



# LINGAYA'S VIDYAPEETH

Deemed to be University, u/s 3 of UGC Act, 1956 / MHRD, Govt. of India

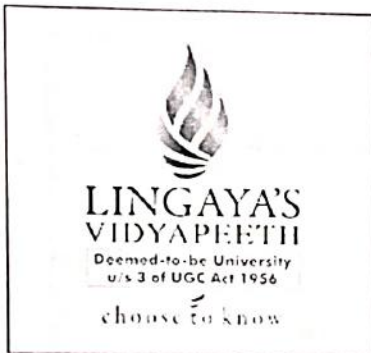
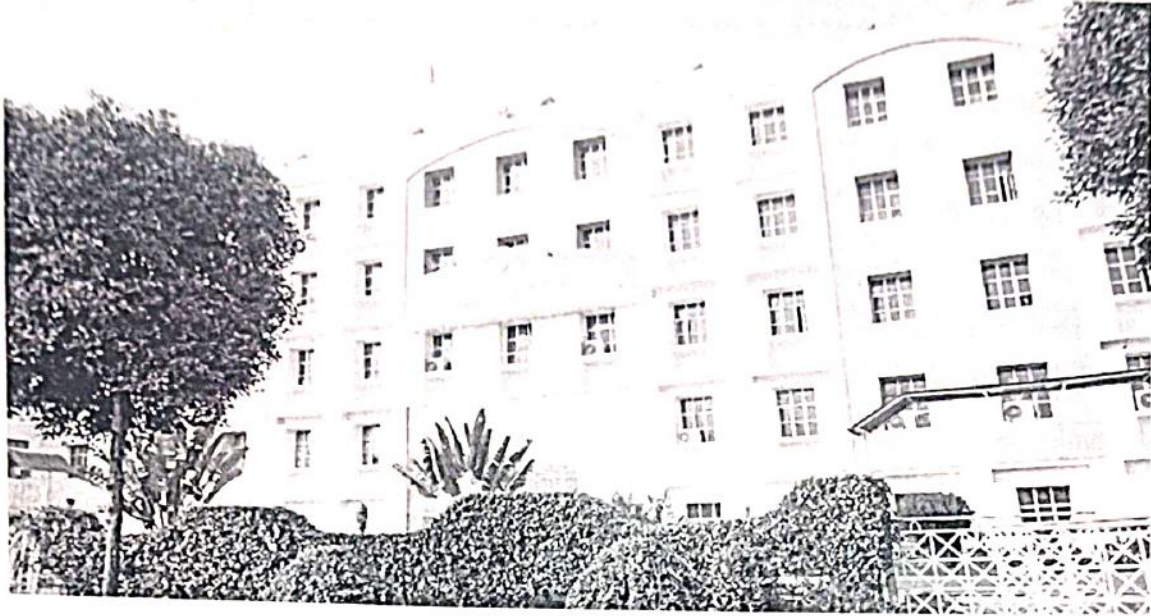
## (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations - 2024



## Ph.D. Ordinance Rule and Regulations of Lingaya's Vidyapeeth



Lingaya's Vidyapeeth, Faridabad  
(Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations – 2024



**Ph.D. Ordinance  
Rule and Regulations**

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**Academic Year 2024-25 Onwards**

**LINGAYA'S VIDYAPEETH**  
(Deemed-to-be-University u/s 3 of UGC Act 1956, Government of India)  
Nachauli, Jasana Road, Faridabad – 121002

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**I. PREAMBLE:**

Lingaya's Vidyapeeth, Faridabad offers research programmes leading to the award of Ph.D. degree. The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Technology, Humanities & Social Sciences. Promotion to creativity and productivity is the basic concept underlying the research work. The academic programme leading to the Ph.D. degree is broad-based and involves a minimum course credit requirement and a research Thesis. The University also encourages research in interdisciplinary areas through a system of joint supervision and provides excellent opportunities for such programs. The University undertakes sponsored research and development projects from industries and other organizations of the public as well as private sectors. The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The degree of Doctor of Philosophy is granted for research work in areas recognized by the academic departments of the University subject to the conditions and regulations contained hereinafter. The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of equipment making a distinct advancement in instrument technology. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge. The degree of Doctor of Philosophy (Ph.D.) of Lingaya's Vidyapeeth, Faridabad shall be conferred on a candidate who fulfils all the requirements specified in the Ordinances and Regulations. The degree of Doctor of Philosophy (Ph.D.) will be awarded in the topic of his/her work along with the discipline concerned as decided by the supervisor. We strongly believe in our dictum of "Par Excellence with Human Touch". Lingaya's Vidyapeeth, Faridabad operates its Ph.D Programme based on the UGC guidelines.

## II. COMMENCEMENT

- Based on UGC Notification on (Minimum Standards and Procedures for Award of Ph.D Degree) Regulations, 2022 dated 7th November, 2022, this ordinance is applicable to the research programme leading to the award of Degree of Doctor of Philosophy (Ph.D) which may be undertaken in any of the School/Departments of the University, fulfilling the academic, administrative and infrastructure requirements as specified by the UGC.
- These regulations shall be called the Regulations for the Doctoral Degree Programme in Management, Engineering/Technology, Science, Law or any other non-engineering Programme run by the University.
- No research Programme for the award of Ph.D degree shall, however, be undertaken through distance education mode. 4. These regulations shall come into force with effect from the date of their approval by the Academic Council.

## III. DEFINITIONS

- “**Applicant**” shall mean a person who is an eligible aspirant for admission to Ph. D. programme of the University.
- “**COE**” shall mean the Controller of Examination of the University.
- “**Co-Supervisor**” shall mean a member of the academic staff of the University/other outside staff, other than the Supervisor, and approved by the Academic Council on the recommendation of the DRC to supervise and monitor the research work of the candidate fulfilling the eligibility criteria.
- “**Course work**” shall mean the courses of study to be undertaken by the research scholar prior to the commencement of actual research work – comprising both credit as well as audit courses.
- “**Course Credits**” shall mean an integer number indicating the weightage assigned to a Course Unit, Project, Research work or any other academic component, on the basis of contact hours per week on all learning activities.
- “**CGPA**” shall mean the Cumulative Grade Point Average of a student.

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- **“DRC”** shall mean Departmental Research Committee to consider the recommendations of RAC.
- **“External Supervisor”** shall mean a person who is fully responsible for providing guidance, and executing supervision including monitoring quarterly/half yearly progress for the continuance of Research Work of a Research Scholar and such a person has to be from outside institution/industry/organization and not from the University.
- **“Full-time Research Scholar”** shall mean a person registered for the Ph.D degree devoting major part of study time at the University for completing the degree requirements.
- **“Minimum Registration Period”** shall mean the minimum period for which a Research Scholar must be registered, prior to the date of submission of the Thesis.
- **“ODC”** shall mean committee conducting Oral Defense of the Research Scholar.
- **“Ordinances”** shall mean the Ordinances of Lingaya's Vidyapeeth Faridabad.
- **“Part-time Research Scholar”** shall mean a person who is registered for the Ph.D. degree devoting part of his time for completing the requirements of this degree while discharging his/her employment obligations.
- **“Ph.D.”** shall mean the degree of the Doctor of Philosophy.
- **“Ph.D. Programme”** shall mean a programme leading to the award of the Ph. D. in Engineering / Technology, Management, Science, Education, Pharmacy, Law and other disciplines as decided by the University, supported by funding agencies, sponsored by Industry, R&D Institution and/or on self-financed basis.
- **“Registration”** shall mean the registration of a research scholar who has been admitted for Ph. D. Programme and paid the fees.
- **“RAC”** shall mean Research Advisory Committee.
- **“Registration Period”** shall mean the length of period commencing with the date of provisional registration at the University and ending on the date of submission of the Thesis, counting out any gaps.
- **“Research Scholar”** shall mean a person who is provisionally registered for Ph. D. at the University.
- **“Self-Financed Ph.D. Programme”** shall mean the Doctoral degree programme supported/financed by the candidate by himself/herself.
- **“Self-financed Research Scholar”** shall mean a full time/part time Research Scholar who

does not get any financial support from any source and finances/supports himself / herself for his/ her Ph. D. Programme.

- **“Sponsored Research Scholar”** shall mean a full time/part time full time/part time research Scholar except that he/she receives complete financial support from the sponsoring organization/employer.
- **“Sponsored Ph.D. Programme”** shall mean the Doctoral degree programme supported/ financed by the Industry/R&D institution/Academic institution.
- **“Supervisor”** means a person who is fully responsible for providing guidance, and executing supervision including monitoring quarterly/ half yearly progress for the continuance of Research work of a candidate and such a person has to be a faculty at the University.
- **“Synopsis”** shall mean a document submitted by a Research scholar, after having completed the research work, and ready for presenting his work before DRC prior to submission of the Thesis.
- **“University”** shall mean Lingaya's Vidyapeeth, Faridabad (Deemed to be University).
- **“VC”** shall mean the Vice Chancellor of the University.

#### **IV. RULES & REGULATION**

- The minimum qualifications for admission to the Ph.D. programme shall be:
  - A Master's degree in Engineering/Technology/Science/ Management/ Humanities and Social Sciences or any other equivalent qualification recognized by the University.
  - A candidate registered for the Ph.D. programme shall be required to satisfy a minimum registration period requirement, as laid down in the Regulations.
  - A candidate shall be required to earn prescribed credits through courses and/or carry out his/her research work at the University, under the guidance of approved supervisor(s). In special circumstances, a full-time candidate may be permitted to carry out part of his/her research outside the Institute, within India or abroad, with no financial liability on the part of the University.
  - A candidate will be required to complete all requirements for the award of the degree within a period specified in the Regulations.
  - The date of initial registration shall normally be the date on which the student formally



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registers for the first time in the beginning of a Semester for the Ph.D. Programme, which shall also be the date of his/her joining the programme for all intents and purposes.

- For a student to become a candidate of the degree, he/she shall have to satisfy the requirements laid down in the Regulations.
- A full-time candidate may be allowed to convert his/her registration into part time registration on the recommendation of the DRC of the concerned department – only after completion of course work/comprehensive examination or after submission of synopsis. The candidates thus converting to part-time will have to produce a No Objection Certificate (NOC) from their employer within six months from the date of conversion. If full time Ph.D. scholars get employed in the Sponsored Projects at the University, they can be permitted to convert their registration from full time to part time after one year or after completion of the course work, whichever is later. Such conversion will be permissible only if he or she works in the Projects at the Institute, not for employment outside the University.
- If a part-time Ph.D. registrant applies for conversion of his/her registration into full time registration, the Dean (Academics) on the recommendation of the DRC may allow him/her for the same with or without assistantship/scholarship based on the individual merits of each case provided: (a) The student had already completed the comprehensive examination and (b) On the date of application, the candidate has satisfied all conditions prescribed for admission as a full-time candidate.
- If a candidate withdraws from his/her Ph.D. programme or his/her registration is terminated, his/her candidate status shall cease. If such a candidate is readmitted, he/she may be given weightage to the credits acquired during the previous registration on the recommendation of the DRC except in the case of termination on disciplinary grounds.
- The award of the Ph.D. degree to an eligible candidate shall be made in accordance with the Regulations of the University.

The research studies for Ph.D. programme shall be organized and controlled by the concerned the Departmental Research Committee (DRC) of the School; finally, it will be approved by Academic Council through RAC. Dean, R & D will coordinate all the activities

## 1. DURATION OF PH.D. PROGRAMME

- Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- However, in special circumstances, Vice Chancellor on the recommendation of RAC/DRC may increase the duration for up to two more years through a process of re-registration; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight years from the date of admission in the Ph.D. programme.
- The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration in accordance with UGC Norms.
- The duration of the Ph. D. Programme shall be counted from the date of Registration to the date of Ph. D. Thesis submission.

## 2. ADMISSION CATEGORIES

The applicants shall be admitted to the Ph. D. programme of the University under one of the following categories:

- (i) Full - time Ph.D. Scholars:** These scholars will be full time students of LV for completing the requirements for Ph.D.
- (ii) Part - time Ph.D. Scholars:** These scholars will devote part of their time for completing Ph.D. requirements and in addition devote part of their time for discharging their own organizational obligations. At any stage of his/her research work, a scholar can change his/her category as: a) A full-time research scholar can request for a change from full-time (FT) to part-time (PT) category mentioning an acceptable reason for the change. The duration of the Ph.D. Programme will then be followed as per clause no.2 of Ph.D. rules and regulations under part-time category. b) A part time research scholar can also request for a change from part-time to fulltime category with justifiable reasons. The request has to be made to the respective Chairperson, Department Research Committee (DRC) for necessary approval.

**iii) Sponsored Ph.D. Scholars/ Working Professionals:** These will be research scholars employed in industry / Govt. /Autonomous bodies / public sector undertakings and other such organizations. Some of the industries/ research or academic institutions or some partner institutions of LV may sponsor their employees to pursue Ph.D. program at LV. Non sponsored working professionals may also enroll for Ph.D. program. LV encourages such candidates with good professional experience to pursue research at LV in the interest of enriching research environment at the University. The Full time / part time rules including eligibility for admission as also for other compliances for award of Ph.D. degree including minimum course credits requirements and research publications as per Ph.D. rules shall also be applicable to such candidates.

### **3. DISCIPLINES OF PHD PROGRAMME**

The PhD programme is conducted by most of the Schools/ Departments of Lingaya's Vidyapeeth. The disciplines include – Computer Science & Engineering, Mechanical Engineering, Civil Engineering, Electronics and Communication Engineering, Chemistry, Physics, Mathematics, English, Commerce & Management, Education, Law, Psychology, Mass Communication etc.

### **4. ADMISSION ELIGIBILITY CRITERIA**

#### **a. Ph. D. in Engineering / Technology or Related Disciplines**

For admission to Ph. D. Programs in Engineering/Technology or related disciplines, the candidate must have minimum 55% marks or minimum grade equivalent to 55% marks in M.E / M. Tech/M.Voc in related/allied disciplines from a recognized University.

#### **b. Ph. D. in Management, Pharmacy and Non-Engineering Disciplines**

For Ph.D. Programs in, Pharmacy and Non-Engineering fields, the candidate(s) must have minimum 55% marks or equivalent Grade in PG Degree in related/allied disciplines.

For Ph.D. Programs in Management, Master degree in Management/Commerce/Economics/Technology Management and other allied relevant disciplines, Post Graduate Diploma in Management (PGDM) approved with AICTE; equivalent from AIU or have minimum 55% marks or equivalent CGPA/Grade in PG Degree in related/allied disciplines or Professional Qualification CA/CS/CMA

membership.

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 UGC norms. Provided that if a Department/School desires to incorporate additional eligibility requirement to cater to the specific need of the course, the concerned DRC will be authorized to do so.

c. Bachelor Degree in Engineering/Technology in relevant discipline or equivalent with a minimum 75% marks in aggregate or equivalent CGPA and having proven research capability.

## **5. ADMISSION PROCEDURE**

- 5.1. Every year the Departments/Institutes of the University shall decide through their academic bodies (Departmental Research Committee) a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors; required infrastructure; research promotion facilities; research labs, library and availability of such other academic and physical facilities keeping in mind the norms regarding the scholar supervisor ratio.
- 5.2. The interested candidates should apply through a formal Application Form as prescribed, available in the Website of the University or from the Accounts Section of the University.
- 5.3. Admission Entrance Test shall be conducted by the University as per syllabi of various courses available on the Website of the University. After the written test, interview shall be conducted for the candidates qualifying the written examination for selection of candidate(s), to the course.
- 5.4. Candidates who have qualified in UGC/ CSIR (JRF) Examination/ SLET/ GATE / GPAT Score Card/ M. Phil (As a Regular Candidate from UGC Recognized University for admission to non-engineering disciplines), may not be required to appear for Entrance Test of the University. However, their appearance in the interview shall be mandatory for admission for such category
- 5.5. The merit of the candidates exempted from appearing in the Entrance Test shall be determined on the basis of their academic merit followed by interview/viva voce along with other candidates.

- 5.6. The Entrance Test shall be followed by interview/viva-voce to be organized by the Department concerned when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC).
- 5.7. The interview/viva voce shall also consider the aspects viz. whether
- 5.7.1. the candidate possesses the competence for the proposed research;
  - 5.7.2. the research work can be suitably undertaken at the University;
  - 5.7.3. the proposed area of research can contribute to new/additional knowledge.
- 5.8. A merit list will be prepared for admission based on the marks obtained in the Entrance Test and Interview or Interview for candidates who have been exempted from the Entrance Test.
- 5.9. Admission may be made twice in a year- Winter Session and Summer Session. The exact dates shall be notified on the Website of the University.
- 5.10. Only a pre-determined number of candidates, depending upon available seats / facilities, shall be selected for admission to the Ph. D. programme.
- 5.11. The verification of documents and eligibility for admission to Ph. D. programme shall be done by the HOD / DRC Chairperson concerned which shall be sent to the Dean Academics for further action.
- 5.12. The list of all the registered scholars of Ph.D. shall be maintained/ uploaded on its website on year-wise basis. The list shall include the names of the registered candidates, topics of their research, names of their supervisors/co-supervisors, date of enrolment/registration, etc.
- 5.13. The recommendations with regard to the suitability of the research scholars made by the Departmental Research Committee (DRC) approved by the Vice-Chancellor shall be final.

## **6. ENTRANCE TEST**

- 6.1. The syllabus for the Entrance Test shall be as prescribed by the University from time to time and shall be displayed on the University Website.
- 6.2. The Entrance Test shall be conducted at the Campus and/or other Centres as decided by the University.

6.3. Those who secure at least 50% marks in the Entrance Test (45% marks in case of SC/ST/OBC (Non-Creamy layers)/Differently abled persons, EWS and other categories of candidates as per the decision of UGC from time to time will be shortlisted for the interview in order of merit subject to the available seats.)

## **7. LV FULL TIME Ph.D. FELLOWSHIP**

### **7.1. Fellowship Scheme**

On the basis of UGC guidelines, the remuneration for fellowship scheme w.e.f. 25th October 2023 is applicable. Lingaya's Vidyapeeth offers the fulltime Ph.D. fellowship to the meritorious candidates at the following conditions:

- 7.1.1 All full-time scholars admitted into Ph.D. programme will get a junior fellowship of minimum INR 30,000 per month for First year, INR 35,000 per month for Second year and INR 37,000 per month for Third year. Further, the fellowship amount shall be reviewed and considered by a committee.
- 7.1.2. Post deposit of registration fee, total fee will be deducted in equal monthly installments from the fellowship of the candidate.
- 7.1.3. The fellowship amount will be enhanced as per the experience and knowledge of the scholars. There is no bar for maximum fellowship amount for deserving candidates
- 7.1.4. Upon completion of Ph.D., scholar will get back the paid fees in monthly installments as per LV policy for its employees. 5. Regular scholars opting Ph.D. will be given the experience of teaching by offering him / her work load in the respective departments.
- 7.1.5. The scholars will be designated as Junior Fellow / Teaching Assistant / Assistant Professor as per the number of years of experience and knowledge.

### **7.2 LV Policy for its Employees**

- 7.2.1. Upon completion of Ph.D. by the employee / employees, fee deducted from the salary of the employee / employees on monthly basis will be reimbursed in the same monthly ratio as deducted.
- 7.2.2. After completion of Ph.D., scholar has to work for minimum time

duration of One year. In case, he / she cannot continue, he / she has to refund 33 % of fellowship amount before getting relieved. It is to be noted that admission to the Ph.D. programme and award of fellowship are not linked. Admission to any programme does not guarantee the award of fellowship. Those who are not awarded fellowship can continue with the programme as self-financing scholar.

## 8. COURSE WORK

- All candidates provisionally admitted to Ph. D. programme shall have to complete the 'Course Work' of 12 Credits on the Campus for a minimum duration of One Semester.
- Candidates admitted to Ph.D. Directly after completing B.Tech should complete 16 credits on the Campus for a minimum duration of One Semester
- The maximum duration to complete the Course work shall be one or two semesters (6 months or 1 year) failing which the registration of the Scholar shall be cancelled.
- Minimum CGPA 5.8 is required for the completion of the Course Work.
- The Course Work shall consist of the following: a) Research Methodology Course (**4 Credits**) which shall be compulsory for all the Scholars; b) Research and Publication Ethics Course (**2 Credits**) which shall be compulsory for all the Scholars; c) One Course (**4 Credits**) related to the research work as recommended by the Supervisor and approved by DRC/VC; and d) Literature Survey Course (**2 Credits**) which will be run on self-study basis.
- Each Course, except Literature Survey Course, shall have 100% End Semester Examination Component. 8.6 Literature Survey Course shall have 100% Continuous Evaluation Component.

**PhD Course Work Scheme**

S.N.	Course	Credit
1.	Research Methodology (Common to all)	4
2.	Research and Publication Ethics (Common to all)	2
3.	Core Subject (Discipline Based)	4
4.	Literature Survey (Discipline Based)	2

**9. ELIGIBILITY CRITERIA FOR Ph. D. SUPERVISOR/CO-SUPERVISOR**

9.1. Supervisor must hold Ph. D. Degree.

9.2. There could be more than one person supervising a Ph. D. Scholar. In such case, all the other person(s) except the Supervisor shall be called as Co-Supervisor(s).

9.3. Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co- Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the DRC.

9.4. 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.

9.5. Adjunct professor, on the recommendation of the DRC and approval by VC, may also be appointed as Supervisor/Co-Supervisor.

**10. SELECTION OF A Ph.D. SUPERVISOR/CO-SUPERVISOR**

10.1 The concerned DRC shall initiate the process of selection of Supervisor for each Ph. D. Scholar and allocation of Ph. D. Supervisor to a Scholar shall be made by the concerned DRC with the prior approval of the Vice Chancellor. Ph. D. Supervisor may be changed, if required, by the DRC concerned with permission of the Vice Chancellor.

10.2. If the proposed topic of the research, so warrants, the concerned DRC may also



appoint Co-supervisor (s), either from within or outside the University.

- 10.3.** If a candidate is to carry the part of his/her Ph. D. work in a foreign country, the DRC concerned may recommend the appointment of a Co-supervisor from the foreign institution concerned having the consent of proposed Co-supervisor.
- 10.4.** If an academic staff is on a long leave of one year or more duration, the DRC concerned shall not recommend him/ her as Supervisor/ Co-supervisor.
- 10.5.** If a Supervisor of a scholar proceeds on long leave of more than two years duration during the first year of registration, the DRC concerned may appoint another Supervisor for the said student.
- 10.6.** If a Supervisor leaves the University within two years of the registration of a Ph. D. scholar, the DRC concerned shall appoint a new Supervisor for him. Provided that if there is a co-supervisor of the said candidate from the same Department/ School/ Centre, he shall be appointed as the Supervisor.
- 10.7.** If a Supervisor proceeds on long leave after two years of registration of a candidate, the Ph. D. Thesis shall be submitted under his/ her supervision provided he/ she is available in the Department/ School/ Centre at the time of the submission of the Thesis. Provided that if the concerned Supervisor is not available in the Department/ School/Centre at the time of the submission of the Thesis, the candidate shall be allowed to submit his/ her Thesis under the Co – Supervisor of the said candidate. Provided further that the candidate shall be allowed to submit his/her Thesis under the Head/ Dean/ Director of the Department/ School/ Centre concerned if both the Supervisor and the Co-Supervisor are on long leave at the time of submission of the Thesis.
- 10.8.** In case of death or resignation of a Supervisor from the University, the Head/ Dean/Director of the Department/ School/ Centre concerned shall discharge the duties of the Supervisor till such time the DRC concerned appoints a new Supervisor of the said Ph. D. scholar.

## **11. ENROLLMENT AND REGISTRATION**

- 11.1** Enrollment The candidates recommended by the DRC and approved by Vice Chancellor, shall be admitted to the Ph.D. programme of the University. They shall be required to submit the necessary documents for scrutiny and preparation of

Registration Return. Upon due processing, the candidates will receive the University Enrolment Number. The Ph.D. tenure to be counted from the day of paying the registration fee provided his candidature gets subsequently approved by the Academic Council.

**11.2.** Registration After the approval of the Research Plan by the DRC and payment of fees prescribed by the University, a candidate shall be formally registered as a Research Scholar with effect from date on which the Academic Council accorded its approval and the candidate was allotted Enrollment Number. A Research Scholar shall be required to renew his registration every semester/ year and pay the fees in the manner prescribed by the University.

## **12. RESEARCH PROGRESS ADVISORY COMMITTEE AND PERFORMANCE MONITORING**

There shall be a Research Progress Advisory Committee (RPAC) for Ph.D. scholar. Supervisor will be the Chairman of RPAC and 2 subject specialists having interest in the area of research. This Committee shall have the following responsibilities:

- 12.1. To review the research proposal and finalize the topic of research;
- 12.2. To the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 12.3. To periodically review and assist in the progress of the research work of the research scholar. For this purpose, each Research Scholar will be asked to submit a progress report at the end of each semester to his/ her Supervisor(s). On receipt of the progress report, the Supervisor(s) shall arrange a presentation of the Research Scholar with the RPAC for a review. The RPAC after having evaluated the progress report of each Research scholar, shall recommend to DRC one of the following actions:
  - a) Continuation of registration;
  - b) Continuation of registration with issuance of a warning to the research scholar suggesting steps necessary to improve his performance in consultation with the Supervisor(s); or
  - c) Termination of registration. The six-monthly progress report with comments on evaluation of research work, as per Format prescribed, shall be submitted by the Convener of the RPAC to the Chairman DRC of the concerned Faculty, with a copy to

the research scholar.

In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RPAC may recommend the Chairman DRC of the concerned Department with specific reasons for cancellation of the registration of the research scholar. If the RPAC recommends termination of registration, the matter is to be referred to DRC. In such cases, the BOS shall recommend its decision to Board of Faculty for its consideration and further ratification of Academic Council.

### **13. DEPARTMENTAL RESEARCH COMMITTEE**

Each Department will constitute the DRC as per following:

- |  |             |
|--|-------------|
| a) Dean/HOD or a Senior Faculty Member                                   | Chairperson |
| b) HOD, if not Chairman  | Member      |
| c) All Supervisors within the Department                                 | Members     |
| d) Institute Faculty Expert(s) from Outside the Department, if necessary | Member(s)   |

Each research scholar will be required to submit his/her progress report to his/her Supervisor once in every 6 months. The progress report submitted by the Research Scholar shall be evaluated by the DRC wherein the Research Scholar shall present the progress of research work carried out during last six months through a Seminar/other Presentation Techniques, before the DRC.

### **14. RESEARCH PLAN AND SHORT SYNOPSIS**

**14.1** A Research Scholar shall be required to make a presentation of his Research Proposal/Synopsis within two months from the date of completion of course work before the DRC to establish his preparedness to carry out the proposed research. The Research Plan/Synopsis shall cover the following aspects:

- a) Outline of research proposal
- b) Current state of the literature related to the proposed topic
- c) Summary of the current technology/developments
- d) Proposed methodology
- e) References
- f) Possible applications of the proposed research

g) Name of the Supervisor(s) and Co-Supervisor(s)

The Research Plan shall be submitted to DRC for consideration at least two weeks before the date of presentation.

**14.2.** A Research Scholar shall ordinarily be allowed only two attempts for presentation. In case, the Research Plan of a Research Scholar is not approved within the limitations prescribed in this clause, his provisional registration shall stand cancelled.

**15. MINIMUM ELIGIBILITY CRITERIA FOR PRE-Ph.D. SUBMISSION SEMINAR AND PRESENTATION**

A Research Scholar may submit his/her Thesis within the time period, provided he/she has completed the following requirements: The Research Scholars can appear Pre Ph.D. Thesis Submission seminar minimum **2.6 years after the date of registration.**

**15.1.** The Research Scholar must have at least Two Research Papers in Refereed Scopus Indexed Journals with DOI (mandatory). All the Scholars will present his/ her research findings in at least One National/International Conference indexed by SCI/SCOPUS/UGCCARE/WOS etc.

**15.2.** The type of publication/ presentation shall be in the field/sphere of topic of Ph.D. Only those research publications, in the Journals/Proceedings of the Conferences, would be considered where the name of the Research Scholar is written as an author along with that of Supervisor(s). Only full published papers will be considered, however in case of presentation the scholar shall submit the presentation certificate with University affiliation along with Supervisor(s).

**15.3.** The Research Scholar must mention the affiliation of the University in all his/her research publications emanating of the Ph.D Degree.

**16. PRE-Ph.D. SUBMISSION SEMINAR AND PRESENTATION**

**16.1.** On completion of the research work as certified by the Supervisor(s), the Research Scholar shall be eligible to submit the Synopsis and one draft copy of the thesis.

**16.2.** For this purpose, he shall be required to submit 2 copies of the Synopsis of his research work including bibliography to the DRC through his Supervisor(s).

Thereafter, the scholar will be required to make a presentation before the DRC, and the faculty members and Research Scholars of the concerned School/Department.

**16.3.** After the presentation, the DRC may: a) Approve the Synopsis. In this case, the Research Scholar shall submit the same Synopsis along with the Thesis. b) Suggest some changes in the Synopsis. In this case the Research Scholar shall make suggested changes and on approval of the same by the concerned DRC, shall submit the revised Synopsis along with the Thesis. Notice for Pre-Ph.D. Submission Seminar and Presentation must be issued by the Ph.D. Coordinator with the approval of the DRC concerned, at least 7 calendar days in advance.

## **17. Plagiarism Policy**

In accordance with the UGC Notification on University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, the Plagiarism Policy of the institute has been formulated with a view to ensure that the institute ensures zero-tolerance for plagiarism in the research work carried out by its faculty or the students.

**'Plagiarism'** is the unacknowledged use of another person's work as one's own work. Plagiarism involves copying of Phrases, clauses, sentences, paragraphs, or longer extracts from published or unpublished work including from internet without acknowledgement of the source.

### **Self-Plagiarism:**

Copying/reproducing, in part or whole one's own published work without giving proper reference of that work.

### **Methods of Plagiarism:**

- (a) Quoting directly another person's language, data, illustration, tables, etc. without due acknowledgement of the source.
- (b) Copying a section of book/article/report/monograph/dissertation/thesis without proper citation.
- (c) Buying, stealing or borrowing assignments, experiments/results.
- (d) Paraphrasing the work of others without due acknowledgements.

- (e) Using ideas of someone else without crediting the originator.
- (f) Copying, cutting and pasting from the internet or online source and submitting as one's own work without giving proper reference/citation.

**Detection of Plagiarism:**

Candidate shall submit the report generated on the plagiarism checking software like **Drillbit** software, of his/her Synopsis/draft thesis along with a soft copy of both the documents for the consideration of Departmental Research Committee.

**Similarity checks for exclusion from Plagiarism:**

The similarity checks for plagiarism shall exclude the following:

- i) All quoted work reproduced with all necessary permission and/or attribution.
- ii) All references, bibliography, table of content, preface and acknowledgements.
- iii) All generic terms, laws, standard symbols and standards equations.

**Note:**

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude common knowledge or coincidental terms, up to fourteen (14) consecutive words.

**Similarity Index**

- i) For Synopsis: Similarities up to 10 %
- ii) For Thesis: Similarities up to 10%

**Detection/Reporting/Handling of Plagiarism**

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Research Committee (DRC). Upon receipt of such a complaint or allegation, the DRC shall investigate the matter and submit its recommendations to the Research & Development Department.

**Procedure for reconciliation of plagiarism reports:**

If a draft thesis is found plagiarized and is reported to Departmental Research Committee, then the Departmental Research Committee shall call the candidate to hear the candidate's view. On hearing the candidate, the Departmental Research Committee shall submit its

recommendations keeping in mind the following guidelines:

- a. The similarity between documents is within the limit for putting some original results in proper context and all original sources are correctly cited. The similarity is not of such nature which directly affects the original findings of research. No further action is required. Candidate may be permitted to submit the thesis.
- b. Self-plagiarism: “Regarding self-plagiarism or cases where published work of the student is shown Plagiarism in the check, the candidate may exclude the same by citing it as reference. Only those articles that have been published by the student from the thesis work should be excluded from the check.
- c. Similarity contents are from candidate’s previous published work without proper citation. Candidate will be required to resubmit the work with proper citations. If the published work is co-authored by others, the researcher shall submit a consent letter from co-author(s) and publisher permitting him to use the work in his thesis.

**Note:**

The thesis resubmitted as recommended by the Departmental Research Committee will be again placed before Departmental Research Committee and the candidate will also be required to be present to substantiate the necessary improvements made by him/her in the thesis.

**Plagiarism reported after the of Award of Degree**

- a. In case, any plagiarism is reported to the Institute after a Ph.D. degree has already been awarded, the Vice Chancellor may constitute an expert committee to enquire into charges of plagiarism and the committee will submit its report with recommendations.
- b. The expert committee may give the opportunity of hearing to the concerned parties as it deems fit.
- c. The Vice Chancellor will place the report along with recommendations of the committee before the Academic Council for its consideration and action.

## **18. SUBMISSION OF Ph.D. THESIS**

- 18.1.** The Research Scholar, within six months from the date of Pre-Ph.D. submission (**Regulation 2**) seminar and presentation, will submit Two Spiral Bound Thesis (02 Copies), along with one copy on electronic media for record to the Controller of Examination for organizing evaluation. In case, a research scholar is supervised by more than one Supervisor/Co-Supervisor, appropriate number of additional copies shall be required to be submitted.
- 18.2.** In case the Research Scholar fails to submit his/her Thesis within the stipulated time period and has suitable justification for the same, the VC may, on the recommendation of DRC, grant an extension of not more than 6 months i.e. he/she may be allowed to submit his/her Thesis as above within a period of one year from the date of acceptance of the Synopsis.
- 18.3.** The Thesis shall be a piece of research work characterized either by discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts. It shall bear evidence of the research scholar's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. Further, no part of the Thesis or published work shall have been submitted for the award of any other diploma or degree.
- 18.4.** The research scholar shall submit a certificate from his Supervisor(s) in the prescribed format that the work embodied in the thesis entitled “ ” is original and has been carried out by the scholar and that it has not been submitted earlier in full or in part for the award of any other diploma or degree of this or any other University.
- 18.5.** The preparation of the Thesis shall be in accordance with the format prescribed by the University.
- 18.6.** It will be the responsibility of the Supervisor(s) and the Research Scholar to get the Thesis checked on one of the globally acceptable 'plagiarism checking software' approved by the University to ensure that the plagiarism levels do not exceed 10 % overall. The Plagiarism Check Report shall be submitted along with the Thesis.

## **19. APPOINTMENT OF EXTERNAL EXAMINERS**

- 19.1.** A panel of at least six experts in the subject area of research work from the different States in India would be suggested by the Supervisor(s) and placed



before the DRC Chairperson after successful Pre-Ph.D. Submission Presentation / implementation of suggestions recommended by Committee Members.

- 19.2.** A person from the same University/Institute/Organization where the research scholar is employed shall not be appointed as an examiner. Further, a person from a University/Institute/Organization to which the Supervisor/Co-Supervisor of the research scholar belongs, shall not be appointed as an examiner.
- 19.3.** On receipt of the Spiral Bound Thesis (02 Copies), the concerned Supervisor shall send the panel of examiners list to the DRC Chairperson who shall in turn review and recommend the panel to Dean-R&D.
- 19.4.** Further, Dean-R&D will send the Spiral Bound Thesis (02 Copies) and the panel of examiners list to COE in a sealed envelope.
- 19.5.** COE will take approval from VC to appoint Two External Examiners to examine the Thesis.
- 19.6.** In case one or more examiners so appointed decline to examine the Thesis, other examiner(s) out of the panel shall be appointed. In case the panel gets exhausted, the concerned DRC, in consultation with the Supervisor(s), shall recommend additional names in the panel.
- 19.7.** In case, the Vice Chancellor himself / herself happens to be the Supervisor, the external examiners shall be appointed by the Pro Vice Chancellor of the University or the DRC concerned.

## **20. EVALUATION OF Ph.D. THESIS**

- 21.1** After receiving the copies of Ph.D Thesis and the Synopsis, the Controller of Examinations shall send the submitted Synopsis to the Examiners for obtaining their consent to evaluate the Thesis.
- 20.2.** On receipt of the consent, the COE will send the Hard Copy or the Soft Copy of the Thesis as per the requirement of the Examiner(s) for evaluation.
- 20.3.** Each Examiner shall be requested to submit to the COE a detailed assessment report on a prescribed proforma within 45 days of the date of receiving the Thesis.
- 20.4.** In the event of the assessment report not being received from an examiner within 60 days, the Vice Chancellor may appoint other examiner(s) from the panel of examiners for evaluating the Thesis.

- 20.5.** The examiners shall be required to state categorically whether in their individual opinions, the thesis shall be: a) Accepted for the award of Ph. D. degree, or b) Referred to the research scholar for revision and re-submission, or c) Rejected.
- 20.6.** The examiner while recommending re-submission / rejection of the Thesis, shall state the reasons thereof. If re-submission is recommended, the examiner shall specifically indicate the modifications that are required to be made in the Thesis.
- 20.7.** The reports from all the examiners shall be placed before VC who shall peruse the reports and advise one of the following:
- 20.8.** That the research scholar shall appear for oral defense, if all the examiners have unanimously approved the work of the research scholar and recommended for the award of Ph. D. However, if any of the examiners, while recommending the Thesis, also suggests for some corrections to be made in the Thesis, the candidate shall be required to make necessary corrections therein in consultation with his Research Supervisor(s). In such a case, a committee comprising of the Head of the Department, the Ph. D. supervisor and DRC concerned shall ensure that all necessary corrections have been made in the Thesis. The details of the corrections made in the Thesis by the candidate will be placed before the Examiner at the time of the Oral Defense.
- 20.9.** If one examiner recommends Thesis for the award of the Degree and the other examiner rejects the Thesis, an additional external examiner out of the panel may be appointed by the Vice Chancellor the Thesis will be sent to the Third Examiner. In case the Third Examiner also recommends the rejection of the Thesis, no additional opportunity shall be given to the Research Scholar and his registration shall be cancelled.
- 20.10.** That the research scholar shall revise the Thesis and resubmit the same, if both the examiners are of unanimous view that the Thesis be re-submitted in a revised form. The revised Thesis shall be submitted within a period of one year from date of communication by the COE. However, in exceptional circumstances this period may be extended by one more year by the express permission of the Vice Chancellor on the recommendation of the DRC.
- 20.11.** The revised Thesis incorporating all necessary corrections/modifications as suggested by the examiners shall be sent to the original panel of examiners for

assessment. In the event of one or more of the original external examiners not being available, an additional external examiner out of the panel may be appointed by the VC.

**20.12.** That a Third examiner out of the existing panel approved by the VC, shall be appointed as a special case, if there is no unanimity between the examiners on the revised Thesis and the merit of the case so demands. The report of the Third examiner shall be considered by DRC and appropriate action shall be taken.

**20.13** In the event of acceptance of the Thesis, the COE shall arrange for Oral Defense. However, in the event of rejection of the Thesis, no additional opportunity shall be given to the Research Scholar and his registration shall be canceled.

## **21. VIVA-VOCE EXAMINATION**

**21.1.** A research scholar, whose Thesis is recommended for acceptance in accordance with the provisions, shall be required to defend his / her Thesis orally before a duly constituted committee, hereinafter called as Oral Defense Committee (ODC), at the University premises during working hours. Any deviation from this shall have prior permission of the VC.

**21.2.** The Viva-Voce examiner shall be provided with the comments made by the examiners before the Viva-Voce examination.

**21.3.** The Oral Defense Committee (ODC) shall consist of:

- a) The DRC head of the concerned Department; Chairperson
- b) Concerned research supervisor(s); Member(s)
- c) One of the External Examiner who evaluated the Thesis, as nominated by the Vice-Chancellor; Member

**21.4.** If none of the examiners is available to attend the oral defense, an alternative examiner, on the recommendation of the concerned DRC, shall be appointed by the Vice-Chancellor.

**21.5.** If the DRC head concerned is not able to participate in the meeting, the Vice-Chancellor will co-opt any other senior member of the concerned School/Department in his/her place.

**21.6.** During the conduct of Oral Defense, all Deans, HODs, faculty members and research scholars will be invited though they will not form the part of ODC.

- 21.7.** The ODC, after the conduct of Oral Defense, shall submit its recommendation (on the prescribed format) to the Vice Chancellor for approval.
- 21.8** In case the research scholar is found to be 'Not Qualified' for the award of Ph. D. by ODC, the Research Scholar, after due approval of the concerned DRC, may be given second chance to defend his Thesis within next 6 months.
- 21.9.** However, if the Research Scholar is found to be again 'Not Qualified for the award for Ph. D. by the ODC and such recommendation is approved by the Vice-Chancellor, he/she shall be advised to re-register and write a fresh Thesis thus repeating the entire process. However, such Research Scholars shall not be required to go through the course work again.

## **22. AWARD OF PROVISIONAL DEGREE**

In case the research scholar is found to be qualified for the award of Ph. D. by the ODC and its recommendation is approved by the Vice Chancellor, a Provisional Degree shall be issued by the University on request to the Research Scholar after making corrections as suggested by the ODC, if any, and approved by the DRC concerned, submits two hard bound copies of the accepted Thesis; one each for the School/Department Library and the Central Library, and another on CD ROM.

## **23. AWARD OF DEGREE**

The Degree shall be awarded by the University provided that:

- 23.1.** The Academic Council has approved the award of Doctoral Degree after due recommendations of the ODC and approval by the Vice Chancellor;
- 23.2.** The Research Scholar incorporates suggestions made by the examiners of ODC, if any, and approved by the DRC concerned;
- 23.3.** The Research Scholar submits two hard bound copies of the accepted Thesis; one each for the School/Department Library and the Central Library, and another on CD ROM; and
- 23.4.** The research scholar produces a "No Dues Certificate" in the prescribed format. The Degree shall be awarded at the University convocation, unless otherwise agreed by the Vice Chancellor.
- 23.5.** Along with the degree, the University shall issue a Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2009.

#### **24. TERMINATION OF REGISTRATION**

Registration of a research scholar shall be liable for termination in any one of the following eventualities, after due approval of the Vice Chancellor:

- (i) If a research scholar absents himself/herself for a continuous period of six weeks without prior intimation/sanction of leave;
- (ii) If the Research Scholar does not pay the Fees as due within the stipulated time.
- (iii) If he/she does not submit periodical progress reports as prescribed;
- (iv) If his/her research progress is found to be unsatisfactory as per recommendation of respective DRC/RAC;
- (vi) If he/she is found to be involved in any act of misconduct and/or indiscipline and termination is recommended by the RAC/DRC or any other disciplinary authority

#### **25. WITHDRAWAL OF AWARDED Ph. D DEGREE**

On receiving a genuine complain in writing about copying of a major portion of the Ph.D. Thesis, and upon investigation by a committee duly appointed by VC, if the complaint is found to be correct, VC, may withdraw the Ph. D. degree already awarded.

#### **26. DEPOSITION OF Ph.D. THESIS**

Following the successful completion of the evaluation process and announcement of the award of Ph. D., the University shall submit a soft copy of the Ph.D. Thesis to the Shodhganga and also to the UGC within a period of 30 days, for hosting the same in INFLIBNET.

#### **27. TRANSFER OF SCHOLARS FROM OTHER UNIVERSITIES TO LV**

1. Transfer of Scholars (Candidates) registered at any other University (other than Lingaya's Vidyapeeth) shall be allowed to continue the Ph.D. programme, provided the Scholars are from defense Organizations/National Laboratories/ National Research Organizations/ Public Sector Units/State, Central Government Organizations and approved Private Universities
2. While applying for transfer, the candidate shall submit an application to the office of Registrar, Lingaya's Vidyapeeth.
3. Transfer shall be considered only when the candidate satisfies the LV eligibility criteria prescribed for Ph.D. programme.
4. The transfer shall consider the credits undertaken by the candidate for the Ph.D. Course

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work in the earlier institution and its equivalence with LV's Ph.D. Course work will be assessed by committee constituted by RAC Chairman of LV. In case of deficiency, the candidate is to complete remaining credits of Ph.D. course work of Lingaya's Vidyapeeth

5. In case the coursework of the earlier University is not commensurate with the LV coursework pattern, the course/s shall be prescribed with or without exempting the courses already studied as per decision of RAC Chairperson.

6. After recommendation from RAC, the candidate shall be registered for Ph.D. at LV.

7. The Scholar shall be permitted to submit the thesis as per approved norms of Lingaya's Vidyapeeth from the date of his/her registration.

8. The Registrar shall inform the decision taken by the University to the Scholar, Research Center, Research Supervisor, Research Co-Supervisor (if any) and Registrar (Evaluation) before the enrollment to the Ph.D. programme.

## **28. GENERAL**

- Notwithstanding anything contained in these Regulations, all categories of research scholars shall be governed by the rules and procedures framed by the Academic Council on this behalf, and in force from time to time.
- Notwithstanding anything stated in these Regulations, for any unforeseen issues arising and not covered under these Regulations, or in the event of differences of interpretation, the Vice-Chancellor may take appropriate decision after taking, if necessary, the opinion/advice of a Committee consisting of any or all the Deans/Directors/HoDs of Schools. The decision of the Vice-Chancellor in this regard shall be final.