

**Rajiv Gandhi University of Knowledge Technologies
Andhra Pradesh
Ph.D. Programme
Regulations effective from the academic year 2022-23**

Research leading to the award of Ph.D. (Full time and Part Time/External Registration) are offered by Rajiv Gandhi University of Knowledge Technologies, Andhra Pradesh. These regulations will come into force from the 2022-23 research admissions onwards.

1. Admission Procedure

Admissions will be made based on the performance in the Andhra Pradesh Research Common Entrance Test (APRCET) and interview.

Admissions into the Ph.D. programme will be made within the framework of reservation rules in force prescribed by the Government of Andhra Pradesh from time to time.

However, admissions for the AICTE Doctoral Fellowship (ADF) programme, Industrial Executives, and FN/PIOs/NRIs will be done as per the University guidelines prescribed from time to time.

2. Eligibility

Ph.D. can be pursued by candidates possessing the minimum qualifications as specified below on a Full-Time (FT)/Part-Time (PT) basis in the Faculties of Sciences, Humanities, Management Studies, and Engineering.

2.1. Educational Qualifications

Candidates with a Master's degree in the relevant discipline are eligible for admission into Ph.D. programmes.

2.1.1. Full-Time (FT)

a. Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for assessing, accrediting or assuring quality and standards of educational institutions.

b. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of

grade, may be allowed for those belonging to SC/ST Differently-abled and other categories of candidates as per the decision of the Government of A.P from time to time, or for those who had obtained their Master's degree before 19th September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible only based on the qualifying marks without including the grace mark procedures.

c. The full-time Ph.D. program is offered at all the four constituent campuses of RGUKT as per the availability of eligible guides. The campuses provide all the necessary facilities to the admitted candidates. The candidates have to stay on the campuses for the period of the research, and they are not allowed to take up any other jobs outside. All other criteria like eligibility, supervisors, course work, admission and fee are the same as those for the part-time candidates.

d. Candidates selected for AICTE Doctoral Fellowship (ADF) programme or, UGC net qualified shall be considered under the Full-time category.

e. Foreign Nationals/PIOs/NRIs sponsored by the Government of India or their respective Government on any exchange programme or self-sponsored and who satisfy the eligibility conditions as per the University regulations shall be considered under the Full-time category.

2.1.2. Part-Time (PT)

Candidates satisfying the eligibility conditions noted under sections 2.1.1 above can be admitted as Part-time candidates through an entrance test, as per the following order of priority. Admission into the Part-time category will also consider service seniority in the respective categories.

1. Faculty working in the University.

2. (a) Faculty working in Postgraduate and Professional colleges having completed at least two years of service. This provision is also applicable to Faculty teaching Physics, Chemistry, Mathematics and Humanities in professional colleges.

Or

(b) Faculty working in Polytechnic / Government or private aided Junior or degree Colleges/ Employees working in research institutes/industries having completed at least four years of service.

3. Duration of the Programme

a) A full-time Ph.D. student admitted with PG qualification is required to spend the minimum prescribed three years (maximum of six years) in the University/Institution.

b) A part-time Ph.D. student admitted with PG qualification is not permitted to submit the thesis before the minimum prescribed Four years (maximum of eight years).

c) In case the admitted candidate possesses the M.Phil. Degree, minimum of two years duration (maximum of four years) for the full-time programme and minimum three years (maximum of six years) for part-time Programme is applicable.

d) A grace period of 30 Days will be given to the Ph.D. Scholars after completion of the stipulated period for submission of thesis.

e) Women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for in the maximum duration.

f) In addition, the women full-time scholars shall be provided one time Maternity Leave/Child Care Leave in the entire duration of the Ph.D. Program for up to 240 days.

3.1 Long leave from the programme

A scholar may take leave anytime from the programme. For this a written request has to be made to this effect by the scholar to the Doctoral Committee. Upon recommendation by the Doctoral Committee, the scholar may be permitted by the Director of the concerned campus to take leave from the programme for a semester or longer for reasons of ill health or other valid grounds. Normally a scholar will be permitted such leave only for a maximum continuous period of two semesters. A letter permitting the leave will be issued by Director of the concerned campus. The research scholar will not be paid assistantship/fellowship during his/her period of absence.

4. Allocation of Research Supervisor

1. The allocation of a Research Supervisor for an admitted research scholar shall be decided by the University through a committee constituted by the Vice Chancellor with three to four senior faculty depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview. University may appoint a co-supervisor.

2. The Number of Research Scholars to be allotted to each supervisor is as follows:

A Research Supervisor, who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars (both Full-time and Part-time as a Supervisor or co supervisor). An Associate Professor can guide up to a maximum of six (6) Ph.D. scholars (both Full-time and Part-time as a Supervisor or co-supervisor and an Assistant Professor can guide up to a maximum of four (4) Ph.D. scholars (both Full-time and Part-time as a Supervisor or co-supervisor). However, not more than two Ph.D. scholars shall be allotted to any

supervisor in an admission year.

5. Conversion from Full-Time to Part-Time and Vice-Versa

The Conversion of the Ph.D. program from full-time to parttime and vice-versa shall be approved by the Vice-Chancellor only once during the tenure, subject to submission of necessary documents along with the recommendation of the Supervisor(s) and Director of the Centre of the Supervisor and the Scholar after completion of one year from the date of registration and on payment of the Conversion fee of Rs.5000/-.

6. Change of Supervisor

If a candidate wishes to change his Supervisor or co-supervisor for valid reasons, the request may be considered by the University as per the merits of the case. However, in such cases where the candidate is permitted, he/she can submit the thesis only after one year from the date of change of Supervisor or inclusion of an additional supervisor. Publications with earlier supervisor/co-supervisor satisfying the norms are permitted.

7. Change of Topic

The research scholar has to submit the application form in the prescribed format for the Change of Topic and it will be permitted based on the recommendation of the DC and with the approval of the Vice-Chancellor. However, submission of the thesis is permitted only after one year from the date of change of topic. The exact title of the thesis shall be finalized during the Pre-submission seminar by the committee.

8. Doctoral Committee (DC)

The members of the Doctoral Committee of an individual research scholar shall be appointed by the Vice Chancellor from a panel of names recommended by the guide duly forwarded by the Director of the concerned campus. The Vice Chancellor will report accordingly to the Academic Council.

8.1 Composition of DC

- (a) Chairman of the Doctoral Committee is Head of the concerned department/ Dean (Academic) of the concerned campus
- (b) Members of the committee:
 - (i) Research Guide
 - (ii) Internal Members - Two faculty members of the department concerned (outside experts may be opted in case there are no eligible internal members). A member must also be an eligible guide.
 - (iii) External Members - Two faculty members chosen from outside the Department, or subject experts from outside the Institute

Guide will act as a convener of the Doctoral Committee. In case any member of a DC goes on leave exceeding three months duration, or resigns or retires from the institute, the Vice Chancellor will nominate another member.

8.2 Major functions of the DC

- (a) The Chairman DC, guide/s and at least one internal and one external member should be present in any DC meeting.
- (b) The DC will meet once every year up to 3 years and once every six months thereafter till the thesis is submitted, to review the progress of the research scholar. The DC may decide to meet in between the regular meetings in the case of special requirements such as insufficient progress of the Research Scholar or on special requests of the guide/scholar. The Doctoral committee will also provide a grade "Satisfactory" or "Not Satisfactory" after every meeting. Two successive "Not Satisfactory" may result in the termination of the registration.
- (c) The first meeting of the DC shall be within one month from the date of appointment of DC. In this meeting, the research scholar will present the approximate plan of the work along with the course work details, which needs to be approved by the DC.
- (d) The DC will provide suggestions for course corrections/improvements on the work done
- (e) The DC may recommend change of guide or appointment of a guide with valid reasons
- (f) The DC will participate in the comprehensive viva of the research scholar.
- (g) The DC will suggest the Panel of thesis examiner
- (h) The DC will participate in the viva-voce.

9. Registration

The Doctoral Committee shall meet within a month of being constituted, and not later than three months of joining of the scholar. In its first meeting, the DC shall fix/approve the proposed research topic, the date of registration for the PhD program, and prescribe/approve the courses of study in consultation with the guide. At the time of joining the scholar has to pay Rs 40,000 as fees to the university. S/he has to pay Rs 20,000 per semester during the duration of the program or until s/he submits Ph.D thesis.

10. Course Work

A . The credits assigned to the Ph.D. coursework shall be for a minimum of 10 credits (Three Theory Subjects).

B. Coursework for Pre. Ph.D. examination consists of the following four papers.

i). Subjects 1 & 2: Two subjects (3/4 credits for each subject) relevant to the area of research and offered under any approved PG programme of the University in the Constituent campuses.

ii). Subject 3: Research methodology & IPR (2 Credits) offered under any approved PG programme of the University in the Constituent campuses or the Scholar can also pursue the Research Methodology & IPR course in online

mode (only SWAYAM/NPTEL). He/she shall pursue the course with the equivalent title if available online for a minimum of 8 weeks duration or if the course is not available online with the equivalent title, then he/she has to pursue the course Research Methodology and IPR separately in online mode with the permission from the University to get the equivalent credits.

iii). Subject 4: Research & Publication ethics (2 Credits) can be pursued either through self-study or Equivalent Online Course offered by NPTEL/Swayam (Minimum of 8 weeks).

C. The scholar who attends the classes along with PG students will be evaluated in the same relative grading scale of the course work i.e Evaluation pattern in mid-exams and end-semester exams shall be as per the Academic Regulations existing at that time for that particular PG Programme in that Academic Unit.

D. In case of MOOC courses where there is no grading issued and for self-study courses, University conducts examination for 100 Marks.

E. Scholars enrolled in the Disciplines not offering PG programmes by the University shall select Subjects 1 & 2 from the University approved list of subjects in their concerned discipline. Coursework for these two subjects shall be conducted in the Constituent campuses of the University. The subjects selected along with the syllabus must be intimated to the Director with endorsement from the supervisor, co-supervisor (if any). Examination for these subjects shall be conducted by the University for 100 Marks.

F. However, the Scholars registered under the Executive/part-time Ph.D. program can complete their Subjects 1 & 2 Course work through Online courses offered by NPTEL/Swayam (Minimum of 12 Weeks) with the approval of the DC. Such scholars who opt for online courses have to spend one semester period with the supervisor throughout the programme instead of one time. The Supervisor should issue the completion of the residential requirement certificate accordingly before the submission of the thesis.

G. The subjects selected must be intimated to the DC in a prescribed Format with endorsement from the supervisor, co supervisor (if any).

H. Selected Subjects cannot be changed in the future.

I. The course work shall be completed within 2 years from the date of admission for both Full-time and Part-time scholars.

J. Those who complete the courses through MOOC shall produce the certificate of completion with the grades and marks endorsed by the Research Supervisor to the DC. Only Courses registered after admission shall be counted towards this requirement.

K. The candidates shall obtain 50% marks in each subject to pass the examination.

L. The University shall issue a consolidated marks memo for the Scholars.

M. Candidates who fail in the first attempt will be given only four more attempts to qualify in the examination. Mere registration for the examination shall not be considered as an attempt unless the candidate appears for the examination.

N. Candidate's admission shall be canceled if he/she does not complete his four subjects in a maximum of five attempts.

11. Cancellation of Registration

- (a) If the Doctoral Committee finds that the progress of the scholar is not satisfactory over two consecutive Doctoral Committee meetings, or if the scholar has failed to enrol, then the registration of the scholar is liable to be cancelled.
- (b) If the student is found to be involved in any academic malpractice, which may include (but not limited to), fabrication of results, plagiarizing, or in other forms of academic dishonesty, then the registration of a scholar may be cancelled by the Doctoral Committee, after investigation by a disciplinary committee.
- (c) The registration of a scholar who has not submitted the thesis before the end of the maximum permissible period as listed in will be cancelled.

12. Comprehensive Examination

Every Ph.D. scholar shall appear for and perform satisfactorily in a Comprehensive Examination as evaluated by a duly appointed Committee. The objective of the Comprehensive Examination is to test the general competence of the research scholar and the breadth of his/her knowledge in his/her discipline and areas related to his/her field of research.

The Comprehensive Examination shall be conducted by the Comprehensive Examination Committee, consisting of the Doctoral Committee members of the scholar and at least two other members nominated by the Chairman of Doctoral Committee. The comprehensive exam shall be convened by Chairman of DC. The comprehensive exam shall usually consist of an oral examination and may also include a written test as decided by the department.

If the performance of a research scholar in the Comprehensive Examination in the first attempt is not satisfactory, he/she will be given one more opportunity to appear for the comprehensive examination within six months of the first attempt.

If a candidate fails to clear the comprehensive exam in two attempts, his/her

registration shall be cancelled.

The Comprehensive Examination Committee shall intimate to the research scholar sufficiently in advance (say 2 months) the scope of the Comprehensive Examination, so as to enable the scholar to adequately prepare for it.

The Ph.D. research scholars are normally expected to complete the Comprehensive Examination successfully within two years of his/her registration for the program. In exceptional cases the DC may allow a research scholar to extend the date for comprehensive examination.

For both written and oral components for comprehensive examination, the DC shall decide the modalities.

13. Submission of Synopsis and Publication of Research Output

Ph.D. scholars should have at least one (1) paper published or accepted for publication in Scopus Indexed journals. Although not mandatory, it is also recommended that the scholar's research be presented in two (2) conferences.

The scholar is permitted to submit the synopsis on satisfactory completion of the prescribed courses, the comprehensive examination and research work. Prior to submission of the synopsis, the Ph.D. scholar is required to give a seminar talk on the topic of his/her research work. This seminar is open to all faculty members and students of the institute, and any comments/suggestions that arise from this seminar may be incorporated into the thesis, after due consideration by the student and the guide(s). A notice of the seminar must be displayed at least four days in advance of the seminar. The intimation of seminar should be communicated by the research guide to the Academic Section, through the Doctoral Committee Chairman.

A scholar who meets the above requirements shall submit the requisite copies of the synopsis of his/her research work in the required format through the guide(s) to the Academic Section for consideration of the Doctoral Committee. The scholar shall present the synopsis before the Doctoral Committee. The Doctoral Committee will, if it approves the work reported in the synopsis, permit the research scholar to submit the thesis and recommend a panel of at least eight examiners from Indian institutes/universities (outside the parent institute), and at least four examiners from foreign institutes/universities.

14. Submission of Thesis

- (a) The scholar should submit the synopsis along with the first draft of the thesis soft copy to the DC, one week before the synopsis meeting.
- (b) In the meeting, the research scholar has to present his/her work. This presentation can be for a duration of approximately 30 min. The research scholar shall, within one month of the approval of the synopsis, submit

the requisite copies of the thesis and abstract of the thesis to the institute. The Doctoral Committee may consider and grant additional time (a maximum of three months) beyond the one month period, on request from the scholar, for valid reasons.

- (c) The guidelines for the use of anti-plagiarism software for the Ph.D. thesis are as follows:

The scholars have to certify that the software "Turnitin" or any other standard software / platform was used for checking against plagiarism. (The institute will provide a standard software for this). The guide has to ensure checking against plagiarism through any standard software before submission of Ph.D. thesis and endorse the undertaking of the scholar that plagiarism is within 10 percent.

- (d) If a research scholar completes the requirements of the Ph.D. degree program within the stipulated period, then the assistantship/fellowship may be provided up to the completion of 5 years (excluding long leave, if any) from the date of registration.

15. Evaluation of Ph.D. Thesis

A. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least three external examiners, who are not in employment of the same University.

- i) The supervisor shall furnish a panel of 09 examiners with their consent, out of which, (a) minimum 03 examiners from IITs/IISc/IISERs/IIMs, (b) minimum of 03 examiners from IIITs (central Govt.)/Central Government R&D Institutions or equivalent/ NITs/Central Universities and others from state universities outside the state.

- ii) In the case of English discipline, the supervisor will furnish a panel of 09 examiners, out of which, (a) minimum of 06 examiners from IITs/NITs/EFLUs/Central Universities (b) a maximum of 03 examiners from State Government universities/State Govt. IIITs outside the state.

- iii) The Vice-Chancellor is authorized to change the examiner(s) if the panel submitted by the Supervisor is not satisfactory.

- iv) The Vice-Chancellor out of the panel of 9 examiners from the panel will nominate 03 examiners in consultation with experts in the relevant discipline. Out of which at least one examiner from IITs/IISc/IISERs/IIMs and one from IIITs (central Govt.)/Central Government R&D Institutions or equivalent/ NITs/Central Universities

- v) The Vice-Chancellor shall, out of the panel of 9 experts, select and appoint three examiners.

B. The Adjudicator's summary report of the thesis should be accompanied by a detailed report with the following options. In case the thesis is recommended for revision or rejected outright, the reason for the same has to be incorporated in the report.

i) The thesis attains the required standards for the award of a Ph.D. degree.

ii) The thesis attains the required standard for the award of Ph.D degree and comments may be justified at the time of Viva-Voce Examination.

iii) The thesis requires revision and submission to the Doctoral Committee.

iv) The thesis requires revision and re-submission for reevaluation by the same examiner.

v) The thesis is Rejected.

The Doctoral Committee shall check and verify the answers to the comments made by the examiners only and they shall not evaluate the whole thesis. If the answers are satisfactory and incorporated in the final thesis then the committee shall recommend for the viva voce examination or else recommend for the proper incorporation of the comments or suggestions made by the examiners once again.

C. The University's decision shall be as per the following.

S.No	Examiner 1	Examiner 2	Examiner 3	Decision of the University
i	Accept	Accept	Accept	Accepted for conducting Viva-voce
ii	Accept	Accept	Revise	Revise the thesis and send it to the examiner / Doctoral committee for acceptance
iii	Accept	Accept	Reject	The thesis is sent to a fourth examiner. If the thesis is accepted, then viva-voce is conducted. If the thesis is recommended for revision, then the thesis is to be revised and sent to the examiner / doctoral committee. If the doctoral committee accepts the thesis, viva-voce is conducted. If the thesis is rejected by the fourth examiner, then the thesis is sent to the fifth examiner. If the thesis is rejected then the thesis will be rejected. If the thesis is recommended for revision, then the thesis is to be revised and sent to the examiner / doctoral committee. If the doctoral committee accepts the thesis, viva-voce is conducted.
iv	Accept	Revise	Revise	Revise the thesis and send it to examiners / Doctoral committee for acceptance
v	Accept	Revise	Reject	Revise the thesis and send it to the 4th examiner. If the fourth examiner accepts the thesis for conducting the viva voce. If the fourth examiner recommends revision, then revise the thesis and send it to the examiners/doctoral committee. If the fourth examiner rejects, it is rejected.
vi	Accept	Reject	Reject	The thesis is rejected.
vii	Revise	Revise	Revise	Revise the thesis and send it to examiners / Doctoral committee for acceptance

viii	Revise	Revise	Reject	Send to the fourth examiner after revision If the fourth examiner rejects, it is rejected. If the fourth examiner recommends for revision, then revise as per the three examiners and send it to the examiners / doctoral committee If the fourth examiner accepts the thesis for conducting the viva voce.
ix	Revise	Reject	Reject	Thesis is rejected
x	Reject	Reject	Reject	Thesis is rejected

The gist of the above table is that the scholar is permitted to attend a viva-voce examination only if three positive reports are obtained.

16. Ph.D. Open Viva-voce examination

- a) The open viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for awarding the Ph.D. Degree.
- b) The viva-voce relating to the Ph.D. thesis shall be conducted by a viva-voce committee to be nominated by the Vice-Chancellor.

The viva-voce committee shall consist of

1. Research Supervisor and Co-supervisor (if any)
2. One of the examiners who adjudicated the thesis (to be nominated by the Vice-Chancellor)
3. The Head of the Department (all the concerned Heads, in the case of inter-disciplinary work).
4. The Chairperson of the Board of Studies (all the concerned chairpersons, in the case of inter-disciplinary work) – Optional

c) The viva voce is open to all members of the department and allied departments. The candidate shall have to successfully defend his/her Thesis work.

d) A candidate who is not successful at the Viva-Voce may be permitted to take the viva-voce a second time within three months. No candidate shall be permitted to take the viva-voce more than twice. If the candidate fails for the second time, the case shall be disposed of by the Vice-Chancellor on its merits.

e) After the completion of the Viva-Voce examination, the Viva-Voce Committee will submit the recommendations along with the soft copy of the thesis (to be submitted by the scholar to the Committee) to university for placing on INFLIBNET (Shodhganga).

17. Award of Ph.D. Degree

If the performance of the research scholar in the viva voce is satisfactory, and on successful completion of all the Thesis requirements, he/she will be awarded Ph.D. degree on the recommendation of the Viva-Voce Committee

and with the approval of the Governing Council of the University.

18. Provisional Certificate

Before the actual award of the degree, the University shall issue a provisional certificate to the effect that the Degree has been awarded following the provisions of the UGC Regulations, 2016.

19. Residual powers

In all other cases not covered above, the matter(s) shall be referred to the Vice Chancellor for decision.