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## VIDYASHILP UNIVERSITY Ph.D. REGULATIONS

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*Amended Vidyashilp University Ph.D. Regulations recommended by the Research and Innovation Council vide Resolution No. 3.4 in the 3<sup>rd</sup> Meeting held on 02/08/2023 (Ref No: VU/RIC/003/MOP/08-2023) and approved by the Academic Council vide Resolution No. 3.11 in the 3<sup>rd</sup> Meeting held on 12/08/2023 (Ref. No: VU/AC/003/MOP/08-2023); Ratified by the Board of Management in its 3<sup>rd</sup> Meeting held on August 26, 2023, and adopted by the Board of Governors in its 4<sup>th</sup> Meeting held on September 23, 2023.*

September 2023

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# Vidyashilp University Ph.D. Regulations

## 1. Preamble

Vidyashilp University (VU) offers Research Programs leading to the award of the degree of Doctor of Philosophy, abbreviated as Ph.D. through its Schools / Departments / Research Centres. The work leading to the award of the Ph.D. degree is in recognition of an independent and original research work that in some way adds to the existing knowledge, or is a novel interpretation of facts existing, or provides an innovative solution by way of offering a product or service. In line with the National Education Policy 2020, the Ph.D. program offered by VU encourages research in interdisciplinary / multidisciplinary areas.

In exercise of the powers conferred by and in discharge of duties assigned under the relevant provisions of the Vidyashilp University Act, 2020, Statutes and Regulations, made thereunder, the Academic Council on the recommendations of the Research and Innovation Council, hereby makes the following Regulations, namely;

## 2. Short Title, Commencement and Application

- a) These Regulations shall be called the **Vidyashilp University Ph.D. Regulations**.
- b) They shall come into force with immediate effect.
- c) The degree of Doctor of Philosophy (Ph.D.) shall be conferred on a Research Scholar who successfully completes all the requirements specified in the **Vidyashilp University Ph.D. Regulations**.
- d) These Regulations are in accordance with the provisions and guidelines of the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022. Further Amendments as notified, shall be amended to these Regulations.

## 3. Definitions

In these Regulations, unless the context otherwise requires:

- a) *“Academic Council” means the Academic Council of the University;*
- b) *“Academic Regulations” means the Academic Regulations of Vidyashilp University;*
- c) *“Act” means the Vidyashilp University Act, 2020;*
- d) *“Centre” means a Vidyashilp University Research Centre established for monitoring, supervising and guiding, teaching, training and research activities in broadly related fields of studies;*
- e) *“Clause” means duly numbered Clauses of these Regulations;*
- f) *“Co-Supervisor” shall mean a faculty member (Regular / Professor of Practice / Adjunct Professor / Emeritus Professor) of the University / any other UGC recognized University, or, a scientist / senior professional / domain expert in a reputed organization / industry approved to co-supervise / co-guide the research / academic work of the Research Scholar;*
- g) *“Course” means, a specific subject usually identified by its course-code and course-title, with specified credits and syllabus / course-description, a set of references, taught by some faculty*

*member(s) / Course-instructor(s) to a specific class during a specific Academic Semester / Term*

- h) *"Dean" means the Dean of School / Centre of the University;*
- i) *"Degree" means the Degree of Doctor of Philosophy (Ph.D.) of the University;*
- j) *"Full-time Research Scholar" shall mean a student admitted to the Ph.D. Program of the University and devoting full-time for completing the degree requirements;*
- k) *"Part-time Research Scholar" shall mean a student admitted to the Ph.D. Program of the University and continues to be employed in a University / Institute / Organization, or, self-employed / not employed during the Ph.D. Program;*
- l) *"Program" means Ph.D. Degree Program of the University;*
- m) *"Program Chair" means the Program Chair / Head of the Department / School within the University;*
- n) *"Registrar Evaluation" means the Registrar Evaluation of the University;*
- o) *"Research Advisory Committee" (RAC) means the Research Advisory Committee assigned to the Research Scholar;*
- p) *"Research and Innovation Council (R&IC)" means the Research and Innovation Council of the University;*
- q) *"Research Scholar" shall mean a student admitted to the Ph.D. Program of the University;*
- r) *"Research Supervisor" shall mean a regular full-time faculty member of the University approved to guide/supervise the research/academic work of the Research Scholar;*
- s) *"School/Department" means a constituent School / Department / Centre of the University established for monitoring, supervising and guiding, teaching, training and research activities in broadly related fields of studies;*
- t) *"Section" means duly numbered Sections of these Regulations;*
- u) *"Statutes" means the Statutes of Vidyashilp University;*
- v) *"Sub-Clause" means duly numbered Sub-Clauses of these Regulations;*
- w) *"Supervisors" means Research Supervisors and Co-Supervisor(s) as applicable;*
- x) *"UGC" means University Grants Commission of India established by the UGC Act 1956;*
- y) *"University/VU" means Vidyashilp University;*
- z) *"Vice Chancellor" means the Vice Chancellor of Vidyashilp University.*

## 4. Categories of Admission

Candidates shall be admitted to the Ph.D. Program under one of the following categories:

### 4.1 Full-time Research Scholar:

- 4.1.1 Research Scholar with UGC-JRF Fellowship, or with Fellowships like National Doctoral Fellowship (NDF), Council of Scientific and Industrial Research (CSIR), Department of Biotechnology (DBT), National Board for Higher Mathematics (NBHM) and such other fellowships from nationally recognized agencies, or;
- 4.1.2 Research Scholar, including foreign national, sponsored with leave for a minimum of 3 years, from the sponsoring Institute / Organization, or;
- 4.1.3 Research Scholar with Vidyashilp University Research Fellowship, or;
- 4.1.4 Self-Financed Research Scholar

### 4.2 Part-time Research Scholar:

Part-time Research Scholar who is a regular employee in a UGC recognized College / University or Industry / Organization, Sponsored / Self-financed by the said College / University / Industry / Organisation or Faculty / Research staff of VU.

### 4.3 Admission of Foreign Nationals:

Admission of foreign nationals to the Ph.D. program shall be made as per the policies and directions of the Government of India issued / notified from time to time.

## 5. Eligibility Criteria for Admission

The following are eligible to seek admission to the Ph.D. Program:

- 5.1 Candidates for admission to the Ph.D. Program shall have successfully completed:
  - 5.1.1 A 1-year Master's degree Program (after 4 year undergraduate degree) with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10- point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, 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, or;
  - 5.1.2 A 2-year Master's degree Program, with the same conditions as in sub-clause 5.1.1 above, or;
  - 5.1.3 A 4-year Bachelor's degree with Research with a minimum CGPA of 7.50 on the UGC-10 point scale, or an equivalent grade, or;
  - 5.1.4 A 4-Year Bachelor's degree in Engineering / Technology / Design / Architecture with a minimum CGPA of 7.50 on the UGC-10 point scale, or an equivalent grade.
- 5.2 M.Phil. coursework with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a Foreign 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. Program.
- 5.3 A candidate whose M.Phil. dissertation has been evaluated and recommended for award of the degree, may be admitted to the Ph.D. Program on a provisional basis even before the viva-voice or final defense.
- 5.4 The relaxation of the eligibility criteria for those belonging to SC / ST / OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates shall be as per the directives of the UGC / State Government.
- 5.5 Any amendments in the eligibility criteria notified by UGC / Statutory bodies from time to time shall be applicable and notified by the University.
- 5.6 Additional eligibility criteria for admission to the Ph.D. Program for Part-time Research Scholars:
  - 5.6.1 The candidate must submit a 'No Objection Certificate' (included in Annexure A) from the employer to the effect that the duties allotted by the employer will allow the required time for pursuit of the research work and completion of the mandatory Ph.D. coursework requirements.

- 5.6.2 Additionally, the faculty or research staff of VU need to provide an undertaking (included in Annexure A) that he / she will continue and complete all the academic and administrative work assigned by the School / Department, while being a Part-time Research Scholar in the Ph.D. Program.

## 6. Duration of the Program

- 6.1 Ph.D. Program shall be for a minimum duration of two (02) years from the date of Ph.D. Registration Confirmation (Refer Section 17), and a maximum duration of four (04) years from the aforementioned date.
- 6.2 In the case where the performance and research progress of a Research Scholar has been exceptional, the minimum duration of Ph.D. Program may be reduced by six (06) months upon the recommendation of the concerned Research Advisory Committee (RAC) and approval of the Research and Innovation Council (R&IC).
- 6.3 Extension of the maximum duration of the Ph.D. Program may be permitted by the R&IC on the recommendation of the RAC. However, such extension shall not exceed two (02) years. Failure to submit the Ph.D. Thesis within the stipulated maximum duration shall result in the cancellation of the Ph.D. Registration.
- 6.4 Women Ph.D. Scholars may be provided Maternity Leave / Child Care Leave for up to two hundred and forty (240) days in the entire duration of the Ph.D. Program. Provided further that, women Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (02) years; however, the total period for completion of a Ph.D. Program in such cases should not exceed ten (10) years from the date of admission in the Ph.D. Program.

## 7. Procedure for Admission

- 7.1 The Ph.D. Program will commence twice in an Academic Year, viz., Odd Semester beginning in August and the Even Semester beginning in January.
- 7.2 The notification for admission for Ph.D. Program will be announced well in advance through University Notification and on the University website. The University Notification will specify the details of the eligibility criteria for admission, procedure for admission, dates of the Ph.D. Entrance Test (PET) and other relevant information.
- 7.3 Application for Admission  
Candidates desirous of admission into the Ph.D. program shall obtain the prescribed Application Form from VU Admissions Office or from the VU website. The candidate shall submit the Application Form (Refer Annexure A) along with a brief Statement of Research Purpose (of about 500 words), experience certificate, if any, and research publications, if any, to the University Admissions Office. The candidate must ensure that the Application Form is complete in all respects and it must be enclosed with all the necessary documents before submitting the application on or before the specified last date for submission. A non-refundable Application Fee as decided by the University from time to time shall be paid by the candidate to the University along with the completed Application Form.

#### 7.4 Selection Process

The selection process has two stages:

##### 7.4.1 Ph.D. Entrance Test (PET)

Candidates fulfilling the minimum eligibility criteria for Ph.D. Admission as specified in Section 5 shall be required to take the PET followed by an Interview / Viva-Voce. The candidates must obtain a minimum of 50% marks in the PET to qualify for the Interview / Viva-Voce.

Candidates fulfilling the criteria given in Clause 7.7 shall be exempted from the PET.

##### 7.4.2 Interview / Viva-Voce

The candidates who have qualified in the Entrance Test would be required to appear before an Interview Panel authorised by the R&IC. The interview / viva-voce process shall assess the research orientation and the preparedness of the candidate for the Ph.D. Program in the chosen domain of Research.

7.5 The final selection shall be based on the evaluation of the PET and Interview / Viva-Voce with a weightage of 70% to the PET and 30% to the performance in the Interview / Viva-Voce.

7.6 The selection of candidates exempted from the PET shall be based only on the performance in the Interview / Viva-Voce.

##### 7.7 Exemption from PET

Candidates fulfilling the following criteria will be exempted from PET and will directly appear for the Interview / Viva-Voce:

7.7.1 UGC / CSIR / NET/ GATE qualified research fellows or project fellows / research fellows sponsored by the UGC / CSIR / ICSSR / NDF / ICMR / DBT / NBHM or any other such recognized national / international organizations.

7.7.2 Obtained M.Phil. Degree and satisfies the eligibility criteria as per Clauses 5.2 and 5.3

7.7.3 Submitted M.Phil. Dissertation but Viva-Voce examination and award of degree are pending. However, such candidates, if selected, will be admitted to the Ph.D. Program only on completion of the M.Phil. Degree as per the eligibility criteria specified in Clauses 5.2 and 5.3.

7.8 The final merit list of selected candidates for the Ph.D. program shall be declared within two (02) working days from the completion of the Interview / Viva-Voce and shall be displayed on the official website of the University on the scheduled date.

## 8. Vidyashilp University Research Fellowship (VURF)

8.1 VU has instituted a VURF of the amount as approved by the Board of Management from time to time. The total number of VU Research Fellowships available at any particular time shall be notified by the University.

8.2 Research Scholars who are admitted as full-time Research Scholars and do not already hold a fellowship granted by any other body may apply for the VURF to the Chairperson,

Research and Innovation Council (R&IC) through the Chairperson, Research Advisory Committee (RAC) through the format as specified in Annexure B.

- 8.3 The Chairperson, R&IC shall constitute a committee to evaluate all applications for VURF. The committee shall submit the merit list of Research Scholars recommended for the award of the VURF to the Chairperson, R&IC, who shall decide and approve the final list of Research Scholars selected for the award.
- 8.4 The Research Scholars who are awarded the VURF shall be required to submit an affidavit and undertaking to abide by the terms and conditions under which the VURF is awarded.
- 8.5 The continuation of the VURF on a monthly / yearly basis is contingent on satisfactory academic and research performance.
- 8.6 The maximum duration for which VURF can be awarded is three (03) years or till the end of the month in which the Ph.D. Thesis is submitted, whichever is earlier.
- 8.7 Extension of the VURF shall be on the recommendation of the RAC and approval of the R&IC. However, such an extension of VURF shall not exceed six (06) months.
- 8.8 Those Research Scholars who are not awarded the VURF or for whom VURF is discontinued can continue with the Ph.D. Program as self- financing Research Scholars.

## 9. Research and Innovation Council (R&IC)

The Research and Innovation Council is a statutory authority set up under the provisions of the Act and shall coordinate and exercise general supervision over the Innovation and Research policies of the University. The R&IC shall govern all the aspects of the Ph.D. Program of the University as specified by the Act and Statutes of the University.

## 10. Research Advisory Committee (RAC)

- 10.1 The Chairperson, R&IC shall constitute the Research Advisory Committee (RAC) for every Research Scholar admitted to the Ph.D. program. The composition of the RAC shall be as follows:

<b>Chairperson</b>	Program Chair / Dean of the School in which the Research Scholar is admitted
<b>Convener</b>	Research Supervisor of the Research Scholar
<b>Member(s)</b>	Co-Supervisor(s), if any, of the Research Scholar
<b>Member</b>	One faculty from the School / other School in the relevant field of research nominated by Chairperson RAC
<b>Member</b>	One external expert nominated by Chairperson RAC

- 10.2 The RAC for a Research Scholar shall be appointed within a week, but not later than a month from the date of Provisional Registration (at the time of admission) by the Program Chair, with approval of the Chairperson, R&IC.



- 10.3 The term duration of the RAC shall be until the completion of the Ph.D. Defense Viva-Voce of the Research Scholar.
- 10.4 The quorum for the RAC meeting shall be three (03).
- 10.5 The responsibilities of the RAC shall include the following:
  - 10.5.1 Ensure that all provisions and guidelines of the Vidyashilp University Ph.D. Regulations are complied with;
  - 10.5.2 To review the research proposal submitted after the coursework and finalise the topic;
  - 10.5.3 To guide the Research Scholar to develop the research design and methodology and approve the courses that he / she may have to do.
  - 10.5.4 To ensure that the Research Scholar(s) and Supervisor(s) follow the best practices of research, documentation / publishing / communication and not resort to plagiarism or any unethical publishing practices.
  - 10.5.5 To periodically review and assist the Research Scholar in the progress of his / her research work. The RAC shall meet at least once in an academic semester (about once every six months) to review the Research Progress Report (Refer Section 18) submitted by the Research Scholar. The RAC shall submit its Research Progress Assessment Report to the R&IC and a copy of the same shall be given to the Research Scholar. In case, the progress of the Research Scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the Research Scholar fails to implement these corrective measures, the RAC may recommend to the R&IC, with specific reasons, for cancellation of the registration of the Research Scholar.

## 11. Research Supervisor and Co-Supervisor

- 11.1 Research Supervisor
  - Each Research Scholar shall be assigned one Research Supervisor who is duly approved by the R&IC.
  - 11.1.1 A full-time Professor / Associate Professor of the VU with at least five (05) research publications in refereed journals, or, a full-time Assistant Professor of the University with a Ph.D. Degree and at least three (03) research publications in refereed journals shall be recognised as a Research Supervisor of the University.
  - 11.1.2 Any change in the eligibility for Research Supervisor and Co-Supervisor shall be as per the directives of UGC / Statutory bodies from time to time.
  - 11.1.3 In the event that in areas / disciplines where there is no or only a limited number of peer reviewed or refereed journals, VU may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
  - 11.1.4 A Research Supervisor who is a Professor will guide not more than eight (08) Research Scholars, an Associate Professor as Research Supervisor will guide up to a maximum of six (06) Research Scholars and an Assistant Professor as Research Supervisor will guide up to a maximum of four (04) Research Scholars at any given

point of time. The prescribed number of Maximum Research Scholars is inclusive of Co-supervision also.

## 11.2 Co-Supervisor

In the case of research areas that are interdisciplinary, multidisciplinary or industry-based / collaborative work, the RAC may recommend the assignment of a Co-Supervisor along with the Research Supervisor for a particular Research Scholar.

- 11.2.1 A Co-Supervisor may be a full-time regular Professor / Associate Professor of the University or any other UGC recognized University with at least five (05) research publications in refereed journals, or, any full-time regular Assistant Professor of the University or any other UGC recognized University, with a Ph.D. degree and at least three (03) research publications in refereed journals; Provided that in areas / disciplines where there is no or only a limited number of refereed journals, the above condition for recognition as a research supervisor shall be relaxed and reasons be recorded in writing, or;
- 11.2.2 A Professor of Practice / an Adjunct Professor / an Emeritus Professor of the University, or;
- 11.2.3 A Scientist / Senior Professional / Domain Expert in a reputed organization / industry with recognized qualifications and expertise in the relevant areas / disciplines and with refereed publications, innovation projects, patents, consulting experience, and such other recognized credentials.
- 11.2.4 A Co-Supervisor who is not a faculty member of the University shall give his / her consent and undertaking that he / she will adhere to these Regulations and instructions pertaining to the Ph.D. Program issued by the University from time to time, and be present at the RAC meetings.
- 11.2.5 A Co-Supervisor who is not a faculty member of the University shall not be entitled to any periodic remuneration or honorarium for being a Co-Supervisor. However, the actual expenses pertaining to travel and other such related expenses to attend the RAC meetings or any other visits to the University pertaining to the Ph.D. program shall be reimbursed as per the University norms.
- 11.2.6 The maximum number of Research Scholars a Co-Supervisor who is not a faculty member of VU can have under his / her supervision shall be six (06) at any given time.
- 11.2.7 A Research Scholar may be assigned a maximum of two (02) Co-Supervisors as recommended by the RAC and approval of the R&IC.

- 11.3 The responsibilities and functions of the Research Supervisor and Co-Supervisor are placed in Annexure C.



## 12. Ph.D. Program Structure

The Ph.D. Program structure consists of the following stages:

- a) Provisional Registration, formation of RAC and allocation of Supervisors
- b) Ph.D. Coursework and Minimum Grade Requirement
- c) Comprehensive Viva-Voce / Examination and Research Proposal Assessment
- d) Ph.D. Registration Confirmation / Cancellation
- e) Research Progress Report and Assessment
- f) Pre-Synopsis Report and Seminar
- g) Synopsis and Thesis Submission
- h) Thesis Adjudication
- i) Ph.D. Defense Viva-Voce
- j) Award of Ph.D. Degree

(The stages of the Ph.D. Program Structure are illustrated in the table placed in Annexure D). The following Sections describes each stage.

## 13. Provisional Registration, Formation of RAC and Allocation of Supervisors

- 13.1 Research Scholars admitted to the Ph.D. program are required to report to the Dean (Research) on the scheduled date and complete the Provisional Registration process as prescribed by VU.
- 13.2 The allocation of the Research Supervisor and Co-Supervisor(s), if any, to a Research Scholar admitted shall be recommended by the Dean (Research), subject to approval of the R&IC. The appointment of the Research Supervisor for a Research Scholar must be finalized on or before the date of Provisional Registration.
- 13.3 The appointment of the RAC for a Research Scholar shall be announced by the Program Chair, with the approval of the Chairperson, R&IC, within a week but not later than a month, from the date of Provisional Registration.
- 13.4 The Pro Forma for Provisional Registration to the Ph.D. program, appointment of Research Supervisor, Co-Supervisors, where applicable, and the RAC, is placed in Annexure E.
- 13.5 The Research Scholar shall pay the prescribed Ph.D. Program fee regularly during stipulated dates until submission of the Thesis.
- 13.6 Every Research Scholar shall be required to complete the Academic Registration Process in the parent School during stipulated dates every semester, as prescribed by the Academic Regulations, till the submission of the Thesis irrespective of the category of admission, i.e., whether full-time or part-time.

## 14. Ph.D. Coursework and Minimum Grade Requirement

- 14.1 All Research Scholars admitted to the Ph.D. Programs shall be required to complete the coursework during the initial one or two semesters. The coursework shall be treated as a prerequisite for Ph.D. preparation.
- 14.2 The minimum number of credits for the Ph.D. coursework shall be twelve (12) credits.

- 14.2.1 Further, Research Scholars admitted to the Ph.D. Program directly from four-year Bachelor's Degree with Research / any professional four-year Bachelor's Degree shall mandatorily complete an additional Ph.D. coursework of a minimum of eight (08) credits. (Thus, the minimum number of credits for the Ph.D. coursework for such aforementioned Research Scholars shall be twenty (20) credits.)
- 14.3 The Research Supervisor with approval of RAC may recommend additional coursework for a Research Scholar. However, it is recommended that the additional coursework shall not exceed a total of six (06) credits.
- 14.4 A minimum of four (04) credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, qualitative methods, computer applications, research ethics, and review of published research in the relevant field, fieldwork, etc.  
All Research Scholars are required to complete a two (02) credit course on "Research and Publication Ethics" as per clause 9.1 of the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 (UGC Notification dated 7<sup>th</sup> November, 2022).  
The Research Advisory Committee may also recommend courses that may be taken from approved online resources or completed as Seminar Courses.
- 14.5 All Research Scholars, irrespective of discipline, may be required to take credit-based courses in teaching / education / pedagogy / writing as part of the coursework as recommended by the RAC. Further, the total credits accrued from all such courses shall be limited to four (04) credits.
- 14.6 It is mandatory for all Research Scholars to attend the coursework classes as prescribed by the RAC and maintain the minimum attendance requirements as per the Academic Regulations
- 14.7 The minimum grade requirement in each course (where grades with grade points are awarded) of the Ph.D. coursework shall be a 'B' grade (as described in the Academic Regulations).
- 14.7.1 A Research Scholar who is unable to obtain the required minimum 'B' grade in a particular course, may use the provision to repeat the final examination of the course, where applicable, to secure the required 'B' grade. Alternatively, the Research Scholar may re-register for the same course, or register for another course to earn the required credits, on the approval of the RAC.
- 14.8 Self-study courses totalling a maximum of four (04) credits may be assigned as Ph.D. coursework with the approval of RAC. Such courses will have to be satisfactorily completed by the Research Scholar in accordance with the approved course plan for the concerned course.
- 14.9 All courses prescribed for Ph.D. coursework shall conform to the requirements of the Academic Regulations of the University.

## 15. Coursework Exemption and Credit Transfer

- 15.1 Research Scholars already holding M.Phil. Degree and admitted to the Ph.D. Program, or those who have already completed the course work in M.Phil. and have been permitted

to proceed to the Ph.D. in an integrated course, may be exempted by the School / Department from the Ph.D. Course work.

- 15.2 Research Scholars sponsored / authorized by the Govt. of India institutions / organizations with which VU has an MoU / exchange Program, etc. may be exempted from Ph.D. course work provided they produce a certificate of completing a course work of equivalent duration / credit from their respective institution / organization. Further, the RAC may mandate some coursework / credits to be completed by such students.
- 15.3 A Research Scholar who has already completed Ph.D. coursework from another University / Organisation, shall be exempted from the coursework. Further, the RAC may mandate coursework / credits, as required, to be completed by such students.
- 15.4 Credits earned for completed course work from another University / Organisation may be transferred as credits earned on the approval of RAC.

## **16. Comprehensive Viva-Voce / Examination and Research Proposal Assessment**

- 16.1 On successful completion of the Ph.D. coursework requirements, the Research Scholar shall request for and appear for the Comprehensive Examination. The request shall be placed as per the Pro Forma specified in Annexure F.
- 16.2 The request for the Comprehensive Examination shall be submitted within eighteen (18) months from the date of Provisional Registration.
- 16.3 If a Research Scholar fails to request for the Comprehensive Examination within a maximum of two (02) years from the date of provisional registration, the provisional registration of the Research Scholar shall be cancelled.
- 16.4 The Research Scholar shall submit the Ph.D. Research Proposal, along with the request for the Comprehensive Examination to the Research Supervisor who shall forward it to the Chairperson, RAC with his / her recommendations. The guideline for preparing the Ph.D. Research Proposal is placed in Annexure G.
- 16.5 The Chairperson, RAC shall arrange to complete the Comprehensive Examination of the Research Scholar within thirty (30) days from date of receipt of the request.
- 16.6 The Comprehensive Examination shall have the following mandatory two stages:
  - 16.6.1 Viva-Voce Examination to assess the Research Scholar's domain knowledge, including topics from the coursework and other relevant areas and its application to the research work.
  - 16.6.2 Oral / Seminar Presentation of the Ph.D. Research Proposal for assessment.
- 16.7 In addition to the Viva-Voce Examination as indicated in Sub-Clause 16.6.1, the RAC may also prescribe a Written Examination on specific topics recommended by the Research Supervisor(s).
- 16.8 The Assessment Committee for the Comprehensive Examination shall consist of the RAC and at least two (2) invited faculty / expert member(s), as decided by the Chairperson, RAC.
- 16.9 The RAC shall submit the Comprehensive Examination Assessment Report of the Research Scholar as per the Pro Forma specified in Annexure H to the Chairperson, R&IC and based on the performance will recommend or not recommend the Research Scholar for confirmation of Ph.D. Registration.

- 16.10 If a Research Scholar is not recommended by the RAC for confirmation of Ph.D. Registration after the Comprehensive Examination, he / she shall continue to pursue research / work on the recommendations of the RAC, for a further period not exceeding six (06) months, at the end of which he / she shall reappear for the Comprehensive Examination, on a date fixed by the RAC. If the RAC / Assessment Committee is satisfied with the performance of the Research Scholar, the RAC shall recommend the confirmation of the Ph.D. Registration.
- 16.11 If a Research Scholar fails to appear for the Comprehensive Examination and / or to present the Research Proposal before the RAC / Assessment Committee, the Research Scholar's provisional registration shall stand cancelled forthwith.

## 17. Ph.D. Registration Confirmation / Cancellation

- 17.1 On successful completion of the Comprehensive Examination, the RAC shall recommend the confirmation of the Ph.D. Registration.
- 17.2 The date of Ph.D. Registration for the Research Scholar shall be the date of the RAC report recommending the confirmation of the Ph.D. Registration.
- 17.3 After confirmation of the Ph.D. Registration, the Research Scholar shall not be permitted to change the broad topic of research, Research Supervisor and / or Co-Supervisor(s), if any. Only in exceptional cases, a Research Supervisor or Co-Supervisor(s) may be changed. (Refer Clause 26.1)
- 17.4 Minor changes in the research plan, if necessary, shall be recommended by the RAC and submitted to the R&IC for approval. The Chairperson, R&IC may approve these recommendations.
- 17.5 If the Research Scholar is not recommended for confirmation of the Ph.D. Registration by the RAC even after the second attempt at the Comprehensive Examination, the provisional registration shall stand cancelled forthwith.
- 17.6 VU will maintain the list of all the registered Ph.D. scholars on its website on a year-wise basis. The list will include the name of the Research Scholar, the topic of research, the name of Research Supervisor, Co-supervisor(s), dates of Provisional Registration and Confirmation of Registration, as applicable.

## 18. Research Progress Report and Assessment

The research progress of each Research Scholar shall be monitored by the RAC through a Bi-Annual Research Progress Report and Assessment, beginning from the date of Provisional Registration until submission of the Ph.D. Thesis. The Bi-Annual Progress monitoring may also include a Seminar to be presented by the Research Scholar highlighting the status and progress of the research.

- 18.1 Research Scholars must submit a Bi-Annual Research Progress Report (B-RPR) to the RAC, as per the Pro Forma specified in Annexure I, on or before 31<sup>st</sup> January for the research work done during the Odd Semester, and on or before 31<sup>st</sup> July for the Even Semester of each academic year.
- 18.2 Research Scholars may also present a Bi-Annual Progress Seminar (B-APS) beginning from the date of confirmation of the Ph.D. Registration to the submission of the Ph.D. Thesis. The RAC may combine the B-APS along with the corresponding B-RPR.

- 18.3 The RAC shall assess the B-RPR (and the B-APS, where applicable) and submit the Research Progress Assessment Report in the prescribed format (placed in Annexure I) to the R&IC within a week after submission of the B-RPR.

## 19. Pre-Synopsis Report and Seminar

- 19.1 The Supervisor(s), on assessment that the research work done by the Research Scholar, shall ask the Research Scholar to prepare a Pre-Synopsis Report, which is a comprehensive report of the research work carried out by the Research Scholar. (The Research Scholar must refer to the guidelines specified in Annexure L to prepare the Ph.D. Pre-Synopsis Report.)
- 19.2 The Research Scholar shall submit the soft copies of the Pre-Synopsis Report to the Chairperson, RAC, with the request to convene the Pre-Synopsis Seminar and the Panel for assessment. (Pro Forma placed in Annexure J.)
- 19.3 A Panel shall be appointed by the Chairperson, RAC in consultation with the Research Supervisor for assessment of the Pre-Synopsis Report and Seminar within fifteen (15) days of the date of request. The Panel shall comprise of the RAC and at least two (02) other members who may be internal faculty members or external experts, appointed by the Chairperson, RAC. The Chairperson, RAC shall be the Chairperson of the Panel.
- 19.4 Details of the Pre-Synopsis Seminar shall be notified by the Chairperson, RAC to enable interested faculty members and students to attend.
- 19.5 A comprehensive assessment of the Pre-Synopsis Report and Pre-Synopsis Seminar shall be made by the Panel. The Pro Forma for the Pre-Synopsis Assessment Report is placed in Annexure J.
- 19.6 The Panel shall then decide whether the Research Scholar shall be asked to submit the Ph.D. Synopsis and Thesis (subject to the conditions prescribed in Section 20).
- 19.7 In case, the Panel is not satisfied with the Pre-Synopsis Report, it shall give specific recommendations for revision / modification / augmentation of the research work / Pre-Synopsis Report and a time frame to resubmit the Pre-Synopsis Report with the recommendation of the Research Supervisor for approval of the Chairperson, RAC.

## 20. Synopsis and Thesis Submission

- 20.1 On acceptance of the Pre-Synopsis Report, the Research Scholar shall submit the Ph.D. Synopsis and Ph.D. Thesis (refer Guidelines for preparation of Ph.D. Synopsis and Thesis placed in Annexure L) within four (04) months from the date of the Pre-Synopsis Assessment Report to the Chairperson, RAC with the endorsement of the Supervisor(s). The Pro Forma for submission of Synopsis and Thesis is placed in Annexure K, provided that ALL the following conditions are fulfilled:
- 20.1.1 The Ph.D. Thesis submission date satisfies the conditions for the minimum/maximum duration of the Ph.D. Program as specified in Section 6.
- 20.1.2 The Research Scholar shall have at least one (01) paper published or accepted for publication in a reputed Journal. The RAC must certify that the Journal is of high quality and repute.
- 20.1.3 The Research Scholar shall have made two (02) paper presentations in conferences / seminars.

- 20.1.4 The Research Scholar has paid the prescribed Ph.D. Thesis Examination Fee to the University and other dues, if any.
- 20.1.5 The Thesis shall be submitted together with an originality report (Annexure K) produced by an antiplagiarism software application. The Research Supervisor (and co-supervisor, if any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission.
- Further, an originality report is not to be considered as sufficient proof that the submitted Thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the responsibility of the Research Scholar and the Supervisors, as applicable.
- 20.2 The R&IC shall evolve a mechanism using antiplagiarism software application to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the Thesis shall have an undertaking from the Research Scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other Degree / Diploma of the University, or to any other Institution / University.
- 20.3 The Ph.D. Synopsis and Thesis shall not be accepted by the Chairperson, RAC if all the conditions and requirements specified in Sub-Clauses 20.1.1 to 20.1.5 are not fulfilled.
- 20.4 The Research Scholar shall submit four (4) copies of the Ph.D. Synopsis and Thesis, along with softcopies (separate files of the Synopsis and Thesis) to the Chairperson, RAC with the recommendation of the Research Supervisor and Co-Supervisor(s), if any.
- 20.5 If the Synopsis and Thesis are not submitted within the specified time, the Research Scholar shall have to pay a penalty fee prescribed by the University from time to time.
- 20.6 The Ph.D. Synopsis and Thesis shall be submitted in English, except in language subjects where the Synopsis and Thesis shall be in that language, or, when the research work requires the use of multiple languages, the Synopsis and Thesis may have some sections in other languages.

## 21. Thesis Adjudication

VU will develop appropriate methods so as to complete the entire process of evaluation of Ph.D. Thesis within a period of three months from the date of submission.

### 21.1 Panel of Thesis Examiners

- 21.1.1 A panel of at least eight (08) experts / external examiners in the area of the research work of the Ph.D. Thesis shall be suggested by the Research Supervisor and recommended by the RAC while recommending the submission of Ph.D. Synopsis and Thesis, to the Chairperson, RAC. (Pro Forma specified in Annexure M.)
- 21.1.2 Examiner(s) should be academics / researchers with a good record of scholarly publications in the field. At least five (05) of these examiners may preferably be chosen not below the rank of Professor or equivalent.
- 21.1.3 The panel shall also include at least three (03) examiners preferably from outside India, these panel members may be chosen from the list of References cited in the Synopsis submitted by the Research Scholar.



- 21.1.4 The recommended expert / external examiners from within India should not be the faculty members from within the University.
- 21.1.5 Any person employed (full-time or part-time) in the Research Organization, Academic Institution or Industry where the Part-time external Research Scholar or Co-Supervisor(s), if any, is(are) employed, also cannot be listed on the Panel of Thesis Examiners.
- 21.1.6 Any person related (family relations) to the Research Scholar, Research Supervisor or Co- Supervisor(s) should not be listed in the Panel of Thesis Examiners.
- 21.2 The Research and Innovation Council (R&IC) on the recommendation of the RAC may approve the appointment of examiners only from within India in such research areas where it may not be possible to find suitable examiners from outside India.
- 21.3 Board of Thesis Examiners  
The Ph.D. Thesis submitted by a Research Scholar shall be evaluated by the Board of Thesis Examiners consisting of:
- a) Research Supervisor
  - b) Co-Supervisor, if any;
  - c) Two External Examiners from the Panel of Thesis Examiners (Clause 21.1). Wherever possible, one of the external examiners should be chosen from outside India.
- 21.4 The Chairperson, R&IC shall list in order of priority, the External Examiners from the Panel of Thesis Examiners and accordingly advise the Registrar Evaluation to communicate and ascertain the willingness of the External Examiners to be the members of the Board of Thesis Examiners to adjudicate the Ph.D. Thesis.
- 21.5 The Registrar Evaluation shall send a copy of the Ph.D. Synopsis to the External Examiners and seek their willingness and confirmation or otherwise, to evaluate the Ph.D. Thesis within a period of four (04) weeks.
- 21.6 After obtaining the confirmation from examiners, the Registrar Evaluation shall finalize the Board of Thesis Examiners (as specified in Clause 21.3).
- 21.7 The office of the Registrar Evaluation shall request for a detailed assessment report from the Members of the Board of Thesis Examiners and their recommendations on the prescribed Proforma (Annexure M) within eight (08) weeks of the date of receiving the Thesis.
- 21.8 If the report from any of the External Examiners is not received within the stipulated period of eight (8) weeks, the Registrar Evaluation shall rigorously follow up with the examiner concerned to get the reports. However, if no response / report is received within twelve (12) weeks from the date of dispatch of Thesis, the Registrar Evaluation shall initiate the process to get another External Examiner appointed to expedite evaluation of the Ph.D. Thesis.
- 21.9 The Internal Examiner(s) shall submit the Thesis evaluation report within eight (08) weeks.
- 21.10 Thesis Examiners' Reports and Recommendation:

- 21.10.1 The Board of Thesis Examiners, independently, shall submit the Thesis Evaluation Report (Pro Forma placed Annexure N) to the Chairperson, Research and Innovation Council (R&IC) through the Registrar Evaluation of VU.
- 21.10.2 If both the External Examiners recommend acceptance of the Thesis as it is, the Ph.D. Defense Viva-Voce shall be held at the earliest.
- 21.10.3 If one or both the External Examiners recommend “ACCEPTABLE WITH MINOR REVISIONS” in the Thesis, the Ph.D. Defense Viva-Voce can be held only after the Internal Examiner(s) certifies (certify) to the Chairperson RAC, that the changes / revisions have been carried out satisfactorily. The Chairperson, RAC shall seek the approval of the Chairperson, R&IC to conduct the Ph.D. Defense Viva-Voce.
- 21.10.4 If both External Examiners recommend REJECTION of the Ph.D. Thesis, the Thesis in the current form is rejected and the Research Scholar shall be declared ineligible for the award of the Ph.D. Degree.
- 21.10.5 If one External Examiner adjudicates the Ph.D. Thesis as “REJECTED”, an opinion of a third External Examiner shall be sought. The third External Examiner shall be appointed by the Chairperson, R&IC from the priority list of the Panel of Thesis Examiners. If the “third” External Examiner adjudicates the Ph.D. Thesis as “ACCEPTED”/ “ACCEPTABLE WITH MINOR REVISIONS”, the Ph.D. Defense Viva-Voce shall be conducted as per the relevant provisions of Sub-Clauses 21.10.2 and 21.10.3, and Section 22. If the evaluation report of the “third” External Examiner concludes that the Ph.D. Thesis is “REJECTED”, the Thesis shall be rejected and the Research Scholar shall be declared ineligible for the award of the Ph.D. Degree.
- 21.10.6 The copies of the External Examiners’ reports shall be made available to the Supervisor(s).
- 21.10.7 A copy of the reports of all Thesis Examiners shall be communicated to the Research Scholar.
- 21.10.8 The Academic Council shall however be the final authority in deciding whether the Ph.D. Thesis be accepted or rejected for the award of the Ph.D. degree.



## 22. Ph.D. Defense Viva-Voce

- 22.1 A Ph.D. Defense Committee (PDC) will be constituted by the RAC to facilitate an open Ph.D. Defense viva-voce examination based, among other things, on the critiques given in the evaluation report. The Registrar Evaluation shall coordinate with the RAC for the conduct of the viva examination.
- 22.2 The composition of the PDC shall be as follows:

Sl. No	Member Details
1	A Dean / Professor of the University, from outside the parent School of the Research Scholar, who shall be the Chairperson of the PDC
2	The Research Supervisor and Co-Supervisor(s), if any
3	At least one External Examiner, who has evaluated the Thesis
4	A faculty member of the University, conversant with the research area, nominated by the Chairperson, RAC
5	The Chairperson, RAC, who shall be the Convener of the PDC

- 22.3 If the research results of the Thesis constitute new possible submissions for the protection of Intellectual Property Rights (IPR), the Research Scholar and Supervisor shall inform the Research Advisory Committee about the matter. In this case, the Research Scholar, with the consent of the Supervisor, may request that the submitted dissertation be treated discreetly before the Thesis is submitted for assessment, until the Defense / Viva-Voce. The IPR Cell of VU designated for the purpose shall conduct the procedure for legal and commercial protection of research results, in accordance with the relevant regulations. In this case, the public Defense can be extended, in agreement with the Research Scholar, at the latest for a year, starting on the day of the procedure of evaluation of the dissertation. Request for extension of Defense / viva must accompany the Certificate of the Technology Transfer from the competent authority.
- 22.4 In case, the External Examiner appointed to the PDC, is unable to be physically present for the Ph.D. Defense Viva-Voce, he / she could participate in the Defense Viva- Voce by means of video conferencing. The Chairperson, PDC shall certify the acceptance of the Thesis and successful conduct of the Ph.D. Defense Viva-Voce Examination on behalf of the External Examiner, when the External Examiner participates through video conferencing.
- 22.5 In case of non-availability of the External Examiner in the PDC, the Registrar Evaluation may get another External Examiner appointed from the panel of External Examiners recommended by Chairperson, RAC, with due approval of the Chairperson, R&IC.
- 22.6 In case the Research Scholar has relocated outside of India on employment or postdoctoral research the Viva-Voce may be conducted online.

## 23. Ph.D. Defense Committee (PDC) Report

- 23.1 On the completion of the Ph.D. Defense Viva-Viva, the PDC shall submit its report (Pro Forma placed in Annexure O) to the Chairperson, Academic Council, through the Registrar Evaluation, with one of the following recommendations:
  - 23.1.1 The Ph.D. Degree may be conferred upon the Research Scholar after approval by the Academic Council, or;
  - 23.1.2 The Research Scholar be re-examined at a later specified time in a specified manner, with due approval of the Chairperson, Academic Council to permit the Research Scholar to reappear for Ph.D. Defense Viva-Viva Examination at a later date.

## 24. Submission of Final Copies of the Thesis

- 24.1 After successful completion of the Ph.D. Defense Viva-Voce, the Research Scholar shall submit two (02) final hardbound copies and a softcopy of the approved Ph.D. Thesis to the Registrar Evaluation within one (01) month from the date of the Ph.D. Defense Viva-Voce. The final copies of the Thesis should incorporate all the revisions / corrections, if any, listed by the Ph.D. Defense Committee (PDC) and duly certified by the Research Supervisor.
- 24.2 The Registrar Evaluation shall submit the soft copy of the Ph.D. Thesis to INFLIBNET, so as to make it accessible to all Institutions / Colleges / Universities. The electronic copy of the Ph.D. Thesis shall also be hosted on the VU website.
- 24.3 One hardbound copy of the Ph.D. Thesis shall be deposited in the University Library and one copy shall be kept in the parent School as a record of the research work conducted by the School / Department.

## 25. Award of Ph.D. Degree

- 25.1 Issue Provisional Degree Certificate:

Prior to the actual award of the Ph.D. Degree, VU shall issue a Provisional Degree Certificate to the effect that the Degree has been awarded in accordance with all the provisions of these Regulations and the relevant UGC Regulations. (The Pro Forma for the request letter for the Provisional Degree Certificate is placed in Annexure P.) The Pro Forma for the Provisional Degree Certificate is given in Annexure Q.
- 25.2 The Degree of Doctor of Philosophy (Ph.D.) shall be awarded by the Board of Governors and the Board of Management of the University upon the recommendation of the Academic Council. The Degree will be conferred on the Research Scholar at the next Convocation of the University.

## 26. Miscellaneous

- 26.1 Change of Supervisor(s)

In exceptional cases, request from a Research Scholar for change of Supervisor(s) shall be permitted on recommendation of the RAC, and, approval of the Chairperson, R&IC. If the Research Supervisor proceeds on long leave for more than six months, or resigns

from the University, or passes away, a new Research Supervisor shall be assigned to the Research Scholar based on the recommendations of the RAC and approval of the Chairperson, R&IC.

**26.2 Relocation of a woman Research Scholar**

In case of relocation of a woman Research Scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University / College to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the Supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the University/Institution for the part of research already done.

**26.3 Conversion of Full-time to Part-time and vice-versa**

The University may permit the conversion from the category of Full-time to Part-time basis and vice- versa, for valid reasons, with the approval of the Research and Innovation Council (R&IC). Full-time Research Scholars cannot take up any job / assignment during the entire Ph.D. program.

**26.4 Research Exchange Programs**

For research / student exchange / extension programs (offered by reputed Institutions / Research Organizations in India or abroad through an MoU with the VU or otherwise) evaluated and recommended by the RAC to the effect that such programs will contribute significantly to the ongoing research work, and on approval of the R&IC, the Research Scholar may be granted leave of absence for not more than six (06) months. Such exchange programs and leave of absence shall be permissible only after the confirmation of Ph.D. Registration. Further, the Research Scholar will not be eligible for any additional grants or travel support from the University for such exchange / extension programs. However, the Research Scholar may receive grants specifically for the aforementioned program from other sources and must declare the same to the RAC for approval.

**26.5 Grievance Redressal**

A grievance or ethical issue faced by a Research Scholar, which is specifically related to research such as authorship of the research papers, plagiarism, ethical issues with research supervisors and such other issues related to the research program, shall be addressed to the Dean (Research).

The Dean (Research) shall make necessary preliminary investigations and submit recommendations for redressal to the Vice Chancellor, within seven (07) days from the receipt of the grievance. Based on the recommendations, the Vice Chancellor shall constitute a committee chaired by the Dean (Research) for redressal. The committee shall seek to resolve the issue within fifteen (15) days of the notification of this committee and submit its report and recommendations to the Vice Chancellor. The decision of the Vice Chancellor shall be final and binding.

**26.6 Unfair Means in Coursework Assessments / Examinations**

In case, a Research Scholar is found adopting or suspected of adopting unfair means during or after the Ph.D. coursework assessments / examinations, such penal action shall be taken by VU as may be necessary to uphold the sanctity and integrity of the assessment / examination system and the credibility of VU. Such cases may also be reported by examiners / invigilators / course instructors to the Registrar Evaluation for consideration. After giving an opportunity to the concerned Research Scholar(s) to explain the conduct / defend against the charge, the Chairperson, RAC on the recommendation of the Registrar Evaluation shall take action to impose on the concerned

Research Scholar(s) appropriate penalty including termination of provisional registration or award of “F” Grade in the concerned course(s).

26.7 Discovered / Reported Unfair means after Award of Ph.D. Degree:

26.7.1 Upon discovery or receipt of complaint of plagiarism or fraud with sufficient evidence that a Research Scholar may have obtained the Ph.D. Degree by fraud, the Dean (Research) shall convene an Investigation Panel constituted by the Vice Chancellor. The Panel shall have at least two (02) experts in the domain of research of the Ph.D. Thesis being investigated. The Dean (Research) shall be the Convenor of this Panel.

26.7.2 The Panel shall submit its report to the Vice Chancellor within three (03) months from the date of notification of the Panel.

26.7.3 After reviewing the Panel’s report, the Vice Chancellor shall decide whether to proceed toward a revocation of the Ph.D. degree or whether the complaint can be dropped as unsubstantiated. If the Vice Chancellor decides to pursue revocation of the Degree, the case shall be referred to the Academic Council for further action as per the Statutes and relevant Regulations of the University.

26.7.4 Unsigned and undated complaints without the credentials and address of the complainant shall not be entertained by the University. The University shall also strictly maintain confidentiality of the name and address of the complainant.

26.8 Leave Rules

26.8.1 All full-time Research Scholars are entitled for leave for a maximum of thirty (30) days per calendar year in addition to the University Declared Holidays.

26.8.2 Women scholars may be provided Maternity Leave / Child Care Leave once in the entire Duration of Ph.D. program for up to two hundred and forty (240) days. The leave application should be supported by relevant medical certificates. Further, VURF if applicable, shall be suspended till such time the research scholar resumes the Ph.D. Program.

26.8.3 Male Scholars are entitled for seven (07) days Paternity Leave once in the entire duration of Ph.D. program. The leave application should be supported by relevant medical certificates. Further, VURF if applicable, shall be suspended till such time the research scholar resumes the Ph.D. Program

26.8.4 No vacation leave in summer / winter is admissible.

26.8.5 Special leave to attend Seminars / Conferences in India / abroad to present research papers, with the permission of the concerned Dean / Program Chair is admissible.

26.8.6 The Research Scholar shall submit the leave request to the Research Supervisor who shall forward it to the Dean / Program Chair with a recommendation for approval or otherwise.

26.9 Teaching Assistantships

Research Scholars may also have 6 – 8 hours per week of actual teaching experience gathered through teaching assistantships or other forms of academic engagements as approved by the RAC.

## 27. Power to Revise, Modify and Amend


- 27.1 The Academic Council has all the rights to revise, modify or amend any of the above Regulations from time to time upon the recommendations of the Research and Innovation Council, and shall be binding on all parties concerned.
- 27.2 Notwithstanding anything stated in these Regulations, for any unforeseen issues arising, and not covered by these Regulations or in case of difficulty in application of any of the Sections / Clauses of the Regulations specified above, the Vice Chancellor shall have the powers to amend / modify / remove the difficulty in the relevant Regulation.

## **ANNEXURES**

## ANNEXURE A

# APPLICATION FORM FOR ADMISSION TO THE Ph.D. PROGRAM

[Pro Forma – Subject to Revision]

 <b>VIDYASHILP UNIVERSITY</b>				Affix recent self-attested Passport size Photo	
APPLICATION FORM FOR ADMISSION TO THE Ph.D. PROGRAM Batch Applied for : Aug/Jan				Year:	
1.	Name in Full				
2.	Address for Communication				
3.	Mobile No.			4. Email ID	
5.	Date of Birth			6. Gender: Male / Female / Other	
7.	Nationality: Indian /Foreign				
8.	Category – Please tick any one as applicable (Enclose attested copy of the certificate)			GM/SC/ST/OBC	
9.	Details of Academic Qualifications (Enclose attested copies of Degree Certificates, Grade Cards/Transcripts)				
	Qualifying Degree	Year of Passing	Institute /University	CGPA	
10.	Whether applying for Full-time or Part-time?			<input type="checkbox"/> Full-time <input type="checkbox"/> Part-time	
11.	Whether passed UGC/CSIR (NET) (JRF)/SLET/K- SET/GRE /GATE for JRF or teacher fellowship?			Yes / No If yes, specify the exam passed..... (Enclose self-attested copy of the Certificate/Scorecard)	
12.	Statement of Research Purpose: Please attach a brief note (500 words) on the proposed research interest area.				

Place:

Date:

Signature of the Applicant

**ANNEXURE A (Continued...)**  
**Undertaking by the Faculty / Staff of VU**

I, <Name and Designation, School> hereby undertake to continue and complete all the academic and administrative work assigned by the School/University, while being a Part Time Research Scholar in the Ph.D. Program.

Signature of the Applicant

Date:

Approved

Signature of the Program Chair



**ANNEXURE A (Continued...)**  
**NO OBJECTION CERTIFICATE**  
(External Part-Time Research Scholar)  
**Undertaking by the Sponsoring Institution**  
[Pro Forma – Subject to Revision]

This is a 'No Objection Certificate' issued to < Name and Designation > to register as a Part-time Research Scholar of the Ph.D. Program at Vidyashilp University.

The duties allotted by the Institution/Organization will allow the required time for pursuit of the research work and he/she will be given the required leave to complete the mandatory Ph.D. coursework and other requirements as per the Ph.D. Regulations of the University

Signature

(Head/Competent Authority of the Institution/Organization)

Name & Designation:

Date:

Place:



## **ANNEXURE B**

### **NOTICE INVITING APPLICATIONS FOR VIDYASHILP UNIVERSITY RESEARCH FELLOWSHIP**

Applications are invited in prescribed format for **Vidyashilp University Research Fellowship (VURF)** from the eligible candidates.

**Eligibility:** Full-time Ph.D. Research Scholar

#### **OTHER IMPORTANT TERMS & CONDITIONS:**

- i) Fellowship as notified by the University.
- ii) Fellowship paid every month, subject to progress report and recommendation of the Research Supervisor
- iii) No House Rent Allowance will be provided.
- iv) The duration of the Fellowship is for three (03) years only.
- v) One time Contingency Grant as notified by the University

The selected Research Scholars shall give an undertaking and follow the rules prescribed by the University under which the fellowship is awarded.



ANNEXURE B (Continued...)

APPLICATION FORM FOR

VIDYASHILP UNIVERSITY RESEARCH FELLOWSHIP

[Pro Forma – Subject to Revision]

Name	
University Enrolment Number (UEN)	
School	
Name of Research Supervisor	
Email (VU)	

**Qualifying Degree / Other Details**

Qualifying Degree	Year of Passing	Institute /University	CGPA
NET / SLET Details, if passed			
Details of Publications, if any			
Work Experience Details, if any			

Signature of Applicant

Date:

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To be forwarded by Research Supervisor with comments/recommendation to the Vice Chancellor

Signature of Research Supervisor

Name & Designation

Date:

## **ANNEXURE C**

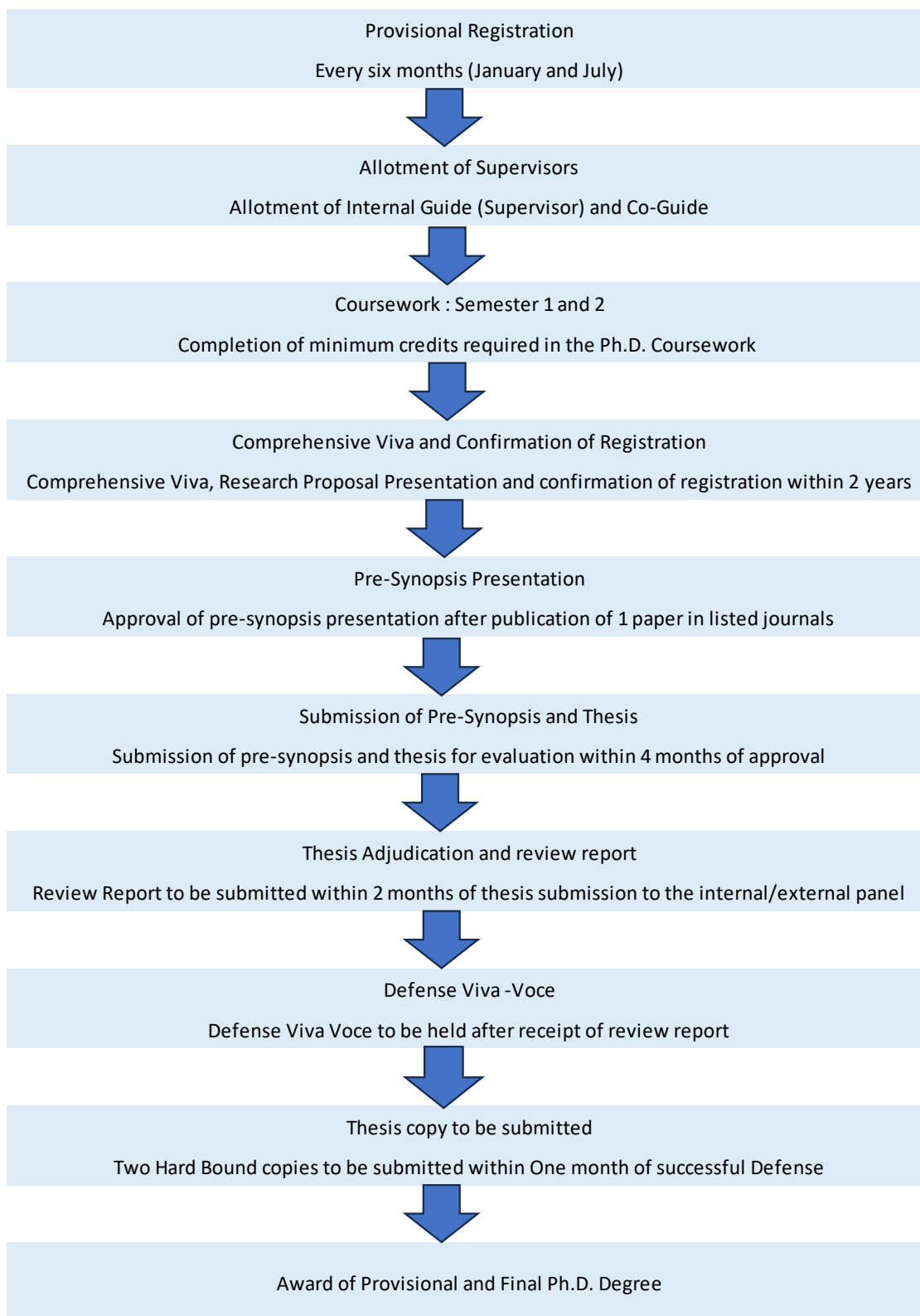
### **Responsibilities and functions of the Research Supervisor and Co-Supervisor**

The supervision of PhD scholars is a specialised and demanding activity. The relationship between supervisor and research student is a defining feature of the Vidyashilp Ph.D. Program. The supervisor plays a key role in defining and outworking a framework of shared responsibilities between the Ph.D. scholar and the supervisor(s). The following are recommended guidelines for the responsibilities of every research supervisor.

The Research Supervisor shall:

1. ensure that the Ph.D. Program is conducted as per the Vidyashilp University Ph.D. Regulations so that the research scholar will be able to complete all the requirements for the award of doctoral degree according to the prescribed schedule;
2. encourage the research scholar to adopt an independent approach to learning and facilitate the scholar in setting the timetable for the research work and reviewing progress as prescribed by the Ph.D. Regulations;
  - i) hold regular formal supervision meetings - usually at least fortnightly - at which the research scholar is guaranteed uninterrupted individual attention;
  - ii) mentor the research scholar on aspects of responsible conduct of research and ethical principles of using research data and publishing;
  - iii) identify work by the scholar suitable for publication in refereed journals or other academic publications and assist in the preparation of articles/papers for submission, and make clear from the outset how issues relating to joint publication of work arising from the Ph.D. thesis are to be handled;
  - iv) prepare and certify the mandatory reports etc. at the time of Ph.D. thesis submission, and
  - v) facilitate with the Registrar Evaluation for the timely closure of the Ph.D. Defense Viva-Voce and subsequent closures as per the Ph.D. Regulations.

**ANNEXURE D**  
**Recommended Ph.D. Program Structure – Illustrative Table**



**ANNEXURE E**  
**PROVISIONAL REGISTRATION TO THE Ph.D. PROGRAM**  
[Pro Forma – Subject to Revision]

**PART I: Ph.D. PROVISIONAL REGISTRATION APPLICATION FORM**

(To be completed by the Research Scholar enrolled in the Ph.D. program)

To,

The Dean/ Program Chair

School / Department:

1. Name of the Research Scholar:
2. Enrolment Number:
3. School/Department:
4. Category of Admission: 1) Full-time      2) Part-time
5. Qualifying Degree (As required in Eligibility Criteria for admission to Ph.D. (Section 5.0 of VU Ph.D. Regulations):
6. Proposed Coursework for the Ph.D. Program [To be filed in consultation with the Research Supervisor/Co-Supervisors]

Academic Term	Course Code	Name of Course	Credits

I request that my application be considered for provisional registration to the Ph.D. Program.

I hereby undertake to adhere to the Vidyashilp University Ph.D. Regulations and to all the other Rules and Regulations of the University.

Signature:

Name of Research Scholar

Date:

**ANNEXURE E (Continued...)**

**PART II: PROVISIONAL REGISTRATION TO THE Ph.D. PROGRAM**

(To be completed by the Research Supervisor)

[Pro Forma – Subject to Revision]

To:

Date:

The Chairperson,  
Research and Innovation Council

The Provisional Registration to the Ph.D. Program of the Research Scholar, whose details are provided in Part A is recommended.

The proposed Ph.D. Coursework as given in Part A is approved.

The theme of the proposed research work to be undertaken by the Research Scholar is:

---

Name & Designation of the Research Supervisor:

Name(s) & Designation of the Co-Supervisor(s):

The Certificate (refer PART C) by the Research Supervisor is enclosed/attached.

The Research Advisory Committee (RAC) for this Research Scholar will be constituted and submitted for approval to the Chairperson, Research and Innovation Council by \_\_\_\_\_ (specify date).

Signature of the Program Chair of the School/Department:

Date:

[Copies to be communicated to: Registrar Office and Registrar Evaluation]

**ANNEXURE E (Continued...)**

**PART III: FORM FOR DECLARATION BY THE RESEARCH SUPERVISOR ON INCLUSION OF  
NEW RESEARCH SCHOLAR**

To,

The Dean/Program Chair  
School

**CERTIFICATE**

I certify that at present I am supervising \_\_\_\_\_ <enter number> Ph.D. Research Scholars as detailed below:

No.	Name of Research Scholar	Enrolment Number	School / University	Date of Pre-Registration / Date of Confirmation of Ph.D. Registration	Name(s) & Designation of Co-Supervisor(s), if any.

In addition, I agree to be the Ph.D. Research Supervisor for the Research Scholar Mr. / Ms. \_\_\_\_\_ (who is not listed above).

I undertake that I shall ensure that the total number of Research Scholars under my guidance as Research Supervisor or Co-Supervisor shall not exceed the number specified in Clause 11 of the Vidyashilp University Ph.D. Regulations.

I also undertake that I will abide by all the rules and regulations of the Ph.D. Regulations and any other requirements pertaining to the Ph.D. Program as notified by the University from time to time.

Signature of the Research Supervisor:

Date :

Name of Research Supervisor:

Designation:

School:



**ANNEXURE E (Continued...)**

**PART IV: FORM FOR RECOMMENDATION OF CONSTITUTION OF THE RESEARCH  
ADVISORY COMMITTEE (RAC)**

[Pro Forma – Subject to Revision]

(Note: Form to be submitted by the Dean / Program Chair of the School / Program to the Chairperson, R&IC, within a week but not later than a month from the date of Provisional Registration of the Research Scholar.)

To:

Date:

The Chairperson

Research and Innovation Council

Recommendation for the Constitution of the RESEARCH ADVISORY COMMITTEE (RAC) for Ph.D. Research Scholar.

Name of Research Scholar:

Enrolment Number:

School:

No	RAC Constitution	Name and Contact Details
1	Chairperson (Program Chair / Dean)	
2	Convener (Research Supervisor)	
3	Member (Co-Supervisor (if any))*	
4	Member (One senior faculty from parent Department / School in the relevant field of research nominated by Chairperson RAC)	
5	Member (One senior faculty from outside the parent Department / School or External Expert (from outside the University) nominated by Chairperson RAC)	

\*Note: Certificate from Co-Supervisor(s) attached [Pro Forma given in Part E]

Signature and Seal of the Dean/Program Chair of the School:

Date:

**ANNEXURE E (Continued...)**  
**PART V: CERTIFICATE BY CO-SUPERVISOR**

To,  
The Dean/Program Chair  
School/Department:

**CERTIFICATE**

I certify that at present I am supervising \_\_\_\_\_ <enter number> Ph.D. Research Scholars as detailed below:

No.	Name of Research Scholar	Enrolment Number	School / University	Date of Pre-Registration/ Date of Confirmation of Ph.D. Registration	Name(s) & Designation of other Co-Supervisor(s), if any.	Name(s) & Designation of Research Supervisor

In addition, I agree to be the Ph.D. Research Co-Supervisor for the Research Scholar Mr./Ms. \_\_\_\_\_ (who is not listed above).

I undertake that I shall ensure that the total number of Research Scholars under my guidance as Research Supervisor or Co-Supervisor shall not exceed the number specified in Clause 11 of the VU Ph.D. Regulations.

I also undertake that I will abide by all the rules and regulations of the Vidyashilp University Ph.D. Regulations and any other rules pertaining to the Ph.D. Program as issued by the University from time to time.

Signature of the Co-Supervisor:

Date:

Name of Co-Supervisor:

Designation:

## ANNEXURE F

### APPLICATION FOR Ph.D. COMPREHENSIVE EXAMINATION

(Note: To be completed by the Research Scholar, and endorsed by the Supervisor(s))  
[Pro Forma – Subject to Revision]

To

Date:

The Chairperson,

Research Advisory Committee

<School/Department>

1. Name of the Research Scholar:
2. Enrolment Number:
3. School/Department:
4. 4. Category of Admission: 1. Full-time 2. Part-time
5. Date of Provisional Registration to the Ph.D. Program:
6. Details of Supervisor(s):

	Name	Designation	Department/School (if faculty member of the University), or University / Department /Organization (applicable to Co-Supervisor(s) from outside the University)
Research Supervisor			
Co-Supervisor (if any)			
Co-Supervisor (if any)			

7. Proposed research topic: (The description to be in the format of the title of a Ph.D. Thesis)  
(Attach Ph.D. Research Proposal as specified in the VU Ph.D. Regulations):

#### 8. Details of Ph.D. Coursework

Sl. No.	Course Code	Course Name	Course Credits	Grade Awarded
Total Credits Earned				CGPA

I hereby certify that the information submitted above is true to the best of my knowledge and belief.

I am herewith submitting the Ph.D. Research Proposal as per the VU Ph.D. Regulations.

I request the Chairperson, RAC to kindly schedule the Comprehensive Examination.

Name & Signature of the Research Scholar:

Date:

**ANNEXURE F (Continued...)**

**ENDORSEMENT BY THE SUPERVISOR(S):**

**[Pro Forma – Subject to Revision]**

The Ph.D. Research Proposal submitted by the Research Scholar: (Name):  
\_\_\_\_\_ is attached with my/our recommendation for evaluation by the  
Assessment Committee and the Comprehensive Examination may be conducted at the earliest.

Also attached are copies of the Research Progress Assessment Reports completed till date.

Co-Supervisor:

Name:

Signature:

Date:

Research Supervisor:

Name:

Signature:

Date:

**ANNEXURE G**  
**GUIDELINES TO PREPARE THE Ph.D. RESEARCH PROPOSAL**

[Pro Forma – Subject to Revision]

(Note: These guidelines are provided only as a sample and are not meant to be considered as a fixed template for the research proposal)

**Ph.D. RESEARCH PROPOSAL**

[Submitted along with the form for scheduling the Ph.D. Comprehensive Viva-Voce Examination]

[Type Title of Ph.D. Research Proposal here]

Submitted by

Name of Research Scholar:

Enrolment Number:

Date of submission:

**Under the Supervision of**

Name of Research Supervisor:

Designation:

Name of Co-Supervisor:

Designation:

[Name of School/Department]

## Abstract

The abstract is a summary of the Ph.D. research proposal and should not exceed 500 words. It briefly describes the domains under which the research is undertaken. This is followed by the focus area in the domains and the problems for which solutions or designs are proposed. The research could also be aimed at pursuing new knowledge, insights or innovations in the domain areas. The abstract should provide an overview of the research problem, main research questions and a brief explanation for the methods adopted to conduct the research. This is followed by the expected results and the contribution of the findings to the advancement of knowledge in the domain.

## Keywords

In this section specific words or expressions (not more than ten) are listed which define the broad area or topic for which the research is undertaken.

## Table of Contents

Chapter No.	Topic	Page No.
Chapter 1	Introduction	{pp}
Chapter 2	Literature Review and Theoretical/Conceptual Framework	{pp}
Chapter 3	Research Objectives and Methodology	{pp}
Chapter 4	Pilot / Ongoing Research and Preliminary Results	{pp}
Chapter 5	Work Plan	{pp}
Chapter 6	Conclusion	{pp}
	References	{pp}

## Chapter 1

### Introduction

This chapter gives a broad outline of the research project that will be undertaken by the scholar. It explains the background and the major topics covered in the area. Details of the problem or issue are discussed in the research statement along with the proposed hypotheses or research question. The research statement should give details of the research to be undertaken and the boundaries to be maintained for the study. This section should also explain the outcome expected and the contribution it would make to the existing knowledge in the domains of study.

The introduction should be written in a style which is easy to understand and does not require advanced knowledge of the domain. References should be cited in the context of the issues described and the chapter should end with the details of the ensuing chapters.

## Chapter 2

### Literature Review and Theoretical/Conceptual Framework

This section plays an important role in the research project. It demonstrates the extent of the study undertaken to identify the issues and the state of research carried out so far in the selected areas or domains. This section should be presented systematically to arrive at gaps in the current literature which then become central to the research project. The Literature review is also the key argument that justifies the research problem and the methodological approaches. It often provides the theoretical or conceptual framework to guide the research process.

The review is carried out theme-wise with a comprehensive reference list at the end of the proposal document. The review should be extensive and all books, book chapters, research articles and other studies should be mentioned with details of the author and the year when they were published. The referencing convention should be followed when reviewing any study or document, and details should be mentioned in the list of references at the end of the document

Paragraph organisation for literature review and other chapters should follow the structure as shown below (numbers illustrated for Chapter 2):

#### **2.1. First paragraph**

2.1.1. First sub-paragraph of first paragraph

2.1.2. Second sub-paragraph of first paragraph

#### **2.2. Second paragraph**

2.2.1. First sub-paragraph of second paragraph

2.2.2. Second sub-paragraph of second paragraph

## Chapter 3

### Research Objectives and Methodology

This chapter describes the research objectives which have been formulated after the literature review. These objectives should be clear and focus on the gap identified in the literature review. It should explain in detail the step-by-step methodology to be adopted for the study. This section should clearly show how the study will extend the research which has been completed by other scholars. The chapter should give details of the plan adopted in resolving the research problem with information on reasons for formulating such a plan. It should also explain research tools and techniques planned to be used in the research. The Research Scholar should justify the selection of the methods, tools and techniques and explain how they are best suited for achieving the selected objectives. The section should provide detailed information to the reader so that the adequacy of the plan can be evaluated.

## Chapter 4

### Pilot / Ongoing Research and Preliminary Results

This chapter should highlight any current work undertaken and the progress achieved. The tasks completed to date should be based on the objectives identified. This section should explain in a structured manner the exploratory work and if any preliminary results obtained.



## Chapter 5

### Work Plan

This part of the proposal document should list what the scholar plans to do in detail and the milestones expected to be achieved in the time estimated. Details of literature review to be completed, formulation of hypothesis or the research questions, data collection, experiments and analysis to be conducted should be listed in this section. A project plan in the form of a Gantt chart with timelines stated can be prepared. The plan should also list any issues/problems expected in the research process and describe the approach to be followed in resolving them. It should provide details of conferences intended to attend and the journals targeted for publication of research articles. In an exploratory type of research where each step builds on the previous results, it may be difficult to have a detailed plan. However, even a rough estimate of the work planned will ensure the researcher is focused and in the right direction. The work plan will also provide the reader with the extent of focus the scholar has established in working towards the objectives identified.

## Chapter 6

### Conclusion

This chapter will restate the objectives of the research and the steps to be followed toward the objectives. The section should describe briefly the plan adopted and the results expected at the end of the journey.

## References

In this section the scholar should list all the references made throughout the document ensuring that the list is in the convention-style adopted for the study and as specified by the University.

Some widely used conventions are: APA Referencing System, The Harvard Citation Style, IEEE Citation Reference, MLA (Modern Language Association) Style and ACM Style.

## ANNEXURE H

### COMPREHENSIVE EXAMINATION ASSESSMENT REPORT

[Note: To be completed by the RAC Chairperson and submitted to Chairperson, R&IC]

To:

Date:

The Chairperson,

Research and Innovation Council

1. Name of Research Scholar:
2. Enrolment Number:
3. School/Department:
4. Category of Admission: 1.Full-time    2.Part-time
5. Date of Comprehensive Examination and presentation of Ph.D. Research Proposal:
6. Is this the first attempt made by the Research Scholar at the Comprehensive Examination?

A) Yes    B) No

If No: Date(s) on which prior attempts were made:

### ASSESSMENT COMMITTEE REPORT:

This is to certify that the Research Scholar (Name :.....) has completed the comprehensive viva-voce examination and also the presentation of the Ph.D. research proposal to the committee with members as listed below.

The committee examined the scholar through the viva-voce/written examination and evaluated the Ph.D. research proposal and following are the recommendations:

(Select one of the options below while striking out the others)

### SATISFACTORY

The Ph.D. registration is confirmed on the date examined.

The Research Scholar has successfully completed the Comprehensive Examination and the Ph.D. Research Proposal has been accepted.

### RESUBMIT Ph.D. RESEARCH PROPOSAL

The Research Scholar has successfully completed the comprehensive viva-voce/written examination.

However, there were certain deficiencies in the presented Ph.D. Research Proposal and the scholar has to make changes/revisions as suggested by the committee and present the revised Research Proposal within SIX Months from the current date.

The Research Scholar does not require to re-appear for the comprehensive viva-voce/written examination.

The Ph.D. Registration shall be confirmed only on acceptance of the revised Ph.D. Research Proposal.

## REAPPEAR FOR VIVA-VOCE/WRITTEN EXAMINATION

The Research Scholar has not passed the comprehensive viva-voce/written examinations and has to reappear within three months from the current date. The Ph.D. Research Proposal presented has been accepted by the committee.

## UNSATISFACTORY – Ph.D. REGISTRATION CANCELLED

The performance of the Research Scholar is found to be unsatisfactory.  
It is therefore recommended that the provisional Ph.D. Registration be cancelled forthwith.

## ASSESSMENT COMMITTEE – APPROVAL

Member	Name	Designation	Signature
Chairperson RAC			
Research Supervisor, RAC Convener			
Co-Supervisor			
RAC Member			
RAC Member			
Invited Member			
Invited Member			

Signature of Chairperson, RAC

Date:

Copies to: All members of Assessment Committee, Research Scholar, Academic Office, Registrar  
Evaluation, Registrar, Head/ Dean of Department/School.

**ANNEXURE I**  
**BI-ANNUAL RESEARCH PROGRESS REPORT (B-RPR)**  
**AND**  
**BI-ANNUAL PROGRESS SEMINAR REPORT (B-APS)**

[Pro Forma – Subject to Revision]

This form is to report the progress of the Ph.D. program and is periodically submitted by the Research Scholar and the Supervisor(s), to the Chairperson, Research Advisory Committee (RAC) who reviews and sends it to the Chairperson, Research and Innovation Council (R&IC). The submission of this form is mandatory under the Ph.D. Regulations and failure to fulfil this requirement could lead to termination of the Ph.D. Registration/Enrollment and Fellowships/VURF (where applicable).

This report consists of two parts:

PART A: Bi-Annual Research Progress Report (B-RPR) – to be completed by the Research Scholar and submitted to the Research Supervisor

PART B: Research Progress Assessment Report – Assessment and Recommendations of the RAC

## ANNEXURE I (Continued)

### PART A:

[Pro Forma – Subject to Revision]

#### BI-ANNUAL RESEARCH PROGRESS REPORT (B-RPR)

[Note: To be used for Bi-Annual Progress Seminar. To be completed by the Research Scholar and endorsed by the Supervisor(s)]

To,

The Chairperson,  
Research Advisory Committee

1. Name of the Research Scholar:
2. University Enrolment Number:
3. School/Department:
4. Category of Admission: 1.Full-time 2.Part-time
5. Details of the Supervisor(s):

	Name	Designation
Research Supervisor		
Co-Supervisor (if any)		

6. Research Topic / Tentative Title of the Ph.D. work:
7. Progress Review Period: 1. Odd Semester 2. Even Semester
8. Date of Submission of Bi Annual Research Progress Report (for the current review period):
9. Date of Bi-Annual Research Progress Report (for the previous review period):
10. Date of Bi-Annual Progress Seminar (B-APS) (for the current review year):
11. Date of Bi-Annual Progress Seminar (B-APS) (for the previous review year):
12. Details of Research Papers Published, Manuscripts/Abstracts accepted for Publication or Papers presented in Conferences, if any (attach separate sheet giving details):

Details of the Research Paper / Abstract/Manuscripts accepted for Publication / Presentation	Details of the Journal / Conference
...	

13. Summary of progress of research work and achievements over the last 6 months. Indicate what milestones have been achieved:
14. Outline the research goals for the next 6 months. Indicate what milestones have been set for the next 6 months:

## 15. Self-Assessment:

(a) I rate the *quality of my work* as:

1) Very Good 2) Good 3) Satisfactory 4) Below my expectations.

[If item (4) is selected, list measures to be taken to address this.]

(b) I assess my *rate of progress* as:

1) Very Good 2) Good 3) Satisfactory 4) Below my expectations.

[If item (4) is selected, list measures to be taken to address this.]

(c) Any issues related to the research work that requires Dean / Program Chair or the Chairperson, R&IC to be aware of?

1) No 2) Yes (If Yes, give specific details.)

## 16. Request for Extension of the Ph.D. Registration

[To be filled by the Research Scholars who have completed six (06) years after confirmation of the Ph. D. Registration. The Supervisor(s) should be consulted before filling this section.]

(a) Summary of research work to be completed/carried out with specific time lines (attach separate sheet if necessary):

(b) Expected date of the Pre-Synopsis Report/Seminar/Submission of the Ph.D. Thesis:

Signature and Name of the Research Scholar:

Date:

## ANNEXURE I (Continued...)

### PART B

#### Bi-Annual Research Progress Assessment Report

[Pro Forma – Subject to Revision]

[Note: Research Supervisor to convene RAC Meeting, RAC members to assess progress and Chairperson RAC to endorse and forward Research Progress Assessment Report to the Chairperson, R&IC]

To  
The Chairperson  
R&IC

#### 1. Assessment of the RAC:

a) The quality of the Research Scholar's work is:

1) Very Good 2) Good 3) Satisfactory 4) Below expectations.

[If item (4) is selected, list measures to be taken to address this.]

b) The Research Scholar's rate of progress is:

1) Very Good 2) Good 3) Satisfactory 4) Below the expectations.

[If item (4) is selected, list measures to be taken to address this.]

c) Progress in the initial phase of the Ph.D. Program (Initial Coursework/Literature Review/Problem formulation):

1) Satisfactory 2) Unsatisfactory.

If unsatisfactory, list specific remedial measures given to the Research Scholar:

d) (d) Bi-Annual Progress Seminar (B-APS)

1) Satisfactory 2) Unsatisfactory.

If unsatisfactory, B-APS should be re-presented within \_\_\_\_ (specify date / time period).

e) Are there any issues related to the research work that the Chairperson, R&IC should be aware of?

1) No 2) Yes

If Yes, provide specific details:

f) If the Research Scholar has completed three (03) years from the date of Ph.D. Registration: Expected period for submission of Pre-Synopsis Report and Seminar:

1. within six (06) months

2. within one (01) year

3. More than one (01) year.

[If more than (01) year, list the major issues / areas of concern and measures to be taken.]

- g) If the student has completed six (06) years from the date of the Ph.D. Registration Confirmation (Refer PART A No. 16)

Extension of the Ph.D. Registration:

1. RECOMMENDED up to (specify date).

2. NOT RECOMMENDED - Ph.D. Registration terminated (Mention specific reasons):

- h) Additional Comments, if any (attach additional sheet if necessary).

## 2. Endorsement by the RAC

Member	Name	Designation	Signature
Chairperson, RAC			
Research Supervisor – RAC Convener			
Co-Supervisor			
Member			
Member			

Name and Signature of Chairperson, RAC:

RAC Meeting date:

Note: Copies to be sent to all members of the RAC & the Research Scholar



**ANNEXURE J**  
**PRO FORMA FOR SUBMISSION OF THE PRE-SYNOPSIS REPORT/SEMINAR**  
**AND**  
**THE PRE-SYNOPSIS ASSESSMENT REPORT**

Note: This form consists of two parts:

Part A: Form for Submission of the Pre-Synopsis Report and request for the Pre- Synopsis Seminar

Part B: Pre-Synopsis Assessment Report

(Refer Annexure L for guidelines to prepare the Pre-Synopsis Report)

**PART A**  
**FORM FOR SUBMISSION OF THE PRE-SYNOPSIS REPORT AND REQUEST FOR THE PRE-SYNOPSIS SEMINAR**

[To be filled by the Research Scholar and endorsed by the Supervisor(s)]

To:

The Chairperson,  
Research Advisory Committee

1. Name of the Research Scholar:
2. University Enrolment Number:
3. School/Department:
4. Category of Admission: 1. Full-time 2. Part-time
5. Date of Confirmation of the Ph.D. Registration:
6. Title of the Pre-Synopsis Report:
7. Details of the Supervisor(s):

	Name	Designation
Research Supervisor		
Co-Supervisor (if any)		

8. Details of Publications/Paper Presentations:  
(Attach Preprints/Acceptance Communication)

No.	Title of Paper / Manuscript / Abstract [Authors as listed in the Paper]	Details of the Journal / Conference
...		

Please convene the Pre-Synopsis Seminar and the Panel to assess the Pre-Synopsis Report.

Signature & Name of the Research Scholar:

Date:

ENDORSEMENT BY THE SUPERVISOR(S):

I/We approve the submission of the Pre-Synopsis Report. The Pre-Synopsis Seminar and the Assessment Panel may be convened at the earliest.

Signature & Name of the Research Supervisor

Date:

Signature and Name of Co- Supervisor(s)

Date:

**ANNEXURE J**  
**PART B**  
**PRE-SYNOPSIS ASSESSMENT REPORT**  
**[Pro Forma – Subject to Revision]**

[Note: To be completed by the Chairperson, RAC and submitted to Chairperson, R&IC]

To,

The Chairperson,  
Research and Innovation Council

1. Name of Research Scholar:
2. University Enrolment Number:
3. School/Department:
4. Category of Admission: (i) Full-time                      (ii) Part-time
5. Date of Confirmation of Ph.D. Registration:
6. Date of Presentation of Pre-Synopsis Seminar:
7. Is this the first attempt made by the Research Scholar at the Pre-Synopsis Seminar?  
(1) Yes                                      2) No

If No: Date(s) on which prior attempts were made:

8. Title of Pre-Synopsis Report:
9. **PANEL OF EXAMINERS REPORT ON THE PRE-SYNOPSIS SEMINAR:**

The Research Scholar has submitted a detailed and comprehensive report of the research work carried out by him / her and has also made an oral presentation/seminar to the Panel of examiners.

The research work done and reported by the Research Scholar is, as of date:

**a) ACCEPTED AS ADEQUATE.**

The Research Scholar is directed to submit the Ph.D. Synopsis and Thesis, within FOUR months of the date of this Pre-Synopsis Assessment Report, including any of the suggestions as advised by the panel in consultation with his/her Supervisor(s). (Suggestions to be detailed on a separate sheet and attached.)

**b) INADEQUATE**

The report of the research work carried out by the scholar is found to be inadequate and hence the Ph.D. Synopsis and Thesis cannot be submitted in its present form. The scholar is directed to resubmit the Pre-synopsis Report incorporating all the modifications/extensions advised by the panel and as detailed in the attached sheet. (Panel should attach a separate sheet of their detailed observations). The Research Scholar must present the Pre-Synopsis Report and Seminar again and the suggested date of repeat Pre-Synopsis seminar would be communicated to the scholar.

#### 10. PANEL OF EXAMINERS AND ENDORSEMENT

Member	Name	Designation	Signature
Chairperson RAC			
Research Supervisor – RAC Convener			
Co-Supervisor (if any)			
RAC Member			
RAC Member			
Invited Member			
Invited Member			

Date of RAC Meeting:

[Copies to be sent to: All members of the Panel of Examiners, Research Scholar, Academic Office, Registrar Evaluation, Dean/Program Chair]

**ANNEXURE K**  
**SUBMISSION OF Ph.D. SYNOPSIS**  
**THESIS ORIGINALITY AND ANTIPLAGIARISM CERTIFICATE**  
**[Pro Forma – Subject to Revision]**

Note: This Pro Forma has two (02) parts:

PART A: FORM FOR SUBMISSION OF Ph.D. SYNOPSIS AND THESIS

PART B: ORIGINALITY AND ANTIPLAGIARISM CERTIFICATE (to be submitted as per the requirements of the VU Ph.D. Regulations)

**PART A**

FORM FOR SUBMISSION OF Ph.D. SYNOPSIS AND THESIS

[To be filled by the Research Scholar and endorsed by the Supervisor(s)]

To:  
The Chairperson,  
Research and Innovation Council

**SUBMISSION OF Ph.D. SYNOPSIS AND THESIS**

1. Name of Research Scholar:
2. University Enrolment Number:
3. Academic Unit (Department/School/Institute):
4. Category of Admission: 1.Full-time                      2. Part-time
5. Date of Confirmation of Ph.D. Registration:
6. Date of Presentation of Pre-Synopsis Report and Seminar: (Attach copy of the Pre-Synopsis Assessment Report.)
7. Date of submission of Ph.D. Synopsis and Thesis:
8. Title of the Ph.D. Synopsis and Ph.D. Thesis:

9. Details of Supervisor(s)

	Name	Designation
Research Supervisor		
Co-Supervisor (if any)		

10. Details of Publications/Paper Presentations:

- a) Publications/Accepted for Publication in Reputed Journals (Attach Preprints/Acceptance of Communication)  
(Attach Preprints/Acceptance Communication)

No.	Title of Paper [Authors as listed in the Paper]	Details of the Journal
...		

- b) Presentations in Reputed Conferences/Seminars (Attach Copies/Certificates/Acceptance of Communication)

No.	Title of Paper [Authors as listed in the Paper]	Details of the Conference/Seminar
...		

11. Address for communication (till the date of Ph.D. Defense Viva-Voce):

Mobile:

Alternate Email:

(It is the responsibility of the Research Scholar to intimate the University Academic Office of any change of Address/Mobile Number/Email, in advance.)

I am herewith submitting {number} soft bound copies of my Ph.D. Synopsis and Ph.D. Thesis along with a softcopy (PDF file) of the same.

I affirm that I have fulfilled all the conditions as specified in Section 20 of the Vidyashilp University Ph.D. Regulations for submission of the Ph.D. Synopsis and Ph.D. Thesis.

I have attached the following Documents/Certificates:

- i) Copy of the Pre-Synopsis Assessment Report certifying that the Pre-Synopsis Report and Seminars have been declared “Accepted”
- ii) Copy of Transcripts/Grade Sheets to certify that the prescribed Ph.D. coursework credits have been successfully completed
- iii) Copies/Preprints of papers published in Journals and Papers presented in Seminars/Conferences {and/or} Certificates/Communication of Acceptance of papers for publication/presentation
- iv) Copy of Receipt of payment of the Ph.D. Thesis Examination Fee
- v) Copy of Receipt of payment of the Ph.D. Fees for the current year.
- vi) “Originality and Antiplagiarism Certificate”

Signature and Name of the Research Scholar:

Date:

ENDORSEMENT BY THE SUPERVISOR(S):

I/We approve the submission of the Ph.D. Synopsis and Ph.D. Thesis to the Chairperson, Research Advisory Committee for consideration of the Ph.D. Thesis for adjudication.

Signature & Name of the Research Supervisor

Date:

Signature and Name of Co- Supervisor (if any)

Date:

## PART B

[Certificate to be submitted along with PART A]

### ORIGINALITY AND ANTI-PLAGIARISM CERTIFICATE

[To be completed jointly by the Research Scholar and Supervisor(s)]

This is to certify that the Ph.D. Thesis titled {"TITLE OF THE Ph.D. THESIS"} authored by {Ms./Mr. <Name of Research Scholar>} is the *bona fide* original research work carried out by the author during the period {Date of Ph.D. Provisional Registration DD/MM/YYYY} to {Date of submission of Ph.D. Thesis DD/MM/YYYY}.

To the best of our knowledge the Ph.D. Thesis does not include any work which has at any time previously, been submitted for the award of any other Degree/Diploma of the University, or any other Institution/University.

We further vouch that the Ph.D. Thesis has been checked for plagiarism using {name of the anti-plagiarism software, like Turnitin®, etc.} and the copy of the scan report/originality report is attached, certifying that the contents of the Ph.D. Thesis are within acceptable norms to be declared as free from plagiarism. No ideas, processes, diagrams, charts or words of others have been presented as the author's own work; and where these are adopted, are duly acknowledged.

Signature and Name of Research Scholar:

Date:

Signature and Name of Research Supervisor:

Date:

Signature(s) and Name(s) of Co- Supervisor(s) (if any):

Date:



## ANNEXURE L

### GUIDELINES FOR PREPARATION OF THE Ph.D. THESIS AND SYNOPSIS

#### 1. Introduction

Preparation of a Ph.D. thesis is of paramount importance.. The Thesis must be a document of the best professional standards. Whilst originality is very much expected in a Thesis, the Thesis document necessarily adheres to specified conventions and formats. Ph.D. Thesis are deposited in the Vidyashilp University Library as bound volumes and must be produced with the same care as printed books.

The intention of these guidelines is to produce a high-quality thesis document, and to ensure consistency among the Ph.D. Theses produced by the University research scholars. It is the responsibility of the Research Scholar to ensure that these guidelines are met, and the responsibility of the Supervisor(s) to confirm the same before submitting the Thesis for approval.

#### 2. Structure Of The Contents Of The Thesis

The Ph.D. Thesis should be structured as follows:

##### 2.1. Preliminaries

- a) Title Page
- b) Dedication (where included)
- c) Certificate(s)
- d) Table of Contents
- e) Abstract
- f) Acknowledgement
- g) List of Figures
- h) List of Schema / Photographs (where included)
- i) List of Tables
- j) List of Abbreviations
- k) List of Notations and Symbols (where included)

##### 2.2. Text of Thesis

- a) Introduction
- b) The Body of the Thesis
- c) Conclusions

##### 2.3. Appendices (where included)

##### 2.4. References

##### 2.5. Bibliography (where included)

### 3. Guidelines for Layout and Format

#### 3.1. Title Page

The Pro Forma for the Title Page is placed in Appendix I (one). The specimen of the University Logo is available in the University Academic Office. The title of the Thesis is typed in upper and lower case letters. Do not use all uppercase letters. This is to ensure that the words (such as proper names) within the title are capitalized correctly when listed elsewhere.

Additionally, the following should be printed overleaf (of the Title Page) centered at the bottom of the page.

© VIDYASHILP UNIVERSITY  
{YYYY} <Year of submission> ALL RIGHTS RESERVED

#### 3.2. Dedication Page

The Research Scholar may wish to include a dedication message. Typically, this is a single Phrase/line message placed in a blank page after the title page. If a Dedication is included, it will be numbered as page ii. (This is not similar to “Acknowledgements” which is a separate item.)

#### 3.3. Certificate Page

The “*Originality and Antiplagiarism Certificate*” shall be placed as per the Pro Forma given in Appendix II. This is a mandatory certificate.

Additional certificates, if any, such as sponsored research projects, use of certain calibrated equipment, certification from standards organizations, etc.

#### 3.4. Table of Contents

The Table of Contents needs to include entries for all of the front matter except for the Title page, Dedication page and Table of Contents page. The numbering and wording used in the Table of Contents must match the numbering and wording of the titles and headings in the front matter and text. A guideline for the Order of Contents and the Pro Forma for the Table of Contents is given in Appendix III.

#### 3.5. Acknowledgments

The Thesis must include an Acknowledgments section which, at a minimum, describes the source(s) of support for the research. Acknowledgment of the source(s) of support is important ethically in all research publications and presentations, including theses, to give the sponsors the recognition they deserve, and also to disclose publicly the organization or persons funding the research.

The Research Advisory Committee may also be listed in the Acknowledgments.

#### 3.6. Abstract

The Abstract should present a brief summary of the thesis indicating the purpose, the procedures or methods used, the results or product that was produced, and the significant conclusions. The reference-free double spaced abstract is typically limited to about 400 words. The Abstract is also followed by Key Words (typically not more than six key words).

#### 3.7. List of Figures

All Figures must be numbered and listed. Numbers and titles of Figures listed must be identical to the numbers and titles used within the body of the Thesis.

Note: If photographs, schema, maps, diagrams, graphs or drawings are included, separate Lists of Photographs, Schema, etc., as required may be used. Numbers, Titles, and Thesis page numbers must be included as done for the case of Figures.

### 3.8. List of Tables

If Tables are included, all Tables, should carry a number and a title clearly describing the data presented. Table numbers and titles listed must be identical to the numbers and titles used within the body of the Thesis.

### 3.9. List of Abbreviations

The Research Scholar must take utmost care in the use of abbreviations. The scholar shall mention full form followed by abbreviation within parenthesis during the first mention. Post this the abbreviation can be used without explanation each time. Standards must be adhered to.

### 3.10. List of Notations and Symbols

The Research Scholar must explain the meaning of special notations and symbols used in the Thesis. Define Numerical, English symbols, Greek / Latin symbols and Miscellaneous symbols separately.

### 3.11. Thesis Text: General Guidelines

One of the most important requisites in preparation of the Ph.D. Thesis is consistency of Format and adherence to the specific guidelines given below:

#### ***a) Language***

The Ph.D. Thesis should be written in English. (In case of exceptions where some parts of the Thesis may need to be written in another language as per the approval of the RAC and provisions of the VU Ph.D. Regulations, the standard publishing norms followed by scholarly Journals published in that language shall be followed.)

The Ph.D. Thesis should be free from grammatical, lexical and punctuation errors. In addition to the word processor spellchecker, a Ph.D. Thesis should be proof-read to check that errors do not remain that are not detected by the spellchecker. The Ph.D. Thesis should consistently use either American or British spelling but should not alternate between the two. Research Scholars are encouraged to take additional support as required to have their manuscript thoroughly edited before submission, to improve the clarity and preciseness of communication.

#### ***b) Paper***

For the Hard Bound copies of the Ph.D. Thesis to be submitted to the University, the paper must be chosen for its permanence and durability.

The paper must be (i) acid-neutral or acid-free, (ii) watermarked, (ii) whiteness 95% or above, and (IV) weight 80 gsm or more. Standard A4 size paper should be used.

#### ***c) Font***

The Thesis needs to be prepared using a standard text processing software and must be printed in black color text (color for images, if necessary) using high quality printer.

As far as possible, use the same font for the entire Ph.D. thesis but, if necessary, different fonts may be used within Tables, Figures, and Appendices.

#### **d) Layout**

##### *Chapter and Page Layout*

Each chapter shall begin on a fresh page (odd number page in case of double sided printing) with an additional top margin. A chapter can be divided into sections, subsections and sub-subsections so as to present different concepts separately. Sections and subsections can be numbered using decimal points, e.g. 2.2 for the second section in Chapter 2 and 2.3.4 for the fourth subsection in the third section of Chapter 2. The sections and subsections of the chapter need not begin on a new page. Chapters, sections and subsections shall be included in the Table of Contents with page numbers. Further sub-sub-subsections need not be included in the Table of Contents.

##### *Headings and Sub-headings*

Headings should be distinguished from the surrounding text by a larger font size, bolding, italics, or a combination of these.

All headings of the same level should use the same style, and headings at lower levels should be less prominent than those at higher levels.

All headings should be left aligned. The headings and subheadings should be numbered.

##### *Numbering and Titles/Captions for Tables and Figures/Schema/Photographs*

Each Table and Figure/Schematic/Photograph should carry a number and Caption/Title that clearly describes the nature of data/information presented. Table number and title will be placed above the Table while the Figure number and caption/title will be located below the figure. They should be numbered consecutively throughout, in the order in which they are placed in the text. The Tables and Figures should be embedded in the text of the Ph.D. Thesis, immediately after the first mention of it in the text, on the same page if there is room, or on the following page. Tables and Figures shall be numbered chapter-wise. For example, the fourth figure in Chapter 5 will bear the number Figure 5.4 or Fig 5.4. All Tables and Figures must be referred to in the text by numbers and not by a phrase such as "the following table". Tables or Figures of peripheral importance to the text may be placed in an Appendix. Reference for any Table or Figure reproduced from another source shall be cited as per the citation style (APA, Harvard, IEEE, MLA...) chosen for use in the Thesis.

#### **3.12 Appendices:**

Long or detailed supplementary information such as derivations, tables, experimental setups/observations, questionnaires, approval letters or such other materials that are relevant to the Thesis but are not necessary for understanding alongside the text, should be placed in an appendix or appendices and listed in the Table of Contents. Appendices should be numbered using a consistent form, such as Appendix 1, Appendix 2, etc., or Appendix I, Appendix II, etc. All appendix pages must be numbered and are to be included in the Table of Contents.

#### **3.13 References**

Citations of the professional literature should be standardized throughout the Thesis. A single list of references at the end of the Thesis is preferred. The form of citation should be consistent with the form used in a standard professional journal of the field of the research work. The choice of referencing conventions may depend on the specific field of research work. Some widely used conventions are: APA Referencing System, The Harvard Citation

Style, IEEE Citation Reference, MLA (Modern Language Association) Style and ACM Style. The important point is that the chosen style of citation must be consistently used throughout the Thesis (and Synopsis). No matter which style one chooses, it should be the latest and updated edition. For instance, a research scholar begins writing the thesis in MLA 9<sup>th</sup> edition. However, at the time of submission MLA has already come out with the 10<sup>th</sup> edition. In that case, the scholar should do a cross-check and implement the latest edition.

### 3.14 Bibliography

Books, monographs, articles and other materials used in the research work may be listed According to the accepted bibliographic practice in the field of the research work. A single bibliography at the end of the Thesis is preferred.

## 4. Preparation of Ph.D. Synopsis

### 4.1 General Guidelines:

There are wide variations in the subject matter and style of presentation of the Ph.D. Synopsis amongst disciplines. However, the primary objective of the Synopsis is to enable the Examiner/Thesis Adjudicator to judge whether a *prima facie* case exists for accepting the proposed Ph.D. Thesis for a detailed evaluation for the award of the Ph.D. degree.

The Synopsis should therefore, list, clearly, the contributions resulting from the research investigations carried out by the Research Scholar, which have led to seminal/new frameworks for advancement of knowledge in the field of investigation, and/or new solutions/products/services that have business, technological, environmental and/or social applications.

In order to fully appropriate the research scholar's contribution, it is necessary to articulate the context, challenge and scope of research work. The Synopsis should contain a well-summarized account of the existing knowledge and the inadequacy or gap in this knowledge that led to the formulation of the research problem. It is, therefore, recommended that the Synopsis be structured and presented as per the guidelines given below:

- (a) Title Page
- (b) Abstract
- (c) Brief Literature Review/State-of-the-Art Review
- (d) Motivation, Objectives and Scope of Research Work
- (e) Methodology/Framework(s)/Experimental Setups for Research
- (f) Significant Results and Original Contributions
- (g) Conclusions and Suggestions for further work
- (h) References (as relevant to the Synopsis)
- (i) List of Papers Published/Accepted, Patent Applications (from the Ph.D. work) The Ph.D. Synopsis typically consists of about 20 pages.

### 4.2 Layout and Format:

The Guidelines for Layout and Format as specified in Section 3.0 of this appendix may be used in the preparation of the Synopsis. (Additionally, the "Guidelines to prepare the Ph.D. Research Proposal" placed in Annexure D of the VU Ph.D. Regulations, may also be referred to.) The changes in certain items (with reference to Section 3.0) is outlined below:

i) Title Page

The Title of the Ph.D. Synopsis is the same as that of the Ph.D. Thesis. The Pro Forma is placed in Appendix IV

ii) Abstract

The Abstract and Keywords placed in the Synopsis and Thesis will be exactly the same.

iii) References

Only select references as relevant to the text in the Synopsis is to be listed. Normally, a Synopsis will have about 10 – 15 references, or even less.

## 5. Binding: Ph.D. Synopsis and Thesis

### Synopsis

The copies of the Ph.D. Synopsis must be soft bound. The Pro Forma for the Cover Page is the same as that of the Title Page as placed in Appendix IV the Cover Page is White in color and text color is Black. The specimen of the University Logo is available in the University Academic Office.

### Thesis

The evaluation copies of the Ph.D. Thesis may be soft bound. The final copies to be submitted after the Ph.D. Defense Viva-Voce must be hard bound. Two hard bound copies must be submitted to the University Office as per the requirements of the VU Ph.D. Regulations. (The Research Scholar may get additional hard bound copies done as per his/her requirements.)

The Pro Forma for the Cover Page is placed in Appendix V.

The Cover Page is Black in color and text color is gold. The specimen of the University Logo is available in the University Academic Office.

Additionally, the following should be printed on the spine of the thesis:

- (i) At the top end of the spine [Ph.D. Thesis]
- (ii) At the centre of the spine {Name of the Research Scholar}
- (iii) At the bottom end of the spine {YYYY}, which is the year of submission.

## 6. Electronic/Soft Copy of Ph.D. Thesis And Synopsis – Submission Guidelines

The Thesis must be submitted in Adobe PDF format. When preparing the PDF, the following points must be observed:

- (i) Embed all fonts (Assuming the text is prepared in MS Word, the MS Office Support will provide guidelines to embed fonts.)

Note: Manuscripts without embedded fonts can cause all punctuation and formatting to disappear when the document is printed from the digital file. The Research Scholar is responsible for the appearance of the thesis manuscript in PDF to ensure that it will appear and may be downloaded exactly as submitted.

- (ii) NO password protection on the PDF
- (iii) NO compression
- (iv) Security settings to allow printing

## 7. Concluding Remarks

These “Guidelines for the preparation of the Ph.D. Thesis and Synopsis” present only the basic requirements for thesis preparation. Over and above the aforementioned points, a thesis should be easy and pleasant to read both in its appearance and presentation. Several aspects of thesis preparation, particularly style of writing and presentation, have not been discussed in detail. The Research Scholar should glean appropriate ideas from standard literature of the area of research, and create a unique style, while maintaining conventions and format consistently throughout the thesis. In doing so, the research scholar should be in constant conversation with their supervisor for guidance, and to ensure compliance with regulatory bodies.

In conclusion, the Ph.D. Thesis (and Synopsis) is the capstone project for Ph.D. Research Scholars. It is the most important and far-reaching undertaking in entire doctoral program, having an impact that extends well beyond the Ph.D. program.

Pro Forma – Subject to Revision FOR TITLE PAGE (2 pages: Front and overleaf.)

**Appendix I**

**{Title of the Ph.D. Thesis in 18 or 20 pt Bold Lettering in Black Color with Single Spacing  
Between Lines and Centered}**

A Thesis submitted by  
< 14 or 16 pt >

**{Full Name of Research Scholar}**  
< same pt as Title >

in partial fulfilment for the requirements of the award of the degree of  
< 14 or 16 pt >

**DOCTOR OF PHILOSOPHY**  
< same pt as Title >

Faculty of {-----}  
**{Name of the School}**  
< 14 or 16 pt >



< 16 pt >  
**VIDYASHILP UNIVERSITY, BENGALURU**

**{YYYY}, BENGALURU**  
**{YYYY}**  
**ALL RIGHTS RESERVED**



CERTIFICATE  
Pro Forma – Subject to Revision  
Appendix II

**ORIGINALITY AND ANTI-PLAGIARISM CERTIFICATE**

[To be completed jointly by the Research Scholar and Supervisor(s)]

This is to certify that Ph.D. Thesis titled {“Title of the Ph.D. Thesis”} authored by {Ms./Mr. Name of the Research Scholar} is the *bona fide* original research work carried out by the author during the period {Date of Ph.D. Provisional Registration DD/MM/YYYY} to {Date of submission Ph.D. Thesis DD/MM/YYYY}.

To the best of our knowledge the Ph.D. Thesis does not include any work which has at any time previously, been submitted for the award of any other Degree/Diploma of the University, or any other Institution/University.

We further vouch that the Ph.D. Thesis has been checked for plagiarism using {name of the anti-plagiarism software, like Turnitin®, etc.} and the {scan report/originality report} certifies that the contents of the Ph.D. Thesis are free from plagiarism. No ideas, processes, diagrams, charts or words of others have been presented as the author’s own work; where adopted, are duly acknowledged.

Signature and Name of Research Scholar

Signature and Name of Research Supervisor

Signature(s) and Name(s) of Co- Supervisor(s)  
Dated:

**Guideline for Order of Contents and Table of Contents**  
**Pro Forma – Subject to Revision**  
**Appendix III**

**Title Page**

**Order of Contents**

[With illustrations/examples]< Page Numbering Scheme – Sample >

Counted as first page but not numbered Do not include in Table of Contents

**Dedication Page (optional)**

Do not include in Table of Contents

**Certificate Page**

(Mandatory Originality and Antiplagiarism Certificate, and any other Certificates, if any)

Do not include in Table of Contents

**Table of Contents**

Include front matter listed below followed by entries for text of thesis

Do not include an entry for the Table of Contents in the Table of Contents

- i) Not numbered in Thesis
- ii) Not numbered in Thesis
- iii) Not numbered in Thesis
- iv) Not numbered in Thesis

<b>Acknowledgements</b> Numbering starts in Thesis and the Acknowledgments page begins with	vi
<b>Abstract</b>	viii
<b>List of Tables</b> (when applicable)	ix
<b>List of Figures</b> (when applicable)	xi
<b>List of Schemes/Photographs/ ...</b> (use separate List as applicable)	xiii
<b>List of Abbreviations</b>	lx
<b>List of Notation/Symbols</b> (use separate List as applicable)	X
<b>Chapter 1</b> (numbering begins Numeral 1)	1
<b>Remaining Chapters 2, 3, ... etc</b>	22 <example> ...
<b>Chapter 6 &lt;example&gt; Conclusions</b>	238 <example>
<b>[Appendix A, B, ... or Appendix I, II, III...]</b>	245 .....<example>
<b>References</b>	265 ....
<b>Bibliography</b> (when applicable)	280 ...
<b>Blank pages as required</b>	Not numbered

**TABLE OF CONTENTS**  
[with illustrations/examples]

	Page < example >
Acknowledgements	vi
Abstract	viii
List of Figures	ix
List of Tables	xii
List of Abbreviations	xiii
List of Notations	xiv
List of Symbols	xv
Chapter 1 Introduction{title}	
1.1 {subtitle}	1
1.2	2
1.3	3
1.3.1	3
1.3.2	5
1.4	8
1.5	10
1.5.1	10
1.5.2	12
1.5.3	13
1.6	14
Chapter 2 {Title}	16 < .... Similarly for all the other Chapters ...>
Appendix 1 (or I) {Title}	245
Appendix 2 (or II) {Title}	247 < .... Similarly for all the other Appendices ...>
References	265
Bibliography	280

COVER & TITLE PAGE – Ph.D. SYNOPSIS  
Pro Forma – Subject to Revision  
**APPENDIX IV**

**SYNOPSIS**  
<Bold, 18 or 20 pt>

of the Ph.D. Thesis titled  
<14 pt>

{Title of the Ph.D. Thesis in Bold Lettering in Black Color with Single Spacing Between Lines  
and Centered}  
<Bold, 18 or 20 pt>

Proposed to be submitted by  
<14 pt>

**{Full Name of Research Scholar}**  
<Bold, 18 or 20 pt>

in partial fulfilment for the requirements of the award of the degree of  
<14 pt>

**DOCTOR OF PHILOSOPHY**  
<Bold, 18 or 20 pt>

Faculty of {-----}  
{Name of the Department/Institute/School}  
< 14 or 16 pt >



< Times New Roman 16 pt>  
**VIDYASHILP UNIVERSITY, BENGALURU**  
**{YYYY}**

**APPENDIX V**

**COVER PAGE  
Pro Forma – Subject to Revision**

{Title of the Thesis in 18 or 20 pt with bold lettering in gold color with single spacing between lines and centered}

A Thesis submitted by

{FULL NAME OF RESEARCH SCHOLAR}

in partial fulfilment for the requirements of the award of the degree of

**DOCTOR OF PHILOSOPHY**

Faculty of {}  
{Name of the Department/Institute/School}



{YYYY}

## **ANNEXURE M**

ANNEXURE M HAS TWO PARTS:

### **PART A: SUGGESTED PANEL OF THESIS EXAMINERS (as per Clause 21.1)**

(To be submitted by the Supervisor(s) to the RAC.)

### **PART B: RECOMMENDED PANEL OF THESIS EXAMINERS (as per Clauses 21.3 to 21.6)**

(To be forwarded by the Chairperson, RAC to the Registrar Evaluation, along with requisite number of copies of the Ph.D. Synopsis and Ph.D. Thesis)

### **PART A: SUGGESTED PANEL OF THESIS EXAMINERS [CONFIDENTIAL]**

[To be completed by the Research Supervisor in consultation with the Co-Supervisor(s), if any, and submitted to Chairperson, RAC along with copies of the Ph.D. Synopsis and Ph.D. Thesis]

To:  
Chairperson,  
RAC

Date:

Subject: SUGGESTED PANEL OF THESIS EXAMINERS (as per Clause 21.1 of the Ph.D. Regulations)

1. Name of Research Scholar:
2. University Enrolment Number:
3. Title of the Ph.D. Synopsis and Ph.D. Thesis
4. Date of submission of Ph.D. Synopsis and Thesis:
5. Suggested Panel of Thesis Examiners submitted to the RAC for Endorsement:

SUGGESTED PANEL OF THESIS EXAMINERS	
EXTERNAL EXAMINERS FROM OUTSIDE INDIA	
1.	Name: Designation/Position: Postal Address: Mobile No: Email:
2.	Name: Designation/Position: Postal Address: Mobile No: Email:
3.	Name: Designation/Position: Postal Address: Mobile No: Email:
EXTERNAL EXAMINERS FROM WITHIN INDIA	
1.	Name: Designation/Position: Postal Address: Mobile No: Email:
2.	Name: Designation/Position: Postal Address: Mobile No: Email:
3.	Name: Designation/Position: Postal Address: Mobile No: Email:

4.	Name: Designation/Position: Postal Address: Mobile No: Email:
5.	Name: Designation/Position: Postal Address: Mobile No: Email:

Signature and Name of Research Supervisor

Signature(s) and Name(s) of Co- Supervisor(s)



## **PART B: RECOMMENDED BOARD OF THESIS EXAMINERS**

[Chairperson, RAC to forward Recommendation to the Chairperson, R&IC with a copy to the Registrar Evaluation]

To:  
The Chairperson,  
R&IC

The Recommended Board of Thesis Examiners for the Ph.D. Thesis titled {\_\_\_\_\_} submitted by the Research Scholar {Ms./Mr. Name of Research Scholar} is forwarded to you in confidence.

Four copies each, of the Ph.D. Synopsis and Thesis, along with softcopies of the same are being forwarded to the Registrar (Evaluation). You are requested to advise the Registrar (Evaluation) on the constitution of the Board of Thesis Examiners for Thesis Adjudication and subsequent Ph.D. Defense Viva-Voce.

Signature and Date: Chairperson, RAC

Enclosed: Confidential - Recommend Panel of Examiners

RECOMMENDED BOARD OF THESIS EXAMINERS CONFIDENTIAL	
1. Title of Ph.D. Thesis: 2. Name of Research Scholar: 3. University Enrolment Number: 4. School/Centre: 5. Date of Submission of Ph.D. Thesis:	
EXTERNAL EXAMINERS FROM OUTSIDE INDIA [IN ORDER OF PRIORITY]	
1.	Name: Designation/Position: Postal Address: Mobile No: Email:
2.	Name: Designation/Position: Postal Address: Mobile No: Email:
3.	Name: Designation/Position: Postal Address: Mobile No: Email:
EXTERNAL EXAMINERS FROM WITHIN INDIA [IN ORDER OF PRIORITY]	
1.	Name: Designation/Position: Postal Address: Mobile No: Email:
2.	Name: Designation/Position: Postal Address: Mobile No: Email:

3.	Name: Designation/Position: Postal Address: Mobile No: Email:
4.	Name: Designation/Position: Postal Address: Mobile No: Email:
5.	Name: Designation/Position: Postal Address: Mobile No: Email:

Approved by the Chairperson

Signature and Name of Chairperson, RAC

Date:

Cc.

The Registrar Evaluation

(with Four (04) copies of the Synopsis and Thesis, and softcopies of the same)

## **ANNEXURE N**

### **GUIDELINES - THESIS ADJUDICATION PROCESS: THESIS EVALUATION REPORT [Pro Forma – Subject to Revision]**

Note: ANNEXURE N has THREE parts:

PART A: Letter to Thesis Examiner (seeking acceptance to be a Thesis Examiner) to be sent by the Registrar Evaluation along with a copy of the Ph.D. Synopsis

PART B: Letter to Thesis Examiners to be sent by Registrar Evaluation along with a copy of the Ph.D. Thesis for adjudication, along with the Pro Forma given in PART C

PART C: Pro Forma for Thesis Evaluation Report (with Enclosure), where Item I has to be filled by Registrar Evaluation before sending to the Ph.D. Thesis Examiner.

#### **PART A**

##### **Pro Forma – Subject to Revision**

[Letter to Thesis Examiner seeking acceptance to evaluate the Ph.D. Thesis]

Dated:

Ref: {Ph.D./.....}

Dr/Prof. {Full Name}

{Address}

Dear Dr/Prof. {Name}

{For External Examiner outside of India}

Sub: Invitation to be a member of the Board of Thesis Examiners to adjudicate a Ph.D. Thesis

{For External Examiner within India}

Sub: Invitation to be a member of the Board of Thesis Examiners and Ph.D. Defense Committee to adjudicate a Ph.D. Thesis

On behalf of Vidyashilp University, Bengaluru, I am pleased to invite you to be an esteemed member of the Board of Thesis Examiners {and Ph.D. Defense Committee} to examine the Ph.D. Thesis from the University titled {“.....”}

A copy/soft copy of the Ph.D. Synopsis is enclosed/attached for your review and consideration of acceptance to be an Examiner for this Thesis.

On receipt of your acceptance, a copy of Ph.D. Thesis will be sent to you for evaluation. If for some reason you are not able to accept this invitation, please inform me by return mail. It will be very helpful if you communicate your acceptance (or otherwise) at the earliest, but not later than {DD/MM/YYYY}.

Kindly note that the contents of this Ph.D. Synopsis may not be disclosed in any form or used for any purpose other than reviewing it. You are also requested to inform if there is any conflict of interest with this Research Scholar whose Ph.D. Thesis is under evaluation.

{For External Examiner within India} Also, you will be required to be present as the External Examiner on the Ph.D. Defense Committee to evaluate the Ph.D. Defense Viva-Voce. The date of the Ph.D. Defense Viva-Voce will be communicated in due course after the completion of the evaluation of the Ph.D. Thesis by all the Thesis Examiners.

The details of remuneration/honorarium for adjudication of the Ph.D. Thesis is attached for your information.

Yours sincerely,

Registrar Evaluation  
Vidyashilp University

## PART B

### [Pro Forma – Subject to Revision]

#### LETTER TO THESIS EXAMINERS FOR EVALUATION OF Ph.D. THESIS / EXTERNAL EXAMINER ON Ph.D. DEFENSE COMMITTEE

Dated:

Ref: {Ph.D. /.....}

Dr/Prof. {Full Name}  
{Address}

Dear Dr/Prof. {Name}

Ref: Evaluation of the Ph.D. Thesis titled {“.....”}

On behalf of Vidyashilp University, Bengaluru, I thank you for accepting our invitation to be a member of the Board of Thesis Examiners to evaluate Ph.D. Thesis from the University titled “.....” {and to be a member of the Ph.D. Defense Committee to evaluate the Ph.D. Defense Viva-Voce.}

A copy/soft copy of the Ph.D. Thesis is sent herewith for evaluation. I shall be grateful if you could examine it and send us (electronically) a scanned version of your report.

A Pro Forma for the “Thesis Evaluation Report” is attached/enclosed. Kindly complete the evaluation of the Thesis at the earliest, but not later than {DD/MM/YYYY}.

I would like to draw your attention to the following points:

1. Please indicate your recommendation and report in the enclosed/attached Thesis Evaluation Report.
2. An excerpt from the Vidyashilp University Ph.D. Regulations of University – Clause 21.4 “Thesis Examiners’ Reports and Recommendation” is attached/enclosed for your information.
3. The contents of this Ph.D. Thesis may not be disclosed in any form or used for any purpose other than evaluating it.
4. A remuneration form is also enclosed/attached with this mail. Please fill this in and mail me a scanned copy. The address/contact details are as above/below.  
{For External Examiner within India}
5. The Ph.D. Defense Viva-Voce date will be fixed, after taking inputs from all examiners on the panel. The date will normally be between 6 to 8 weeks from the time you receive this letter. The final date of Ph.D. Thesis Defense will be communicated to you shortly.

Kindly acknowledge receipt of this letter and the Ph.D. Thesis.

Yours sincerely,

Registrar Evaluation  
Vidyashilp University

Enclosed/Attached:

- i) PRO FORMA – THESIS EVALUATION REPORT
- ii) Excerpt from Vidyashilp University Ph.D. Regulations of the University

## PART C

[Pro Forma – Subject to Revision]

### (i) THESIS EVALUATION REPORT

[To be completed by the Ph.D. Thesis Examiner]

#### I. Ph.D. THESIS DETAILS

[To be filled by the office of the Registrar (Evaluation) before sending to the Thesis Examiner]

(i) Title of Ph.D. Thesis:	
(ii) Name of Research Scholar	
(iii) University Enrolment Number	
(iv) Name of School	
(v) Date of Submission of Ph.D. Thesis	
(vi) Name/Designation of Thesis Examiner	

#### II. THESIS EXAMINER'S RECOMMENDATION

[Note: Clause 21.10 "*Thesis Examiners' Reports and Recommendation*" of the Vidyashilp University Ph.D. Regulations is attached/enclosed with this Form for your information.]

**"ACCEPTED"**: I adjudicate that the Ph.D. Thesis is **ACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.)

**"ACCEPTABLE WITH MINOR REVISIONS"** #: I adjudicate that the Ph.D. Thesis is **ACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.) subject to the condition that the Research Scholar completes the "minor revisions" detailed in Item V of the Detailed Evaluation Report and the revised Thesis must be certified as satisfactorily completed by the Supervisor(s) and the approved by the Ph.D. Defense Committee.

**REJECTED ##**: I adjudicate that the Ph.D. Thesis is **UNACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.) Reasons are enumerated in Item VI of the Detailed Evaluation Report.

Signature and Name of the Thesis Examiner  
Date

### III. DETAILED EVALUATION REPORT:

- (a) Critical survey and evaluation of the quality and quantity of the research work as embodied in the Thesis (preferably Chapter by Chapter).
- (b) Highlight the points, which, in your opinion constitute significant original contribution to knowledge in the area of work.
- (c) Comment on the standard of presentation of the Thesis:
- (d) Any other comments/feedback:

### IV. QUESTIONS, IF ANY, TO BE ASKED OR POINTS TO BE CLARIFIED AT THE PH.D. DEFENSE VIVA-VOCE:

- (i)
- (ii)

- V. #If your Recommendation is “ACCEPTABLE WITH MINOR REVISIONS”, please enumerate the specific queries /clarifications / revisions / modifications the Research Scholar has to complete to be considered as eligible for the Ph.D. Defense Viva-Voce:
- VI. ##If you have adjudicated the Ph.D. Thesis as “REJECTED”, please enumerate the specific reasons leading to your decision:

Thesis Evaluation Report submitted to the Chairperson, Research and Innovation Council, Vidyashilp University, through the Registrar Evaluation, Vidyashilp University.

Signature and Name of the Thesis Examiner  
Date

- (ii) ENCLOSURE / ATTACHMENT TO BE SENT TO THE THESIS EXAMINER ALONG WITH THE PRO FORMA FOR THESIS EVALUATION REPORT

#### Excerpt from Vidyashilp University Ph.D. Regulations (Clause 21.10)

21.10 Thesis Examiners’ Reports and Recommendation:

- 21.10.1 The Board of Thesis Examiners, independently, shall submit the Thesis Evaluation Report (Pro Forma placed Annexure N) to the Chairperson, Research and Innovation Council (R&IC) through the Registrar Evaluation of VU.
- 21.10.2 If both the External Examiners recommend acceptance of the Thesis as it is, the Ph.D. Defense Viva-Voce shall be held at the earliest.



- 21.10.3 If one or both the External Examiners recommend “ACCEPTABLE WITH MINOR REVISIONS” in the Thesis, the Ph.D. Defense Viva-Voce can be held only after the Internal Examiner(s) certifies (certify) to the Chairperson RAC, that the changes / revisions have been carried out satisfactorily. The Chairperson, RAC shall seek the approval of the Chairperson, R&IC to conduct the Ph.D. Defense Viva-Voce.
- 21.10.4 If both External Examiners recommend REJECTION of the Ph.D. Thesis, the Thesis in the current form is rejected and the Research Scholar shall be declared ineligible for the award of the Ph.D. Degree.
- 21.10.5 If one External Examiner adjudicates the Ph.D. Thesis as “REJECTED”, an opinion of a third External Examiner shall be sought. The third External Examiner shall be appointed by the Chairperson, R&IC from the priority list of the Panel of Thesis Examiners. If the “third” External Examiner adjudicates the Ph.D. Thesis as “ACCEPTED”/ “ACCEPTABLE WITH MINOR REVISIONS”, the Ph.D. Defense Viva-Voce shall be conducted as per the relevant provisions of Sub-Clauses 21.10.2 and 21.10.3, and Section 22. If the evaluation report of the “third” External Examiner concludes that the Ph.D. Thesis is “REJECTED”, the Thesis shall be rejected and the Research Scholar shall be declared ineligible for the award of the Ph.D. Degree.

## ANNEXURE O

### Ph.D. DEFENSE COMMITTEE (PDC) REPORT [Pro Forma – Subject to Revision]

#### I. Ph.D. Thesis Details: [To be filled by the office of the Registrar Evaluation]

(i) Title of Ph.D. Thesis	
(ii) Name of Research Scholar	
(iii) University Enrolment Number	
(iv) Name/Designation of Research Supervisor	
(v) Name/Designation of Co-Supervisor (if any)	
(vi) Date of submission of the Ph.D. Thesis	
(vii) Date of Ph.D. Defense Viva-Voce	

#### II. PDC REPORT:

To the Chairperson, Academic Council for Approval  
Through the Registrar Evaluation

RECOMMENDED: Ph.D. Viva-Voce was satisfactorily completed. Recommend conferring of the Degree of Doctor of Philosophy (Ph.D.) on the Research Scholar

RE-EXAMINATION: Ph.D. Viva-Voce UNSATISFACTORY. Recommend the Research Scholar be re-examined within {DD/MM/YYYY specify date/time period}.

The queries/corrections to be prepared by the Research Scholar is given below: (Attach separate sheet, if necessary).

Endorsed by the members of the PDC:

Member	Name	Designation	Signature
Chairperson, PDC			
External Thesis Examiner			
Research Supervisor			
Co-Supervisor (s) (if any)			
Faculty Member			
Chairperson, RAC – Convener			

#### FINAL RECOMMENDATION TO THE BOARD OF GOVERNORS FOR APPROVAL

The Ph.D. Degree may be conferred on the Research Scholar, subject to the conditions specified by the Vidyashilp University Ph.D. Regulations and subsequent approval of the Board of Governors.

Chairperson, Academic Council.

Signature  
Date

**ANNEXURE P**  
**REQUEST FOR PROVISIONAL DEGREE CERTIFICATE**  
[Pro Forma – Subject to Revision]

[To be submitted by the Research Scholar upon Final Submission of Hard Bound Copies/Soft Copy of Ph.D. Thesis, with the Approval Certificate from the Research Supervisor and a “No Dues Certificate” from the Registrar’s Office]

From:

{Name of Research Scholar  
University Enrolment Number:  
Academic Unit: Institute/School}

To,

The Registrar Evaluation,  
Vidyashilp University

I am submitting two (02) hard bound copies and the Soft Copy of my Ph.D. Thesis titled {-----  
-----}.

The Ph.D. Thesis is complete with respect to all the revisions/corrections specified by the Thesis Examiners and the Ph.D. Defense Committee and has been certified by my Research Supervisor (Certificate is provided in Item II.)

I have also attached the “No Dues Certificate”.

I request you to kindly issue the Provisional Degree Certificate for having fulfilled the requirements for the award of the degree of Doctor of Philosophy (Ph.D.).

Signature of the Research Scholar:

Date:

Address for communication:

{Email: (other than University mail id) Mobile :}

[Approval Certificate to be given by the Research Supervisor]

CERTIFICATE  
FINAL SUBMISSION OF Ph.D. THESIS

Title of Ph.D. Thesis: {-----}

Name of Research Scholar: {Ms./Mr. name}

Certified all the revisions/corrections specified by the Thesis Examiners and the Ph.D. Defense Committee have been satisfactorily incorporated by the Research Scholar and the Ph.D. Thesis is prepared in accordance with the guidelines specified by the Vidyashilp University Ph.D. Regulations.

The two (02) hard bound copies and the soft copy of the Ph.D. Thesis (as titled above) may be accepted.

Signature of Research Supervisor:

Name and designation of the Research Supervisor:

Date:

**ANNEXURE Q**

**PROVISIONAL DEGREE CERTIFICATE**

[Pro Forma – Subject to Revision]



**VIDYASHILP UNIVERSITY, BENGALURU**

**PROVISIONAL DEGREE CERTIFICATE**

This is to certify that {**Ms./Mr. NAME of the Research Scholar**} has fulfilled all the requirements for the award of the degree of

**DOCTOR OF PHILOSOPHY**

of this University in recognition of the research work presented in the Ph.D. Thesis titled

**{TITLE OF Ph.D. THESIS}**

The degree will be conferred on {her/him} at the next Convocation of the University, or thereafter.

Further certified that the award of the Degree of Doctor of Philosophy is in accordance with the provisions and guidelines of Vidyashilp University Ph.D. Regulations and the University Grants Commission Regulations notified from time to time.

Signature of the Registrar Evaluation

(University Seal)

Date: