



SUMMARY of ACADEMIC REGULATIONS

Doctor of Philosophy (PhD) Program

RK University
Faculty of Doctoral Studies and Research

Summary of Academic Regulations for
Doctor of Philosophy (PhD) Program
(Under Full Time Program (FTP) &
External Registration Program (ERP))

1. Program Structure

There shall be two categories of registration.

- i. Full Time Program (FTP).
- ii. External Registration Program (ERP)

FTP candidates must work on campus during the entire program

ERP candidates do not need to work on the campus. Instead, they must regularly report to the Doctoral Research Committee/ Monitoring Committee.

2. Eligibility for Admission

- a. Candidate must have a post graduate (Master's) degree in relevant branch (fulltime course from a UGC recognized university or institute) or equivalent (as certified by a Government authority viz AICTE or UGC or AIU) with at least 55% marks or equivalent CGPA. (50% marks or equivalent CGPA for SC/ST/PH candidates). The degree must be as per the nomenclature approved by concerned regulatory authority, empowered by Government of India viz. AICTE or UGC. Where the degree has been obtained from a foreign country, the candidate will have to submit the equivalence certificate for the concerned qualification, certifying that it is equivalent to a fulltime course of a recognized Indian university, issued by competent authority of Government of India viz. AICTE or UGC or AIU.
- b. The candidate must also be qualified in a national level test like UGC/ CSIR (JRF) examination/ CSIR (SRF)/ NET/ SLET/ GATE/ GPAT/ M. Phil etc. or its equivalent examination of similar level or the Research Aptitude Test (RAT) Conducted by RK University.
- c. **For Faculty of Technology (All branches)**
In addition to ME/M. Tech degree with 55% marks or equivalent CGPA, a candidate having a first class bachelor's degree in concerned field (B.E. /B. Tech or equivalent) and 10 years' full-time work experience in R&D work at a research organization/institute will also be considered eligible for admission (Subject to fulfilment of other norms specified in 2a and 2b). The final eligibility of such candidate will be decided by the Provost (Vice-Chancellor)

d. For Faculty of Technology (Environmental Engineering)

A candidate having ME/M Tech (Environmental Engineering) or ME/M Tech (Civil Engineering) or ME/M Tech (Chemical Engineering) degree with 55% marks or equivalent CGPA, will be eligible for admission (Subject to fulfilment of other norms specified in 2a and 2b).

e. For Faculty of Science (Environmental Science)

Candidates having M. Sc. or equivalent degree with at least 55% marks or equivalent CGPA, in any branch of chemistry or life science will be considered eligible for admission (Subject to fulfilment of other norms specified in 2a and 2b).

f. For Faculty of Management

In addition to MBA degree, a candidate having M.Com (or equivalent PG degree) or PG diploma in Management (fulltime course or equivalent), candidates registered with SH Talaviya Centre for Research in Human Nature (RK University), with a Master's degree in Psychology/Sociology/Anthropology/Philosophy/ Economics/ Mass communication, with at least 55% marks or equivalent CGPA, will also be considered eligible for admission provided their proposed area of inquiry remains in consonance with the focus areas of the centre (Subject to fulfilment of other norms specified in 2a and 2b).

g. For Faculty of Science (Chemistry)

Candidates having M. Sc. or equivalent degree with at least 55% marks or equivalent CGPA, in any branch of chemistry will be considered eligible for admission (Subject to fulfilment of other norms specified in 2a and 2b).

h. For Faculty of Science (Microbiology)

Candidates having M. Sc. or equivalent degree with at least 55% marks or equivalent CGPA, in any branch of life science will be considered eligible for admission (Subject to fulfilment of other norms specified in 2a and 2b).

3. Admission Procedure

- a. The University will invite applications from the candidates through advertisement in the press or in the website. Candidate, who intend to register for PhD, have to apply in a prescribed Performa. If there are more number of applications received than available seats then, entrance test i.e. Research Aptitude Test (RAT) will be conducted followed by an interview by a committee consisting of the Dean of the Faculty of Doctoral Studies & Research, Dean of the faculty concerned, Head of the Department(s) and a domain expert. After interview by the committee, and on the recommendation of the committee, admission will be made on payment of prescribed fees and with approval of the Provost (VC).

- b. However, while considering the application preference will be given to the candidates who have passed the National Level Test like UGC/ CSIR(JRF) examination/ CSIR (SRF)/ NET/ SLET/ GATE/ GPAT/ M. Phil etc. or its equivalent. Such candidates will not be required to appear in the test (RAT) conducted by the university, provided that the score of the exam is valid on the date of RAT.
- c. For applications received on or before the last date of acceptance, the application fees will be non-refundable, irrespective of whether the applicant is found eligible to apply or not.
- d. For application not accepted due to late submission (after last date), the application fee will be refunded to the applicant.
- e. On completion of entrance examination/interview procedure, all selected candidates, whose eligibility for admission has been ascertained, will submit 1st year fees and required documents for admission on or before last date declared for the purpose. They will be allowed one month's time from orientation program for submitting any deficient document required for admission, after which the admission will be treated as cancelled and 1st year's fee will be refunded after deduction of 10% processing charge.
- f. Where there is scope for query regarding the eligibility status or equivalence of the qualifying Indian degree or PG diploma or a degree obtained from a foreign country, the candidate will have to submit an equivalence certificate as mentioned in clause 2 (a). Such candidate will not be allowed to appear in entrance procedure.
- g. If a candidate is selected for PhD admission but does not pay fees, his/her RAT exam score will remain valid for the immediate next admission session but the candidate shall have to appear in admission interview conducted in next admission session and not beyond that. His/her admission score will be computed by combining previous RAT score and current interview score.
- h. If a candidate is selected for PhD admission and pays the 1st year fees but due to some reason, cannot submit all documents required for admission, his/her right for admission will remain valid for current admission session and also for immediate next admission session only and not beyond that. In such case, if he/she submits remaining documents within one month after orientation program of current admission session, he/she will be granted admission in current session. If the documents are submitted later than this period but within one month's time from orientation program of next admission session, his/her admission will be granted for next admission session. After expiry of this time period any right to admission will become invalid and the 1st year fees will not be refunded.

4. Doctoral Research Committee

- a. After admission, a Doctoral Research Committee (DRC) shall be appointed for each scholar, which shall guide the research scholar in all matters of the PhD Program including prescribing of Coursework. Within 3 months, the admitted research scholar will prepare a research proposal in one of the areas identified at the time of admission which will be examined by the Doctoral Research Committee (DRC) consisting of Dean of the concerned school, head of the department, Guide, Co-guide, if any, and one expert to be nominated by the Provost (VC). On recommendation of DRC, the final shape of the research proposal along with tentative title of the topic of research shall be decided.
- b. A research scholar who is absent or whose research proposal is rejected at 1st DRC will appear in next DRC and his/her count of 6 monitoring committees will start thereafter. His/her synopsis submission term will be extended by one semester.
- c. A research scholar who remains absent in two consecutive DRCs, without obtaining prior permission of Provost (VC), shall be liable for termination of his/her admission from the PhD program of RK University.

5. Pre-registration Course work requirement

- a. All research scholars for PhD program are required to acquire prescribed credits, as applicable, through course-work, which shall normally be completed within first two semesters from the date of joining by the research scholars. The lecture courses and laboratory courses will be completed in 1st semester.
- b. The course work offered for the PhD program may be lecture courses, laboratory courses, design courses, self-study courses, mini project and seminars. The seminar will be of 4 credits, whereas self study courses will be of 3 credits. There will also be a course of 3 credits on Research Methodology comprising of Quantitative methods and Computer Applications.
- c. The research scholar, who fails or remains absent or is not in a position to complete the coursework in the prescribed time limit as above (i.e. two attempts) due to genuine reason, may file an appeal and on the recommendation of the DRC, the Provost (VC) may grant permission to appear in coursework examination for one additional semester third semester (i.e. third attempt. In case, a candidate is not able to pass coursework examination even after 3rd attempt, he/she may apply for grant of a final attempt (4th attempt) in coursework examination, for consideration of Provost (VC), who may grant such request along with extension of synopsis submission term by one semester. Failure/absence at 4th attempt will result in termination of admission from PhD program.

6. Minimum Credit Requirements

- a. The minimum credit requirements for successful completion of PhD coursework will be 11 credits i.e. 2 courses of PG level, each of 4 credits (including 1 course on research methodology) and a seminar of 3 credits. The courses may be taken from those offered by other departments/ interdisciplinary groups.

7. Course Assessment, Grade evaluation, and Examination

- a. Examinations, Grades and Performance evaluation methods will be similar to corresponding PG regulations of the University, as applicable i.e. minimum C⁺ (minimum 50%) in each course/subject.
- b. There will be provision for reassessment of papers in PhD coursework examination requiring application from the candidate along with payment of reassessment fees as decided by the management.
- c. The details about the coursework to be taught shall be decided by the DRC.
- d. For the appointment of Paper Setters and Examiners for the coursework for both FTP and ERP candidates, the procedure prescribed for masters' programs under different faculties will be followed.

9. Regular Registration

- a. The research scholar will be allowed to have Regular registration for conducting research once he earns the minimum CGPA as mentioned above.
- b. A PhD scholar will be issued Registration Certificate only after successfully clearing all subjects in PhD coursework examination and after submission of all documents required for admission to PhD Program including pending documents like migration certificate.

10. Monitoring Mechanism

- a. After registration of a research scholar, the DRC will meet the research scholar at least once in a semester and monitor his/her progress and based on the suggestions of the committee, the research scholar will take follow-up actions. A research scholar will attend a total of 6 monitoring committees (excluding DRC and synopsis presentation), from which minimum 5 successful attempts are compulsory before submission of synopsis. Failure/absence in more than 1 attempt will result into extension of synopsis submission term by corresponding number of semesters.
- b. A research scholar who remains absent in two consecutive monitoring committees, without obtaining prior permission of

Provost (VC), shall be liable for termination of his/her admission from the PhD program of RK University.

11. Change of Research Topic

Normally the research scholars who are so registered shall not be permitted to change topic of research. The Faculty of Doctoral Studies and Research may waive this, provided the problem of research remains substantially the same, with the approval of the Provost (VC).

12. Cancellation of Registration

The Faculty of Doctoral Studies & Research shall be competent to cancel the registration of a research scholar in the event of his not showing satisfactory progress and on the DRC reporting same to the Registrar (Academic) through Dean, Faculty of Doctoral Studies & Research and Executive Registrar recommending to the Provost (VC) for cancellation of the registration.

13. Time Limit for Submission of Thesis

Normally, the research Scholar will submit the Synopsis/ Thesis only after duration of 3 years from the date of first admission. The maximum time limit for submission of PhD synopsis/thesis shall be 4 years from the date of first admission. Provided however, that the Provost (VC), on the recommendation of the DRC and Dean, Faculty of Doctoral Studies & Research, may after 4 years, permit the research scholar to renew the registration up to 6 years, on payment of due fees for the extension period availed.

14. Payment of Tuition & other fees

- a. The research scholar registered for the PhD degree shall be required to pay the tuition fees and other fees as prescribed from time to time for all the terms from the registration to the date of submission of thesis, which shall normally be on annual basis.
- b. However, in case of extension of terms, due to various provisions of PhD regulations, the extra fees will have to be paid by the research scholar on per semester basis (corresponding to the number of extended terms) at the time of submission of synopsis.
- c. For collection of regular fees of PhD program, the notice for payment of fees will be placed on university website, one month in advance of the last date. In case, the fee is not submitted before the last date, late fee of Rs. 500/- will be chargeable (fee + Rs. 500/-) for next 15 days. Further, a late fee of Rs. 1500 will be charged (fee + 1500) for further 15 days and Rs. 3000 (fee + 3000), thereafter.

Provisions regarding refund of fees in case of cancellation of admission

- d. In the first year of admission to PhD program, if a PhD scholar's admission is cancelled at his/her request before his/her 1st DRC; the 1st year's fees will be refunded after deduction of 10% processing charge. In case of cancellation of admission after DRC, no fees will be refunded.
- e. In subsequent years, if a PhD scholar requests cancellation of admission within 1 month from last date for 2nd/3rd year's fees, he/she will be eligible to get the refund of 2nd/3rd year's fees only, after deduction of 10% cancellation charges. In case of cancellation of admission after 1 month from last date for payment, no fees will be refunded.
- f. In case, wherein the university cancels the admission of a PhD scholar, consequent to various provisions of its PhD regulations pertaining to DRC, Coursework examination, monitoring committee, non-payment of fees within time limit or other disciplinary actions, no fees will be refunded.

15. Re-registration

The Provost (VC), on the recommendation of the DRC and Dean, Faculty of Doctoral Studies & Research, may after 4 years, permit the research scholar to renew the registration on payment of due fees up to 6 years as an external research scholar and the said period of submission of thesis will be 6 years.

18. Procedure for submission of Thesis and follow-up action

- a. On completion of 3 years from date of admission and after allowing for extension of terms (as per the provisions regarding DRC and Monitoring Committee etc.) a research scholar may submit his research work in the form of a synopsis signed by the scholar and countersigned by the research guide, in a prescribed format specified by the university, along with duly filled in synopsis submission form. After checking the eligibility of synopsis submission the Dean, Faculty of Doctoral Studies & Research will sign the submission form. Thereafter, the Dean of concerned faculty shall constitute a DRC for conducting a synopsis seminar, in consultation with the research guide. The DRC shall assess the work of research scholar through this seminar. If the DRC is not satisfied with the quality of the work of the research scholar then the research scholar shall do further work and deliver a fresh seminar after a definite period specified by the DRC.
- b. If the DRC is satisfied with the synopsis seminar of the research scholar, the concerned dean shall forward the synopsis of the research scholar accompanied by a certificate

about the successful completion of the synopsis seminar to the Dean, Faculty of Doctoral Studies & Research, who will inform the PhD scholar accordingly.

- c. Thereafter, the research scholar shall have to submit the thesis within maximum of 6 (six) months from the date of submission of synopsis. This time limit may be extended by Provost upon application for the same by the research scholar.
- d. It is also mandatory for the research scholar to publish two research papers in peer-reviewed journals before submission of the thesis.
- e. Each research scholar shall submit 4 copies of the thesis (5 in case of a co-guide) (1 each for guide (s), 2 for referees, 1 for university) in prescribed format, embodying the results of his/her research with two CDs. The thesis shall contain an account of the research work carried out by the research scholar leading to the discovery of new facts or techniques or new correlations of scientific facts already known, the work being of such quality that it makes a definite contribution to the advancement of knowledge.
- f. The thesis shall be submitted to the Dean, Faculty of Doctoral Studies and Research. It shall contain certificate to the effect that the thesis incorporates the results of independent investigations carried out by the Research Scholar himself, and signed by the Research Scholar and the guide.
- g. The Research Scholar shall not be permitted to submit thesis for which a degree has already been conferred by this or any other University.
- h. The Provost (VC), from among at least six names recommended by the Dean, Faculty of Doctoral Studies and Research, giving present designation and complete address of each of the person on the panel, shall appoint a Board of Referees consisting of three members. One of the three referees (4 in case of a co-guide), ordinarily the guiding teacher(s) under whom the research scholar has worked shall be the internal referee(s) and the other two shall be the external referee. The two external referees and the internal referee shall examine the thesis and submit individual reports, within time specified for this purpose.
- i. If the two external referees ask for certain clarifications before giving their recommendation, the internal referee may get in touch with the research scholar to obtain the required information, and communicate the same to the external referees.
- j. After receiving favourable reports from all three referees, a viva-voce test will be arranged by Dean of concerned faculty.
- k. In case of difference of opinion between the two external

referees, the Provost (VC) shall appoint from the list recommended, a third external referee. If third external referee finds the thesis unacceptable, no viva-voce will be held and the thesis shall be rejected for resubmission after due improvements. In case the third external referee considers that there is a prima-facie case for the award of the degree, the viva-voce test of research scholar shall be held at which the external referee who is in favour of the acceptance of thesis will be present provided he is not from abroad.

- l. Provided further that when it is decided to appoint third external referee the copies of the reports of both the referees, favorable as well as adverse, be sent to the third referee for his perusal, without disclosing the identity of the said both referees.
- m. Where no internal referee can be appointed, the Dean, Faculty of Doctoral Studies and Research will arrange the viva-voce examination with the help of concerned dean or his nominee and one external referee.
- n. All reports of the panel of referees and the report of the viva-voce as approved by the Dean, Faculty of Doctoral Studies & research shall be forwarded by Dean, Faculty of Doctoral Studies & research to Board of Governors through Academic Council. On the approval of the Board of Governors, the PhD Degree will be awarded.
- o. Following successful completion of evaluation process and announcement of the award of PhD degree, the university shall submit a soft copy of PhD thesis to Infilibnet center for hosting the same on 'Shodhganga' project through the official signatory appointed by the university for the purpose.

Note –

1. Pass/fail/absent at any event of PhD Program (viz. Doctoral Research Committee, Coursework Exam, Monitoring Committee etc.) will be treated as one attempt. Hence, PhD scholars are advised to avoid absenteeism from such events.
2. Fees of any kind, once paid, will not be refunded under any circumstances.