



REGULATIONS
GOVERNING PROGRAMS LEADING
TO
THE AWARD OF THE DEGREE
OF
DOCTOR OF PHILOSOPHY

UNIVERSITY OF PETROLEUM & ENERGY STUDIES
DEHRADUN

January 2018

1. DEFINITIONS

- (a) **“Act”** means the UPES Act 2003 (Act No. 15 of 2003, Uttarakhand, India).
- (b) **“University”** means University of Petroleum and Energy Studies (UPES).
- (c) **“Ph.D.”** shall mean the degree of Doctor of Philosophy at UPES.
- (d) **“Applicant”** means an individual who applies on a prescribed application form for admission to Ph.D. Program of the University.
- (e) **“Candidate”** means a person registered for Ph.D. program.
- (f) **“Full-time Candidate”** means a candidate registered for a Ph.D. devoting full time for completing the requirements of the program.
- (g) **“Part-time Candidate”** means a candidate who is registered for the Ph.D. devoting only a part of his time towards the pursuit of Ph.D. program while discharging his official/employment obligations.
- (h) **“Registration”** shall mean formal enrolment of a candidate for Ph.D. Program.
- (i) **“Registration Period”** shall mean the length of time span commencing from the date specified by SRC after its approval of the research proposal of the candidate and ending on the date of submission of the thesis/dissertation.
- (j) **“Residency Period”** shall mean the minimum period for which a candidate must work at the Department/Constituent Unit on full time basis.
- (k) **“Minimum Registration Period”** means the minimum duration of time span prescribed for the PhD program.
- (l) **“SRE”** means ‘Student Record and Evaluation’ department of the University.
- (m) **“DRC”** means Departmental Research Committee.
- (n) **“SRC”**, means School Research Committee.
- (o) **“URC”** means University Research Committee.
- (p) **“Supervisor”** shall mean a member of the academic staff of the University/Constituent Unit, approved by URC on the recommendations of DRC/SRC to guide/supervise the research work of the candidate.
- (q) **“Co-Supervisor”** means an additional Guide from the University Teaching Department/ Constituent Unit or an outside organization approved by SRC on the recommendations of DRC, to help in accomplishment of the research work of the candidate.
- (r) **“Course Work”** means course units prescribed by DRC to be completed by a candidate towards fulfillment of requirements of Ph.D. program.
- (s) **“Credit”** means a 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 for the learning activity.
- (t) **“Comprehensive Examination”** means a comprehensive examination required to be taken by each candidate to test comprehension of his broad field of research, academic preparation and potential to carry out the proposed research plan. It’s a 3-credit course.
- (u) **“Oral Defense Committee (ODC)”** means a committee constituted for the oral examination of a Ph.D. thesis.
- (v) **“Statutes”, “Rules” and “Regulations”** mean, respectively, the Statutes, Rules and Regulations of the University.
- (w) **“UGC”** means University Grants Commission established under University Grants Commission Act, 1956
- (x) **“Academic Council”** means the Academic Council of the University
- (y) **“Competent Authority”** means any authority in relation to the exercise of powers under these Regulations to whom or to which the power has been conferred under the Act, Statutes and Rules.

Note:

Definitions specified in the Act, the Statutes, and the Regulations shall apply unless the context requires otherwise

2. MANAGEMENT AND COORDINATION

- (a) Academic Council shall coordinate and exercise general supervision over the academic policies for the Program leading to award of Ph.D., subject to the provisions of the Act, Statutes and UGC Regulations. However, URC, SRC, DRC and any other Committee(s) constituted in this behalf by the Competent Authority shall organize and manage the Program.
- (b) The overall execution of the program shall be done by the Head of Research & Development (at university level).
- (c) Constitution, composition, functions and powers of these bodies will be as specified in the Act, Statutes, and Regulations.

3. Organization of the Ph.D. Program:

- (a) Programs leading to the Degree of Doctor of Philosophy will be offered at the Departments/Constituent Units of the University.
- (b) Subject to the general guidance of the Academic Council, research studies in the University leading to the Degree of Doctor of Philosophy (Ph.D.) shall be overseen by the University Research Committee (URC).
- (c) The Ph.D. Program shall be organized on full time and part time basis.

4. Minimum qualifications for admission:

- (a) Candidates for admission to the PhD program 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 the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

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/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per extant UGC Regulations from time to time; or for those who had obtained their Master's degree prior to 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 based only on the qualifying marks without including the grace mark procedures.

- (b) An Equivalence Committee will be constituted by the Vice Chancellor to consider applications other than covered under Clause 4(a) who may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the URC for its recommendation to the Academic Council for approval.
- (c) If considered necessary, SRC may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the URC for its recommendation to the Academic Council for approval.

5. Eligibility conditions for admission:

- (a) It is desirable that the applicants, who possess minimum prescribed qualifications for admission to Ph.D. program, should have an excellent academic/professional track record in the relevant discipline.
- (b) The applicant for Part-time Ph.D. should:
 - i. prove to the satisfaction of SRC that his official duties permit him to devote sufficient time for research.

- ii. ensure that facilities for pursuing research are available at his place of work in the chosen field of research, wherever required.

6. Procedure for Admissions:

- (a) Applications for admission to Ph.D. program shall be invited through an open advertisement, for pre-determined intake for each program in the prescribed form as laid down by the University, from time to time.
- (b) The Office of the Research & Development at the University shall execute and oversee the entire admission process.
- (c) A panel constituted by the Vice Chancellor shall conduct the entrance Test followed by a presentation to the SRC on applicant's research intent / aptitude and/or interview. The Entrance Test shall be qualifying with qualifying marks as 50%. [The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific.] The Entrance Test shall be conducted at the Centre(s), notified in advance (changes of Centre, if any, also shall be notified in advance).
- (d) Admission shall be subject to the criteria of minimum qualifications as mentioned in Clause 4 and performance in the Entrance Test and presentation, as mentioned under clause 6 (c), hereinabove.
- (e) Entrance Test may be exempted for the following cases:
 - iii. Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Program through an Entrance Test.
 - iv. Candidates who were admitted previously to a Ph.D. Program at a recognized university through an Entrance Test and wish to transfer to the Ph.D. program at UPES.
- (f) In the case of international students, the Entrance Exam may be arranged online and subsequent presentation/interview be held through video conferencing. In addition, the students will normally be required to submit three letters of recommendation.
- (g) The University reserves the right to limit the number of scholars to be admitted to the University at any time. The resources and other facilities/fiscal constraints would guide this decision.
- (h) Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.
- (i) SRC shall for each applicant, constitute a Departmental Research Committee (DRC).

7. Registration:

- (a) The Office of R&D after considering the recommendations of SRC shall approve or otherwise the registration of the candidate and convey the same to the Dean/Director of the schools.
- (b) A summary report of the candidates registered for Ph.D. shall be duly sent to the SRE of the University for Enrolment of the candidate.

8. Registration date:

The date of regular registration of the candidates shall be the date of first time payment of the applicable fee(s).

9. Renewal of Registration:

Candidates will be required to renew their registration every semester by the specified date till the submission of their thesis. The renewal of registration shall be subject to completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by the DRC. Student who fails to fulfill the above conditions will not be re-registered and will cease to be a student.

10. Time Period Requirement for submission of the Ph.D. Thesis:

Ph.D. program shall be for a minimum duration of three years, including course work, and a maximum of six years.

Extension beyond the above limits will have to be approved by the Vice Chancellor based on the recommendations of the Supervisor, Dean/Director concerned and the Head of the R&D office.

The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

11. Re-Registration:

After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if the Vice-Chancellor approves an extension of registration

12. Residency Period

A full-time Ph.D. candidate is expected to devote his time in the Department/Constituent Unit during his entire period of study. However, this period in exceptional circumstances, can be reduced by URC on the recommendations of DRC/SRC.

The minimum Residency Period for part-time Ph.D. candidates in the Department/ Constituent Unit shall ordinarily be one semester at the University Department/Constituent Units. Summer Term can also be utilized for this purpose.

13. Change of Registration:

A candidate may be allowed for valid reasons to change his status from part-time to full- time or vice-versa on the recommendations of Head of R&D and with the approval of the Vice Chancellor.

14. Course Credit Requirements and Registration for Courses:

- (a) Departments/Constituent Units shall draw a list of postgraduate Course Units, which can be offered to Ph.D. candidates.
- (b) Each registered student shall undertake course work as prescribed by the DRC for a minimum period of one semester. The course work will be treated as pre-PhD course.
- (c) A minimum 12 credits course work is mandatory for all the students provisionally admitted/registered in the PhD Program as per the following details:

- Research Methodology – 4 Credits
- Domain specific courses (minimum 2 courses of 3 credit each) – 6 Credits
- Comprehensive Examination – 2 Credits

- (d) However, DRC may assign additional courses to be taken by the student based on his/her research intent and academic background subject to the maximum credit of 16.
- (e) The examination/evaluation scheme for the courses shall be as per the existing regulation of the university on examinations.
- (f) A candidate will earn credits for a Course Unit only if he obtains a minimum of Grade B. Further, if a candidate fails to get qualifying Grade B will be given second opportunity to improve his minimum qualifying Grade B, failing which his registration will be liable to be terminated. The Candidates will be awarded Grades as per the following rules:

Letter Grade	Grade Point	Pre-determined class interval for absolute grading
O (Outstanding)	10	95 and above
A+ (Excellent)	9	85 and less than 95
A (Very Good)	8	75 and less than 85
B+ (Good)	7	65 and less than 75
B (Above Average)	6	55 and less than 65
F (Fail)	0	Less than 55
Ab (Absent)	0	Absent

- (g) The candidates registered for Ph.D. Program in Departments/Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses.
- (h) Equivalent course credits may be transferred to UPES if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the candidate at a recognized university at the similar level.

15. Comprehensive Examination:

- (a) Each candidate, normally after one semester (after completion of the prescribed course work), shall be required to take a comprehensive examination, which will test his/her comprehension or knowledge in his broad field of research and his academic preparation and potentials to carry out the research work. The comprehensive examination may be written and/or oral examination and shall be conducted by the SRE. Office of the R&D will coordinate this exam based on approved guidelines. The candidate should secure at least Grade B in comprehensive examination.
- (b) Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination. If a candidate is unsuccessful again, his Ph.D. registration may be cancelled.

16. Supervisor(s)/Co-Supervisor(s)

- (a) The Supervisor(s) shall be a regular/full-time faculty member of the University/ Constituent Unit with an earned Ph.D. degree and with at least three years of teaching experience.
- (b) An external/internal person with an earned Ph.D. degree and proven track record in the subject area may be appointed as a Co-Supervisor.
- (c) At any given time, a Professor shall not have more than 8 PhD candidates, an Associate Professor more than 6 candidate, and an Assistant Professor more than 4 candidate registered under him/her, however, in such cases where teachers are retiring or leaving, the Vice Chancellor may decide to relax the norm on recommendation of the Office of the R&D.
- (d) A faculty member who is due to retire within the next two years can be appointed as a Supervisor and can continue to be the Supervisor even after his retirement provided the DRC is convinced of his availability for continued guidance to the candidate. In other cases, a faculty member on retirement may continue as a Supervisor, if re-employed or appointed Emeritus Fellow; or, if the long abstract of the thesis has been submitted by the candidate. Appointment of another Supervisor, if necessary, will be as per provisions made in these regulations.
- (e) In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the Office of the R&D who with the approval of the Vice Chancellor will appoint a new Supervisor.

17. Appointment of Supervisor(s)/Co- Supervisor(s):

- (a) The Vice Chancellor shall approve the appointment of Supervisor(s)/Co- Supervisor(s) on the basis of recommendations of the Office of the R&D. However, the Office of R&D will consult concerned Dean/Director for allocation of the Supervisor(s).

- (b) The Office of the R&D with approval of the Vice Chancellor may appoint more than one Supervisor/Co-Supervisor not exceeding a total of three to guide a candidate.
- (c) A faculty member appointed as a Ph.D. Supervisor/Co-Supervisor is normally expected to be available to a research candidate in the University Department/Research Center till the thesis is submitted.

18. Performance Monitoring:

The academic/research progress of each candidate shall be monitored by DRC. For this purpose each candidate shall submit a progress report at the end of each Semester to the Chairman, DRC through his/her Supervisor(s). DRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade.

- (a) If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning would be issued to the candidate.
- (b) If a candidate gets three “U’s” or two successive “U’s”, his registration will be liable to be terminated.

19. Publication:

The student before submission of his Ph.D. thesis/monograph must have published minimum of two research papers in refereed journal (list of journals to be published/endorsed by the Office of the R&D) for adjudication and produce evidence in the form of acceptance letter or the reprint.

20. Long Abstract (Synopsis):

- (a) On completion of research work, the candidate shall submit to DRC through Supervisor(s), eight copies of the long abstract of his thesis.
- (b) DRC shall, in a meeting in which the candidate shall be required to be present, scrutinize the long abstract and recommend the title of the thesis after revision, if necessary.
- (c) The SRC will approve and forward the long abstract with its recommendations to the SRE for appointment of the thesis examiners.
- (d) If a candidate fails to submit his thesis within four months of the approval of long abstract, he shall be required to submit a fresh abstract. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean/Director of the School may on the recommendations made by the DRC and on individual merits of each case, grant him an extension of not more than two months.

21. Panel of Examiners for Ph.D.:

- (a) A Ph.D. thesis shall be evaluated by three examiners, two of whom shall be external experts and the third shall be Supervisor(s) or Co-Supervisor(s) (to be counted as one examiner). At least one of the external experts will be from outside the country.
- (b) The DRC shall prepare the panel of examiners and shall submit the list to the SRE. The Vice Chancellor will accord his approval to the list of examiners on the recommendation of the Head of R&D.

22. Thesis Preparation and Submission:

- (a) The thesis shall be written in English unless otherwise approved by the DRC.
- (b) No part of the thesis shall have been submitted for the award of any other degree or diploma.
- (c) The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate’s capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these.

- (d) Prior to the submission of the thesis, the student shall make a pre – Ph.D. presentation in the department that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s).
- (e) After clearing the viva-voce examination, two copies of the thesis in hard cover binding must be submitted. These hardbound copies shall include supplements if required in viva-voce examination, with a covering certificate of the Supervisor in prescribed proforma. For external examiner(s), the candidate shall provide additional copies of the supplement.

23. Thesis Evaluation:

- (a) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed proforma within six weeks of the date of receiving the thesis.
- (b) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.
- (c) Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
 - i. the discovery of facts; or
 - ii. a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his opinion on the candidate’s capacity for critical examination and sound judgment.
- (d) All examiners will submit the reports on the prescribed form clearly stating one of the following:
 - i. The thesis is recommended for the ODC or
 - ii. The thesis is recommended for the ODC subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or
 - iii. The candidate be allowed to resubmit his thesis in a revised form, or
 - iv. The thesis be rejected.
- (e) The examiner’s reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for oral defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.
- (f) The reports of all internal examiners shall be counted as one report.
- (g) If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense.
- (h) In case one of the reports recommends revision of the thesis, Sub-Clause (d)(iii) of Clause 23 shall be applicable, and the candidate will have the option to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiners for their recommendations.
- (i) If two of the three reports recommend revision of the thesis, the candidate will be given opportunity to revise the thesis accordingly and resubmit it normally within a period of one year for the evaluation by the same set of examiners.
- (j) If one of the reports recommends rejection, the comments and queries in the report, shall be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate and his thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected.
- (k) If two of the three reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.

- (l) The reports of all the examiners will be sent to the new examiner without revealing the identity of the examiners along with the response of the candidate, if any, to these. The thesis shall be deemed to be acceptable if three out of four examiners recommend acceptance.
- (m) If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after three months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed. In case the fourth examiner recommends rejection or the candidate does not accept revision, the thesis shall be rejected.
- (n) Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.
- (o) In case of ambiguous recommendations by the examiner, the Office of the R&D will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.

24. Re-submission of Thesis:

- (a) In case of resubmission of a thesis after revision, an additional fee for the re- evaluation of the thesis shall be payable by the candidate;
- (b) The revised thesis may be submitted normally in one year from the date of intimation for resubmission.

25. Oral Defence Examination (Viva-Voce):

- (1) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted Committee hereinafter referred to as the Oral Defence Committee (ODC). The date and time of the viva-voce shall be duly notified by SRE to enable the interested faculty members, staff members and students to attend it.
- (2) Composition of ODC:
 - (a) For the candidates who get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be
 - (i) Dean (Academic Development & Innovation) -
Chairperson
 - (ii) Head of R&D
 - (iii) Supervisor(s)/Co- Supervisor(s)
 - (iv) Two faculty members with specialization in the related area to be appointed by the Vice Chancellor
 - (v) External Examiner
 - (b) In case of non-availability of the External Examiner for conducting the Viva voce examination, the next person on the approved panel of examiners shall be appointed by the VC to be on ODC.
- (3) SRE shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the candidate at least fifteen days in advance.
- (4) In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present.
- (5) The ODC shall give its recommendations in the prescribed proforma. The ODC shall have the following options for its recommendations:
 - (i) Ph.D. degree be awarded for the reasons to be recorded
 - (ii) Ph.D. degree be awarded. However, the candidate should prepare a supplement to be added to the thesis document as specified in the report of ODC and or textural corrections, if needed.

- (iii) Ph.D. degree be not awarded for the reasons to be recorded in the report.
- (6) In case of difference of opinion among the members of ODC, separate reports shall be submitted.
- (7) SRE shall collect the report(s) of ODC in a folder, which will also contain,
 - (a) A copy of the thesis along with the Supplement, if required, and
 - (b) All the reports of the examiners of the thesis.
- (8) The recommendations of the ODC shall be submitted to the Vice- Chancellor for final decision, which shall be reported to URC and the Academic Council.
- (9) If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for his decision.

26. Attendance:

For Ph.D. students, the minimum requirement of attendance for completing the Course Units, prescribed by DRC, shall be the same as laid down in the Attendance Regulations for other students unless specified otherwise.

27. Passing Grades:

For Ph.D. students, the minimum passing grade in each Course Units is B.

28. Cancellation of Registration:

Registration of a candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor:

- (a) If his academic progress is found unsatisfactory in three consecutive monitoring reports.
- (b) If he absents himself for a continuous period of six weeks without sanction of leave.
- (c) If he withdraws from the Ph.D. program and his request is duly forwarded by the Office of the R&D.

29. Disciplinary Regulations:

If a Ph.D. candidate is found to be involved in an act of misconduct, misbehavior and/or indiscipline, disciplinary action will be taken by the University as per Regulations relating to maintenance of Discipline by students.

30. Award of Ph.D. Degree:

- (a) A Ph.D. candidate shall be eligible for award of Ph.D. degree at Convocation after approval of the Vice Chancellor.
- (b) On successful completion of the evaluation process announcements of the award of the Ph.D., the Office of the R&D shall submit a soft copy of the Ph.D. thesis to the University within a period of 30 days for onwards transmission to the UGC for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities/universities. Hard copy of the same will be placed in Central Library of the University.

31. Issuance of Provisional Certificates:

After approval of the Vice Chancellor, the candidate shall be issued a Provisional Certificate for having completed the requirement of the degree on the condition that the candidate has submitted two hardbound copies of the final version of his thesis and has cleared all the dues.

32. Residual Clause:

Notwithstanding anything contained in these Regulations, all categories of candidates shall be governed by the applicable Regulations and Guideline of the University.

33. COMPOSITION OF DRC AND ITS FUNCTIONS:

- (a) The DRC shall comprise Supervisor(s), two other faculty members in the related field (nominated by the VC and the Dean/Director of the concerned School/Research Centers) and concerned HOD as the Chairman. Each member of DRC (except ex-officio member) must possess an earned PhD degree.
- (b) DRC shall perform the following functions:
 - (i) ascertain the availability of facilities required for the proposed research
 - (ii) scrutinize research proposal of the candidate to ensure that the proposal is suitable
 - (iii) recommend to SRC the suitability or otherwise of the candidate and his proposal along with relevant details and documents
 - (iv) prescribe the course(s) to be taken by the candidate
 - (v) periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.
 - (vi) recommend the panel of examiners.

34. COMPOSITION OF SRC AND ITS FUNCTIONS:

- (a) The composition of the School Research Committee (SRC) will be as under:
 - (i) Dean/Director of the School/Research Center - Chairperson
 - (ii) Head of R&D
 - (iii) Maximum three Professors nominated by VC
 - (iv) Two faculty members nominated by the Director/Dean
 - (v) Maximum three external experts including those from other Departments/ Constituent Units nominated by the Vice Chancellor
 - (vi) Nominee of Controller of Examinations
- (b) The functions of School Research Committee (SRC) shall be as under:
 - (i) scrutinize applications to support the Office of R&D in executing the PhD admission process
 - (ii) approve synopsis to finalize the proposed research plan of the candidate
 - (iii) constitute DRC for each candidate
 - (iv) perform such functions as are required for operationalization of the PhD program subject to the overall supervision and guidance of the University Research Committee (URC)
 - (v) approve the long abstract of the thesis on its completion and the final title of the thesis.
 - (vi) consider the recommendation of DRC for action as required
- (c) SRC shall meet as and when necessary.
- (d) Fifty percent of the membership shall form the quorum for the meeting.
- (e) The tenure of members of the SRC other than the ex-officio members shall be two years. A member may be re-nominated for another term.

35. UNIVERSITY RESEARCH COMMITTEE (URC)

- (a) The role of URC is to formulate and lay down policy guidelines for the conduct of Ph.D. program and to ensure high standards of research work.
- (b) The composition of the University Research Committee (URC) shall be as follows:

- (i) Vice Chancellor - Chairperson
 - (ii) Dean (Academic Development and Innovation)
 - (iii) Two external experts
 - (iv) Two Deans/Directors
 - (v) Two faculty members
 - (vi) Controller of Examinations
 - (vi) Head of R&D - Member Secretary
- (c) The term of office of the members (other than ex-officio members) will be two years.
- (d) URC will generally meet at least once in an academic year.
- (e) Fifty percent of the total membership shall form the quorum for any meeting.
- (f) The URC shall perform the following functions:
- (i) formulate policies related to Ph.D. program.
 - (ii) monitor research indicators for such evaluation.
 - (iii) review and recommend areas/themes/topics for research.
 - (iv) consider evaluation reports of examiners for award of Ph.D.
 - (v) consider and approve the recommendations of SRC including waivers and exemptions from any of these regulations.
 - (vi) delegate any of its functions to the concerned SRC.
 - (vii) perform any other work related to research, development and coordination

36. RESIDUAL PROVISIONS

- (a) Any person who himself or any of his relatives, as defined below, is a candidate under consideration shall not participate at any level of the decision-making process:
Spouse, son, daughter, brother, sister, spouse's brother/sister, brother's son/daughter, sister's son/ daughter, first cousin, grandson, grand daughter
- (b) The Vice Chancellor may grant exemption in exceptional cases, from the operation of any of the Regulations, where necessary in special cases with valid reasons and without diluting academic standards.
- (c) Notwithstanding anything stated in these Regulations, for any unforeseen issues arising, and not covered by these Regulations or in the event of differences of interpretation, the Vice- Chancellor may take a decision, after obtaining, if necessary the opinion/advice of a committee consisting of any or all the Deans/Directors/other officers of the University. The decision of the Vice-Chancellor shall be final.