

# YOGI VEMANA UNIVERSITY: KADAPA



## ACADEMIC REGULATIONS FOR DOCTOR OF PHILOSOPHY (Ph.D.) FULL-TIME PROGRAMME

2018

## ACADEMIC REGULATIONS FOR

### **DOCTOR OF PHILOSOPHY (Ph.D.) FULL-TIME PROGRAMME**

#### **(BY RESEARCH)**

(To come into effect from the academic year 2018 – 19)

#### **1) RESEARCH BY FULL-TIME:**

A student shall register for Ph.D. as a full-time candidate in a teaching department of constituent colleges of Yogi Vemana University.

A full-time research student shall devote his/her full-time in pursuing research and shall not engage himself or herself in any other occupation during the minimum period prescribed for research under Regulation-12.

#### **2) RESEARCH ADVISORY COUNCIL:**

Yogi Vemana University Research Advisory Council (YVURAC) is an Advisory body constituted by the Vice-Chancellor to decide on all aspects of research programmes undertaken by the University. It shall meet as and when necessary under the Chairmanship of the Hon'ble Vice-Chancellor.

#### **3) ELIGIBILITY AND ADMISSION OF CANDIDATES:**

A candidate seeking admission into the Ph.D. (Full-Time) programme shall be required to fulfill the following:

- (i) (a) **Educational Qualifications:** Candidate shall possess the Master's degree in any subject of Yogi Vemana University/any other recognized University in accordance with UGC Act, 1956 securing not less than 55% of marks on the aggregate or equivalent letter grade. However, a relaxation of 5% of marks or an equivalent relaxation of grade shall be allowed for those belonging to S.C./S.T./OBC (non-creamy layer) students and candidates of differently-abled categories.  
and
- (b) to have undergone a medical examination by the University medical officer before actual admission so as to verify the physical and mental health of the student for taking up a research programme.
- (ii) Candidates shall be selected for admission on the basis of their performance in the common entrance test conducted by YVU or APRSET, the guidelines of which shall be approved by the YVU/APRSET. A candidate shall secure not less than 40% of marks in the entrance test.
- (iii) Students qualified in National Eligibility Test (NET) conducted by UGC/CSIR (JRF or LS)/APSET/ any UGC accredited examination or any other National level examination equivalent to NET examination, students qualified with a valid GATE score shall be admitted into the Ph.D. (Full-Time) programme. Such candidates need not qualify themselves in YVURCET/APRSET. The validity of GATE score is for only two (2) years prior to the date of notification.

- (iv) Candidates admitted into M.Phil. program through any common entrance test and had completed the first and second semesters shall be eligible for admission into Ph.D. (Full-Time) programme provided such candidates exercise the option to continue research for Ph.D. (Full-Time) program at the end of the second semester. However, candidates who had submitted their M.Phil. dissertations are not eligible for admission into the Ph.D. programme. Such candidates shall register afresh as per Regulation-3(ii) and (iii).
- (v) Teachers working in affiliated UG/PG colleges with 5 years of teaching experience, who wish to pursue Ph.D. (Full-Time) in Yogi Vemana University shall present their research proposals in a seminar before the Departmental Research Committee (DRC). The DRC shall send its recommendations to YVURAC, which shall take a decision with regard to forwarding of their applications to UGC under FIP/FDP programme. Teachers selected under FIP/FDP of UGC need not appear for any common entrance test.
- (vi) Project Fellows working in schemes granted by UGC/CSIR/DST/DBT/MoEF/MoES/DAE/ISRO and other similar funding agencies in Yogi Vemana University/YSR Engineering College/Recognized Research Centres, candidates awarded Rajiv Gandhi National Fellowship (RGNF) and candidates who secured DST-INSPIRE/Moulana Azad National Fellowship/Fellowship by any other National funding agency shall be given provisional admission into Ph.D. (Full-Time) Programme with the conditions given under (a) and (b). However, these candidates shall be required to qualify themselves according to Regulation 3(ii) and (iii) within a period of two (2) years failing which the provisional admission given to such candidates shall be cancelled.
  - (a) Provisional admission for Project Fellows shall be done only after they put up at least one year of research experience in the project. Candidates under this category shall be recommended for admission into Ph.D. (Full-time) programme by the YVURAC subject to satisfactory performance in the seminar on the proposed research topic before the Departmental Research Committee (DRC).
  - (b) In the case of candidates selected under RGNF, DST-INSPIRE/Moulana Azad National Fellowship/Fellowship by any other National funding agency, provisional admission shall be granted irrespective of the stipulated number of vacancies available with the supervisor. A minimum of one RGNF candidate shall be allotted to any duly qualified supervisor (Regulation-8) in the concerned subject by rotation.
- (vii) Extramural Category:
  - (a) Research Institutions, where the candidates are working, should have been recognized by the Yogi Vemana University.
  - (b) Scientists and Technical Officers with P.G. or equivalent degree who have put-in two years of research experience in the said institutions are eligible to register for Ph.D. (Full-Time) Programme under this category. These candidates should have been qualified as given under Regulation 3(ii) and (iii). These candidates shall have two research supervisors, one external and another internal.
  - (c) The External Research Supervisor shall have been recognized by the Yogi Vemana University. The Internal Research Supervisor shall be allotted to the candidate by the YVURAC based on the recommendation of the DRC.
- (viii) Foreign student/ NRI candidate for Ph.D. (Full-Time) programme:  
Foreign/NRI candidates, who wish to register for Ph.D. (Full-Time) programme of Yogi Vemana University shall have obtained P.G. degree recognized by Yogi Vemana University. These candidates shall be given admission based on the criteria adopted by

the YVURAC and approved by the Executive Council of the University from time to time.

- (ix) Admission of candidates working in Industry without entrance test:
  - a) Candidates working in Government Organizations/ Private Sector/ Industry in the executive cadre having 10 or more years of experience are eligible to register for Ph.D. (Full-Time) Programme.
  - b) The candidate shall have published at least TWO Research papers in peer reviewed journals.
  - c) The candidate shall present his research proposal in a seminar before the Departmental Research Committee (DRC). The DRC shall send its recommendations to YVURAC and the decision of the YVURAC is final.

#### **4) REGISTRATION:**

- (i) A candidate seeking admission into Ph.D. (Full-time) in any subject or in an interdisciplinary area shall apply against the notification issued by Director, Directorate of Admissions, Yogi Vemana University, Kadapa or APRSET in the prescribed form who shall conduct the entrance test for all the eligible candidates. The list of successful candidates in the entrance test shall be sent to the respective departments by the Director, Directorate of Admissions, Yogi Vemana University/APRSET. The list of candidates recommended by the DRC shall be forwarded to the Principal, Yogi Vemana University College, Kadapa or Principal, YSR Engineering College of YVU, Proddatur and Dean, Development, YVU. Departmental Research Committee shall also send a copy to Director, Directorate of Admissions, Yogi Vemana University, Kadapa. Ph.D. proceedings shall be issued by the respective Principals of the constituent colleges. Dean, Development, Yogi Vemana University shall issue Ph.D. Proceedings of the students of the Recognized Research Centres of the affiliated colleges with a copy marked to the Principal of the concerned college.
- (ii) Candidates seeking admission in an interdisciplinary area shall obtain the consent of the research supervisors, who wish to supervise the research work of the candidate jointly before submitting the application at the time of notification to the Director, Directorate of Admissions, Yogi Vemana University, Kadapa/APRSET.
- (iii) Every candidate admitted into the program shall communicate the broad area of research to the respective Principal within 45 days from the date of registration. Principal of the University Colleges (Dean, Development in the case of recognized research centres) shall issue proceedings with regard to the title of the research topic.
- (iv) All the copies of the proceedings issued by the Principal/Dean, Development shall also be marked to the respective Faculty Dean and Controller of Examinations.

#### **5) CANCELLATION OF REGISTRATION:**

The registration of a Ph.D. student shall be cancelled within the minimum stipulated period of 3 years by the YVURAC on the recommendation of DRC or on its own after giving due notice to the student under the following conditions:

- i) If the candidate fails to satisfy the conditions stipulated in the admission order or violates the rules and regulations of Ph.D.
- ii) When the progress report is unsatisfactory in two consecutive RRM's.

- iii) When a candidate discontinues research.
- iv) When the student joins or engages himself/herself in any of appointment.
- v) When the candidate requests cancellation due to personal reasons.
- vi) When YVURAC takes decision on the basis of recommendation of the Research Supervisor or any other officer of the University.
- vii) When the candidate does not fulfill the attendance requirements as per Regulation-7.
- viii) If the candidate abstains consecutively on non-medical grounds for ten days or more without prior permission or he/she is engaged in the study of any other full-time course of this or any other University / Institution or engages himself / herself in full-time employment / profession in the University or elsewhere or found guilty of misconduct, indiscipline or fraud or participation in illegal and deviant activities which bring disrepute to the Institution or arouse/incite communal feelings, or group animosities / hostilities or other activities that disturb peace and tranquility of the campus.
- ix) If the candidate fails in Part-I examination even at the last chance provided.
- x) If he/she fails to submit dissertation/thesis even after the maximum period including the period of extension and special permission.
- xi) When plagiarism similarity exceeds 60% in the submitted thesis.

## **6) CONVERSION FROM FULL-TIME Ph.D. TO PART-TIME Ph.D.:**

Candidates who have registered for Ph.D. on full-time basis and passed the Ph.D written examination conducted by this University, but subsequently discontinued the programme on securing Government/Public/Aided Sector employment shall be permitted to continue their research on part-time basis on production of the appointment order, service certificate and no-objection certificate duly signed by the employer. The candidate shall make a request within three months period after joining in the permanent employment. He/She shall pay the prescribed fee and submit the request for conversion to YVURAC through the proper channel. He/She shall be allowed to submit the Ph.D. thesis after a period prescribed herein below:

- (a) Four (4) years for those candidates who have completed one (1) year Full-Time research.
- (b) Two (2) years for those candidates who have completed two (2) years Full-Time research.

## **7) ATTENDANCE:**

- i) Research students shall be required to be present during working hours and shall sign in the attendance register on every working day. The Head of the Department shall maintain the attendance register and submit the monthly statement of attendance of all research students to the Principal/Dean, Development while circulating a copy of the same to all research supervisors.
- ii) A full-time research student shall be permitted to be away from the campus on duties connected with his research work such as field work for collection of materials, consultation in other libraries, data collection etc., for a specific period, which shall not exceed four weeks at a time. However, in case of a abroad visit for the above said purpose, the student shall be permitted for a maximum period of 6 (six) months. The candidate shall apply to the Principal/Dean, Development through Research

Supervisor and the Head of the Department for such work. The Principal/Dean, Development shall issue the proceedings.

- iii) Full-Time women research students shall be permitted to avail maternity leave as per rules.
- iv) A full-time research student, whether in receipt of fellowship/scholarship or not, shall put in at least 75% of attendance and shall not be eligible for any vacation.
- v) A full-time research student shall not abstain from the work except on medical grounds or without prior permission from the Research Supervisor and Head of the Department for not more than ten consecutive days in a term (i.e., 6 months).
- vi) Full-Time research students shall apply for leave of absence to the Head of the Department through the Research Supervisor. The leave account of the research students shall be maintained by Head of the Department making the necessary entries from time to time in the register kept for the purpose.

Such of those research students who shall not comply with the above attendance requirements shall face any or all of the following consequences:

- The Research Student may be denied fellowship/scholarship.
- The Research Student shall not be allowed to appear for Pre-Ph.D. Examinations/cancellation of registration (as per regulation 5(vii) /submission of thesis.

#### **8) ELIGIBILITY OF RESEARCH SUPERVISOR(S):**

- (i) Any Professor/Associate/Assistant Professor of the University/Constituent College with Ph.D. degree, two years Research/Teaching experience after obtaining Ph.D. degree and having at least three research publications in refereed journals shall be recognized as a Research Supervisor. The above condition may be relaxed by YVURAC in cases where the referred journals are not available.
- (ii) 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 outside the Department. If the Co-Supervisor required from other College/Institution, the appointment is considered on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- (iii) A Research Supervisor/Co-supervisor who is a Professor cannot supervise more than Eight (8) Ph.D. students, an Associate Professor cannot supervise more than Six (6) Ph.D. scholars and an Assistant Professor cannot supervise more than Four (4) Ph.D. students at any point of time. This number includes Ph.D. (Part-Time) students also. During any one academic year/admission, not more than three students shall be permitted to register under the guidance of the same supervisor.
- (iv) A vacancy shall be deemed to have arisen under a Research Supervisor when a research student either submits the thesis or completes 6 years in the case of Ph.D. (Full-time) and 8 years in the case of Ph.D. (Part-time) from the date of Registration.
- (v) In case of relocation of a Ph.D. woman student due to marriage or otherwise, the research data shall be allowed by the student to utilize the same for submission of her Ph.D. thesis to the University of relocation chosen by her provided it does not pertain to the project secured by the parent University/ Constituent College/ supervisor from any funding

- agency. The student shall however, give due credit to the parent supervisor and the University/ Constituent College for the part of research already done.
- (vi) Any scientist/ research officer working in National Research Laboratories or research institutes of national importance or other research laboratories/ institutes shall be also permitted to supervise the research subject to his/her fulfillment of conditions applicable to teachers of this University. But the scientist/ research officer shall have to be recognized as an external supervisor (Co-Supervisor) by the Executive Council. An internal Supervisor shall be provided by the Department to all such external supervisors. The research supervisor shall have been recognized as per Regulation-10.
  - (vii) If the research supervisor(s) retires from service or leaves the country for more than six months or resigns or declines to supervise or unable to supervise for valid reasons, the candidate shall be permitted to change the supervisor or shall be allowed to submit the thesis without supervisor provided the candidate has pursued the research for the period given under Regulation-12 and the University shall make the necessary arrangements for the adjudication of the thesis.
  - (viii) Teachers shall not undertake admission of research students into Ph.D. if the date of registration of the student(s) falls within a period of two years from the date of superannuation. However, the teachers shall be permitted to continue research and guide students even after retirement, if any research project is awarded to the teacher by any National funding agency subject to the approval of the Executive Council.
  - (ix) If any of the candidates registered for Ph.D. declines to continue the research under the same supervisor for various reasons after the completion of the minimum period of time, the candidate shall be allowed to submit the thesis without supervisor by YVURAC and the University shall make the necessary arrangements for the continuation of the research work and adjudication of the thesis.
  - (x) When the research supervisor leaves the country or resigns or on long leave/lien/deputation, the candidate shall have the option to transfer himself/herself to work under some other supervisor who is willing to supervise, provided supervisor has a clear vacancy.
  - (xi) In case the research supervisor expires/is dismissed from service, the Departmental Research Committee (DRC) shall allot another supervisor of the department treating the transfer as an additional vacancy.

## **9) RECOGNITION OF RESEARCH CENTRES:**

Affiliated Colleges and Research laboratories of State Government shall apply in advance by paying prescribed fee and listing the details of facilities available. They shall be considered as Recognized Research Centres only, if they satisfy the availability of Research Supervisor(s), infrastructure including equipment for pursuing research, Library facilities including the availability of Research Journals, Computing facilities and supporting administrative staff. Yogi Vemana University shall constitute a separate committee for each department of the college/research laboratory to verify the above facilities. The report of the committee shall be placed before YVURAC for taking a final decision. The committee shall consist of the 1) Chairperson, BoS/Senior faculty member of the department concerned, 2) Dean of the concerned faculty, 3) Nominee of the Vice-Chancellor.

Institutions of repute such as National Research Laboratories need not be inspected.

## **10) RECOGNITION OF RESEARCH SUPERVISORS:**

- (i) A teacher/scientist shall be recognized only if he/she is working in a recognized Research Centre as per Regulation-8(vi). He/She shall have a Ph.D. degree, have at least three (3) research publications in National/International peer-reviewed journals and have two years of experience after obtaining Ph.D. degree.
- (ii) Teacher/Scientist who wishes to be recognized as Research Supervisor shall request the University enclosing his/her academic profile and a challan for prescribed fee. The YVURAC after examination of the request submitted by the candidate shall take a decision.
- (iii) The teacher shall have been appointed on a permanent basis in sanctioned/aided post in a Degree/PG College affiliated to Yogi Vemana University.
- (iv) Each eligible Research Supervisor from affiliated colleges shall be allowed to supervise a maximum of two students (two Ph.D. or one Ph.D. and one M.Phil. students or two M.Phil. students).
- (v) A Research Supervisor from affiliated colleges should have at least three years of service prior to superannuation for registering a candidate under his/her guidance for Ph.D.

## **11) Pre-Ph.D. WRITTEN EXAMINATIONS**

A candidate admitted into Ph.D. (Full-Time) shall be required to undertake a course work consisting of two papers for a minimum period of six months - one on Research Methodology and the other on a broad area of specialization as recommended by the Research Supervisor and Co-supervisor as the case may be. The syllabi and model question paper for Paper-I shall be communicated by Chairperson, Board of Studies and syllabi and model question paper for Paper-II shall be communicated by the Research Supervisor to the Controller of Examinations through Chairperson, BoS. The area/field of research once selected for Pre-Ph.D. examinations shall not be changed. However, such of those candidates who failed in Paper-II shall be allowed to change the subject area with the approval of concerned Faculty Dean. The Pre-Ph.D. examination dates and schedule shall be notified by Controller of Examinations, Yogi Vemana University in the University website. No individual letters shall be sent to research scholars.

- (i) Every full-time Ph.D. candidate shall appear for the written examination consisting of two papers of three-hour duration each normally at the end one year after the registration.
- (ii) A candidate shall be declared to have passed the written examination provided he/she obtains 50% of marks in each of the two papers, ie., Paper-I: Research Methodology (for a maximum of 100 marks), and Paper-II: Broad area of specialization (for a maximum of 100 marks) in order to be eligible to continue in the programme.
- (iii) Candidates who desire to change their topic of research to a topic other than the one offered at M.Phil. degree, under the same guide/or a different guide, shall have to appear for examination in Paper-II. They shall be exempted from appearing for Paper-I: Research Methodology. A candidate who wishes to change their Research Supervisor for Ph.D. after obtaining the M.Phil. degree and continue his/her Ph.D. in the same area as that of M.Phil. degree shall be exempted from Ph.D. written examination (Paper-I & Paper-II).



- (iv) Candidates shall pass the Ph.D. written examinations in three consecutive chances from the date of Registration. Even if a candidate does not appear for Ph.D. written examination, it is counted as an opportunity lost, after which the registration stands cancelled. If a candidate fails to pass the written examination in three consecutive chances, he/she shall be permitted to appear for the written examination once again, on the recommendation of the Research Supervisor (s), Chairperson, Board of Studies and at the discretion of the YVURAC.
- (v) The Ph.D. written examination papers shall be subjected to double valuation by internal and external examiners. Paper-I shall be evaluated by the Chairperson, BoS or any other senior faculty member suggested by the Dean of the concerned Faculty and Paper-II shall be evaluated by the research supervisor of the candidate. The marks awarded by the examiners shall not differ by more than 15%; in such a case third valuation shall be conducted by an examiner in the appropriate panel.

There is no re-valuation of the answer script of the Ph.D. written examinations.

- (vi) A candidate who joined M.Phil degree of this University but subsequently opted to continue research under a Ph.D. program before submission of M.Phil. dissertation shall be exempted from passing the written examination provided the topic of research chosen for Ph.D. is an extension of the topic of research of M.Phil., which shall be decided by Departmental Research Committee (DRC).
- (vii) **PANEL OF EXAMINERS FOR THE EVALUATION OF WRITTEN EXAMINATIONS:** A panel of six (6) examiners shall be submitted by the Chairperson, Board of Studies for Paper I: Research Methodology Similarly another panel of six (6) examiners shall be submitted for Paper-II: Broad area of specialization by the Research Supervisor/Research Supervisors as the case may be to the Controller of Examinations.

## **12) DURATION OF THE PROGRAMME:**

- (i) Research Students registered for Ph.D.(Full-Time) shall submit the thesis not before the completion of a minimum period of three (3) years from the date of registration. Candidates shall complete the programme within a maximum period of six (6) years. However, women research students who availed maternity leave shall submit the thesis not before the completion of a minimum period of three (3) years and an additional period equivalent to the period of the maternity leave availed from the date of registration. Similarly the maximum period shall also be extended depending upon the period of maternity leave availed.
- (ii) If any candidate could not submit the thesis before the expiry of the above stipulated maximum period, he/she shall seek permission for an extension of time from the University (in prescribed Proforma as per the Annexure-I) giving valid reasons by paying the prescribed fee. Permission shall be given for one (1) year at a time but for two (2) times only.
- (iii) No request for extension of time shall be entertained after the expiry of the above-given two extensions and the registration stands cancelled. The student shall register afresh as per Regulation-4.
- (iv) Request for the extension of time shall be submitted to the Principal of the concerned college/Dean, Development through proper channel. All decisions with regard to the extension of time shall be taken by the YVURAC.

### **13) DEPARTMENTAL RESEARCH COMMITTEE (DRC):**

- (i) The Department Research Committee (DRC) shall consist of the Chairperson-Board of Studies (BoS), Head of the Department or Coordinator and all the eligible Research Supervisors. The Chairperson, BoS is the Chairman of the DRC and Convener of DRC is the Head of the Department or Coordinator. The quorum for the meeting is Three.
- (ii) In the case of Departments, where only one or two members are available, the Vice-Chancellor shall nominate one or two faculty members from other departments to make up the quorum.
- (iii) The DRC shall take decisions with regard to allotment of Research Supervisor(s), Change of Supervisor and Change of Title.
- (iv) If a candidate wishes to change the supervisor(s), he/she shall submit a request in the prescribed Performa to the concerned Principal/Dean, Development through proper channel. Principal/Dean Development, in turn, communicates the same to the DRC for its opinion. The request shall be accompanied by relevant documents with regard to the eligibility of the new Research Supervisor(s). If there is no objection from both, a new research supervisor shall be allotted to the student. In case of disagreement, YVURAC shall examine and send its recommendation to the Principal/Dean, Development to take necessary action in the matter.
- (v) University shall permit the change of Topic of research provided if it is done before the Pre-Ph.D. Examination. If the request is submitted after the Pre-Ph.D. examination it shall be referred to the DRC for its recommendation whether the new title represents a major change. DRC shall forward its recommendation to the Principal/Dean, Development, who, in turn shall take a decision with regard to the rewriting of Paper-II (Specialization).
- (vi) **Research Review Meeting** - All the Ph.D research students shall attend the Research Review Meetings (RRM) twice in a year conducted by DRC and make power point/oral presentations. They shall also submit hard copies of research progress in duplicate. The intimation of RRM shall be communicated to the Research Students by the Convener of DRC. If the research student does not attend two consequent meetings, the admission shall be cancelled. The fellowships of the candidates shall be forwarded/extended only after the satisfactory performance in the RRM.

### **14) SEMINAR BEFORE SYNOPSIS SUBMISSION:**

- (i) Each candidate shall present one seminar before submitting the synopsis. The student shall submit two copies of synopsis to DRC.
- (ii) The Dean of the faculty concerned shall be the chairman of the seminar. The Head of the concerned Department shall be the Convener and all other teachers of the Department shall be the members of the seminar committee. The Dean of the faculty, Chairperson, BoS, Head of the Department and Supervisor(s) of the candidate shall be present in the meeting. If any faculty member of the committee represents more than one office or unable to attend the meeting for genuine reasons, the concerned faculty member shall nominate the next senior most person(s) to represent him/her in the seminar.
- (iii) The committee shall accept or reject the research work of the student for submission or shall advise revision if necessary. The student shall reappear with the modifications made. If the suggested modifications are minor in nature, Chairperson, BoS shall authorize and check the modification, recommend and approve the submission of synopsis. The

seminar shall be open to all Faculty members and Research Scholars of the concerned department.

#### **15) SUBMISSION OF THE SYNOPSIS:**

Each candidate shall submit ten (10) copies of the synopsis through proper channel to the Controller of Examination within one (1) month from the date of seminar. Thesis shall be submitted within three (3) months from the date of submission of synopsis. A student is eligible to seek an extension of a maximum period of two (2) months from Controller of Examination by paying a penal fee.

The following shall be enclosed along with the synopsis:

- (i) One soft copy of the synopsis.
- (ii) Certificates from DRC stating he/she has attended the RRM in the department.
- (iii) Recommendations of the Seminar Committee.

#### **16) PANEL OF EXAMINERS FOR ADJUDICATION OF Ph.D. THESIS:**

- (i) The panel for the adjudication of Ph.D. thesis shall consist of nine (9) Professors/Associate Professors with 3 years experience or R & D personnel with Ph.D. and of the rank equivalent to Professor (not less than Scientist E cadre) working in National Institutions (CSIR, TISS, CESS, ISEC, ISRO etc.) for adjudication of whom not less than six (6) shall be from outside the state except in the case of vernacular languages. Not more than one (1) Professor/Associate Professor from any University Department shall be included in the panel of adjudicators. The examiners may be from India or abroad.
- (ii) Professors who have retired from service, but have not attained the age of 67 years may also be included in the panel. Yogi Vemana University teachers who have retired from service or are on lien/deputation shall not be included in the panel. A teacher of any University who has guided the same candidate for M.Phil shall not be included in the panel. The panel of the examiners shall be submitted with all particulars like complete address, designation, telephone numbers/fax/email. etc.
- (iii) The panel of adjudicators for Ph.D. thesis shall be submitted jointly by the Research Supervisor and the Chairperson of the Board of Studies concerned. If the Research Supervisor happens to be the Chairperson, BoS, the panel shall be submitted jointly by the Research Supervisor and the senior most member/next senior most member/Head of the department in order.
- (iv) If no such person is available in the department, the panel shall be submitted jointly by the research supervisor and an external member of the Board of Studies.
- (v) If the Chairperson of the Board of Studies/Senior most member/next senior most member/Head of the Department/external member of the BoS shall not submit the panel

of examiners within 15 days to the Controller of Examinations from the date of submission of the synopsis, the Research Supervisor is authorized to submit the panel.

- (vi) If any of the above has not submitted the panel of examiners to the Controller's office within 15 days of the submission of the synopsis, the Vice-Chancellor shall nominate another member of Board of studies to submit the panel of examiners.

## **17) PREPARATION OF THE THESIS:**

- (i) Every candidate shall submit four copies of the thesis; the text shall be printed on both sides of 75gsm quality paper of A-4 size with font size 12 in Times New Roman and line spacing shall be 1.5. The number of pages shall not exceed 250 in the case of science subjects and 300 in the case of arts, humanities, commerce and management subjects including figures, graphs, and tables. However, the page limit excludes the references and appendices. The language of the thesis shall be only in English except in the case of theses submitted in Indian Languages. One soft copy shall also accompany the thesis.
- (ii) The candidate shall also append copies of relevant research publications to the thesis.
- (iii) For ensuring the originality of the submitted content, the thesis shall be processed by anti-plagiarism software supplied or prescribed by the University. After completion of Seminar, a soft copy of the thesis in word format shall be brought to the office of the Controller of Examinations and shall be processed for the originality. Guidelines to check Plagiarism are given in Annexure-VI. The candidate shall produce evidence in the form of a certificate duly signed by the Research Supervisor and the candidate on the percentage of Plagiarism.
- (iv) Every candidate shall submit a certificate from the research supervisor to the effect that the thesis submitted is a bona-fide record of research work done by the candidate under his/her/ their supervision and that the thesis has not previously formed the basis for the award of Ph.D. degree or any other degree or diploma, associateship or another similar title to the candidate or any other person (in prescribed pro-forma as given in Annexure-IV).
- (v) The thesis shall be submitted through proper channel (through Research Supervisor, Head of the Department, Chairperson, BoS and Principal/Dean, Development) to the Controller of Examinations along with a D.D. drawn in favor of the Controller of Examinations/ University challan towards the prescribed fee and filled-in prescribed proforma given in the Annexure-II.

## **18) PENALTIES FOR PLAGIARISM**

### **1. Plagiarism test**

"Plagiarism" includes an act of academic dishonesty and a breach of ethics. It involves using someone else's work as one's own. It also includes data plagiarism and self-plagiarism. Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Similarities up to 30% including publications are allowed for submission.
- ii. Level 1: Similarities above 30% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

## 2. Penalties for faculty and researchers

### (i) Level 1: Similarities above 30% to 40%

Such Scholar shall not be allowed for submission of the Thesis and shall be asked to submit a revised thesis within a stipulated time period of not exceeding 6 months

### (ii) Level 2: Similarities above 40% to 60%

Such Scholar shall not be allowed for submission of the Thesis and shall be asked to submit a revised thesis after a time period of one year but not exceeding eighteen months.

New research scholars shall not be allocated to such Research Supervisor for a period of two years.

### (iii) Level 3: Similarities above 60%

Such Scholar shall not be allowed for submission of the Thesis and shall be asked to submit a revised thesis after a time period of three years.

New research scholars shall not be allocated to such Research Supervisor for a period of five years.

The thesis shall be checked for plagiarism as per details given in the Annexure-VI.

Penalties in the cases of plagiarism shall be imposed on students pursuing at the level of Ph.D. after academic misconduct on the part of the offender has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend him or herself in a fair or transparent manner. YVURAC, based on recommendations of the Departmental Research Committee (DRC), shall impose penalty considering the severity of the Plagiarism.

- a) **Penalty on repeated plagiarism-** Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed, then the punishment for the same shall be operative.
- b) **Plagiarism reported after the Award of Degree -** In case, any plagiarism is reported to the University after the award of Ph.D. degree, the Vice-Chancellor may constitute an expert committee to enquire into charges of plagiarism and the committee shall submit its report with recommendations of penalty.

The awardee shall be given the opportunity by the committee to the concerned parties as it deems fit.

The Vice-Chancellor shall place the report along with recommendations of the committee before the Executive Council for its consideration and action.

## **19) ENCLOSURES TO BE SUBMITTED ALONG WITH THE THESIS:**

Thesis shall be submitted along with the copies to the Controller of Examinations.

- i) Prescribed application form
- ii) Ph.D. Registration Proceedings
- iii) Proceedings issued confirming the title of the thesis
- iv) University challan/D.D. towards prescribed fee
- v) Pre-Ph.D. Marks Memo
- vi) Lower Degree Certificate and
- vii) S.S.C. Mark Memo/Aadhar Card
- viii) Certificate from the supervisor to the effect that the thesis is an original work of the candidate
- ix) Declaration by the candidate in prescribed pro-forma as given in Annexure-III.
- x) Report of Plagiarism in the format given under Annexure VI.
- xi) Declaration of the Head of the Institution/ Organization in the case of Extramural student

## **20) ADJUDICATION OF THE THESIS:**

The adjudication of the thesis shall consist of examination of the thesis in detail by three external examiners and compulsory viva-voce examination of the candidate. The examiners external to the University shall be selected by the Vice-Chancellor from amongst a panel of twelve names. Consent given by the examiners by e-mail shall be considered as an acceptance for examining the thesis.

- (i) The maximum time given for the examiner to adjudicate the thesis shall be 45 days. The first reminder shall be sent after 45 days and second reminder shall be sent after 60 days. If any examiner doesn't respond within 90 days, the next examiner shall be contacted. The report received after 90 days may or may not be accepted.
- (ii) The examiners are required to:
  - (a) outline the main features of the thesis.
  - (b) critically evaluate the thesis and send a detailed report on the thesis.
  - (c) submit a report (in the format given in Annexure-IX) with a clear recommendation whether in his/her opinion
    - 1) the thesis is accepted for the award of Ph.D. degree in the present form.
    - 2) the thesis is to be revised and placed before Viva-Voce Committee.
    - 3) the thesis is to be revised and resubmitted for evaluation by the same adjudicator.
    - 4) the thesis is rejected:
- (iii) The University shall take a decision on the thesis based on the three reports according to the following Table-1:

**Table-1: Evaluation of Thesis**

Recommendations of the Examiners			University Decision
1	2	3	
Accept	Accept	Accept	Accept
Accept	Accept	Revise	Revise; the thesis shall be sent to the third examiner after revision
Accept	Revise	Revise	Revise; the thesis shall be sent to the second and third examiners after revision.
Revise	Revise	Revise	Revise; the thesis shall be sent to all the three examiners after revision.
Accept	Accept	Reject	The thesis shall be examined by appointing a fourth examiner
Accept	Revise	Reject	Revise; The thesis shall be revised and sent to the second examiner after revision. The thesis shall also be examined by a fourth examiner after appointment.
Revise	Revise	Reject	Revise; The thesis shall be revised and sent to the first and second examiners after revision. The thesis shall also be examined by a fourth examiner after appointment.
Accept	Reject	Reject	Reject
Revise	Reject	Reject	Reject
Reject	Reject	Reject	Reject

- (iv) For revision and resubmission of the thesis, the candidate shall be given a maximum period of one year from the date of communication of the report(s) to the candidate.
- (v) The revised thesis shall be referred to those examiners who have originally recommended revision and resubmission for evaluation.
- (vi) A candidate shall not be permitted to submit the thesis more than twice. However, the appeal lies with Executive Council for reconsideration, in which case the decision of Executive Council shall be final.

**21) VIVA-VOCE EXAMINATION:**

After receipt of the reports from the three examiners in the prescribed formats as per Regulation-20, one of them shall be appointed as External member by the Vice-Chancellor for the conduct of Viva-Voce examination. The Open Viva-Voce examination shall be conducted in the concerned Department or in one of the seminar halls of the Yogi Vemana University.

- (i) The Viva-Voce committee shall consist of the following:
  - (a) **External Member** of the adjudication committee
  - (b) **Chairman** - The Dean of the Faculty concerned/ Next Senior Professor in the Faculty.
  - (c) **Member** - The Chairperson of the Board of Studies (PG/Combined) in the concerned Subject or next senior most BoS member.
  - (d) **Member** - The Head of the Department concerned or Next Senior teacher in the Department.
  - (e) **Member** - Co-supervisor as the case may be.

(f) **Convener** - The supervisor or co-supervisor of the candidate

If any teacher holds more than one position of the above (b) to (d), he/she shall represent only one of them. The quorum of the Viva-Voce committee is three (3). Presence of the Research Supervisor(s) and External member are compulsory.

- (ii) The reports of the external examiners shall be placed before the Viva-Voce committee for Examination.
- (iii) The viva-voce committee shall examine the understanding of the subject by the candidate, including methodology adopted and his/her competence in the field of study.
- (iv) The candidate shall clarify any of the points raised by anybody present in the viva-voce examination.
- (v) The viva-voce committee shall recommend
  - a) Award of the Ph.D. Degree to the candidate.
  - b) If the majority of the members present in the *viva-voce* committee shall not recommend the award of the degree, a second *viva-voce* examination shall be held by appointing another Indian examiner of the adjudication committee as an External Member. The second meeting of the *viva-voce* committee shall be held after the lapse of one month but before three months from the date of first meeting. The minutes of the second *viva-voce* committee meeting shall be communicated to the Controller of Examinations.
  - c) Candidate shall not be permitted to appear for *viva-voce* examination for more than twice.
- (vi) One hard copy of approved Ph.D. thesis along with a soft copy in INFLIBNET format shall be submitted by the candidate to the Convener at the time of viva-voce examination. The Convener shall forward the above along with proceedings of the viva-voce committee to the Controller of Examinations.
- (vii) The Controller of Examinations shall send the hard copy of the thesis to the University Library. The soft copy shall be uploaded into UGC INFLIBNET, so that thesis is accessible to all the Institutions/Universities.



## **22) AWARD OF DEGREE:**

The original adjudication reports and Viva-Voce committee report shall be forwarded to the Controller of Examinations by the convener of the Viva-Voce Committee, who shall place them before the Vice-Chancellor for consideration and recommendation of the award of Ph.D. Degree. The Vice-Chancellor shall examine both the reports and shall consider the recommendation of the award of degree to the Executive Council. The Executive Council shall declare the candidate eligible for the award of Ph.D. Degree. The Controller of Examination shall issue the notification of award of the degree.

## **23) TRANSITORY REGULATIONS:**

- (i) The academic regulations should be read as a whole for purposes of any interpretation.
- (ii) In the case of any doubt or ambiguity in the interpretation of the above rules, the decision of the YVURAC is final.
- (iii) The University shall have the right to amend or modify any or all of the above regulations whenever necessary.
- (iv) The regulations shall come into force with effect from 2018-19 academic year.
- (v) Students registered earlier shall be allowed to complete the programme on the basis of earlier regulations.

\*\*\*\*\*

## ANNEXURE-I

### YOGI VEMANA UNIVERSITY:: KADAPA

#### Application for Extension of Time for Submission of Ph.D. Thesis

1. Name of the Candidate and address for Communication (in Block Letters) :
2. Name of the Department :
3. State whether the registration is interdisciplinary  
If so, mention the name of the other department :
4. Name of the Research Supervisor(s) with Official Address :
5. Date of admission  
(Enclose the copy of registration proceedings issued) :
6. State whether registered for Full-time/ Part-time :
7. Details of the written examination : Reg. No.: Month Year  
Passed
8. If the candidate is exempted from written examination  
mention details of passing M.Phil. examination :
9. Extension of time required :
10. If already granted extension(s), mention details :
11. Specific reasons for seeking of Extension of time (enclose separate sheet) :

12. Details of prescribed fee paid

I declare that the statements given above are true and correct to the best of my knowledge.

DATE:

SIGNATURE OF THE CANDIDATE

13. Specific Remarks/Recommendations :  
of the Research Supervisor(s)

DATE:

SIGNATURE OF THE RESEARCH SUPERVISOR(S)

14. Specific Remarks of the Head of the Department :

DATE:

SIGNATURE OF THE HEAD OF THE DEPARTMENT

DATE:

SIGNATURE OF THE CHAIRPERSON, BOARD OF STUDIES

DATE:

SIGNATURE OF THE PRINCIPAL/DEAN, DEVELOPMENT

OFFICE USE

## ANNEXURE-II

### YOGI VEMANA UNIVERSITY:: KADAPA

#### Application for Submission of Ph.D. Thesis

1. Name of the Candidate and address for communication (In Block Letters) :
2. Name of the Department :
3. State whether the registration is interdisciplinary :  
If so, mention the name of the other department
4. Name of the Research Supervisor(s) with Official Address :
5. Date of admission :  
(Enclose the copy of admission proceedings issued) :
6. State whether registered for Full-time/ Part-time :
7. Details of the written examination : Reg. No.: Month Year  
Passed
8. If the candidate is exempted from written examination mention details of passing M.Phil. examination :
9. The subject of Research as given at the time of registration :
10. Title of the Thesis :
11. If permission to change the title is accorded, and if so, mention the number and date of proceedings issued :  
(enclose a xerox copy of the proceedings)

- 12. If the candidate is granted extension of time for submission of thesis and if so, mention the proceedings number and date and also state the date upto which the extension is given (enclose a copy of the proceedings ) :
  
- 13. No DUES certificate from i) Department, ii) Warden, iii) Library and iv) Principal (Original Enclose) :
  
- 14. Details of prescribed fee paid (Original Enclose) :
  
- 15. Other enclosures as per Regulation-17 :

I declare that the statements given above are true and correct to the best of my knowledge.

SIGNATURE OF THE CANDIDATE

The candidate has presented the seminar on the topic. Further certified that the candidate has no dues to the Office/Department./Hostel/Library

SIGNATURE OF THE  
RESEARCH SUPERVISOR(S)  
WITH DATE

SIGNATURE OF THE  
HEAD OF THE DEPARTMENT  
WITH DATE

Certified that the candidate has fulfilled all the requirements for submission of the thesis and that the candidate has submitted the progress reports regularly.

SIGNATURE OF  
CHAIRMAN OF BOARD OF STUDIES

FORWARDED BY

PRINCIPAL/DEAN, DEVELOPMENT

### ANNEXURE-III

#### *Declaration by the Candidate*

### **DECLARATION**

I hereby declare that the thesis submitted by me entitled, “\_\_\_\_\_” in partial fulfillment for the award of Doctor of Philosophy (Ph.D.) in the Department of \_\_\_\_\_, Yogi Vemana University, Kadapa, is the result of research investigations carried out by me under the Research Supervision of \_\_\_\_\_, Department of \_\_\_\_\_. The work is original and has not been submitted for the award of any other Degree/Diploma of this University or any other University.

Place:

Date:

Signature

Name of the Candidate and address:

## ANNEXURE-IV

*Certificate by the Research Supervisor(s)*

### **CERTIFICATE**

This is to certify that the thesis entitled “ \_\_\_\_\_ ” submitted by Mr/Ms/Smt. \_\_\_\_\_ in partial fulfillment for the award of Ph.D. in \_\_\_\_\_ by Yogi Vemana University, Kadapa is a record of bonafide work carried out by him/her under my(our) research supervision.

The results embodied in this thesis have not been part of research work submitted for the award of any other degree or diploma of this University or any other University or Institute.

Signature of the Co-Supervisor

Signature of the Supervisor

Name and Designation

Name and Designation

**ANNEXURE-V**

*Certificate by the Head of the Institution/Director of Organization*

**CERTIFICATE**

This is to certify that the thesis entitled “ \_\_\_\_\_ ” submitted by Mr/Ms/Smt. \_\_\_\_\_ in partial fulfillment for the award of Ph.D. in \_\_\_\_\_ by Yogi Vemana University, Kadapa is a record of bona-fide work carried out by him/her in our Organization/Institution.

**Signature of the Head/Director of  
Organization/ Institution  
Name and Designation**



ANNEXURE-VI

**Plagiarism Verification**

- 1. Name of student :
- 2. Title of the Ph.D. Thesis :
- 3. Department :
- 4. Name of Research Supervisor(s) :  
Official Designation & Address :

The above thesis is scanned for similarity detection. The report is as follows:

Software used: \_\_\_\_\_ Date: \_\_\_\_\_  
Similarity Index: \_\_\_\_\_ Total word count: \_\_\_\_\_

The report is attached for the review by the student and Research Supervisor(s):

The similarity index is below accepted norms.  
(or)

The similarity index is above accepted norms, because of the following reasons:

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

The thesis may be considered for submission to the University. The software report is attached.

Signature of the Student

Signature of the Research Supervisor(s)  
with Seal

## **GUIDELINES TO CHECK PLAGIARISM:**

- i) **Definition:** 'Plagiarism' is the unacknowledged use of another person's work as one's own work. Plagiarism involves copying of Phrases, clauses, sentences, paragraphs, or longer extracts from published or unpublished work including from any source including internet without acknowledgement of the source.
- ii) **Methods of Plagiarism:**
  - (a) Quoting directly another person's language, data, illustration, tables, etc. without due acknowledgement of the source.
  - (b) Copying a section of book/article/report/monograph/dissertation/thesis without proper citation.
- iii) **Self-Plagiarism:** Copying/reproducing, in part or whole one's own published work without giving proper reference of that work.
- iv) **Golden Rule to avoid the Plagiarism:**
  - (a) The original author (s) shall given the proper citation and proper reference.
  - (b) The sentence shall be placed in inverted commas, if text is quoted verbatim.
- v) **Zero Tolerance Policy in core area:**

The core work carried out by the student shall be based on original ideas and shall be covered by Zero Tolerance Policy on Plagiarism. The core work shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations.

vi) **Levels of Plagiarism in non-core areas:**

For all other (non-core) cases, plagiarism shall be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Similarities up to 30% including publications are allowed for submission.
- ii. Level 1: Similarities above 30% to 40%.
- iii. Level 2: Similarities above 40% to 60%.
- iv. Level 3: Similarities above 60%

vii) **Exclusion of items under Plagiarism check:**

The exclusion at the time of performing the check should be limited to the following:

- a) All quoted work either falling under public domain or reproduced with all necessary permission and/or attribution.
- b) All references, bibliography, table of content, preface and acknowledgements.
- c) All generic terms, laws, standard symbols, standards equations, mathematical formulae, Name of the Institutions, Departments etc.
- d) A common knowledge or coincidental terms, up to fourteen (14) consecutive words.

**Note:** The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

**viii) Procedure for reconciliation of plagiarism reports:**

If a draft thesis is found to have been plagiarized and is reported to Departmental Research Committee, then the Departmental Research Committee shall call the candidate to hear the candidate's view. The Departmental Research Committee shall submit its recommendations keeping in view of the following guidelines after considering the view of the candidate:

- (a) The similarity between documents is within the limit (not more than 10%) for putting some original results in proper context and all original sources are correctly cited, the similarity is not of such nature which directly affects the original findings of research.
- (b) Self plagiarism or cases where published work of the student is shown as Plagiarism in the check, a certificate (Self Plagiarism Exclusion Certificate-Annexure-VII) shall be issued by the supervisor specifying and attaching the articles that have been published by the student from the thesis work. Only these articles shall be excluded from the check; no other article of the student or the supervisor shall not be excluded from the check.
- (c) In case of candidate's earlier published work, candidate shall be required to submit thesis with proper citations. If the published work is co-authored by others, the researcher shall submit a consent letter (Annexure-VIII) from co-author(s) and publisher permitting him to use the work in his/her thesis under proper citation.

**ix) Detection/Reporting/Handling of Plagiarism:**

If any member of the academic community suspects with appropriate proof that a case of plagiarism exists in any document, he/she shall report it to the Controller of Examinations of the University. Upon receipt of such a complaint or allegation the University authorities shall refer the case to the Departmental Research Committee of the concerned subject, who in turn shall submit a report to the Yogi Vemana University Research Advisory Council (YVURAC).

The authorities of Yogi Vemana University shall take *su motu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly proceedings can also be initiated by the University on the basis of findings of an examiner.

**ANNEXURE-VII**

**Self Plagiarism Exclusion Certificate from Research Supervisor**

The content of the chapters ..... have been published in

- 1.
- 2.
- 3.
- 4.

This published work has been included in the thesis and has not been submitted for any degree to any University/Institute.

Signature of the Student

Signature of the Research Supervisor(s)

**ANNEXURE-VIII**

**Self Plagiarism Co-author(s) Certificate**

This is to certify that we have published the following articles jointly and we are hereby giving our consent to include the work in the thesis entitled “.....” submitted by .....

Title of the article	Name of Journal / Book with the details (ISSN No., etc.)
----------------------	--

**Signature(s) of the Co-author(s)**



## **PART-II: REPORT**

(The report should be comprehensive and should cover all the merits and demerits including questions for viva-voce examination and also contain detailed suggestions for revision, if recommended for revision. Further, the adjudicator is requested to send a covering letter on an official letter head.)

-----Report printed is to be enclosed separately-----

**Signature of the adjudicator**

## **PART-III: RECOMMENDATION**

After thorough examination of the thesis in its present form, I recommend that

- A) the thesis is accepted for the award of Ph.D. degree in the present form and :   
recommended for Viva-Voce Examination.
- B) the thesis is to be revised and placed before Viva-Voce Committee:
- C) the thesis is to be revised and resubmitted for evaluation:
- D) the thesis is rejected:

**(Please put tick mark (√) in only one appropriate box)**

**Signature of the adjudicator**