: Additional sheet(s) may be attached, if necessary.

Date:

Place:

(Signature of the Examiner) Full Name &

Address:.....

..... Telephone No:

Mobile No:

E-Mail:.....

Format for Examiner’s Report on Viva-Voce Examination of the Scholar

Title of thesis:

.....

.....

Name of the Scholar:Subject/Field of
Research:.....Department/Centre/ School:.....

- (i) Whether the scholar is acquainted with the literature on the subject? Yes
No.....
- (ii) Whether the thesis is genuinely the work of the scholar? Yes.....
No.....
- (iii) Whether the scholar possesses capacity for critical Examination and judgment? Yes....
No.....

Specific Recommendation:

.....

.....

.....

.....

.....

.....
(Signature and Name of the Examiner)

Co-supervisor (if any)

Supervisor

Head of the Department

(Signature of the Chairperson DRC)
(Office Seal)

Dean of the Concerned Faculty

Format of Certificate regarding completion of criteria as per UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations

Name of the Candidate: _____

Ph.D. Course (Full time / Part time): _____

Research Topic Subject: _____

Procedure for Admission:

1. Was the admission to Ph.D. programme as per the University Rules governing admission to Ph.D. programme as applicable at the time of admission ?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

2. Was the Viva voce/ presentation organized by the Department Research Committee?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

3. Has the Doctoral candidate discussed his/her research interest/area at the time of Viva voce/ presentation?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Allocation of Supervisor:

4. Was the allocation of the Supervisor for a selected candidate, decided by the Department in a formal manner depending on the number of students per faculty member, available specialization among the faculty members, merit and the research interest of the student as indicated during the interview by the student?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Course Work:

5. Has the student undertaken Course Work for a minimum period of one semester and did the Course Work include a Course on Research Methodology?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Evaluation and Assessment Methods:

6. Has the Ph.D. scholar, upon satisfactory completion of Course Work, undertaken research work and produced a draft thesis within a reasonable time, as stipulated by the Institution concerned?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

7. Has the student, prior to the submission of the thesis, made a pre Ph.D. presentation in the Department that was open to all the faculty members and the research students, for getting feedback and comments, which were suitably incorporated into the draft thesis under the advice of the supervisor?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Check List for the award of Degree

Name of the Scholar :
Name of Supervisor :
Name of the Co-supervisor (if any) :
Registration Number :
Topic :
Date of Registration :

- | | |
|--|----------|
| 1. Departmental Research Committee minutes recommending submission | YES/NO |
| 2. BORS minutes wherein supervisor and Topic approved: | YES/NO |
| 3. Photo copy of mark statement, as a proof for the course work don | YES/NO |
| 4. NOC submitted | YES/NO |
| 5. Recommendation of supervisor for submission | YES/NO |
| 6. Change of Topic (if any) | YES/NO |
| 7. Change of Supervisor during the Ph.D. (if any) | YES/NO |
| 8. Recommendation of Evaluators | YES/NO |
| 9. Recommendation of Examiner | YES/NO |
| 10. submission of 5 copies of Thesis and CD in the Library/ Controller Examination | YES/NO |
| 11. Plagiarism verification certificates | YES/NO |
| 12. Progress reports | YES/NO |
| 13. Teaching classes assigned to Scholar | YES/ No. |

Signature of Supervisor

Signature of Co-supervisor

**Signature of the Head of the Department
with Seal**

REMARKS OF DEAN RESEARCH OFFICE

.....
.....
.....
.....

Signature of Dealing Assistant

Signature of Assistant Registrar/Deputy Registrar