

# RESEARCH AND DEVELOPMENT SRI VENKATESWARA UNIVERSITY

TIRUPATI -517502, A.P., INDIA

## ACADEMIC REGULATIONS AND GUIDELINES FOR THE

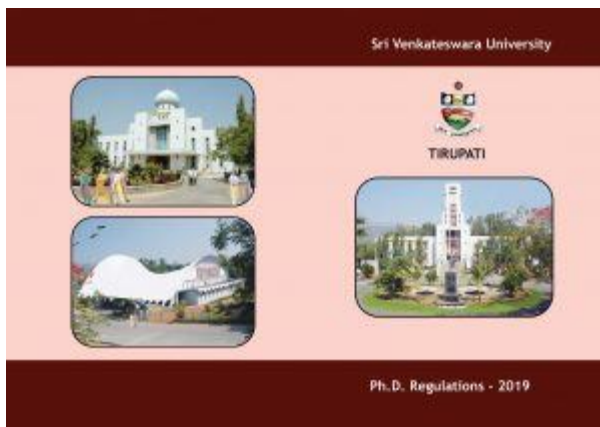
### CANDIDATES OF RESEARCH PROGRAMMES

(Effective from the Academic Year 2019-2020)

The Research and Development unit is established to promote research activities of S.V. University, Tirupati. The R&D unit will monitor and administer Research program of Ph.D., offered by the University. It will initiate the following specific activities for monitoring and Evaluation of Candidates admitted for Ph.D. by Research Programs in all Faculties of the University.

The Academic Regulations and guidelines mentioned for performing the activities for Monitoring and Evaluation of the candidates cover the following aspects:

- 1.0 Eligibility and Admission of candidates.
- 2.0 Coursework and Pre-Ph.D. Examination.
- 3.0 Duration of the research programme.
- 4.0 Constitution of Department Research Committee and Issues relating to Change of Title / Topic / Supervisor / Co-Supervisor and Research Review.
- 5.0 Review of Progress of Research Work.
- 6.0 Compulsory Seminar before Thesis submission
- 7.0 Submission of the Thesis/Dissertation
- 8.0 Evaluation of the Thesis.
- 9.0 Viva –Vocé Examination.
- 10.0 General Information (Eligibility of a Research Supervisor, etc)
- 11.0 Annexure (Annex –A, B, C, D)



#### 1. ELIGIBILITY AND ADMISSION OF CANDIDATES:

Admission shall be open to Full-Time and Part-Time Candidates who fulfil the following requirements:

1.1. Admissions for the Research Programme (Ph.D.) shall be made by Director, Directorate of Admissions, S.V. University, Tirupati by conducting written test (SVU RESET / APRCET) and interview. Ph.D. admission proceedings will be issued by Dean (R&D).

1.2. Minimum qualifying marks are 50% in the Entrance Examination (SVUCET / APRCET) conducted by the Director, Directorate of Admissions, S.V. University / APSCHE. Interviews will be conducted for the candidates qualified in the Entrance Examination by S.V. University.

"provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC / ST / OBC (Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the Universities / APSCHE.

1.3. Candidates, who are qualified at the UGC- CSIRNET examination with fellowship are exempted from written test for Ph.D. admissions; however they should appear for the interview. The admission for such candidates will be held twice a year during June & December.

1.4. Candidates awarded with RGNF Scheme will be admitted into the Ph.D. Program only if they qualify SVU RESET / APRCET / UGC NET / CSIR NET / any UGC accredited examination or any other national entrance exam equivalent to NET examination. Candidates with RGNF shall be admitted irrespective of the stipulated number of vacancies available with the Supervisor (a minimum of one RGNF candidate will be allotted to any supervisor at a given point of time) in the subject concerned by rotation.

1.5 Candidates who secure DST INSPIRE / Moulana Azad National Fellowship will be given admission to Ph.D. only if they qualify SVU RESET / APRCET / UGC NET / CSIR NET / any UGC accredited examination or any other national entrance exam equivalent to NET examination subject to the availability of a vacancy with the guide.

1.6 Foreign student/NRI(Full-time)

1. Foreign students will be provisionally admitted into Ph.D. program (Full-time) as per the guidelines in vogue after examining the request of the candidate for registration through a personal interview. One extra seat shall be provided to the guide under this category.

1.7 Ph.D. admission through Executive Quota without SVU RESET/APRCET.

1. Candidate should have 10 or more years of experience working in Govt organisations/private sector/Industry in the executive cadre drawing a salary with AGP Rs.9000/- and above in Govt organisations; Rs.1,50,000 salary per month in private sector whose turn over should be Rs.50 crores and above and should provide annual audited reports.
2. The candidates should submit last two years of IT returns

iii. The candidate should have published two papers in peer reviewed journals.

1. The candidate should present a seminar before a committee as and when called for. The decision of the committee is final for the admission of the candidate.

#### 1.8 Extramural / Category :

For admission into Ph.D. Programme under Extramural (E.M.R) category, the research institution where the candidate is working should have been recognized by SVU and admission will be given for such candidates, who have qualified in SVU RESET/APRCET Exam.

(a) Scientists and Technical officers with P.G. or equivalent degree working in research institutions recognized by S.V. University having with two years of experience are eligible under Ph.D. (part-Time) program

OR

(b) Research scholars with P.G. or equivalent degree having fellowship attached to the institutions recognized by S.V. University as research centers and having completed at least six months with scholars for a further period of two years are eligible under (Full-Time) PhD program.

(c) Admission Procedure : For admission into Ph.D.

#### Programme under Extramural category:

There should be an Internal Guide (Principal Guide) recognized by the SVU in the recognized research institution where the candidate is working.

In addition to the Internal Guide a faculty member eligible to guide research from within the concerned Department of S.V. University or its affiliated colleges has to be included as an External Guide.

#### 1.9. ELIGIBILITY CRITERIA :

1. Research Programmes for Ph.D. degrees can be pursued in the Faculties of Arts, Law, Science, Engineering, Commerce & management, Education and Pharmaceutical Sciences by candidates possessing minimum qualifications prescribed as above.
2. Admission Information: Counselling for admissions into all departments of S.V. University Campus Colleges, and recognized research centers in affiliated colleges shall be made at the office of DOA, SVU.
- iii. In all Faculties/ Departments, candidates must have passed the Post Graduate Degree Examination of the S.V. University or an examination recognized as equivalent by UGC in the discipline / subject area concerned, with a minimum of 55% marks in aggregate and for SC and ST category, the aggregate shall be 50% marks in the subject concerned / discipline.

#### 1.10. Educational Qualifications:

Candidates must have a Post Graduate Degree in the faculty / branch / discipline with concerned a minimum of 55 % marks in aggregate, and for SC and ST category – the aggregate shall be 50% marks in the faculty / branch / discipline concerned.

1.11. Regular faculty members/non-teaching staff of S.V. University, possessing the minimum academic qualifications and desiring Ph.D. selection shall be deemed as Part-time candidates of this University.

1.12. Candidate satisfying the eligibility conditions noted under 1.10 & 1.11 above can be admitted as Part-Time candidate through, entrance test, as per the following order of priority. Admission into Part-Time category will be made on the basis of service seniority in the respective categories.

1.12.1(a) Faculty working in Post graduate and professional colleges having completed at least two years of service.

(b) Faculty / Librarians / Asst. Librarians working in affiliated degree / PG colleges and Faculty teaching Physics, Chemistry, Mathematics and Humanities in Professional colleges having completed at least two year service.

(c) Faculty working in Polytechnic / Government or Private aided Junior colleges having completed at least four years of service. Seniority for candidates under each Category shall be calculated with the following weightage.

1. i) Teaching at P.G level/Professional-five points for each completed year of service in colleges as specified in 1.12.1(a).
2. ii) Teaching at graduate level/Professional – two points for each completed year of service in colleges as specified in 1.12, 2(b).

iii) Teaching at polytechnic/Junior college – one point for every completed year of service as specified in 1, 12.1(c).

1.12.2. Technical employees working in research institutes having completed at least five years.

1.12.3. School Teachers (Govt. and Private aided) having completed Five years of service.

1.12.4. Candidates who wish to carry on research programmes under FIP / FDP have to register as part-time candidates. Later when they are selected for FIP / FDP by the UGC, Dean R & D may convert Part-time to Full-Time subject to the approval of URC. If there is no vacancy under Full Time at that point of time, the scholar may be converted into Full-Time as against Part Time. Further, if there is no vacancy in Part-Time, it may be treated as an extra seat.

1.13. A candidate seeking admission as an external scholar (part-time) will have to declare and register as such and produce the following at the time of registration

(i) A letter from the employer permitting the candidate to pursue the course work for one semester (No Objection Certificate), and,

(ii) A commitment from the candidate and sanction from the employer that he/she would be permitted to avail leave at least for six months during the tenure of registration to complete Ph.D. work.

iii) Part-time students should report to the departments concerned during the summer vacation.

1.14. The R & D Unit will maintain the original certificates and admission folio of the candidate till the completion of the research program of the respective candidates.

1.15. A Student Admission Number, which will also be the Hall Ticket number, will be assigned to the candidate. An Identity Card for the exclusive use of Academic Facilities of S.V. University will be given to each candidate, by the R & D Unit.

1.16. While pursuing research in S.V. University, the candidate shall not register for any other course at any other University or Institution, leading to the award of a degree / diploma / certificate. In case of any such violation, the admission/registration stands cancelled.

## 2. COURSE WORK AND Pre-Ph.D. EXAMINATIONS

2.1. These Research Programmes are aimed at giving a broad-based training in the concerned field in addition to specialization in a particular area. The course work shall be prescribed in the relevant field of research for the Pre-Ph.D. examinations from the S.V. University approved list of subjects as recommended by the Supervisor and Co-supervisor, and to be forwarded to the Controller of Examinations. The area/field of research once selected for Pre-Ph.D. exams cannot be changed. The Pre-Ph.D. exam dates and schedule will be notified by Controller of Examinations (Examination Branch) in S.V. University website. No individual letters will be sent to research scholars.

Both full time and part-time candidates have to take the Ph.D. written examination after one year for full time and two summers for part-time from the date of registration and after completion of the course work. The panel of Examiners/paper setters for Paper-I (research Methodology- 4 credits) will be submitted by the BoS of the department concerned and paper-II (Area of specialization- 4 credits) shall be furnished by the research supervisor of the candidate concerned in consultation with DRC of the department.

2.2. The candidates are required to pass the above course; the minimum marks required for a pass shall be 55%. In case a candidate fails to pass in three attempts (attempt means appearance) and within 4 years from the date of registration, the admission shall be cancelled

2.3. Generally, the Pre-Ph.D. examination shall be held once in a year. The conduct of these examinations, declaration of results, and preparation of mark lists will be carried out by the Office of the Controller of Examinations (Exam. Branch) of S.V. University.

2.4. As per UGC guidelines, Research and Publication Ethics (R&E) 30 hours course is compulsory.

2.5. As per the UGC Guidelines, a Course Work of one Semester is compulsory. The Course work for the Ph.D. Programme, therefore, shall also include:

1. i) One Course (Theory) on "Research Methodology" (Paper-I), with compulsory attendance and a final external examination with 4 credits.
2. ii) One Subject (Theory- Paper-II)) with compulsory attendance and an external examination with 4 credits, and

iii) Paper –III : Seminar on work done with in One year

50 marks – 2 credits

1. iv) Paper- IV : Seminar on published Research work in the second year

50 marks – 2 credits

1. v) Paper –V : Pre –Ph.D. open Seminar / colloquium

meeting at the time of synopsis submission.

50 marks -2 credits

2.5.1. The theory Subject (Paper-II) will have to be chosen from the concerned field of specialization (or the nearest specialization). The choice and selection of the Subject must be approved by the candidate's Supervisor and Co-Supervisor, if any and the same must be communicated to the Controller of Examinations in soft / hard copy form, with appropriate signatures and seals of – Supervisor, Co-supervisor

2.5.2. All the Scholars shall have to be physically present and maintain the required minimum attendance criterion (75%) in this course. The external end examination is of three hours duration with a maximum of 100 marks. The Ph.D. written papers shall be subjected to double valuation by internal and external examiners. Internally Paper-I will be evaluated by the Chairperson, BoS or any other senior faculty member suggested by the Dean, Faculty concerned and Paper-II will be evaluated by the research supervisor of the candidate.

If the candidates fail in the subject, they have to reappear for the examination of the failed subject, as and when offered, as per the Academic Regulations; they need not attend class-work again, provided they maintain the minimum attendance requirements earlier. However, if the candidates do not have the required minimum 75% of attendance in the subject, they will be detained in those subjects, and shall have to reappear for class-works in those subjects again, as and when they are offered, shall maintain the attendances required and then appear for the examination.

### **3.0 DURATION OF THE RESEARCH PROGRAMME**

3.1. Research Scholars registered for Ph.D. (Full-Time) & Ph.D. External (Part-time) can submit\* the thesis after completion of a minimum of three years (3) (full-time) & four years (4) (part-time) from the date of admission (date of admission means the date of joining date), subject to passing of the prescribed, Theory Subject, Research Methodology Course, seminars and Research publications as stipulated.

\*For the candidate to submit the Thesis for Ph.D., he/ she shall publish two research papers with at least one paper published in a peer-reviewed refereed national or international journal (which has to be enclosed to the thesis), and other in refereed International / National Journals / Conferences, In the journal papers and conference papers, the research scholar's name must be as the first author.

3.2. Candidates should complete the research work within a maximum period of Five (5) years (full-time) and Seven (7) years (part-time). They should pay tuition fee until the end of the year in which the thesis is submitted. If the tuition fee is not paid as per rules, the penalty may be levied by the Dean, R&D Unit. If tuition fee is not paid continuously for two years, the registration will be cancelled.

3.3. Late Submission: If the candidate fails to submit a thesis within the stipulated period, his/her registration will be cancelled. However, depending on the progress of the work and as per the recommendation of the Sub Committee of URC, permission for submission of Thesis may be given with a penalty and approval from Vice Chancellor based on the merits of the case.

3.4 No hostel accommodation will be provided beyond 5 years for full-time research scholars.

### **4. CONSTITUTION OF THE DEPARTMENT RESEARCH COMMITTEE (DRC)**

The Department Research Committee (DRC) for each Department shall consists of the Chairperson-Board of Studies (BoS) of the Department, Head of the Department or Coordinator of the Centre, two Senior Faculty Members (having Ph.D.). Supervisor/Co- supervisor of the candidate will also be present during the review meetings. The HoD shall constitute the DRC as the convener.

In the case of departments, where a minimum number of staff are not available to form the DRC, The Vice-Chancellor will constitute the DRC involving external (other than SVU staff) or internal staff members of the SVU Colleges.

4.1. Issues relating to Change of Supervisor / Change of Title:

1. a) If a candidate wants to change the title of the research work, it should be done with the approval of the DRC and Dean R&D. Change of the title is allowed only once with in 2 years (full-time) and 3 years (part-time) of the research programme.
2. b) If the candidate wants to change the supervisor the candidate should apply in the prescribed format and submit to Dean, R&D Unit. The application from the candidate for change supervisor/s shall be endorsed by the supervisor and co-supervisor with letters of No Objection from both, old and proposed supervisor/s should be submitted. Bio-data of the New Supervisor / Co-Supervisor should also be attached with the application, with relevant documents as prescribed at the time of application. The URC will examine on a case by case basis and give its recommendations. (For Applications of Change of Supervisor / Co-supervisor see website)

4.2. The University may permit modification in the area / subject of research, provided it is done before the pre Ph.D. exam of the doctoral work with the approval of URC. If the resubmitted topic of work is different from the originally proposed topic, it constitutes a change of subject and represents a major change. For such cases, the thesis submission date will be one calendar year after the change is affected.

### **5. REVIEW OF PROGRESS OF RESEARCH WORK**

For the purpose of monitoring the progress of research works, all the research candidates including those who are on the current rolls of S.V. University for Ph.D. are required to attend Research Review Meetings (RRM) before the DRC, and present three seminars

(i) Before fixing of the Ph.D. title within SIX MONTHS.

(ii) Seminar on Research work carried within 1 year for 50 marks.

(iii) Seminar on published research work in the second year for 50 marks with power point presentations/oral presentations. At the time of RRM, research scholars should submit hard copies of their research progress in duplicate, in prescribed format with signatures of Supervisor and Co-supervisor. Additionally, tangible output if any, such as: Journal Publications / Presentations in a Conference / Poster Presentation in a Seminar / Conference or a Patent, etc. may be submitted. If the research scholar does not attend the meetings or if the reports are not satisfactory, the admission is liable to be cancelled. The fellowships of the Ph.D. candidates will be forwarded / extended only after the satisfactory performance in the RRM. The seminars should be open to all other faculty members and research scholars of the concerned department. After the seminar presentation, the Head of the department should send the report, recommendations of the DRC to the controller of examinations.

**Quorum:** Chairperson, BoS, one senior faculty member, head of the department and Research supervisor (or) Co-supervisor.

In case of exigency, the BOS can nominate a senior faculty from the concerned department. In case the BOS is unable to nominate or attend the meeting, The Head of the department will act in his place to fulfil the quorum. In case of exigency, the head of the department is unable to attend, the Vice-chancellor can nominate faculty member to fulfil the quorum.

#### **6. COMPULSORY SEMINAR BEFORE THESIS SUBMISSION (COLLOQUIUM):**

Each candidate must attend the colloquium meeting. The seminar should be at least two months before submission of the thesis in the concerned Department on the research work, carried out by him/her. The Vice-chancellor shall appoint external subject expert(s) to the colloquium if required.

The scholar should submit two copies of synopsis to DRC and to the external expert(s), if any highlighting original/significant contributions made in the research work. The colloquium committee is empowered to accept or reject the research work of scholar for submission or may advise to revise/reappear with the modification made. The seminar will be open to all Faculty members and Research Scholars of the department concerned.

The Dean of the faculty concerned shall be the chairperson of the colloquium.

**Quorum:** Dean, faculty of studies, Chairperson, BoS, head of the department and guide or co-guide of the candidate.

The Dean faculty or the Chairperson, BOS can nominate a senior faculty member from the concerned department in case of any exigency. In case the Dean Faculty and Chairperson, BoS are unable to Nominate or attend the colloquium, the Head of the Department concerned will act in their place to fulfil the quorum.

In case of exigency, the head of the department is unable to attend, the Vice-chancellor can nominate faculty member to fulfil the quorum.

#### **6.1 Submission of the Synopsis:**

A candidate can submit the Ph.D. Synopsis only when he/she has completed the Ph.D. course work of 14 credits. Each candidate has to submit TEN (10) copies of the synopsis, one week after the colloquium, through the proper channel to the Controller of Examination at least one month prior to the submission of thesis but not later than Six Months failing which a penal fee as prescribed should be paid by the candidate for a maximum of three more months extension to submit the thesis. The synopsis should be written in English only, except in the case of vernacular languages.

The following should be enclosed along with the synopsis:

- I. One soft copy of the synopsis
- II. Certificates from DRC stating he/she has attended the RRM in the department.
- III. Recommendations of the Colloquium Committee.

#### **6.2 .Submission of Panel of examiners:**

The supervisor of the candidate and the Chairperson, BoS concerned shall send a panel of nine (9) examiners each in a sealed cover to the Controller of Examinations with in 15 days from the date of synopsis submission.

In the panel of nine (9) examiners, six should be from India and three (3) should be from abroad.

- I. Out of six (6) Indian Examiners, for science subjects, 3 should be from the national institutes/Universities outside the state and three (3) should be within the state from reputed Universities / Institutions.
- II. Out of six (6) Indian Examiners, for Arts subjects, three should be from premier Institutions / central universities / universities from outside the state and three (3) should be from other reputed Universities within the state.
- III. Out of six (6) Indian Examiners, for Engineering subjects three should be from IITs / NITs / IIITs and three should be from Universities (No private/Deemed Universities).

The University may revise the panel of Examiners if necessary.

Persons of Indian origin and persons of SAARC countries should not be given as foreign examiners.

6.3. Examiner suggested for the adjudication of the thesis should not be below the rank of a Professor / Scientist E & F / Assoc. Prof (with a minimum 10 years of total experience) who are in service.

#### **NOTE:**

- Subject experts from the organization where the supervisor / co-supervisor belongs, and persons related to a candidate shall not be included in the panel of the examiners.
- In case the candidate does not submit the thesis within six months from the date of submission of the synopsis, the panel lapses and a new panel has to be suggested.

#### **7. SUBMISSION OF THE THESIS / DISSERTATION:**

7.1 For ensuring originality of submitted content, the thesis will be checked by anti- plagiarism software. After completion of Colloquium, a soft copy of thesis in word format should be brought along in person to R & D Unit and have it checked before binding and sending it to the evaluation section. If any text strings/figures are found to be copied or dubious without proper acknowledgment of the source, the thesis has to be thoroughly revised.

#### **7.2 Submission and Adjudication of a Thesis:**

A candidate may submit the thesis any time during one month before or within one month after the expiry of the stipulated period of research. Each Candidate, after completing the due formalities, is required to submit the specified number of copies of his/her thesis, along with the prescribed application form and with the documents as given in section 7.3, to the Controller of Examinations

7.3. A candidate has to submit four (4) hard copies and ONE(1) soft copy of thesis, an application enclosed with an online challan for Rs.5000/- towards adjudication fee (which will be revised from time to time) in favour of Registrar, S.V. University, Tirupati. Copy of Ph.D. admission letter, details of fees paid from time of admission to till the time of submission, S.S.C. Marks sheet (proof of name and age), Copy of Pre-Ph.D. Marks Memo, Qualified lower degree certificate to the Controller of Examinations, S.V. University.

7.4. Four copies of the thesis incorporating a certificate from the supervisor to the effect that the thesis is an original work of the candidate and a declaration by the candidate to the effect that the thesis either in part or full does not constitute any part of any thesis / dissertation / monograph submitted by him/her or any other person to any University/Institute. The thesis should also contain the signature of the Head of the Institution/ Organization (from place of work) in addition to the supervisor's signature. The candidate shall be held responsible for the genuineness of his/her work and any false statement shall lead to cancellation of his/her registration/degree at any stage even after the declaration of results.

#### 8. EVALUATION OF THE THESIS:

8.1. The thesis shall be evaluated independently by two Indian examiners, and one foreign examiner.

The maximum time given for the examiner to evaluate the thesis is 60 days. First reminder should be sent after 30 days and second reminder after 45 days. If the examiner doesn't respond with in 60 days the next examiner should be contacted.

Consent given by the examiners by email can be considered for processing the thesis.

Soft copy of the thesis through email be sent to foreign and Indian examiner(s) and reports and evaluation forms can be obtained through emails/postal mails.

8.2. The examiners external to the University shall be selected by the Vice-Chancellor from amongst a panel of nine names.

8.3. The examiners are required to:

(i) Outline the main features of the thesis.

(ii) Critically evaluate the thesis and send a report on the thesis in not less than 500 words.

(iii) Make one of the four following definite recommendations.

1. a) The thesis attains the standard required for the award of the Ph.D. degree
2. b) The thesis requires revision and re-submission to the Department Research Committee (DRC).
3. c) The thesis requires revision and re-submission for re-evaluation by the same examiner
4. d) The thesis is rejected

8.4. The University shall take a decision on the thesis based on the three reports according to the following:

Recommendation of Examiners			Decision
1	2	3	4
accept	accept	accept	accept
revise	revise	revise	revise
reject	reject	reject	reject
accept	accept	revise	revise
accept	revise	revise	revise
accept	accept	reject	Send to 4 <sup>th</sup> examiner
accept	reject	reject	reject
accept	revise	reject	Revise: send to 4 <sup>th</sup> examiner
revise	revise	reject	Revise; send to 4 <sup>th</sup> examiner
revise	reject	reject	reject

8.5. For revision and resubmission of the thesis, the candidate will be given a maximum period of one year from the date of communication of the report (s) to the candidate.

8.6. The revised thesis shall be referred to those examiners who have originally recommended revision and re-submission for reevaluation.

8.7 In case of the foreign examiners reject the thesis, the thesis will again be sent to another foreign examiner only.

#### 9. VIVA-VOCÉ EXAMINATION

9.1 Once the thesis is accepted, by all the three examiners a comprehensive Viva-Voce examination shall be arranged by the Controller of Examinations, S.V. University.

9.2 One copy of approved Ph.D. thesis along with a soft copy in the INFLIBNET format shall be submitted by the candidate before the viva-voce examination to the Controller of Examinations. The hard copy shall be placed in the University Library as a record. The soft copy will be uploaded in to UGC INFLIBNET, accessible to all the Institutions/ Universities.

9.3 The open Viva-Voce examination shall be conducted in the concerned Department / Unit / Center by a Board of Examiners, consisting of the following:



1. Chairperson of the adjudication committee (one of the examiners to be appointed by the Vice-chancellor)
2. The Dean of the Faculty concerned.
3. The Chairperson of the Board of Studies (PG/ Combined) in the concerned Subject.
4. The Head of the Department concerned.
5. The guide or co-guide of the candidate or both.

The Chairperson of the committee, the research supervisor, chairperson, BoS and the Head of the Department are must for the viva-voce examination.

Quorum: Chairman of the adjudication committee, Chairperson, BoS and guide or co-guide of the candidate.

The Chairperson, BOS can nominate a senior faculty member from the concerned departments in case of any exigency. In case the BoS is unable to nominate or attend the Viva-voce, the Head of the Department may act in his place to fulfil the quorum.

9.4 In case the Examiners who accepted the Thesis are not available for the Conduct of the Viva – Voce Examination, the Vice-Chancellor may nominate another examiner from the list of adjudicators approved.

9.5 (i) The reports of the external examiners and the recommendations of the colloquium committee shall be made available to the Board for the Viva- Voce Examination.

1. ii) The viva-voce examination should primarily be designed to test the understanding of the candidate on the subject matter of the thesis, including methodology employed and the candidates competence in the general field of study.

iii) The candidate should also be asked to clarify any of the points raised by the adjudicators in their reports.

iv)a) The viva-voce Board may on the basis of the unanimous opinion recommend either a) That the candidate be awarded the Ph.D. Degree or

1. b) That the candidate may appear for the viva-voce examination again after a stipulated time
2. c) Any candidate who does not satisfy will not be considered for the award of degree.

9.6 Upon successful completion of the Viva-Voce examination, and on consideration of the reports of the individual examiners, the Vice-Chancellor may approve the announcement of the award of the provisional Ph.D. Degree to the candidate and provisional certificate will be issued. The award of the Degree shall be confirmed by the Executive Council of the University.

#### 10. GENERAL INFORMATION:

10.1. The academic regulations should be read as a whole for purposes of any interpretation.

10.2. In case of any doubt or ambiguity in the interpretation of the above rules, the decision of the Vice-Chancellor is final.

10.3. The University reserves the right to alter the regulations from time to time as and when necessary.

10.4. The students admitted during year 2015 or earlier under UGC regulations 2009 are entitled to follow the same for a period of 4 years i.e: upto 31-03-2021. Thereafter the students who failed to complete the course shall come under the purview of UGC Regulations – 2016. The candidates admitted during the year 2019-2020 shall come under the purview of the UGC- regulations – 2019.

#### 10.5. INTERDISCIPLINARY RESEARCH

A candidate for the Ph.D. degree may under take interdisciplinary research. In such cases, there may be one or two research supervisors. The candidate should qualify in the APRCET / SVURESET, the subject concerned in which He or she wants to do the research.

1. i) Interdisciplinary research shall be carried with in the departments of S.V.University Colleges. In such cases, one research supervisor should be from the concerned subject of P.G from S.V.University Colleges.
2. ii) Interdisciplinary research shall also be carried out in one department with in the S.V.University Colleges and with a recognized National Research Institute / Laboratory. In such case, One research supervisor should be from the concerned subject/relevant discipline of P.G from S.V.University Colleges and another supervisor should be from the recognized National Research Institute/ Laboratory.

iii) In the case of interdisciplinary research, the candidate shall be awarded the degree in the subject in which he/ she registered, mentioning the title of the thesis.

1. iv) In case of the departments / centers offering Ph.D. program in more than one specialization/subject area / discipline, the candidate shall be awarded the degree in the subject / discipline / specialization in which he/she registered, mentioning the title of the thesis.
2. v) In case of interdisciplinary themes involving two or more disciplines, the Chairperson, Board of Studies (PG-combined) of the subject in which the candidate has registered for Ph.D. shall provide the panel of examiners in addition to the panel given by the supervisors.
3. vi) In the case of candidates working in National Research Institute / Laboratories or affiliated colleges recognized by the University, the research supervisors and the Chairperson of the PG / Combined board of studies shall submit the panel of examiners separately.

vii) In case the Chairman, Board of Studies (PG/Combined) happened to be the research supervisor, another internal member of the faculty with Ph.D. nominated by the Vice-chancellor, shall be required to provide the panel of examiners.

10.6. Eligibility of a Research Supervisor:

1. A Supervisor or Co-supervisor should have a Ph.D. degree from a reputed University with a minimum of one year teaching / research experience after obtaining the Ph.D. degree and having five publications in refereed national / international journals / articles or chapters in ISBN books national / international conference papers for eligibility.

(Out of 5 publications, 2 should be first author / corresponding author) in refereed journals having science citation index / journals having impact factor given by Thomson Reuters/UGC listed journals

1. A Professor, an Associate Professor and an Assistant Professor and other employees occupying equivalent positions of S.V.University shall be permitted to have at any given point of time, not more than Eight (8) (part-time & full-time) and four (4) additional scholars for joint

guidance (part-time & full-time); Six(6) (part-time & full-time) and two(2) additional Scholars for joint guidance; four(4) (part-time & full-time) and one(1) additional scholar for joint guidance, respectively. Dean, R&D and Director, DOA (Admissions) shall monitor and limit the maximum number of students that a supervisor can serve as a supervisor or co-supervisor.

III. Directors / Scientists of recognized National Research Institutes / Laboratories shall be permitted to have at any given point of time to guide, not more than Six(6) full-time Ph.D. candidates with or without a co-guide from S.V.University.

1. Teachers (recognized as guides by the S.V.University) in colleges affiliated to S.V.University shall be permitted to have at any given point of time to guide, not more than (2) full-time Ph.D. candidates.
2. A research guide should have at least two(2) years of service before retirement for guiding the candidate.
3. A supervisor who retires or leaves the University/ Institution, as the case may be, shall normally be permitted to guide candidate(s) already registered with him/her up to 3 years from the date of superannuation/ Resigning / Deputation.

VII. When the research guide leaves the country or resigns or in long leave/lien/deputation, the candidate will have the option to transfer to some other guide who is willing to guide, provided he/she has a clear vacancy, which must be approved by the URC.

VIII. In case research guide expires, the Department Research Committee (DRC) shall allot the candidate to another eligible guide in the department treating that as an additional seat approved by the Dean (R&D).

1. A vacancy with the supervisor may be considered to have occurred only when a candidate working under him/ her completes maximum period of the course or his/her registration be cancelled. During any one academic year, not more than three scholars may be permitted to register under the guidance of the same supervisor.
2. The registration of a Ph.D. scholar may be cancelled by the Dean, R&D Unit with the approval of URC within the stipulated period if the candidate fails to satisfy the conditions stipulated in the admission order or violates the rules and regulations of Ph.D. after giving notice to the concerned candidate.
3. Dean, R&D Unit with the approval of the URC may cancel the registration of a Ph.D. scholar on the recommendation of the supervisor / Head and or department research committee under the following circumstances after giving notice to the candidate:
4. Where the progress has been reported to be unsatisfactory in two consecutive yearly RRM's.
5. Where a candidate discontinues research, and/or where they have accepted any appointment other than specified earlier without the written consent of the Dean, R&D Unit.
6. Where the candidate has not submitted the thesis in the stipulated duration of the course.
7. Where the candidate request for cancellation due to their personal reasons.
8. If a full-time Research scholar (Ph.D.) absents continuously for 03 (three) months in a year in the initial period of 3 years with out any written permission from the Principal / Dean, R&D.
9. If a Part-Time scholar (Ph.D.) has not attended the concerned Department at least for 30 days or more in a year, the initial period of 3 years without any permission from the Principal / Dean, R&D.

10.7. Recognition of Institutions and External Guides:

For recognizing the outside-institutions / other university staff and external Guides / Co Guides for doing research leading to the Ph.D. Degree of this University, the following procedure be adopted.

(i) A Committee consisting of the Dean of the Faculty, the Chairperson of the Post graduate Board of Studies or combined Board of Studies as the case may be, and another senior internal member of the Board of Studies concerned, shall have to certify after inspection that the Affiliated College / Research Institute / other University has facilities for research in the subject concerned.

(ii) The publication of the teacher / scientist who is proposed to be the guide should be sent by the University to an External subject specialist for assessing the publications and make the assessment available to the Inspection Committee.

iii) The institute shall be recognized by the University and subsequently the concerned person who is proposed to guide in that institution shall be recognized.

1. iv) Reputed Institutions such as National Research Institutes/ other Universities need not be inspected.
2. v) For recognizing the outside National Recognized Institutions / Universities and External Guides, the following fees shall be collected:

(i) Research Supervisor Recognition, Processing fee : Rs.5,000/-

(ii) Fee towards the visit of the Inspection Commission: No Inspection necessary.

For Recognizing the departments of affiliated colleges of the university and external guides, the following rates shall be collected (Fee towards recognition of the concerned)

1. a) Department of affiliated college : 10,000/-
2. b) Research Supervisor Recognition, processing fee

Rs. 5,000/-

1. c) Fee towards the visit of the Inspection Commission committee.

Rs. 10,000/-

#### 10.9. Anti-plagiarism:

A maximum of three chances will be given to the research scholar if the percentage of plagiarism exceeds the approved limit (10%). The revised soft copy of the thesis after removing the plagiarism material must be submitted by the research scholar for second or third verification within one month itself.

10.10 The candidates are advised to visit the S.V. University website [www.svuniversity.ac.in](http://www.svuniversity.ac.in) for instructions from time to time.



For any clarifications, candidates can contact Office of the Dean, Research and Development Unit, S.V. University, Tirupati through e-mail, deanresearchsvu@gmail.com .

11. Annexure (A, B, C, and D)

**ANNEX-A**

**RESEARCH AND DEVELOPMENT CELL**

**S.V. UNIVERSITY, TIRUPATI**

**APPLICATION FOR CHANGE OF SUPERVISOR/CO-SUPERVISOR**

1.	Name of the Research Scholar	:	_____
2.	Address with Tel. No. & mail-id	:	_____
3.	Hall Ticket No & Date of Admission	:	_____
4.	Copy of Admission Letter is enclosed :	:	_____ YES / NO
5.	(a) Name of the Research Program	:	Ph.D.
	(b) Dept. in which Candidate Registered	:	_____

6. Name of the Present Supervisor/Co-supervisor (being changed) with Designation, Address, Tel. No., mail- id:
7. Name of the New (proposed) Supervisor / New (proposed) Co-supervisor with Designation, Address, Tel. No., mail-id:
8. Brief details of progress of Research Work :

(attach separate sheet bulleting the works done and quantum / percentage of work done so far signed by the Present & Proposed Supervisor, Present & Proposed Co-supervisor): YES/ NO

9. Reasons for Change of Supervisor/Co-supervisor a) from the Research Scholar b) Reasons and Comments from Supervisor /Co-supervisor duly signed, with Seal & Date.
10. a)Enclose the Bio-data of the New Supervisor/Co-supervisor with all relevant documents (as prescribed at the time of admission to Research Program) : YES/NO
11. b) Proof of research / teaching experience (minimum 5 years)
12. c) A copy of Ph.D. Degree Certificate
13. I here by accept to work under the New Supervisor / Co-supervisor and I understand that any further request for change of Supervisor/Co-supervisor will not be permitted by the University.

Date : \_\_\_\_\_ Signature of the Research Scholar

I have No objections for change I accept to act as Supervisor of Candidate

(Sign. of Present Supervisor with seal) (Sign. of New Supervisor with seal)

I have No Objection for change of Co-supervisor I accept to act as Co-Supervisor

(Sign. of Present Co-Supervisor with seal) (Sign. of New Co-Supervisor with seal)

Note:

- 1) A candidate can have only one Supervisor and one Co-supervisor.
- 2) Details of Items 8 and 9 must be submitted on separate sheets.
- 3) Two Separate Hard Copies of all the enclosures must be submitted

**ANNEX-B**

**RESEARCH AND DEVELOPMENT CELL**

**S.V. UNIVERSITY, TIRUPATI**

**APPLICATION FOR CHANGE OF (TOPIC) AREA OF RESEARCH**

1.	Name of the Research Scholar	:	_____
2.	Address with Tel. No. & mail-id	:	_____
3.	Hall Ticket No & Date of Admission	:	_____
4.	Copy of Admission Letter to be enclosed	:	_____ YES / NO _____
5.	Name of the Research Program	:	Ph.D.

<b>6.</b>	<b>Department in which Candidate Registered</b>	<b>:</b>	
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- 7) Name of the Supervisor with Designation, Address, Tel.No., mail- id:
  
- 8) Name of the Co-supervisor with Designation, Address, Tel.No., mail-id:
  
- 9) Name of the Present Area of Research (TOPIC)(at the time of Registration) in FULL :
  
- 10) Brief details of progress of Research Work :

(attach separate sheet bulleting the works done and quantum / percentage of work done so far –the sheet to be signed by the Supervisor & Co-supervisor):YES/NO

- 11) Name of the Proposed Area of Research (TOPIC):
  
- 12) Abstract of proposed Research work (proposed) to be enclosed and duly signed by the Supervisor / Co- Supervisor: YES / NO
  
- 13) I here by understand that any further request for change of Topic/Title will not be permitted by the University and further that a change of research topic entails a one year delay in the submission of the thesis effective from the date of change.
  
- 14) Reasons for Change of Area of Research (TOPIC).

**Date :** \_\_\_\_\_ **Signature of the Research Scholar**

**Signature of the Supervisor with seal      Signature of Co-Supervisor with seal**

**Note: Two Separate Hard Copies of all the enclosures must be submitted.**

**ANNEX-C**

**General Outline for Thesis Write-Up**

**RESEARCH AND DEVELOPMENT UNIT**

**S.V. UNIVERSITY, TIRUPATI- 517 502**

**MONTH, YEAR**

**D.1 Size and copies:**

The Thesis should be submitted in A4 size paper and 4 copies of the thesis and synopsis are required to be submitted to the Controller of Examinations along with panel of Examiners (sealed cover) duly signed by supervisor and co-supervisor. The thesis submission form should be filled and submitted along with the necessary fee and enclosures.

**D.2 Paper, Typing & Format :**

A4 size paper should be used for the preparation of the Thesis. Typing should be done on the 12 font size letter, Times New Roman.

The lay-out should provide 1½ inch on the left side, 1 inch on top and bottom 1 inch on the right side.

Fresh Para should commence after two spaces. Double spacing shall be provided through out the dissertation / thesis. The page number shall be indicated at the bottom middle of the each page.

**D.3 Binding:**

The Dissertation / thesis shall be properly bound, using hard cover.

The bound front cover should indicate in Navy Blue Embossed letter with the following:

- 1. ....(Title)

2. ....(Name of the candidate)
3. ....(Name of the Faculty in which the thesis is being submitted (e.g. Faculty of Mechanical Engg.))

A typical specimen of Cover Page & Title Page are shown at the end. It should be strictly adhered to. The emblem of SVU should not be changed. Plain Blank paper one each should be provided at the beginning and at the end.

**D.4 Second page:**

Second page should contain the following:

1. ....(Title)
2. Thesis/ Dissertation submitted in partial fulfilment of the requirement for the award of the degree of Ph.D./ M.Phil./ M.S. by.....(Name of the candidate) Reg.No:
3. Bottom

**S.V. UNIVERSITY, TIRUPATI – 517 502**

**Month, Year**

**D.5 Third page:**

**Declaration by the Candidate**

**DECLARATION**

I here by declare that the work described in this thesis, entitled"-----" which is being submitted by me in partial fulfilment for the award of Doctor of Philosophy (Ph.D.) in the Dept.of -----to the S.V. University, Tirupati, is the result of investigations carried out by me under the Guidance of Dr.-----. The work is original and has not been submitted for any Degree/Diploma of this or any other university.

Place:

Date: Signature

Name of the Candidate: Regn No.:

**D.6 Fourth page:**

The fourth page should contain a certificate signed by the Supervisor in the following format.

**CERTIFICATE**

This is to certify that the thesis / dissertation entitled -----that is being submitted by Sri/ Smt./ Ms.....in partial fulfilment for the award of Ph.D. in.....to the S.V. University is a record of bonafide work carried out by him / her under my/our guidance and supervision.

The results embodied in this thesis have not been submitted to any other University or Institute for the award of any degree or diploma.

Signature of Co-Supervisor Signature of Supervisor

Name and Designation Name and Designation

**D.7 Fifth page:**

The fifth page should contain a certificate signed by the Head / Director of Organization/ Institution in the following format.

**CERTIFICATE**

This is to certify that the thesis/ dissertation entitled -----that is being submitted by Sri/ Smt./ Ms.....in partial fulfilment for the award of Ph.D. in.....to the S.V. University is a record of bonafide work carried out by him/ her at our organization / institution

**Signature of Head / Director**

**of Organization / Institution**

**Name and Designation**

**D.8 Sixth page:**

The sixth page may include the 'Acknowledgement'.

**D.9 Seventh page:**

The seventh page may contain an abstract of the Dissertation / Thesis. The candidate may emphasize here his / her contributions. The reader/reviewer should be able to get the gist of the work in the abstract itself, without having to go into the main body of the text. In short, the abstract should stand alone and self explanatory of the entire work.

**D.10 Pages 8<sup>th</sup>, 9<sup>th</sup>**

In these pages the candidate must provide a table of contents, list of tables, list of figures, and photographs and notation.

**NOTE:** All the above pages are to be numbered in Roman number also flower case and the rest of the thesis should have English numerical numbers.

**D.11 Number of pages:**

In case the number of pages in the thesis (excluding the initial pages) exceeds 250, the candidate should get it printed on both sides of paper.

**D.12 Arrangement of Chapters:**

The following is suggested format for arranging the Dissertation / Thesis matter into various chapters. However this arrangement can be changed to suit the particular Research work.

1. Introduction
2. Literature Survey
3. Theoretical Analysis
4. Experimental Investigations
5. Experimental Results
6. Discussion of Results
7. Summary, Conclusion and Recommendations

(Original Contribution to be highlighted)

8. Reference/ bibliography
9. Appendices (if any)

**D.13 The arrangement of paragraph in a Chapter:**

Each topic Title in a chapter should be properly numbered for example: 2.1, 2.2. etc., (Bold and Uppercase) where, the first digit represents the Chapter number, and second digit, the topic Title number.

Sub-topic titles, if any, may be indicated as 1.1.1, 1.1.2, etc. (Bold and title case) i.e. the first digit representing the chapter, the second representing the topic title and the third representing the sub-topic title.

**D.14 Photographs and Tables:**

The photographs and tables occurring in a chapter may be serially numbered as Fig: 1.1, 1.2 etc., along with suitable CAPTION where the first digit represents the chapter, these cond digit represents figure number.

The photograph may be represented as: plate 1.1, 1.2 etc., the first digit representing chapter and the second representing the photograph number.

**D.15 Graphs:**

The graph should clearly indicate the points which are used for drawing the curve or curves along with the error bars. The axes (X, Y and Z) should have CAPTIONS.

**D.16 Bibliography or References:**

The following format may be used for the Bibliography/ References:

**For Book**

Sl.No Author(s) Book Publisher Year Pages(PP)

**For Journal/ Proceedings**

Sl.No Author(s) Paper Journal Vol.No, Year Pages(PP)

(A typical Specimen of Cover Page & Title Page)

IDENTIFICATION, CHARACTERIZATION AND QUANTIFICATION OF HETEROCYCLIC COMPOUNDS IN BIOLOGICAL MATRICES AND THEIR APPLICATION TO PHARMACOKINETIC STUDIES

<1.5line spacing>

A THESIS

Submitted

in the partial fulfilment of the requirements for the award of the degree of

<1.5linespacing>

DOCTOR OF PHILOSOPHY

in

FACULTY OF CHEMISTRY

By

VIJAYA

[Reg. No.0503PH0999]

DEPARTMENT NAME

SRI VENKATESWARA UNIVERSITY,

TIRUPATI – 517 502

INDIA

MAY 2016

Please Tick

**List of Enclosures for**

**SUBMISSION OF THESIS AFTER COLLOQUIUM & ANTI – PLAGIARISM CHECK**

1) Application Form (in proper format) for Submission of Thesis Ph.D.

Yes ( ) / No ( )

2) D.D. for Rs. ....-in favour of the "Registrar, S.V. University" payable at Tirupati

Yes ( ) / No ( )

3) Attested Copy of the Marks Memo(s) of Pre-Ph.D. Examinations

Yes ( ) / No ( )

4) Copy of the Admission Letter issued at the time of Admission

Yes ( ) / No ( )

**5) HARD COPY LIST OF TECHNICAL PUBLICATIONS IN JOURNALS**

duly signed by Supervisor /co-Supervisor and research scholar (with Title, Author names, Journal Name, Year, Vol., Page No., Impact factor, citation index etc. published after the Date of Admission / Registration of Ph.D.)

Yes ( ) / No ( )

\*Atleast one publication from the journal to be enclosed

NOTE: For the Research scholars registered on or before the year 2006, there must be atleast one research paper published in a reputed refereed journal with research scholar's name as the first author. In case the guide or supervisor is first named author, the research scholar's name must be the

next. For students registered from 2007 onwards, one journal paper and two conference/ seminar papers must have research scholar's name as first author. Otherwise the research paper will not be considered for the Ph.D. thesis submission.

6) Hard Copy List of Publications in Conferences/seminars, with Title, Author names and all Details of Conference Proceedings (published after the Date of Admission/ Registration of Ph.D.) duly signed by supervisor/co-supervisor and research scholar \*Certificates of paper presentation in the conference to be enclosed

\*At least two publications to be enclosed Yes( ) / No ( )

7) A photo-copy of the Proceedings, if extension (s) of time for submission of Thesis is permitted Yes( ) / No ( )

8) A photo-copy of the Proceedings, if the permission is given for change of Supervisor / Co-Supervisor Yes( ) / No ( )

9) A photo-copy of the Proceedings, if permission is given for change of Topic Yes( ) / No ( )

10) A photo-copy of the Proceedings, if permission is given for change of Title Yes( ) / No ( )

11) A photo-copy of the proceedings, if permission is given for Extra chance to appear Pre-Ph. DExams. Yes( ) / No( )

12) A photo-copy of all fee receipts, upto current date and penal fee(s) if any paid for delay in the Submission of Thesis Yes( ) / No( )

13) Attested S.S.C Marks Sheet Yes( ) / No( )

14) Anti-Plagiarism Check Report of R&D Thesis Yes ( ) / No ( )

15) Final Copies of Ph.D. Thesis (4) copies after implementing modifications as per Colloquium and Anti-Plagiarism Check Reports

Yes( ) / No ( )

16) 10 (TEN) Copies of Synopsis Yes( ) / No ( )

17) Sealed Cover containing Panel of Examiners Yes( ) / No ( )

18) Qualified lower degree certificate Yes( ) / No ( )

**ABOVE ENCLOSURES ARE SUBMITTED ALONG WITH MY THESIS IN**

**SAME SERIALORDER**

**CANDIDATE NAME:**

**PLACE&DATE:**

**CANDIDATE'S SIGNATURE**

Note: The above enclosures will be verified in the Controller of Examinations Office and in the case of any discrepancy the candidate will be called to make necessary corrections before sending thesis copies to University examination branch

#### **Annexure- D**

Candidates should submit the following original certificates in support of the Qualification and reservation claimed in the application at the time of admission for extramural category.

1. Candidates with qualifying degrees from the Universities outside Andhra Pradesh have to produce equivalency certificate from S.V. University.
2. Provisional or original Certificate and marks statement of qualifying examination. (Candidates are expected to submit the consolidated stamen of marks.)
3. Transfer certificate from the institution where last studied.
4. Date of birth certificate (S.S.C/Equivalent Certificate).
5. Caste Certificate in case of SC/ ST/ BC Candidates.
6. Migration certificate in case of candidates from other Universities.
7. Four recent passport size photos.
8. Proceedings of the Vice-Chancellor for recognition of research centre (for Extramural Candidates).
9. Proceedings of the Vice-Chancellor for recognition of research guide (for Extramural Candidates).
10. Acceptance letters from proposed internal and external guides.
11. Service Cum- No objection certificate (for Extramural Candidates).
12. Fellowship award letter (for Extramural / Project Fellows/ Fellowship holders).

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