



THE APOLLO UNIVERSITY (TAU)

Andhra Pradesh

RULES AND REGULATIONS

**FOR THE ADMISSION AND AWARD OF THE DEGREE OF
DOCTORE OF PHILISOPHY (Ph.D), 2023**

(Shall be called TAU Ph.D. Regulations, 2023)

Adopted by the Academic Council

vide

**The Apollo Knowledge City Campus, Saketa, Murukambattu,
Chittoor, Andhra Pradesh, India. 517127**

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Ph.D. Rules and Regulations (2023)

1. INTRODUCTION

The Apollo University (TAU), Andhra Pradesh shall offer programs leading to the award of Ph.D. degree through its wide range of faculties of Social Sciences, Health Sciences, Management and Technology with a special emphasis on maintaining interdisciplinary research to support the major issues confronting the community, society, in the vicinity of the campus and the country. The award of Ph.D. degree shall be in recognition of high academic achievements, independent research, and application of knowledge to the solution of social, managerial, technical, and scientific problems. The degree of Doctor of Philosophy (Ph.D.) of the TAU shall be conferred on a scholar who fulfils all the requirements specified in these Regulations.

Rules for Award of Ph.D. Degree under The Apollo University, 2023 are framed in supersession of the UGC (Minimum Standards and Procedure for Awards of MPhil /Ph.D. Degree) Regulation 2009 notified in The Gazette of India [No.28, Part III-Section 4] for the week July 11-July 17, 2009;

And

in accordance with the UGC(Minimum Standards and Procedure for Awards of MPhil /PhD Degree)Regulations 2016 notified in The Gazette of India [No. 278, Part III Section 4] Extra Ordinary on July 5th 2016 vide No.F.1- 2/2009(EC/PS)V(I) Vol.II-in exercise of the powers conferred by clauses (f) and (g) of sub-section(1) of Section 26 of the University Grants Commission Act, 1956 (3 of 1956)and Minimum Standards and Procedure for Award of MPhil/PhD Degrees) (1st amendment) & (2nd amendment) Regulations 2018.

And

UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations 2018.

And

University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations 2022 notified in The Gazette of India [No. 544, Part III Section 4] Extra Ordinary on July 7th 2022.

The procedure and requirements spelt out in these Regulations aims to ensure high standards of performance in research work at the University. It shall be called as TAU Ph.D. Regulations, 2023

2. FREQUENTLY USED TERMINOLOGIES AND DEFINITION

- 2.1. **Doctor of Philosophy (Ph.D.):** “Doctor of Philosophy (Ph.D.)” denotes that the degree holder has successfully completed the required course curriculum and conducted a significant amount of original research, which has been carried out and reported by the holder under proper academic supervision and in a research environment for a predetermined amount of time.
- 2.2. **Research:** The term "research" refers to a methodical study or inquiry that aims to provide new information in the form of facts or patterns, fresh interpretations of concepts, or the development of novel technologies.
- 2.3. **Supervisor/guide:** “Supervisor” means a regular faculty member of The Apollo University and affiliate Schools and institutions who meets the UGC basic qualifications to supervise the research work carried out by the student/candidate for Ph.D.
- 2.4. **Co-supervisor/Co-guide:** "Co-supervisor" refers to a person authorized by TAU to oversee a student's research project alongside a designated TAU Supervisor. He/She may or may not be a member of the TAU faculty.
- 2.5. **Research Scholar or Ph.D. Scholar:** ‘Research Scholar’ means a post-graduate student who is admitted and enrolled into the Ph.D. program of The Apollo University (TAU) through the standard procedures adopted by the University. The candidate admitted by the University may be either under extramural mode, full time mode or part time mode for pursuing Doctoral Programme for the award of Ph.D. degree.
- 2.6. **Course Work:** ‘Course work’ means a theory or practical subject that may be prescribed by the(RAC) for the research scholar to undergo as a part of the programme requirement.
- 2.7. **TAU-RET:** ‘TAU-RET’ refers to The Apollo University-Research Entrance Test. It is a standard entrance test conducted by the University for screening of candidates to be admitted to the Ph.D. programme under various faculties under TAU.
- 2.8. **Enrollment:** Enrollment refers to the process by which a candidate meets the requirements for joining a Ph.D. program, which typically includes passing an entrance exam, interview, and making necessary payments.

- 2.9. **Registration:** Registration denotes the achievement of an enrolled candidate who has partially completed the coursework with high grades and demonstrated progress by establishing a suitable research protocol which is accepted by the University.
- 2.10. **Adjudicator:** 'External Examiner' refers to the subject expert appointed by the University who shall be involved to evaluate and examine the Ph.D. thesis or dissertation of the candidate.
- 2.11. **Counselling:** Counseling is an essential procedure conducted by any department or school within the premises of TAU to facilitate the selection of candidates for admission to the Ph.D. program. This academic interview is a critical step in the admission process, which all prospective Ph.D. candidates are required to undergo. Failure to attend a Counseling Session may lead to the rejection of the candidate's application for Ph.D. candidacy.

3. STATUTORY BODIES AND THEIR RESPONSIBILITIES

3.1. THE BOARD OF RESEARCH STUDIES (BRS)

3.1.1. Constitution of the Board of Research Studies: The Board of Research Studies administers the research programmes of the University. All the members shall hold a PhD degree. The Board of Research Studies shall consist of the following:

- (a) One of the Deans shall be the *ex-officio* Chairperson on rotation basis for one year.
- (b) All Deans of the Schools
- (c) University Research Coordinator
- (d) Controller of the Examinations
- (e) Two faculties nominated by the Vice Chancellor
- (f) The Registrar shall be the *ex-officio* Member secretary

3.1.2. The Powers & functions of the Board of Research Studies: The Board of Research Studies shall be mainly responsible for the following functions:

- a) Approval of Research Regulations of the University
- b) Approval of the Thrust areas of research for the University and Departments
- c) Approval of regulations for admission to the Ph.D. programs Approval to the Research Advisory Committees (RAC), Institute Research Committees (IRC) and the Departmental Research Committee (DRC)
- d) Approval of Research Supervisors as recommended by the DRC/IRC
- e) Approval to the intake of Ph.D. programs in each department
- f) Approval of selection list of candidates for PhD admission
- g) Recommendation of Pre Ph.D. courses proposed by BoS to the Academic council for its approval.
- h) **Note:** The Heads of Departments (HoDs) will collaborate closely with the Deans and Heads of Institutes (Hols) to ensure the effective implementation, monitoring, and reporting of the research plans at the departmental level.

3.2. Institutional Research Committee (IRC):

The IRC, in consultation with the Vice-Chancellor and the Deans, shall develop guidelines and procedures to facilitate the execution of these responsibilities. These guidelines and procedures will be in accordance with the applicable laws, regulations, and policies of The Apollo University.

3.2.1. Constitution of Institutional Research Committee (IRC)

1	Dean	Chairperson
2	All Chairpersons of DRC	Members
3	One Professor	Members (To be nominated by the Dean)
4	One Associate Professor	
5	One Assistant Professor	
6	One Faculty among the above members	Coordinator (To be nominated by the Dean)

3.2.2. Functions of the Institutional Research Committee:

The Institutional Research Committee shall have the following functions, duties, and responsibilities:

1. Formulating and implementing the Research Strategy of the Institute/School in accordance with its objectives and vision.
2. Formulation of and implementation of 5-Year Research Plans for each Department and Institute.
3. Facilitating the research infrastructure and resources within the Institute/School to enhance the research capabilities and outcomes.
4. Evaluating and approving the Research Strategies proposed by the Departments within the Institute/School, ensuring alignment with the overall Institute's thrust areas of research.
5. Monitoring the Ph.D. Program, which includes overseeing the admissions process, Forwarding the PhD thesis & Extension of duration of PhD, ensuring the constitution and functioning of the Department Research Committee (DRC) and Research Advisory Committee (RAC), and tracking the progress of all Ph.D. scholars.
6. Promoting research ethics and advocating for the adoption of best practices in research among the faculty and students of the Institute/School.
7. Any other matter assigned by the Vice Chancellor

The Institutional Research Committee shall carry out its functions in accordance with the Research regulations and policies of the University.

3.3. THE DEPARTMENTAL RESEARCH COMMITTEE (DRC)

3.3.1. Composition of the Department Research Committee and Regulations:

Department Research Committee is the Research Committee of a teaching department of the University. There shall be a Departmental Research Committee (DRC) constituted as below in each Department -

Sl.No	Particulars	Designation
1.	Head of the Department	Chairperson
2.	All eligible Professors	Member
3.	Two eligible Associate Professors	
4.	Two eligible Assistant Professors	
5.	One Faculty among the above members	Coordinator (To be nominated by the HoD)

- a) In case of Departments where the Head of the Department being a single eligible recognized Supervisor, at least two members for the DRC of such Departments shall be nominated by the Dean of the School concerned from the allied Departments in consultation with the Chairperson, DRC.
- b) In case of Departments where there is only eligible guide and no other guides could be possible to be nominated from the allied Departments, the IRC shall act as DRC.
- c) The Heads of Departments (HoDs) will collaborate closely with the Deans and Heads of Institutes (HoIs) to ensure the effective implementation, monitoring, and reporting of the research plans at the departmental level.
- d) The DRC, in consultation with the Deans and Heads of Institutes (HoIs), shall develop guidelines and procedures for smooth conduct of the PhD programs in accordance with the applicable laws, regulations, and policies of The Apollo University.

3.3.2. Functions of the DRC: The DRC shall consider all matters related to the research works in the subject(s) concerned. The DRC shall

- a) look after all activities related to preparation of syllabus for entrance test in the subject, interviews, preparing the merit list and admission to the Ph.D.
- b) Recommend the Pre PhD-Courses to the IRC for onward transmission to BRS for its approval.
- c) Evaluation of the Pre Ph.D.-Course Work.
- d) Approval of the recommendations of the Research Advisory Committees (RAC) related to the registration of the Ph.D. research Scholars.
- e) scrutinize the progress reports of the research Scholars as recommend by RAC in regular interval and recommend the same to the Dean of the School concerned.
- f) organize the Pre-submission seminars of the Ph.D. Scholars and forward its recommendations to the IRC along with the abstract and panel of examiners from the RAC to the IRC for onward transmission to Directorate of Research for further process of adjudication.
- g) recommend the vacancies of the seats for PhD in the department depending on the number of eligible guides to the IRC for the approval of BRS.
- h) recommend the list of eligible supervisors (Internal or External) as per the norms to the IRC for the approval of BRS.
- i) recommend the eligible research centers for recognition as per the norms to the IRC for the approval of BRS.
- j) Consider any other issues relevant to the Ph.D. works of the scholars.

3.4. THE RESEARCH ADVISORY COMMITTEE (RAC)

3.4.1. Composition of the Research Advisory Committee (RAC) and Regulations: The formation of the RAC will be initiated by the supervisor(s) to monitor the progress of each of the research students. The RAC shall consist of:

Sl. No	Particulars	Designation
1.	Supervisor	Chair Person
2.	Co-supervisor/s (if Any)	Member/s
3.	Any two eligible guides within the Department as suggested by Supervisor	Members
4.		

- a) The formation of the Research Advisory Committee shall be notified by the Chairperson of the IRC for each admitted PhD candidate on the recommendation of the DRC with copies to all concerned.
- b) Head of Department/Institute and Dean of concerned faculty if not members of the RAC shall be permanent invitees to all meetings of the committee.

3.4.2. Functions of the Research Advisory Committee (RAC): The shall be responsible for following functions

- a) Finalization of Statement of Purpose (SoP)
- b) Guidance in identification of the pre-PhD courses
- c) Monitor the progress of research of the scholar for every six months.
- d) Recommendation of progress reports to the DRC.
- e) Review of the abstract of the Ph.D. thesis prior to the pre-submission seminar
- f) Recommendation of the abstract to the DRC for its onward transmission to IRC.
- g) Review of the draft thesis
- h) Recommendation of the thesis for submission to DRC.
- i) Suggestion of panel of adjudicators

4. ALLOCATION/RECOGNITION/CHANGE OF THE RESEARCH SUPERVISOR/CO-SUPERVISOR

Eligibility criteria to be a Research Supervisor, Co-Supervisor with Number of Ph.D. scholars permissible per Supervisor, supervisor's obligations, change of supervisors etc. were discussed as follows:

- 4.1. Any permanent Professor/Associate Professor of the University, with a Ph.D. and having at least five research publications in peer-reviewed or refereed journals and any permanent Assistant Professor of the university with a Ph.D. degree and at least three research publications in peer-reviewed/refereed journals/UGC-CARE Journals may be recognized as Research Supervisor.
- 4.2. For Ph.D. scholars working in Central government/State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors under TAU if they fulfill the above requirements (*clause 4.1*).
- 4.3. Research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors with prior approval of the Vice-Chancellor. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.
- 4.4. Provided that in areas/disciplines where there is no or only a limited number of peer reviewed or refereed journals, TAU may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 4.5. Only a full-time regular teacher of the University concerned can act as a Research Supervisor. Adjunct faculties are not permitted to be Research Supervisors except being Co-supervisor. However, Co-Supervisors from within the same department or outside the university may be permitted with the approval of the Board of Research Studies.
- 4.6. In the case of topics which are inter-disciplinary/multidisciplinary and where the Schools/Department concerned feels that the expert opinion in the research topics has to be supplemented from outside, the TAU on behalf of DRC may appoint a Research Co-supervisor from the outside the Department/ Schools/ Faculty/ College/ University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

- 4.7. In case if any faculty is recognized as guide in more than one department/faculty, he/she can act as main supervisor in the parent department/faculty and co supervisor in the other departments/faculties, provided he/she is recognized by the respective department/faculty and recommended by the respective IRC.
- 4.8. The allocation of Research Supervisor under TAU for a selected research scholar shall be decided strictly as per UGC regulations (2022). This may be decided by the Departmental Research Committee concerned depending on the number of scholars per Research Supervisor, availability of specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.
- 4.9. A Research Supervisor who is a professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars as per UGC regulations.
- 4.10. Each Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 4.9 above.
- 4.11. TAU may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
- 4.12. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 4.9 and clause 4.10.
- 4.13. In case of relocation of a woman Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the institution for the part of research already done.

4.14. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision as per UGC regulations. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

4.15. The Supervisor's Obligations

4.15.1. It is supervisor's responsibilities to ensure all formalities described in the PhD Regulations and also in the Ordinances of TAU are fulfilled. The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching skills and career guidance.

4.15.2. The supervisor's responsibilities include providing information and advice to scholars on all aspects related to the Ph.D. programme while focusing on guidance on academic aspects of research activities. The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors where deemed appropriate, possibility of the completion of the proposed Ph.D. project within the time frame, potentiality of the project leading to award of Ph.D. , and . It is envisaged that an ideal Ph.D. programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D. programme. They should have proper agreement on the demands and expectations from each other.

4.15.3. Other responsibilities of the supervisor include:

- a) Guiding the scholar about the choice of relevant courses and conferences related to the field.
- b) Advising the scholar for contacting relevant national and international organizations in the area of research.
- c) Assisting the scholar on incorporation of knowledge dissemination element in the course of study.
- d) Regular review and feedback on the Ph.D. project
- e) Preparation of the final statement and summarizing the overall Ph.D. programme at the time of Ph.D. thesis submission
- f) Active participation in the assessment and Ph.D. defense.

4.16. Provision for change of supervisor/co-supervisor:

- 4.16.1. For change of supervisor/co-supervisor within the Ph.D. tenure, a candidate may apply in the prescribed format with an undertaking letter (specifying valid reasons) to the Chairman (DRC) of the university. Vice Chancellor will approve the change based on the recommendations of the DRC. In any circumstances, if the supervisor leaves the University permanently, the DRC shall recommend allotment of new supervisor (fulfilling the clause 4.1., 4.2., & 4.8) working in the same area of research to the scholars working under him/her for the approval of Vice chancellor. However the DRC can recommend him/her to act as Co-supervisor of his/her existing Ph.D. scholars if the DRC convinced that substantial work is completed and already published at least one paper from the results of the proposed research topic and if the period of registration is more than 1yr.
- 4.16.2. if the supervisor dies while guiding the Ph.D., the DRC shall recommend allotment of new supervisor (fulfilling the clause 4.1., 4.2., & 4.8) working in the same area of research to the scholars working under him/her for the approval of Vice chancellor.
- 4.16.3. In any circumstances, if the supervisor temporarily leaves the University on lien he/she shall continue to supervise the student(s) till the thesis is submitted . However, with the supervisor's approval, the student(s) may submit an application to the DRC/CRC for a Co- or a different supervisor.
- 4.16.4. If the supervisor fell seriously sick the DRC with the consent of the ill supervisor and the student shall recommend for appointment of a new supervisor (fulfilling the clause 4.1., 4.2., & 4.8) working in the same area of research to the scholars working under him/her for the approval of Vice chancellor.

5. ELIGIBILITY CRITERIA FOR ADMISSION TO THE Ph.D. PROGRAMME:

5.1. The following criteria are eligible for any candidate to seek admission to the Ph.D. program at TAU:

5.1.1. A candidate successfully completing 1-year/2-semester Master's degree programme (after 4-year undergraduate degree) securing at least 55% marks in aggregate or its equivalent grade **OR** an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized, or authorized by an authority, established, or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions.

5.1.2. A candidate successfully completing 2-year/4-semester Master's degree programme (after 3-year undergraduate degree), with the same conditions as specified above in the sub-clause 5.1.1;

5.2. A candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade. Candidates who have cleared the M. Phil. course work with at least 55% marks in aggregate or an equivalent degree from a Foreign Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

5.3. **Reservation criteria:** A relaxation of 5% of marks or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS).

6. DURATION OF THE PROGRAMME

- 6.1. For fulltime Ph.D. programme in TAU including course work shall be for a minimum duration of three years and a maximum of six years, and for Part-time minimum duration shall be four years and maximum of six years as per specified in UGC regulations 2022.
- 6.2. The Maximum duration of the programme can be extended for two more years beyond the aforementioned parameters (section 6.1) by the Vice Chancellor on the recommendation of IRC. In any case the maximum duration shall not exceed 8 years from the date of registration.
- 6.3. Women candidates and candidates who are differently-abled (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration and not exceeding ten (10) years from the date of Ph.D. programme. In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.
- 6.4. The registration of a student stand cancelled in case failure of submission of thesis within the prescribed period including the extended period. Such students shall be allowed to reregister as a fresh candidate for continuation of his/her research. He/she shall be treated as fresh candidate however the minimum period for thesis submission shall be two years.

7. PROCEDURE OF ADMISSION

- 7.1. TAU Shall advertise Two (02) times in a year for Ph.D. admission on the availability of seats as mentioned below:
 1. Advertise in the month of March and October every year.
 2. Admit candidates for the Ph.D. program in the month of May and December respectively 7.1.1.
 3. Extramural candidates shall apply and join the Ph.D. program throughout the year.
- 7.2. TAU shall admit Ph.D. Scholars through a research entrance test via the TAU-RET conducted at the university level. Ph.D. admission notification shall well in advance be published on the institutional website or through advertisement in the

newspaper/news portal with details such as the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, examination centre(s) and all other relevant information for the benefit of the prospective candidates. .

7.3. Admission to the Ph.D. programme shall be made using the following criteria:

- 7.3.1. Eligible candidates may download the application form available in the website of TAU. The application form must be completely filled up and the form along with the required documents (duly attested) shall be sent to the designated officer on or before the deadline indicated for the purpose. No application shall be entertained beyond the specified date deadline.
- 7.3.2. Apart from regular candidate, selected candidates who fall under any of the categories viz (a) Sponsored, (b) Part-time, (c) Extramural and (d) Project Fellow must include along with the application format, a No Objection Certificate (NOC) from their employer/Project Investigator in the prescribed format.
- 7.3.3. Candidates who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/GPAT/CEED, similar National level tests and eligible Extramural candidates shall be exempted from the TAU-RET written test. A copy of the certificate of qualification in the competitive national level test must be sent with the application. For general applicants who do not meet the requirements of the aforementioned National level assessments, a written test (TAU-RET) and interview will be required.
- 7.3.4. The list of applicants screened by the DRC shall be forwarded to the Controller of Examination keeping a copy to the office of the Research for further process of examination. The candidates need to get qualified in the entrance test TAU-RET conducted by the University. TAU-RET syllabus consists of 50% of research methodology and 50% subject specific.
- 7.3.5. Candidates who have secured 50 % marks in the TAU-RET are eligible to be called for the interview. The list of candidates qualified in the TAU- RET shall be displayed in the University website

- 7.3.6. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates TAU may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- 7.3.7. a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva-voce shall be given for preparing the merit list.
- 7.3.8. The Controller of Examination will notify final list of the selected candidates for admission to the Ph.D. programme in the university website and other channels.
- 7.4. An interview/viva-voce has to be organized by DRC wherein the candidates are required to present their research interest/area before a panel duly constituted by the Departmental Research Committee (DRC).

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

- 7.4.1. The candidate possesses the competence for the proposed research;
- 7.4.2. The research work can be suitably undertaken at the University;
- 7.4.3. The research topic is relevant.

8. COURSE WORK

- 8.1. For Ph.D. course work the Credit requirement shall be in a minimum of 12 credits, including a research methodology course and “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018 (Journal/CARE list) in 2019. The Ph.D. curriculum based on the recommendation of the Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 8.2. Any school or department that wishes to enroll Ph.D. candidates must first establish the DRC and create a course syllabus along with course curriculum with the appropriate permission of the relevant Committee(s) for the students' course work. No department or school should be permitted to enroll Ph.D. students without fully developing its own course syllabus.
- 8.3. All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Schools/Department during the first two semesters. In case of pandemic like situation, provision of blended mode should be made available.
- 8.4. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Research Committee (DRC).
- 8.5. All courses prescribed for Ph.D. course work shall conform to the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.
- 8.6. During course work, students must report to the department/center on a regular basis and attend courses or complete given assignments. For all categories of students, the proportion of attendance during course work must be 75%.
- 8.7. Once the DRC decides on the nature of course work a student shall register for the course(s), submitting the course registration form in the prescribed format.
- 8.8. Those who have completed course work of equivalent standard/credits at another university may be exempted from course work at TAU, and credits obtained by the student in other universities may be transferred through the Academic Bank of Credits to TAU for continuation process of the Ph.D. program. The DRC may take all necessary actions by recommending to the Chairperson (RAC) for necessary approval. However, if the DRC believes it is necessary, it may recommend course work (credit or non-credit) for the benefit of such applicants.
- 8.9. During their doctoral term, all Ph.D. scholars regardless of their discipline are obliged to complete training in the teaching, education, pedagogy, and writing associated with the Ph.D. subject they have chosen. In order to carry out tutorial or laboratory work and evaluations, Ph.D. scholars may also be given a 4-6 hour per week

teaching/research assistantship provided that their research work shall not be hampered.

- 8.10. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis. If a student does not achieve the required or desired percentage marks or CGPA, he/she will be given the opportunity to improve the CGPA, but only one time.
- 8.11. See Annexure:01 for further details of course work syllabus, question paper setting, conducting exams, evaluation of scripts and announcement of Result.

9. REGISTRATION PROCESS OF A SELECTED Ph.D. CANDIDATE

The candidate who has completed the minimum requirement for completion of course work as prescribed in the UGC guidelines shall be eligible to register under the following clause.

- 9.1. The student after prior discussion with his supervisor/co-supervisor(s) shall submit a research proposal/synopsis to the DRC through his/her supervisor. The Chairperson of the DRC shall arrange for seminar of the student for presentation of the research proposal.
- 9.2. Proposed research proposal/synopsis areas must be socially relevant/locally need-based/nationally important/globally significant/create value for society or in cutting-edge areas or contribute to new/additional knowledge in areas of emerging concerns worldwide. The proposal must include the hypothesis/novelty, study technique, types of experiments/field work, and the predicted output and significance of the research proposal, all of which must be accompanied by authentic literature/references.
- 9.3. The DRC shall finally take necessary steps to assess the feasibility and novelty of the research proposal/synopsis and the final report shall be submitted to the RAC for further progress based on the following criteria:
- (a) If the study plan is appropriate and feasible and the student is qualified and prepared, the research project may be approved.
- (b) If the research proposal is rejected or requires significant change by the DRC, the student may be required to submit an updated research proposal followed by presentations within the allotted time frame, incorporating the DRC's suggestions and criticisms.

10. CHANGE OF CATEGORY OF CANDIDATURE

10.1. A Ph. D. student may change his/her category from full time to part time or vice versa exclusively once throughout the program's duration based on valid and genuine reasons viz. (a) Medical ground, (b) Employability, (c) Other valid reasons.

10.2. Change of category may be allowed in the prescribed format only after successful completion of the course work with valid documents (NOC/appointment letter) of proof for above reasons.

11. CONTINUOUS ASSESSMENT FOR AWARD OF THE DEGREE

11.1. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in sub-clause 8.10 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.

11.2. The DRC shall constitute a Research Advisory Committee at respective Schools/Department level to monitor the continuous assessment and progress of the research work.

11.3. During the tenure of research work and with the consent of the supervisors, the Ph.D. candidate shall present a seminar on the progress of his/her thesis in every semester to the DRC.

11.4. Conference/Seminar presentation: The scholar shall attend minimum of two Conferences/ Seminars and present his/her work on the thesis.

11.5. Publications: Ph.D. scholar shall publish minimum of two research papers in Scopus/WoS indexed journal from the Ph.D. thesis.

11.6. The Chairman DRC shall send the minutes of the DRC meetings along with his recommendations on enrolling for next semester to the IRC.

12. SUBMISSION OF THESIS:

The scholar shall submit the synopsis and the draft thesis in the prescribed format duly vetted by the RAC to the Chairman, DRC through the supervisor. The Chairman DRC shall arrange for a pre submission seminar open to all in consultation with the supervisor and the DRC members. The Candidate shall make a presentation for defense before the Department Research Committee (DRC). The Chairman DRC shall prepare the minutes by including the suggestions if any and share it to the candidate. The Scholar is required to attend to all the suggestions to the satisfaction of the supervisor. After successful completion of pre submission seminar the scholar shall submit the 16 copies of revised synopsis and thesis to the chairman, DRC through supervisor within the prescribed duration of the PhD. The chairman DRC shall forward it to the Office of the Research of the university through chairman IRC. The In charge of the Office of the Research shall duly acknowledge the thesis submission.

12.1. CRITERIA TO BE FULFILLED FOR SUBMISSION OF THESIS:

After successful of pre submission seminar, the scholar shall submit the following documents along with the thesis.

- a) Recommendation of Research Advisory Committee.
- b) Proof of completion of coursework.
- c) Attested copies of the certificate of presentation in conferences/ seminars on PhD work as mentioned in section 11.4.
- d) Proof of Research publications as mentioned in section 11.5.
- e) Half-yearly progress reports.
- f) Attendance report.
- g) No due certificate.
- h) Receipt of adjudication fees

12.2. EVALUATION OF THESIS:

- 12.2.1. CHECK FOR ANTI- PLAGIARISM: The Ph.D. thesis shall be checked for the plagiarism as mentioned in the General Research and Honesty Guidelines by the expert committee constituted by the Vice Chancellor.
- 12.2.2. The Ph.D. thesis shall be evaluated by two external examiners, who are experts in the field and not in employment of the University. Examiner(s) should be academics/renowned professionals in the concerned discipline having a good record of scholarly publications in the field. Out of the two external examiners, one must be from out of the state of Andhra Pradesh.
- 12.2.3. The external examiners appointed for evaluating the thesis shall submit the examination report to the examining authority in the format prescribed by the university which indicates whether the thesis is (a) accepted as such without modifications; (b) accepted with major/minor modifications; (c) recommended for re-submission.

12.3. ADJUDICATION PROCESS:

- 12.3.1. The Office of the Research will constitute the adjudication board with the approval of Vice Chancellor for adjudication of the thesis with the Chairperson, DRC as the Chairperson of adjudication board and the supervisor as the convener if the entire process of Ph.D. evaluation is successful. The scholar has to defend his/her thesis before the adjudication board.
- 12.3.2. The supervisor shall fix a date for open defense/viva- voce of the concerned Ph.D. candidate in consultation with the Chairperson of Adjudication board.
- 12.3.3. On completion of all necessary formalities, the adjudication board shall forward its recommendations in the prescribed format to the Office of the Research. The In charge of the Office of the Research shall forward it to the Controller of the Examinations for the award of the Ph.D. degree.

12.4. AWARD OF Ph.D. DEGREE

12.4.1. The degree shall be entitled to the successful candidate and the award shall be declared by the Controller of Examinations. The Ph.D. degree certificate will normally be given to the candidate during the convocation.

12.4.2. However, Provisional degree certificate be awarded to the successful candidate before the convocation followed by the proceedings of the Vice Chancellor stating that the candidate has successfully defended the thesis before the adjudication board upon submission of application along with the payment of prescribed fees.

12.5. If the research results of the thesis needed to be the protected under intellectual property rights (IPRs), the Ph.D. candidate and Supervisor shall inform the University about the matter. The candidate needs to process the application for the registration of IPR through the IPR Cell of the university.

13. Ph.D. THROUGH PART-TIME MODE

13.1. TAU shall permit Ph.D. programmes through part-time mode, provided all the conditions stipulated in these Regulations are fulfilled.

13.2. A “No Objection Certificate” shall be obtained through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

13.2.1. The candidate is permitted to pursue studies on a part-time basis.

13.2.2. His/her official duties permit him/her to devote sufficient time for research.

13.2.3. If required, he/she will be relieved from the duty to complete the course work

14. Ph.D. THROUGH EXTRAMURAL MODE:

14.1.1. TAU shall permit Ph.D. programmes through extramural mode, provided all the conditions stipulated in these Regulations are fulfilled.

14.1.2. See Annexure-02 for further details about the Extramural Mode of Ph.D.

15. DEPOSITORY WITH INFLIBNET/INSTITUTIONAL ELECTRONIC ARCHIVE:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Schools/Department concerned shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for hosting the same to make it accessible to all Institutions.

16. RESEARCH AND PUBLICATION ETHICS:

The Candidate and Supervisor/s shall strictly abide by the research and publication Ethics of the University as mentioned in the guidelines on research and publication ethics issued by the university.

17. SCHOLARS MOBILITY:

Registered PhD scholars may be mobilized to national/international institution of repute for a period of 6 to 12 months upon the acceptance and approval from the Research Advisory Committee as per the University regulations.

18. ETHICAL CLEARANCE:

All Ph.D. Scholars shall adhere to the Research Ethics in their respective field of research and obtain prior ethical approval from the Institutional Ethical Committee (IEC) if applicable following the procedures set by The Apollo University.
