

# **RAFFLES UNIVERSITY, NEEMRANA**

## **PH. D ORDINANCES AND REGULATIONS**

Degree of Doctor of Philosophy (Ph.D.)  
(Amended in accordance with the UGC (Minimum Standards and Procedure  
For Award of M.Phil. /Ph.D. Degree) Regulations, 2016)

*(Effective from the Academic Session 2020-2021 (January Session))*

### **INTRODUCTION:**

The ordinance as per the provisions of Raffles University (Act No 3. 2011) Section-30 govern the conditions for Ph.D. programme, admission procedure, appointment of supervisors, imparting course of instructions, implementation of methodology and conduct of the examination and evaluation of performance of Ph.D. scholar's leading to an award of Degree.

These ordinances and regulations shall be called the Raffles University of Neemrana Ordinances and regulations for the award of the Degree of Doctor of Philosophy (Ph.D.) and shall be deemed to have come into force on 01<sup>st</sup> January, 2021.

Faculties/ Schools in which University shall undertake research shall be as specified in schedule-II the Raffles University, Neemrana, Act 2011 (Act, no. 3 of 2011) are mentioned below.

- a) Engineering and Technology
- b) Law
- c) Management
- d) Basic & Applied Sciences
- e) Humanities & Social Sciences
- f) Pharmacy

### **DEFINITIONS**

- I. "Applicant/ Candidate" shall mean an individual who applies for admission to the PhD programme of the Raffles University, Neemrana on a prescribed Application Form as per issued notification time to time.
- II. "Co-supervisor" shall mean an additional supervisor approved by the School Research Committee to help in the accomplishment of the research work of the research scholar.
- III. "Course Work" shall mean courses of study prescribed in the school by a student registered for the PhD degree.
- IV. "Research Director" shall mean the Director (Research) to be appointed by the President (Vice-Chancellor). To administer and govern all matters relating to research programmes /activities of the University. Provided further those matters relating to examination/ evaluation of doctoral theses shall be handed by the Controller of Examinations.
- V. "Degree" shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Raffles University, Neemrana.

- VI. "SRC" shall mean School Research Committee.
- VII. "School" shall mean those School which offer Bachelor's or higher degree.
- VIII. "Full-time Research Scholar" shall mean a person registered for the PhD degree devoting full time for completing the degree requirements.
- IX. "Minimum Registration Period" shall mean the minimum period for which a research scholar must be registered, prior to submission of the thesis.
- X. "Part time Research Scholar" shall mean a person who is registered for the PhD degree and will devote part of his time towards this pursuit and devote part of time towards the discharge of his official obligations.
- XI. "RUN" shall mean Raffles University, Neemrana.
- XII. "BASR" shall mean the Board of Advanced Studies and Research of the Raffles University, Neemrana.
- XIII. "Research Scholar" shall mean a person registered for the PhD degree programme.
- XIV. "Supervisor" shall mean a fulltime faculty member of the University.
- XV. "University" shall mean the Raffles University, Neemrana.
- XVI. 'RURET' means the Raffles University Research Entrance Test conducted by Raffles University, Neemrana

**1. Ph.D. Programme Notification and application for Admission:**

- a. University shall identify the broad areas/ sub areas for research depending upon availability of experts of experts in the University and the same shall be displayed on the website. This shall be updated from time to time.
- b. The university shall decide, on a half yearly basis, the maximum number of Candidates to be admitted to the programme, which shall be announced in advance on the university website and also through advertisement in newspapers.
- c. There shall be two sessions for selection/admission of research scholars in an academic year:

<b>Advertisement of Vacant Seats</b>	<b>Session</b>	<b>Month for selection/provisional Registration</b>
Nov- Dec	January-June	January
May-June	July-December	July

- d. Programme Notification in newspaper shall be issued by Research Director in consultation with registrar subject to the approval of President.
- e. Admission to the Ph.D. programme shall be made twice a year, preferably in the beginning of each semester All the available seats, subject wise distribution of available seats, criteria for admission, procedure for admission, examination Centre (s) where entrance test shall be conducted and all other relevant information shall be notified by the University, in advance.
- f. The application for admission shall be submitted in the office of Research Director in the prescribed form along with fees and relevant documents on or before the last date of application as per issued notification.
- g. The cost of prospectus paid for the Entrance Exam is non-refundable.
- h. Applicant shall be informed by e-mail that application form received in the office of Research Director is eligible to appear in the Entrance Exam as per norms.
- i. Applicants shall be informed by e-mail/Post and subsequently schedule of Examination shall be uploaded on the website also. The admit card for entrance test shall be distributed 07 days prior from the date of Entrance test (RU-RET).

## **2. Admission to Ph.D. Programme:**

- a. The student intake in each, school shall be as per the availability of seats.
- b. All the available seats shall be notified 'category-wise subject/ field of Research' by the University, in advance.
- c. Reservation of seats shall be notified in accordance with the latest guidelines, amended from time to time by Govt. of Rajasthan and UGC.
- d. The University reserves the right to alter the schedule of examination, admission, fee structure, and financial incentives to candidates, if considered necessary.
- e. Eligible candidates shall be informed through, website, email and notice board, for which candidates are advised to visit the University website [www.rafflesuniversity.edu.in](http://www.rafflesuniversity.edu.in) regularly.
- f. Any issue concerning procedure or interpretation of the provisions contained shall be governed by the guidelines issued by the University in accordance with statutory & UGC Existing guidelines.

## **3. Eligibility:**

A candidate shall be eligible for admission to the Ph.D. programme, if he/she possesses:

- 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's 7-point scale (or an equivalent grade in a point scale wherever the 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 the candidates 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 the grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible only on the basis of the qualifying marks without including the grace mark procedures.
- c. Candidates possessing a Degree considered equivalent to M. Phil Degree of an Indian institution from a Foreign Education 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 standard of educational institutions, shall be eligible for submission to Ph.D. programme.

- d. The candidates who have qualified the UGC/CSIR-JRF/GATE/NET/SLET, or Teacher Fellowship-holders or have passed M. Phil. programme with course work recognized by the U.G.C., as per the UGC Regulations (Minimum Standards and Procedure for award of M.Phil. /Ph.D. Degree, 2016), shall be exempted from appearing in the written test but compulsory to appear before SRC for interview/ Admission Counselling for the admission.
- e. Candidates for full time research programme shall preferably be permitted having sponsorship/ assistantship /fellowship /any financial support from University / State or national level agency, etc. however, candidates without any financial support as above, shall not be disqualified to take admission to full time Ph.D. programme.
- f. Permission of the employer in writing to the candidate, to pursue Ph.D. programme along with his /her regular duties in the organization he/she is employed.
- g. Certificate issued by the employer to allow him/her to fulfill the residential requirement during course work and contact days with supervisor after completion of the course work as notified by University from time to time.

#### 4. Duration of Ph.D. Programme:

- a. The duration of Ph.D. programme including course work for the two categories of scholars is as under

S. No.	Type	Minimum (Years)	Maximum (Years)
1	Full-Time Scholars	3	6
2	Part-Time Scholars	4	6

- b. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for the 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 the Ph.D. programme for up to 240 days.
- c. In case of exceptional circumstances like, but not limited to, illness/hospitalization, etc. the Vice-Chancellor may grant extension initially for a period of six months, but not exceeding a total of one year, in addition to the maximum duration of the programme.

#### 5. Procedure for Admission

##### Entrance Examination:

- a. The admission to the Ph.D. shall be made through Entrance test herein referred to as **Raffles University Research Eligibility Test (RU-RET)**.
- b. Entrance test in Ph.D., programme shall be conducted twice in an Academic year (Probable in month of January or February and July or August).
- c. The test shall consist of 2 papers followed by Interview, detail is as below:

Examination	Weightage
I. General Paper on Research Methodology & Research Aptitude (Paper -I), this paper will contain 50 % multiple choice questions and each question shall follow equal marks.	70%
II. Subject specific (Paper-II), this paper will contain 50 % multiple choice questions and each question shall follow equal marks.	
III. Performance in Interview	30%

- d. There will be no negative Marking in both papers.
- e. Fee for Entrance Exam shall in no case be refunded.
- f. The University shall conduct an Entrance Test '**Raffles University Research Entrance Test (RURET)**' with qualifying marks as 50% in aggregate. The syllabus for the Entrance Test shall consist of: (a). research methodology & research Aptitude (50%) and (b). subject-specific (50%). The Entrance Test shall be conducted at the Centre(s) notified in advance by the University
- g. A temporary examination number will be issued for Entrance Test and course work to the student by Research Director in following manner:

17	Session	PHD	001
Last two digit of the Admission Year	1 or 2 1 for July to Dec Session 2 for January to June Session	Course name i.e., PHD	Serial Number in ascending order (i.e 001)

- h. The University shall determine the number of centers for conducting RU-RET (Raffles University Eligibility Test).
- i. Entrance test shall be conducted under the supervision of Controller of Examinations in consultation with President of Raffles University, Neemrana.
- j. Online facility for RU-RET (Raffles University Research Eligibility Test) shall be available for foreign students and NRI's on request.
- k. The medium of entrance test shall be English only, except in the test for language other than English.
- l. There shall be no re-valuation /re-checking /re-assessment of answer sheets.
- m. If a dispute or controversy of any kind arises before, during or after conduct of the entrance test, the decision of President, in all such cases, shall be final.
- n. The result of Entrance test must be declared by COE within 20 days from the Date of Entrance test in consultation with Research Director subject to the approval of President. COE shall publish the Entrance result and also shall be put on the university website for applicants & letter to be issued to the qualified candidates.
- o. The candidates who have qualified UGC/CSIR-JRF/NET/SLET/GATE, or are Teacher Fellowship holders, or have passed the M. Phil. programme with course work recognized by the U.G.C., as per the UGC Regulations

(Minimum Standards and Procedure for award of M.Phil./Ph.D. Degree, 2016), shall be exempted from the written test, however they will appear before school research committee for interview as per notification issued by Research Director.

- p. The syllabus of Entrance test shall be followed by the syllabus of UGC-NET/UGC CBSE/UGC-CSIR Entrance test time to time.
- q. A relaxation of 5% of Marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST / OBC (Non-creamy layer) / differently abled category in the entrance examination.

**(As per First Amendment)**

**If seats remain unfilled for above categories, university shall announce special entrance exams within one month from the date of closure of admissions of General category.**

#### **6. Interview and Selection of Students for Admission.**

- a. **Composition of School Research Advisory & Interview Committee (SRAIC):** In each school there shall be a School Research Advisory & Interview Committee (SRAIC). School Research Advisory & Interview Committee consisting of the following:
  - i. Dean/ Principal/HOD of the Faculty: Chairman (Ex-Officio)
  - ii. Faculty members of the department / School according to seniority
  - iii. One faculty member to be nominated by the President;
  - iv. Director Research/ Research Coordinator
  - v. COE as member secretary
- b. All eligible candidates who have qualified in the entrance test and those exempted from, shall be required to present and discuss their research interest at an interview before Research Advisory & Interview Committee (SRAIC) of concerned school.
- c. SRAIC meeting (interview/ Admission) shall be held within 20 days from the date of entrance result.
- d. Looking to availability of seats in the respective school for admission in Ph.D. programme shall be made in the following order of preference.
  - i. First preference to those who have qualified UGC-NET/ UGC-JRF/ CSIR NET /SLET/GATE examination or have passed M.Phil. programme as per UGC Regulations.
  - ii. Second preference to those candidates who secure their merit of in the RU-RET conducted by the Raffles University, Neemrana.
- e. Respective School Research Advisory & Interview Committee (SRAIC) for interview shall conduct the interview /Viva –voce of qualifying applicant and also consider the following aspects viz whether
  - i. The candidate possesses the competence for the proposed research.
  - ii. The research work can be suitable undertaken at the University.
  - iii. The proposed area of research can contribute to new/additional knowledge.
  - iv. Verification of his research eligibility (Academic qualification).

- f. The admission shall be based on the performance of the qualified candidates in the interview/viva-voce to be organized by the school concerned where the candidates shall be required to discuss their research interest/area (Short Note on Research Interest) through a presentation before a duly constituted School Research Advisory & Interview Committee (SRAIC) & result of qualified candidate in the interview shall be announced accordingly.
- g. An admission Letter shall be issued to qualified student based on the performance in the interview/viva-voce by the Research Director, further the registration in Ph.D. shall be considered from the date of issue of admission letter subject to successful completion of Course work with minimum GGPA 5.5.
- h. Selection of a candidates shall be based on following criteria (As **per Second Amendment**)

Entrance Test Weightage	Performance in the Interview weightage
70%	30 %

- i. Absent candidate from the interview meeting, shall be treated as admission cancelled. No further chance shall be provided in future. However, they can apply for Entrance test in future also.
- j. All the records of admission and progress of research work done by the student shall be maintained both by the respective School Research Advisory & Interview Committee (SRAIC), Director Research.

## 7. Admission Policy

Following documents are required to provisionally register in Ph.D. course in Raffles University, Neemrana.

- a. An Admission register shall be maintained in the Research Cell to keep the information of Research Scholars viz: name, father name, admission date, date of birth, full time /part time, field of study, name of school, session and address.
- b. University shall adhere to the State Reservation Policy.
- c. Qualified candidates, maximum twice the number of seats, shall be called for interview /viva-voce before the departmental Research committee to discuss their research interest /area and give a presentation on the same.
- d. Admission number will be issued to the respective research Scholar by Research Director in following manner:

17	Session	001
Last two digit of the Academic Session i.e., 2019-2020	1 or 2 1 for July to Dec Session 2 for Jan to June Session	Serial Number in ascending order (i.e 001)

- e. All admissions shall be final subject to the approval of SRC of respective Schools.
- f. University shall maintain the list of all Ph.D. Registered Students on university website on year wise basis.

- g. A student seeking registration to Ph.D. course shall apply on a prescribed form. The registration form, duly filled in by the student in his own hand and with a passport-size photo affixed on it along with Xerox copies of the documents listed below, must be submitted to the Research Cell of the University
- i. 10<sup>th</sup> Mark Sheet and Certificate. (Self-attested Photo Copy)
  - ii. 12<sup>th</sup> Mark sheet & Certificate (Self-attested Photo Copy)
  - iii. All Mark sheets of graduation & Degree /Provisional Degree Certificate (Self-attested Photo Copy)
  - iv. All PG Mark sheet & Degree/Provisional Degree Certificate (Self-attested Photo Copy)
  - v. Xerox copy of UGC NET / CSIR (NET) / SLET/ M.Phil. (Self-attested Photo Copy) (if applicable)
  - vi. Original Copy of Migration Certificate
  - vii. Original Copy of Character Certificate
  - viii. Original copy of Gap Certificate on 10 Rs. Stamp Paper with Notary Certified (if required)
  - ix. An affidavit (Rs.10) that you are not enrolled in any other University/institutions for Ph.D. or any other courses & will fulfill all essential requirements for registration in Ph.D. otherwise your admission shall be stand cancelled automatically. (In original)
  - x. Domicile Certificate (Self-attested Photo Copy)
  - xi. Caste Certificate (if applicable) (Self-attested Photo Copy)
  - xii. Original copy of No objection Certificate from employer (If employed) **OR Give** undertaking that you are not working anywhere.
  - xiii. Equivalency Certificate from AIU (if applicable)
  - xiv. Copy of Aadhar Card (Self-attested Photo Copy)
  - xv. Voter ID /Driving License / Passport/ PAN Card (Any Two) (Self-attested Photo Copy)
  - xvi. Four Colour Photos
  - xvii. Admission Fee
  - xviii. Certificate of Name Change (if applicable) (Self-attested Photo Copy)

#### 8. Course Work:

- a. Course work shall be organized by respective Dean / Principal/ HOD of the Schools of Raffles University.
- b. Course work syllabus shall be designed by respective schools subject to approval of SRC of respective schools
- c. There shall be a compulsory Course Work of minimum one-semester (six month) duration as a pre-requisite for the confirmation of registration of research scholar admitted provisionally. The course work shall consist of one Course on research methodology and specific course related to core area of research every such pre-requisite course shall carry 4 credits.
- d. Course work classes notification shall be issued by the concerned Dean of respective school within 30 days after the interview of research Scholar who found eligible for Ph.D.
- e. Course Work Exam roll number will be issued to the respective research Scholar by Research Director in following manner:



17	Particular	Session	1
Last two digit of the Year of Examination	CWE (i.e.) Course work Exam)	1 or 2 1 for Jan to June Session 2 for July to Dec Session	Serial Number in ascending order

- f. No student shall be allowed to register for the Course Work those who fail to present before SRC committee for interview.
- g. The university examine only those students whose attendance is 75% or more during the course work, however, on the basis of satisfactory and reasonable ground 10% attendance rebate may be given by the President on receiving written recommendation of the Dean of concerned School.
- h. As per norms 75 % attendance in the course work is mandatory, failing which student will not be allowed to attend the course work exam. However, they may be allowed to attend the course work classes in next session. Attendee in previous course work cannot be merged.
- i. Duration of course work shall be maximum up to 6 months. This duration shall be counted in completion of research work. In case a candidate fails in course work examination fully / partially, he shall be allowed to reappear in the next course work examination conducted by the university on deposition of prescribed fee / registration fee as per rules. However, attendance shall not be compulsory for reappearing in the course work examination. The course work examination shall normally be conducted twice a year.
- j. If a candidate fails to clear course work examination in two attempts, his/her admission shall be treated as cancelled.
- k. Those who have already completed the course work in M.Phil. programme with the required CGPA score, and have been permitted to proceed to the Ph.D. programme. The candidates who have passed M.Phil. Degree with Course Work as per the UGC Regulations (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degree, 2016), shall be exempted from the requirements of Course Work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the school.
- l. The syllabus for ‘Course- I’ –Research Methodology (including quantitative methods and computer applications. Where relevant) and Paper-IV (Research & Publication Ethics), which shall be common to all research students in Raffles University, whereas that for ‘Course 2’ –Special Course related to the core area of research and for ‘Course 3’ ‘course on the specific research proposal including a review of relevant literature’ shall be prepared by the School Research Committee concerned.
- m. Evaluation in respect of course 1, 2 and 4 shall be carried out by the teachers offering the courses and that of course 3 by the concerned specialist faculty.
- n. Marks awarded to the research student for continuous and end-semester evaluations in respect of all the three courses shall be communicated by the respective teachers /research Guide to the Dean of respective school.
- o. The course structure of Ph.D. Course work for a semester shall be as follows:

<b>Course work Scheme for Ph.D. Programme in Raffles University</b>								
<b>Six Month (One Semester)</b>								
Code	Title of the Course	Contact Hours/ week	Credits	Examinations Scheme				
				Internal Assessment (Assignment/ Project)	End Semester Exam	Seminar Presentation (Based on Review of Literature)	Total	
PHD-101	Course 1: Research Methodology (Including quantitative methods and computer application, where relevant)	4	4	40	60	....	100	
PHD-102	Course 2: Special Course related to the Core area of Research	4	4	40	60	...	100	
PHD-103	Course 3: Course on the Specific Research Proposal including a review of Literature	4	4	40	...	60	100	
PHD-104	Research & Publication Ethics	2	2	40	60	-	100	
Total		14	14	120	180	40	60	400

1 credit –One Hour lecture/ tutorial in one week.

$$\text{Every CGPA (Si)} = \frac{\sum (C_i \times G_i)}{\sum C_i}$$

Where  $C_i$  is the number of credits of the  $i$ th course,  $G_i$  is the grade-point scored by the student in the  $i$ th course and the summation is over all the courses being considered in that semester.

The University shall adopt the 10-point Grading System, with the Letter Grades and based on marks obtained at the evaluations as indicated above, grade may be awarded as below:

<b>Letter Grade</b>	<b>Grade Point (SGPA/CGPA)</b>	<b>Range of Grade Point (SGPA/ CGPA)</b>	<b>Class Interval (in %)</b>
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O (Outstanding)	10	Above 9 to 10	Above 90 and $\leq$ 100
A+ (Excellent)	9	Above 8 to 9	Above 80 and $\leq$ 90
A (very Good)	8	Above 7 to 8	Above 70 and $\leq$ 80
B+ (Good)	7	Above 6 to 7	Above 60 and $\leq$ 70
B (Above Average)	6	5.5 to 6	55 to 60
F (Fail)	0		<55
Ab (Absent)	0		Absent

**Note:**

- i. F= Fail, and the students graded with 'F' in a programme or course.
  - ii. The minimum qualifying marks for a course or programme shall be 55% or CGPA of 5.5.
  - iii. The students shall have to qualify the Internal Assessment and the End-Semester examinations in the aggregate.
  - iv. The CGPA obtained by a student shall be out of the maximum of 10 points.
- p. A student for whom pre-requisite courses are prescribed shall be required to clear the Course Work within the first semester. The registration of such students shall be confirmed only if he/she has qualified minimum 14 credits with a minimum CGPA of the Course Work Syllabus.
  - q. There shall be 60% weightage for the End-semester examinations and 40% weightage shall be given as internal assessment on the basis of assignments/presentations/ projects/ case study and other research-based activities during the semester.
  - r. Research student has to fill the course work examination form as per notification issued by Controller of Examinations & must be submitted in the office of COE duly signed by Dean of respective schools.
  - s. The candidates failing to obtain a minimum CGPA of 5.5 may be allowed to continue with provisional admission for a maximum period of one more semester during which the candidate would be required to fulfill the minimum required CGPA. She/he shall be allowed to reappear in the next end-semester examination. No further chance will be given to the candidate.
  - t. The Controller of Examinations shall scrutinize the grades awarded to the research students in each course and finalize the result. Every research student who secures a minimum weightage as per norms in all the four courses shall be deemed to have successfully completed the Ph.D. Course work.
  - u. Course work examination shall be controlled and supervised by Controller of Examinations in consultation with Dean of respective School & Research Director subject to approval of Hon'ble President.
  - v. If research student is unable to secure the required minimum grade weightage as per norms in all the four-course maximum a period of 2 semester from the date of her/his provisional registration shall be cancelled automatically without any further notice.
  - w. Course work result shall be published by the Controller of Examinations on the website within 20 days from the last examination of course work.
  - x. Every research student who has successfully completed the Ph. D course work shall be issued a grade card specifying the grade obtained. The grade card shall be issued by the Controller of Examinations on the declaration of course work

## **9. Composition of School Research Committee (SRC):**

In each subject there shall be a School Research Committee (SRC) as per the provision of Section -10(4) (i) of the University statutes. In each school of the University, academic matters related to the Ph.D. programme shall be supervised by a School Research Committee consisting of the following:

- i. Dean/ Principal of the Faculty: Chairman (Ex-Officio)
  - ii. One Associate Professor/ Assistant Professor by rotation according to seniority: (Ex-officio)
  - iii. One faculty member to be nominated by the President;
  - iv. Two External experts to be nominated by the President
  - v. Director Research as member secretary.
- a. The term of the members of the School Research Committee, except the ex-officio members, shall be for three years.
  - b. At least, 50% of the members shall be required to be present in the meeting to form the quorum, with the presence of the Chairman or his/her representative as mandatory.
  - b. Where no teacher in the school is eligible to be the Head, the Teacher-in-charge, if eligible to be Research (Ph.D.) Supervisor, shall convene the meetings of the SRC, failing which the members of the SRC may elect one of the members present at the meeting as the Chairperson of the Committee for the said meeting.
  - c. School Research Committee shall have the following responsibilities:
    - i. To review the research proposal and finalize the topic of research;
    - ii. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
    - iii. To periodically review and assist in the progress of the research work of the research scholar.
    - iv. A research scholar shall appear before the School Research Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
    - v. In case the progress of the research scholar is unsatisfactory, the School Research Committee shall record the reasons for the same and suggest corrective measures.

## **10. Submission of Synopsis:**

A research student proposing to submit the synopsis/proposal shall inform the University in advance, and such notice shall be accompanied by the following:

- a. 3 sets of printed Synopsis as per Performa attached.
- b. Soft copy of Synopsis in word/PDF format & PPT.
- c. Xerox copy of Pass certificate of Course work exam (in Original).
- d. Copy of Admission Letter (in original & Xerox)
- e. In case you wish to have a Co-Guide then you, may suggest the name of Co-Guide as per Rules & Regulations of Raffles University, Neemrana

## **11. Registration / Enrollment and Approval of Topic:**

- a. School Research Committee meeting shall be conducted within 30 days from the course work result for the students those who have completed their course work successfully as per norms.
- b. After completion of course work each research scholar shall submit his research proposal as approved by the allotted supervisor(s) to Head of the Department concerned for consideration of the SRC.
- c. The committee shall examine the research proposal and suggest suitable modification /alterations if any. The student shall incorporate suggested changes and resubmit the research proposal to the satisfaction of the committee members and it should be duly signed by Dean/ HOD, research Supervisor and internal committee members of SRC.
- d. Any amendment in synopsis suggested by SRC must be submitted within 20 days from the date of SRC in the office of Chairperson of SRC, otherwise synopsis of respective research Scholar may be rejected. However, candidate may appear before the SRC in next meeting for approval of Synopsis.
- e. After approval of the topic of research, the candidate shall deposit the prescribed fee as per fee structure schedule.
- f. Consequent upon confirmation of his/her Registration in the SRC, the topic of dissertation / Synopsis shall be approved by the School Research Committee on a proposal submitted by the student.
- g. Minutes of meeting of SRC meeting shall be placed before BASR for approval.
- h. A Registration letter shall be issued by Research Director to the successful research Scholar to consider the date approved by SRC within 30 days after the BASR meeting.
- i. The SRC/ BASR/ Academic Council may cancel the registration of a student for breach of the provisions as mentioned above.

**12. Revision of Topic /Area of Research:**

- a. A research student shall be eligible to apply for revision of the topic/area of research within one year from the date of approval of research topic and the SRC shall be competent to give assent to the request if it is recommended by the Research Supervisor, provided that such application shall be permitted only once during the research work.

**13. Zero Semester /Zero Year:**

- a. Provided further that a semester or year may be declared zero semester or Zero year, as the case may be, if a student could not continue with the academic year due to illness and hospitalization or any other satisfactory reason subject to approval of President & subject to the guidelines laid down in the regulations. Such zero semester /year shall not be counted for calculation of the duration of the programme for such a student.

**14. Fee for Ph. D. Programme:**

- a. The research scholar shall have to pay the requisite fee prescribed by the University from time to time.
- b. The fee may be charged under the heads like—Course Work fee, Registration Fee, tuition Fee, Evaluation fee and late fee for delayed payment of tuition fee and any other fees as prescribed by the University.

- c. The fees shall be subject to changes as decided by the University from time to time & implemented from forthcoming session.

## 15. Enrollment Policy

Following documents are required to register in Ph.D. course in Raffles University.

- a. A student seeking admission to Ph.D. course shall apply on a prescribed Enrollment form. The application form, duly filled in by the student in his own hand and with a passport-size photo affixed on it along with Xerox copies of the documents as per clause 7 of the ordinance.
- b. An enrollment register shall be maintained in the Research Cell to keep the information of Research Scholars viz: name, father name, registration date, approved topic, research supervisor, enrollment number, date of birth, full time /part time, field of study, name of school, session and address.
- c. Enrollment shall be issued to the student, following the alphabet rule.

### Enrollment Rules

Following procedure shall be followed to issue Enrollment Number to the Research Scholar

School Codes are as below

<b>School</b>	<b>Code</b>
i. School of Engineering & Technology	– 01 ET
ii. School of Law	--02 L
iii. Alabbar School of Management	--03 M
iv. School of Basic & Applied Science	--04 AS
v. School of Humanities & Social Sciences	- 05 HS
vi. School of Pharmacy	- 06 P
vii. School of Agricultural Sciences	- 07 A

Enrollment shall be in Eight to Nine digit

- viii. First two digits will represent the year of SRC for registration
- ix. Next three / four digit will represent the code of school
- x. Last three digit will represent the number of students in the course of respective school.

### For Example

Mr. Subodh Kumar is Research Scholar, who is pursuing his research in law for the Academic Year 2017.

Subodh Kumar- Enrollment will be as

<b>17</b>	<b>02L</b>	<b>001</b>
↓	↓	↓
Year	School Code	A number given to Student for his/her identity

## 16. Board of Advanced Studies & Research (BASR)

As per section 7 of statutes, there shall be a Board of Advanced Studies and Research. Hereinafter referred to as the BASR, of the University which shall consist of the following members; ‘

- i. The President;
  - ii. Pro-President
  - iii. Deans of Faculties; and
  - iv. Teachers/experts from outside the University subject to a maximum of five, nominated by the President as members for a maximum period of two years at a time.
- a. The BASR shall meet at least once in each Semester. It may lay down its own rules of procedure for its meetings, including rules for participation of special invitees without a right to vote.
  - b. At least, 50% of the members shall be required to be present in the meeting to form the quorum, with the presence of the Chairman or his/her representative as mandatory.
  - b. The President shall preside over the meetings of the BASR. In the absence of the President, the Pro-President /Dean Academic affair, shall preside.
  - c. The BASR shall regulate and oversee the
    - i. Formulation and conduct of all Post Graduate, Doctoral and Post-Doctoral instruction and all research programmes of the University, in accordance with the directions of the Academic Council.
    - ii. The BASR shall consider and may approve recommendations of the School of Research Committee and Boards of Studies of Schools SRC on all research related matters.
    - iii. The BASR shall formulate procedure for consideration and approval of proposals for registration for Ph. D. and other doctoral degrees, and for all other matters concerning the supervision and evaluation of research work under such post-graduate and doctoral programmes, and recommend them to the Academic Council.
    - iv. The BASR may authorize the President to act on recommendations made by examiners on dissertations and Ph. D. thesis, in accordance with the procedure laid down in this behalf by relevant Ordinances or Regulations.
    - v. The BASR may recommend to the Academic Council criteria for formulation and execution of research proposals by teachers and/or scholars attached to the University.

- vi. The BASR shall submit its periodic reports to the Academic Council.
- vii. The BASR may make recommendations to the Academic Council on all matters within its scope of its functions.

### **17. Procedure for recognition as Research Guide**

- a. Any person coming under the purview of clause (18) seeking recognition as a research guide of this university shall submit as application on a prescribed, supported by copies of his resume and published research papers, to the Dean of the school concerned.
- b. The Dean of the School shall examine the application and shall submit the same along with his recommendations to the President routed through the Research Director for an appropriate decision as per UGC norms.

### **18. Research Supervisor / Co-Supervisor / Joint Supervisor:**

- a. Research Cell shall prepare a comprehensive list of eligible supervisors with their areas of expertise. This list shall be displayed on university website.
- b. The School Board/BOS, on the recommendation of the SRC, may appoint any regular Professor of the University with at least five research publications in refereed journals approved by UGC, and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals as per norms, as a Research Supervisor.
- c. Only a full-time regular teacher of the University can act as a supervisor. No external supervisor is allowed. However, a Co-Supervisor can be allowed in inter-disciplinary areas from the same/other School(s) of the same institute or from any other related institution, with the approval of the School Research Committee.
- d. In the case of the topics which are of inter-disciplinary nature, where the school concerned feels that the expertise in the school has to be supplemented from outside, the S.R.C. may appoint a Research Supervisor from the School itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the School/ School/Institution, on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
- e. The allocation of Research Supervisor for a selected research scholar shall be decided by the SRC, 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.
- f. In case of topic that is of inter-disciplinary nature where the department concerned feels that the expertise in the department has to be supplemented from outside, Department may appoint a joint research supervisor form outside the department / faculty /college /institution.



- g. No person shall be allowed to supervise one's close relations. The term close relation includes spouse, children, sister, brother, grandchildren, nephew, niece, grandniece, grandnephew, uncle, aunt, first cousin, son-in-law, daughter-in-law and nephew, niece, grand niece and nephew of supervisor's wife.
- h. The details of filled and vacant seats with each supervisor shall also be uploaded on the university website.
- i. In the event of the temporary absence of a research guide due to inevitable reasons, the co- guide shall perform all responsibilities of the Research Guide.
- j. A Research Supervisor/Co-supervisor who is a professor, at any given point of time, cannot guide more than eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars; and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars, including candidates already working under him/her at a previous institution, as the case may be, provided that students who have submitted their thesis shall not be counted for reckoning this number.
- k. The research students under co-guidance shall be counted as 0.5 for each research guide for the purpose of determining clause-18 (f).
- l. In case of relocation of a female Ph.D. scholar due to her 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 are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the institution for the part of research already done in confirming with UGC guideline.

### **19. Retirement / leaving // resignation/ transfer of Research Guide**

- a. Research guides of the University Schools may continue to supervise the work of research students already registered with them until their superannuation. Teachers who have less than two years of service remaining shall not enroll fresh Ph.D. candidates under their guidance.
- b. Recognized research guides of the University working in SRC shall not be eligible to guide research students after their retirement, transfer outside of the state of Rajasthan or after taking up employment with another institution (outside Rajasthan), provided however that research student already registered under them may be allowed to continue under his/her guidance.
- c. Provided that in case of a supervisor is transferring /leaving the institution can guide the research scholar by giving his/ her written consent subject to approval of President.
- d. However, in such cases where a teacher is transferring /retiring or leaving and where redistribution/reallocation of the Ph.D. students (minimum period of six months from the date of registration) is required for the above mentioned or any other reason, the Ph. D. students shall be adjusted among the eligible existing teachers of the school by relaxing the norms by the School Research Committee (SRC). However, in such cases where the teacher is retiring (two

years or less of service is remaining) appointment of a Co-supervisor on the recommendations of the SRC at the time of registration may be done.

- e. Provided further that in case a supervisor, under whose guidance a thesis has been prepared in part or in full, ceases to be a teacher of the University, he/she may, subject to his/her availability and recommendation of the School Research Committee, be allowed to continue guiding the scholar by the School Board and/or Board of Studies as Co-Supervisor of the student concerned school.

## **20. Research Guide under more than one School**

- a. A person is eligible to be recognized as a research guide of more than one School of the University provided that it shall not exceed three Schools and the limit set in the number of Ph.D. candidates per UGC guidelines.

## **21. Change of Research Guide**

- a. The SRC shall have the power to consider the request of research student for change of research guide provided that the request is supported by the present and the proposed research guide and is recommended by the respective SRC.
- b. However, such requests for change of Research guide shall be made at least six months prior to the candidates notice for submission of the thesis, provided however that this limitation shall not be applicable in the cases where the present research guide is unable to continue supervision due to reasons of ill-health, shifting of place of work /residence to a distant place, death etc.

## **22. Attendance Leave:**

- a. Every Research Guide shall maintain an attendance register for all research Students registered under her/him. It shall be the responsibility of the Guide to provide evidence of attendance by a research student when required. Dean of the School shall ensure that there is no lapse on this account.
- b. A research student shall be entitled to attend conferences/ seminars connected with her/his area of research of undertake field-trips, research cruises or visits to other places for collecting samples data, etc. if s/he has been duly permitted to do so.
- c. Research Student shall be eligible to avail of leave for thirty days in one calendar year and maternity/paternity leave as per rules, along with leave without fellowship for three months on medical grounds or for any other genuine reason with the consent of the Research Guide.
- d. Research student shall be required to have a minimum of 60 days attendance. Even with breaks in a calendar year in the University School concerned. However, the teacher and staff member who enrolled in Ph.D. may be relaxed from above condition subject to approval of President.
- e. In cases not provided for herein, the Vice-Chancellor shall take appropriate decisions where necessary.

## **23. Performance Monitoring of Research Work (Progress Report)**

- a. **Composition of School Research Advisory Committee (SRAC) :** In each subject there shall be a School Research Advisor Committee (SRAC) which look and evaluate progress report of registered research scholars . School Research Advisory Committee consisting of the following:

- i. Dean/ Principal/HOD of the Faculty: Chairman (Ex-Officio)
- ii. Faculty members of the department / School according to seniority
- iii. Director Research/ Research Coordinator
- iv. COE as member secretary

The SRAC shall evaluate and send the evaluation report in the prescribed form to the SRAC chairperson for appraisal with anyone of the following recommendations,

- Allowed for next semester and continue Research
- Allowed to continue research work but with suggestions for improvement
- Advised to discontinue as the performance is very poor. In that case the matter shall be referred to President and the BASR for final decision

- b. Every student shall submit a progress report to the Research Guide at the end of every semester and this shall be discussed by the School Research Advisory Committee to assess whether the student is making satisfactory progress or not.
- c. The student shall maintain Research Dairy (Pink Dairy) and regularly place before Research Supervisor/ Dean / HOD/ Director Research / SRAC/ BASR Academic Council for the progress of research work during the tenure.
- d. Every research scholar shall be required to show continuous progress during the period of his/her registration and it shall be monitored by the supervisor of the candidate.
- e. Every research scholar shall be required to submit half-yearly report regularly.
- f. The supervisor of the research scholar shall give his/her assessment about the progress of the scholar as whether satisfactory or not. The Report shall be placed before the School Research Committee for its evaluation in its forthcoming meeting.
- g. In case four consecutive half-yearly reports are found unsatisfactory, Head of the School, on the recommendations of the School Research Advisory Committee (SRAC) may recommend for cancellation of the enrollment/ registration.
- h. In case of non-submission of two consecutive half-yearly reports to the Research Cell, Head of the School, on the recommendations of the School Research Advisory Committee (SRAC) may recommend for cancellation of the enrollment/ registration.

#### **24. Participation in Conference /Seminars**

- a. Research Scholar will participate/publish at least two research paper presentation in the conference /seminars connected with the area of research

and certificate must be in the name of Research Scholar and supervisor. The candidate shall duty notify the university about seminar / conference,

**25. Publications / presentation of Research paper in Journal:**

- a. Every research scholar shall be required to publish at least two research papers in a referred journal approved by UGC as first author and Supervisor will be Second author. A copy of the published paper along with certificate shall be submitted at the time of giving notice for submission of the thesis, supervising teachers should certify that the paper published is in a refereed journal.

**26. Guidelines for the Submission of Thesis:**

- a. No candidate shall be permitted to submit his/her thesis for the Ph.D. degree, unless he/she has pursued research at the University for not less than three / four years after his/her admission to the Ph.D. programme as per clause 4 (a).
- b. The Ph.D. scholars must publish at least two research papers in a refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for evaluation, and produce the evidence of the same in the form of a presentation certificate and/or reprint.

**c. Pre-Thesis Submission Presentation/ Seminar (Pre-Ph.D. Presentation/ Seminar):**

- i. **Composition of School Research Committee (Internal) (SRC):** In each subject there shall be a School Research Committee (SRC) which look and evaluate progress report of registered research scholars. School Research Committee consisting of the following:

1. Dean/ Principal/HOD of the Faculty: Chairman (Ex-Officio)
2. Faculty members of the department / School according to seniority
3. Two Senior Faculty members nominated by President
4. Director Research/ Research Coordinator
5. COE as member secretary

SRC shall assess the work through a pre- thesis submission seminar. The Research Scholar can submit the Thesis only if the SRC is satisfied about the qualify of the work for submission as a PhD thesis. The SRC Chairperson shall forward recommendations to the Research Cell and President for approval.

- ii. Prior to the submission of thesis, the student shall present a pre-thesis submission seminar in the school that shall be open to all faculty members and research students, for getting feedback and comments, which shall be suitably incorporated into the draft thesis under the advice of the supervisor. The notice of Pre-thesis Submission Seminar shall be issued by the Dean/Director Research/ COE subject to approval of President

- iii. Research Scholar is required to submit the application signed by the Supervisor in the office for approval of Pre- Ph.D. Presentation from Dean.
- iv. Notice of Pre-submission is required to be put up on the Department website and notice board at least 7 days before the pre-Presentation seminar.
- v. Attendance sheet needs to be submitted in the office and student shall keep one copy of attendance with self for record.
- vi. The pre-Submission would have held in the school under the presence of respective supervisor.
- vii. On successful presentation of the Pre-Thesis Submission Seminar, the research scholar is required to submit the thesis within two / three months with modifications/corrections (if any) from the date of pre-submission presentation, failing which he/she shall have to repeat the pre-submission seminar.
- viii. The Ph.D. scholar shall submit six copies of the thesis in hard binding & in the form of Pen drive to the library for plagiarism check and he/she shall be eligible for submission on production of satisfactory report of the plagiarism check from an approved academic organization.
  1. Guidelines for Plagiarism Check The following guidelines must be adhered to for submitting the Plagiarism reports generated by URKUND software s at the time of Ph.D. thesis submission:
    - a. The Ph.D. thesis must undergo a Plagiarism Check by either URKUND software.
    - b. The exclusion at the time of performing the check should be limited to the following:
      - i. Quotes
      - ii. Bibliography / Reference
      - iii. Acknowledgement /declaration page/certification
      - iv. Phrases (in Inverted Commas)
      - v. Small matches up to 5 words
      - vi. Small similarity less than 1%
      - vii. Mathematical Formula
      - viii. Name of Institutions, Departments etc.
    - c. Regarding Self Plagiarism or cases where published work of the student is shown as Plagiarism in the check, a certificate (Plagiarism Self Exclusion Certificate, attached) has to be issued by the Supervisor specifying and attaching the articles that have been published by the student from thesis work. Only these articles should be excluded from the check. No other article of the Supervisor or the student should be excluded from the check. This will be for reference of the library which will perform the final check.
    - d. The final Plagiarism check from the library is essential so that the correct report is submitted at the time of thesis submission.

- e. The Research Cell /VKG Memorial Library will issue the final certificate of Plagiarism Check called the Plagiarism Verification Certificate, certifying and authenticating the check performed by the student/Department. Copy of certificate has to be submitted to the Exam Branch at the time of submission of the thesis.
  - f. Plagiarism level in the thesis shall be allowed as mentioned in **Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018**
- ix. A candidate shall submit his/her thesis for the Ph.D. degree in the manner.
  - x. Checklist for Pre-Submission Seminar on Ph.D. Thesis
  - xi. Completion of the research work and preparation of thesis duly checked and certified by your supervisor(s) following the guidelines for preparing the draft thesis.
  - xii. Preparation of presentation for approximately 30 to 35 minutes using Power Point. The presentation must cover the following...
    - 1. Objectives and Scope of the Study
    - 2. Literature review (briefly 2-3 slides only)
    - 3. Identification of the research gaps based on literature review
    - 4. Problem Formulation
    - 5. Research Methodology
    - 6. Experimentation/ Data Collection/Analysis
    - 7. Results and discussion
    - 8. General Conclusions
    - 9. Specific Conclusions /Contributions of the research
    - 10. Further Scope of Research
    - 11. Clearing of dues till date of the seminar
    - 12. Noting the corrections/suggestions, if any, for necessary action during pre-submission seminar

**d. Submission of Dissertation/ Thesis:**

- i. After pre-submission student is required to submit the thesis within 90 days of pre- submission held.
- ii. Student is required to have 6 copies of thesis signed by the supervisor and Dean of respective Dean. Out of 6 copies, 2 copies shall be submitted at COE, one copy to library and one will be given to the supervisor (s) and one will be kept in Research Cell after viva-voce. Student shall keep one signed copy with self.
- iii. Language of the thesis shall be in English only.
- iv. In cases of Ph.D in any language, thesis may be submitted in that particular language
- v. List of documents to be attached along with copies of thesis:

1. Synopsis
  2. Provisional Admission Letter
  3. Registration letter
  4. Course work mark sheet
  5. Acceptance letter or certificate of research paper published in a referred journal approved by UGC. (To be find with Thesis)
  6. Copy of certificate of two seminars or conferences
  7. Copy of Plagiarism certificate Separately
  8. Plagiarism report (Complete Report)
  9. Synopsis should be uploaded on Shodhgangotri web portal
  10. Soft copy of Thesis in Pen Drive only.
- vi. List of documents to be attached in the scholar's personal files:
1. Application for submission signed by the supervisor (s), Dean and Director Research.
  2. Pre-Ph. D presentation Notice
  3. Pre- Ph.D. presentation attendance
  4. Certificate of originality
  5. Certificate of thesis formatting checked by the library
  6. Supervisor's certificate for exclusion of self-published work
  7. Acceptance letter or certificate of research paper published in a referred journal approved by UGC. (To be find with Thesis)
  8. Registration letter
  9. All Six-monthly progress reports
  10. No dues certificate from Account cell.
  11. Copy of two Publication along with copy of certificate of two seminar / conference (to be bind with thesis)
  12. Copy of Plagiarism certificate
  13. Soft copy of Thesis in Pen Drive only.
  14. One copy of Synopsis
  15. Photo copy of Course work mark sheet.

## **27. Submission and Evaluation of Thesis:**

- a. Two panels of examiners each consisting of four experts having long experience and good standing in the relevant field of the PhD work, will be proposed by the supervisor to the Dean/Director Research who on accepting the same shall get it approval by the President (Vice-Chancellor).
- b. The first panel will have experts from within State and the second panel will have experts from outside the State/Country.
- c. The Vice-Chancellor will finalize the examiners, one from each panel, to whom the thesis will be sent for evaluation after obtaining their consent.
- d. The approved Examiners will be approached, along with copy of the synopsis and thesis seeking their consent.

- e. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may be from outside the State/Country.
- f. Thesis shall be sent to examiner with following documents
- i. Cover letter
  - ii. One copy of Synopsis
  - iii. Photo copy of Course work mark sheet
  - iv. Copy of two Publications in UGC Care listed Journals
  - v. Copy of certificate of two seminar / conferences
  - vi. Remuneration bill copy
  - vii. Consent letter
  - viii. 2 copies of Evaluation Sheet
  - ix. Copy of Plagiarism certificate
- x. The Colour of the cover of the thesis to be submitted in various faculties shall be as follows:
- |                               |            |
|-------------------------------|------------|
| 1. Law                        | = Maroon   |
| 2. Management                 | = Black    |
| 3. Engineering and Technology | = Sky Blue |
| 4. Basic & Applied Science    | = Blue     |
| 5. Humanities                 | = Red      |
| 6. Pharmacy                   | =Green     |
- xi. Thesis will be accompanied separately by a declaration from the candidate countersigned by the Supervisor and Dean of the Schools
- xii. The supervisor shall furnish a certificate indicating that the thesis contains substantial original work of the candidate.
- g. The Language of the thesis shall be English except for the thesis submitted in the area of languages such as Hindi, Sanskrit, Urdu, etc.
- h. A candidate shall not be allowed to re-submit his thesis more than once.
- i. Examiners shall examine the thesis individually with a view to judge whether the thesis is a piece of Research Work characterized by;
- i. Discovery of facts, and / or
  - ii. A fresh approach towards interpretation and application of facts or theories, and /or
  - iii. Distinct advancement in technology /Science/ techniques etc.
- j. The examiner shall be required to give his opinion about research scholar's capability for critical examination and sound judgement. All examiners shall submit the report on the prescribed format clearly indicating one of the following four definite recommendations;
- a The thesis is found suitable for Defence Viva-Voce without further examination or amendment.
  - b The thesis is found suitable for Viva-Voce, subject to inserting the corrections and / or additions / modifications suggested by me in the thesis.
  - c The thesis is not suitable for Defence Viva-Voce, but the candidate be asked to re-submit the thesis in a revised form for re-examination.



Areas requiring major modifications are detailed in my report.  
(Attached)

d The Thesis is rejected.

- k. Each Examiner, after examining the thesis, shall submit a report to the Controller of Examination (COE) containing a clear recommendation whether, in his/her opinion:
- i. The University shall take a decision on the basis of recommendations of the examiners according to Table given below:

SN	Recommendation of Examiners			Decision
	1 Supervisor	2 External Examiner Within the State	3 External Examiner Outside of the State	4
1	accept	accept	accept	“Thesis Accepted”
2	reject	reject	reject	“Thesis Rejected”
3	accept	accept	reject	“A”
4	accept	reject	reject	“B”
5	accept	revise	reject	“C”
6	accept	revise	revise	
7	revise	revise	revise	
8	revise	revise	reject	
9	accept	reject	reject	
10	revise	reject	reject	Thesis Rejected
11	accept	accept	revise	“C”

“A” If the thesis is recommended to be rejected by one of the three examiners, fourth examiner (from the same category as laid down in) shall be appointed from the approved panel of examiners. In case the fourth examiner, after evaluation, recommends

1. Rejected, the thesis would be rejected
2. Acceptance, the thesis would be accepted after the viva-voce is conducted.
3. Revision, the thesis would be suitably revised within a period of one year and resubmitted to the same examiner for revaluation, till acceptance/ rejection, and thereafter table as above shall apply accordingly,

“B” If the thesis is recommended to be rejected by two of the three examiners, the thesis shall not be accepted. However, the research scholar may be allowed to resubmit the thesis normally within one year, provided the title of the thesis remains unchanged then after normal procedure will be followed for the thesis evaluation.

“C” the thesis would be suitably revised, within a period of one year, for re-evaluation by the examiner(s) (who has or have recommended revision) till acceptance / rejection, and thereafter table as above shall apply accordingly.

- l. In case of ambiguous recommendations by the examiner, Dean/ Director Research will approach the examiner for a clear recommendation. In case clear recommendation is not forthcoming the matter may be referred to the President for his decision.
- m. Any doubt, arising out of following the procedure laid down, shall be referred to the President for the decision.

## **28. RESUBMISSION**

- a. In case of resubmission of the thesis, examination fee shall be paid again by the research scholar.
- b. In case of resubmission the thesis will be sent to the third examiner. If the third examiner recommends acceptance / rejection, the thesis will be accepted / rejected respectively. If he recommends revision, the scholar shall resubmit the revised thesis. The revised thesis will be sent to all the three examiners. If at least two examiners recommend acceptance, the thesis will be accepted else rejected.
- c. In case the Research Director finds that the external examiners of the thesis have not recommended unanimously that the viva-voce examination of the candidate be held, then the Research Director shall place the report of the examiners before the Vice Chancellor for directions.

Important:

- i. No thesis shall earn a degree unless there are three positive recommendations, including that of the Research Supervisor.

## **29. Panel of Examiners for Viva- Voce:**

- a. On the recommendation of the Supervisor, the SRC shall forward a panel of eight external examiners (at least four of the examiners in the panel shall be from outside the State/Country) from the concerned area of Research, to the Research Director on the prescribed proforma for drawing a panel of examiners. Further, the Vice-Chancellor (President) shall have the discretion to add and/or delete any name/s recommended by the SRC and approve the panel of examiners for thesis evaluation.
- b. University shall prepare an exhaustive panel of experts in various subject areas through the respective SRCs. The Panel so recommended shall include at least 50% of the examiners from outside the State.
- c. Copy of thesis shall be sent for evaluation to concerned supervisor and two external examiners subject to approval of President (Vice-Chancellor)

## **30. Viva Voce:**

- a. On satisfactory evaluation of the report the student shall undergo a viva voce, which shall be openly defended by the candidate.
- b. 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 includes a specific recommendation for conducting the viva-voce examination.
- c. The viva voce, based on, among other things, the critiques given in the evaluation report, shall be conducted by the COE and at least one of the two external examiners, subject to approval of President, and shall be open to be attended by the then Members of the Research Advisory Committee, all faculty members of the school, other research scholars and other interested experts/researchers.
- d. At the viva voce, the Viva Voce Board shall satisfy itself;
  - i. That the thesis submitted by the candidate is his/her own work, and
  - ii. That the grasp of the candidate on the field of his/her study is satisfactory.
- e. The Viva Voce Board may, on the basis of the unanimous opinion of its members, recommend:
  - i. That the candidate be awarded the Ph.D. degree or that the thesis is suitable/fit for publication in its present form;
  - ii. The thesis should be accepted with certain corrections, modifications and extensions approved by the Supervisor.
  - iii. That the thesis be referred back to the candidate for revision;
  - iv. That the thesis be rejected and the candidate may not be awarded the Ph.D. Degree.
- f. The manner in which the viva voce to be conducted shall be as prescribed.
- g. In case the Viva-Voce Board recommends that the candidate be awarded the Ph.D. degree, the School Research Committee shall recommend to the Vice Chancellor that the Ph.D. degree may be awarded to the candidate along with the Degree, the University shall issue a certificate stating that the degree has been awarded in accordance with the UGC (Minimum Standards and Procedure for Awards of M.Phil. /Ph.D. Degree) Regulation, 2016 (as amended from time to time).
- h. In case the viva-voce Board recommends that the thesis of the candidate be rejected, the Board of Studies shall direct accordingly.
- i. In case the recommendation of one member of the Viva-Voce Board is positive and of the other negative, the School Research Committee shall refer the case to the Board of Studies for its consideration and recommendation, and take a decision after considering such recommendation.
  - i. A candidate whose thesis has been referred back by the Viva-Voce Board for revision shall be permitted to re-submit it for the award of the degree not later than one year from the date of intimation of the decision of the University to him/her.

- ii. In exceptional cases, the Academic Council may, on the recommendations of the Board of Studies/School Board, extend the period by one semester.
- iii. A thesis which has been re-submitted shall normally be examined by the original examiner(s) unless any one of them is, or all of them are, unable or unwilling to act as such, in which case other examiner(s) may be appointed by the Vice Chancellor on the recommendation of Board of Studies.
- iv. No candidate shall be permitted to re-submit his/her thesis for the award of the Ph.D. degree more than once.

### **31. Depository of thesis in the University.**

- a. Following the successful completion of the evaluation process and after award of the Ph.D. degree, the University shall store an electronic copy of the Ph. D. thesis along with three copies of thesis (one for library, one for supervisor and one for office of Research cell for office record).
- b. Research Scholar personal Record file must be hard bind for office record with inserting page number on each page.

### **32. Depository in INFLEBET**

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

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

#### **Note:**

Notwithstanding what is contained in the Ordinance, the Academic Council or the Vice Chancellor may, in exceptional circumstances and on the recommendations of the Board of Studies/School Board, as well as on the merits of each individual case, consider, at its discretion and for the reasons to be recorded in writing, relaxation of any of the provisions except those related to CGPA requirements for qualifying the course work

### **33. Removal of the Name from the Rolls of the University:**

The name of a student shall be deemed to have been removed from the rolls of the University if he/she

- i. Fails to qualify any pre-requisite course work within the stipulated duration as per norms. (i.e., maximum two semester)

- ii. Fails to submit the four half-yearly reports consecutively
- iii. Fails to deposit the registration/tuition/thesis fee etc. within the stipulated time subject to approval of President.
- iv. Fails to submit his/her thesis within six years from the date of admission to the Ph.D. programme. Provided further that the Vice Chancellor may, on the recommendation of the SRC/BASR grant extension to the scholar to submit the thesis for a maximum period of one year.
- v. The BASR, on the recommendation of the School Research Committee, may, however, accept the request of a candidate whose name has been removed from the rolls of the University to get re-admitted and become eligible for submission of his/her thesis, provided he/she submits his/her thesis within one year from the date of such re-admission or within maximum seven years of the date of his/her admission, whichever is earlier.

**34. Transfer of Registration of Research students from another University:**

- a. Research Students working in other Universities, who were registered with research guide of this university, may be permitted to transfer their registration(s) to this University with the approval of the SRC concerned and the concurrence of the previous University, subject to clause provided that such research students had successfully completed their Ph.D. course work in the other University or are willing to do the course work in this university.

**35. Power to remove any difficulty and power to modify**

- a. If any differences of opinion develop between the student and the supervisor / guide at any time during the course of the PhD program then the President's decision shall be final and binding.
- b. Notwithstanding all that has been stated above, the President/ BASR has the right to modify any of the above regulation from time to time only with a valid reason for the betterment of the research scholar & reputation of the University.

Director Research  
Raffles University, Neemrana

President  
Raffles University, Neemrana