

APEX PROFESSIONAL UNIVERSITY

PASIGHAT– 791102 (Arunachal Pradesh)

Guidelines for Registration of Ph.D. Program

(With effect from the academic year 2017-2018 only)

1. The Degree of Doctor of Philosophy (Ph.D.) shall be conferred by Apex Professional University in such subject as may be notified from time to time by Institute of Research and Innovation (IRI), in accordance with the provisions of UGC Regulations, 2016 and APU Regulation No. 07 and subject to the conditions laid down herein.

2. PROCEDURE FOR ADMISSION INTO Ph.D. DEGREE PROGRAM

- a) Eligibility Criteria:
 - i. A candidate is eligible for registration/ admission into Ph.D. course in a subject, if he/she has obtained Master's degree or Professional degree declared equivalent to the Master's degree by the Academic Senate of Apex Professional University with at least 55% marks in aggregate or an equivalent grade in a point scale wherever grading system.
 - ii. A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade for the candidates belonging to SC/ ST /OBC /Differently-Abled and such other categories as per the decision of the Central and State Government.
 - iii. Candidate shall have qualified in "The Research Entrance Aptitude Test (TREAT) conducted by APU in accordance with the provisions of laid down in the regulations.
 - iv. Candidate shall have qualified in the NET/SLET/SET examination or have M.Phil. Degree in the concerned subject from UGC recognized University are exempted from the entrance test (TREAT) and directly appear in the Interview.
 - v. The candidates admitted under APU Fellowship category have to clear NET / SET in the concerned subject or M.Phil. degree.
- b) A candidate satisfying the above eligibility criteria does not guarantee admission into Ph.D. Degree Program. The Ph.D. admission is subject to the availability of vacancies with the Research Supervisors in the concerned School, the candidates' academic record and the performance of the candidate in the Ph.D. Admission interview.
- c) The eligibility for admission of International Students (a NRI / PIO / Foreign Nationals) who did his/ her P.G. course in a foreign country to the Ph.D. Programme of Apex Professional University is decided by the Faculty Research Council of the Institute of Research and Innovation (IRI) on the basis of the course content (the detailed syllabus) of the candidate in their P.G. Degree. International candidates are exempted from entrance test. International candidates are required to qualify IELTS with 6.5 score or equivalent test for English Language Proficiency.
- d) The University reserves the right not to fill up some or all the seats vacant in a Research Degree Programme in case suitable candidates are not found at the level of entrance Test/ Interview.

3. CATEGORIES OF PH.D. CANDIDATES

There shall be three categories of Ph.D. candidates:

a) **Full-time candidates**

- i. Those candidates who pursue their full-time research for Ph.D. at APU fall under this category. UGC / CSIR/ NET qualified Research Fellows and Project Fellows / Research fellows working in GRI in the projects sponsored by the UGC / CSIR / ICSSR / ICAR / DOE / DST / DBT / MOES / MOEN / MNRES and other national / international funding agencies and industries, candidates awarded with any other recognized fellowships, and qualified technical staff working in projects with a duration of not less than two years shall also be eligible to register for Ph.D. under this category.
- ii. A full-time research scholar shall not accept any employment during the tenure of the course. However, any appointment in research / consultancy schemes is not considered as employment for the purpose stated.
- iii. If an employee of any organization is seeking admission as a full-time research scholar, he/she has to submit, at the time of Ph.D. admission/registration, a letter from his / her employer to the effect that necessary leave will be granted for the entire duration of the Ph.D. course.

b) **Part-time candidates (Internal)**

- i. Part-time Internal candidate are those who are employed full-time at APU and are permitted to pursue Ph.D.

c) **Part-time candidates (External)**

- i. The scientist / researchers, who are working in the Centre for Research Collaborations (CRC) of APU.
- ii. Candidates, who is working in educational institutes / industry / research organizations / Government Departments, may be permitted to pursue their Ph.D. with APU after the due admission process as per UGC norms. The employer must expressly undertake to relieve the candidate to enable him / her to complete coursework. Such candidates must submit a no objection certificate from his/her organizations (**Appendix 3.C**).
- iii. The candidates are required to complete their mandatory course work before undertaking their Ph.D. research work. During the period of research, the candidates are required to stay at APU for a minimum of 180 days in a single spell or in different spells. It could be at main campus of the university or in the Centre for Research Collaborations (CRC) of APU.
- iv. These students will do the research under the supervision of APU recognized Research Supervisor and complete the mandatory requirements as laid down. They will meet the University's requirements for monitoring the progress of their research work. They will follow all the rules and process of Ph.D. Programme in letter and spirit.

4. DURATION OF PROGRAMME

- a. Ph.D. Programme shall be for a minimum duration of three years, including course work and maximum of six years.
- b. Women candidate and person with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in maximum duration stated above. In addition, women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- c. Duration of Ph.D. Programme for the full time and part time Ph.D. students:

Milestone	Full Time Ph.D. Students	Part Time Ph.D. Students
Course Work	One Semester	One Semester
Submission of Research Proposal	Within Three Months after the completion of coursework	Within Six Months after the completion of coursework
Extension to submission of Research Proposal	Three Months	Six Months
Minimum Duration <i>Provided these are exemplary publications done based on work so far.</i>	Two Years from the date of confirmed registration (approval given to the Research Proposal after presentation to Research Advisory Committee). Provided that total duration of Three years after provisional admission is completed.	Two Years from the date of confirmed registration (approval given to the Research Proposal after presentation to Research Advisory Committee). Provided that total duration of Three years after provisional admission is completed.
Maximum Duration	Four Years from the date of confirmed registration + One-year extension by the University Research Council based on the quality of work so far + One-year extension by the Vice Chancellor.	Five Years from the date of confirmed registration + One-year extension by the University Research Council based on the quality of work so far + One-year extension by the Vice Chancellor.

5. NOTIFICATION OF THE VACANT SEATS

- a) The Head of the Institute of Research and Innovation (IRI) shall notify and display the subject wise availability of vacant seats that shall be filled up in that academic year before releasing the Ph.D. Admission Notification.
- b) The University invites the applications for admission through the website.

6. Ph.D. ADMISSION PROCESS

- a) In response to the University notification, the eligible candidates are required to apply in a prescribed application form along with the prescribed fee to the Head of the Institute of Research and Innovation (IRI). The received applications will be scrutinized by the Institute of Research and Innovation (IRI) with respect to their eligibility.
- b) The shortlisted applications after scrutiny will be further processed for Ph.D. admission/registration by the Faculty Research Council chaired by Head of the Institute of Research and Innovation (IRI).
- c) **Faculty Research Council:** The Vice Chancellor shall constitute the "Faculty Research Council" for each School to select the candidates for Ph.D. admission. The Faculty Research Council shall comprise of the Head of the Institute of Research and Innovation (IRI) as a Chairperson, Head of the concerned School as a Member Secretary, the Coordinator of the concerned Faculty of Studies.
- d) In case recognized Research Supervisors are not available in the concerned School, the Vice Chancellor may include recognized Research Supervisors from the other School of APU / CRC or external subject experts.
- e) Quorum of the meeting shall be a minimum of two members. In the absence of Head of the Institute of Research and Innovation (IRI), Head of the concerned School is the chairperson of the Faculty Research Council.
- f) These Faculty Research Council shall be proposed by the Head of the Institute of Research and Innovation (IRI) for the approval of the Vice Chancellor.
- g) The Faculty Research Council shall examine the candidate's research aptitude, knowledge of the subject, clear understanding of the proposed research problem, suitability of proposed research methodology, research facilities available to the candidate etc. Based on the interview, the Faculty Research Council would finalize the admission, and allot the Supervisor (also Joint Supervisor / Co-Supervisor wherever applicable) for each candidate.
- h) The admission of students into the Ph.D. Programme after the interview by the admission committee is only provisional. The candidate must compulsorily do the one-semester Ph.D. course work that comprises of two theory papers and must pass the Pre-Ph.D. Examination conducted by the University.
- i) A candidate who is admitted to Ph.D. course either as full-time or as part-time research scholar shall not join any other course or appear for any other examination leading to a degree (either in regular or distance education stream) of this University or any other University. Any violation of this regulation will automatically lead to the cancellation of his/her admission in Ph. D. course.
- j) The Faculty Research Council also recommend, from the provisionally admitted candidates, those selected for APU Junior Research Fellowship (APU JRF) as per the criteria laid down by the University (**Appendix 6.1**)
- k) The recommendation of the Faculty Research Council for the provisional admissions to Ph.D. Programme and award of APU JRF shall be approved by Vice Chancellor.

- l) After submission and verification of all eligibility documents and payment of the prescribed fee by the due date, the provisional admission would be officially conveyed to the candidate by Institute of Research and Innovation (IRI) of the Apex Professional University.
- m) The final result of Ph.D. Admission Process will be declared on the website of the University. Candidate shall be provisionally admitted to the Ph.D. Programme on the basis of merit of the Personal Interview, Scholastic Competitiveness and Academic Performance.
- n) After the Ph.D. supervisor has formally consented to supervise the doctoral student, all communication about the work/progress/issues related to students must happen through the supervisor.

7. INTERDISCIPLINARY RESEARCH

- a) Admission to Ph.D. Programme will be considered only in those Schools / Faculty / Centers which are in existence at APU.
- b) The candidates are permitted to do Ph.D. Programme in interdisciplinary subjects on the condition that they should have their PG degree in the allied subject of the same school.
- c) Those candidates admitted for Ph.D. Programme under interdisciplinary research mode may have two supervisors: Research Supervisor from the prime subject and a Joint Research Supervisor from the interdisciplinary subject.

8. CENTRES FOR RESEARCH COLLABORATIONS (CRC):

- a) APU collaborate with other research oriented organization with an aim to create new evidence based knowledge and build mutual cooperation by exploring knowledge, expertise and resources of each other. The institutes which fulfil the following criteria will be eligible for being consider as Centre for Research Collaboration (CRC) of APU:
 - I. Laboratories / Institutions / Organizations / Industrial Establishments / Research Center recognized by Department of Scientific and Industrial Research (DSIR), Ministry of Science and Technology, Government of India or UGC approved Universities.
 - II. The Centre must have adequate resources in the relevant area of research in the form of :
 - Sufficient number of classroom, seminar rooms
 - Lab, Computer Labs etc.
 - Minimum one staff researcher eligible to be recognized as Research Supervisors as per UGC Norms to act as Research Coordinator.
 - III. Other Institutions desirous of getting recognition, must apply to the university for securing recognition as a Research Center. The University will get these institutions assessed through a committee before awarding the recognition, wherever necessary as per the guidelines approved by the University Research Council.

9. RESEARCH SUPERVISORS

- a. A Professor / Associate Professor / Assistant Professor of APU will be recognized as a Research Supervisor, if he/she fulfills the following conditions:
 - i. He/she must be a regular faculty of the University / Research Centre holding Ph.D. degree and must be below the age of 62 Years
 - ii. He / She should have published a minimum of two research articles in referred journals after the Ph.D. viva-voce.
 - iii. The application for Research Supervisor should be submitted along with copies of supporting documents (CV, copy of the Ph.D. degree certificate and reprints) to the Head - Institute of Research and Innovation (IRI) through the Head of the concerned School and recognition will be given by Vice Chancellor based on Head - Institute of Research and Innovation (IRI) recommendation.
 - iv. The Research Supervisors of APU are not permitted to guide the research scholars of any other Universities / Institutes as a Supervisor or Co-Supervisor.
 - v. Research Supervisors in the cadre of Professor / Associate Professor / Assistant Professor can guide a maximum of Eight / Six / Four candidates respectively. This is inclusive of JRF and Project Fellows and excluding number of Post-Doctoral Fellows. The credit for the Joint Research Supervisor is the same as that of the Research Supervisor. But, it shall not be counted for calculating the number of candidates allocated to him / her.
 - vi. Provided that the adjunct faculty may also be recognized as Research Supervisor.
- b. The Faculty Research Council shall ensure that a candidate allotted to a research supervisor is not his/her relative (such as Wife, Husband, Son, Daughter, Sister, Brother or such other person who are deemed to be close relations). An undertaking must be taken from the Supervisor and Student.
- c. A vacancy with the supervisor may be considered to have occurred only when a candidate working under him/her submits the thesis OR his/her registration is cancelled.
- d. Joint Supervisor: Joint supervision is permitted in interdisciplinary areas of research provided the two supervisors are not from the same Department. In all such cases, both the Supervisors must give their written consent.
- e. For candidates registered under a supervisor working in a recognized Research Centre other than National Research Laboratories, there shall be a Joint Supervisor who may be from the same subject or an allied subject (approved by the University), but is working as a Faculty in the Apex Professional University.
- f. For candidates registered with a Supervisor from the University, the Joint Supervisor may be from the same subject or allied subject provided he/she is working in a UGC approved University / recognized research institution / affiliated College.
- g. All matters concerning the allotment of a joint supervisor to a candidate is decided by the Faculty Research Council.

- h. Normally no change of Research Supervisor is permitted. However, in exceptional cases, it may be permitted on valid grounds by the Vice-Chancellor.
- i. If a Research Supervisor retires or takes up an assignment outside APU on deputation/lien, the candidate will be permitted to continue his / her research under the same Research Supervisor OR he/she may be permitted to change his / her Research Supervisor if he / she desires. But the date of registration, the area of research and the title of the study shall remain unaltered.
- j. In case the Research Supervisor leaves APU permanently, he/she can continue to guide those scholars in the pipeline.
- k. Research Supervisors on lien/deputation to other institutions cannot enroll fresh candidates for Ph.D. at APU.
- l. Those Research Supervisors who are left with only one year for their superannuation shall not be allocated candidates for guidance.

10. RESEARCH FEE

S. No.	Category of Candidate	Research Fee for Science and Technology Subjects (Per Semester)	Research Fee for Other Subjects (Per Semester)
1.	Ph.D. (Full Time) <i>With Fellowship</i>	INR 28,000/-	INR 19,000/-
2.	Ph.D. (Full Time) <i>without Fellowship</i>	INR 37,000/-	INR 28,000/-
3.	Ph.D. (Part Time) - <i>Internal</i>	INR 28,000/-	INR 19,000/-
4.	Ph.D. (Part time) - <i>External</i>	INR 46,000/-	INR 37,000/-
5.	Ph.D. (International Students)	US \$ 2,000	

- a. Enrollment Fee INR. 10,000/- per semester, Course work & examination fee: Rs. 5,000/-, Thesis Evaluation Fee: Rs. 15,000/- plus actual cost.
- b. Other Fees as per Prospectus of the University.
- c. The Prescribed Research Fee in this Guidelines will be revised every year, but will not increase beyond 10% of each year.
- d. Those who have not paid the research fee within the prescribed date shall have to remit the fee along with the prescribed late fee notified from time to time.
- e. If a candidate has not paid the fee within 3 months of his / her due date, his/her registration will be cancelled automatically.
- f. Candidate needs to remit prescribed Research Fee in each semester till the date of the submission of Thesis.

11. Ph.D. COURSE WORK

- a. After provisional admission into the Ph.D. all the provisionally registered candidates shall take up the Ph.D. course work in the main campus of the University for a period of one semester and this is compulsory for both full- time as well as part- time candidates.
- b. However, a candidate with a M.Phil. degree is exempted from the Ph.D. course work and those who passed Ph.D. course work from UGC recognized university and subject to submission of the following documents to APU:
 - i. Completion certificate of the course work attended.
 - ii. Transcripts
 - iii. Migration certificate from the university, from which the students is seeking a transfer.
- c. The Ph.D. course work of 16 credits. All Ph.D. Research Students shall undertake and complete the Ph.D. course work of 240 hours of contact and self-study which may conducted over one semester. Course work will be divide into four paper as under:

Paper	Title of the Course	IA Marks	TEE Marks	Total	Credit
1.	Research Methodology	30	70	100	4
2.	Quantitative Techniques and Computer Applications	30	70	100	4
3.	Advanced Courses or Seminars / Workshops in the area of Research	---	100	100	4
4.	Review of Literature	---	100	100	4

- d. Paper 1 and 2 are compulsory courses for all Ph.D. candidates and based on class room teaching, Research Seminars and workshops.
- e. Evaluation of Paper 1 and 2 of Course Work shall be through a Continue Evaluation System comprising assignments and Term End Examination (TEE).
- f. Mode of evaluation of Paper 3 & 4 shall be decided by the Head - Institute of Research and Innovation (IRI) in consultation with the Research Supervisor, If necessary. It will be paper writing, presentation, project outline, assignments etc.
- g. The syllabus of Paper 1 and 2 for the Course Work shall be prepared by the University Research Council with the approval of the Academic Senate.
- h. In exceptional cases, where a Research Students fails to fulfill attendance requirement of 75% or fails in the Pre Ph.D. Course work, he/she shall apply for an extension for completion of the course work in prescribed format (**Appendix 11.h**). The Head - Institute of Research and Innovation (IRI) may accord approval on the recommendations of the Research Supervisor for another examination to be held after appropriate duration not more than one year. Such candidates will be required to pay additional examinations fees as per the rules of the University.

12. REGISTRATION

- a. Admission to the Ph.D. Programme is confirmed only on the successful completion of course work and approval of the Research Proposal by Research Advisory Committee (RAC).
- b. Research Students who undergo coursework shall submit a Research Proposal, duly recommended by the Research supervisor(s) within the prescribed period.
- c. Research students who have been expected from Ph.D. coursework shall submit a Research Proposal within six months of the date of provisional admission, duly recommended by the Research Supervisor(s).
- d. In case of non-submission of the Research Proposal within the prescribed period, the Research Students may apply for extension in the prescribed format. Head - Institute of Research and Innovation (IRI) on recommendation of Research Supervisor (s) may grant an extension for as per APU rules. If the candidate fails to submit the Research Proposal even during the extension period, the provisional admission shall be cancelled.
- e. The Research Students shall submit 4 copies of the Research Proposal to the Head, Institute of Research and Innovations (IRI) as per **Appendix 12.1**
- f. The Research Student shall make a presentation of the Research Proposal to the Research Advisory Committee (RAC).
- g. The RAC shall give one of the following recommendations after the presentation of the Research Proposal:
 - i. Approved
 - ii. Approved with minor modifications
 - iii. To be resubmitted and presented after major modifications
 - iv. Not Approved.

In case of (a) and (b), the date of the confirmation of registration shall be the date of the presentation. In the case of (b), the Research Students, submits the revised proposal through the Research supervisor to Head - Institute of Research and Innovation (IRI) within 15 days of presentation. In the case of (c), a maximum period of six months may be granted by the RAC for resubmission of the Proposal. The registration will be effective from the date the subsequent presentation. In case of (d), the provisional admission shall be cancelled.

- h. The title and Research Proposal will be finalized by the RAC.
- i. The recommendations of the RAC shall forward to the University Research Council for confirmation of Ph.D. registration.
- j. After the receiving the payment of prescribed Research Fee and other fees, Head - Institute of Research and Innovation (IRI) forward RAC recommendation to University Research Council for confirmation of Ph.D. registration.

13. RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS

- a. Research Advisory Committee (RAC) shall be constituted separately for every candidate within two months from the date of provisional admission. The RAC shall have the following members:
 - i. Research Supervisor – Convener
 - ii. Joint Research Supervisor, if any – Member
 - iii. An external expert in the relevant area from among a panel of three experts suggested by the Research Supervisor concerned with the approval of the Head - Institute of Research and Innovation (IRI).
 - iv. Head of the Concerned School - Member
- b. The RAC shall have the following responsibilities:
 - i. To review the Research Proposal and finalize the topic.
 - ii. To supervise the Research student to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
 - iii. To periodically review and assist them in the progress of the research work of the research students.
 - iv. to approve the synopsis of the thesis;
 - v. to prepare the panel of examiners for the evaluation of the thesis;
- c. The Convener will convene the Research Advisory Committee (RAC) meetings with intimation to the Head - Institute of Research and Innovation (IRI), Registrar and the Controller of Examinations (CoE).
- d. A Research Students shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his / her work for evaluation and further guidance. The six monthly progress review reports shall be submitted by the Research Advisory Committee (RAC) to IRI, a copy of which will be available to the Research Students as per the proforma **(Appendix 13.1)**.
- e. In case, where the progress of the Research Students is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Research Students fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the Research students.
- f. The Research Advisory Committee (RAC) meeting can also be conducted through video conferencing or internet chat, with the prior approval of the Head (R&D), if the candidate or the Supervisor or the Joint Supervisor is in a foreign country, or is unable to attend the Research Advisory Committee (RAC) meeting due to unforeseen circumstances.
- g. Research Advisory Committee (RAC) meetings can be conducted outside APU with the approval of the Head - Institute of Research and Innovation (IRI).
- h. The minutes of the meeting of the Research Advisory Committee (RAC) along with the enclosures shall be submitted to the CoE and a copy of the covering letter (without minutes / enclosures) shall be sent to the Head – IRI and Registrar.

14. MONITORING OF PROGRESS OF RESEARCH STUDENTS

- a. Research Student shall register at the beginning of every semester on a specified date by filling Semester Registration Form (**Appendix 14.1**). After the approval of Research Proposal, Research Students shall be required to submit a half yearly progress report in a specified proforma in January and July of each year, till the submission of the final Thesis (**Appendix 14.2**).
- b. The half-yearly Progress Report should cover, among others, the aspects such as the review of literature, data collected, techniques developed, progress in research, discussion of the work done including any findings, etc.
- c. Research Students shall present the work to the RAC, schedule by the Head - Institute of Research and Innovation (IRI) after the submission of the progress report every six months. For the presentation of six monthly progress, the presence of the external members of RAC will be optional with a consideration given to their availability. In case two senior members of the Faculty may be invited in place of the external members in the committee.
- d. In case, Research students fails to submit two consecutive half-yearly progress report and to present the work for two consecutive semesters or if the two progress reports are unsatisfactory, then the registration may be cancelled. However, in all such cases, the Research Students may appeal to the Vice Chancellor through the Research Supervisor and Head - Institute of Research and Innovation (IRI) for consideration. The decision of the Vice chancellor shall be final.
- e. **Pre-Submission Seminar:** on completion of the research work as evident from at least two papers (published / accepted) in peer reviewed and UGC approved journals / published patents and after ensuring that at least two years have been completed from the date of the confirmation of registration, the Ph.D. Students shall submit to the University, through the Research Supervisors full version of the thesis, including references of the research work. The draft copy of the Ph.D. thesis must be available during this Seminar. The Pre-Submission Seminar is held three (3) months before the thesis submission.
- f. The RAC, on recommendation of the Head - Institute of Research and Innovation (IRI), shall assess the work. The student will be asked to deliver an open seminar before the committee.
- g. If the committee is satisfied about the quality of the work and finds it suitable for submission as a Ph.D. thesis, it may advice the student to prepare a synopsis and submit six hard copies and soft copy in pdf format and word format.
- h. On the other hand, if the committee is not satisfied with the quality of work done, it may recommend revision of the work on specified lines and direct the students to repeat the presentation after specified period.
- i. The Research Students, whose thesis is approved for submission, shall submit six hard copies and soft copy in pdf and word format to Head - Institute of Research and Innovation (IRI) through Research Supervisor, so that these will be sent to proposed examiners while obtaining their acceptance to act as examiners.

15. CHANGE OF SUPERVISORS AND TRANSFER OF STUDENTS

- a. Transfer of Ph.D. Students from one supervisor to another supervisor can be effected, if mutual willingness was given by both the previous and new supervisors.
- b. In the case of change of supervisor or transfer of candidates is proposed without the consent of any one of the parties concerned, the matter shall be referred to the University Research Council (URC), whose decision shall be final.
- c. Request for change of the Research Supervisor shall be entertained in the prescribed proforma **(Appendix 15.1)** only in the following cases:
 - i. The Research Supervisor has left the service of the University.
 - ii. By mutual consent of both the Research Supervisor and Research Student.
 - iii. In special circumstances, the change of the Research Supervisor can be approved by the URC even without the consent of the present Research Supervisor.
- d. The Supervisors who wish to avail leave/leave/deputation beyond a period of six months shall nominate a co-supervisor in the concerned subject for the candidate(s) registered with them and the fact intimated to IRI in advance. Student will follow the process of inclusion of Joint Supervisor **(Appendix 15.2)** and an application with recommendation of supervisor and the Head of the concerned School will be submitted for the approval of the URC.

16. CONVERSION OF FULL – TIME REGISTRATION INTO PART – TIME AND VICE VERSA

- a. Notwithstanding anything prescribed in these Rules, the University may permit conversions from Full – time research and vice-versa in respect of candidates registered, for valid reasons and subject to satisfying the regulations, rules and conditions in force **(Appendix 16.1)**.
- b. Provided that in the case of conversion from full-time research to part-time research, the whole period put in by the candidate, will be taken into account for purposes of reckoning the minimum period of research to be put in by the candidate and in the case of conversion from part-time research to full-time, 2/3 of the research period put in as part-time will be taken into account for purposes of reckoning the minimum period of research to be put in by the candidate, to become eligible to submit the Ph.D. thesis.

17. CHANGE OF UNIVERSITY

- a. Change of University to some other University provided that the RAC confirms that the work done till that time is less than the half of the required work for the Ph.D. topic. If a Student has finished half of the research work with APU then he/she will have to complete the remaining research with APU. The transfer request will be recommended by the RAC of the Student to the URC for the final approval. Approval by the URC will include transfer of the research data to the University to which the student intends to relocate provided all the other conditions in these rules as followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The student will however give due credit to the supervisor and the institution for the part of research already done **(Appendix 17.1)**.

- b. Aspirants registered with other University can be transferred to APU Ph.D. Programme, only if The student's research proposal for Ph.D. has been approved by the statutory body of the source University.
- c. The source University has followed the Ph.D. Admission Process and Ph.D. course work as per the University Grants Commission (UGC) and If the below conditions are satisfied, the student can submit the application given in **(Appendix 17.2)**.
 - i. Less than half of the research work required for the Ph.D. has been finished,
 - ii. The research topic is suitable to the APU's research agenda and
 - iii. There is a supervisor recognized by APU is available and has vacancy.

18. DISCONTINUATION FROM PH.D. PROGRAMME

- a. During the span of Ph.D. Programme, the students may voluntarily wish to discontinue from the Programme due to some reasons. This requires the recommendation of the Ph.D. Supervisor and official approval of the Head of the School. **(Appendix 18.1)** can be used for this purpose.

19. SUBMISSION OF THESIS

- a. The Research Student shall be required to submit the Thesis within three months of the date of the presentation in which full thesis was approved for submission. An extension of another three months may be given by the Vice Chancellor on a formal application form **(Appendix 19.1)** the student recommended by the Research Supervisor and Head of the concerned School.
- b. Format of the Thesis: The Thesis shall be written in English in the specified format **(Annexure 19.2)**.
- c. The following documents shall be submitted by the Research Student at the time of submission of Thesis:
 - i. Thesis submission form **(Appendix 19.3)** signed by the student and the supervisor
 - ii. Six copies of Thesis
 - iii. Six hard copies of the synopsis
 - iv. Soft copies:
 - v. Entire Thesis and synopsis in PDF and WORD format (2 CDs)
 - vi. Chapter – wise Thesis in PDF and WORD format, all publications with the list, Passport size photograph (2CD).
 - vii. Originality report for plagiarism checked signed by the Research Student and the Supervisor shall be included in the thesis as an annexure.
 - viii. Pending fees, if any.
- d. The Research Student shall submit a proof of acceptance/publication of at least two research papers, mentioning APU affiliation, in peer reviewed and indexed journals before submitting the Thesis. At least one of two research papers preferably be accepted/published in UGC approved journals or indexed in Scopus/SCI/SSCI/AHCI/ABDC/ABS/FT50 at the time of thesis submission.

20. ATTENDANCE

- a. Full-time candidates shall regularly sign the attendance register maintained in the Schools concerned during the entire period of the programme. Part time candidates shall sign the attendance register during the period of course work.
- b. The progress report and attendance certificate shall be verified by the RAC periodically and the report of the RAC shall be submitted to the CoE and Head – Institute of Research and Innovation (IRI) in each Semester.

21. VALIDITY OF REGISTRATION

The duration of Ph.D. registration will be as per the details given in section 4 for the full-time and part-time students. The Research Student shall submit the Thesis to APU within 5 years but not earlier than 2 years from the date of confirmed registration.

22. EXTENSION OF REGISTRATION:

- a. The Research Student shall ordinarily complete the research work within the normal period as provided in the rules (section 4), but in genuine cases of hardship, the Head - Institute of Research and Innovation (IRI), on the recommendations of the Research Supervisor, may allow extension up to one year with approval of the URC. (**Appendix 22.1**) Further, if at the end of the one year extension given by the URC after the confirmation of registration (total 5 years for full time and 6 years for part time student), the Research Student is found to have completed a substantial part of the thesis or has published research papers in some refereed journals, the Vice Chancellor on the recommendation of Head - Institute of Research and Innovation (IRI), may allow further extension of one year, after recording detailed and specific reasons as to why this special extension is being allowed (**Appendix 22.2**). Registration of a research Student, who fails to submit the thesis within the stipulated period as above or who fails to apply for grant of extension, will automatically stand cancelled. No extension beyond the total period of six years for the full-time and seven years for the part-time students after the confirmation of the registration shall be granted in any case.
- b. The Research Students shall check the similarity percentage using authentic software used by APU. The students shall also ensure that, they comply with the UGC notifications / circulars from time to time. In case the research work of a Research Student is found to be borrowed from other research/sources without proper acknowledgment, credit and reference OR copied verbatim suitable action shall be taken by the University as per its Plagiarism Policy to uphold the sanctity and integrity of the Ph.D. Research Programme and credibility of the University. The originality Report from the authentic software tool of the University (hard copy) signed by the Research Student and the Research Supervisor, shall be submitted at the time of submission of Thesis. The similarity percentage shall not exceed limit of 15%.
- c. Adherence to Ethical Conduct during Research – All the Students shall comply with the "Guidelines for Ethical Conduct in Research" (**Appendix 22.3**).

23. EXAMINATION

- a. The Research Supervisor shall submit a panel of eight examiners (**Appendix 23.1**) along with their summarized Curriculum Vitae (CV) in the area of the research to the Vice Chancellor through the Head - Institute of Research and Innovation (IRI), while forwarding the copies of the synopsis and thesis to the University. The panel must include at least 50% examiners from outside the State. There shall be no examiner from the same organization and city as that of the Research Student. The Vice Chancellor may ask Head - Institute of Research and Innovation (IRI) to include additional name(s) in the panel of examiners.
- b. The Research Supervisor will also submit names and CV of three reviewers in the area of research from Universities outside India.
- c. The Vice Chancellor will appoint two examiners from the panel of eight, out of which one will be from outside the State where the Research Student pursued the Research Work.
- d. All three examiners including supervisor shall submit a detailed Evaluation Report in the prescribed Performa (**Appendix 23.2**) within eight weeks from the date of the receipt of the Thesis. The assessment report will clearly indicate:
 - i. The Thesis is recommended for the award of a Ph.D. degree.
 - ii. The Thesis is recommended for the award of a Ph.D. degree after minor revision.
 - iii. The Thesis be revised.
 - iv. The Thesis is rejected.
 - v. Recommendation for publication Yes/No/After modification
 - vi. Question that he/she may like the Research Student to answer in the viva-voce, in a separate envelope.
- e. In case an examiner recommends revision of the Thesis, he/she shall also indicate whether the revision suggested requires:
 - i. Substantial changes in the Thesis before it can be accepted for a Ph.D. degree.
 - ii. Minor additions or alterations in the Thesis before its acceptance.
 - iii. The examiner may indicate whether he/she would like to re-examine the Thesis after the revision.
- f. The reports of the examiners (excluding the questions suggested for viva-voce) will be opened by Head - Institute of Research and Innovation (IRI).
- g. In case both examiners recommend rejection, the Thesis shall be rejected.
- h. In case one out of the two examiners rejects the Thesis, it will be sent to a third examiner (appointed by the Vice Chancellor) for evaluation. The Thesis shall be accepted only when at least two examiners approve it.
- i. In case an examiner recommends modification to the Thesis, the Research Student shall carry out the necessary revision/modification as suggested by the examiner before the case is processed further.
- j. The Research Student, who is required to re-submit the Thesis, must do so within one year from the date of receipt of the examiner's comments by the University, unless an extension is specially given by the Head - Institute of Research and Innovation (IRI). A re-submitted

Thesis shall be examined by the same examiner who had recommended re-submission unless the examiner is unable to, or declines to do so.

- k. Out of two names of the reviewers of the thesis from the foreign University, the Vice Chancellor will select one name and the thesis will be sent to him/her for review by thesis reviewer is given in Annexures. The review comments must be received from the reviewer in eight weeks of the receipt of the thesis. These review comments will be sent to the Supervisor and the Student and will be discussed at the time of the viva voce of the student.
- l. The viva-voce examination shall be compulsory for all the Research Students and shall be conducted by the following Committee as far as possible within two months of opening the reports:
 - I. Head of concerned School – Chairperson
 - II. One of the External Examiners – Examiner
 - III. Research Supervisor – Member Secretary
 - IV. Joint Supervisor (If any) - Member
 - V. Members of the University Research Council - Members
 - VI. Coordinator of the concerned Faculty – Member
- m. Quorum of the viva-voce examination shall be a minimum three members.
- n. There shall be a public Viva Voce examination conducted at the University. The Viva Voce must be conducted within two months of opening of reports.
- o. In case of the external examiner does not submit the evaluation report within 90 days, then CoE will issue a reminder to submit evaluation report within a 45 days from receipt of this letter, otherwise the report will not be accepted and remuneration will not be paid.

24. DEPOSITORY WITH INFLIBNET:

- a) Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, an electronic copy of the Ph.D. thesis will be submitted to the INFLIBNET for hosting the same so as to make it accessible to all Institutions/Colleges.

25. AWARD OF DEGREE

- a. The Faculty Research Council shall give final recommendations for the award of a Ph.D. degree on the basis of performance in the viva-voce examination and the examiners' reports. Their commendations will be sent to the Vice Chancellor for approval for the award of Ph.D. degree, in his/her capacity as Chairperson of the Academic Senate within 30 days from the date of Viva.
- b. The Registrar shall publish the result and issue provisional degree in accordance with the decision of the Chairperson, Academic Senate.
- c. Along with the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of UGC Minimum Standards and Procedures for award of Ph.D. Degree, Regulation 2016.

26. WITHDRAWAL OF AN AWARDED PH.D. DEGREE

In case there is a complaint of plagiarism or any other serious academic misconduct and if upon investigation by a committee duly appointed by the Vice Chancellor, the complaint is found to be correct, the Ph.D. degree already awarded shall be withdrawn. In case of any dispute or discrepancy, the decision of the Vice Chancellor shall be final and binding.

27. INTERPRETATION AND POWER TO MODIFY

- a. Any doubt or dispute arising out of the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decision shall be final and binding.
- b. Notwithstanding all that has been started in the above Rules, the University shall have the right to modify any of the above guidelines from time to time with prospective or immediate effect.

28. GENERAL

Notwithstanding anything contained in these Rules, all Research Students shall be governed by the Code of Conduct and general rules and procedures framed by the University, and in force from time to time.

CRITERIA FOR MERIT

The total marks awarded for academic performance, merit in scholastic competence and interview performance are 50 and the division is as follows.

i. **Academic Performance (15 Marks)**

UG LEVEL (5 MARKS)

- ✓ 80% and above:5 Marks
- ✓ Less than 80 but up to 70% : 4 Marks
- ✓ Less than 70 but up to 60% : 3 Marks
- ✓ Less than 60 but up to 55% : 2Marks
- ✓ Less than 55 but up to 50% : 1Marks

PG LEVEL (10 MARKS)

- ✓ 80% and above:10 Marks
- ✓ Less than 80 but up to 70% : 8 Marks
- ✓ Less than 70 but up to 60% : 6 Marks
- ✓ Less than 60 but up to 55% : 4Marks
- ✓ Less than 55 but up to 50% : 2Marks

ii. **Scholastic Competitiveness (20 Marks)**

- ✓ NET: 20 Marks
- ✓ M.Phil. in the concerned subject from a University recognized byUGC: 17 Marks
- ✓ SLET/ SET: 15 Marks

Note: In case a candidate is qualified in more than one test, the test having maximum marks is considered for awarding marks

iii. **Research Exposure: 5Marks**

- ✓ Project fellow; 1mark per year
- ✓ Research publication in the list of Journals recognized by UGC: 2 marks per paper
- ✓ Conference presentations: National /international; 1 Mark per presentation.

iv. **Research proposal & Interview performance: 10 Marks**