



PhD
REGULATIONS - 2013
&
GENERAL CODE OF CONDUCT

INDEX

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REVISED REGULATIONS FOR Ph.D BY RESEARCH PROGRAMMES 2014

These regulations are applicable to all candidates admitted into any of the Ph.D Degree Programmes from the academic year 2013 - 2014 onwards.

The Ph.D. programme is intended to provide advanced training in research. The research carried out towards this degree should lead to new results, new method(s) of analysis or new relationship publishable in any referred journal. The candidate can register Ph.D. under Full-time, Part-time or Extramural/ Interdisciplinary category depending upon the fulfillment of the respective eligibility criteria.

The following Regulations shall be applicable to all Programmes of Ph.D Degree in Engineering and Technology, Computer Applications, Management and Science & Humanities offered by VELTECH Dr.RR & Dr.SR TECHNICAL UNIVERSITY, Chennai.

DEFINITIONS AND NOMENCLATURE

In these Regulations, unless the context otherwise requires,

- i. “ **University** “ means VEL TECH RANGARAJAN DR. SAGUNTHALA R & D INSTITUTE OF SCIENCE AND TECHNOLOGY (simply VEL TECH UNIVERSITY).
- ii. “ **Research Board** ” means the Board duly constituted by the Vice-Chancellor of the University to oversee the academic research activities of the University.
- iii. “ **Programme** ” means Doctoral Programme leading to the award of Ph.D. in Engineering / Technology / Science / Humanities / Management Sciences, and M.Phil in Science and Humanities
- iv. “ **Branch** ” means specialization or discipline of any Programme, like Electrical, Mechanical and Management etc.
- v. “ **Course** ” means a theory or practical subject that is normally studied in a semester, like Nuclear Physics, Security Analysis, etc.
- vi. “ **Dean, Research** ” means the authority of the University who is responsible for all Research programmes of the University Departments for implementation of relevant rules of these Regulations.
- vii. “ **Controller of Examinations** ” means the authority of the University who is responsible for all activities of the University Examinations..
- viii. “ **Research Supervisor** ” means a faculty of the university who fulfills the requirements of the university to guide and supervise the research scholars registered for Ph.D. He will be the principle supervisor, where there are additional joint supervisor.

ix. “ **Joint supervisor**” means a recognized supervisor to guide the scholars in interdisciplinary research that require more than one expert or to take care of the administrative and research responsibilities of the scholar.

x. “**Doctoral committee**” means a committee constituted by the University for each scholar to monitor the progress of his/her research work.

1. ELIGIBILITY FOR ADMISSION:

1.1 The eligibility for admission into Ph.D programmes is PG degree of the university or any other qualification recognized as equivalent thereto in the field of study as notified in the Table A below.

TABLE-A

Programme		Qualification for Admission
i	Ph.D. Degree in Engineering/ Technology	M.E. / M.Tech. / M.S. (Research) in the relevant branch of Engineering or Technology.
ii	Ph.D. Degree in Management Sciences	MBA / Post Graduate Diploma in Business Management or Administration awarded by Indian Institute of Management (IIM) / M.S. (By Research) in Management Sciences.
iii	Ph.D. Degree in Science and Humanities	M.Sc. / M.A. / M.S. (By Research) in the relevant branch of Science and Humanities / M.C.A.

1.2 The candidate should obtain minimum of 55% marks or CGPA of 6.0 on a 10 point scale in the qualifying examinations, and 50% marks or CGPA of 5.5 on a 10 point scale, in case of SC/ST.

1.3 Admission into Ph.D. programme will be made in accordance with the existing and applicable reservation rules in force.

2. PROGRAMMES OFFERED

2.1 The University offers the following Programmes leading to the award of PhD degree

- i. Engineering
- ii. Technology
- iii. Business Administration
- iv. Computer Applications
- v. Science & Humanities

2.2 The specializations offered in each of these programmes will listed in university website from time to time.

2.3 The programmes may change or vary as may be decided by the Board from time to time.

3. MODES OF Ph.D PROGRAMME

The programmes may be offered as full time and /or part time mode for any or all the programmes as may be decided by the Board from year to year but announced at the time of inviting applications for that year.

3.1 Full-Time Ph.D. Programme

- 3.1.1 Candidates under full-time shall do research work in University and shall be available during the working hours for curricular, co-curricular and related activities.
- 3.1.2 Candidates in employment who want to pursue full-time studies should be sponsored by their employer and should avail leave for the research period and should get formally relieved from their duty to join the research programme.
- 3.1.3 Candidates who are sponsored by the AICTE under Quality Improvement Programme from Teachers of Engineering Colleges and who satisfy the eligibility conditions shall be eligible for full-time only, in the disciplines as notified in AICTE guidelines.
- 3.1.4 Candidates who are selected in Fellowship programme of National or any recognized bodies and who satisfy the eligibility conditions as per the regulations are eligible for full-time studies in the respective disciplines.
- 3.1.5 Foreign nationals sponsored by the Government of India on any exchange programme and who satisfy the eligibility conditions as per the regulations are eligible for full – time study

3.2 Part Time (Internal)Ph.D Programme

- 3.2.1 Any faculty member of the University possessing the minimum prescribed qualifications and two years experience or as may be decided by the Board from time to time can apply in the prescribed form to work on a part-time basis for PhD degree.
- 3.2.2 Candidates with requisite qualifications working in research projects in Campus and selected by a selection committee constituted / approved by the University are eligible to register for Ph.D. after putting in at least six months of service in the project and the project should have a valid tenure of at least two years from the date of submission of application by the candidate.

3.3 Part Time (Extramural) Ph.D Programme

The candidates who seek admission under the following categories are considered to be under part time (Extramural) Ph.D programme.

- 3.3.1 Candidates working as teachers in other PG and professional colleges in permanent positions and sponsored by their employers candidates sponsored by R&D organizations of following categories are eligible to apply to work on a part time basis for PhD degree and shall be called Part time extramural candidates.
- 3.3.2 Candidates working in industrial units/ R&D Departments / National Laboratories / Units of Government / Quasi Government or any other research laboratories which are recognized by the University to do collaborative research with the University and sponsored by the respective employer.
- 3.3.3 The extramural candidates has to submit the No Objection certificate stating that he/she is permitted to pursue studies on part time basis, before submission. Also the No Objection Certificate must further state that he/she is permitted to pursue studies on part time basis and that (i) his/her official duties will permit sufficient time for research,

(ii) facilities for research are available at the place of work, (iii) he/she will be permitted to attend full time course work at the University for at least 6 months during his/her registration for the degree if the place of work is outside 50 km radius of the University. Their course work and all curricular, co-curricular activities and pre and co requisites shall be as determined by the advice of doctoral committee. In this mode, the candidates shall attend classes as prescribed by the Research Supervisor to complete courses as scheduled on any day including holidays and Sundays, along with Full time students or not as the case may be.

3.4 Conversion from one mode of study to the other shall not be permitted. However, the change will be permitted under extraordinary circumstances and by the approval of vice chancellor on recommendation of Dean-Research.

4. PLACE OF RESEARCH

The place of research in respect of Full- Time and Part-Time programme are as under

4.1 Full-Time

The Full-Time programme shall be undertaken in the research departments of this University.

4.2 Part-Time

- 4.2.1 The place of research for teachers working in other colleges shall be the College/University where the Supervisor is working.
- 4.2.2 The place of research for the project candidates shall be the College/University where the project is undertaken.
- 4.2.3 The place of research in the case of candidates working in Industrial Units etc., shall be the College/University where the supervisor is working.
- 4.2.4 The Place of research for other categories of candidates shall be the respective department of the University.

5. SUPERVISOR RECOGNITION

- 5.1 Any faculty member of the institute who satisfies the following requirements is eligible to be appointed as a Research Guide.
 - (i) He / She should have Doctoral degree
 - (ii) The applicant shall have a minimum of two publications to his / her credit in referred Journals with impact factor and scopus index.
- 5.2 The applicant shall specify the interested area of research in the relevant area of research in which he / she proposes to guide the candidate.
- 5.3 The applicant shall have a minimum of two publications to his / her credit in referred Journals with impact factor and scopus index.
- 5.4 Recognition as supervisor for guiding research work shall be accorded by the Vice-Chancellor on the recommendations of the Research Board or Dean Research.
- 5.5 Joint-Supervisor shall be recommended by the Research Board wherever absolutely necessary, for research areas that require more than one expert.
- 5.6 Continuation of retired faculty members as guides

Supervisor shall entertain fresh registration of candidates even after his / her retirement from service.

- 5.7 Scientists working in Research Institutions/ Organizations who entered MoU with the University/involved in collaborative sponsored research projects can be recognized as Joint Supervisor.
- 5.8 For interdisciplinary research that requires more than one expert, the Joint Supervisor shall be approved by the Research Board or the Director (Research) with the recommendation of the Doctoral Committee.
- 5.9 Contact of Thesis examiners by the Supervisor/Joint Supervisor after the submission of Synopsis/Thesis of his/her scholar in connection with the evaluation report shall lead to the withdrawal of his/her supervisorship for a period of three years and he/she shall be debarred from guiding the scholars for any research programme in the University till such period.

6. CHANGE OF SUPERVISOR

- 6.1 When a supervisor of a research scholar happens to be away from the University, for more than 6 months and up to one year, he / she shall continue to guide the research scholar, but a supervisor-in-charge shall be nominated by the Dean (Research) in consultation with the Head of the Department (HOD). The supervisor-in-charge shall function till the supervisor returns.
- 6.2 When a supervisor of a research scholar happens to be away from the University for more than one year, an alternate supervisor shall be nominated by the Dean (Research) in consultation with the concerned HOD of the Research Scholar.
- 6.3 When a supervisor retires from service on superannuation or leaves service, he / she shall make arrangements for alternative supervisor for his / her research scholar. However, the supervisor who retired from the service shall continue to guide a research scholar, on his / her written request. However, a Joint Supervisor shall be nominated by the Dean (Research) in consultation with the HOD to take care of the administrative and to some extent, the research responsibilities of the scholar.

7. NUMBER OF SCHOLARS:

- 7.1 A Supervisor shall guide a maximum of only 8 Ph.D research scholars at any time. Additional scholars, if any under extraordinary circumstances, shall be decided on the merit of the cases, with prior approval of the Vice-Chancellor.
- 7.2 A joint supervisor shall guide not more than 8 Ph.D research scholars at any time.
- 7.3 For University Departments, a Joint Supervisor is mandatory, if the Supervisor is not a regular faculty member of the University. Further a maximum of 8 Ph.D research scholars only be permitted under such Supervisor.

8. ADMISSION PROCEDURE

- 8.1 The number of seats for Ph.D in each discipline shall be decided in advance and notified in the university website and advertisements.
- 8.2 The University shall notify and hold an Entrance Examination for all eligible applicants.
- 8.3 Candidates with UGC/CSIR(JRF)/NET/SLET/Teacher -Fellowships/MPhil/ other National level eligibility test may be exempted from written entrance examinations.
- 8.4 The candidate short listed in written test shall be called for interview by the School/Department / University Research Committee. The candidate will also give presentation on the research topic of his/her interest at the time of interview.
- 8.5 Selected candidates shall be provisionally admitted for Ph.D programme with the approval of the vice-chancellor on verification of original certificate and payment of prescribed fee.
- 8.6 Reservation policy shall be adhered to.

9. COURSE WORK

After having been admitted, each Ph.D student shall be required to undertake course work for a minimum period of one semester.

- 9.1 Course work of at least one semester as pre PhD requirements. This course work shall typically include courses on
 - i. Research Methodology including quantitative methods and computer applications
 - ii Advanced course work in the specific area of research offered under any approved PG programme of the university.
 - iii. Review of published research work in the area of chosen topic and an advanced paper covering the related general subjects, as prescribed by the guide.
- 9.2 If any course specific to the area of research has to be newly designed, then such course shall be formulated as a special elective to be covered in not less than 45 contact hours of instruction and the course syllabus shall be designed by the Doctoral Committee and got approved by the Chairman Board of studies of the Faculty. Such course shall be of P.G. level.
- 9.3 The prescribed course work shall normally be completed within one year from the date of provisional registration in the case of full-time research scholars and two years in the case of part-time research scholars.
- 9.4 All the above course works of the scholar are to be undertaken as per the academic norms and shall be evaluated by the norms of this University.
- 9.5 No change in the course works prescribed shall be made without the approval of the Doctoral Committee.
- 9.6 Only courses taken after the date of provisional registration shall count towards this requirement. Any courses already passed by the candidate prior to the registration shall not be counted for this purpose.
- 9.7 If found necessary, course work may be carried out by the research candidates in sister Departments/ Institutions either within or outside the university for which due credit will be given to them

10. DURATION OF THE PROGRAMMES

- 10.1 The duration of the programme and the time for submission of thesis are counted from the date of registration.
- 10.2 The minimum duration of the programme in engineering, technology, and management and allied programmes for Full-time/Part-time shall be 30/36 months respectively.
- 10.3 The minimum duration of the programme in Science & Humanities for Full-time/ Part-time shall be four/five years respectively. However, for M.Phil Degree holders, the minimum duration shall be two years, if the M.Phil Degree relates to the field of research of the programme.
- 10.4 If the scholar will complete the requirement earlier than the prescribed period, the Vice-Chancellor may permit for an early submission of synopsis and thesis before six months provided the request is justified and substantiated by commendable research work with high quality publications.
- 10.5 The Dean(Research) shall permit, if deemed fit for reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrants his/her absence to the programme. However, the break of study period shall not be counted for the minimum duration of the programme.
- 10.6 Break of study to scholars shall be granted upto a maximum period of two years with prior permission of vice chancellor on the recommendation of the Dean, Research. If prior permissions is not sought and obtained, it will be considered as a case of discontinuation and action will be taken to cancel the registration of such scholars. The scholar should remit the semester fees during the break of study period.

11. STRUCTURE OF THE PROGRAMME

- 11.1 Every Programme shall conform to the UGC regulations relating to the process of review of research work leading to submission of PhD thesis.
- 11.2 After satisfactory completion of compulsory course work, research work to draft thesis or dissertation shall be completed in reasonable time as indicated in clause 9.
- 11.3 Prior to submission of thesis or dissertation as the case may be every candidate shall make a pre PhD presentation in the respective department in the presence of all the faculty research students and post graduate students for their comments and feedback.
- 11.4 Every PhD candidate, before submission of thesis, shall produce evidence in the form of acceptance letter or reprint in proof of having published at least one research paper in referred journal in his or her name as principal or first author and other may be as co author.
- 11.5 The thesis shall be prepared in the prescribed form and specified format and copies.
- 11.6 The thesis shall be evaluated at least by two experts with known and confirmed expertise in the particular area of study, of which one expert shall be outside the state in India and another outside India at the discretion of the University.
- 11.7 On receipt of satisfactory evaluation report, a suitable date may be notified for

conducting viva-voce examination giving at least 30 days of clear notice and circulated to other universities and institutions offering such programmes in India and on the website of the university and the UGC.

11.8 On successful completion of the viva voce and recommendation of the viva voce committee and acceptance by the Academic Council and Board of Management to that effect of acceptance of the thesis or dissertation for award of PhD degree. The Registrar shall send within 30 days, a soft copy of the thesis / dissertation to the UGC for hosting in INFLIBNET.

11.9 The Degree shall specify that the same has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedures for Award of PhD) Regulations, 2009.

12. DOCTORAL COMMITTEE

12.1 There shall be a doctoral committee for each scholar to monitor the progress of research.

12.2 The Supervisor shall furnish for every scholar a panel of 6 experts with doctoral qualifications in the field of proposed research, from the faculty members of the University / other universities/ experts from R&D Departments/ National Laboratories/ any other research laboratories, from which two will be recommended by the Vice-Chancellor as doctoral members (one within the University and one outside expert).

12.3 The Supervisor of the research scholar shall function as the convener of the Committee.

12.4 The Joint-Supervisor, if any, shall also be a member.

12.5 Dean of the school shall forward the doctoral committee minutes to the Dean(Research). However, the meetings of Doctoral committee should be informed to the Dean(Research) with a copy to head of the department/Dean of the school in advance.

12.6 If the supervisor and the scholar are from different institutions / organizations, the Head of the Institution / Department / Organization of the scholar shall be the Research Coordinator.

13. RESEARCH OUTSIDE THE UNIVERSITY

13.1 During the course of the Programme, for reasons approved by the Doctoral Committee a research scholar shall be permitted by the Dean (Research) to spend up to one year in an Institution or on a project approved for the purpose, outside the University for carrying out research in areas related to the subject of investigation.

13.2 Research scholar shall be permitted to do research outside University on related fellowship programme.

13.3 Research Scholar who carried out research outside this University shall submit the synopsis only after a minimum period of three months on his / her return.

14. MONITORING THE PROGRESS

- 14.1 Every six months commencing from the date of provisional registration, the candidate shall submit progress report in the prescribed format to the Supervisor who shall forward it through HOD to the Dean (Research) for information and documentation.
- 14.2 All research scholars shall renew their registration and pay the semester fee.
- 14.3 The Supervisor shall arrange to make a presentation by the research scholar on his / her work twice a year before the research committee of respective school and the faculty of the department and once in a year to the Doctoral Committee which is open to all faculty members and research scholars.
- 14.4 Full-time research scholars shall sign the attendance register in the Department of the Supervisor on all working days. They are eligible for a total of 15 days leave every semester and a maximum of 30 days in a calendar year, which they shall avail after obtaining permission from the supervisor and head of the department. However, those scholars who are availing financial assistance from funding agency shall be governed by the rules of the respective agency.

15. CANCELLATION OF REGISTRATION

- 15.1 The registration of a research scholar who has exceeded the maximum period stipulated for the Ph.D. programme as in Clause 10.1 shall stand cancelled automatically. However, Re-registration will be permitted for extension of one year on the recommendation of the Doctoral committee after satisfying the progress of the work with proper justification. Scholar has to pay re-registration fee addition to regular fee.
- 15.2 The registration is liable for cancellation administratively by the Director (Research) if
- i. The research scholar has not paid the semester fees within the stipulated time with the necessary fine.
 - ii. The progress reports are not submitted consecutively twice or the reports are not satisfactory.
 - iii. The performance is not satisfactory to the doctoral committee and accordingly recommended for cancellation.
 - iv. The research scholar wishes to withdraw the course and wishes to cancel his / her registration.
- 15.3 In all the above cancellation cases, the fees paid by the research scholar shall not be refunded.

16. SUBMISSION OF SYNOPSIS

- 16.1 The research scholar shall be permitted to submit the synopsis only after obtaining the confirmation of coursework completion and completion of the minimum duration of the programme applicable to the scholar.
- 16.2 The Scholar has to publish two journal papers with scopus index and impact factor as first author or second author, if the supervisor is first author, based on his/her research work and specifically recommended by the Doctoral committee. The scholars admitted

before Dec 2013, are permitted to submit the synopsis/thesis with publication of one paper of the specified quality.

- 16.3 Prior to submission of the synopsis, the scholar shall prepare a draft copy of the thesis and shall make a pre-Ph.D presentation in the Department that may be open to all the faculty members and research scholar. The Doctoral committee and research committee shall also present. The feedback and comments obtained during the presentation may suitably incorporated in the draft thesis under the advice of doctoral committee.
- 16.4 The research scholar shall submit to the Doctoral Committee through the Supervisor, ten copies of the synopsis of the Ph.D. work carried out along with a softcopy.
- 16.5 If the Doctoral Committee approves the research work reported in the synopsis, it shall forward the ten copies of the approved synopsis to the Controller of examinations through Dean (Research) along with a panel of at least eight examiners four from India and four from abroad.

17. SUBMISSION OF THESIS

- 17.1 The thesis shall report, in an organized and scholarly fashion, an account of original research work of the research scholar leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, hardware oriented etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge as well as the research scholar's ability to undertake sustained research.
- 17.2 Six copies of thesis shall be prepared in accordance with the format and specifications prescribed. These shall be submitted along with a softcopy within three months from the approval of the Synopsis by the Doctoral Committee along with three copies of the abstract of the thesis in about 400 words. Under no circumstances, the thesis submission can be delayed except under extra ordinary special circumstances, where an extension of three months may be permissible with the recommendation of the Vice-Chancellor.
- 17.3 The thesis shall include a certificate of the supervisor and joint supervisor if applicable, to the effect that the thesis is a record of the bonafide research work carried out by the research scholar under his / her supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a degree or diploma.
- 17.4 Fees shall be paid by the research scholars for every semester till the submission of the thesis.

18. THESIS EVALUATION

- 18.1 The thesis shall be checked for plagiarism before sending to the adjudicator. In case the research scholar found copied the thesis, the thesis is rejected for submission. The scholar shall be debarred and the research supervisor shall be debarred from guiding the research scholar for a period of five years.

- 18.2 The thesis shall be referred to two adjudicators (one from India and another from abroad) nominated by the Vice-Chancellor from the panel of adjudicators recommended by the Doctoral Committee. The Vice-Chancellor, if he deems it necessary, may also nominate the examiners from outside the panel.
- 18.3 The adjudicators are expected to send their reports in the prescribed form within two months from the date of receipt of the thesis.
- 18.4 The Dean (Research) shall take steps when necessary to receive the reports from the examiners as quickly as possible.
- 18.5 The examiner shall include in the report an overall assessment placing the thesis with the following recommendations.
- 18.5.1 Recommended in the present form without revision
- 18.5.2 Recommended for minor revision without resubmission
- 18.5.3 Recommended for main revision of thesis and resubmission
- 18.5.4 Recommended for rejection of the thesis.
- 18.6 The examiner shall also enclose a detailed report in about 500 words, indicating the quality and standard attained in case of 18.5.1, the nature of revision in case of 18.5.2 & 18.5.3 and specify reasons in case of 18.5.4.
- 18.7 If both recommend the award of the degree as indicated in clause 18.5.1, the thesis shall be provisionally accepted.
- 18.8 If one or both examiners recommend for minor revision as indicated in clause 18.5.2, the revision is carried by the research scholar as suggested by examiner(s) and the thesis is submitted with a certificate from the supervisor to that effect.
- 18.9 Individual cases not covered by the above clauses shall be referred to the Vice - Chancellor. On deemed fit reasons, the Vice-Chancellor shall refer to the Research Board which in turn, shall refer to the Academic council, if necessary.

19. VIVA-VOCE EXAMINATION

- 19.1 On receipt of the favorable report of the thesis, the Doctoral Committee shall recommend a panel of three experts from recognized institutions within India for constitution of a Viva-voce Examination Board.
- 19.2 The Viva-voce Examination Board shall be constituted by the Vice-Chancellor as follows:

a. Adjudicator of the thesis in India or an expert in the subject from the panel of Indian adjudicators (in the absence of the former)	Member
b. One expert from a recognized institution as per clause 19.1	Member

c. Supervisor of the candidate in the University	Convener
d. Joint Supervisor of the scholar, if applicable.	Member

19.3 The Viva-voice Examination shall be conducted as “Open Defense Type” examination, with a circular communicating the date and venue to all faculty members/ research scholars/other institution one week prior to the date of Viva-voce examination. A minimum of ten members excluding the viva-voce examination board member shall be present to the viva-voce examinations.

19.4 On satisfactory completion of viva-voce examination the candidate shall submit a copy of the thesis along with a soft copy in CD ROM duly certified by the supervisor that all the corrections have been duly carried out as suggested by the examiners if any, for UNIVERSITY ARCHIVES

19.5 If the Viva-voce Examination Board reports the performance of the scholar as “not satisfactory” then he/she may opt to reappear for the viva-voce examination at a later date (not later than six months from the date of the first Viva-voce Examination). On the second occasion, the Viva-voce Examination Board shall include one more expert nominated by the Vice-Chancellor.

19.6 If the performance of the scholar in the Viva-voce examination in the second occasion also reported to be “not satisfactory”, the Vice-Chancellor, if deems it necessary, shall refer the remarks of the Viva-voce Examination Board, along with the thesis and comments of the Examiners, to a Committee constituted for this purpose and the decision of the Vice-Chancellor shall be final.

20 AWARD OF Ph.D. DEGREE

If the report of the Viva-voce Examination Board is SATISFACTORY, the candidate will be awarded the Ph.D. Degree with the approval of the Board of Management.

21 DEPOSITRY WITH UGC

Following the successful completion of the evaluation process and announcements of the award of Ph.D, the University shall submit a soft copy of the Ph.D thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.\