

# ANDHRA KESARI UNIVERSITY

ONGOLE - 523001.



## RESEARCH RULES AND REGULATIONS

# RESEARCH RULES AND REGULATIONS



Board of Research Studies



**Andhra Kesari University**

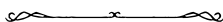
Ongole - 523 001.

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## **INTRODUCTION**

The Prakasam District with headquarters Ongole, named after the late Chief Minister of Andhra State, Andhra Kesari Tanguturi Prakasam Pantulu. It is one of the backward districts of Andhra Pradesh that is both in the sphere of economy and the field of higher education. Andhra Pradesh Government has established Andhra Kesari University with the effect from 11-01-2022 (Notification No. 36 Dated: 11.01.2022) by the Act No. 21 of 2021 (Notification No. 21 Dated: 20.12.2022) of the State Legislative of Andhra Pradesh as a State University and is empowered to award degrees as specified by the UGC under Section 22 of the UGC Act. 1956 and A.P. University Act at its own departments.

Research Programme leading to the award of Ph.D. degree are offered in the teaching departments/centres of the University College and Research Centres recognized by the University as research centres. The rules and regulations are strictly adhering to the Research Regulations for Ph.D. programme report framed by the constituted committee of Andhra Pradesh State Council of Higher Education.

### **1. RESEARCH ADVISORY COMMITTEE**

The Research Advisory Committee is responsible for the promotion of research activities in the University through periodical review and monitoring of ongoing research activities. The following members constitute the committee.

Vice-Chancellor	-	Chairman
Principal of the Campus College	-	Member
Registrar, AKU	-	Member
Deans of the Faculties, AKU	-	Member
Director, Research & Development Cell, AKU	-	Member

### **2. DEPARTMENTAL RESEARCH COMMITTEE (DRC)**

#### **2.1 Formation of DRC**

Every academic department must have a Departmental Research Committee (DRC). The term of the Departmental Research Committee is for a period of three years or is conterminous with Chairperson, Board of Studies whichever is earlier.

The composition of the committee is as follows :

1. Head of the Department - Convener of the Committee
2. Chairman, Board of Studies - Chairman of the Committee
3. Professor (One/Two) - Member
4. Associate Professors (One/ Two) - Member
5. Assistant Professors (One/ Two) - Member and
6. One person from any National/ International R&D organizations (Optional) - Member

All members must have doctoral degrees. If there are no adequate number of Faculty in any cadre in the Department, those places may be filled in by the faculty of other cadres.

## **2.2 Functions of DRC**

The functions of the Departmental Research Committee are:

1. To fix the number of seats in Ph.D. to be filled up every year for research admissions (the strength of the candidates with a guide at any time shall not exceed the number given in Research Regulations).
2. To approve the Academic Calendar for Ph.D. Programmes for the academic year.
3. To decide areas or topics of research to be pursued by the Ph.D. Students for that academic year at the time of admission.
4. To recommend syllabi for Pre-Ph.D. course work for approval by BOS.
5. To suggest a panel of examiners and paper setters for Pre-Ph.D. examinations to the BoS.
6. To prepare a Database of experts specialized area, which can be used for the preparation of panel of examiners for adjudicating the Ph.D. thesis. The database may be periodically updated and made available to the BOS.
7. To evaluate the progress in the research work of the scholars.

8. To participate in all the Viva-Voce examinations and seminars of the Pre.Ph.D./Ph.D. programmes.
9. Any other functions referred by the Convener, Board of Research Studies or the Vice-Chancellor.
10. Departmental Research Committee of the concerned departments in the University Campus shall process the submission of thesis etc. for the scholars working in the University College, Research Centres, affiliated colleges, and departments without BOS. For all the admitted candidates into Ph.D. (Full-Time/Part-Time), the DRC shall assign a guide as per the UGC/University norms, and the DRC shall follow the guidelines prescribed by the University from time to time.
11. All special cases which do not fall under the above categories may be discussed at the Academic Senate for final recommendation.

### **3. RESEARCH SUPERVISOR AND CO-SUPERVISORS**

#### **3.1 Eligibility criteria to be a Research Supervisor and Co-Supervisor**

- a) Any regular Professor/Associate Professor of the University with at least five research publications in refereed journals having science citation index/journals having impact factor given by Thomson Reuters/UGC listed journals and any regular Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals having science citation index journals having impact factor given by Thomson Reuters/UGC listed journals and two years regular service in the University may be recognized as Research Supervisor.
- b) Only a full-time regular teacher of the concerned University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Board of Research Studies (BRS).
- c) Any permanent teacher, having put in two years of service after obtaining Ph.D. and possessing two research publications as mentioned above, working in a P.G. Department of an

affiliated college and recruited through a duly constituted selection committee is eligible to be recognized as a Research Guide on application.

- d) The DRC of the relevant Department process the application for recognition as research guide and forwards it to the Principal of the concerned University College. The Principal shall give necessary orders for recognition based on the recommendations of DRC and approval of the Vice-Chancellor.
- e) Any retired teacher will continue as guide his/her already registered Ph.D. candidates for two years and should include a co-guide for each of his/her research scholars soon after his/her retirement.
- f) Faculty who resigned/retired voluntarily from service shall include an eligible teacher from their departments as co-guide for every research student working under their guidance. However, their guideship will be terminated in two years from the date of resignation/voluntary retirement, while the co-guide will become the Principal Guide.
- g) Notwithstanding anything stated above, recognition may be bestowed on persons with exceptional merit by the Vice Chancellor.

#### **4. RESEARCH CENTRES:**

##### **4.1 Affiliated Colleges as Research Centres**

Colleges may be considered eligible to offer Ph.D. programme only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as mentioned below:-

- a) In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply.
- b) Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the



Department/ library for reading, writing and storing study and research materials.

- c) Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/ Colleges/R&D laboratories/Organizations which have the required facilities.
- d) The PG Course in Science /Arts and Commerce/ Engineering/ Pharmacy must be in existence for at least five years.
- e) Necessary amount per course as prescribed by the University should be invested for procurement of latest journals and books.
- f) An amount per course prescribed by the University should be invested to upgrade the Laboratory facilities for the courses.
- g) At least two regular eligible faculty members should be available for recognition as research guides in each subject who should be associated with the P.G. course.
- h) A minimum of two years working experience for the faculty in teaching the P.G. course in the college after obtaining Ph.D., having at least two research articles in journals having science citation index/journals having impact factor given by Thomson Reuters/UGC listed journals.
- i) In case of failure to ensure the recognized research guide's stay in the college for a period of three years from the date of admission of the candidates into research, the college has to pay a minimum penalty fee of Rs. 1 lakh for each scholar admitted.
- j) If the teacher is retired or leaves the Institution, the research student may be transferred to any other eligible guide or to any other research centre recognized by University. For any reason, if that is not possible the teacher may have to suggest any person from any of the recognized research institutes.
- k) In case of admission in affiliated colleges recognized as research centres of University, there shall be a co-guide from the concerned academic department of the constituent college of University or PG Centre of University.

## **5. ADMISSION PROCESS & ELIGIBILITY**

### **5.1 Eligibility**

Ph.D. can be pursued by candidates possessing the minimum qualifications as specified below either on Full-Time (FT)/Part-Time (PT) basis in the Faculties of Science, Arts, Humanities, Social Sciences, Fine Arts, Education, Physical Education, Commerce and Management Studies, Engineering, Science, Law and Pharmaceutical Sciences. Admissions into Ph.D. programme will be made within the framework of reservation rules in force prescribed by the Government of Andhra Pradesh from time to time.

#### **5.1.1 Full-Time (FT)**

- (a) Candidates for admission to Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- (b) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the University Grants Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

### **5.1.2 Part-Time (PT)**

Candidates satisfying the eligibility conditions can be admitted as Part-time candidates through entrance test, as per the following order of priority. Admission into Part-time category will be made on the basis of service seniority in the respective categories.

1. Regular Faculty working in the University or the P.G. Centres.
2. (a) Faculty working in Post graduate and Professional colleges having completed at least two years of service. This provision is not applicable to Faculty teaching Physics, Chemistry, Mathematics and Humanities in professional colleges.

Or

- (b) Faculty/Librarians/Asst. Librarians working in affiliated degree/ PG colleges and Faculty teaching Physics, Chemistry, Mathematics and Humanities in professional colleges having completed at least three years of service.

Or

- (c) Faculty working in Polytechnic/Government or private aided Junior Colleges having completed at least four years of service. Seniority for candidates under each category shall be calculated with the following weightage.
  - (i) Teaching at P.G. level / Professional - five points for each completed year of service in colleges as specified in 2(a).
  - (ii) Teaching at graduate level/Professional - two points for each completed year of service in colleges as specified in 2(b).
  - (iii) Teaching at Polytechnic/Junior College - one point for every completed year of service as specified in 2(c).
3. Technical employees working in research institutes having completed at least five years of service.

### **5.1.3 Extra-Mural Research (EMR)**

- a. For admission into Ph.D. programme under Extra-mural category, there should be an Internal Guide recognized by the University in the recognized research institution where the

candidate is working. In addition to the Internal Guide, a faculty member eligible to guide research from within the concerned Department of University or its PG Centres has to be included as an External Guide.

- b. Registration of a candidate under extramural category shall be done once in a year, i.e., in July every year.
- c. Eligibility for admission under Extra-mural category shall be as follows:
  - i. Scientists or Technical Officers working in a research institution recognized by University with a PG or equivalent degree satisfying the eligibility conditions and having put in two years of experience (Ph.D. Part Time).

Or

- ii. Research Scholars with P.G. or equivalent degree satisfying the eligibility conditions having a fellowship awarded by a duly constituted selection committee approved by University and attached to institutions recognized as Research Centres by University and having completed at least six months with scholarship tenable for a further period of two years (Ph.D. Full Time).

#### **5.1.4 Executive Ph.D.**

Executive Ph.D. Programme is a unique doctoral programme (Ph.D.) in management designed specifically for working professionals with a minimum of five years of full-time work experience. The Programme intends to provide industry professionals an opportunity to build career in academia. The Programme encourages scholars to carry out research in the field of management, leading to publication in internationally reputed research journals and finding solutions of real-world management problems. On successful completion of the program, Ph.D. degree shall be awarded to the candidate.

#### **Qualification**

- i. Master's Degree or Post Graduate Diploma (2 years) in any discipline or Integrated (Dual) Degree from IITs/IIMs/Other reputed Institutions/ Universities with at least 55% marks or equivalent grade point average in the Bachelor's as well as

60% marks or equivalent grade point average in the Master's Degree.

- ii. A professional qualification like CA, ICWA, CS with Bachelor's Degree, with at least 55% marks or equivalent grade point in the Bachelor's Degree.
- iii. A 4-year/8-semester Bachelor's degree in Engineering (B. E/ B.Tech/ B.Sc. Engineering/B. Arch) with at least 6.5 cumulative grade point average (CGPA) or equivalent percent marks.

### **5.1.5 Conversion from Full-Time to Part-Time and Vice-Versa**

- (a) Candidates pursuing full-time Ph.D. programme may be permitted to convert into part-time Ph.D. programme provided they satisfy the eligibility conditions for part-time notwithstanding the length of service. However, the candidate has to pay the prescribed fee for such conversion. This conversion of full-time to part-time will be permitted only if one gets a job (Academic/Scientific). Full-time to Part-time conversion is allowed only after 9 months of registration and with the permission of the Guide(s), DRC approval and with the permission of the principal.
- (b) Conversion from part-time to full-time is not allowed, except in case of candidates joining under Faculty Development Programme or getting a National/State Government/State Government undertaking bodyFellowship.

### **5.2 Procedure for admission**

- a. Universities shall admit Ph.D. students through a Common Entrance Test conducted at the State level on behalf of the Universities concerned.
- b. The Universities shall decide on an annual basis through their academic bodies of predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities;

- c. The Universities shall notify well in advance in the institutional website, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission and procedure for admission and all other relevant information for the benefit of the candidates. The same shall be communicated to the Convener for Common Research Entrance Test. In turn the Convener has to notify through advertisement in at least two national newspapers of which one shall be in the regional language. The advertisement shall contain the information with respect to number of seats for admission, subject to discipline wise, distribution of available seats, criteria for admission, procedure for admission, examination centres and all other related information for the benefit of the Candidates.
- d. Admissions to the foreign nationals will be as per the UGC guidelines.
- e. Scientists having minimum of 10 years regular service/ Candidates having JRF/any national fellowships working at national laboratories are eligible for extramural research admissions without entrance test.

### **5.2.1 Entrance Test**

Universities shall admit candidates by a two-stage process, i.e., entrance test and interview. The test (RCET) will be conducted by the Andhra Pradesh State Council for Higher Education (APSCH).

#### **5.2.1.1 Scheme of the Entrance Test**

An Entrance test shall be conducted for 180 marks. The Entrance Test consists of two parts, i.e., Part-A and Part-B. Part-A shall be the Teaching and Research Aptitude for 90 marks, whereas Part-1 shall be the subject specific for 90 marks. There will be 1/6 negative mark for each wrong answer.

#### **5.2.1.2 Syllabus of the Entrance Test**

Part-A shall be the Teaching and Research Aptitude on the lines of UGC NET Paper-I Syllabus. For Paper-II, Syllabus shall be Paper II of the UGC NET for the subjects for which UGC is conducting NET.CSIR-NET Syllabus for Sciences, GATE Syllabus for Engineering and GPAT Syllabus for Pharmacy. For other subjects, University shall prepare the syllabus.

### **5.2.1.3 Qualifying marks in the Entrance Test**

An Entrance Test shall be conducted with qualifying marks as 50% for open category candidates and 45% for OBC/SC/ST/PH categories.

### **5.2.1.4 Interview**

Qualified Candidates in the Entrance Test will be called for interview/viva-voce by the concerned University Department where the candidates are required to discuss their research interest/area through a presentation before a duly constituted Committee. Interview is for 20 marks.

Interview Committee shall consist of three members; Head of the Department, Chairman, Board of Studies and one Senior Faculty member from the Department nominated by the Vice-Chancellor.

The interview shall also consider the following aspects, viz. whether

- the candidate possesses the competence for the proposed research;
- the research work can be suitably undertaken at the Institution/ College;
- the proposed area of research can contribute to new/additional knowledge.

### **5.2.1.5 Ranks/Final Marks**

Admissions Committee will give ranks/final marks awarded out of 200 after clubbing the marks of entrance test (180 marks) and interview marks (20 marks).

## **5.3 Admission without Entrance Test**

- a) Ph.D. Admissions shall be given without Entrance Test for those students who qualify in UGC-NET-JRF/UGC-CSIR-NET JRF/Teacher Fellowship holder/National Fellowship holder like DST Inspire, DBT Fellowship etc. twice in a year, i.e., in January and in July of the calendar year, and in case of clear vacancy with the research guide.

- b) Candidates qualified in APSET/UGC-NET are not eligible for admission into research but only for lectureship.
- c) Faculty Development Programme - Regular Faculty working in University affiliated colleges/University local area colleges and institutions intending to pursue Ph.D. programme under FDP or other similar programmes would be required to get their nominations processed by the concerned agencies and join in respective colleges and departments either in the month of January or July in a calendar year.

#### **Admission for Executive PhD**

- Short listing of candidates for Personal Interview (PI) process.
- Conducting the personal interview process
- Preparing the Merit List based on the Admission Criteria and Personal interview process.

#### **5.4 Allocation of Research Supervisor**

1. The registration of a candidate can be done either at University department or any institution recognized by the University as a centre of research.
2. The allocation of Research Supervisor for a selected research scholar shall be decided by the Departmental Research Committee (DRC) concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
3. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/ College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/ Colleges.
4. The Number of Research Scholars to be allotted to each teacher is as follows



**Not more than two Ph.D. scholars should be registered with a supervisor per year.**

<b>Research Supervisor</b>	<b>Ph.D. (both full time and part time)</b>
Professor	08
Associate Professor	06
Assistant Professor	04

A Research Supervisor, at any given point of time, cannot guide more than the number of candidates allotted to him as mentioned above.

5. Candidates registered for Ph.D. (Full Time) and Ph.D. (Part Time) after completion of the minimum period, Extramural, Executive, FDP National Fellowship holders, foreign nationals and Project Fellow need not be counted for the purpose of determining the limit of tube of candidates under each guide. But a research supervisor cannot have more than 6, one each only, from the of Extramural/Executive/FDP/National Fellowship holder foreign nationals/Project Fellows at any point of time.

### **5.5 Change of Guide**

If a candidate wishes to change a guide or include a co-guideline valid reason, the request may be considered as per the merits of the case. However, in such cases where the candidate is permitted, he/she can submit the thesis only after one year from the date of change of guide or inclusion of joint guide.

Change of Research Supervisor is permitted only once and can be considered within the subject only in such cases wherein (i) both the Research Supervisors agree for such a change; (ii) the change shall be affected for valid reasons only, with a payment of a prescribed fee. Application made by the research scholar for such change shall be signed by both the Research Supervisors indicating their willingness for the change specifying the reasons for the transfer and the letter shall be forwarded by the Head of the Department to the Principal, University College for further processing. The decision of the Vice-Chancellor is final in this matter. In case of rare exigency

of the death of the research supervisor or permanently leaving the institution, then the scholars of that Research Supervisor will be distributed among the remaining eligible supervisors subject to availability of seats under the prospective new Research Supervisor.

## **6. COURSE WORK AND EVALUATION-Ph.D. PROGRAMME**

### **6.1 Duration of the Programme**

- a) A full-time Ph.D. student is required to spend the minimum prescribed period of three years, in the case of Master's Degree holders in the University or in one of the P.G Centres or Institutions recognized by University as Centres of Research.
- b) The prescribed minimum period for Ph.D. part-time research degrees is five years. A part-time candidate employed in an outside institution will be required to spend at least six weeks every year in the concerned University Department during the prescribed total period of research.
- c) If a candidate pursuing Ph.D. programme under either Full-Time/ Part-Time/Extramural is unable to complete the work in the prescribed period, the principal of the concerned constituent college can give extension of time up to six months from the date of expiry of registration beyond which the registration of the candidate ceases.
- d) The research guide should inform the candidate about the expiry of his/her registration.
- e) A grace period of 30 Days will be given to the Ph.D. Research Scholars after completion of stipulated period for submission of thesis. After 30 days the candidate has to pay the Extension/ Re-registration fee as prescribed in fee structure for submission of thesis. However, candidates who have excellent progress and who have got employment may be considered for conversion of their full- time programme to part time upon recommendations of the concerned DRC provided they have fulfilled the attendance criteria and qualified in the Pre-Ph.D. examination. Such candidates have to pay necessary conversion fee.
- f) If a candidate has completed the requirement earlier than the prescribed period, the Vice-Chancellor may permit for an early

submission of thesis before six months provided the request is justified and substantiated by publications in refereed journals recommended by DRC & CRC.

- g) Women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

## **6.2 Review of Progress**

Research Scholars have to undergo progress evaluation test for every six months. The Candidate has to give an open seminar for every six months on the concerned research topics specified in the following table. The Committee consisting of Guide, Head and Chairman, Board of Studies will award maximum marks of 50 for each seminar based on the candidate performance on the selected research topic. All the DRC members and other scholars have to participate in the seminar. If candidate has not given progress evaluation test for two consecutive years, then his/her registration will be cancelled. Research Centres affiliated with the University should submit the progress evaluation report of the Centre every 6 months and also the progress evaluation results of the research scholars every 6 months. If any Research Centre does not submit the activities and the progress of the Research of the concerned centre, the University Administration may cancel the research centre.

A research scholar along with 10 copies of seminar paper shall appear before the Departmental Research Committee once in six months to make a presentation for evaluation on the following: -

### Full-time Ph.D.

<b>At the end of</b>	<b>Open Seminar Presentation on</b>	<b>Credits</b>
I Semester	Chosen research topic	50 marks (2 credits)
II Semester	Part-I Examination Seminar	
III Semester	Published work in the chosen topic	50 marks (2 credits)
IV Semester	Published/to be published research paper of the Scholar (Research Paper 1)	50 marks (2 credits)
V Semester	Published/to be published research paper of the Scholar (Research Paper 2)	50 marks (2 credits)
VI Semester	Pre talk on the Thesis	50 marks (2 credits)

### Part-time Ph.D.

<b>At the end of</b>	<b>Open Seminar Presentation on</b>	<b>Credits</b>
I Year	Chosen research topic	50 marks (2 credits)
II Year	Part-I Examination Seminar	
III Year I Semester	Published work in the chosen topic	50 marks (2 credits)
III Year II Semester	Published/to be published research paper of the Scholar (Research Paper 1)	50 marks (2 credits)
IV Year I Semester	Published/to be published research paper of the Scholar (Research Paper 2)	50 marks (2 credits)
IV Year II Semester	Pre talk on the Thesis	50 marks (2 credits)

Two credits shall be awarded for each presentation. Credits shall be awarded by the Committee constituted with the Head of the Department, Chairman Board of Studies and the Research Supervisor.

In case the progress of the research scholar is unsatisfactory, the Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to get 60% of marks in progress evaluation, the Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar. For Ph.D., the Candidate has to secure a minimum of 6 credits (60% marks) out of total 10 credits (600 marks) during the last two years to become eligible to submit his/her Ph.D. Thesis.

### **6.3 Course Work**

- The credits assigned to the Ph.D. course work shall be 14 credits (Three Theory Papers, each 4 credits + One Seminar Paper, 2 Credits).
- The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the DRC.
- Course work for Pre. Ph.D. Examination consists of the following four papers.

Paper-I: Research Methodology which could also cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. for 100 marks/Four Credits.

Paper-II: Advanced Subject Paper/Recent Advances in the Subject for 100 marks/Four Credits

Paper-III: Paper on research Area for 100 marks/Four Credits

Paper-IV: Open Seminar for 100 marks/Two Credits.

Seminar Examination Committee shall consist of the concerned Research Guide, Head of the Department and the Chairman, Board of Studies. The candidate shall give a seminar on the research topic emphasizing the importance of the problem, review of literature, methodology and techniques to be adopted

including interpretation of data and the expected outcome. The seminar is open to all members of the department.

- Either full-time or part-time scholars, Pre. Ph.D. examinations are to be conducted after 9 months and before one year from the date of registration. The date of payment of fee at the time of admission will be treated as the date of registration.

#### **6.4 Evaluation of Ph.D. Course Work**

- The panel of paper setters and examiners for Papers-I, II & III should be provided by the Chairperson, Board of Studies from the list approved by Board of Studies.
- Evaluation of the Papers-I, II & III of Part-I Course work shall be double valuation with TWO External Examiners.
- A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/ CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
- Candidates who fail in first attempt will be given only one other chance to qualify in the examination. Registration for appearing for the examination shall be considered as an attempt.

#### **6.5 Requirements for the award of Ph.D. Degree**

The requirements for the award of a Ph.D.degree is:-

- a) Candidate should have been qualified in Pre-Ph.D. Examination.
- b) Candidate should have been qualified in progress evaluation tests.
- c) Prior to submission of final copy of thesis, the candidate should make a presentation of the Ph.D. thesis work (Pre-Talk).
- d) Candidate should have published at least two research papers in a refereed Journal before the submission of the thesis for adjudication. In addition, two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication and produce evidence for the same in the form of presentation certificates and/or

reprints. The journal publications must be in journals having impact factor given by Thomson Reuters/Science Citation Index Journals/ UGC listed journals.

- e) Candidate should submit a thesis based on the research work carried out under the supervision of one or more recognized research guides as per the University norms.
- f) After receipt of positive recommendations on the presentation of the thesis from adjudicators, the candidate should defend the thesis in a viva-voce examination successfully before a committee appointed by the Vice-Chancellor.

### **6.5.1 Pre-talk**

Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the DRC of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Supervisor. Departmental Research Committee should certify the eligibility for submission of the thesis.

### **6.5.2 Publication/Presentation of research papers**

Ph.D. scholars must publish at least Two (2) research papers in a refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. The journals publications must be in journals having impact factor given by Thomson Reuters/Science Citation Index Journals/UGC listed journals.

### **6.5.3 Plagiarism test**

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

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

#### **6.5.3.1 Penalties for faculty and researchers**

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

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

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

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

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

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

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

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

#### **6.5.4 Submission of the Thesis**

- a. After passing the Pre-Ph.D. examination and completing the research work, the candidate shall submit his/her thesis on the concerned topic of research.
- b. Research Scholars working in the University Campus shall submit Ph.D. Thesis through the concerned department in the campus. Whereas scholars working in all the Research Centres of University Colleges, Affiliated colleges, and other recognized Research Centres, will submit their thesis through proper channel.



- c. Prior to submission, the thesis should be checked for plagiarism Certificate of Plagiarism Check with Turnitin from the Director Research Cell, should be obtained. Based on this a declaration plagiarism check (Annexure) from the Research Guide and Research student should be enclosed.
- d. Prior to submission of the thesis 6 copies of the synopsis along with soft copy should be submitted to the University.
- e. On completing the research work, the candidate is required to submit four copies of the thesis on the subject of his/her research. Out of four copies at least one should be hard bound and others shall be soft bound.
- f. A candidate may utilize for his/her thesis the contents of any work which he/she may have already published on the subject. But he/she shall not submit the whole or any substantial part of the work for which a degree has been conferred on him/her by the University or any other University.
- g. The candidate shall enclose to his/her thesis, the printed contribution(s) to the advancement of the subject which he/she has published independently or jointly with others.
- h. The thesis in all subjects shall be written and submitted only in English except in language subjects where the candidate shall have the option of writing the same either in English or in the language concerned. Where the thesis is submitted in a Language other than English, a detailed summary in English version of the thesis shall also be submitted.
- i. Candidates working for Ph.D. in subjects such as Music, Fine Arts and Theatre arts can write their thesis in English, Telugu or Hindi. If the thesis is not written in English, a detailed summary in English should accompany the thesis.

## **6.6 Evaluation of Ph.D. Thesis**

1. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least three external examiners, who are not in employment of the same University, of whom two examiners shall be from out of State. In the case of Indian

Languages, there shall be no foreign examiner, where another out of State/within State examiner will evaluate.

2. The Research Supervisor shall submit to the Chairperson, Board of Studies two Panels of Experts in a confidential cover from research institutions of national importance and universities with not more than one expert from each institution/University in the related research area with full postal and e-mail addresses and contact numbers to the University as detailed below. Chairperson, Board of Studies with the approval of the BOS will submit above two Panels of Experts to the Examination Section.
3. Two names of adjudicators of Indian origin can be included in the foreign panel. In case of Telugu, Sanskrit and Hindi subjects, 8 names from A.P. and Telangana and 6 names from outside the State are to be included.

Panel - I List of at least six Indian Adjudicators outside the State of AP and Telangana (In case of Engineering, six adjudicators shall be from the national institutes/laboratories).

Panel - II List of at least six examiners from AP and Telangana States.

#### **6.6.1. Preparation of Panel of Examiners:**

- (a) The Adjudicators must be of a rank not lower than that of Professor of any University in the concerned discipline.
- (b) Identical panels for different scholars submitting at the same time under the same Research Supervisor are to be avoided.
- (c) Identical panels for different scholars under various guides are to be avoided.
- (d) The names of the Professors who happened to be joint authors of research publications of the guide/scholar shall not be included in the panel of adjudicators
- (e) If sufficient number of Professors are not available, retired teachers also may be included.
- (f) The names of external guides working in other Universities/ research institutions should be avoided.

- (g) External guides should avoid including the names of their own University colleagues.
- (h) The Vice-Chancellor is empowered to appoint adjudicators from outside the panel forwarded by the P.G. BOS.
- (i) While preparing the panel of adjudicators, Ph.D. supervisors of Andhra Kesari University and persons having personal relationship to the candidate shall not be included in the panel of Adjudicators.
- (j) Care should be taken to include names of adjudicators from different Universities in India.
- (k) The Chairman, Board of Studies, shall convene a meeting of the Board of Studies with local members for approval of the panel of adjudicators for the adjudication of the thesis or by circulation and shall complete the process within one Week. The Chairman, Board of Studies shall send the panel of adjudicators in a sealed cover duly signed by the members of the BOS and the Chairman, on each page of the Panel to the Director, Research Cell, AKU within One Week from the date of submission of panel by the Research Supervisor concerned.
- (l) If any adjudicator is found to be of a rank below that of Professor, then the report of such adjudicators will be rejected and the thesis will be sent for adjudication to another adjudicator. The responsibility of verification of eligibility of adjudicator, designation, etc. lies jointly with research supervisor and Chairperson.
- (m) If the approved panel is not forwarded to the Office of the Director, Research Cell, Andhra Kesari University within one month (reported by the research supervisor concerned), the Director, Research Cell shall put up the matter to the Vice-Chancellor for further course of action.
- (n) The Research guides may contact examiners only to find out their willingness to be included in the panels. However, after submission of the panel and the thesis, they should not contact the examiners regarding adjudication which is confidential work.
- (o) Research guides/Chairpersons, BoS should submit fresh panels within 15 days of intimation by the Research Cell.

## **7. Ph.D. Thesis:**

After passing the Part-1 Pre-Ph.D. Examination and completing the research work and minimum duration, the candidate shall submit the research report on the concerned topic of research. Every thesis should make a distinctive contribution to the existing knowledge of the subject and afford evidence of the candidate's originality, whether based on new facts discovered or new relations of facts observed by others, whether constituting an exhaustive study and criticism of published work of others or forming a valuable contribution to the existing literature of the subject, contributing to the advancement of knowledge.

### **7.1. Guidelines for writing Thesis:**

The thesis will be impeccable in all respects, which will be apparent primarily from the following:

#### **(i) Definition of the research scope and objectives:**

The goals will have to be presented clearly, and the research scope will be clearly defined, which indicates deep understanding of the topic. The objectives will be set high but are attainable.

#### **(ii) Command of the topic:**

The works to be cited will be selected not only appropriately but fanatically; the number of relevant works cited will be sufficient, consisting partly of high-quality scientific publications (journals or other refereed fora). The results will have to be evaluated in the light of the cited works and in that of prior research and theories on the topic. In addition, the Research Scholar has to demonstrate deep understanding of the research topic.

#### **(iii) Methodology and conclusions:**

The Scholar has to demonstrate command of the relevant research methods, use appropriate and justified methods, report the research process and the methods accurately and precisely and justify the choices made. The reliability and transferability of the results will have to be evaluated thoroughly, and the thesis may be based on exceptionally

extensive empirical data/ analytical/simulated results. In addition, the line of reasoning behind the conclusions shall be particularly clear, accurate and critical and proves that the Scholar has gained a deep understanding of the topic of the research study. The research results shall provide thorough answers to the posed research questions.

**(iv) Contribution to knowledge and thesis structure:**

The results will meet the standards of international publications and will be of interest to academia or industry or otherwise relevant to professionals in the field. The Research Scholar has to work very independently on the thesis, while the contributions of the Research Supervisor should be minor.

**(v) Presentation and language:**

The appearance, presentation and language of the thesis should be impeccable.

**7.2. Style of Presentation of Thesis**

The presentation of the Thesis is recommended to be in the following order:

However, the Research Supervisor/Scholar is free to design his own structure relevant to his subject.

- ✓ Title page
- ✓ Dedication/Acknowledgements
- ✓ Declaration
- ✓ Certificate from the Research Supervisor
- ✓ Plagiarism compliance declaration (Annexure) signed by both the Research Scholar and the Research Supervisor
- ✓ Preface
- ✓ Acknowledgements
- ✓ Table of Contents
- ✓ List of Tables/Graphs/Figures

- ✓ Glossary of abbreviations
- ✓ Contents of the Thesis
  - Introduction
  - Review of Literature
  - Objectives of Research
  - Materials and Methods
  - Results
  - Discussion
  - Summary and Conclusions
  - Suggestions
  - Scope for further research
- ✓ Bibliography
- ✓ Webliography
- ✓ Appendices
  - Copies of the reprint of the journals should be attached to the Thesis as an appendix.

### **7.3 Guidelines for the preparation of Synopsis and Thesis**

#### **(I) Synopsis**

Synopsis should outline the research problem, the methodology used for tackling it and the summary of the findings. The size of Synopsis should not generally be exceeding 15 pages of typed matter reckoned from the first page to the last page including the List of Publications. The Synopsis should be printed on both sides of the paper. The sequence in which the Synopsis should be arranged is as follows:

- Cover Page/Title page
- Results of the research work divided into suitable Headings (numbered consecutively)
- References (not more than 15)

- List of Publications (those published/accepted for publication in Journals and papers presented in Conferences/Symposia)
- The Candidate should submit to the Head/Director of the Department 6 copies of the Synopsis in case of Ph.D. along with CD.

**(ii) Thesis**

The final thesis shall be presented in accordance with the following specifications:

- (a) The paper used for printing shall be of A4 size.
- (b) Printing shall be in a standardized form on one side of the paper and in 1.5 spacing. In case the number of pages in the thesis (excluding the initial pages) exceeds 250, the candidate should get it printed on both sides of paper.
- (c) A margin of 1.5 inches shall be on the left-hand side and one in the right-hand side.
- (d) The card used for cover shall not be more than 330 gsm.
- (e) The title of the thesis, name of the University, Degree, Candidate name, Research Supervisor name, place of research work, and the month and year of submission shall be printed on the title page and the front cover.
- (f) The title should mention Ph.D. thesis on the top, name of the candidate and month and year.

**(iii) Binding**

The Dissertation/Thesis shall be properly soft bound, using hard cover of white colour. The bound front cover should indicate in Colour Embossed letters with the following:

- 1.....(Title)
- 2.....(Name of the Candidate)
- 3.....(Name of the Research Supervisor)
- 4.....(Name of the Department in which the thesis is being submitted)
- 5.....(Name of the Faculty in which the thesis is being submitted)  
(e.g. Faculty of Natural Sciences)

6. University Emblem
7. Department and University Name
8. Month and Year of submission at the bottom

The name of the scholar appearing on the Thesis, Synopsis, etc. must be the same as in his/her S.S.C. (X Class) Certificate.

Two plain blank papers should be provided at the beginning and at the end.

The following pages should be included in the Thesis after Title Page.

- Declaration by the candidate to the effect that the thesis either in part or full does not constitute any part of any thesis/ dissertation/monograph submitted by him/her or any other person to any University/ Institute. The candidate shall be held responsible for the genuineness of his/her work and any false statement shall lead to cancellation of his/her registration/degree at any stage even after the declaration of result and award of the degree.
- Certificate from the Research Supervisor to the effect that the thesis is the bona fide work done by the candidate.
- Plagiarism check Declaration to be signed by both the Research Scholar and the Research Supervisor stating that the work is free from plagiarism and if plagiarism is proved, they will abide by the rules and regulations of the University.

**(iv) Plagiarism Test**

- A. For ensuring originality of submitted content, the thesis shall be checked by anti-plagiarism software TURNITIN by the Director, Research Cell, AKU. The thesis will be permitted for submission only when the match is less than 30 per cent excluding self-publications in the plagiarism check. If any text strings/figures are found to be copied or dubious without proper acknowledgement of the source, the thesis has to be thoroughly revised.
1. Plagiarism check shall be implemented through TURNITIN anti-plagiarism software in AKU with retrospective effect.



2. The fee particulars for plagiarism check in the form of DD in favour of the Registrar, AKU as processing fee are as follows:
  - a. Rs. 1000/- from AKU Research Students.
  - b. Rs. 1000/- (for checking one time) from students from AKU affiliated colleges submitting the thesis to other universities routed through their respective Registrars.
  - c. Rs. 1500/- (for checking one time) from students from other universities routed through their respective Registrars.
3. Each Research Scholar before submission of the thesis has to submit Soft Copy-CD (in pdf Format) of the Thesis to the Director, Research Cell, AKU, for arranging for Plagiarism Check through the Co-ordinator/HOD.

The following details must be mentioned on the CD:

- Name of the Candidate, Research Supervisor & Co-Research Supervisor, if any.
- Department and Year of Admission.

Other enclosures:

- Contact Address, E-mail ID and Contact Number of the Candidate, Research Supervisor and Co-Research Supervisor, if any.
  - A covering letter duly signed by the Research Supervisor & Co-Research Supervisor with seal.
  - Joining report along with copy of Proceedings should be enclosed.
4. Entire Soft Copy of Thesis must be One File (cover page to references) only,
  5. Anti-Plagiarism Check Criterion/ Acceptability < 30% match
  - B. It is mandatory to include Plagiarism Compliance declaration (Annexure-I) as a part of the Thesis.
  - C. While submitting the Thesis/Dissertation, a research student shall have to submit an undertaking saying that the research

report has been prepared by the research student, that the document is his/her original work and free of any plagiarism. The research supervisor shall certify that the research work is plagiarism-free and the research scholar could face cancellation of his/her registration, if found to have resorted to plagiarism and the supervisor, if found guilty of the same, could be debarred from publishing any work, denied annual increments and disqualified from supervisorship.

#### **V. Procedure for submission of thesis:**

The Candidate should submit 6 copies of Synopsis in case of Ph.D.: and 4 copies (3 in A-4 size and 1 in A-5 size) of the Thesis in case of Ph.D.; and 2 soft copies to the Head of the Department along with Thesis submission form duly signed by the Research Director, Head of the Department and Principal of the concerned University College, Andhra Kesari University along with all other necessary enclosures. The thesis should also contain the signature of the Head of the Institution/ Organization (from place of work) in addition to the Research Supervisor's signature in case of Part-Time/Scholars.

The Head/Director of the Department will forward the Thesis, Synopsis and Panel of Adjudicators to the Research Cell, Andhra Kesari University along with Thesis Submission Form within a week. The candidate should pay the adjudication fee and submit the receipt at the time of submission. Certificates/ documents to be submitted along with thesis/dissertation are:

- (i) No dues certificate from the Office of the Principal, Department, HOD Office and Library.
- (ii) Pre-Ph.D. result copy.
- (iii) A copy of original degree in case of Ph.D., if Ph.D. registration was after Degree.
- (iv) A copy of PG original degree in case of direct registration to Ph.D. after P.G. course.
- (v) Thesis submission form duly signed by the Research Supervisor, Head of the Department and Principal concerned of the University College.

- (vi) Copy of Adjudication Fee receipt Andhra Kesari University.
- (vii) Soft copy of the Synopsis and Thesis.

#### **7.4 Process of Adjudication:**

1. The Ph.D. thesis shall be adjudicated by three examiners selected by the Vice-Chancellor from Panel described above.
2. If all the three examiners recommend the thesis for the award of Ph.D. there shall be a viva-voce examination.
3. The Adjudicator's summary report of the thesis should be accompanied by a detailed report. In case the thesis is recommended for revision or rejected outright, the reason for the same has to be incorporated in the report.

#### **The Adjudicators are required to:**

- Outline the main features of the thesis
  - Critically evaluate the thesis and send a detailed report on the thesis
  - Make one of the four following definite recommendations:
    - The thesis attains the standard required for the award of the Ph.D. degree
    - The thesis requires revision and re-submission to Viva-Voce Committee.
    - The thesis requires revision and re-submission for re-evaluation by the same adjudicator.
    - The thesis is rejected.
4. If the reports of all the examiners are favourable, the candidate shall be permitted to take Viva-voce and he/she shall be awarded the Ph. D degree on the recommendation of the Viva-voce committee.
  5. If all the examiners reject the thesis, the registration of the candidate stands cancelled.
  6. If a thesis is approved by two examiners and suggested for revision by the third examiner or the thesis is approved by one

examiner and suggested for revision by two examiners or all three examiners ask for revision, the candidate will be permitted to resubmit and it will be referred to the same examiners(s), who have suggested for revision and resubmission. At the time of resubmission, the guide has to certify that all the suggestions made by the examiner(s) have been incorporated. A minimum time limit of one month and not later than 2 years shall be enforced for resubmission in all such cases.

7. Two of the examiners approve the thesis and one reject, or vice Versa or if one of the examiner(s) approves the thesis, one rejects and the other asks for revision, the candidate may be permitted for resubmission. However, in such cases, the examiner(s) who have rejected the thesis shall have to be replaced by new examiners) while keeping the other examiner(s) the same. A minimum time limit of one month and not later than 2 years shall be enforced for resubmission in all such cases.
8. If two of the examiners ask for revision and one examiner rejects the thesis or one examiner asks for revision of the thesis and the remaining two reject the thesis, the thesis shall be rejected.
9. In a nutshell, the following are the guidelines for taking further course of action in recommending the thesis for the award of Ph.D. degree.

SI.No.	Recommendation of the adjudicator(s)	Action on the further processing of the thesis
1	All the Three adjudicators has/have recommended for the award of the degree	To constitute Viva-Voce committee
2	One/Two of the three adjudicators has/have recommended for revision of the thesis.	To revise the thesis by the scholar on the suggestions of recommended for revision of the thesis the adjudicator(s) and submit the revised thesis through proper channel certified by Research Guide. The thesis will be sent to the same adjudicator to evaluate the revised version

3	One of the three adjudicators has recommended for rejection of the thesis.	To send it to another foreign/ out of state/ state adjudicator, as the case may be.
4	One examiner asks for revision of the thesis and the remaining two reject the thesis	To reject the thesis
5	All of the three adjudicators recommended for rejection of the thesis	To reject the thesis

### **7.5 Expediting evaluation process**

1. The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.
2. In case where an Indian examiner is not fixed within 15 days from the date of giving e-mail or has not sent the report within two months from the date of dispatch of the thesis (by airmail), the Vice-Chancellor may consider the change of the Indian examiners with another Indian examiner.

### **7.6 Ph.D. Open Viva-voce examination**

- a) The public viva-voce of the research scholar to defend the dissertation/ thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for awarding the Ph.D. Degree.
- b) The viva-voce examination, based among other things, on the critique given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two Indian external examiners, and shall be open to be attended by Members of the DRC, all faculty members of the Department, other research scholars and other interested experts/ researchers.
- c) The viva-voce relating to Ph.D. thesis shall be conducted by a viva- voce committee to be appointed by the Vice-Chancellor. The viva- voce committee shall consist of

1. Dean of the Faculty
  2. Research Guide cum Convener
  3. The Head of the Department/the concerned Head in case of interdisciplinary
  4. The Chairperson of the Board of Studies (or the concerned chairperson, in the case of inter-disciplinary)
  5. One of the Indian examiners who adjudicated the test nominated by the Vice-Chancellor
- d) A quorum with 1/3 of the members is required. However, one of the Indian Examiners must be present at the viva-voce examination. In case the Viva Board has less than 3 members by virtue of a member holding more than one position, the residual number of members required to constitute full Board will be nominated by the Vice Chancellor. The convener will fix the date and time of Viva-Voce examination and intimate the same to all members with a copy to the Co-ordinator, Research Cell, AKU.
- e) Research guide shall be the Convener for viva-voce committee. In case of Extramural candidate, the External Guide and for Part Time candidate the Guide from the University will be the Convener of the Viva-Voce Committee. Further wherever there is a co-guide, he will also be a Member of the Committee.
- f) In case the guide superannuates from the University service or is on long leave/deputation or cannot attend on any other valid reasons the co-guide/Chairperson will be the convener.
- g) The Viva is open to all members of the department and allied departments. The candidate shall have to successfully defend her work to the satisfaction of majority members of the Viva-Voce committee.
- h) The Viva should be held within 6 months of intimation from the Research Cell.
- i) A candidate who is not successful at the Viva-Voce may be permitted to take the viva-voce a second time within a period of three months. No candidate shall be permitted to take the viva-voce more than twice. If the candidate fails for the second

time, the case shall be disposed of by the Vice-Chancellor on its merits.

- j) After the completion of the Viva-Voce examination, the Convener of the Viva-Voce Committee will submit the recommendations along with the Corrected final copy of the thesis in Hard Bound and two soft copies in DVD form for placing them in the University library and on INFLIBNET through UGC, respectively.
- k) The Ph.D. degree shall be awarded only after uploading of the thesis in INFLIBNET (Shoshana).
- l) When revision and submission to the Viva-Voce Committee is recommended by any of the adjudicators, then after the Viva-Voce examination, the candidate is required to submit his/her Thesis after reducing it into A5 size with printing in black letters on both sides with hard bound binding in white colour duly certified by the Research Supervisor and Joint Supervisor, if applicable, with his/her signature that all the corrections/modifications suggested by the adjudicators have been incorporated in the Thesis.
- m) The Thesis in A5 size should contain the Certificate (as applicable) given below. Soft copy of the Thesis in CD form (2 Nos.) should be submitted for University archives along with A5 size Thesis.

### **CERTIFICATE**

- a) This is to certify that no corrections/suggestions were pointed out by the Indian State Adjudicator(s) in the Thesis titled "... submitted by Mr./Ms.

(OR)

- b) This is to certify that all corrections and suggestions pointed out by the Indian/ State Adjudicator(s) are incorporated in the Thesis titled..... Mr./Ms... .." submitted by Research Supervisor.

### **8. SELF-SUBMISSION**

Self-submission by the University Faculty for Ph.D. degree is allowed for those having 10 years of teaching experience in

the University or its PG Centres as per the submission procedure state above, i.e., duration from the date of registration (part-time), publication of research papers, seminar/conference presentations, plagiarism test, etc.

## **9. REVIEW OF STATUS PROCESS:**

The status of evaluation process is to be informed to the scholar and the guide periodically either by directly communicating to them or by putting them in website.

## **10. FAILURE IN THE Ph.D. EXAMINATION:**

### **(i) Ph.D.**

If one of the three adjudicators rejects the Thesis, the Candidate is deemed to have failed in the Domination. In such cases, the Candidate may re-register for the research program, if he desires so within a period of one month. He / she shall be permitted to submit the thesis after expiry of one year and not later than 2 years from the date of re-registration and upon payment of prescribed fee. The thesis shall be evaluated by a fresh panel of adjudicators.

### **10.1. Cancellation of Research Admission& Registration**

Research admission and registration of a full-time part-time scholar shall be cancelled in case of any of the following:-

- a) The candidate does not fulfill the attendance requirement,
- b) The candidate abstains consecutively on non-medical grounds for ten days or more without prior permission or he/she is engaged in the study of any other full-time course of this or any other University Institution or the candidate being a full-time research scholar/engages himself/herself in full-time employment/profession in the University or elsewhere or the candidate is found guilty of misconduct, indiscipline or fraud or participation in illegal and deviant activities which bring disrepute to the Institution or arouse/ incite communal feelings, or group animosities/hostilities or other activities that disturb peace and tranquility on the campus (A research scholar is not expected to take part in activities other than those directly connected with his research work).



- c) If the candidate fails in Part-I examination even at the second chance.
- d) If he/she fails to submit thesis even after the max period.
- e) If the candidate does not pass the Viva-Voce even during the second attempt.
- f) If he/she is found guilty of misconduct, indiscipline, fraud, such activities that disturb the peace and tranquility on the campus and those that cause disrepute to the University.

## **11. PROVISIONAL CERTIFICATE**

Prior to the actual award of the degree, the degree-awarding Institution shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

## **12. DEPOSITORY WITH SHODHGANGA INFLIBNET**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degrees the Institution concerned shall submit an electronic copy of the dissertation/Ph. D. thesis to the SHODHGANGA INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

## **13. UGC (MINIMUM STANDARDS AND PROCEDURE FOR AWARD OF Ph.D. DEGREE) REGULATIONS-2016**

- i.** Women Candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. 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.
- ii.** In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided a) all other conditions in these regulations are followed and b) the research work does not pertain to a project secured by the parent institution/supervisor from any funding agency. The scholar will give credit to the parent guide and institution for the part of research already done.

- iii.** Award of degrees to candidates registered for the Ph.D. program prior to July 11, 2009 shall be governed by the provisions of the then existing Ordinance/Bylaws regulations of the Institution awarding the degrees and they shall be exempted from the requirement of the minimum eligibility condition of National Eligibility Test/State Level Eligibility Test/State Eligibility Test for recruitment and appointment of Assistant Professor or equivalent positions in Universities Colleges/ Institutions subject to the fulfillment of the following conditions:
- (a) Ph.D. Degree of the candidate awarded in regular mode only:
  - (b) Evaluation of the Ph.D. thesis by at least two external examiners;
  - (c) Open Ph.D. Viva-voce of the candidate had been conducted.
  - (d) Candidate has two research publications from his/her Ph.D. work out of which at least one must be in a refereed journal;
  - (e) Candidate has made at least two presentations in conferences/ seminars, based on his/her Ph.D. work;
  - (f) (b) to (e) are to be certified by the Vice-Chancellor/Pro. Vice-Chancellor/ Dean (Academic Affairs)/Dean (University Instructions)

**In case of any ambiguity in interpretation of above regulations, the decision of the Vice-Chancellor shall be final.**

## **ANNEXURE - I**

### **Declaration for Plagiarism Check**

It is certified that Ph.D. Thesis titled \_\_\_\_\_ by \_\_\_\_\_ has been examined by us. We undertake as follows:

- a. Thesis has significant new work/knowledge as compared to already published or are under consideration to be published elsewhere. No sentence, equation, diagram, table, paragraph or section has be copied verbatim from previous work unless it is placed under quotation marks and duly referenced.
- b. The work presented is original and own work of the author (i.e., There is no plagiarism). No ideas, processes, results or words of others have been presented as Authors own work.
- c. There is no fabrication of data or results which have been compiled analysed.
- d. There is no falsification by manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- e. The thesis has been checked using TURNITIN (copy of originality report attached) and found within limits as per HEC Plagiarism Policy and instructions issued from time to time.

Name & Signature of Student

Name & Signature of  
Supervisor

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

## **ANNEXURE - II**

### **RULES, REGULATIONS AND CONDITIONS TO BE FULFILLED BY AFFILIATED COLLEGES FOR RECOGNITION AS RESEARCH CENTRES**

1. The relevant P.G. Course in Arts and Science/Pharmacy/ Management/Law must be in existence for at least last FIVE years and Name of the Branch/ Department in which Ph.D. program is to be offered must be declared with specialization.
2. Post-Graduate Colleges offering 4-year Undergraduate Programmes and/or Post-Graduate Programmes, may offer Ph.D programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
3. The institute should have minimum UGC 2f or 12B/NAAC recognition.
4. The institute should provide necessary journals and books required for the research.
5. The institute should provide necessary laboratory facilities for the research required.
6. Atleast two faculty members who are eligible for recognition as research guides as per UGC 2016 guidelines should be available in the Institution associated with the course to be recognized.
7. The proposed supervisor should have a PhD degree in the relevant discipline from a reputed University with a minimum of seven years of PG teaching/research experience, out of which the post Ph.D. experience should be two years and having six publications out of which two must be in refereed National/ International journals for eligibility. Further supervisor services should be ratified by the University. These may be prescribed by the University from time to time.
8. If the Supervisor retires or leaves the Institution during the period of research, the research student may be transferred to any other eligible guide or to any other research centre recognized by the AKU. In any case the student must be paid

stipend if any by the Institution originally, he was allotted. The decision of the University is the final in the regard. Moreover, the college management should submit NOC in either case to the University.

9. In case of admission in affiliated colleges as research centres of AKU, Ongole, there shall be a co-guide from the concerned academic department of the constituent college of AKU.
10. The institute/organization shall be willing to provide the expenditure for contingencies/conferences/ fieldworks/ stationary etc.
11. Institute/organization must provide Networking/Internet facilities/Laboratory/ equipment etc., for Research Scholars.
12. Allotted Supervisor for the Research program should be available in the department continuously till the thesis submission of the student.
13. The tuition fee paid to the university by the full time scholars at the time admission will be transferred to respective research centres on request after student passing Pre-Ph.D exams. For the subsequent years the research centres are authorized to collect applicable tuition fee directly from the student.
14. Details of stipend and attendance particulars of the fulltime scholar are to be submitted by the respective research centres to the university on or before 15<sup>th</sup> July every year.
15. The research scholar admitted, should not be given any theory load and may be allowed to take maximum 3 laboratory sessions in his area of research work. He should devote full time for carrying out research only.
16. The Institute/Organization must give assurance by way of submitting prescribed affidavit.
17. University has the right to cancel the recognition of the research centre/research supervisor at any stage on administrative grounds. In such cases the allotted research scholars will be taken care by the University.

### **ANNEXURE - III**

#### **PROCEDURE FOR RECOGNITION OF NEW DEPARTMENTS / INSTITUTIONS OFFERING SCIENCE/ARTS/ PHARMACY/ LAW/ EDUCATION/ MANAGEMENT PROGRAMMS AS RESEARCH CENTERS**

- a. Department/Institutions seeking approval/recognition to research program shall apply to this University in the prescribed format.
- b. They shall submit the duly filled form along with supporting documents showing the possession of required facilities for the conduct of Ph.D program.
- c. The Arts and Science /Pharmacy/Management Colleges seeking the recognition of the Department shall have the following facilities according to the needs of the research:-
  - i. Adequate laboratory facilities for Experimental Work needed for research.
  - ii. Adequate library facilities for advanced research work including online databases.
- d. An inspection fee of Rs. 20,000/- (Rupees Twenty thousand only) or that may be prescribed by the University from time to time has to be paid at the time of submission of the application form when seeking recognition.
- e. After due scrutiny of the filled in applications and documents received thereof, an inspection committee consisting of two members, having the Chairman/Convener and Subject expert shall visit the college / institution. The recommendations of the Inspection Committee, if found satisfied, shall be placed for approval by the University.
- f. In case, if the University is not satisfied of research / Teaching facilities, it may reject the application and the Institution will be informed about the deficiencies. The Institution can request for re-inspection after duly rectifying the deficiencies pointed out in the first inspection. The University shall depute another inspection team for re-inspection after obtaining there-inspection fee of Rs.20,000/- (Rupees Twenty thousand only) or as that may be prescribed by the University from time to

time. The orders recognizing the said Department in Science or Arts shall be issued after collecting the fee of Rs. 25,000/- (Rupees Twenty thousand only) per first year per department and 10,000/- for the remaining two years period and Rs. 50,000/- for Pharmacy/Management for first year and Rs. 20,000/- for remaining two years or as that may be prescribed by the University from time to time.

- g. The department offering for fulltime Ph.D shall be inspected once in 3 years. In this regard department shall apply for renewal by following existing rules.
- h. Admission to Ph.D program is done by the University, along with Ph.D admissions of the University/through APRCET. The candidate admitted for research in the recognized research centers of the self-financing colleges, will be governed by the Ph.D academic regulation of the University.

(Not withstanding anything contained in the above in exceptional cases, the Vice-Chancellor can review and take a decision which is final.)

#### **ACCOUNTABILITY AND RESPONSIBILITY OF RESEARCH CENTERS**

Such recognized institution shall be accountable to the university in the following manner:-

1. Shall submit annual reports of the progress and research work being done in the institute.
2. Progress report of the research of the student being done shall be submitted periodically or as and when called for by the university.
3. Number of research student-registered after the grant of recognition shall be informed.
4. Keep the University informed about its efforts in seeking grants/ funding from national and international agencies based on the research status provided by the university.

**(The above guidelines will be Come into effect from 2023-24 academic year onwards)**



Learning gives creativity,  
creativity leads to thinking,  
thinking provides knowledge,  
and knowledge makes you great.

***A.P.J. Abdul Kalam***