K.K. University

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Doctor of Philosophy (Ph.D.) Regulation and Guidelines 2024-2025

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GUIDELINES FOR DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMMES

Preamble

These regulations may be called "Guidelines for Doctor of Philosophy (Ph.D.) Programmes" in compliance to the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degrees, Regulations, 2016). The degree of Doctor of Philosophy (hereinafter referred to as the Ph.D. degree) of the KK University, Nalanda shall be conferred on the scholar who fulfills the requirements as specified in these guidelines/regulations in a particular discipline or involves more than one discipline that contributes to an advancement of knowledge, approved by the Academic Council, University Research Committee (hereinafter referred to as the URC) and Departmental Research Committee (hereinafter referred to as the DRC and Research Advisory Committee (hereinafter referred to as RAC). The Ph.D. programmes are offered on a Full-time and Part-time basis at KK University, Nalanda. The list of disciplines in which Ph.D. degrees are being offered under various Schools/Departments is attached in **Annexure-I**.

1. Eligibility Criteria for Admission

- 1.1 Master's/M.Phil degree holders satisfying the criteria stipulated 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 to assess, accredit or assuring quality and standards of educational institutions.
- 1.2 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.
- 1.3 A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.

2. Procedure for Admission:

- 2.1 The admission shall be based on the criteria notified by the KK University, Nalanda, keeping in view the guidelines/norms in this regard issued by the University that takes into account the reservation policy of the Central/State Government from time to time (admission guidelines for Ph.D. programme: **Annexure-II.**)
- 2.2 Admission will be based on a written exam and interview/viva voce.
 - a) An Entrance Test shall be conducted and the qualifying percentage is 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 University Campus notified in advance.

b) An interview/viva-voce to be organized by the University wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted DRC.

The interview/viva voce shall also consider the following aspects, viz. whether:

- The candidate possesses the competence for the proposed research;
- The research work can be suitably undertaken at the School/Institute/Faculty;
- The proposed area of research can contribute to new/additional knowledge.
- 2.3 In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent school/faculty/institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the school/faculty/institution for the part of the research already done.

3. Duration of the Programme:

Full Time

- 3.1 **Full-time research scholar:** shall mean a candidate who is enrolled for a Ph.D. degree programmes devoted full-time at the University to complete the requirements of the programme. These include:
 - 3.1.1 Full-time Research Scholar/ Candidate (including foreign national) with/ without scholarship and sponsorship
 - 3.1.2 Research scholar (including a foreign national) getting financial support from Govt. / Semi Govt. agencies (QIP, CSIR, UGC, DAE, DST, DBT, NBHM, JEST, ICCR, NDF, DRDO, etc.)
 - 3.1.3 Research scholar (including JRF/SRF/RA) in a sponsored research project who fulfills the admission requirement of the Ph.D. program at KK University, Nalanda, Gurugram.
- 3.2 Ph.D. programme shall be for a minimum duration of three years (36 months), including coursework, and a maximum of six years. The research scholars are expected to be in contact regularly with the Ph.D. Supervisor. Leave may be sanctioned with prior permission/approval from his/her Ph.D. Supervisor.
- 3.3 Extension beyond the above limit [one year] will be governed by university regulations and duly approved by the University Research Committee Format for request on extension of Ph.D. Duration [Annexure-III]
- 3.4 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of their Ph.D. for up to 240 days.

Part Time

- 3.5 **Part-time research scholar:** shall mean a research scholar who is a working professional and is enrolled for the Ph.D. degree program and devoting only a part of his time towards the pursuit of Ph.D. programme while discharging his official/employment obligations.
 - 3.5.1 Research scholar working as a regular employee at the University.
 - 3.5.2 Research scholar working as a regular employee in any Government Department or Research Development Organization or Public Sector Undertaking or Registered Industry/Company and also the faculty of a reputed educational institution will be eligible for admission to PhD programme as a Part-time Scholar and can provide a No Objection Certificate from the employer. The DRC has to ensure the fulfillment of these conditions at the time of the interview.
 - 3.5.3 A research scholar working regularly full-time in an R&D project in the university can join as a part-time research scholar, six months after joining the project if his Ph.D. topic is not related to the project as certified by the URC. However, part-time research scholars may be given full-time status when the project tenure is completed. To be accepted as a Ph.D. research scholar, such a research scholar will have to undergo the same admission procedure as applicable in general.
- 3.6 Ph.D. program shall be for a minimum duration of four years and six months (54 months) including the duration of course work and a maximum of 6 years.
- 3.7 Extension beyond the above limit [one year] will be governed by university regulations and duly approved by the University Research Committee [Format for request on extension of Ph.D. duration **Annexure-III**]
- 3.8 In case of non-completion of research within the stipulated time, the scholar will have to re-register for the Ph. D program as per the admission procedures and guidelines. The full fee for the Ph.D. programme as of date shall be applicable. In this case, re-registered scholars will be exempted from the coursework period/procedures.

3.9 Conversion of Ph.D. Candidacy

3.9.1 Full-Time to Part-Time

- (i) If the research scholar gets professional employment and has to undergo the coursework as part of the program, he/she shall be allowed to take up the employment only after completing the coursework.
- (ii) The entire period spent as full time will be considered for part time conversion. The status of the research of Research Associates/Teaching Assistants/Ad-hoc Lecturer will be

terminated.

3.9.2 Part-Time to Full-Time

(i) Sixty percent of the part period will be considered for conversion.

4. Allocation of Ph.D. Supervisor and Ph.D. Co-Supervisor:

- 4.1 The Ph.D. supervisor should be a full-time Professor/Associate Professor/Assistant Professor of KK University, Nalanda. Any full-time Professor of the university with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Ph.D. supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University Research Committee may relax the above condition for recognition of a person as Ph.D. supervisor with reasons recorded in writing.
- 4.2 The Ph.D. supervisor will be allocated to the Ph.D. research scholar within six months of the registration.
- 4.3 In case of inter-disciplinary topics and the expertise in the concerned School/Institute/Faculty has to be supplemented from outside, the Departmental Research Committee may appoint a Ph.D. Supervisor from the school itself, who shall be known as the Ph.D. supervisor, and a Ph.D. Co-supervisors may be nominated from institutions of eminence, industry, and academia with the approval of URC.
- 4.4 A Ph.D. supervisor who is a professor, at any given point in 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.

5. Change of Ph.D. Supervisor

The change of Ph. D supervisor may be allowed or permitted with due approval from URC in the following conditions:

- 5.1 In case of death/illness of the supervisor or upon the request of the Ph. D supervisor.
- 5.2 In case the services of the Ph.D. supervisor expire at the University, the research scholar may be permitted to submit his/her thesis under the supervision of the same Ph. D supervisor and submit his/her thesis under the Ph. D regulations of the KK University, Nalanda. The Ph.D. supervisor will recommend on the continuity as a Ph.D. supervisor to the DRC on the present status of the Ph. D research work and the progress along with the time frame to complete the process of Ph. D submission.

6. Evaluation and Assessment Methods, Minimum Standards/Credits for Award of the Ph.D. Degree

- 6.1 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil and have been permitted to proceed to the Ph.D. may be exempted from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work as per the regulation/guidelines prescribed by the KK University, Nalanda in compliance with University Grants Commission regulations, 2016.
- 6.2 Coursework successfully completed from other reputed institutions will be considered for exemption from Ph.D. coursework on case to case basis. However, the coursework should have been completed within a period of one year.

6.3 Coursework Courses:

- 6.3.1 The total duration of the coursework should be of one semester
- 6.3.2 Coursework will commence twice a year in the University (January & July)
- 6.3.3 Credit assigned to the Ph.D. coursework shall be fourteen credits
- 6.3.4 The courses would be as follows:
 - (i) Research Methodology & Computer Applications 4 credits
 - (ii) Specialized subject area [Annexure-IV] 4 credits
 - (iii) Seminar [including Research Writing/Workshop] 4 credits
 - (iv) Research and Publication Ethics 2 credits
- 6.4 A Ph.D. scholar has to obtain a minimum of 60% of marks in each of the courses in order to be eligible to continue in the programme and submit the thesis.
- 6.5 Examination fees to be charged main or reappear examinations per paper.
- 6.6 Duration All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the School/Institute/Faculty within one year of the Ph.D. registration which includes appearing for one re-appear and supplementary exam as applicable. In case the candidate is unable to complete the coursework requirement within the duration then the candidate has to re-register for the Ph.D. programme. The fee applicable will be as of the date of the re-registration for the Ph.D. program at KK University, Nalanda.
- 6.7 The results of the coursework examinations will be declared within one month from the date of commencement of the examination.
- 6.8 Once the candidate appears for the coursework, he is eligible to present before the DRC for approval of (after the recommendation of RAC) the synopsis of the proposed research. However, the approval will be subject to the successful completion of the coursework.

7. Procedure for Ph.D. thesis submission

7.1 **Pre Ph.D.-Presentation**

- 7.1.1 Before the submission of the thesis, the Ph.D. scholar shall make a presentation before the DRC and RAC of the school/institute/Faculty concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the thesis in consultation with the RAC.
- 7.1.2 In case of major revision the DRC may recommend the candidate to reappear for a Ph.D. presentation. The final thesis has to be submitted within a period of 3 months from the date of the pre-Ph.D. presentation. Candidate has to again appear for pre-Ph.D. presentation after the revision work.
- 7.2 The candidate shall submit the Ph.D. thesis along with other documents as per the checklist given in Annexures X & XI to the office of the Ph.D. Programme.
- 7.3 The Ph.D. research scholars must publish at least one research paper in a refereed/peer-reviewed journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints duly submitted to URC vide RAC.
- 7.4 A Plagiarism Certificate (indicating plagiarism not more than 10%) has to be obtained from the Office of the Pro Vice Chancellor and or Dean-Academics Office of the University. While submitting for evaluation, the thesis shall have an undertaking from the Ph.D. scholar and a certificate from the Ph.D. supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same School/Institute/Faculty where the work was carried out [Certificate of originality of work Form/Format: **Annexure-V**]
- 7.5 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Ph.D. research supervisor and at least two external examiners, who are not in employment of the KK University, Nalanda of whom one examiner may be from outside the State (Bihar). The Public *Viva-Voce* examination, based among other things, on the comments given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by University Research Committee, Departmental Research Committee and Research Advisory Committee Members and other research scholars and other interested experts/researchers [Format for Certificate and Evaluation Comment from Ph.D. thesis Supervisor(s) for Ph.D. thesis submission Annexure-VI; Evaluation Report: Ph.D. External Examiner: Annexure-VII].
- 7.6 **Approval of external examiners**: The Ph. D supervisor will recommend five-six names of the external examiners (Professors/Associate Professors) from reputed institutions. The Vice Chancellor through the Pro Vice Chancellor will nominate two external examiners

from the recommended list for evaluation of the Ph. D thesis. One of the two nominated external examiners will be invited by the Vice Chancellor to conduct the Ph. D Public Vivavoce of the Ph. D research scholar.

- 7.7 **Evaluation:** The Public V*iva-Voce* of the Ph.D. research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the Public V*iva-voce* examination. If the evaluation report of the external examiner of Ph.D. thesis is unsatisfactory and does not recommend *viva-voce*, the University shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree. If the research scholar wishes to continue his/her Ph.D. program then he/she has to reregister as per the prescribed regulations for admission to Ph.D. program at the University. The fee applicable will be as on the date of re-registration of the Ph. D program at KK University, Nalanda.
- 7.8 The University shall develop appropriate methods to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

8. Withdrawal from the Ph. D Programme

- 8.1 A Ph. D research scholar may be permitted by the University Research Committee on the recommendation of DRC vide RAC to withdraw from the program for some specific reasons. The research scholar may be permitted to withdraw on the following reasons;
 - (a) If the research scholar is due to a prolonged illness, supported by medical certificates.
 - (b) On the event of illness/death of scholar's parents/guardians/spouse. Any other event in which the URC is convinced that the situation faced by the research scholar warrants his/her withdrawal from the programme.

9. Cancellation of Ph.D. Registration

The registration of a Ph.D. scholar shall be canceled in any of the following conditions:

- 9.1 If the research scholar fails to complete coursework as per Ph.D. regulations.
- 9.2 If the research scholar's progress report is rated 'unsatisfactory' in two successive semesters.
- 9.3 If the research scholar fails to submit his/her thesis within the maximum registration period of full-time and part-time.
- $9.4~\mathrm{If}$ the research scholar absents himself/herself for a continuous period of six weeks without sanction of leave by his/her Ph.D. Supervisor/RAC.

- 9.5 If the research scholar fails to deposit the prescribed academic fee in the stipulated time frame as notified on the University Website and the admission brochure of the Ph.D. enrollment.
 - 9.6 If the research scholar withdraws from the Ph.D. Program on his/her request duly forwarded by his/her Ph.D. supervisor to RAC/DRC to URC.
 - 9.7 If any unfair means is deployed by the Ph.D. research scholar during the coursework, the research scholar registration will be canceled.
 - 9.8 If in case discrepancy misconduct on the recommendation of URC vide RAC

10. Format of Ph.D. Thesis requirements

- 10.1 Chapter Title (Times New Roman 16 point Bold)
- 10.2 The thesis needs to be prepared using a standard text and must be printed in black text (color for images, if necessary) using a laser printer or letter quality printer in standard typeface (Times New Roman font).
- 10.3 The thesis must be printed or photocopied on both sides of white paper. All copies of thesis pages must be clear, sharp and even, with uniform size and uniformly spaced characters, lines and margins on every page of good quality white paper of 70 GSM to be used
- 10.4 Thesis should be free from plagiarism and typographical errors.

10.5 Size and Margins

- 10.5.1 A4 is the recommended thesis size.
- 10.5.2 The top, bottom and right side margins should be 25 mm, whereas the left side margin should be 35 mm for both textual and non-textual (e.g., figures, tables) pages.
- 10.5.3 Content should not extend beyond the bottom margin except for completing a footnote, last line of chapter/subdivision, or figure/table caption.
- 10.5.4 A sub-head at the bottom of the page should have at least two full lines of content below it. If the sub-head is too short to allow this, it should begin on the next page.
- 10.5.5 All tables and figures should conform to the same requirements as text. Color may be used for figures. If tables and figures are large, they may be reduced to the standard size (provided the reduced area is not less than 50% of the original).
- 10.5.6 Scholars should ensure that all textual and illustrative material is distinct and legible.
- 10.5.7 Scholars should also submit the thesis in soft form (PDF) for storage and archival.

10.6 Page Numbering

- 10.6.1 Beginning with the first page of the text in the thesis (chapter 1), all pages should be numbered consecutively and consistently in Arabic numerals through the appendices.
- 10.6.2 Page numbers prior to Chapter 1 should be in lower case Roman numerals. The title page is considered to be page (i) without highlighting on the page in print.

10.7 Line Spacing

10.7.1 The general text of the manuscript should be in 1.5 spacing. Long tables, quotations, footnotes, multi-line captions and bibliographic entries (references) should be in single spacing (6 lines per inch), with text size in 12 points.

10.8 Tables, Figures and Equations

- 10.8.1 All tables (tabulated data) and figures (charts, graphs, maps, images, diagrams, etc.) should be prepared, wherever possible, on the same paper used to type the text and conform to the specifications outlined earlier. They should be inserted as close to the textual reference as possible.
- 10.8.2 Tables, figures and equations should be numbered sequentially either throughout the thesis or chapter-wise using Arabic numerals. They are referred to in the body of the text capitalizing the first letter of the word and number, as for instance, Table 17, Figure 24, Equation (33), or Table 5.3, Figure 3.11, Equation (4.16), etc.
- 10.8.3 If tables and figures are of only half a page or less, they may appear on the same page as text but separated above and below by triple line spacing. Font size for text should be the same as for the general text.
- 10.8.4 Good quality Line Drawings/figures must be drawn using standard software that provides direction rather than bit-map graphics. Figures must be scalable.
- 10.8.5 Images, Photographs, etc. must be scanned in resolution exceeding 200dpi with 256 grayscales for the monochrome images and 24 bit per pixel for the color images.

10.9 Binding

The research scholar should submit the copies of the thesis (Front Cover: Maroon Color) in soft bound form (four) for Ph.D. thesis respectively. Once the thesis is accepted, it is the research scholar's responsibility to get it properly bound (hard bound) before depositing the required number of copies (Two Hard Bound of the Ph.D. thesis-revised or as the case may be) with the Controller of Examinations, One Hard Bound each to the Research Supervisor, research co-supervisor and to the Office of the Ph.D Programme. KK University, Nalanda. The front cover of the bound copy should be the same as the title page of the thesis. The

front cover should have printing on the side to include the author's name, abbreviated thesis title, degree, School/Institute/Faculty, and the year.

10.10 Guidelines for Structuring Contents

Sequence of Contents The following sequence for the thesis organization should be followed:

- (i) Title Page
- (ii) Certificate [Annexure-VIII]
- (iii) Acknowledgement and/or Dedication
- (iv) Table of Contents
- (v) List of Figures
- (vi) List of Tables
- (vii) Illustrations, Symbols (wherever applicable)
- (viii) Text of Thesis: Introduction, the body of the thesis, summary and conclusions
- (ix) Bibliography and References
- (x) Appendix
- (xi) All the headings are centered (without punctuation) 25mm down the top edge of the page. The subsequent type-setting begins four spaces below the heading.

Synopsis to be submitted along with the Ph. D. thesis

10.11 **Title Page**

- 10.11.1 Ph.D. thesis should contain an abstract not exceeding 300 words (about one page), and Ph.D. thesis should contain a synopsis not exceeding 4000 5000 words in 1.5 spacing.
- 10.11.2 Ph.D. research scholars shall also separately submit 3 copies of the synopsis and abstract for transmission to various examiners duly signed by the Ph.D. Supervisor and the Ph.D. research scholar.
- 10.11.3 The Ph.D. thesis for respective School/Institute/Faculty shall be submitted in English.
- 10.11.4 The table of contents lists all material that follows it. Chapter titles, sections, first and second order sub-divisions, etc. must be listed in it. Tables, figures, nomenclature, if used in the thesis, are listed under separate headings.

10.12 The Text of the Thesis

10.12.1 Introduction: Introduction may be the first chapter or its first major division. In either case, it should contain a brief statement of the problem investigated. It should outline the

scope, aim, general character of the research and the reasons for the research scholar's interest in the problem.

- 10.12.2 The body of Thesis: This is the substance of the thesis inclusive of all divisions, subdivisions, tables, figures, etc.
- 10.12.3 Summary and conclusions if required, these are given as the last major division (chapter) of the text. A further and final subdivision titled "Scope for Further Work" may follow.
- 10.12.4 Reference material: The list of references should appear as a consolidated list with references listed alphabetically as they appear in the text of the thesis. If pertinent works have been consulted but not specifically cited, they should be listed as Bibliography and References. Spacing and font size should be consistent inside a single reference, and there should be double spacing between two different references. Reference Format may be used as APA referencing format.

10.12.5 Appendix

Supplementary illustrative material, original data, and quotations too lengthy for inclusion in the text or which is not immediately essential to an understanding of the subject can be presented in Appendix (as Appendix A, Appendix B, etc.). Each appendix with its title should be listed separately in the table of contents. Likewise, tables and figures contained in the Appendices are to be included in the lists of tables and figures, respectively.

11. Ph. D thesis submission guidelines

The Ph.D. research scholar shall be regularly monitored by RAC and DRC as per standard Ph.D. regulations by the University. A full-time research scholar shall be allowed to submit his/her thesis after a minimum three years of completion of the Ph.D. duration including the coursework period and part time research scholars after 4.5 years of completion of Ph. D duration including the coursework period, provided the research scholar has completed the mandatory requirements to attain Ph.D. degree. A check list is given here under for assessment of Ph. D programme:

- 1. Completion of the coursework
- 2. Regular submission of six-monthly progress reports to URC by DRC vide RAC
- 3. Publication of research papers in referred journals/conferences/seminars
- 4. A Pre-Ph.D. presentation in a seminar
- 5. Approval of the abstract of the thesis not less than 300 words.
- 6. Recommendation of RAC followed with DRC to URC
- 7. Submission of Plagiarism Report of the thesis
- 8. Soft bound copies of Ph.D. thesis should be submitted for the purpose of evaluation. Five hard bound copies of the Ph.D. thesis should be submitted after the Public Viva Voce examination (revisions if any) and a CD consisting of thesis in PDF format.

9. Copy of the abstract (300 Words) and Executive Summary duly signed by the Ph.D. Supervisor and the Ph.D. research scholar of the Ph. D thesis (in triplicate) including the key words (not less than 10) and list of abbreviations.

[Format for permission of DRC to submit the Ph.D. research and summary of thesis for evaluation **Annexure-IX**; format for application for Ph.D. thesis submission for evaluation **Annexure-X**; Format for Application for Final Ph.D. thesis submission **Annexure-XI**; format for report of Public Viva-voce of Ph.D. thesis **Annexure-XI**]

12. Public Viva-Voce Examination

- 12.1 Upon completion of the Ph. D submission, if the Ph.D. thesis is recommended by the external examiners (two); a Pubic Viva-voce will be conducted with a fifteen days' notice to conduct the Public Viva-voce examination to the research Scholar, RAC, DRC, URC and the external examiners. The evaluation reports of the Ph.D. Supervisor and the external examiners will be provided by DRC during the Public Viva-voce examination to the Public Viva-voce Board and the RAC members.
- 12.2 The DRC Chairman/Chairperson will be the convener of the Public Viva-voce board. The RAC Chairman/Chairperson (Ph.D. Supervisor) will consolidate the results of Public Viva-voce examination and submit the same to URC.
- 12.3 If the research scholar fails to defend his/her thesis during the Public Viva-voce examination, the research scholar may be permitted to reappear for the Public Viva-voce examination after a period of three months with approval from the DRC.

13. Provisional Certificate and the Degree

- 13.1 The research scholar will be issued his/her Ph.D. degree provisional certificate after successful completion of the Public Viva-Voce examination and is recommended by the DRC for an award of the Ph.D. degree subsequently ratified by the URC. The date of the Public Viva-voce examination may be treated as the date of award of the Ph.D. degree while the formal degree may be awarded during the convocation of the University.
- 13.2 The registrar/office of the Registrar of the KK University, Nalanda shall communicate the award of the Ph.D. degree through proper channel.
- 13.3 Following successful completion of the evaluation process and assessment to confer Ph.D. degree, the registrar/office of the Registrar of the University shall provide a soft copy of the Ph.D. thesis to the UGC.

14. Composition of Committees and their functions

14.1 University Research Committee and its functions

(a) The role of URC is to formulate and lay down policy guidelines for the Ph.D. Programs

and to ensure high standards of research work at KK University, Nalanda, Gurugram.

- (b) There shall be a University Research Committee, for Ph.D. scholars. The Pro-Vice Chancellor of the University shall be the Chairperson of the Committee. The URC in University shall consist of the following:
 - (i) Pro-Vice Chancellor Chairperson
 - (ii) Dean Academics
 - (iii) Dean/Director/Principal of the respective School/Institute/Faculty
 - (iv) Controller of Examinations
 - (v) Ph.D. Head/Ph.D. Professor In-charge/Coordinator
- (c) The University Research Committee shall meet at least once a quarter.
- (d) Functions:
 - (i) Formulate policies related to and oversee research for Ph.D.
 - (ii) Formulation of guidelines for registration of students, thesis supervision, programme design, and thesis evaluation.
 - (iii) Review and recommend areas/themes/ topics for research
 - (iv) Consider evaluation reports of Examiners for award of Ph.D.
 - (v) To consider and approve the recommendations of DRCs including waivers of and exemptions from any of these Regulations.
 - (vi) Preparation of the consolidated reports on research efforts of the University.
 - (vii) Any other work related to research development and coordination.

14.2 Departmental Research Committee and its functions

- (a) There shall be a Departmental Research Committee, for Ph.D. scholars which will hold four times in a year such as January, April, July and October respectively. The Head of the school/institute/Faculty of Ph.D. scholar shall be the Chairperson of this Committee. The DRC in University shall consist of the following:
 - (i) Head of the School/Institute/Faculty concerned Chairperson
 - (ii) Head of the Department concerned
 - (iii) All Professors and Associate Professors
 - (iv) At least one external expert
- (b) The role of DRC is to invite and scrutinize applications and make admissions in Ph.D. Programmes and perform functions as are required for operationalization of the Ph.D. research degree programmes subject to the overall supervision and guidance of the University Research Committee (URC).
 - (i) A copy of the synopsis/research proposal [The length of the synopsis for the Ph.D. proposal should be 4000 5000 words. Format of synopsis/research proposal-**Annexure-XIII**] of each applicant shall be sent to all the members of the DRC through RAC at least 7 days before the meeting of the Committee.

- (ii) In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend to the URC/School/Institute/Faculty with specific reasons for cancellation of the registration of the research scholar.
- (iii) The Head of the School/Institute/Faculty shall provide infrastructural facilities, access to library resources to the Ph.D. scholars on continuous basis.
- (iv) DRC shall function as progress monitoring authority approving the topics and synopsis.
- (v) DRC shall regulate registration and re-registration of the scholar.
- (vi) To monitor the coursework classes of Ph.D. scholars in consultation with RAC.

15. Research Advisory Committee and its functions

- 15.1 There shall be a Research Advisory Committee for each Ph.D. scholar. The Ph.D. supervisor of the scholar shall be the Chairperson of this Committee. The RAC of the University shall consist of the following:
 - (i) The Ph.D. Supervisor Chairperson
 - (ii) The Ph.D. Co Supervisor
 - (iii) The Ph.D. research scholar
- 15.2 This Committee shall have the following responsibilities:
 - (i) To review the research proposal and finalize the topic of research;
 - (ii) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
 - (iii) To periodically review and assist in the progress of the research work of the research Scholar.
 - (iv) A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee to the DRC with a copy to the research scholar [Ph. D review and monitoring report **Annexure-XIV**]
 - (v) 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 RAC may recommend to the School/Institute/Faculty with specific reasons for cancellation of the registration of the research scholar.

Annexure-I

LIST OF DISCIPLINES IN WHICH THE PH.D. DEGREES OFFERED UNDER VARIOUS SCHOOLS/INSTITUTE/FACULTIES

S. No.	School/ Institute/Faculty	Programme	Programme Code
1	School of Commerce & Management	Ph.D. in Management	PHDMGT24
2	School of Engineering & Technology	Ph.D. in Electronics & Communication Engineering	PHDET24
3	School of Engineering & Technology	Ph.D. in Electrical Engineering	PHDET24
4	School of Engineering & Technology	Ph.D. in Mechanical Engineering	PHDET24
5	School of Agriculture Sciences	Ph.D. in Agriculture	PHDAG24
6	School of Pharmacy & Paramedical Sciences	Ph.D. in Pharmaceutical Sciences	PHDPPS24
7	School of Applied Sciences	Ph.D. in Physics	PHDASP24
8	School of Applied Sciences	Ph.D in Chemistry	PHDASC24
9	School of Education	Ph.D. Education	PHDE24

ADMISSION GUIDELINES FOR PH.D. PROGRAMME

- 1. Admissions to Ph.D. Programme shall be open throughout the year. Entrance test to Ph.D. admission will be conducted twice in a year on half yearly basis i.e. in the month of January and July for pre-determined intake for each Discipline.
- 2. An open advertisement (Half Yearly) shall be issued inviting applications for admission to Ph.D. Programme as per laid down time frame. The admission notification will also be uploaded on the website. Applications from the prospective candidates shall be received along with the following documents by the Ph.D. Admission Cell.
 - I. Duly Filled Application Form.
 - II. Degree certificate of Graduation & Post Graduation.
 - III. Mark sheets of Graduation & Post Graduation.
 - IV. Documents related to work experience (No Objection Certificate from the employer in case the candidate willing to enroll in part time Ph.D. Program)
 - V. 10th and 12th Pass Certificates
 - VI. Equivalence Certificate of Association of Indian Universities (AIU) in case of Foreign University Degree.
- 3. In case of Foreign National applicants, Admission Cell should also procure following documents, in addition to those under Para 3:
 - a) All International research scholars wishing to undertake any research work or join a Ph.D. programmes will have to obtain prior security clearance from the Ministry of Home Affairs along with the approval of Department of Secondary & Higher Education, Ministry of Human Resources Development, Government of India. The interested candidates must be on the Research VISA endorsed to KK University, Nalanda. No other endorsement shall be accepted. The Research Visa should be valid for the prescribed duration of the course. This is applicable to diplomats also.
 - b) Submission of medical test report within a week from the date of admission from a Registered Medical Practitioner OR a Medical Practitioner nominated by KK University, Nalanda.
 - c) Adequate Medical Insurance Cover.
 - d) All Foreign / NRI research scholars will be required to register themselves with the concerned District Foreign Registration Officer / Foreigners Regional Registration Officers, within 14 days of their first arrival in India.
 - e) For any study/Programme to be undertaken at KK University, Nalanda, an approval of Ministry of External Affairs (MEA) will be required through Protocol Division.

- 4. The Ph.D. applications will be screened by the Admission Cell of the University to ensure the completeness and readiness of all the documents in all respects. In case the application is found complete, the candidate may be required to appear for an admission test and interview on a scheduled date, conducted by the Admission Cell and competent interview Board constituted by the respective head of the Schools/Institutes/Faculties at the University.
- 5. The Admission Cell will conduct the admission test and interview on a scheduled date. The results of the test will seek approval of the Vice-chancellor and or Pro Vice-Chancellor within 3 days, along with the following documents:
 - I. Recommendations of Interview Board.
 - II. Name of the Proposed Guide submitted by the respective Heads of the concerned school/institute/faculty.
- 6. The respective Head of the Institute (HOI)/Head of the Department (HOD) of the Schools/Institutes/Faculty will be informed by the admission cell of the University post approval from the Vice Chancellor and or Pro Vice-Chancellor, who in turn (i.e. Heads of the respective schools) will intimate to the candidates on the formats as detailed below for various categories in which they are selected for the Ph. D registration.
 - I. Candidates may be registered for Ph.D. Program on Full Time / Part Time basis.
 - II. Candidate to be registered on Full full-time basis and will be associated in varied research projects as JRF/SRF/RA.
- III. KK University and group of institution fraternity to be registered on Part Time basis.
- IV. Candidates from Research Labs with Memorandum of Understanding may be registered on Part Time basis.
- 7. Admission cell will generate the Ph.D. admission offer letters of all successful candidates providing 2 weeks' time to deposit the fee.
- 8. The date of fee payment will be considered as the date of Registration, which will be duly mentioned in the letter of the candidate while allotting the enrolment number by the KK University, Nalanda.
- 9. The Ph.D. admission process will be completed in a stipulated time frame as per the calendar of events to be notified on the website / information bulletin.

FORMAT FOR REQUEST FOR EXTENSION OF PH.D. DURATION

- 1. Name of Candidate:
- 2. Registration No.:
- 3. Faculty and Field/Displine:4. Date of Admission:

DETAILS OF PROGRESS OF Ph.D. WORK (as on date) Pre-PhD Course work:
Research Progress:
Publications:
REASONS OF EXTENSION OF DURATION (may attach an additional sheet, if necessary)
Periods of Extensions already Granted: Period up to which Extension is requested:
Ph. D. Candidate
RECOMMENDATIONS OF THESIS SUPERVISOR(S) (may attach an additional sheet, if necessary)
Enclosures:
Recommended by DRC
Approval by URC

LIST OF PH.D. COURSEWORK SPECIALIZED SUBJECT AREA

Sl. No.	School/ Institute/Faculty	Programme	Course/ Subject Area	Course Code	Total Credit
1		Ph.D. in Management	Human Resource Management	PHDMGT2301	
2	School of Commerce and	Ph.D. in Management	Managerial Finance	PHDMGT2302	
3	Management	Ph.D. in Management	Marketing Management	PHDMGT2303	
5		Ph.D. in Management	Operations Management	PHDMGT2304	
28		Ph.D. in Physics	Condensed Matter Physics and Nanotechnology	PHDPHY2301	
29		Ph.D. in Physics	Material Science	PHDPHY2302	
30	School of Applied Sciences	Ph.D. in Physics	Quantum Mechanics	PHDPHY2302	
31		Ph.D. in Physics	Plasma Physics	PHDPHY2303	
32		Ph.D. in Chemistry	Advances in Chemistry and Analytical Techniques	PHDCHY2301	
63	School of Pharmacy and Paramedical Sciences	Ph.D. in Pharmaceutical Sciences	Pharmaceutical Sciences	PHDPHA2401	
68	For all Ph.D. programmes and courses	Compulsory	Research Methodology & Computer Applications	PHDRMCA24	
75	For all Ph.D. programmes and courses For all Programmes	Compulsory	Seminar	PHDGEN24	
76	For all Ph.D. programmes and courses For all Programmes	Compulsory	Research & Publication Ethics	PHDGEN24	

FORMAT ON PLAGIARISM REPORT/CERTIFICATE Department of Academic Affairs

Date: date-month-year This is to certify that the Ph.D.Thesis ______of_______, under the supervision of has been reviewed by the use of plagiarism software "Turnitin". The results are as follows. The similarity index is found to be ______ % after applying the following exclusions (i) Bibliography (ii) References (iii) <1% (Ph.D. Coordinator) CC to: COE Pro Vice Chancellor **Undertaking By Supervisor** I agree that the following exclusions are justified based on the nature of research work. The similarity index is found to be ______% after applying the following exclusions (i) Bibliography (ii) References (iii) <1% Signature: Name: **Designation:**

Name of the School/Institute/Faculty:

FORMAT FOR CERTIFICATE AND EVALUATION FROM THESIS SUPERVISOR(S) FOR PH.D. THESIS SUBMISSION

The Research Summary and the Thesis for Evaluation should be accompanied with this Certificate issued by the Supervisor(s)

1. Name of Candidate:

	2.	Registration No.:
		Faculty and Field/Discipline:
	4.	Date of Admission:
I/V	Ve c	eertify
	(i)	that the thesis embodies the original work of the candidate and it has not been earlier submitted for any Degree or Diploma.
	(ii)	that the candidate worked under him/them for the period prescribed by the DRC.
	(iii) that he/she has put in not less than 75 percent of attendance during the Ph.D. Program for full time at the designated place of work with at least one of the Supervisor(s).
	(iv)) that the thesis fulfills the requirements
Ph	.D.	Supervisor Evaluation Comments:
Na	mes	s and Signature of Thesis Supervisor(s)

FORMAT FOR EVALUATION REPORT OF PH.D. THESIS

CONFIDENTIAL

1.	Name of Candidate:
2.	Registration No. :
3.	Thesis Title:

4. General Features of the Thesis:

- (i) Organization and Presentation:
- (ii) Is the quality of the work comparable with that in other Universities of repute?
- (iii)Does the thesis embodies any new ideas with original thoughts and makes a significant contribution to knowledge?

5. Comments: (A separate sheet may be attached)

- (i) Composition, grammar, language or typographical errors.
- (ii) Technical contents the thesis.
- (iii) Highlights, strong and weak points in the thesis.

6. Queries and Suggestions: (A separate sheet may be attached)

Queries and/or suggestions for minor or major modifications may be mentioned with adequate details so as to enable the candidate

- (i) to prepare a written response and also
- (ii) to incorporate the suggestions into the thesis to the satisfaction of supervisor(s), and/or of viva-voce board and/or of the examiner, as outlined in section 7 of this report.
- **7. Specific Recommendations.** Tick mark ($\sqrt{\ }$) only one of the followings.
 - **a.** (Acceptable) The thesis is acceptable as it is.
 - **b.** (Acceptable after Minor Technical Revisions/Language Corrections) The thesis is acceptable after minor revisions as specified in my suggestions, to the satisfaction of the viva-voce examination board.
 - **c.** (Major Technical Modifications and Re-evaluation) The thesis needs major technical improvements/modifications which must be carried out to my satisfaction before I recommend the thesis for acceptance.
 - **d.** (**Rejected**). The thesis is rejected as it does not meet the minimum standards.
- **8. Questions** to be asked at the time of viva-voce examination (**optional**) (maximum upto 5). Should the questions be communicated to the candidate before the oral examination?

(Name and Signature of the Examiner)	
No. of sheets attached:E-mail:	contact number:
(It is the policy of the University not to reveal	the names of the examiners requested for
evaluation of Ph D thesis)	-

CERTIFICATE

Ph.D. Supervisor Ph.D. Co-Supervisor
all the statutory requirements for the completion of the doctoral programme.
It is further certified that the thesis is submitted for the first time and the candidate has fulfilled
University, Nalanda carried out under my/our guidance and supervision.
PhD Research Scholar, at the
submitted at KK University, Nalanda, for the award of degree of Doctor of Philosophy in
Certified that the thesis entitled,,

FORMAT FOR PERMISSION OF DRC TO SUBMIT THE PH.D. RESEARCH SUMMARY AND THESIS FOR EVALUATION

DRC I	Meeting No Date of Meeting :
FACU	LTY: FIELD:
2. 3.	Name of Candidate: Registration No.: Research Topic (as at present):
5.	Research Place : Supervisor -1 : Supervisor -2 :
REVI	$\mathbf{E}\mathbf{W}$
1. Res	earch Progress: Satisfactory/Not Satisfactory
Comn	nents :
	gress of Pre-Ph.D. Courses Suggested: Satisfactory / Not Satisfactory
Comn	nents :
	ogress of Publications : Satisfactory / Not Satisfactory
Comn	nents :

RECOMMENDATIONS

1. Permission granted for submission of Research Summary and preparation of thesis for

S NO	
ted for submission of Research Sum	mary with conditions:
C	
oers	
	Signature:
1 S	

FORMAT FOR APPLICATION FOR PH.D. THESIS SUBMISSION FOR EVALUATION

The Application to be submitted in Duplicate

1.	Name of Candidate :	
2.	Registration No:	
3.	Faculty:	
4.	Field:	
5.	Date of Admission :	
6.	Date of Permission of DRC for Submission :	
CERT	TIFICATE FOR PH.D. THESIS SUBMISSION FOR EVALUATE	ION
1. The	sis Preparation Guide was referred to for preparing the thesis.	YES/NO
	cifications regarding thesis format have been closely followed.	YES/NO
-	contents of the thesis have been organized based on the guidelines.	YES/NO
4. The	thesis has been prepared without resorting to plagiarism.	YES/NO
5. All s	sources used have been cited appropriately.	YES/NO
6. The	thesis has not been submitted elsewhere for a degree.	YES/NO
7. Sub	mitted 4 hard/soft bound copies plus one CD.	YES/NO
8. Con	npliance Report (in case of major revisions).	YES/NO
(Signa Name	ture of the Candidate)	
Signat	ture of Ph.D. Thesis Supervisor(s)	
Name	:	

FORMAT FOR APPLICATION FOR FINAL PH.D. THESIS SUBMISSION

	The App	lication	to be	submitted	in	Duplicate
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1.	Name of Candidate :				
2.	Registration No. :				
3.	Faculty:				
4.	Field:				
5.	Date of Admission :				
	Date of Viva Voce Examination :				
CERT	TIFICATE FOR FINAL PH.D. THESIS SUBMISSION				
	sis Preparation Guide was referred to for preparing the thesis.	YES/NO			
2. Specifications regarding thesis format have been closely followed. YES/NO					
	contents of the thesis have been organized based on the guidelines.	YES/NO			
	thesis has been prepared without resorting to plagiarism.	YES/NO YES/NO			
	sources used have been cited appropriately. thesis has not been submitted elsewhere for a degree.	YES/NO			
	the corrections suggested by the examiners and Board members have				
8. Sub	mitted 5 hard bound copies plus one CD.	YES/NO			
	ature of the Candidate)				
Signat Name	ture of Ph.D. Thesis Supervisor(s)				

FORMAT FOR REPORT OF VIVA-VOCE EXAMINATION OF PH.D. THESIS

CONF	FIDENTIAL	
1.	Name of Candidate:	
	Registration No. :	
3.	Thesis Title:	
4.	Thesis Supervisor1 : Name :	
Affilia	ation:	
Thesis	s Supervisor 2: Name.:	
	Overall Comments of the Board on the	Public Viva-voce Examination :
	Report of the Public Viva-voce Board: andidate is recommended for the award of the	he Ph.D. degree.
	iva-voce examination is not satisfactory. The nation any time after six months.	e candidate is advised to reappear in viva-voce
7. Sigr Nan	nature of Public Viva-voce Board Membo ne Affiliation	ers : Signature
1.	ne Annation	Signature
2.		
3.		
	esis Supervisor(s) :	GI .
Nan	ne	Signature
1. 2.		
Chair	rperson, DRC	
Appro	oved by Chairperson, URC	

FORMAT FOR SYNOPSIS/ RESEARCH PROPOSAL

F11	1 TA 1	ame	
[1]	I ■	ama	•
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- [2] Ph.D. Registration:....
- [3] Faculty/Field:
- [4] Supervisors:

1. Title Page (one page)

(Proposed Title of the Thesis, Name of the Candidate, Roll No., Name of Supervisors, Field of Study, Faculty, University Name, Date)

2. Introduction (one page):

(Aims and Objectives of the Research in about 300 words)

3. Review of the Previous Work (National and International) (3-4 pages):

(Critical review of the literature on the topic of the thesis; not a chronological abstraction. Should organize the literature reviewed in a matrix form for example, with issues as columns and references as rows; or otherwise. Should highlight the updates at every progress review)

4. Identification of Research Gap and Problem (one page):

(Should be linked with the Literature Review with emphasis on importance of the proposed theme/topic of research)

- 5. Expected Impact on Academics/ Industry (one page):
- 6. Methodology of the Research Work (one-two pages):
- 7. Major Inputs (infrastructure) Required (one page):
- 8. List of up-to-date References (in standard format):

(should build up with progress of time; list books, international journals, national journals, reports, etc.)

9. Time and Physical Progress of Work (a PERT Chart) (one page):

Signature of the Candidate

Name and Signature of Supervisor(s)

Title of the Thesis

SYNOPSIS / RESEARCH PROPOSAL/THESIS

SUBMITTED IN FULFILMENT OF THE REQUIREMENT FOR THE AWARD OF THE DEGREE

OF

DOCTOR OF PHILOSOPHY

IN

(SUBJECT)

By

A.B.C. (full name of the candidate) Registration No.

UNDER THE GUIDANCE OF

Dr. P.Q.R (full name of the guide)

FORMAT FOR PH.D. PROGRESS REVIEW AND MONITORING REPORT

Meeting No	Date of Meeting :
FACULTY:	FIELD
1. Name of Candidate:	
2. Registration No. :	
3. Research Topic (as at present):	
4. Research Place :	
5. Supervisor-1:	
6. Supervisor-2:	
Ph.D. RESEARCH PROGRESS REVIEW	
1. Research Progress : Satisfactory/ Not	•
2. Progress of Pre-Ph.D. Courses Suggr	
3. Progress of Publications	

Chairperson, DRC