SHREYARTH UNIVERSITY

Doctor of Philosophy (Ph.D.)

Ordinances – 2025

(With Effect from the Academic Year 2025-26)
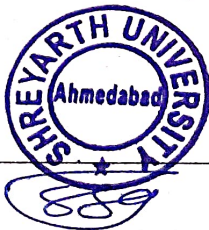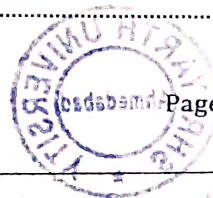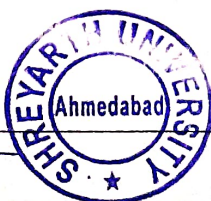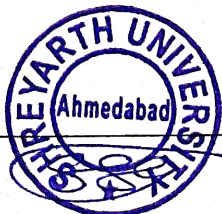
Table of Contents

Preamble

Shreyarth University, subject to the provisions of the Act and the Statutes, is committed to fostering a world-class research culture built on quality, integrity, innovation, and societal relevance. Research is regarded as a core academic function that keeps faculty and scholars aligned with emerging knowledge and industry developments.

Introduction

Shreyarth University offers research programmes in various disciplines, leading to the award of the Doctor of Philosophy (Ph.D.) degree. The University provides a supportive and encouraging research environment with essential facilities that enable scholars to pursue high-quality research. Ph.D. programmes are currently offered in the fields of Management, Computer Science, and Mathematics.

The major objectives of the Ph.D. programmes are to:

- Foster a robust research ecosystem that upholds ethics, integrity, and high academic standards.
- Encourage innovation, creativity, and intellectual growth among faculty and students.
- Strengthen the integration of teaching and research to advance new knowledge.
- Promote interdisciplinary and multidisciplinary research to address real-world challenges and contribute to national development goals, in alignment with **NEP 2020**.

These Ordinances are framed to uphold these objectives and to ensure a strong, ethical, and excellence-driven research ecosystem for the Ph.D. Programme at Shreyarth University.

O. Ph. D.1 Definitions

In these Ordinance, unless the context otherwise requires:

1) **"Act"** means the University Grants Commission Act,1956 (3 of 1956);
2) **"Adjunct Faculty"** means a part-time or contingent instructor, but not full-time faculty member hired to teach by the University;
3) **"Credit"** means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
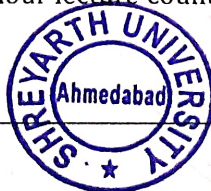
4) **"Commission"** means the University Grants Commission established under Section 4 of the UGC Act, 1956;

5) **"Course"** means one of the specified units which go to comprise a programme of study;

6) **"Course Work"** means courses of study prescribed by the school/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;

7) **"Degree"** means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act;

8) **"DAR"** means Director Academics and Research;

9) **"External examiner"** means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme;

10) **"Foreign Educational Institution"** means – (i) an institution duly established or incorporated in its home country and offering educational programmes, at the undergraduate, post graduate and higher levels in its home country and (ii) which offers programme (s) of such leading to the award of a degree through conventional face to face mode, but excluding distance, online, ODL mode;

11) **"GP"** means General Provision;

12) **"Guide/ Research Supervisor"** means an academician/researcher recognized by Higher Educational Institution to supervise the Ph. D. scholar for his/her research;

13) **"Interdisciplinary Research"** means research conducted by a Ph.D. scholar in two or more academic disciplines;

14) **"O. Ph.D."** means Ordinances related to the governance of the Doctoral Program;

15) **"Plagiarism"** means the pRPCtice of taking someone else's work or idea and passing them as one's own;

16) **"Prospectus"** means any document, whether in print or otherwise, issued for providing fair and transparent information relating to the Shreyarth University and programmes, to the general public by the Shreyarth University;

17) **"RAC"** means Research Advisory Committee;

18) **"Research Proposal"** means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;

19) **"RPC"** means Research Progress Committee;

20) **"University"** means Shreyarth University which is established as per Gujarat Private Universities Act, 2009.
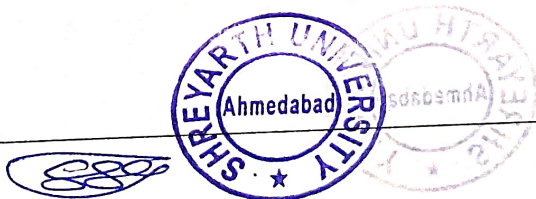
General Provision

- **General Provision:** Whenever the Provost is not available, the President shall constitute the committee or perform the duties assigned to the Provost under these ordinances.

O.Ph.D. 2 Eligibility Criteria for Admission to the Ph. D. Programme

Candidates with the following qualifications are eligible to seek admission to the Ph.D. programme of university:

Eligibility Criteria for Master's Degree Holders:

2.1 Minimum Academic Qualifications for Admission to the Ph.D. Programme

1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

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

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

2.2 Eligibility for Ph.D. Admission through M.Phil. Qualification:

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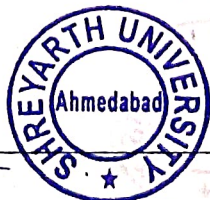
qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure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

O.Ph.D. 3 Duration of the Programme

3.1 Duration of the Ph. D. Programme

Ph.D. program shall be for a minimum duration of three (3) years, including course work and a maximum of six (6) years from the date of admission to the Ph. D. Programme.

3.2 Extension and Maximum Permissible Time Limit

A maximum of an additional two (2) years can be given through a process of re-registration as per the Ordinance of the University concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

3.3 Maternity and Child Care Leave Permission

Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.
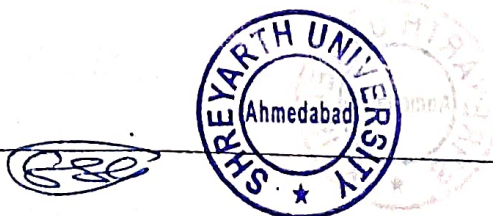
O.Ph.D. 4 Admission Procedure

4.1 Admission Policy and Regulatory Compliance

The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned.

4.2 Admission Methods and Evaluation Criteria

Admission to the Ph.D. programme shall be made using the following methods:

4.2.1 Admission of Candidates Qualified in National-Level Eligibility Tests

University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

Abbreviations: NET = National Eligibility Test; CSIR = Council of Scientific and Industrial Research; GATE = Graduate Aptitude Test in Engineering; and CEED = Common Entrance Test for Design

And/or

4.2.2 Admission Through University-Level Entrance Test

University may admit students through an Entrance Test conducted by the University. The Entrance Test syllabus shall consist of:

    a 50% Research Methodology
    b 50% Subject-Specific Content

Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.

4.2.3 University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

4.2.3 Provided that for the selection of candidates based on the entrance test conducted by the University:
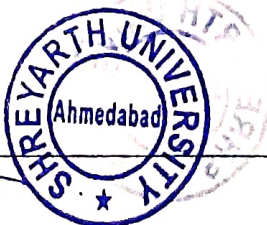
a) a weightage of 70% for the entrance test shall be given.

b) a weightage of 30% for the performance in the interview/viva-voce shall be given.

4.2.4 The monitoring of admission and selection process on the above line will be carried out by the evaluation committee to be constituted by the provost from time to time.

4.3 Prospectus Notification and Reservation Compliance

University is eligible to conduct Ph.D. programmes, shall:

Notify a prospectus well in advance on the university's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

4.4 Disclosure and Annual Update of Ph.D. Supervisors and Scholars

The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/center), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.
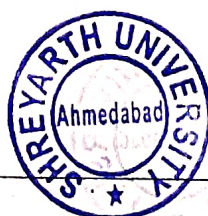
O.Ph.D. 5 Allocation of Research Supervisor

Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

5.1 Eligibility and Recognition Criteria for Research Supervisors

5.1.1 Eligibility of Research Supervisors

Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in University with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed.

Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university would be in violation of this ordinance and University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree), Regulations, 2022 and to be amended from time to time.

5.1.2 Relaxation in Disciplines with Limited Peer-Reviewed Journals

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Provost of the University may relax the above condition for recognition of a person as Research Supervisor on the recommendation of the expert committee to be constituted in the domain with reasons recorded in writing.

5.1.3 Appointment of Co-Supervisors

In case of Interdisciplinary/Multidisciplinary research, if required Co-Supervisors from within the same school or other schools of the same University or other recognized University may be permitted with the approval of the provost on the recommendations of RPC.
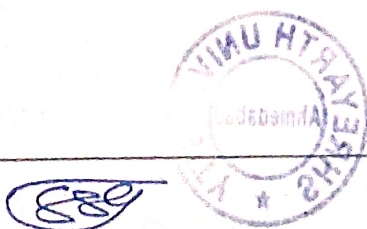
5.1.4 Restrictions of Adjunct Faculty

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

5.2 Maximum Number of Ph.D. Scholars per Supervisor

An eligible:

- Professor can guide up to eight (8) Ph.D. scholars at any given time.
- Associate Professor can guide up to six (6) Ph.D. scholars at any given time.
- Assistant Professor can guide up to four (4) Ph.D. scholars at any given time.

5.3 Provisions for Relocation of Female Ph.D. Scholars

In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these Ordinances are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

5.4 Supervision Rules for Faculty Approaching Superannuation

Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
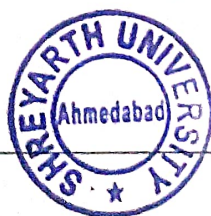
O.Ph.D. 6 Admission of International Students in Ph.D. Programme.

6.1 Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 5.2 above.

6. 2 The University may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

O.Ph.D. 7 Maximum Number of Ph.D. Scholars per Faculty Member

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 5.2 and clause 6.1.

O.Ph.D. 8 Course Work: Credit Requirements, Number, Duration, Syllabus, Minimum Standards for Completion etc.

8.1 Credit Requirements for Ph.D. Coursework

The Ph.D. coursework requires a minimum of 12 credits, including the mandatory "Research and Publication Ethics (RPE)" course as notified by the UGC. (Appendix 1).

The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

8.2 Training and Teaching Responsibilities of Ph.D. Scholars

All full time Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
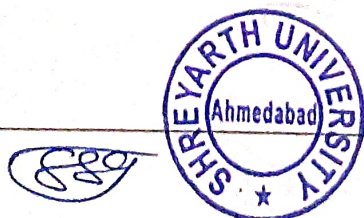
8.3 Minimum Performance Criteria in Coursework

A Ph.D. scholar must obtain a minimum of 55% marks in the course work to be eligible to continue in the programme and submit his or her thesis.

O.Ph.D. 9 Research Advisory Committee and Research Progress Committee:

There shall be a Research Advisory Committee at University Level composing of following members and responsibilities:

9.1 Constitution of Research Advisory Committee

Sr. No.	Title
1	Provost – Chairman *
2	Director – Academics and Research
3	One member of Academic Council, who is having a doctoral degree and experience of conducting the research and guiding to Ph. D. scholars to be nominated by Provost
4	Three renowned persons for their research in specialized fields as to be nominated by Provost
5	Head of the concerned School/Centre/College who shall be recognized research supervise
6	Three recognized Ph.D. Supervisors belonging to different faculties – as to be Nominated by Provost
7	Registrar – Member Secretary

* Refer to Page 7 – GP.

9.2 Responsibilities of Research Advisory Committee for Ph. D. Programme:

The research advisory committee shall have the following responsibilities:

I.   To approve the recognized research supervisor for the Ph. D Programme;

II. To prepare the policy for boosting the overall Ph. D. programme;

III. To process of inviting the applications for the Ph. D Programme;

IV. To oversee the process of admission and selection of research scholars in different disciplines/areas;
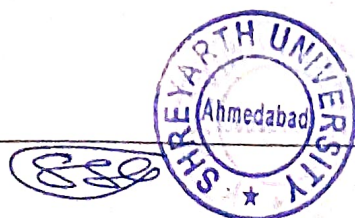
V.   To provide instructions and guidance to the supervisors for guiding the research scholars from time to time;

VI.   To monitor the implementation and process of Ph. D. programme in the University;

VII.   Any other items which Advisory Committee may find fit to have the smooth functioning of the programme.

9.3 Constitution of Research Progress Committee

There shall be a Research Progress Committee (RPC) in the Ordinances of the University for each Ph.D. scholar.

There shall be a Research Progress Committee for each Ph. D. scholar comprising of following members:

Sr. No.	Designation	Category
1	Research Supervisor	Convenor
2	Co-supervisor (If any)	Member
3	Two External Subject Experts in the domain/field to be nominated by the Provost *	Member

* Refer to Page 7 - GP

9.4 Responsibilities of Research Progress Committee

This committee shall have the following responsibilities:

I.   To review the research proposal and finalize the topic and title of research.

II.   To guide the Ph.D. scholar in developing 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 in the progress of the research work of the Ph.D. scholar.

9.5 Research Progress Assessment Mechanism

9.5.1 Submission of Request for RPC Meeting

The supervisor should send the request, after consultation with the RPC members, for conduction of RPC meeting well in advance (minimum 10 days) to the Director – Academics and Research.
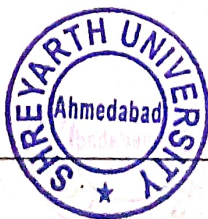
9.5.2 Frequency of RPC Meetings and Submission of Minutes

The research scholar shall present, a progress of his/her research work, to the concerned RPC in each semester until the scholar submits the synopsis. The minutes/review report of every RPC meeting with signatures of all the members (both external and internal member) should be submitted to Director – Academics and Research within one week from date of meeting.

The RPC committee's recommendations (in last RPC meeting) are mandatory for allowing the student to give pre-submission presentation before the RAC. The supervisor shall remain present at all the RPC meeting, pre-submission presentation as well as viva voce of the Ph. D. scholar.

9.5.3 Semester-wise Progress Review and Reporting

Each semester, a Ph.D. scholar shall appear before the RPC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The RPC shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.

9.5.4 Handling Unsatisfactory Progress and Corrective Measures

In case the progress of the Ph.D. scholar is unsatisfactory, the RPC shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the RPC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

9.5.5 Approval of Title of The Research

Title of the Research shall be decided by Candidate and research supervisor in consultation with RPC members. The title of the research shall be finalized not later than 2nd RPC committee meeting and shall be recorded in the same. The candidate may modify or change the title/topic of research after the recommendation and approval of RAC. Such permission for change of the title shall be permitted only once in entire research period.
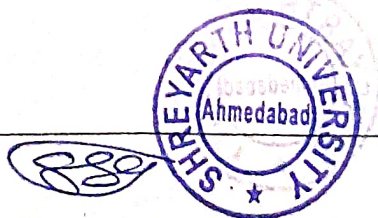
O.Ph.D. 10 Evaluation and Assessment Methods

10.1 Draft Dissertation / Thesis Requirement

Upon satisfactory completion of course work and obtaining the marks prescribed in clause (7.3) of Ordinance 7 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.

10.2 Pre-Submission Presentation and Synopsis Submission

Before submitting the synopsis, the Ph. D. scholar shall make a presentation before the Research Progress Committee of the University, which shall also be open to all faculty members and other research scholars/students.

10.2.1 Publication Requirements Before Pre-Submission

Prior to Pre-submission presentation, the scholar is required to have:

i) At least two research papers published or accepted for publication. The research paper shall be published or accepted for publication, in reputed Scopus/Web of Sciences Indexed journals/UGC approved/Peer Reviewed and conference presentations, for all disciplines.

ii) For Humanities, Law & Management, at least two research papers/journal articles/conference proceedings (full paper)/book chapters (national/international with ISBN number) from his/her Ph.D. research area as first or equal or corresponding author, published or accepted for publication, in reputed Scopus/Web of Sciences/ABDC indexed journals and one conference presentations.

10.2.2 Conduct of Pre-Submission Presentation

A Pre-Submission presentation shall be conducted by DAR in presence of RPC. Details of the Pre-submission presentation shall be notified well in advance, so as to enable the interested faculty members and students to attend the same.

10.2.3 Approval for Synopsis Submission

The candidate can submit the synopsis (subsequently the thesis) to DAR only if RAC approves the same.
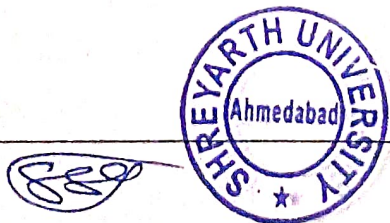
10.2.4 Submission of Synopsis Copies

- The synopsis documents in prescribed format must be submitted along with Pre-submission presentation.
- At least five printed copies and one soft copy of the synopsis shall be submitted to the DAR through research supervisor.

10.2.5 Plagiarism Detection Mechanism

The University shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.

10.2.6 Plagiarism Compliance

A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution. The similarity index should not exceed 10%.

10.3 Thesis Evaluation and Viva-Voce Guidelines

The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned.

Such examiner(s) should be academics with a good record of scholarly publications in the field.

Wherever possible, one of the external examiners should be chosen from outside India.

The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online.

The viva-voce shall be open to the members of the Research Advisory Committee, faculty members, research scholars, and students.
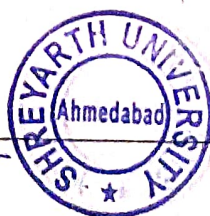
Higher Educational Institutions may formulate appropriate rules/ordinances to affect the provisions of this Regulations.

10.4 Viva-Voce Acceptance and Rejection Criteria

The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted only if both external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them.

If one external examiner recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners. The viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis.

If the alternate examiner does not recommend acceptance, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

10.5 Thesis Submission Requirements

10.5.1 Submission of Ph.D. Thesis

The candidate must submit the Ph.D. thesis along with pre-requisite requirements to through research supervisor(s).

10.5.2 Timeline for Completion of Thesis Evaluation

The University shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

A candidate shall submit five copies of the thesis in case of single supervisor and six copies if there is/are co-supervisor(s), neatly typed or printed and hard/spiral bound along with and soft copy in form of a CD/DVD. The copy of the thesis should be accompanied by originality report generated by the plagiarism checking software suggested by the University or as per UGC norms. Such plagiarism report (plagiarism check shall be carried excluding references and certificates) shall be submitted by University Librarian through RPC to the DAR. The similarity should not exceed 10% excluding the papers published by the candidate and or as per UGC guidelines.
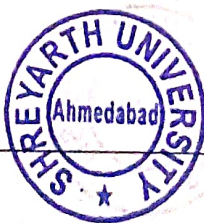
10.5.3 Extension for Thesis Submission

In case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the DAR may on recommendations made by the research supervisor, grant an extension of not more than two months i.e., the candidate may be allowed to submit the thesis within a period not exceeding total 8 months from the date of the submission of the synopsis. In case the candidate is not able to submit the thesis within 8 months, he/she has to appear for resubmission presentation and have to pay the resubmission fee.

10.5.4 Documents to be Submitted with Thesis

The candidate shall submit the thesis for evaluation, along with (a) an undertaking that there is no plagiarism duly signed by the research scholar and supervisor and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other organization within the country or abroad.

10.5.5 Panel of Examiners Suggested by Supervisor

While submitting the thesis, the research supervisor will suggest a panel of 6 (six) experts (Associate Professor/Professor/Senior Scientists), for evaluation and examination of the thesis through DAR to examination section.

10.5.6 Finalization of Examiner Panel by Provost

Such panel shall be forwarded to the Provost for approval through the University examination section after duly forwarded by DAR. Following this, two experts from the suggested panel shall be appointed by the Provost as external examiners for evaluation. Provost can appoint any other external examiner from the relevant discipline even out of the list provided by the supervisor, if seems appropriate.

10.5.7 Communication with Examiners and Submission of Reports

Subsequently, the University exam section will send a request letter to the two nominated/appointed examiners for their consent and receipt from such examiners shall be awaited till 14 (fourteen) days from the day of communication. After receiving the consent, each examiner will be requested to submit their detailed assessment report/recommendations
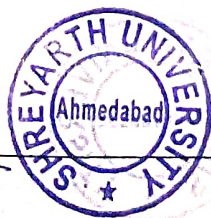
in the prescribed proforma within 6 (six) weeks of the date of receiving the thesis to the University examination section. However, in case the consent is not received from the nominated examiners, then University examination section will write to next group examiner/s as nominated by the Provost in hierarchy. In case, an examiner after providing his/her consent and receiving of the thesis, does not send his/her report within the above period i.e. 6 (six) weeks, a reminder shall be sent to him/her. This shall be followed by a subsequent reminder after a fortnight.

10.5.8 Appointment of Alternate Examiner

In the event that the thesis report is not received from an examiner within a maximum period of two months, failing which the exam section may obtain recommendation from Provost and, may appoint other examiner(s) in his/her place.

10.5.9 Possible Outcomes of Thesis Evaluation

The nominated/appointed examiners shall recommend whether (a) the thesis be accepted for the award of Ph.D. degree in its present form; or (b) the thesis be revised and resubmitted; or else (c) the thesis be rejected.

10.5.10 Timeline for Incorporating Modifications

In case of 10.5.3, the candidate shall comply suggested modifications and provide the necessary clarifications, which in no case shall exceed 2 (two) months.

10.5.11 Procedure When One Examiner Rejects Thesis

If one of the external examiners recommends rejection, the University examination section shall send the thesis to an alternate external examiner (as the case may be) along with the comments and observations (received from both previous examiners), from the approved panel of examiners and as nominated by Provost, and the subsequent viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the DAR find the comments of the examiner to be unsatisfactory or elaborate, the DAR may send the thesis for revaluation to the examiner.
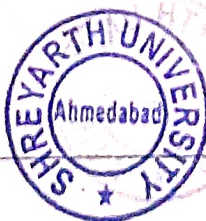
10.5.12 Procedure When Alternate Examiner Also Rejects Thesis

If the alternate examiner also recommends rejection of the thesis, Provost, on the recommendation of RPC, and DAR may permit submission of a revised thesis following all the processes for subject of thesis as laid down in these ordinances on payment of the prescribed fee, after a suitable time to be fixed by the Provost. Copies of the observations and comments of the examiners, if any, may be given to the candidate. However, the names of the examiners shall not to be disclosed. In no case should a resubmission of the thesis without modification along the lines of criticism/observations made by the earlier examiners be allowed.

10.6 Thesis Evaluation and Viva-Voce Board

10.6.1 Scheduling of Open Viva-Voce

Once the reports from the examiners are received as satisfactory, the open viva-voce of the Ph.D. scholar to defend the thesis shall be conducted not later than 2 (two) months by the University examination section. The final date of open viva-voce presentation shall be decided on a mutually agreed date with examiner. The members of viva-voce board should be provided with soft/hard copy of thesis preferably 15 days before the conduct of viva by the University examination section.

10.6.2 Composition of Open Viva-Voce Board

The open viva-voce board shall comprise of at least one of the two external examiners, research supervisor, HOD of concerned school and DAR. It may be conducted in hybrid mode. The viva-voce shall be open to the members of the Research Progress Committee/faculty members/research scholars, students and other stakeholders.

10.6.3 Appointment of External Examiner for Viva-Voce

The external examiner shall be one of the experts who have already adjudicated upon the thesis. In special case, another expert can be appointed for the purpose upon recommendation of DAR upon approval of the Provost.

10.6.4 Final Decision Based on Viva-Voce

If the viva-voce is satisfactory and all other requirements have been fulfilled, the candidate will be declared as eligible for the award of the Ph.D. degree. If the viva-voce board is non-

satisfactory, then the candidate has to re-appear before the open viva-voce board within the next three months for defence.
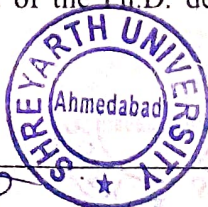
The Ph.D. thesis shall be evaluated by the Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Shreyarth University. Such examiner(s) should be academics with a good record of scholarly publications. Wherever possible, one external examiner should be from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to RPC members/faculty/research scholars/students. Institutions may formulate rules/ordinances to affect the provisions of this Regulations.

10.6.5 Conditions for Conducting Viva-Voce

The viva-voce shall be conducted if both external examiners recommend acceptance of the thesis after incorporating corrections. If one examiner recommends rejection, the University shall send the thesis to an alternate external examiner, and the viva-voce shall be held only if the alternate examiner recommends acceptance. If the alternate examiner does not recommend acceptance, the thesis shall be rejected, and the scholar shall be declared ineligible for the award of a Ph.D.

10.6.6 Timeframe for Completion of Evaluation Process

The Higher Educational Institution shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within six (6) months from the date of submission of the thesis.

O. Ph. D. 11 Award of The Degree

11.1 Recommendations After Completion of Examination

On the completion of all stages of examination, the viva-voce board recommend to the DAR, one of the following courses of action a) that the degree be awarded. b) that the candidate be re-examined at a later specified time in a special manner. c) that the degree shall not be awarded.
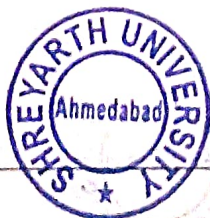
11.2 Corrections and Modifications for Re-Examination

In case of (b), the viva-voce board shall also provide to the candidate corrections and modifications in the thesis (if required) including suggestion made by the external examiners during the thesis evaluation.

11.3 Recommendation of Degree Award

The Degree shall be recommended by the DAR to Academic Council and subsequently to Board of Governors (BOG), provided that:

i) The viva-voce board so recommends.

ii) The candidate produces a 'No Dues Certificate' in prescribed format.

iii) The candidate has submitted two hard cover copies of the thesis; to University Library.

iv) The candidate has submitted an electronic copy of the Ph. D. thesis in the prescribed format of INFLIBNET to Librarian, University for uploading in the online INFLIBNET portal.

11.4 Mention of Ph.D. Mode in Notification

In the PhD notification, mode of PhD as full time/part time/professional category shall be mentioned.

# O Ph.D. 12 Ph.D. through Part-time Mode

12.1 Permission for Part-Time Ph.D. Programmes

Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Ordinances are fulfilled.

12.2 Requirement of No Objection Certificate (NOC) for Part-Time Ph.D. Candidates

The University shall obtain a "No Objection Certificate" through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

    I.   The candidate is permitted to pursue studies on a part-time basis.

    II.   His/her official duties permit him/her to devote sufficient time for research.
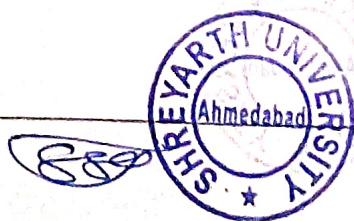
III. If required, he/she will be relieved from the duty to complete the course work.

O.Ph.D. 13 Issuing a Provisional certificate

Prior to the actual award of the Ph.D. degree, the degree-awarding University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Ordinances.

O.Ph.D. 14 Depository with INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

O Ph.D. 15 Cancellation of Admission

Admission shall be cancelled by the Provost on the recommendation of Research Advisory Committee for Doctoral Studies in the following cases:

1) Giving false information at the time of application/admission.
2) Not enrolling for a semester within stipulated time.
3) Absence for four consecutive weeks without information (full-time scholars).
4) Failure to renew semester registration/fees.
5) Two consecutive unsatisfactory progress reports.
6) Research plan not approved even after revision.
7) Failure to submit thesis within the stipulated time.
8) Official withdrawal from the program.
9) Misconduct/indiscipline leading to termination recommended by the DC.
10) Not completing coursework in the prescribed time.
11) Not confirming to the Ordinances of the programme

O Ph.D. 16 Conversion of Registration

Conversion from full-time to part-time shall follow the guidelines decided by the RAC under the following terms and conditions:

1. It will be allowed only once during the full tenure of the Ph.D. programme.
2. It must have a valid reason, such as:
   a) Employment
   b) Medical grounds
   c) Valid personal grounds

O Ph.D. 17 Publication of Ph.D. Thesis

- The thesis shall not be published verbatim in book form without prior permission from the University.

O Ph.D. 18 Data Ownership

- The data generated/collected for Ph.D. research shall be owned by the University/sponsoring agency.
- Appropriate ethical practices must be followed in data collection.
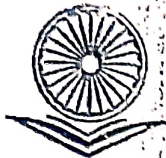
O Ph.D. 19 Authority on Interpretation of Ordinances

- In case of dispute/doubt about interpretation, the decision of the Provost shall be final after considering recommendations of the RAC.

Appendix 1:

Research and Publication Ethics (RPE) Course Overview and Syllabus
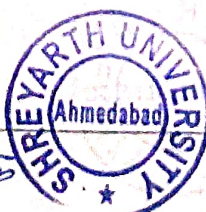
प्रो. रजनीश जैन
सचिव
Prof. Rajnish Jain
Secretary

विश्वविद्यालय अनुदान आयोग
University Grants Commission
(मानव संसाधन विकास मंत्रालय, भारत सरकार)
(Ministry of Human Resource Development, Govt. of India)
बहादुरशाह जफ़र मार्ग, नई दिल्ली-110002
Bahadur Shah Zafar Marg, New Delhi-110002
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E-mail : secy.ugc@nic.in

Directorate of Research
04 FEB
University of Calicut

D.O.No.F.1-1/2018(Journal/CARE)   December, 2019

Respected Sir/Madam,

University Grants Commission in its 543rd meeting held on 9th August, 2019 approved two Credit Courses for awareness about publication ethics and publication misconducts entitled **"Research and Publication Ethics (RPE)"** to be made compulsory for all Ph.D. students for pre-registration course work **(attached as Annexure).**

In view of the above, you are requested to ensure that the above two Credit courses may be made compulsory for all Ph.D. students for pre-registration course work undertaken in your University from the forthcoming academic session.

With regards,

Yours sincerely,

(Rajnish Jain)

TO THE VICE-CHANCELLORS OF ALL UNIVERSITIES
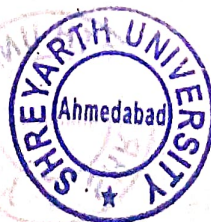
<div align="right"><u>**ANNEXURE**</u></div>

Course Title:

* **Research and Publication Ethics (RPE)**-Course for awareness about the publication ethics and publication misconducts.

Course Level:

* 2 Credit course (30 hrs.)

Eligibility:

* M.Phil., Ph.D. students and interested faculty members (It will be made available to post graduate students at later date)

Fees:

* As per University Rules

Faculty:

* Interdisciplinary Studies

Qualifications of faculty members of the course:

* Ph.D. in relevant subject areas having more than 10 years' of teaching experience

<u>**About the course**</u>

Course Code: CPE- RPE

Overview

* This course has total 6 units focusing on basics of philosophy of science and ethics, research integrity, publication ethics. Hands-on-sessions are designed to identify research misconduct and predatory publications. Indexing and citation databases, open access publications, research metrics (citations, h-index, Impact Factor, etc.) and plagiarism tools will be introduced in this course.

Pedagogy:

* Class room teaching, guest lectures, group discussions, and practical sessions.

Evaluation:

* Continuous assessment will be done through tutorials, assignments, quizzes, and group discussions. Weightage will be given for active participation. Final written examination will be conducted at the end of the course.
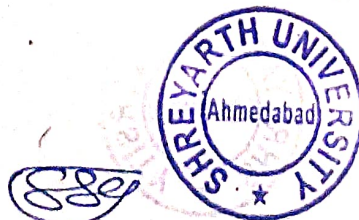
Course structure

- The course comprises of six modules listed in table below. Each module has 4-5 units.

Modules	Unit title	Teaching hours
Theory		
RPE 01	Philosophy and Ethics	4
RPE 02	Scientific Conduct	4
RPE 03	Publication Ethics	7
Practice		
RPE 04	Open Access Publishing	4
RPE 05	Publication Misconduct	4
RPE 06	Databases and Research Metrics	7
	Total	30

Syllabus in detail

THEORY

- ### RPE 01: PHILOSOPHY AND ETHICS (3 hrs.)

  1. Introduction to philosophy: definition, nature and scope, concept, branches
  2. Ethics: definition, moral philosophy, nature of moral judgements and reactions

- ### RPE 02: SCIENTIFICCONDUCT (5hrs.)

  1. Ethics with respect to science and research
  2. Intellectual honesty and research integrity
  3. Scientific misconducts: Falsification, Fabrication, and Plagiarism (FFP)
  4. Redundant publications: duplicate and overlapping publications, salami slicing
 5. Selective reporting and misrepresentation of data

- ### RPE 03: PUBLICATION ETHICS (7 hrs.)

  1. Publication ethics: definition, introduction and importance
  2. Best practices / standards setting initiatives and guidelines: COPE, WAME, etc.
  3. Conflicts of interest
  4. Publication misconduct: definition, concept, problems that lead to unethical behavior and vice versa, types
  5. Violation of publication ethics, authorship and contributorship
  6. Identification of publication misconduct, complaints and appeals
  7. Predatory publishers and journals

PRACTICE

- ### RPE 04: OPEN ACCESS PUBLISHING(4 hrs.)

  1. Open access publications and initiatives
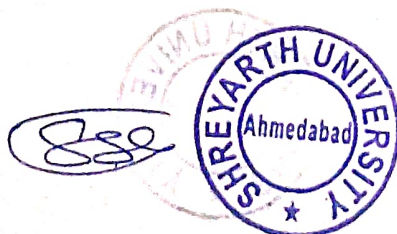
2. SHERPA/RoMEO online resource to check publisher copyright & self-archiving policies
3. Software tool to identify predatory publications developed by SPPU
4. Journal finder / journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggester, etc.

- ## RPE 05: PUBLICATION MISCONDUCT (4hrs.)

A. Group Discussions (2 hrs.)

1. Subject specific ethical issues, FFP, authorship
2. Conflicts of interest
3. Complaints and appeals: examples and fraud from India and abroad

B. Software tools (2 hrs.)

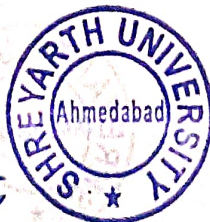Use of plagiarism software like Turnitin, Urkund and other open source software tools

- ## RPE 06: DATABASES AND RESEARCH METRICS (7hrs.)

A. Databases (4 hrs.)
1. Indexing databases
2. Citation databases: Web of Science, Scopus, etc.

B. Research Metrics (3 hrs.)
1. Impact Factor of journal as per Journal Citation Report, SNIP, SJR, IPP, Cite Score
2. Metrics: h-index, g index, i10 index, altmetrics

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