

**DOCTORAL PROGRAMME
ACADEMIC REGULATIONS
(Effective From 2023-24)**

AURORA HIGHER EDUCATION AND RESEARCH ACADEMY

Deemed-to-be University

(Estd. u/s. 03 of UGC Act 1956)

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1. SHORT TITLE, COMMENCEMENT AND APPLICABILITY

- 1.1 These regulations shall be called “Academic Regulations of Doctoral Programme, Aurora Higher Education and Research Academy, Deemed-to-be-University, 2023”.
- 1.2 These regulations shall come into force with immediate effect.
- 1.3 These regulations apply to Full time, Part Time and External Doctoral Programmes offered by the University.

2. ADMISSION

- 2.1 **Notification:** The University shall issue admission notifications for all categories of the Doctoral programme twice a year - in May for the fall session and November for the spring session, in leading National newspapers and the University website.

2.2 Category of Admissions:

- 2.2.1 **Full Time:** Full-time Candidate/Research scholar means a person enrolled into the Doctoral programme devoting full-time to complete the requirements of the degree and shall be present in the University for the entire duration of the programme.
- 2.2.2 **Part Time:** Part-time Candidate/Research scholar means a person with full-time employment in any institution/organisation with a minimum of two years of experience and enrolled into the Doctoral programme devoting part of his/her time to complete the requirements of the degree.
- 2.2.3 **External:** External Candidate/Research scholar means a person sponsored by and employed in an industry/organisation/institution having R&D facilities recognised by the University. He/she shall have at least 02 years of experience.
- 2.2.4 **Admission on Transfer:** Any individual admitted into Doctoral program at any other University can transfer their admission to the University subject to fulfilment of the conditions as prescribed in these regulations.

- 2.3 **Eligibility Criteria:** The following are eligible to seek admission to the Doctoral programme offered by the University:

- (a) A candidate who has completed 01 year/02-semester master's degree programme after a minimum of 04-year/08-semester bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- (b) A candidate who has completed a 02-year/04-semester master's degree programme after a minimum of 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- (c) A candidate who has completed M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed
- (d) A candidate who has an equivalent qualification of (a), (b) or (c) from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognised or authorised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- (e) For all the above, a relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- 2.4 **Application Procedure:** Interested and eligible persons shall submit an online application through the University website as and when notified, along with the following:

- (a) Scanned copies of relevant academic certificates
- (b) Details of the professional experience
- (c) “Statement of Purpose” (SoP) stating information about educational background, research interests, career goals, relevant work experience including internships,

- research assistantship and research skills acquired along with the motivation for pursuing the programme in not more than 2000 words.
- (d) “Brief Research Proposal” (BRP) outlining the proposed research questions with its background, objectives, methodology, expected outcome, and timeline to complete the research work in not more than 1500 words.
 - (e) An application fee as prescribed by the University payable online.
 - (f) All the part-time and external candidates shall submit a No Objection Certificate (NOC) from their employer stating that -
 - (i) The candidate is permitted to pursue his/her research on a part-time basis
 - (ii) his/her official duties permit him/her to devote sufficient time to research
 - (iii) if required, he/she shall be relieved from the duty to complete coursework at the University

2.5 **Selection Process:** The selection of candidates for the Doctoral programme of the University is a two-stage process.

2.5.1 **Stage I:** All the applicants shall appear for the University common entrance test for the Doctoral programme namely AURUM-D, which is a National level online examination for 100 marks in two parts (Part A - Teaching and Research Aptitude, Part B - Discipline Specific). The qualification criterion is 50 marks. Any applicant who qualifies for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE are exempted from AURUM-D.

2.5.2 **Stage II:** All the AURUM -D qualified applicants and the applicants who qualified UGC-NET/UGC-CSIR NET/GATE shall be called for a personal interview. The selection committee for Doctoral program admissions evaluate the SoP and BRP along with the applicant's performance in the interview.

2.5.3 The final selections shall be made based on the weightage for various components of the selection process as follows:

S.No	Component	Max. Marks	Qualifying Marks	Weightage
1	AURUM-D/NET/GATE Score	100	50	70%
2	Statement of Purpose	50	25	10%
3	Brief Research Proposal	50	25	10%
4	Personal Interview	50	25	10%
Total		250	125	100%

2.6 **Letter of Admission:** Based on the recommendations of the School Doctoral Committee (SDC), the Directorate of Doctoral Studies (DDS) shall issue a Letter of Admission (LoA) to the applicants satisfying the qualifying marks and securing a minimum score of 50%, subject to the vacancy, in the order of merit. The LoA shall be valid for two weeks, beyond which the selection stands cancelled.

2.7 **Fee Structure:** The fee structure for the Doctoral programme offered by the University shall be as follows:

S.No	Type of Fee	Category of Admission	Amount (in Rs.)
1	Admission Fee	Full Time/ Part Time/ External	10,000/-
2	Tuition Fee	Full Time	60,000/- per annum
		Part Time / External	1,00,000/- per annum

S.No	Type of Fee	Category of Admission	Amount (in Rs.)
3	External Certification Fee		Course based
4	Convocation Fee	Full Time/ Part Time/ External	5,000/-
5	Alumni Registration Fee		2,000/-

Note: Other services like accommodation, transportation, entry fee to events, club activities etc. are not included in the tuition fee. Any other fee prescribed by the university for student activities shall be payable separately.

- 2.8 **Enrolment:** An applicant whose selection is approved by the DDS upon receipt of the LoA shall enroll for the Doctoral programme by submitting the required documents and paying the prescribed fee. Each such selected applicant shall be allotted a Unique Registration Number (URN).
- 2.9 **Provisional admission:** After the enrolment process, a provisional supervisor is allotted to the candidate. In consultation with the provisional supervisor, the candidate has to undertake self-registration for the courses for the first term of study in the online portal. Upon such registration, the provisional admission shall be confirmed. During the provisional admission period, the candidate shall complete the prescribed coursework. The duration of this period shall be one year.
- 2.10 **Final admission:** A candidate is eligible for final admission into the Doctoral program only upon completing the provisional admission period and having satisfied the coursework requirements, qualifying the comprehensive examination and the preliminary seminar upon which he/she will be fully admitted to the Doctoral program and can begin their research work. The DDS shall allot a Supervisor and Co-Supervisor (if required) on final admission. During the final admission period, the research scholar shall undertake the research work in the second and third years of study. The duration of this period shall be two years.
- 2.11 **Fellowship Grant:** Each school of the University shall admit a maximum of 02 candidates on full-time basis under the University Research Fellowship (URF) Grant Scheme. Details of the scheme shall be notified on the University website.
- 2.12 **Conversion of Admission Category:** Conversion from full-time to part-time category can be requested by a research scholar having any personal or professional commitments that prevent him/her from pursuing their research on a full-time basis. Documentary evidence for such commitments to support their request shall be submitted to the DDS. The DDS will typically review the research scholar's progress and assess whether he/she is eligible for part-time study.
- 2.13 **Cancellation of admission:** The admission of a research scholar may be cancelled by the DDS in any of the following cases:
- Non-payment of tuition fees and other applicable fees consecutively for two years
 - Not complying with the minimum attendance requirement
 - Not completing the coursework within the maximum prescribed timeframe
 - Non-submission of research progress reports consecutively for four terms
 - Unsatisfactory research progress reports consecutively for four terms
 - Absence from the programme without prior intimation/sanction of leave continuously for more than four weeks in case of full-time candidate/ research scholar
 - Involving in any act of misconduct, plagiarism, dishonesty or any other indiscipline
- 2.14 **Self-Cancellation of Admission:** In case a candidate/research scholar wishes to cancel his/her admission, he/she shall apply online for cancellation of admission subject to the condition of paying the fees for the duration of study.

- 2.15 **Re-registration:** A research scholar under academic suspension at any stage of the Doctoral programme can apply for re-registration for the term in which his/her admission was suspended, subject to the condition of paying the registration fee, tuition fee and any other fee as prescribed by the University.
- 2.16 **Admission Calendar:** The University shall adhere to the following admission calendar approved by the Academic Council.

S.No	Activity	Fall Calendar	Spring Calendar
1	Admission Notification	1st Week of May	1st Week of November
2	Last date for Application	3rd Sunday of May	3rd Sunday of November
3	AURUM-D Test	1st Sunday of June	1st Sunday of December
4	Announcement of shortlisted applicants for personal interview	2nd Sunday of June	2nd Sunday of December
5	Personal Interview	4th Sunday of June	4th Sunday of December
6	Letter of Admission (LoA)	1st day of July	1st day of January
7	Enrolment	Two weeks from the date of LoA	Two weeks from the date of LoA
8	Provisional Admission	3rd Monday of July	3rd Monday of January
9	Commencement of academic session	4th Monday of July	4th Monday of January

3. RESEARCH SUPERVISORS

- 3.1 **Provisional Supervisor:** Each candidate shall be allotted a provisional supervisor at provisional admission stage.
- 3.2 **Supervisor and Co-Supervisor:** Each research scholar shall be allotted a supervisor and co-supervisor (if required) upon completion of coursework and preliminary seminar from the concerned department of the University.
- 3.3 **Change of Supervisor/Co-Supervisor**
- 3.3.1 A research scholar can apply online for the change of supervisor/co-supervisor for any valid reasons such as non-availability of supervisor/co-supervisor for further guidance due to change of profession or place of work, medical and health issues/demise etc.
- 3.3.2 In case of any supervisor proceeding on leave for a period less than one year, the research scholar shall be allotted a co-supervisor by the Department Doctoral Committee (DDC).
- 3.3.2 In case of any supervisor proceeding on leave for a period of more than one year, the research scholar shall be allotted a new supervisor by the Department Doctoral Committee (DDC).
- 3.3.3 In case of superannuation of the existing supervisor, the research scholar shall be allotted a new supervisor by the DDC. However, the earlier supervisor shall continue to be a co-supervisor, post-retirement.

4. PROGRAMME

- 4.1 **Disciplines:** The University offers Doctoral programme in the disciplines of Computer Applications, Engineering, Law, Liberal Arts, Sciences and Management Studies.
- 4.2 **Medium of Instruction:** The medium of instruction shall be English, except for research programmes in Indian and Foreign languages.

- 4.3 **Duration:** The minimum and maximum duration shall be three (3) and six (6) years respectively from the date of provisional admission into the programme.
- A maximum of an additional two (2) years can be given through a process of re-registration, provided, however, that the total period for completion of the Doctoral programme should not exceed eight (8) years from the date of admission into the programme.
 - Provided further that, female research scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of the Doctoral programme in such cases should not exceed ten (10) years from the date of admission into the programme.
 - Female research scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the programme.
- 4.4 **Pattern:** Each academic year of the Doctoral programme is offered as four terms under the quarter system. Each term shall comprise of 10 weeks duration with at least 45 instruction days.

5. PROGRAM STRUCTURE

- 5.1 The Doctoral programme offered by the University is structured in a well-defined manner with four layers of study namely Core Programme, Research Enrichment, External Certifications and Teaching/Mentorship.
- Core Programme (C):** The course work during the provisional admission phase and research work activities during the final admission phase.
 - Research Enrichment (R):** Activities during the final admission phase to enhance the research experience and skills.
 - External Certifications (E):** Certifications for language and computer literacy proficiency during the programme duration.
 - Teaching/Mentorship (T/M):** Activities for professional development and contributing to the success of juniors.
- 5.2 **Course Components:** All the courses and activities prescribed for the Doctoral program as defined in the programme structure.
- 5.2.1 **Course code denotation:** Each course of the programme is denoted by a five-digit alphanumeric code, an alphabet followed by three digits. Ex: XX Y ZZ where XX - The first two digits represent the department offering the course, Y represents the level of the course, ZZ represents the sequence in the department subject list.
- 5.2.2 **Core programme courses:** Mandatory courses prescribed for the course work duration (provisional admission phase) and research work activities for the research work period (final admission phase) as listed herewith:

S. No	Course	S. No	Course
Course Work			
1	Research Methodology	5	Doctoral Elective - I
2	Research and Publication Ethics	6	Doctoral Elective – II
3	Doctoral Core – I	7	Teaching Practice
4	Doctoral Core – II		

S. No	Activity	S. No	Activity
Research Work			
1	Problem Identification & preliminary Seminar	12	Draft of Fourth Chapter of Dissertation
2	Literature Survey – I	13	Research Progress Seminar - II
3	Literature Survey – II	14	Data Analysis
4	Problem Statement/Hypothesis	15	Validation / Hypothesis Testing
5	Research Design	16	Research Findings
6	Draft of First Two Chapters of Dissertation	17	Draft of Fifth Chapter of Dissertation
7	Data Collection – I	18	Draft of Last Three Chapters of Dissertation
8	Draft of Third Chapter of Dissertation	19	Synopsis Submission
9	Research Progress seminar- I	20	Open House Seminar
10	Data Collection – II	21	Final Draft of Dissertation
11	Data Collection – III	22	Viva Voce

5.2.3 **Research Enrichment Activities:** Mandatory activities prescribed for the research work period (final admission phase) as listed herewith:

S. No	Activity	S. No	Activity
1	Participation in Workshop / training programme	5	Paper Presentation in National/ International Conference
2	Research Internship/ Research Exchange/ Collaborative Research*	6	Paper Publication in a Refereed/ Peer Reviewed Journal

* *Optional activities*

5.2.4 **External Certifications Courses:** Mandatory certification courses prescribed for the programme duration as listed herewith:

S. No	Course	S. No	Course
1	Cambridge English B2	4	Microsoft office specialist: Word, Excel, Power Point 2013
2	Cambridge English C1	5	LaTex for students, engineers and scientists
3	Cambridge English C2	6	Dynamic Public Speaking Specialisation by University of Washington – I,II,III,IV

5.2.5 **Teaching / Mentorship Activities:** Mandatory activities prescribed for full-time / Part-time research scholars respectively as listed herewith:

S. No	Course	S. No	Course
1	Teaching / Mentorship – I	4	Teaching / Mentorship - IV
2	Teaching / Mentorship – II	5	Teaching / Mentorship - V
3	Teaching / Mentorship – III		

5.2.6 **Credit distribution:** The break-down of the credit distribution for the course components shall be as follow:

S.No.	Course component	No. of Credits	Weightage in %
1	Core Programme		
	i) Course Work	20	31
	ii) Research Work Activities	23	35
2	Research Enrichment Activities	6	09
3	External Certification Courses	11	17
4	Teaching / Mentorship	05	08
	Total	65	100

5.3 **Course Structure:** The year-wise distribution of courses for the Doctoral program with the quarter system (each term) shall be as follows along with the prerequisites:

Year-1					Term-1
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core	RE102	-	Research Methodology	3
2	Education	\$	-	Doctoral Core – I	3
3	External Certification	EC201	-	CEFR – B2 Certification	1
4		EC102	-	Microsoft office specialist: Word 2013	1
5		EC202	-	Microsoft office specialist: Excel 2013	1
6		EC302	-	Microsoft office specialist: Power Point 2013	1
Total Credits					10

Note : \$ - respective department course

Year-1					Term-2
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core	RE103	-	Research and Publication Ethics	3
2	Education	\$	-	Doctoral Core – II	3
3	External Certification	EC301	EC201	Cambridge English C1	-
4		EC402	-	LaTex Certification	1
Sub-Total					7

Year-1					Term-3
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core	\$	-	Doctoral Elective - I	3
	Education	ED501	-	Teaching Practice	2
2	External Certification	EC301	EC201	Cambridge English C1	2
Sub-Total					7

Year-1					Term-4
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	\$		Doctoral Elective - II	3
2		RW101		Problem Identification and preliminary seminar	1
Sub-Total					4

Year-2					Term-1
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW201	RW101	Literature Survey – I	1
2	Research Enrichment	RE404	-	Participation in Workshop/Training Programme	1
3	External Certification	EC401	EC301	Cambridge English C2	-
4	Teaching / Mentorship	ED502	ED501	Teaching / Mentorship – I	1
Sub-Total					3

Year-2					Term-2
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW202	RW201	Literature Survey - II	1
		RW203	RW101	Problem Statement/ Hypothesis	1
2	External Certification	EC401	EC301	CEFR - C2 Certification	-
3	Teaching / Mentorship	ED503	ED502	Teaching / Mentorship - II	1
Sub-Total					3

Year-2					Term-3
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW204	RW203	Research Design	1
2		RW205	RW202	Draft of First Two Chapters of Dissertation	1
3	External Certification	EC401	EC301	CEFR - C2 Certification	2
4	Research Enrichment	RE401	RW202	Paper Presentation in National Conference	1
5	Teaching / Mentorship	ED504	ED503	Teaching / Mentorship – III	1
Sub-Total					6

Year-2					Term-4
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW206	RW204	Data Collection - I	1
2		RW207	RW205	Draft of Third Chapter of Dissertation	1
3		RW208	RW205	Research Progress Seminar – I	1
4	External Certification	EC104	-	Dynamic Public Speaking – I,II	1

5	Teaching / Mentorship	ED505	ED504	Teaching / Mentorship – IV	1
Sub-Total					5

Summer Vacation					
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Research	RE301	-	Research Internship	2
2	Enrichment			Research Exchange	
3				Collaborative Research	
Sub-Total					2[#]

#- Optional

Year-3					Term-1
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW301	RW206	Data Collection – II	1
2		RE402	RW204	Paper Presentation in an International Conference	1
3	External Certification	EC204	EC104	Dynamic Public Speaking – III, IV	1
4	Teaching / Mentorship			Teaching / Mentorship – V	1
Sub-Total					4

Year-3					Term-2
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW302	RW301	Data Collection – III	1
2		RW303	RW207	Draft of Fourth Chapter of Dissertation	1
3		RW304	RW208	Research Progress Seminar - II	1
Sub-Total					3

Year-3					Term-3
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW305	RW302	Data Analysis	1
2		RW306	RW302	Validation / Hypothesis Testing	1
3		RW307	RW302	Research Findings	1
4		RW308	RW303	Draft of Fifth Chapter of Dissertation	1
Sub-Total					4

Year-3					Term-4
S.No.	Course Category	Course Code	Pre Requisite	Course	Credits
1	Core Education	RW309	RW308	Draft of Last Three Chapters of Dissertation	1
2		RW310	RW308	Synopsis Submission	1
3	Research Enrichment	RE403	RW307	Paper Publication in a Refereed Journal	2
4	Core Education	RW311	RW308	Open House Seminar	2
5		RW312	RW308	Dissertation	1
Sub-Total					7

1	Core Education	RW313	Recommendations of the evaluators	Viva Voce Examination	2
Total Credits					65

- 5.5 **Course Registration:** A candidate/research scholar has to undertake self-registration of courses in the online portal in accordance to the prescribed course structure and subject to qualifying the course pre-requisites, at least one week before the commencement of the term.
- 5.6 **Syllabus:** The syllabus for Methodology Core, Research and Publication Ethics and Teaching Practice shall be common across all the disciplines. The DDC shall allot the courses for Doctoral Domain and Doctoral Core. The syllabus for all the courses shall be available with the Board of Studies of the department concerned.
- 5.7 **Attendance, Class Participation and Etiquette**
- (a) All full-time research scholars shall attend the University on all working days for the entire duration of the Programme. They shall be eligible for various types of leaves, as per the University leave policy.
 - (b) Part-time and external candidates shall attend the coursework mandatorily.
 - (c) Part-time and external research scholars shall be present for a minimum period of 7 days in each term to seek guidance from the supervisor(s).
 - (d) All research scholars shall mandatorily mark their attendance through biometric devices.
 - (e) All candidates/research scholars shall abide by the code of conduct of the University and exhibit professional etiquette while on campus.

6. TEACHING LEARNING PROCESS

The teaching-learning process shall be reflective in nature as per university policy.

7. ASSESSMENT

- 7.1 The assessment for the Doctoral program shall be strictly as per the University assessment policy
- 7.2 **Core Programme courses:** The performance of the candidates in all the courses during the coursework shall be assessed continuously. The weightage shall be as follows and the maximum points allotted for each course shall be 500. The candidate shall score a minimum of 60% to be declared qualified. The following shall be the assessment policy for each course:

A. Assessment for Learning

This stage focuses on ongoing learning through various assessments to gauge student progress and comprehension throughout the course accounting for 75% of the total points and includes the following components:

i. Quiz: there shall be an online quiz at the mid-term for 25 points.

ii. Reflective Journal: For each module, an online reflective journal to be submitted focusing on the understanding of the module contents and reflection on the learning experiences before every Sunday of the term. Each submission carries 20 points.

iii. Assignment: For every five modules, an online assignment is to be submitted before Sunday of the respective week. It carries 25 points.

iv. Journal Review: Candidates shall submit their reviews on the suggested journal. It carries 50 points.

v. Classroom Presentation: Candidates shall present their understanding of the self-study topics of the module. It carries 50 points.

B. Assessment of Learning

This stage focuses on evaluating students' overall understanding and mastery of course content, accounting to 25% of the total points and includes the following assessments at the end of the course:

i. Reflective Essay & Comprehensive Quiz: A 2000-word online reflective essay reflecting on course understanding, key concepts and the real-life applications of the subject followed by a comprehensive online quiz. It carries 100 and 25 points respectively.

Note: A minimum of 75% class attendance is mandatory to be eligible for this assessment.

- 7.4 **Problem Identification and Preliminary Seminar:** Candidates in first year fourth term are eligible to submit the problem identified along with the presentation of a preliminary seminar to the DDC. Such a candidate shall submit an abstract to the DDS at least one week before the date of preliminary seminar. The performance of the research scholar shall be evaluated by the DDC for a maximum of 100 points. A minimum of 60% in aggregate have to be secured to be declared as qualified. Upon qualifying, 02 credits shall be allotted and the candidate shall be eligible for final admission.
- 7.5 **Research Work:** The performance of the research scholar in various components of research work shall be assessed continuously by the DDC as mentioned herewith.
- 7.5.1 **Literature Survey:** The literature survey undertaken by the research scholar shall be assessed based on the observations recorded in the research journal. Upon satisfactory progress and recommendation of the Supervisor 02 credits shall be awarded.
- 7.5.2 **Problem Statement / Hypothesis:** The research scholar shall submit a statement of research problem / hypothesis for the proposed research with justification. Upon recommendation of the Supervisor and Co-supervisor, 01 credit shall be awarded.
- 7.5.3 **Research Design:** The research scholar shall submit a research design plan to conduct the research work to the supervisor. Upon recommendation of the Supervisor, 01 credit shall be awarded.
- 7.5.4 **Data Collection:** The research scholar shall record the observations made during design and experimentation/implementation in the research journal periodically. The supervisor shall assess the progress of work done by the scholar and upon satisfactory progress and recommendation of the Supervisor, 03 credits shall be awarded.
- 7.5.5 **Research Progress Seminar (RPS):** The Research Scholar shall submit research progress report(s) to the DDS at least one week before the date of RPS. The performance of the research scholar in each RPS shall be evaluated by the DDC for a maximum of 100 points. The scholar shall secure a minimum of 60% to be declared qualified. Upon qualifying, 02 credits shall be awarded per seminar.
- 7.5.6 **Data Analysis:** The research scholar shall analyse the data collected and record it accordingly in the research journal periodically. Upon satisfactory analysis and recommendation of the Supervisor, 01 credit shall be awarded.
- 7.5.7 **Validation/ Hypothesis Testing:** The research scholar shall undertake validation/ hypothesis testing and record it in the research journal. Upon satisfactory validation/ testing and recommendation of the Supervisor, 01 credit shall be awarded.
- 7.5.8 **Research Findings:** The research scholar shall record the research findings in the research journal. Upon satisfactory entries and recommendation of the Supervisor, 01 credit shall be awarded.

7.5.12 **Synopsis:** The Research Scholar shall submit the synopsis to the DDS. The synopsis shall be evaluated by the DDC for 100 points. The scholar shall secure a minimum of 60% to be declared eligible for Open House Seminar. Upon securing the prescribed points, 01 credit shall be awarded.

7.5.13 **Open House Seminar (OHS):** The performance of the research scholar in OHS shall be evaluated by the DDC for a maximum of 100 points. The scholar shall secure a minimum of 60% to be declared as qualified for submission of the dissertation. Upon securing the prescribed points, 01 credits shall be awarded.

7.5.11 **Draft Dissertation:**

(a) **Draft chapters:** Each chapter drafted by the research scholar shall be assessed by the supervisor(s) during the research period. Plagiarism check shall be conducted and the draft chapters shall be verified for similarity index as mentioned herewith. Prescribed credits (*01 credit for the first two chapters, third, fourth, fifth and last three chapters*) shall be awarded if the similarity index is less than 10%.

S.No.	Similarity Index	Action
1	Upto 10%	Draft accepted
2	10-30%	Revise and resubmit
3	Above 30%	Revise and resubmit in the next term and research scholar shall be issued Academic warning.

(b) **Final draft dissertation:** The final dissertation copy shall be assessed by the supervisor(s) at the end of the research work period and 01 credit are awarded, if the draft is within 10% of similarity index upon plagiarism check and the research scholar shall be eligible for submission of synopsis. Else if the similarity index is more, then one more opportunity shall be given to the research scholar for resubmission within one week with an academic warning. At resubmission, similarity index shall be upto 10% failing which research scholar shall be on academic suspension.

7.5.14 **Final Dissertation:** The research scholar shall be eligible to submit the Dissertation upon successful completion of all the course components and secured 63 credits for the duration of the Doctoral Programme. Upon plagiarism testing, 01 credit shall be awarded.

7.5.15 **Appointment of Evaluators:** For the evaluation of the dissertation, the supervisor shall submit three sets of evaluators consisting of 09 members, with three from IITs/IIMs/ IISc/ IoE/NITs in set 01, three from State Public /Deemed University in set 02 and three from foreign universities in set 03 to the DDC. The Vice-Chancellor shall appoint three evaluators (one from each set) to evaluate the dissertation.

7.5.16 **Evaluation:** The evaluators shall evaluate the dissertation and submit their recommendations within 90 days in any one of the following concrete statements.

- i. Recommended for the award of PhD degree
- ii. Suggested for minor/major revision(s) and resubmission
- iii. Rejected with reasons

7.5.17 **Acceptance of Dissertation:** The dissertation shall be accepted for viva voce examination subject to the following criteria:

S. No	Recommendations of the Evaluators			Status of Acceptance	Action
	1	2	3		
1	Accept	Accept	Accept	Accept	The research scholar shall be invited for Viva Voce Examination
2	Accept	Accept	Revise/Reject	Accept	The research scholar shall be invited for Viva Voce Examination
3	Accept	Revise	Revise	Revise	The research scholar shall incorporate the minor/major revisions in the dissertations per the suggestions made and submit the revised copy to DDC within two weeks for minor and 3 months for major revisions.
4	Accept	Reject	Reject	Pending for decision of evaluator 4*	The DDC shall forward the dissertation to evaluator 04 selected by the VC from the panel of evaluator. The DDC shall initiate necessary action based on the recommendations of the evaluator 04.
5	Revise	Revise	Revise/Reject	Pending for decision of evaluator 4*	The DDC shall forward a copy of dissertation to evaluator 04 selected by the VC from the panel of evaluator. The DDC shall initiate necessary action based on the recommendations of the evaluator 04.
6	Revise/Reject	Reject	Reject	Reject	The scholar has to re-register for dissertation submission and shall submit the revised dissertation within a period not less than 12 months and not more than 18 months.

* In case of evaluator 4 rejects the dissertation/suggests revision, the DDS shall constitute a committee to examine such cases and initiate necessary action as per the regulations of the University.

7.5.18 **Viva Voce:** Based on the recommendations as mentioned in item no. 17.5.17, Viva Voce shall be conducted by the DDS within four weeks of receipt of the recommendations.

7.5.19 **Viva Voce Panel:** The Viva Voce Examination shall be assessed by a panel of experts constituted with the Head of the Department as Chairman, Chairman BoS as member secretary, Supervisor and one of the external evaluators who evaluated the dissertation as members. The viva voce examination shall be evaluated for a maximum of 100 points, and the research scholar shall secure a minimum of 60% to qualify for the award of Doctoral Degree. Upon such qualification, 01 credit shall be allotted. In case not qualified, an additional opportunity shall be given to reappear for the Viva Voce Examination.

7.6 **Research Enrichment Activities:** The activities shall be assessed based on evidence submitted by the research scholar. The DDC shall allot prescribed credits upon satisfactory submissions.

7.7 **External Certifications Courses:** There shall be no assessment by the University for these courses; however the candidate/ research scholar shall appear for the said certification

examinations and qualify. Submission of such certifications shall lead to the award of prescribed credits.

- 7.8 **Teaching / Mentorship Activities:** All the full-time/part-time research scholars shall be given teaching assignments to a maximum of 01 subject per term (for undergraduate students) / mentorship (for junior Ph.D candidates/ research scholars) respectively. This activity carries 01 credit per term.

8. GRADING SYSTEM

- 8.1 The following is the grading system as per the University Assessment Policy for coursework.

S. No	Course Work		Research work activities		Grade Point	Letter Grade
	Points scored					
	From	To	From	To		
1	975	1000	98	100	4	A+
2	950	974	95	97	3.9	A
3	925	949	93	94	3.8	A-
4	900	924	90	92	3.7	AB
5	875	899	88	89	3.6	B+
6	850	874	85	87	3.5	B
7	825	849	83	84	3.4	B-
8	800	824	80	82	3.3	BC
9	775	799	78	79	3.2	C+
10	750	774	75	77	3.1	C
11	725	749	73	74	3	C-
12	700	724	70	72	2.9	CD
13	675	699	68	69	2.8	D+
14	650	674	65	67	2.7	D
15	625	649	63	64	2.6	D-
16	600	624	60	62	2.5	DE
17	Below 600		Below 60			Fail

- 8.2 For each course, the candidate shall secure a minimum of 60% to be declared as qualified, upon which a corresponding letter grade and equivalent credit will be awarded.

- 8.3 **Grade Points (GP):** The candidate earns grade points (GP) in each course, on the basis of the letter grade secured in that course. The corresponding 'credit points '(CP) are computed as follows:
Credit Points (CP) = Grade Points (GP) x Credits for each course.
A candidate qualifies for the course only when $GP \geq 6$ ('D 'grade or above).

- 8.4 **Term Grade Point Average (TGPA) :** The Term Grade Point Average (TGPA) is calculated by dividing the sum of credit points (ΣCP) secured from all courses registered in a term, by the total number of credits registered during that term. TGPA is rounded off to two decimal places and is computed as

$$TGPA = \frac{\{\sum_{i=1}^N C_i G_i\}}{\{\sum_{i=1}^N C_i\}} \text{ for each term,}$$

Where 'i' is the course indicator index (takes into account all courses in a term), 'N' is the number of courses 'registered 'for the term, 'C_i' is the number of credits allotted to the 'ith' subject, and 'G_i' represents the grade points (GP) corresponding to the letter grade awarded for that 'ith' subject.

- 8.5 **Cumulative Grade Point Average (CGPA):** The Cumulative Grade Point Average (CGPA) is a measure of the overall cumulative performance of a candidate in all terms considered for registration. The CGPA is the ratio of the total credit points secured by a candidate in all registered courses in the first four terms, and the total number of credits registered in these terms. CGPA is rounded off to two decimal places.

$$CGPA = \frac{\{\sum_{j=1}^M C_j G_j\}}{\{\sum_{j=1}^M C_j\}}$$

Where 'M' is the total no. of courses a candidate has 'registered 'i.e., from the 1st term to 4th term, 'j' is the course indicator index (takes into account all courses from first three terms), 'C_j' is the number of credits allotted to the 'jth' course, and 'G_j' represents the grade points (GP) corresponding to the letter grade awarded for that 'jth' course.

- 8.6 Candidate shall secure a minimum CGPA of 6.0 and above for successful completion of first four terms of the programme. CGPA shall not be calculated from Term V onwards.
- 8.7 In case, a candidate is unable to qualify a course in any term, he/she shall be given time till the next term to complete the same.

9. ACADEMIC HOLDS

Research scholars shall maintain the credit and grade for the duration of the program. The following holds shall be applicable, if not maintained:

- 9.1 **Academic Warning:** A candidate who fails to secure the minimum prescribed credits in a particular term and/or a minimum TGPA/CGPA of 6.00 (wherever applicable) shall be issued an academic warning. Upon securing the prescribed credits, the academic warning shall be revoked. The maximum duration of the academic warning shall be one term.
- 9.2 **Academic Probation:** A candidate who fails to secure the requisite credits beyond the period of academic warning shall be liable to be put on academic probation. Upon securing the prescribed credits, the academic probation shall be revoked. The maximum duration of the academic probation shall one term.
- 9.3 **Academic Suspension:** A candidate who fails to secure the requisite credits beyond the period of academic probation shall be liable to be put on academic suspension. Upon securing the prescribed credits, the academic suspension shall be revoked. The maximum duration shall be one year for the provisional admission period and two years for final admission
- 9.4 **Academic Dismissal:** A candidate who fails to secure the requisite credits beyond the period of academic suspension shall be liable for academic dismissal, and the admissions stand

cancelled. However, the candidate can appeal to the DDS to reconsider the case and put forth his/her defence. The decision of the DDS shall be final.

9.5 **Readmission:** A candidate whose admission is cancelled due to academic dismissal shall seek readmission into the programme as per the regulations existing in force.

10. PROMOTION

10.1 **Promotion during Provisional Admission:** The minimum credits required for promotion to each term shall be as follows along with a minimum CGPA of 6.0:

Year / Term	Cumulative Credits	Minimum Cumulative Credits	Credits Acquired by the Scholar	Promotion Rule
1/1	10	60%	≥ 60%	Promotion
			< 60%	Promotion with Academic Warning
½	17	70%	≥ 60%	Promotion
			< 60%	Promotion with Academic Warning Promotion with Academic Probation if already on Academic Warning
1/3	24	80%	≥ 60%	Promotion
			< 60%	Promotion with Academic Warning Promotion with Academic Probation if already on Academic Warning
			< 60%	Promotion with Academic Suspension if already on Academic Probation
¼	28	100%	< 100%	Academic Suspension Academic Dismissal if already on Academic Suspension

10.2 **Promotion from Provisional Admission to Final Admission:** All the prescribed courses during the first year of the programs (coursework) shall be with a minimum CGPA of 6.00.

10.3 **Promotion during Final Admission:** The minimum credits required for promotion to each term shall be as follows:

Year / Term	Cumulative Credits	Minimum Cumulative Credits	Credits Acquired by the Scholar	Promotion Rule
2/1	31	60%	≥ 60%	Promotion
			< 60%	Promotion with Academic Warning
2/2	34	65%	≥ 65%	Promotion
			< 65%	Promotion with Academic Warning Promotion with Academic Probation if already on Academic Warning

Year / Term	Cumulative Credits	Minimum Cumulative Credits	Credits Acquired by the Scholar	Promotion Rule
2/3	40	70%	$\geq 70\%$	Promotion
			$< 70\%$	Promotion with Academic Warning
				Promotion with Academic Probation if already on Academic Warning
2/4	45	75%	$\geq 75\%$	Promotion
			$< 75\%$	Promotion with Academic Warning.
				Promotion with Academic Probation if already on Academic Warning
3/1	49	80%	$\geq 80\%$	Promotion
			$< 80\%$	Promotion with Academic Warning.
				Promotion with Academic Probation if already on Academic Warning
3/2	52	85%	$\geq 85\%$	Promotion
			$< 85\%$	Promotion with Academic Warning.
				Promotion with Academic Probation if already on Academic Warning
3/3	56	90%	$\geq 90\%$	Promotion
			$< 90\%$	Promotion with Academic Warning.
				Promotion with Academic Probation if already on Academic Warning
3/4	65	100%	100%	Eligible for Award of Degree
			$< 100\%$	Academic Suspension

10.4 In addition to the promotion criteria mentioned in clause 10.3, the following shall be applicable:

- i. In case the results of Data collection- II is not satisfactory, the research scholar is liable for an academic warning.

- ii. In case the results of Data collection- III is not satisfactory, the research scholar is liable for academic probation and re-register for the Research Design course. The previously earned credits from the Research Design stage of the core program stand cancelled. However, the scholar can pursue other activities prescribed in the respective term.
- iii. In case the results of hypothesis testing are not satisfactory, the research scholar is liable for academic suspension and re-register for Research Design or Data collection as per the recommendation of the supervisor. The previously earned credits from the Research Design or Data collection stage of the core program stand cancelled.

11. AWARD OF DEGREE

Part-time/External Research scholars who have secured 65 credits are eligible for the award of Doctoral Degree. A provisional certificate (PC) shall be issued that will be valid till the convocation for the respective batch. The original degree certificate shall be issued at the convocation.

12. DEPOSITORY WITH UGC

All the research scholars of the University shall deposit his/her dissertation in the Inflibnet facility of the UGC for public access and referencing.

13. INTELLECTUAL PROPERTY RIGHTS

13.1 **Publication of Dissertation:** Any research scholar publishing his/her dissertation shall have the supervisor(s) of the University as co-author.

13.2 **Copyrights:** All the copyrights pertaining to the research work carried out by the research scholar shall be the joint claim of the research scholar and the supervisor(s) of the University.

13.3 **Patents:** Any patent applied for the research work carried out by a research scholar shall be the joint claim of the research scholar and the supervisor(s) of the University.

13.4 **Exceptions:** There shall be exceptions to the regulations as mentioned under;

13.4.1 Notwithstanding anything stated in these regulations, the Academic Council can make special provisions and exceptions depending on the merit of a case with due approval from the Vice-Chancellor. Such cases shall not be cited as precedence in future occasions of similar nature.

13.4.2 In emergency situations, the Chairman of the Academic Council, can exercise powers and discharge the functions of the Council. Such decisions must be reported to the Academic Council at its next meeting and shall be forwarded for the approval of the Vice-Chancellor.

13.4.3 The Vice-Chancellor shall be the final decision-making authority for exercising any of the exceptions which shall be final and binding.

13.5 General Clause: In addition to the above-mentioned rules and regulations, all other rules as specified by the University Grants Commission (UGC) shall also be applicable to the Doctoral programme. The University Academic Council may revise the Academic Regulations of the Doctoral programme in compliance with the regulations of UGC issued from time to time.