



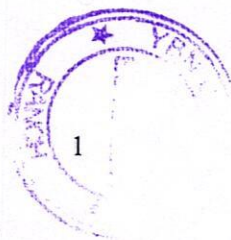
YBN UNIVERSITY

Established by the Act of Government of Jharkhand Act
15, 2017 Gazette Notification No.505, Dated 17th July 2017
As per Section 2 (f) of UGC Act. 1956

Ph.D Regulations 2019

As per UGC University Grants Commission (Minimum
Standards and Procedure for Award of Ph.D Degrees)
Regulations, 2016.

Approved at the 10th meeting of the
Academic Council (ACM) of YBNU held on 18th
April 2019



As per the section 35 of YBN University Act 15, 2017, draft Regulations framed for "Doctor of Philosophy (Ph.D.) programme and Plagiarism Policy under YBN University. Ranchi".

[In pursuance of University Grants Commission (Minimum Standards and Procedure for Award of M. Phil. / Ph.D. Degrees) Regulations, 2016 - as amended time to time]: -

1. Preface:

In the light of the U.G.C. Regulations (Minimum Standards and Procedure for Awards of M. Phil. / Ph.D. Degree) 2016 and as per the provision contained in subsection (ii) of Section (08) of the YBN University Act, 2017 (Jharkhand Act- 15, 2017) to provide research in the fields of science, technology, humanities, social sciences, education, management, commerce, law, pharmacy, healthcare and any other fields including Agricultural Sciences), and as per the provision of U.G.C. Plagiarism Policy regarding improvement of research works the following Regulations are framed hereby:-

2. Objective:

In pursuance of the provision contained in the Sub-Section (ii) of Section (08) of YBN University Act 2017 (Jharkhand Act15, 2017), these regulations made for improvement of research works. These Regulations, hereinafter specified, lay down the procedure to be adopted for the Plagiarism, research programme for the Ph.D. Degrees and policy for research improvement works according to the UGC specified norm and conditions. The research work shall also be focused on the location specific strategic contents; this shall also be taken in to the account for the benefits of mankind services as well as the development of the State and to impart quality research of the University.



The Ph.D. Programme of YBN University, Ranchi, offers research programmes in different subjects and in inter-disciplinary areas leading to a degree of Doctor of Philosophy. YBN University is enforced to promote research-oriented culture in the campus. University has a separate Research Council with an aim to nurture and to promote the standards & practices in the area of research and providing high quality training to the Research Scholars to become distinguished academicians, consultants and researchers.

3. Definitions:

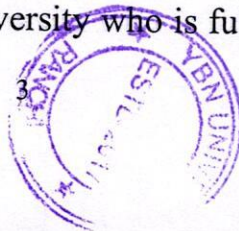
3.1.1 "Research" means systematic study or location-based investigations in order to discover new knowledge in the form of facts/ patterns / ideas/inventions.

3.1.2 "Doctor of Philosophy (Ph.D.)" Ph.D. programmes shall be offered in the light of subsection (ii) of Section (8) of the YBN University Act, 2017 (Jharkhand Act-15, 2017) in pursuance of U.G.C. Regulations 2016 (as referred above) only in regular mode.

3.1.3 "Research Scholar (RC)" means a Scholar who is admitted in Ph.D. programme as per the procedures adopted by the YBN University specified in U.G.C. Regulations 2016 (as referred above).

3.1.4 "Course Work" is mandatory for the partial fulfillment of Ph.D. programme, and the course work syllabus shall be framed by the University as per the relevant requirement of the enrolled Scholars and to be completed by them. M. Phil. Candidate shall be exempted from the course work.

3.1.5 "Supervisor/ Research Guide" means Faculty or Assistant Professor, Associate Professor and Professor / Dean appointed under YBN University, Ranchi or associated, they shall be eligible or responsible for Supervises the research work carried out by the Research Scholar. The Officers of the University who is full filling the criteria as per the



U.G.C. regulation 2016 (as referred above and amended time to time) to Supervise or Guide the Scholars.

3.1.6 "Co-Supervisor" means a person who may or may not be a member of the regular teaching faculty (Assistant Professor / Associate Professor /Professor) of YBN University, but should be recognized by Research Council of the University to Co-Supervise for research work of the scholar.

3.1.7 "Research Council" is the Authority of the University and shall provide the larger holistic vision of the kind of research, to exercise for registration & allotment of supervisors for imparting proper guideline of research work and this Council shall work under the general control of the Academic Council. Terms of the external members shall be two years from the date of nomination; the meeting of Research Council shall be convened minimum twice in a year:

- 1). All Deans of faculties;
- 2). All HoD of the concerned departments;
- 3). The Controller of Examinations shall be Member Secretary;
- 4). Two external members from the field of higher education shall be nominated by the Vice-Chancellor.

3.1.8 "Departmental Research Council" in exercise of power conferred under the section (30) of YBN University the Vice-Chancellor shall constitute Departmental Research Council for the purpose of interdisciplinary research work. The members of this Council shall be nominated from interdisciplinary subject experts. Each department shall have the Departmental Research Council and function under the supervision of the Head of the concerned Department and all faculty members of the concerned Department shall be



member and the Dean of concerned School shall also be ex-officio member. Departmental Research Council shall suggest the title of the synopsis, screening the progress report of ongoing research work (a research scholar shall appear before the Departmental Research Council once in six months to make a presentation of the progress of his/her work for evaluation and further guidance, in case the progress of the research scholar is unsatisfactory, the Departmental Research Council shall record the reasons for the same and suggest corrective measures) and make their recommendation to the Research Council for the final directive regarding conductance of pre submission seminar and thesis evaluation of the concerned Scholars, followed by the decision of the Examination Board.

3.1.9 "Department", Declared under the concerned Constituted or notified School/Institute/College of YBN University and wherever mentioned in these regulations refer to a Department of the University.

3.1.10 "The Academic Council", mean Academic Council of the University. The Academic Council has the right to modify any regulations stated from time to time.

3.1.11 "Examination Board" means Examination Board of the YBN University, Ranchi.

3.1.12 Award of Ph.D. degree shall be in accordance with the regulations of the YBN University (any other matters which is not prescribed under regulations of YBN University, Ranchi shall be referred from UGC regulations, as amended time to time).

3.1.13 Plagiarism means, Plagiarism related UGC regulations as amended time to time, shall be referred.

3.1.14 Intangible property that is the result of creativity, such as patents, copyrights, penitent inventions. Designs, technical know-how etc.



3.1.15 University Grant Commission means UGC, rules or regulations of UGC, which are carried out for research work related guideline shall be obtained, and as amended time to time, may be referred

3.1.16 These regulations shall come in to the force from the date of notification.

3.1.17 A person joining the University as an Assistant professor / Associate Professor or in any other teaching staff capacity after superannuation from his service or resign his University service, he may not continue be sole Supervisor or as Co-supervisor for the scholar already registered under him/her, now the Scholar shall be transfer under other Supervisor from the same department with due approval of the Departmental Research Council.

3.1.18 In case of demise of the Supervisor of Ph.D. scholar, the Departmental Research Council shall recommend a suitable Supervisor on receiving a formal request from the scholar.

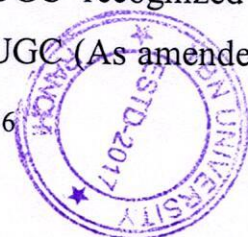
3.1.19 The Ph.D. programme shall be open to candidates of any Nationality in true spirit of a University Education provided that the candidate satisfies the clause 4.

4. Admission and Registration for the Ph.D Programme:

4.1 Minimum Eligibility for Admission in Ph.D.:

For admission to the Ph.D. programme in a related subject in the faculty, applicants fulfilling the following criteria shall be treated as eligible:

4.1.1 Research Scholars (Indian / Foreigner) having Post Graduate Degree (Master's Degree or equivalent) in the appropriate field with at least 55% marks or equivalent Grade Point Average (GPA) from any UGC recognized University, (relaxation for SC/ST/OBC/PH students as prescribed by UGC (As amended time to time)), reservation



for admission shall be applicable as per Jharkhand State reservation rules.

Or

4.1.2 Research Scholars for research in inter-disciplinary areas / allied subject, satisfying point 4.1.1 above and from applicants belonging to a faculty or subject other than the faculty or subject in which the research is proposed to be done and from international Scholars (those who have not obtained the Master's degree or equivalent from Indian Universities) shall be considered on the basis of the proven ability and aptitude of the researcher for such kind of research. The decisions in this regard shall be taken by the concerned Research Council after presentation by the Research Scholar. In such cases, the guide should be from the subject in which the Research Scholar has completed his/her Master Degree and the Co-guide from the allied subject. The guide and co-guide for one particular thesis may or may not be from same subject.

4.1.3 Number of vacant seats will be notifying time to time

4.2 Exemptions for Entrance Examination:

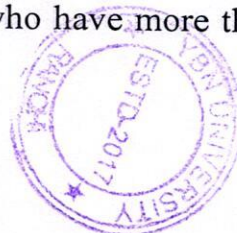
The Research Scholars fulfilling one of the following conditions will be exempted from Entrance Examination:

4.2.1 Qualified in SLET/NET/JRF/CSIR/GATE examinations.

4.2.2 Passed M.Phil. From U.G.C. recognized University. However, they have to qualify in the interview conducted by the University for Admission to Ph.D. programmes.

4.2.3 Teachers having 5 years' experience as regular teacher at U.G. /P.G. level course in U.G.C. recognized University or AICTE recognized Institute.

4.2.4 A person with master degree (minimum who have more than 4 (four) years' work



experience in substantive post in any U.G.C. recognized University or State / Central Government undertaken Institution/Company / Agency/Department or employee of the YBN University.

4.2.5 Scientists of any recognized National (for example, DST, CSIR-funded etc.) and International Institutions (for example, WHO-funded etc.) having acquired two years' experience.

Ph.D Regulations 2019

These Regulations will apply to Ph.D Programmes in all the disciplines in various Schools and has amalgamated the University Grants Commission (Minimum Standards and Procedure for Award of M. Phil/Ph.D Degrees) Regulations, 2016 and its amendments issued by the UGC from time to time and resolutions of statutory bodies of YBN University Ranchi.

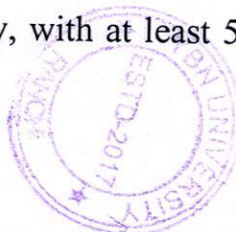
1. Short title, application and commencement

These Regulations will be named as Ph.D Regulation 2019. Provisions contained in this Regulation shall apply to all Schools of YBN University Ranchi and shall come into force from the date of its approval by the Academic Council of YBNU Ranchi.

1.1 Eligibility criteria for admission to Ph.D programme

Subject to the conditions stipulated in these Regulations, the eligibility criteria for admission to the Doctor of Philosophy (Ph.D) programme of YBN University Ranchi in various disciplines will be as under:

- 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 UGC/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.

b. A relaxation of 5% of marks or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / Differently-abled and other categories candidates as per the decision of the UGC from time to time, or for those who had the obtained their Master's degree prior to 19 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.

2. Duration of the Ph.D programme

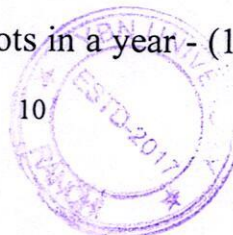
a. Ph.D programme shall be for a minimum duration of three years including course work and a maximum of five years. The date of admission/registration to Ph.D programme shall be considered the date on which the and date actually joins the Department after completing all the formalities within the stipulated time period and deposits all fees as indicated in the admission offer. Failure to do so will forfeit her/his claim for admission. The date of joining will be reported to the School Research Committee (SRC) by the Supervisor through the Head of the Department and the same will be recorded in the minutes of the first SRC meeting.



- b. After five years, a registered Ph.D scholar will be automatically deregistered. A deregistered scholar who has already passed the Ph.D Course work examination within the stipulated time period, had been having regular SRC meetings and has paid all the fee dues will be entitled for re-registration within 2 (two) years of deregistration after payment of a re- registration fee of Rs. 05,000.00 or as revised from time to time. A re-registered scholar will be allowed to submit thesis within one year of re-registration subject to fulfillment of all the requirements as laid down in this Regulation, on recommendations of the SRC and payment of programme fee of one year and examination fee at the prevailing rates.
- c. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration.

3. Procedure for admission

- a. There shall be a separate advertisement/call for admission to Ph.D programme offered by YBN University on the university web site and in at least one Hindi/English language National newspaper two in a calendar year. Preparation of the advertisement for the newspaper/website and all Ph.D related matters of a particular School shall be dealt by the Dean of the School. The School Research Committee (SRC) shall be responsible for coordinating the Ph.D admission process of various Schools of the University in consultation with the Deans, and with approval of the Competent Authority. The university Prospectus for admission shall contain information about Ph.D programme in various disciplines, eligibility, mode of admission, fee etc.
- b. Admission window will be open in two slots in a year - (1) February 01 to March 31, and



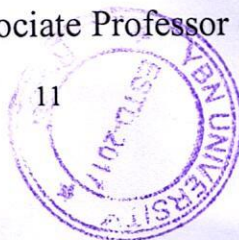
(2) August 01 to September 30. Deans of Schools in consultation with the Departments/centers will complete all the formalities of Ph.D admissions within these slots.

c. At the School level admission will be managed by the Dean. Information with regard to admission and all other information up to the award of degree will be maintained by the Office of the Dean of the concerned School. A separate file for each research scholar shall also be maintained by the concerned Department which will also contain updates on the status of payment of fees and other dues.

d. Each Department shall decide a predetermined and manageable number of Ph.D scholars to be admitted in each cycle depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, teaching load, laboratory, library and such other facilities. Department/Subject-wise vacancies will be notified on the website along with advertisement for admission.

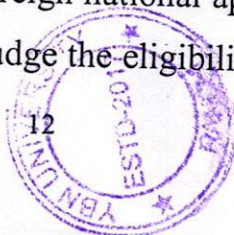
e. There will be supernumerary seats for foreign nationals and admission will be open throughout the year for them. The quota of super numeracy seats in each subject will be as per provisions of UGC/Government of India or as approved by the statutory bodies of the University. Admission of foreign nationals will be coordinated by the Office of the Foreign Students' Advisor (FSA) in consultation with the Dean of the respective School.

f. Admission will be in two stages: (i) Entrance test, followed by (ii) interviews, where the weight age will be 80% and 20% for entrance test and interviews, respectively. There shall be separate interview board for each Department of a School, where the presence of Head of the Department, a Professor/Associate Professor and two students intending to take a



scholar for supervision for Ph.D thesis shall be mandatory. The entire process shall be supervised by the Dean of the School or a person nominated by the Dean from a Department from the School concerned or from a different School. Concerning the entrance test, all matters will be routed through the Dean for the approval/instruction of the Competent Authority.

- g. Entrance test will be conducted by the Examination section. The syllabus of the Entrance test shall consist of 30% weight age to Research Aptitude Test, and remaining 70% weight age shall be subject' specific assessment. Candidates with UGC-NET JRF/UGC-CSIR NET/JRF SLET or having qualified any other national level test post-master course with fellowship accepted as equivalent by YBNU will be exempted from the subject specific component of the entrance test. There will be no other exemption for entrance test for any category of staff including research staff appointed in sponsored research projects. The syllabus for Research Aptitude will be developed by the Research & Development Department with the approval of the Academic Council. The syllabus of subject-specific test will be developed by the concerned Dean in consultation with the Heads of the Department and the same will be approved by the School Research Committee. The syllabi of the Research Aptitude test and subject-specific test will also be uploaded on the University website for the benefit of aspiring candidates.
- h. The Entrance Test shall be qualifying with a minimum of 50% qualifying marks in aggregate. For the exempted category of candidates, weight age of Research Aptitude Test paper will be treated as 100%.
- i. There will be no entrance test for foreign nationals. However, Departments may choose to have an online/offline interaction of foreign national applicant/s with faculty members interested to take up the student, and to judge the eligibility criteria and research aptitude



of the applicant. For foreign nationals from the countries from non-English speaking countries may conduct English proficiency course on payment basis.

j. Short-listed candidates (Indian nationals) will be called for an interview/interaction to be organized by the Dean of the School. The Interview Board shall comprise of Head of the Department as the Chairman, a senior Professor/Associate Professor of the Department; eligible Supervisors who have shown their willingness to guide Ph.D scholars; a person nominated by the Dean and a subject expert from outside the University or equivalent level. At the interview, the candidates will be required to discuss their research interest/area. The interview board shall assess the research orientation of the candidate, familiarity with the subject area, technical know-how and the feasibility of the proposed research.

k. There will be no interview/interaction for teacher candidates, and YBNU staff permitted officially.

l. The recommended list of the shortlisted candidates in order of merit shall be handed over by the Chairman of Interview Board to the Dean preferably on the same day.

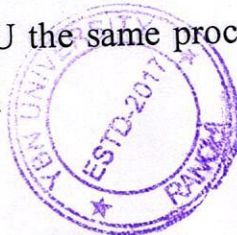
m. Reservation policy in Ph.D admission will be as applicable in YBNU as per the Gazette.

4. Allocation of Research Supervisor

a. A regular Professor of the university with proven academic and research credentials as evidenced by published work in refereed journals and any regular Associate/Assistant Professor with a Ph.D degree and at least two research publications in refereed journals can be a Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the above condition for recognition of a person as Research Supervisor may be relaxed with reasons recorded in writing.



- b. Only a full time regular teacher of YBNU can act as a Supervisor. The external Supervisors will not be allowed. However, Co-supervisor(s) can be allowed in inter-disciplinary areas from other departments of YBNU or from another related institutions which have signed agreement/memorandum of understanding (MoU) with YBNU. The selection of Co-supervisor shall be done in the SRC meeting as per criteria as outlined or as recommended by SRC citing reason thereof.
- c. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-supervisor from outside the Department/School/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Organizations.
- d. Teacher under probation and those under contractual appointments shall not be recognized as Research Supervisor. However, they may be recognized as Co-supervisor. A teacher who has less than three years for her/his superannuation will not be appointed as Research Supervisor. However, he/she can be appointed as Co-supervisor.
- e. Subject-wise recognition of the Supervisor/Co-supervisor will be considered by SRC of the Department and recommended to the Academic Council for approval. For granting the recognition the SRC will consider qualification, experience and publications which will be submitted with a written request. In case a teacher desires to be considered for recognition at another Department of YBNU the same procedure shall be followed by



the SRC of that department. Recognition will be a one- time process which may be revoked on the written request of the Supervisor/Co- supervisor or other such circumstances which the SRC may record and intimate to the School Research Committee and Academic Council. In case there is proposal for induction of a Co-supervisor from an institution/university which itself awards Ph.D degree requirement of MoU may be waived off and induction may be permitted on case to case basis. However, he/she will also be required to be approved by the SRC in the manner as indicated above. A no objection certificate/approval from the institution/university of the proposed Co- supervisor will be required to be produced at the SRC meeting.

- f. Departments will finalize the allocation of scholar-wise Supervisor within one month of the selection of candidates for admission.

5. Number of Scholars

- a. A Research Supervisor who is a Professor, at any given point of time, cannot guide more than eight (8) Ph.D scholars including scholars from other schools/ centers or other organizations, if any.

An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D scholars and an Assistant Professor up to a maximum of four (04) Ph.D scholars subject to the above mentioned criteria.

These numbers shall include all categories of scholars (teacher candidate/staff/foreign nationals/MoU institution category candidates). The supernumerary seats for foreign national will be subject-specific not Supervisor-specific.



Limited number of additional seats may be allocated under the faculty members who have been sanctioned research staff in the sponsored research/consultancy project for the duration of two years or more and the research staff have been sanctioned in the project. Such cases will be processed through the office of the Dean Research & Development with due approval of the Competent Authority.

- b. A teacher of YBNU Ranchi cannot act as Co-supervisor for more than three (03) Ph.D scholars at a given time.
- c. There cannot be more than three (03) Co-supervisors in a Ph.D thesis.

6. Doctoral Committee (DC)

a. For each PhD Scholar, the allocated Research Supervisor will constitute a Doctoral Committee (DC) within one month of allotment of the PhD student. The DC, which will be chaired by the Research Supervisor, will monitor the progress of the scholar throughout her/his enrollment as a scholar. The Research Supervisor shall be responsible for keeping record of all activities and attendance of the Research Scholar. The DC will have the following broad functions:

- i. To review the research proposal of the scholar for Ph.D thesis and suggest changes, if necessary and to finalize the topic and proposal of the thesis. The Scholar will be required to submit the Ph.D Thesis Research Proposal (Synopsis) as per the format (Annexure - IV). The proposal will be revised by him/her as per the suggestions of the DC members which will endorse it and the same will be signed by all the Members of DC. Any change in thesis work proposal shall require approval of the DC.



- ii. To consider and recommend proposed Co-supervisor and inclusion of additional Co-supervisor(s) keeping in view the objectives and work plan of the thesis.
- iii. To approve elective papers for the Ph.D Course work.
- iv. To guide the research scholar to develop the study design and methodology of research.
- v. To periodically monitor the progress of scholar and to make recommendations for improvement of research outcome.
- vi. To recommend temporary attachment with other institute/university in India or abroad for undertaking specific experiment/study for which facilities are not available in YBN University.
- vii. To recommend submission of thesis when the scholar meets all the requirements as laid down in this regulations and completes his /her research work as approved by the DC.
- viii. To recommend the panel of examiners' for adjudication of Ph.D thesis of the scholar.

b. The composition of DC will be as follows:

- a) Supervisor Chairman and Convener
- b) All Co-supervisors Member



- c) Two teachers of the Department Member and A faculty from another Department(Allied Subjects)Member
- d) One Subject expert from other Member University/Research Institute/Organization/Industry While selecting the Subject Expert the Supervisor shall not select a member below the level of Associate Professor or equivalent position.
The constitution DC will be notified by the Supervisor. A copy of notification will be sent each to the Dean of the School, Head of the Department Dean Research & Development, Controller of Examinations.
- c. At least three members namely, one of the Supervisor/Co-supervisor, two faculty members of the concerned department, one member from the allied subject, who is the member of DC, and the External Subject expert will form the quorum to conduct the DC meeting. A Co-supervisor with the consent of the Supervisor and approval of the Head of the Department may also convene the DC meetings in case the Supervisor is not available.
- d. After completion of admission formalities the scholar will submit filled-in enrollment and Ph.D registration form(s).
- e. The first meeting of the DC should be convened within two months of admission of the scholar. The meeting of DC will be conducted at a six-monthly interval. A minimum of six (06) DC meetings including the final/pre-submission DC meeting will be required to be conducted before submission of thesis. DC meeting may also be conducted online only if the external expert will unavailable due to some unavoidable circumstances. In that case the video recording and online meeting pictures by GPS camera is mandatory to enclose during documentation. There should a gap of at least six months between two meetings of the DC.



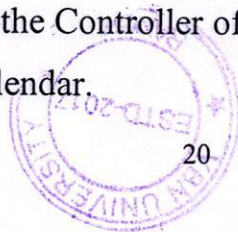
- f. Honorarium and TA/DA to the external subject expert will be paid as per the university norms.

7. Ph.D Course work

- a. Completion of the Coursework will be a prerequisite for Ph.D thesis submission. A scholar admitted to the Ph.D programme shall be required to complete the coursework during the initial one or two semesters. In case a scholar fails to pass Ph.D coursework in two attempts, her/his admission will be cancelled. However, such a scholar will be eligible for re-admission as a fresher.
- b. The credit assigned to the Ph.D coursework shall be 12 credits. All courses/papers prescribed for Ph.D course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Academic Council of YBNU on the recommendation of the concerned Board of Studies.
- c. A minimum of four (04) credits shall be assigned to the Compulsory Paper on Research Methodology. Out of four credits of this compulsory paper a component of two (02) credits will be assigned to Compulsory Module on “Research and Publication Ethics” (as notified by the UGC). Detail of this Component is annexed as Annexure – II with this Regulation. The remaining two (02) credits of the Research Methodology paper shall comprise the content broadly covering an ‘introduction to the concept of research hypothesis, types of research, quantitative and analytical methods used in research, application of computers and other IT tools in research and other topics of general interest pertaining to research’.



- d. The other two papers of Ph.D Coursework shall be of advanced level relevant to the topic of approved PhD proposal as recommended by the DC. One of the papers may also be opted at other Department/School.
- e. Each Ph.D Coursework paper shall carry 04 (four) credits and 100 marks. Internal Assessment weightage will be 25%. Internal Assessment may involve written test, case study, review paper or written assignment. The mode of Internal Assessment will require approval of DC. Internal assessment shall be the responsibility of the Research Supervisor in consultation with the concerned subject teacher.
- f. Classes for Ph.D course work may be conducted in classroom, tutorial, or by online mode.
- g. Candidates already holding an M.Phil Degree admitted to the Ph.D programme and have already completed the course work during M.Phil course may be exempted from the Ph.D coursework. However, exemption will be subject to grant of equivalence of course/credit by YBNU.
- h. Candidates who completed Ph.D coursework from other recognized University/Institution and have joined YBNU Ph.D programme may also be exempted after curriculum and credit equivalence verification by YBNU.
- i. Ph.D Coursework examination shall be conducted by the Dean of the School in consultation with the Office of the Controller of Examinations at least two times a year as per the approved Academic Calendar.



- j. A Ph.D scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the coursework in order to be eligible to continue in the programme and submit the thesis.
- k. The final marks/grades shall be communicated to the Controller of Examination for declaration of results and preparation of mark sheets.

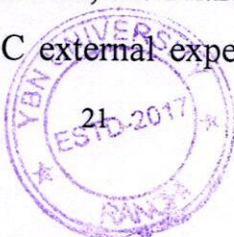
8. Pre-requirements for Ph.D thesis submission

The following will be pre-requirements for Ph.D thesis submission:

- a) Completion of Ph.D course work as per-provisions out lined in this Regulation..
- b) Fulfillment of attendance criteria as notified by the UGC/ YBNU
- c) Publications and participation in conferences/ symposiums/ seminars as per requirement.
- d) Recommendation of DC/SRC for submission of thesis as per format.
- e) Payment of all annual/semester fees and fines and dues, if any.

9. (A) Pre-submission of Thesis:

- (a) Prior to the submission of the thesis, the scholar has to submit semester wise five progress reports with the (Annexure D-3) to the concerned SRC and must publish at least one (02) research paper in peer-reviewed/referred Journals or University approved Journals and two presentations in seminar/conferences etc.
- (b) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the SRC in the presence of DC external expert, which shall also be open to all



faculty members and other research scholars/students.

(c) The supervisor shall organize open pre-submission seminar in the department in consultation with the Head of the Department/SRC to appraise the teachers and other researchers on the scholar's work and receive suggestions for improvement of the research work. The DC shall assess the work of the candidate through this seminar. The suggestion so emerged may suitably be incorporated into the draft thesis.

(d) A copy of notification for pre-submission seminar to be provided to the Chairperson, SRC for information and arrangement of SRC meeting.

(e) If the DC is not satisfied with the quality of the work of the scholar, then she/he shall do further work and deliver a fresh seminar after a definite period specified by the DC.

(f) If the DC is satisfied with the pre-submission seminar of the scholar, supervisor shall prepare a report of the evaluation. A SRC meeting to be held within the three weeks of successful pre-submission seminar. The result of the candidate is to be sent to the concerned Dean along with copy of the summary after necessary approval by SRC. Copies of the all the papers are to be preserved by the supervisor concerned for future references.

(g) A panel of six membered Adjudicators (with address, e-mail and phone number) of the rank of Professor/Associate Professor/Scientist-F possessing Ph. D. in the concerned/related subject representing different parts of the country, of which not more than one from a single university to be submitted by the Supervisor/Co-Supervisor as recommended by the DC and subsequently the list to be approved by the concerned SRC.



9. (B) Sub mission of Ph.D thesis

- a. A scholar will be allowed to submit Ph.D thesis on completion of all the pre-requirements as mentioned above after payment of prescribed evaluation fee.
- b. A scholar will submit duly signed three (05) copies of spiral or glue bound thesis along with three (03) copies of Summary & Conclusions in the Examination Section. These draft copies of thesis and Summary & Conclusions may be printed on both sides of the pages but in a double space and not smaller than 12 font size as per the approved format.
- c. The following documents in original or copies thereof, as applicable, will be required to be submitted along with thesis.
 - a) Three copies of approved Ph.D thesis proposal with signatures of DC members on each page (As per Annexure – I, II III).
 - b) Three copies Ph.D thesis Synopsis in 1200-1500 words (4-6 double spaced printed pages).
 - c) Recommendation DC for submission thesis containing details of attendance, publications and conference/seminar/symposium.
 - e) Plagiarism checks report as per the format.
 - f) Complete thesis and Summary& Conclusions in softcopies as separate files in a pen drive or CD/DVD in .pdf file format duly marked.
 - g) No dues certificate
 - h) Migration certificate from institution/university from where qualifying course has been passed. Not required in case the scholar has passed it from Jamie Hamdard.
 - i) Copies of final year/semester fee and thesis evaluation fee.
 - j) Ph.D Course work completion certificate and mark-sheet.



- d. After verification of documents and other details the Examination Section will issue an acknowledgement of submission of thesis.

10. Evaluation of thesis and award of degree

- a. Immediately after conduct of final SRC meeting or submission of thesis, Supervisors will submit a list of six (06) examiners along with their full contact detail (address, phone number and e-mail ID), designation and field of specialization to the Examination Section. Examiners from abroad may also be included in the panel. However, examiner should not be below the rank of an Associate Professor or an equivalent rank working in the area or broad area of Ph.D thesis research. It is advisable that Supervisors seek consent of prospective examiners before forwarding their names to the Examination Section to avoid delay in the adjudication process.

The following categories of individuals cannot be examiners.

- a) Near relatives of the scholar (father, mother, sibling, spouse, in-laws, grandparents)
- b) Supervisor of the Supervisor
- c) The faculty/scientist who has been mentored by the Supervisor for Ph.D Degree
- d) YBNU (in-service, super annulated or a former employee)
- e) DC/SRC members
- f) Faculty member or scientist below the level of Associate Professor or equivalent grade.

While accepting the Examiner ship the Examiner will declare that 'there is no conflict of interest and he/she does not have any of the above relationships'.

- b. At least three (02) Examiners appointed by the Competent Authority will be contacted by



the Examination Section for their consent to evaluate the thesis along with Summary & Conclusion of the thesis. Upon receiving their consent the thesis (soft copy/hard copy) will be mailed to the approved Examiners along with blank adjudication report format and remuneration bill form. A time of 21 Days will be given to the Examiners to submit the evaluation report. First reminder will be sent after completion of 21 days followed by a second reminder on completion of 01 week after sending the thesis. If no responses received after one week of the second reminder, another Examiner may be appointed from the approved panel. The Examiner who did not respond may be informed not to proceed further and no remuneration will be paid to her/him. There will be no requirement of report from the Supervisor/Co-supervisor.

- c. In case at least two positive reports have been received with 'no' or 'minor revisions' and both the examiners give specific recommendations for conducting the *viva-voce* examination the open/public *viva voce* examination will be conducted by the appointed Examiner. However, the scholar will be required to submit responses and the revised thesis before the *viva voce* examination and the same will be reported during the *viva-voce* examination. The Examination Section will share comments of the Examiners with the Supervisor anonymously for revision of the thesis, if any. A certificate certifying that all the revisions have been made will be required to be submitted to the Examination Section before the conduct of the *viva voce* examination.
- d. If the evaluation report of one of the external examiners is unsatisfactory and does not recommend *viva-voce* examination, the scholar will be required to address and respond to the concerns of the examiner. If the examiner is not satisfied with the response of the scholar, improved thesis will be sent to the 4th 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 Research Supervisor shall be sent the observations of the 4th Examiner and the thesis

- shall be rejected and the research scholar shall be declared ineligible for the award of the Degree. Such a candidate will not be eligible for re-admission in YBNU in Ph.D or any other course.
- e. The open/public *viva-voce* of the research scholar to defend the thesis shall be conducted by the Research Supervisor in the Department. The Head of the Department will be the Coordinator of the *viva voce* examination. Invitation will be sent to faculty members, scholars, and members of the DC/SRC. The *viva-voce* examination panel will be as follows.
 - i. Head of the Department
 - ii. External Examiner
 - iii. Supervisor(s)

Presence/participation of External Examiner will be mandatory. Viva voce examination may also be conducted online, in case it is not possible to conduct it in the Department. Permission to conduct online *viva voce* should be obtained by the Supervisor from the Dean of School with justification. The *viva voce* examination report in the prescribed will be forwarded to the Controller of Examinations for further necessary action. Upon approval of the recommendation of *viva voce* examination panel the Examination Section will issue a notification as per the format subject to condition that the thesis has been uploaded on the INFLIBNET (Shodhganga) portal as per the format and a hard copy of the thesis (revised, if applicable) has been submitted along with a soft copy of thesis on CD/DVD as per format. Research Supervisor will be required to certify that the Research Scholar has incorporated all the changes and the revised thesis (hardcopy and .pdf version) has been checked by him before submission.



11. Ph.D regulations of regulatory councils

In case a Regulatory body notifies regulations for Ph.D programme in a specified discipline the same shall be followed by YBNU through adoption at its statutory bodies with suitable modification with regard to their implementation.

12. Record keeping

The University shall maintain a list of all the registered Ph.D students on its website on the year-wise basis. The list shall include the name of the registered scholar, topic of his/her research, name of his/her Supervisor/Co-supervisor, date of enrolment/registration. This list will be updated in academic year. Departments will send updated list of on-roll Ph.D students with full detail to the Office of the Dean Research & Development. Based on information from the Departments/Schools a master list will be compiled and uploaded on the university web- site by the Dean Research & Development.

- (a) Co-supervisor or one of Co-supervisors will assume the role of Supervisor. The same will be notified by the Head of the Department in the form of revised SRC. If the scholar submits thesis during the leave/deputation period of Supervisor this arrangement will persist. When the Supervisor joins YBNU he/she will assume the role of Supervisor, if thesis is being submitted after six (06) months of her/his joining.

All the matters of change of Supervisor/Co-supervisor will be recommended by the SRC and will be sent for approval of the Board of Studies and the records will be updated in the Office of the Dean Research & Development and master list of the Ph.D scholars.



- a. No regular Ph.D scholar will be allowed to take up full or part-time employment during the course of enrollment in Ph.D programme.

13. Publications/Patents/Conferences

- i) A Ph.D scholar will be required to publish at least two full-length publications from the thesis work as the first and/or equal contributor in UGC-CARE listed Peer – Reviewed journals. Both publications must be based on the original research of the scholar.
- ii) PhD scholars will not be allowed to publish research work without permission of the Supervisor after he/she leaves YBNU, and also will not include author(s) in the publications who has/have made no contribution. In case the Scholar does not adhere to this provision it will be considered an unethical.
- iii) A scholar will be required to attend two conferences/seminars/symposiums and present her/his research work in oral or poster presentation session as the lead author. Two or more presentations in a single event will be considered as one. There should also be a gap of at least 6 month in two events.

14. Cancellation of Registration

The registration/enrollment of a scholar shall be cancelled from Ph.D programme in the following circumstances.

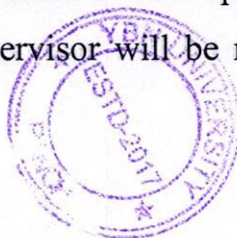


- i. Her/his performance is not found a fault by the Supervisor and the same is also observed/recommended by the SRC at least in two meetings giving an opportunity to the scholar to improve the performance in the first meeting.
- ii. He/she is absent from the Department beyond the period of allowed leave without permission of the Supervisor, under intimation to the Head of the Department and does not report even after two written reminders. The Supervisor will save communication in this regard and always copy the same to the Head of the Department and Office of the Dean.
- iii. Non-payment of fee for money earned will automatically lead to cancellation of admission/registration.
- iv. Scholar takes a paid job before completion of the research work (before SRC meeting date for the purpose of approval of submission of thesis).
- v. He/she is found to have taken admission by fake/manipulated documents and information.
- vi. He/she is found indulged in unethical research and publication practices.
- vii. He/she is implicated in disciplinary proceedings at the university or he/she is convicted by the court of law.

All the matter of cancellation will be reported to the Dean and finally will be marked to the Academic Council through the respective SRC. The cancellation will be notified by the Dean after approval by the statutory bodies of the university.

15. Transfer

- a. Transfer of the scholars will be only after if the Supervisor joins elsewhere and No Objection Certificate by the Supervisor will be mandatory required for this purpose.



16. Ethics

Scholars and Supervisors (internal and external) will be required to follow high standards of ethics in research and publications and the UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions) regulations 2018 and its amendments from time to time will be guiding principles in such matters.

17. Saving clauses

- a. Award of degrees to candidates registered for the PhD programme on or after July 11, 2009 till the date of Notification of these Regulations (University Grants Commission Minimum Standards and Procedure for Award of M. Phil/PhD Degrees) Regulations, 2016) issued on May 5, 2016 shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil /PhD Degree) Regulation, 2009.
- b. The following clauses of this ordinance shall apply on all the PhD scholars registered in YBNU irrespective of date of their enrollment/registration.
 - i). Procedure of submission of thesis.
 - ii). Evaluation of thesis and award of degree
 - iii). Matters related to publications



18. Depository with INFLIBNET

- a. Following the successful completion of the evaluation process and before the announcement of the award of the PhD degree, the scholar/Supervisor concerned shall submit an electronic copy of the PhD thesis in the prescribed format to be submitting the Central Library for uploading on the INFLIBNET portal so as to make it accessible to all Institutions/Colleges.
- b. Prior to the actual award of the degree, YBNU shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016 and its amendments from time to time as adopted by the statutory bodies of the university.

05/04/2019
Registrar
YBN University
Ranchi

