



ALAGAPPA UNIVERSITY
 [Accredited with A+ Grade by NAAC (CGPA: 3.64)
 and Graded as Category-I University by MHRD-UGC]
 KARAIKUDI – 630 003



DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

REGULATIONS

(Updated – October 2022)

1 GENERAL

Candidates who fulfill the eligibility requirements of the Alagappa University for seeking admission to Ph.D. programmes can pursue Ph.D. programmes in the University.

1.1 Place of Research

Research can be pursued in any of the Departments / Constituent Colleges of the Alagappa University or in the Research Department of an Affiliated College / Collaborating Institution recognized as Research Centre by the Alagappa University for the purpose.

1.2 Categories of Ph.D. Scholars

- 1.2.1 Full-Time Research Scholars
- 1.2.2 Part-Time Research Scholars
- 1.2.3 Independent Research Scholars

1.3 Departmental Research Committee

The conduct of pre-registration Ph.D. programme entrance examination work, admission and registration of candidates, guide allocation to candidates, title evaluation and course work coordination shall vest with Departmental Research Committee comprising all eligible guides of the Department under the chair of the Head of the Department, with appropriate support from the office of Dean, Research.

2 ELIGIBILITY REQUIREMENTS

2.1 Common for Full-Time/Part-Time/Independent Research

A: Post Graduate Qualifying Degree Marks

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| 50% of Marks for those who got P.G. degree prior to 1-1-1991. |
| 50% of Marks for SC/ST/Physically or visually challenged candidates / OBC (non-creamy layer) |
| 55% of Marks – For all others |

B: Clearing the Pre-registration Ph.D. Programme Eligibility Entrance Examination (Exemption from 2.1 B is available to candidates under category 2.1.3 only)

2.1.1 Candidates who possess Masters degree as mentioned in 2.1(A) in the faculties of Arts, Science, Management, Education or any faculty that may be approved and a pass in the pre-registration Ph.D. Programme Entrance Examination referred to in 2.1(B) are eligible to register for Ph.D. in this University under the respective faculty in the disciplines in which Ph.D. programmes are offered by the University. The PG degrees of the candidates must be as per the regulations of this University or any other University recognized by the UGC for award of degrees in the disciplines of study considered equivalent to those of Alagappa University. A candidate is expected to take Pre-registration Ph.D. Programme Entrance Examination in the discipline in which the candidate has PG Degree or a discipline closely related to that.

2.1.2 Discipline-wise eligibility, subject to the fulfillment of 2.1 for admission to Ph.D. Programmes.

| Faculty | Discipline | Eligibility |
|-------------------|--|--|
| I. Science | 1. Mathematics | Post Graduate in Mathematics /Applied Mathematics and Computer Applications. |
| | 2. Physics | Post Graduate in Physics |
| | 3. Computer Science | Post Graduate in Computer Science/ Computer Applications/Engineering/ Mathematics/Physics/Statistics/Information Technology |
| | 4. Chemistry | Post Graduate in Industrial Chemistry/ Chemistry. |
| | 5. Oceanography and Coastal Area Studies | Post Graduate in Marine Biology/ Oceanography and Coastal Area Studies / Life Science/ Earth Science / Microbiology |
| | 6. Biotechnology | Post Graduate in Biotechnology/Life Science/Agriculture/Fisheries/ Pharmacy/Veterinary Science/ Medicine/Microbiology. |
| | 7. Nanoscience and Technology | Post Graduate in Physical /Life Sciences. |
| | 8. Bioinformatics | Post Graduate in Bio-informatics/ Biotechnology / Life Science / Veterinary Science / Agriculture / Fishery Science / Pharmacy |

| | | |
|-----------------|--|---|
| | 9. Bioelectronics and Biosensor | Post Graduate in Bioelectronics / Bio sensors / Biochemistry / Biotechnology / Life Science / Chemistry / Physics / Electronics / Electronic Engineering. |
| | 10. Zoology | Post Graduate in Zoology / Animal Health and Management / Life Science / Veterinary Science. |
| | 11. Botany | Post Graduate in Botany / Biotechnology / Life Science |
| | 12. Geology | Post Graduate in Geology |
| | 13. Home Science | Post Graduate in Home Science |
| | 14. Energy Science | Post Graduate in Physical Sciences / Chemical Sciences and Biological Sciences |
| | 15. Molecular Biology | Post Graduate in Life Sciences. |
| | 16. Microbiology | Post Graduate in Microbiology / Biotechnology/ Life Sciences. |
| | 17. Biomedical Sciences | Post Graduate in Biomedical Sciences, Biomedical Engineering, Biotechnology, Biochemistry, Bioinformatics, Botany, Chemistry, Microbiology, Zoology, Any branch of Marine Sciences and any branch of Health Sciences as approved by the Medical University. |
| | Bachelor Degree holder in Engineering / Technology (B.E. /B.Tech.) with a GATE score and Non-GATE students with a CGPA score of 8.0 and above are eligible for admission to full-time Ph.D. Programmes. In such cases, the duration for Ph.D., be fixed as four years and four more papers at PG level (as decided by the Doctoral Committee) be included in the Course Work which is to be completed within the period of two years. | |
| II. Arts | 1. Tamil | Post Graduate in Tamil |
| | 2. Women Studies | Post Graduate in any discipline |
| | 3. History | Post Graduate in History |
| | 4. English | Post Graduate in English |
| | 5. Economics | Post Graduate in Economics / Econometrics / Business Economics / Agriculture Economics / Rural Economics / Applied Economics /Development Economics / Financial Economics /Acturial Economics / Statistics / Development Studies. |
| | 6. Rural Development | Post Graduate in Rural Development / Economics / Agricultural Economics / Rural Economics / Sociology / Anthropology / Commerce / Management and other related discipline. |

| | | |
|----------------------|--|---|
| | 7. Library & Information Science | Post Graduate in Library & Information Science or related field |
| | 8. Social Work | P.G. in Social Work |
| | 9. Fine Arts | Master of Fine Arts / Master of Performing Arts / M.A. in Music / Dance / or Equivalent degree |
| | 10. Psychology | P.G. in Psychology / Applied Psychology / Clinical Psychology / Counselling Psychology / Counselling and Psychotherapy |
| | 11. Public Administration | P.G. Degree in Politics / Law and Governance / Political Science / Policy Studies / Developmental Studies / Any other Social Sciences discipline relevant to Public Administration |
| | 12. Political Science | Post Graduate in Public Administration/Political Science/Management/Any related discipline |
| 3. Education | 1. Education | M.Ed. (Education / Special Education) / M.A. Education |
| | 2. Special Education | Any degree with M.Ed. Special Education |
| | 3. Physical Education and Health Science | Post Graduate in Physical Education/ Medicine/Alternative Medicine/ Physiotherapy (MPT/MSPT) / M.Sc. Sports Coaching |
| 4. Management | 1. Commerce 2. Corporate Secretaryship 3. Bank Management 4. Management 5. International Business* *(Thesis must be strictly related to international business) | <u>Common to all disciplines 1 to 5</u> i. Post Graduate in Commerce/ International Business / Business Administration / Bank Management / Corporate Secretaryship/Banking and Insurance / Economics / Agriculture Economics /Cooperation /Foreign Trade / Any related discipline. ii. Any Degree with ACA/FCA. iii. Any Degree with Grad CWA/ AICWA / FICWA. iv. Any Degree with ACS/FCS. v. Any PG Degree with CAIIB |
| | 6. Logistics Management | P.G. in Logistics Management / Logistics and Supply Chain Management / Management / Business Administration / Supply Chain Management / Shipping and Port Management / Transportation Management / International Business / Foreign Trade / Any related relevant discipline. |

- 2.1.3 **NET (JRF as well as Lectureship)/SET &GATE qualified candidates in the relevant discipline shall alone be exempted from clearing the Pre-Registration Ph.D. Programme Entrance Examination** and they shall be eligible to register for Ph.D. Programme provided they fulfill the eligibility norms mentioned in 2.1.A. All other candidates including those who are working in the sponsored research projects shall clear the **Pre-Registration Ph.D., Programme Entrance Examination.**
- 2.1.4 Admittance of Foreign students for full-time Ph.D., Programme shall be in accordance with the norms laid down by the Ministry of Human Resource Development, Government of India from time to time subject to the fulfillment of the academic requirements provided they meet the eligibility norms mentioned in 2.1.
- 2.1.5 NRI candidates can register for full-time Ph.D. Programme provided they meet the eligibility norms mentioned in 2.1.
- 2.1.6 Pattern & Weightage of marks in the Pre-Registration Qualifying Entrance Examination for Ph.D. Programme.

Written Examination (3h)

| S. No. | Area of Test | No. of MCQs | Marks |
|--------|------------------------------------|-------------|-------|
| 1 | Test of English Language Skills | 25 | 25 |
| 2 | Test of Quantitative Aptitude | 25 | 25 |
| 3 | Test of Relevant Subject Knowledge | 100 | 100 |
| | Total | 150 | 150* |

* Weightage of Marks: Written Test mark shall be converted to 100 marks.

2.2 Regulations Applicable Specially to Part-time Research

- 2.2.1 Any Post Graduate who wishes to pursue Ph.D. Programme is eligible to register under part-time research provided he/she fulfills the eligibility norms mentioned in 2.1 and is having two years of continuous Teaching / Research / Professional experience at the time of registration.
- 2.2.2 The candidate should spend a minimum of 3 months in residential programme at the Department / Constituent College / Approved Research Centres of Affiliated College or Collaborating Institution. The candidate can undergo the residential programme in one phase or in three phases (i.e., one month per year) in consultation with the Research Supervisor. This is also applicable to part-time NRI or Overseas Research scholars.

- 2.2.3. Any teacher employed in a Government recognized school with a Post Graduate Degree as specified in 2.1. of this University / any other University / Institution / recognized by the Syndicate as equivalent thereto and with at least two years of continuousteaching experience is eligible to register for the Degree of Doctor of Philosophy.
- 2.2.4. NRI candidates can register for part-time Ph.D. Programme provided they meet the eligibility norms mentioned in 2.1 and have two years of Teaching /Research / Professional experience.

2.3 Regulation Applicable specially to Independent Research

- 2.3.1 Persons who possess the eligibility norms mentioned in 2.1.
- 2.3.2 Minimum 10 years of teaching experience at UG/PG level with at least 5 publications in professionally recognized journals in the case of teachers in Colleges/University Departments.

(OR)

Minimum 10 years of research experience and at least 5 publications in professionally recognized journals in the case of Scientists / Researchers working in Regional / National laboratories / Institutes / Industrial establishments.

2.4 INTER – DISCIPLINARY PROGRAMME

A. FULL-TIME

- 2.4.1 A candidate with a Post Graduate Degree in any discipline qualified as mentioned under section 2.1. is eligible to register for the Ph.D. Degree in inter-disciplinary areas, under the guidance of a Research Supervisor and a Co-Supervisor with related disciplines concerned.

B.PART-TIME

- 2.4.2. A candidate with a Post Graduate Degree in any discipline mentioned under section 2.1 employed in a University Department / College and who has put in two years of continuous teaching experience at University / College level is eligible to register for the Degree of Doctor of Philosophy in inter-disciplinary areas, under the guidance of a Research Supervisor and a Co-Supervisor in the disciplines concerned.

- 2.4.3. Any candidate employed in National Laboratories, Government or Quasi Government with a Post Graduate qualification and with two years of continuous experience in the relevant field is eligible for registration for Ph.D. Degree in the inter-disciplinary areas in the relevant Disciplines concerned.
- 2.4.4. Any teacher employed in a Government recognized school with a Post Graduate degree with marks as specified in 2.1, of this University / any other University / Institution recognized by the Syndicate as equivalent thereto and with at least two years of continuous relevant teaching experience is eligible to register for the Degree of Doctor of Philosophy in inter-disciplinary areas in the relevant Disciplines.
- 2.4.5. For any inter-disciplinary candidate there should be a Research Supervisor from the prime discipline that the candidate had qualified for or closely related to that discipline he / she had qualified for and a Co-Supervisor from the other discipline or Co-discipline.
- 2.4.6. The candidate should spend a minimum of 3 months in residential programme at the Department/College/Centre/Institution and the candidate can undergo the residential programme in one phase or in not more than three phases (i.e., one month per year) upon mutual consultation with the Research Supervisor. This is also applicable to part-time NRI scholars.
- 2.4.7. The candidates will be awarded the inter-disciplinary Doctoral Degree by mentioning the Prime Discipline as well as the Co-Discipline in the Degree.

2.5 Admission for Foreign Nationals / NRIs

- a) Foreign candidates / NRIs should have passed Post Graduate degree or its equivalent, as mentioned in 2.
- b) Provisional admission will be given to the foreign candidates / NRIs throughout the academic year.
- c) The provisionally selected foreign / NRI candidates should appear for the Entrance Test and Interview related to their Ph.D. Programme to be conducted by the Department concerned, as per University norms.
- d) Admission will be confirmed, after completing entrance test and interview.
- e) This procedure will be adopted both for Full-time and Part-time candidates.
- f) **US\$10** or its equivalent Indian rupee will be charged for entrance test and interview.

3 CONVERSION OF FULL-TIME REGISTRATION INTO PART-TIME AND VICE-VERSA

The University may permit conversion from Full-time research to Part-time research and vice-versa in respect of registered candidates only one time for valid reasons subject to satisfying the regulations, rules and conditions in force, on payment of the prescribed fee.

4 DURATION (FULL-TIME/PART-TIME/INTER-DISCIPLINARY)

| Period of research | Existing rules (Registration prior to 01.01.2021) | | Revised rules (Registration 01.01.2021 onwards) | |
|---|--|----------------------|--|----------------------|
| | M.Phil. Degree holders | PG Degree holders | M.Phil. Degree holders | PG Degree holders |
| Minimum period of Research under Full-time / Part-time | FT- 2 years | FT-3 years | FT- 2 years | FT-3 years |
| | PT- 3 years | PT- 4 years | PT- 3 years | PT- 4 years |
| | | | | |
| Maximum period of research | 5 years | | 6 years | |
| Extension | 6th & 7th year (four extensions of six months each) | | 7th & 8th year (four extensions of six months each) | |
| Re-registration | 8th year & 9th year (two years) | | 9th & 10th year | |
| Special Extension | 10th year | | No special extension shall be entertained | |

4.1 RE-REGISTRATION

The Scholars who could not complete the Ph.D. within the prescribed maximum time limit (including 4 extensions) will be given a chance to re-register for Ph.D. provided they continue on the same topic under the same Research Supervisor or Doctoral Committee as the case may be. These re-registered scholars are permitted to submit the thesis not later than 2 years after the re-registration. The re-registered scholars will be governed by regulations in force.

4.2 **SPECIAL EXTENSION** (Registration prior to 01.01.2021 only)

The Scholars who have not submitted their theses for Ph.D. degree before the expiry of the re-registration period i.e., 9 years (that is, 5 years +2 years +2 years) from the date of original registration, can avail **one year special extension** from the date on which the re-registration period lapses by remitting all arrears of fee dues, if any up to the expiry of 9 year period and one year tuition fee along with a **penalty of Rs.10,000/-** (or whatever prescribed amount in force from time to time). Application for special extension has to be made to the Dean-Research through the Research Supervisor and the Head of the Department with complete particulars concerning fee remittance so far made and with their forwarding remarks specifying justifications for allowing the researcher to continue on the topic chosen **nine years before**. This request need not be entertained after the lapse of the deadline for the re-registration period by the Head of the forwarding Department of the University / Constituent Colleges / Affiliated Colleges or Institution in the case of Approved Research Centres.

5. **ELIGIBILITY FOR RESEARCH SUPERVISOR AND PROCEDURE FOR RECOGNITION**

- 5.1 All Professors / Associate Professors / Principals in the University Departments / Constituent Colleges / Approved Research Centres in Affiliated Colleges or Collaborating Institutions who are currently engaged in research are eligible to be Research Supervisors.
- 5.2 All Assistant Professors / Scientists in the University Departments / Constituent Colleges / Approved Research Centres in Affiliated Colleges or Collaborating Institutions who have got the Ph.D. degree from this University or from any other University recognized by the Syndicate of this University with two publications either as first author or corresponding author / in the UGC CARE Journals / Scopus indexed journals after obtaining Ph.D. degree.
- 5.3 All other cases will be considered by the Research Advisory Committee on merit.
- 5.4 No immediate or close relative of the candidate shall act as Research Supervisor or Co-Supervisor for such candidate.

5.5 All those eligible to become Research Supervisors must get official sanction from the University to serve as Research Supervisors by making an application prescribed there for.

5.6 Research Supervisors desirous of taking up fresh scholars for Ph.D. Programme shall be permitted upto their Superannuation period. This condition shall not apply to National Professors / Emeritus Professors & Scientists / Distinguished Research Professors and Awardees of National / International Funding Agencies.

6 **MAXIMUM NUMBER OF CANDIDATES UNDER A RESEARCH SUPERVISOR**

Number of candidates who can be supervised by a research supervisor shall be as given below.

| | Designation | Total number of candidates Full-time/Part-time) |
|-------|--|--|
| (i) | Professors in University Departments / Centres | 8 |
| (ii) | Principals / Associate Professors in University Departments / Constituent Colleges / Affiliated Colleges | 6 |
| (iii) | Assistant Professors in University Departments / Constituent Colleges /Affiliated Colleges | 4 |
| | Approved Research Centres in the Collaborating Institutions | 4 |

The candidates under Co-Supervisorship need not be included in the number of candidates under guidance of any Research Supervisor. In the case of supervisors of other categories, the number shall be fixed according to their cadre. However to increase the number of Ph.D. scholars assigned to Eminent Academicians / Scientists, the decision is left to the discretion of the Vice-Chancellor, based on individual merit of the case assessed by the Research Advisory Committee. The maximum number of candidates doing Ph.D. under a Research Supervisor shall not exceed the limit as stipulated by the UGC. However the Research Supervisor shall be permitted to accept additional candidates, in special cases such as

- (i) the existing candidates submitted their Ph.D. thesis and waiting for viva-voce examination.

- (ii) the applicants with National Fellowships/Foreign Nationals/newly appointed project fellows. Proof for such claims need to be submitted.

However, the maximum number of *additional candidates* shall be restricted to **2**.

7 REGISTRATION FOR Ph.D. DEGREE (FULL-TIME/PART-TIME/INDEPENDENT)

Those who are eligible as per the norms given above shall apply to the Dean-Research for registration in the prescribed application form through the Research Supervisor in the case of Full-time / Part-time candidates. Independent candidates should apply through the Head of the Department / Officiating Department of the University. The application must be forwarded through proper channel as stated below. (i) The Principal of the Affiliated College or Head of the Collaborative Institution of Approved Research Centres of the University in the case of candidates registering through Approved Research Centres or (ii) the Head of the Department / the officiating Department of the University or Principal of the Constituent College in the case of all other candidates including Independent candidates.

- 7.1 The prescribed fee will have to be paid by the candidate through DEMAND DRAFT drawn on any nationalized / scheduled Commercial Bank payable at KARAUKUDI in favour of THE REGISTRAR, ALAGAPPA UNIVERSITY.
- 7.2 The candidate shall furnish the following information and certificates with the prescribed application.
 - a) The design of the proposed research work with the signed approval of the Research Supervisor and Co-Supervisor, if any, and with the signature of the candidate.
 - b) Original Post Graduate degree and Mark / Grade statements.
 - c) Original M.Phil. degree and marks statements, if applicable.
 - d) Original Service-cum-No Objection Certificate, if employed.
 - e) Attested photo copies of TC for Age proof and Community Certificate for record.
 - f) Certificate of eligibility for those who have qualified Pre-Registration Ph.D. Programme Entrance Examination of Alagappa University / Copy of NET/SET/GATE Certificate / Proof of Foreign Nationality for candidates covered under clause 2.1.4/ Proof of NRI status for candidates covered under clause 2.1.4 or 2.2.4.

8. ELIGIBILITY OF INSTITUTIONS

- 8.1 All the Departments / Centres / Constituent Colleges functioning directly under the administrative control of the Alagappa University are recognized as Research Centres. They can admit Scholars falling under Categories 1.2.
- 8.2 Affiliated Colleges of this University and Collaborative Institutions of this University that are discipline-wise approved by Alagappa University as Research Centres.
- a) The P.G. Departments of Affiliated Colleges and Institutions of Alagappa University offering post-graduate courses are eligible to admit candidate for Ph.D. programme under categories 1.2 provided they possess official discipline-wise recognition as Research Centres from the University.
- b) The UG Departments of various Affiliated Colleges of Alagappa University offering any branch of study (offering that discipline as the main programme) are eligible to admit candidates for Ph.D. under categories 1.2 provided (i) adequate facilities in the concerned disciplines exist for carrying out research, (ii) there is at least one qualified Research Supervisor in the discipline and (iii) have been recognized as Research Centres by the University for the discipline concerned.
- 8.3 Regional and National Laboratories / Organizations / Institutions / Industrial Establishment with in-house R & D department of commendable standard are also eligible to admit candidates for Ph.D. under the categories 1.2 provided they possess official discipline-wise recognition from the University as approved Research Centres.

Institutions (covered under 8.2 and 8.3 above) desirous of getting recognition must request and apply to the University for securing discipline-wise recognition as Research Centres by the University. Based on specific request and application, the University will get these institutions assessed through a committee before awarding such recognition and shall grant the recognition if found suitable and subject to such condition(s) as may be felt necessary by the University.

9 DOCTORAL COMMITTEE

For every candidate (full-time, part-time and independent) registered for the Ph.D. degree, a Doctoral Committee of not less than three members of the

faculty/discipline who are recognized supervisors shall be constituted by the University as follows:

In respect of candidates registered for the degree under a Research Supervisor, the Doctoral committee shall consist of (i) the Research Supervisor - Convener (ii) the Head of the Department concerned (or) Principal of the Constituent College, or Head of the Institution of the Approved Research Centre / one Internal Expert when HOD is the Research Supervisor (iii) an External Expert from neighbouring accredited University nominated by the Vice-Chancellor from a panel of three members recommended by the Research Supervisor. The services of the same person can be utilized for more than one candidate. Co-supervisor, if any, will be the fourth member of the Committee.

- 9.1 In the case of Independent Research Scholars, the University will constitute a Doctoral Committee consisting of three subject experts out of whom one will be designated as Convener.
- 9.2 In respect of inter-disciplinary research, the co-supervisor shall also be included as a member, in addition to those mentioned above. The supervisor shall send the bio-data of the Co-supervisor suggested for the candidate and approved by the University for inclusion in the Doctoral Committee. The Co-supervisor so opted, in very special cases, may also be, if approved by the Vice-Chancellor, from other Reputed Universities / Reputed Research institutions in case qualified member to serve as Co-supervisor is not available in this University in the concerned discipline.
- 9.3 The half yearly progress reports shall be submitted by the Research Scholars to the Dean-Research, with endorsement and remarks of the Research Supervisors.
- 9.4 The research supervisor shall be the convener of the doctoral committee, unless otherwise stated.

10 CHANGE OF TITLE

The Research Scholars shall be permitted to seek Change of Title prior to the submission of the Synopsis of the Thesis. A request has to be submitted along with the last half yearly report or along with the Ph.D. pre-thesis submission presentation report. All such changes should have been approved by the Doctoral Committee.

In case of the independent research scholar, the Minutes of the Meeting of the Doctoral Committee shall be produced to the Dean-Research, for approval.

Under no circumstances, a request for change in title be entitled once the Synopsis of the Thesis is submitted.

11 CHANGE OF RESEARCH SUPERVISOR

On request from a candidate, the University may permit the change of Research Supervisor only in deserving cases, subject to the approval of the original Research Supervisor and consent from the proposed Research Supervisor. In case, the Research Supervisor is on long leave (6months or more) or has ceased to be a faculty in Department /Constituent College / Research Centre in the Affiliated College or Collaborating Institution, change of Research Supervisor will be considered on the written request from the candidate based on the recommendation of the concerned Head of the Department of the University / Principal of the Constituent Colleges / Principal of the Affiliated Colleges or Head of the Collaborating Institution.

11. (a) CO-GUIDE

While transferring the Research Supervisors of Affiliated Colleges of Alagappa University to other Universities / Institutions, other than the jurisdiction of Alagappa University or retirement from service, the Ph.D. Scholars shall be permitted to opt co-guide from the same Research Centre (Affiliated Colleges) or from the University Departments, as the case may be, to complete their research work without delay. If the Research Supervisor visits foreign country for a period of six months or more, the Ph.D. Scholar shall be permitted to opt co-guide from the same Department / Research Centre. It is desirable that the co-guide is selected from the same Department, but exemption may be given for special cases.

Registration of Ph.D. with co-guide shall not be considered from the same discipline / Department. Co-guideship shall be considered only for the inter-disciplinary research. Further, these regulations shall not be applicable to such cases where the guides are transferred or retired from service.

12 EXAMINATION

PART – I COURSE WORK

12.1. All the Research Scholars (Full-time and Part-time) shall undergo the Course work for Ph.D. Programme after provisional registration as detailed below:

| | |
|------------------------------|--|
| P.G. qualified candidates | a. Research Methodology b. Two more Courses in the relevant discipline. c. Research and Publication Ethics (RPE) * |
| M.Phil. qualified candidates | a. Two Courses in the relevant discipline. b. Research and Publication Ethics (RPE)* |

Note: *- This course is mandatory for all the candidates registered on or after 1 June 2020, as per the UGC regulations.

The Registration shall be confirmed only upon the completion of Course Work. Each Course Work shall have 4 credits. The Course Work shall be decided by the Departmental Research Committee based on the knowledge of the Scholar in the area of research. Depending upon the level of the Research Scholar, the Committee can recommend for waiving one or more Courses or add one or more courses over and above the minimum number of Courses prescribed. The Course shall be evaluated with an Internal Assessment and Final Examination with a weightage of 25:75. The conduct of Course Work and Question Paper pattern shall be as applicable to M.Phil., Programme. The Course Work shall be completed normally within one and half years and the registration shall be confirmed only after the completion of Course Work. Failure to complete the Course Work within the stipulated period shall entail automatic cancellation of the registration.

12.2 The final examination for the Course Work is centralized and conducted by the Controller of Examinations along with the end-semester Examinations. A Comprehensive Viva shall be conducted in the respective Department / Approved Research Centre where the candidate has registered, following the clearance of Course Work Examination, by convening the Doctoral Committee.

PART-II SYNOPSIS AND THESIS SUBMISSION

12.3 The research scholar who has completed his/her research work and is sure of compiling the results into the thesis within six months prior to the completion of the minimum required duration of research, may submit **SIX copies of the**

Synopsis of the thesis to the University through the Research Supervisor or the Doctoral Committee (in the case of independent research scholars) and forwarded by Head of the Department / Head of Officiating Department / Principal of Constituent College of the University. In the case of candidates registering through Approved Research Centres the copies of the synopsis of the thesis shall be forwarded by the Head of the Collaborating Institution or Principal of the Affiliated College. Synopsis should be accompanied by a panel of examiners as mentioned in 13.2.

12.4 **Pre-thesis submission presentation:** One year minimum period is required for conducting pre-thesis submission presentation from the date of Doctoral Committee convened for the comprehensive viva-voce. Prior to submission of the synopsis/thesis, the Research Scholar shall make a Pre-Thesis Submission Presentation before the Doctoral Committee in the Department that may be allowed to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the Supervisor. The Research Supervisor must intimate to the Office of the Dean-Research about the details of conducting the meeting of Doctoral Committee for Pre-Thesis Submission Presentation, well in advance. In case of non-receipt of required documents, the submission of Thesis shall not be entertained.

12.5 **Publication of at least one original research paper** from the doctoral work carried out by the scholar in the list of journals approved by UGC in addition to the journals listed given below:

| | | |
|-----------------------|---|-----------------|
| Faculty of Science | All Disciplines: Publication in SCI journals as first author by the scholar | Annexure - I |
| Faculty of Arts | 1. Tamil | Annexure – II |
| | 2. English | Annexure – III |
| | 3. Women’s Studies | Annexure – IV |
| | 4. Social Work | Annexure – V |
| | 5. Economics / Rural Development | Annexure – VI |
| | 6. Library and Information Science | Annexure – VII |
| | 7. History | Annexure – VIII |
| Faculty of Management | All Disciplines | Annexure – IX |
| Faculty of Education | 1. Education | Annexure – X |
| | 2. Special Education | |
| | 3. Physical Education | Annexure - XI |

Publication of at least one research paper as first author in the journals approved by UGC in addition to the journals given in Annexure be mandatory for submission of thesis by the Research Scholar. The evidence of the same may be produced in the form of the reprint or acceptance letter from the journal. The Research Supervisor shall produce a certificate for publication of article.

12.5 (a) :The Research Supervisor concerned shall verify the Ph.D. Thesis of the scholars, by using the URKUND – anti plagiarism service and give a certificate regarding anti-plagiarism, to ensure the originality of their documents, at the time of submission of thesis.

The similarity with the published literature shall not exceed 20% (revised from existing 30% to 20%). The references cited in the Theses shall be excluded for the purpose of similarity search. The similarity shown with the candidate's own publication(s) shall not be counted for similarity.

12.5 (b) :Ph.D. scholars must publish at least one (1) research paper in referred 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.[*For registering Ph.D. Programme on or after 01.01.2017, under the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations 2016.*]

12.5 (c) : Research scholars who have registered after May 1, 2019 in the Faculty of Science should publish **Two** research papers as **first author** in Scopus / Web of Science /SCI journals and the Research Scholars in the Faculty of Non-Science (Arts / Education/Management), should publish at least **One** research paper as **first author** in Scopus/Social Science Indexed journals for submission of thesis.

12.6 Not later than six months after submission of the synopsis but after the expiry of the minimum period of research, the candidate shall submit **FIVE copies of the Thesis** embodying the results of the research carried out by the candidate through the Research Supervisor. The thesis must be forwarded by the Head of the Department of this University / Head of the Officiating Department / Principal of the Constituent Colleges in the case of candidates registering through the

University Department / University Constituent Colleges, including Independent researchers in the prescribed form together with prescribed fee. In the case of candidates registering through Approved Research Centres, the copies of the thesis shall be forwarded by the Head of the Collaborating Institution or Principal of the Affiliated College in the prescribed form together with prescribed fee. **The research scholar must also submit his / her Thesis and Synopsis in separate virus –free CDs in MS Word and PDF formats.**

- 12.7 The overall objective of the research work as embodied in the thesis should be a thorough training in the research methodology and effective exposure to the current trends and developments in the respective field of research. The thesis must be an original piece of research work carried out by the candidate characterized by the investigation towards development of new facts, fresh interpretation of facts or modification of existing concepts supported by ample evidence. The thesis should also be satisfactory as far as the overall presentation is concerned.
- 12.8 The synopsis / thesis (wrapper) may contain the details as shown in the format prescribed by the University (**Appendix I**).
- 12.9 In inter-disciplinary programme, the synopsis (wrapper) & thesis (wrapper) may contain the details as shown in the format prescribed by the University (**Appendix II**).
- 12.10 The wrapper of synopsis & thesis may contain the details as shown in the format prescribed by the University for the candidates who registered through Approved Research Centres of Affiliated Colleges / Collaborating Institutions (**Appendix III**).
- 12.11 The Thesis shall not exceed 250 pages excluding appendices, tables and figures. Thesis shall be in computer type-written form, double spaced, with 12 font size of New Times Roman Letter Style. Appropriate mechanics of thesis writing must be followed **or** in a book format with double side printing, Times New Roman, Font size 11, 1.15 line spacing, Hard bound or flexible binding. The Cover page of the thesis shall be plain without any design. However, graphical abstracts may be allowed for theses from the Faculty of Science.
- 12.12 Further, the candidate will have to bear the postal and incidental expenses, if any connected with the sending of the thesis to the foreign examiner, for evaluation.

13 **EVALUATION NORMS AND PANEL OF EXAMINERS**

13.1 **Evaluation Norms:**

The examiner of a Ph.D. Thesis shall be requested to keep in view a few parameters for evaluation such as (i) Appropriateness and relevance of the title; (ii) Up-to-date review; (iii) Scientific methodology in data collection (iv) Adoption of appropriate technique of analysis; (v) Critical discussion of research findings and conclusions with policy / practical relevance;(vi) Significant contribution to the inventory of knowledge in the discipline concerned; and (vii) Adherence to standard rules with regard to mechanics of thesis writing and format of the thesis.

13.2 **PANEL OF EXAMINERS**

The Research Supervisor or the Doctoral committee as the case may be, shall submit a panel of TWELVE experts.

Thesis Evaluation: (4 Indian & 4 Foreign Examiners)

- **Four** Indian Examiners be drawn from reputed Universities / Institutions, other than Tamil Nadu. (Not more than two examiners from the same state and not more than one examiner from the same University / Institute).
- **Four** Foreign Examiners be drawn from reputed Universities / Institutions. (Not more than two examiners from the same country and not more than one examiner from the same University/Institute).

Viva-Voce Examination

- A separate panel of examiners consisting of **Four** experts be given from the Universities/ Institutions of Tamil Nadu and Puducherry (for Tamil Nadu, outside Alagappa University jurisdiction). Indian Examiner (other than Tamil Nadu & Puducherry) shall also be permitted to be the Viva-Voce examiner, if there is a specific request from Supervisor/ Convener.

Tamil Language and Fine Arts

- ❖ In respect of Tamil language & Fine Arts, the Research Supervisor / the Doctoral Committee shall recommend a panel of EIGHT experts comprising of **Four** examiners from Tamil Nadu and **Four** examiners from outside Tamil Nadu.
- All the examiners shall be specialists, in the subject in which the candidates have submitted their thesis for constituting Board of Examiners. The Vice-Chancellor has the discretion to add more names to the panel.
- Research Supervisors shall get consent letter / e-mail of all Experts before submitting panel to the University. The consent letters should be submitted alongwith the panel. The Research Supervisor shall submit the e-mail ID, website address and Telephone & Fax numbers of the examiners.

Board of Examiners shall consist of three examiners comprising of Research Supervisor, Indian Examiner & Foreign Examiner, in which the Research Supervisor shall be the Convener of the Board, who shall consolidate the reports for further action.

14. ADJUDICATION OF THE THESIS

- 14.1 The Thesis shall be referred to a Board of Examiners consisting of **three examiners** (two Indian examiners including the Research Supervisor and one Foreign Examiner).
- 14.2 Research Supervisor shall be the Convener of the Board of Examiners. For Independent Research Scholars, one of the three examiners shall be designated by the Vice-Chancellor as the Convener of the Board of Examiners.
- 14.3 As soon as the Synopsis and the Panel of Examiners are received, the University shall take steps to fix the Board of Examiners without waiting for the receipt of the thesis.
- 14.4 Each examiner appointed by the University to adjudicate the thesis shall be requested to send his/her report within 2 months from the date of receipt of thesis.
- 14.5 The report of the examiner shall be in the prescribed format as provided in **Appendix IV**.

14.6 The **Rules of Evaluation** shall be as follows:

| Sl.no. | Reports of the examiners | Rules |
|--------|---|--|
| 1. | Three reports are favourable | The candidate is to be permitted to take viva-voce examination |
| 2. | Three reports are rejected | The registration of the candidate will be cancelled |
| 3. | Two reports are favourable and one revision | The candidate shall be permitted to resubmit the thesis on the lines suggested by the examiner after one month but within three months and the revised thesis may be referred to the same examiner, who recommended revision. |
| 4. | Two reports are favourable and one rejection | The thesis shall be referred to the fourth examiner with the copies of the reports of the original examiners (three) and his decision will be final. If the fourth examiner recommends revision, the candidate shall be permitted to resubmit the thesis on the lines suggested by the examiner after three months but within six months and the revised thesis may be referred to the same examiner, who recommended revision. |
| 5. | One favourable and two rejection | The candidate shall be allowed to rework and resubmit the thesis after a lapse of one year. Such thesis will be treated as fresh submission. |
| 6. | One favourable and two revision | The candidate shall be allowed to revise the thesis on the basis of the reports of two examiners after a lapse of six months and the revised thesis may be referred to the same examiners, who recommended revision. The reports of the revised thesis may be sent to convener to enable him to prepare a consolidated report. |
| 7 | One favourable and one revision and one rejection | As in the case of rule no.5 |

14.7 If the Examiner(s) has/have suggested minor corrections/ modifications such as typographical errors, syntax/ grammatical errors and any other minor correction/ modification, the same shall be incorporated and two copies of the “corrected thesis” shall be submitted within 15 days from the receipt of communication from the University. The Research Supervisor shall certify the list of corrections/modifications made in the thesis by clearly mentioning the Chapter/page/line number, etc.

15 PUBLIC VIVA-VOCE EXAMINATION

15.1 Public Viva-Voce is an essential part of the adjudication process and every candidate shall take the same. The Convener of the Board of Examiners shall

- consolidate the three evaluation reports of the Board of Examiners and the consolidated report shall be submitted to the University for taking further action including conduct of Public Viva-Voce. The Public Viva-Voce for a candidate will be decided based on the consolidated statement of the evaluation reports of the three examiners. The candidate shall furnish satisfactory clarification to the queries raised by the examiners and the audience during the Public Viva-Voce.
- 15.2 The Research Supervisor shall act as Convener of Public Viva-Voce Board.
- 15.3 The Public Viva-Voce shall be conducted in the place mentioned in 1.1. where the research scholar has carried out his/her research, i.e., the University Department/ Constituent Colleges / Approved Research Centre in the Affiliated College/ Collaborating Institution, as the case may be.
- 15.4 A separate panel of examiners consisting of **Four** experts be given from the Universities/ Institutions of Tamil Nadu and Puducherry (for Tamil Nadu, outside Alagappa University jurisdiction). Indian Examiner (other than Tamil Nadu& Puducherry) shall also be permitted to be the Viva-Voce examiner, if there is a specific request from Supervisor/ Convener.
- 15.5 In the case of research scholars under category 2.3 the Vice-Chancellor shall choose two persons as examiners from a panel of examiners from India submitted by the Chairperson of the Board of Studies or competent expert body, as the case may be, for conducting the public viva-voce and shall designate one of the two examiners so chosen as the convener of the Public Viva-Voce Board.
- 15.6 Video-conferencing facility for conduct of Public Viva-Voce may be considered on specific request form the research scholar, duly forwarded by the Research Supervisor and Head in the case of deserving scholars who are abroad and could not undertake a trip to India for valid reasons. The Venue of such Public Viva-Voce, if approved, shall be a place in the University only. Virtual presentation and interaction shall be the prime mode of proceedings. The scholar will have to pay prescribed fee for the purpose.
- 15.7 The Public Viva-Voce shall be designed to test the understanding of the research scholar on the subject matter of the thesis and his / her competence in general field of research. The scholar shall be asked to make a brief presentation before the audience and shall answer all the questions raised by the examiners and the audience.

15.8 If a research scholar is not successful in the Public Viva-Voce, he/she shall be allowed to reappear before a Public Viva-Voce Board constituted for this purpose by the Vice-Chancellor once again after 3 months from the date of first Public Viva-Voce and its decision will be final.

16 CONSOLIDATED RECOMMENDATION

If the candidate is successful in the Public Viva-Voce, the Board of Public Viva-Voce examiners shall recommend the candidate for the award of the Degree based on;

- i) The reports of the examiners who adjudicated the thesis and
- ii) The Evaluation of the candidate's performance in the Public Viva-Voce examination.

17 FORM OF RESEARCH DEGREE

The Research Degree will be awarded in the Discipline and Faculty in which the candidate has registered for the Ph.D. degree. For inter-disciplinary research, the prime and co-disciplines should be distinctly indicated.

18 AWARD OF RESEARCH DEGREE

The date of successful Public Viva-Voce will be the date of award of the Ph.D. degree to the Research Scholar subject to the approval of the Syndicate of the University. Along with the Degree, the University shall issue a provisional certificate certifying to the effect that the Degree has been awarded in accordance with the provisions to the Regulations of the UGC.

19 PUBLICATION OF THESIS

The Vice-Chancellor may grant permission for publication of Ph.D. Thesis on a request from the candidate along with a certificate obtained from the Research Supervisor/Doctoral Committee stating that all the corrections and suggestions pointed out by the examiners have been incorporated in the thesis. However, this condition will not apply for publication of any portion of the thesis in professional journals.

20 Following the successful completion of the evaluation process and announcements of the award of Ph.D., the University shall submit a soft copy of the Ph.D. Thesis to the UGC within a period of 30 days, for hosting the same in INFLIBNET accessible to all Institutions/Universities.

21 RIGHT TO CHANGE ANY PROVISION WITHOUT ANY PRIOR NOTIFICATION

The University has right to change any provision governing any aspect of the Ph.D. Programme Regulations without any prior notice as it may deem necessary as exigencies emerge which may be made applicable to all candidates on roll.

EXISTING FEE DETAILS

| S.No. | Description | Approved Fee | |
|-------|--|--------------------------|-----------------------------------|
| | | Indian Candidates Rs. | NRI / Foreign Candidates US \$ |
| 1. | Cost of Application | 1000 | 100 |
| 2. | Registration Fee | 3000 | 200 |
| 3. | Annual Fee payable per annum up to a maximum of Seven (5+2) years | | |
| | a) i. For Full-Time Scholars in the Faculty of Science | 6000 | 500 |
| | ii. For Full-Time Scholars in other Faculties | 4000 | 500 |
| | b) i. For Part-Time Scholars in the Faculty of Science | 10000 | 500 |
| | ii. For Part-Time Scholars in other Faculties | 8000 | 500 |
| 4. | Course Work & Comprehensive Viva-Voce | 6000 | 400 |
| 5. | Extension Fee (For six months) | 1000 | 100 |
| 6. | Change of Guide/Centre Fee | 2000 | 200 |
| 7. | Conversion Fee (Part-Time to Full-Time or vice-versa) | 2000 | 100 |
| 8. | Submission of Thesis | 12000 | 1000 |
| 9. | Postage | 3000 | 200 |
| 10. | Re-registration fee | 10000 | 400 |
| 11. | Video Conferencing for Public Viva-Voce | 5000 | 200 |
| 12. | Special Extension Penalty Fee | 10000 | 400 |
| 13. | Computer / Internet charges (only for Scholars in University Departments and Constituent Colleges) per annum | 1000 | 100 |
| 14. | Library fee (Only for Scholars in the University Departments and Constituent Colleges) per annum | 500 | 50 |

Note:

All Ph.D. Scholars shall pay the research fee within the due date. In case, the tuition fee is not paid within 30 days after the due date, the registration shall stand cancelled. Such candidates may seek renewal of registration within a period of three months from the due date, by paying the prescribed fee and penalty of Rs.1000/- / \$100.

HONORARIUM DETAILS

| Item | Amount |
|---|-----------|
| Honorarium to the Indian Examiners for thesis evaluation | Rs.3000 |
| Honorarium to the Research Supervisor for thesis evaluation | Rs.1000 |
| Honorarium to the Foreign Examiner for thesis evaluation | US \$ 150 |
| Honorarium to the Viva-Voce Examiner for conducting the Public Viva-Voce | Rs.2000 |
| Honorarium to the Research Supervisor and Co-Supervisor for conducting the Public Viva-Voce | Rs.500 |
| Honorarium to the Head / Principal for coordinating the conduct of the Public Viva-Voce | Rs.500 |

Appendix I

(Model for wrapper and inside title page of Synopsis / Thesis of the Ph.D. work)

Title of the Synopsis / Thesis

SYNOPSIS / THESIS SUBMITTED TO ALAGAPPA UNIVERSITY IN PARTIAL
FULFILMENT FOR THE AWARD OF THE DEGREE OF
DOCTOR OF PHILOSOPHY
IN

(Name of the Discipline)

By

(Name of the candidate)

(Register Number of the Candidate: _____)

Under the supervision of

(Name of the Research Supervisor)



(Name of the Department / Constituent College)

ALAGAPPA UNIVERSITY

[Accredited with A+ Grade by NAAC (CGPA: 3.64)
and Graded as Category-I University by MHRD-UGC]

KARAIKUDI – 630 003

INDIA

Month and Year

[Note: The items in Italics as such are not to be scripted, but only the appropriate details pertaining to them need to be in the space provided]

Appendix II

(Model for wrapper and inside title page of Synopsis / Thesis of Inter-disciplinary Ph.D. work)

Title of the Synopsis / Thesis

SYNOPSIS / THESIS SUBMITTED TO ALAGAPPA UNIVERSITY IN PARTIAL
FULFILMENT FOR THE AWARD OF THE DEGREE OF
DOCTOR OF PHILOSOPHY
IN

(Interdisciplinary)

Ex.: Education-Interdisciplinary (Education and Mathematics)

By

(Name of the candidate)

(Register No. of the Candidate: _____)

Under the supervision of

Under the co-supervision of

(Name of the Research Supervisor) (Name of the Co-Research Supervisor)



(Name of the Department / Constituent College)

ALAGAPPA UNIVERSITY

[Accredited with A+ Grade by NAAC (CGPA: 3.64)
and Graded as Category-I University by MHRD-UGC]

KARAIKUDI – 630 003

INDIA

Month and Year

[Note: The items in Italics as such are not to be scripted, but only the appropriate details pertaining to them need to be in the space provided]

Appendix III

(Model for wrapper and inside title page of Synopsis / Thesis of Ph.D. work submitted through Approved Research Centres)

Title of the Synopsis / Thesis

SYNOPSIS / THESIS SUBMITTED TO ALAGAPPA UNIVERSITY IN PARTIAL
FULFILMENT FOR THE AWARD OF THE DEGREE OF
DOCTOR OF PHILOSOPHY
IN

(Discipline)

By

(Name of the candidate)

(Register No. of the Candidate: ___)

Under the supervision of

(Name of the Research Supervisor)

(Name of the PG Research Centre)

(Name & Place of the Affiliated College / Collaborating Institution)



ALAGAPPA UNIVERSITY

[Accredited with A+ Grade by NAAC (CGPA: 3.64)
and Graded as Category-I University by MHRD-UGC]

KARAIKUDI – 630 003

INDIA

Month and Year

[Note: The items in Italics as such are not to be scripted, but only the appropriate details pertaining to them need to be in the space provided]



Appendix IV



ALAGAPPA UNIVERSITY, KARAİKUDI
[Accredited with A+ Grade by NAAC (CGPA: 3.64)
and Graded as Category-I University by MHRD-UGC]

PROFORMA FOR ADJUDICATION OF THE Ph.D. THESIS

- 1. Name of the Candidate :
2. Title of the thesis :
3. Discipline / Subject :
4. Name and address of the Examiner :

5. Recommendation of the Examiner

(Please tick ANY ONE of the following)

- a) I recommend the Thesis for granting of the Ph.D. Degree to the Candidate subject to his /her passing the Viva-Voce Examination : []
b) I recommend that the Thesis be referred back to the candidate for carrying out minor correction in the light of the comments given by me separately : []
c) I recommend that the Thesis be referred back to the candidate for carrying out major revision in the light of the comments given by me separately : []
d) I recommend that the Thesis of the candidate be rejected : []

Note: Please make sure that you have indicated any one of the options given above and also enclosed a detailed report on the thesis along with a list of questions, if any, to be asked at the Public Viva-Voce Examination.

6. Any other remarks:

Place:

Signature of the Examiner with Office Seal.

Date:

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