

## APPENDIX – 8(R)

### UNIVERSITY OF MADRAS

#### **Research Regulations 2021 approved by the Board of Research Studies Ph.D. and Post-Doctoral Degrees, Eligibility for Research Supervision and Recognition of Research Department / Institutions Regulations 2021**

*(Based on University Grants Commission Minimum Standards  
and Procedure for Award of Ph.D. and Post-Doctoral Degrees)*

#### **1. Introduction**

- 1.1 In accordance with the Madras University Act 1923, Chapter II and Section 2 and its various sub-sections, and also in accordance with the Ordinances in the University Calendar II, Chapter 15, the University has to frame and implement regulations relating to the conduct of academic programmes and examinations leading to the award of Ph.D. and Post-Doctoral Degrees and recognition of teachers in higher educational institutions as Research Supervisors and recognition/affiliation of Research Departments and Institutions. Accordingly, these Regulations are framed and approved by the Authorities of the University. These regulations come into force from the Academic Session July, 2021 and also retrospectively in certain specific cases, wherever such retrospective effects are mentioned.
- 1.2 The Regulations are presented in Three Chapters:  
Chapter 1: Regulations relating to Admission, Conduct of Ph.D. programme, Evaluation of Thesis and Award of Ph.D. Degree.  
Chapter 2: Regulations relating to Admission, Evaluation of Thesis and Award of Post-Doctoral Degrees (D.Sc. / D. Lit. / L.L. D.)  
Chapter 3: Regulations relating to Eligibility for Research Supervision (Ph.D.) and recognition of Research Departments and Institutions.
- 1.3 Unless and otherwise specified, the Office of the Dean Research shall assist the Registrar and the Vice-Chancellor in implementing these regulations and the smooth conduct of research programmes and examinations.
- 1.4 The Syndicate by a resolution can reallocate the functions of conducting course work examination and evaluation of thesis relating to research studies to Controller of Examinations.

# **Chapter 1**

## **Regulations relating to Admission, Conduct of Ph.D. Programme, Evaluation of Thesis and Award of Ph.D. Degree**

### **1. Preamble**

The Degree of Doctor of Philosophy (Ph.D.) is awarded to a candidate who, as per these regulations, submits a thesis on the basis of original and independent research in any particular discipline or involving more than one discipline (inter-disciplinary) that makes a contribution to the advancement of knowledge, which is approved by the Board of Examiners as required.

### **2. Eligibility Criteria for Admission to the Ph.D. Programme**

Admission to the Ph.D. programme can be made two times in a year, i.e., January and July. The online application will be available during the months of December and June every year for admitting the candidates for the two sessions. Candidates shall submit the hard copy of their applications on or before the first working day of January and July to the concerned University Department / Affiliated College / Research Institution where they propose to do their Research. The applicant is advised to get the acceptance of a recognized Supervisor at the time of submitting the application. However, this does not ensure admission which is based on the merit list prepared taking into account of the performance in the entrance examination and marks obtained in the PG degree. Admission to the Ph.D. programme shall be completed at the earliest, preferably within 30 days from the last date for application in each session. Thereafter, the University shall ratify the admission and grant temporary registration for the Ph.D. candidate.

#### **2.1 Minimum Educational Qualification**

2.1.1 Candidates for admission to the Ph.D. programme shall have passed SSLC (10<sup>th</sup> or 11<sup>th</sup> class/grade and PUC or higher secondary (12<sup>th</sup> grade)

before joining Under Graduate (UG) programme (3 or more years) and UG before joining Post Graduate (PG) degree programme. That is, the candidate should have completed PG degree programme after completing UG degree in the format 10+2+UG Degree (3 or more years) or 11+1+ UG Degree (3 or more years).

2.1.2 Candidates shall have a PG degree from a UGC recognized University in India or a professional degree declared equivalent to the PG degree by corresponding statutory regulatory bodies or professional councils like AICTE. Candidates should have obtained at least 55% marks in aggregate or its equivalent grade B in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) in the PG degree. A list of PG degrees that could be considered for admission is detailed in paragraphs 2.1.5 to 2.1.10.

2.1.3 A PG degree or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational Institutions. Candidates should have satisfied 55% or its equivalent grade in the PG degree or its equivalent degree. If the transcript of marks and degree certificates are in languages other than English, an authorized translation should be provided by the candidate.

2.1.4 Candidates should produce the conversion table issued by the University / Institution to convert grades into percentage of marks. This will be used for processing the application for admission in Ph.D. programme.

2.1.5 PG Degrees in the faculties of Arts, Sciences, Fine Arts, Languages, Commerce, Education, Physical Education, Management Science and Law of this University or equivalent thereto.

2.1.6 PG Degrees in the faculties of Engineering, Technology and Architecture, Medicine including the Degree of Doctor of Medicine (M.D. or M.R.C.P), or Master of Surgery (M.S. or F.R.C.S./M.R.C.S.), Indian Medicine, Veterinary Science, M. Pharm. and Agriculture of this University or equivalent thereto are eligible for admission in Life and Bio-Medical Sciences departments.

2.1.7 M.B.B.S. Degree with two years of Senior House Surgeon / Special training or equivalent thereof recognized by the Medical Council of India

or competent authority are eligible for admission in life and Bio-medical Sciences.

2.1.8 Bachelor Degree in Veterinary Science, Ayurveda, Siddha, Homeopathy, Unani Medicines, etc., with two years Senior House surgeon / equivalent special training in related disciplines of two years duration are eligible in Life and Bio-medical Sciences.

2.1.9 ACA, FCA, AICWAI, ACSI qualifications of the Institute of Chartered Accountants of India, Institute of Cost and Works Accountants of India, and Institute of Company Secretaries of India, with minimum pass marks and four years of Professional experience in reputed firm / organization after successful completion of the above mentioned examinations are eligible for admission in commerce and related disciplines.

2.1.10 Candidates from the National Defence Academy (NDA), National Defence College, New Delhi, Defence Services Staff College (DSSC) Wellington with M.Sc. Defence and Strategic Studies / M.Phil. Degree are eligible for Ph.D. (both full-time and part-time) admission and they are exempted from submitting HSC or PUC Certificates.

2.1.11 Each BOS-PG shall provide a list of PG degrees issued by the University of Madras in disciplines / subjects eligible for admission in Ph.D. in that discipline / subject and approved by the Syndicate. Candidates with PG degrees from other Universities shall obtain eligibility certificate from the University of Madras. The Admission is ratified only after obtaining eligibility certificate.

## **2.2 Relaxation of Marks**

2.2.1 A relaxation of 5% of marks - from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC / ST / Differently-abled or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

## **2.3 Criteria for Admission in Different Modes of Ph.D.**

2.3.1 University offers two modes of Ph.D. programmes, namely, Ph.D. Full-Time and Ph.D. Part-Time. Candidates shall apply for admission to the Ph.D. Degree Programme in any one of these two modes.

### **2.3.1 Ph.D. Full-time**

2.3.1.1 The eligibility conditions for Full-time and Part-time candidates are same, as given in 2.1 and 2.2. In addition, Research fellows / Research Assistants / Technical Assistants / Project Fellows / Project Assistants / Training Officers in extension departments approved by the University, appointed in the research projects funded by recognized agencies / Government are also eligible to register for Ph.D. on a full-time basis in the same department provided they satisfy the eligibility criteria stated in Regulation 2.1 above.

### **2.3.2 Ph.D. Part-time**

2.3.2.1 Candidates possessing educational qualification as stated in paragraph 2.1 and 2.2 above whose place of work is within the jurisdiction of the University and falling under any of the following categories, are eligible for admission in Part-Time mode.

2.3.2.2 A regular (permanent) teacher working in the Department of the University or in an affiliated College of the University after two years of service.

2.3.2.3 A regular (permanent) PG Assistant of Higher Secondary Schools, a teacher of Polytechnic recognized by the Department of Technical Education of central or state governments, with four years of total experience after obtaining PG Degree.

2.3.2.4 Full-time Guest lecturers with four years of continuous teaching experience in the same affiliated college or research institution or stand-alone institution.

2.3.2.5 A non-teacher candidate working for four years after the qualifying degree as a regular employee in a registered firm / Institution and satisfying the rules framed separately by the Syndicate from time to time.

2.3.2.6 Administrative staff members and non-teaching professionals

working as regular employees in the state and central government offices, government owned autonomous organizations, subject to satisfying other conditions such as four years of service after the qualifying degree and jurisdictional restriction of place of employment.

2.3.2.7 Research Assistants / Technical Assistants appointed on a permanent basis by the University after confirmation of service.

2.3.2.8 Candidates with M.L. Degree practicing as an advocate in any Court of Law or serving as a Legal Advisor to / in a registered firm / Institution within the territorial jurisdiction of the University with a minimum of four years of total working experience after obtaining the qualifying degree.

2.3.2.9 Officers of Armed Forces and Paramilitary Forces of Government of India are eligible irrespective of the place of employment.

2.3.2.10 All applicants shall produce certificates from their employers about duration and nature of employment and No Objection Certificate from the employer.

2.3.2.11 Candidates shall produce employment certificate from the employer every year along with the application for continuation of registration. If the candidate is transferred after Ph.D. admission / registration to a place outside the jurisdiction of the University, such candidate will lose the admission / registration and should apply again as and when required.

### **3.Procedure for Admission**

#### **3.1 Common Criteria**

3.1.1 Admission shall be based on the criteria notified in this set of regulations taking into account the reservation policy of the State Government from time to time.

3.1.2 University Departments / Affiliated Colleges / Research Institutions shall admit Ph.D. students through an Entrance Test conducted at the level of University Departments / Affiliated Colleges / Research Institutions.

3.1.3 Candidates with fellowships such as UGC-JRF, CSIR-JRF, project fellow in funded projects, teacher fellowships or such other fellowships for pursuing Ph.D. programme may be admitted directly to the Ph.D. full-time programme subject to availability of vacancies within the quota of seats fixed for each Supervisor.

3.1.4 The University / Affiliated Colleges / Research Institutions shall decide and notify well in advance in the Institutional website subject / discipline-wise number of seats available and schedule for tests and interviews for admission, etc.

3.1.5 Candidates applying for inter-disciplinary research study shall apply only in the Department of a discipline / subject in which he / she has been awarded the PG degree. The co-supervisor is not mandatory and it is based on the recommendation of the Research Advisory Committee.

### **3.2. Selection Procedure for Institutions**

3.2.1. Admission shall be made purely on merit basis: 50% of marks shall be from the qualifying examination, i.e. PG Degree and another 50% from entrance examination.

3.2.2. The admission process shall be completed by the Departmental Selection Committee of the University Departments / Affiliated Colleges / Research Institutions adhering to the Ph.D. regulations.

3.2.3. The Departmental Selection Committee shall be constituted by the Head of the Department with all recognized supervisors in the department as members. The Research Supervisor shall be the convener. The Departmental Selection Committee shall have at least three members; if not, a recognized research supervisor from related disciplines in the institution / neighbouring institution shall be included as a member.

3.2.4. The Departmental Selection Committee shall conduct the entire process of admission - conduct of Entrance Examination, preparation of merit list, list of selected candidates and verification of certificates. The minutes of the selection process duly signed by the Departmental Selection Committee shall be forwarded by the Head of the Institution / University Department to the University.

3.2.5. With regard to a candidate proposing to work on the contribution of living author(s) / person(s), a brief research proposal for conducting Ph.D. and a self-declaration duly certified by the Supervisor shall be forwarded along with necessary permission obtained from the concerned author(s) / person(s).

3.2.6. Based on the selection list recommended by the Departmental Selection Committee, the Head of the Institution / University Department shall issue the Ph.D. admission letter. However, the provisional registration shall be issued by the University after ratifying the admission.

3.2.7. The Head of Institution shall assign a Supervisor to each candidate admitted to the Ph.D. programme based on the mutual consent of the Supervisor and candidate.

3.2.8. The Head of the Institution / University Department shall communicate to the University the list of students admitted in the Ph.D. programme along with a list of documents as required by the University. The University will provide a check-list for this purpose.

3.2.9. The University shall ratify admission and provide provisional registration on perusal of records submitted by the Head of the Institution.

3.2.10. The ultimate responsibility of admission rests only with the Heads of the Departments of the University / Principals of the Colleges / Directors of the Research Institutions concerned. If it is observed at a later stage that the admission accorded by the University Department / Affiliated College / Research Institution is incorrect, the same will be cancelled by the University at any stage of the Ph.D. Programme. The Heads of the Departments of the University / Principals of the Affiliated Colleges / Directors of the Research Institutions shall certify that the selections are made on the basis of guidelines issued by the University.

### **3.3 Procedure for Conduct of Entrance Examination**

3.3.1. The entrance examination shall be conducted by the respective Department / Affiliated College / Institution and shall carry a maximum of 50 marks as detailed below: (a) Written examination 35 marks and (b) Oral examination 15 marks. The Entrance Examination should test the candidate's research aptitude and knowledge in the subject and research methodology. The candidate shall secure at least 25 marks out of 50 marks in the entrance test (Written and Oral). A relaxation of 5% of marks (from 50% to 45%) shall be given for the candidates belonging to SC / ST / Differently-abled category in the entrance test examination conducted by the Universities.

3.3.2. The candidate shall take the examination only in the subject for which he / she has applied for admission to the Ph.D. programme. The Head of the Department / Affiliated College / Institution in consultation with the Supervisor(s) of the concerned subject may design the question paper for the entrance test. The question paper has to be set and valued by the respective selection committee of the Department / Affiliated College / Institutions only.

3.3.3. The Departmental Selection Committee shall prepare a list of applicants who appeared for Entrance Examination, along with marks

obtained in the Entrance Examination, and prepare the merit list as per paragraph 3.2.1.

#### **4. Constitution of Research Advisory Committee and its Functions**

4.1 Within one month from the date of admission, the research supervisor shall constitute a Research Advisory Committee (RAC) for each candidate and send for the approval of the University.

4.2 The RAC shall consist of

- (a) The Research Supervisor as convener,
- (b) Head of Department (Ex-officio Member). If the HOD is the Supervisor, he / she can co-opt one of the recognized supervisors from the same department or related departments in the Institution or a neighbouring Institution,
- (c) one recognized Supervisor in the same discipline or related discipline from the neighbouring Institution/Department,
- (d) If there is a co-supervisor, then the co-supervisor is the fourth (ex-officio) member.

4.3 The role of RAC is to meet once in six months and review the progress of research of the candidate. This biannual meeting of RAC shall continue till the candidate submits the thesis for evaluation.

4.4 The RAC shall approve the syllabi for the course work within six months from the date of admission of the candidate as given in Section 6.

4.5 The RAC shall conduct the course work examination within one year from the date of admission of the candidate. It is the responsibility of the RAC to set the question paper, conduct examination and evaluation and pass the results with academic integrity as given in Section 6.

4.6 The RAC shall approve the synopsis and thesis of the candidate before submission.

4.7 The RAC shall also recommend cancellation of the Ph.D. registration and enrollment if the candidate does not show perceptible progress in research work as directed by the RAC. Before recommending the cancellation of Ph.D. registration and enrollment, the RAC may record its recommendation to the candidates and failure of the candidate in implementing the recommendation with regard to the research work.

## **5 Registration Process and Continuation of Registration**

5.1 At the time of admission a candidate is given provisional registration. To obtain permanent registration, the institution should ensure that the following regulations and academic works are successfully carried out with respect to each Ph.D. candidate admitted in the institution:

5.2 The Supervisor shall constitute a Research Advisory Committee as stipulated in 4.0.

5.3 The institution shall complete the process of conducting course work and examination as stipulated in 6.0.

5.4 The University shall declare the results of the course work examination and grant the permanent registration to the Ph.D. programme.

5.5 Annual report with details of progress of course work and research work assessed in the two RAC meetings during the year, seminars attended and papers published by the candidate shall be prepared by the candidate and submitted through Supervisor and Head of Institution along with fees for continuation of registration in July every year. If the candidate is admitted in the January session, then the first annual report will cover a one and half year period.

5.6 Failure to submit reports for continuation of registration shall be deemed as discontinuance from the Ph.D. programme and the University shall declare that the admission / registration of the candidate as cancelled without notice.

## **6 Course work: Syllabi, Teaching and Examination**

6.1 The 18-credit course work shall be treated as pre-requisite for Ph.D. registration. Normally, the entire course work shall be completed in one-semester. However, the students may be given one year time to complete the course work, that is, before the second RAC meeting.

6.2 The curriculum design:

Course	Course Title	Credit	Teaching hours/ week
I	Research and Publication Ethics	2	
II	Research Methodology	4	
III	An Advanced Course in the Subject	6	
IV	A Course relating to Research Theme	6	

6.3 The syllabus for “Course I Research and Publication Ethics” has been suggested by the UGC and the same has been approved by the Academic Council of the University. The syllabus for Course I shall be obtained from the University.

6.4 The Institution / University Department shall facilitate the preparation of the syllabi for the three courses, that is, Course II, III and IV. Course II shall be common for all the disciplines in a school. Course III shall be common for all the Ph.D. candidates in a Department. Course IV shall be specific for each Ph.D. candidate.

6.5 The primary responsibility of teaching these four courses is with the Supervisor with regard to his / her Ph.D. candidates. The Institution / Department can conduct classes along with PG / M.Phil Degree programmes if the syllabi (wholly or partly) are common for the two programmes. Common classes for these courses at the Institutional / School / Department level shall also be conducted.

6.6 The RAC may also stipulate a Massive Open Online Course (MOOC) up to 20 per cent of the total credits, that is, 4 credits.

6.7 The examination for each of the courses shall be for 3 hours and valued for 100 marks. The course work examinations should be conducted only during the first week of January and July every year. Examination for all the courses shall be conducted on consecutive working days.

6.8 The RAC shall approve the question papers with care to see whether the questions have been fairly distributed across all the modules / units from the syllabus. The course work examination is to evaluate the higher level of learning, research aptitude and research skills of the students in the specific discipline and research theme.

6.9 The Supervisor shall conduct the examination under intimation to the Head of the Institution / Department well in advance. The Supervisor shall value the answer scripts and call for the RAC meeting within two weeks to pass the results.

6.10 The RAC shall scrutinize the answer scripts and approve the scheme of evaluation and pass the results.

6.11 A candidate has to obtain a minimum of 55% of marks (or an equivalent grade in the UGC 7 point scale or an equivalent grade / CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the Ph.D. thesis.

6.12 If a candidate has to reappear for a course, then the arrear examination shall be conducted after six months.

6.13 Soon after the RAC meeting, the Institution / Department shall send the syllabi, question papers, answer scripts, mark sheets and the minutes of the RAC meeting to the University.

6.14 Candidates who completed the course work examination in M. Phil. before admission to Ph.D. in the same subject are exempted from taking courses II and III.

6.15 Candidates who completed the course work examination in M. Phil. before admission to Ph.D. and admitted to a related subject are exempted from Course II alone.

6.16 Candidates who opt for inter-disciplinary research work shall take all the course work in a Department where they are admitted for Ph.D. even if they have completed course work in M. Phil. in a related subject before admission to Ph.D.

6.17 Candidates with professional degrees that are not offered by the University of Madras shall appear for all the courses in course work.

## **7 Duration of Ph.D. Programme, Attendance and Leave Rules**

7.1 The Ph.D. programme of the two modes mentioned in section 2.3 is for a minimum period of three years and a maximum period of six years from the date of admission. The academic year of a candidate starts from January or July depending upon the session in which the admission is granted. Candidates, admitted after successful completion of M. Phil. Programme, that is, after submission of M. Phil. dissertation shall submit the synopsis followed by the thesis after 2 years from the date of admission and completed the registration process.

7.2 The candidate shall attend the Institution till he / she submits the thesis. The Supervisor shall maintain a daily attendance register and send a monthly attendance certificate with leave account for each candidate to the Head of the institution.

7.3 Extension of time after six year-period is not granted to any specific candidate. However the Syndicate of the University shall extend the duration for all candidates based on certain exigencies like a natural calamity or pandemic.

7.4 Women candidates who availed of maternity leave as per rule 7.5 and differently-abled persons (more than 40% disability) shall be given an extension of two years after the six-year-period.

7.5 A non-stipendiary woman candidate shall be granted maternity leave up to 240 days only once during the entire duration of the Ph.D. programme including the casual leave in that academic year. A stipendiary woman candidate shall follow the maternity leave rules stated in the fellowship agreement or these regulations will apply.

7.6 A non-stipendiary candidate shall avail of 30 days casual leave in an academic year. Stipendiary candidates shall follow the leave rules stated in the fellowship agreement or these regulations will apply.

7.7 The Supervisor shall sanction casual leave to his / her Ph.D. candidate. The maternity leave should be granted under intimation to the Head of the institution and RAC with proper supporting documents.

## **8 Academic and Residential Requirements during the research study period**

8.1 A Ph.D. candidate shall show continuous progress in the course work and research work as directed by the Supervisor from time to time.

8.2 A Ph.D. candidate shall present the research work done before the RAC once in six months and follow the recommendations of the RAC in improving or amending the course of research work.

8.3 A Ph.D. candidate should follow all the ethical rules and regulations in force in regard to collection of data, conduct of experiments and publication of research findings.

8.4 A candidate registered on a part-time internal basis in all the subjects except in those involving laboratory works shall work at least for two months in every academic year during the course of research at the institution where the Supervisor is attached. The Supervisor shall issue the attendance certificate through the Head of the Institution at the time of applying for continuation of registration.

8.5 A candidate, who has been permitted to register in a part-time programme in subjects involving laboratory work in an Institution other than where they are working, shall be required to work for a minimum total period of eight months in the Institution directly under Supervisor. If

required, the period of eight months of residency may be spent in four spells of not less than two months each during an academic year in the course of their research.

## **9 Conversion of Registration and Re-registration**

9.1 The University may permit conversion of Ph.D. registration from full-time mode to part-time mode for a candidate who obtained permanent registration and completed two years (non-stipendiary) or one year (stipendiary) from the date of admission and satisfy the employment and other rules in the respective modes of part-time admission, that is, internal.

9.2 The University may permit conversion of Ph.D. registration from part-time mode to full-time mode any time after obtaining Ph.D. admission, provided the candidate satisfies the related regulations.

9.3 If the candidate is unable to submit the thesis within six years from the date of admission, then the candidate shall apply for re- registration in the same institution under the same Supervisor with the same topic, provided the Supervisor is eligible to supervise Ph.D. students as per paragraph 2.10 in Chapter 3 of these regulations. Re-registration under a new supervisor is feasible only with No Objection Certificate from the current research Supervisor.

9.4 Application for re-registration shall be sent to the University within one month from the date of completion of six years of the Ph.D. programme. Applications received later than 30 days will not be considered.

9.5 After re-registration, the candidate shall submit the thesis soon after re-registration but not later than four years after re-registration. Re-registration for the second time is not feasible.

## **10 Change of Supervisors and Grievance Redressal**

10.1 Ph.D. candidate shall represent any grievance to the Head of the Institution. Depending upon the nature of grievance, the Head of the Institution shall refer the complaint to the RAC or an appropriate grievance redressal committee in the institution and resolve the issue within 30 days from the date of receipt of the complaint from the student.

10.2 If the Supervisor of a Ph.D. candidate has to be changed, based on recommendation of the RAC or grievance redressal committee or transfer of Supervisor outside the University jurisdiction or demise of the Supervisor or by mutual consent of the present and proposed Supervisors, then the same shall be approved by the Head of the Department / Institution and intimated to the University for Ratification.

10.3 In extraordinary cases, if there is a need to change the research Supervisor just before submission of synopsis or thereafter, then the candidate shall be allowed to submit the synopsis / thesis under a research coordinator who will work with RAC to facilitate the candidate to submit the synopsis / thesis. The research coordinator will be nominated by the University and it will not be counted as candidate under the research coordinator.

10.4 If the change of Supervisor involves two different Institutions, then proposal for the change along with the consent letters of two Heads of Institutions and the two Supervisors shall be sent to the University for ratification. All the records shall be given to the Institution where the present Supervisor is working and the candidate is deemed to be a student of that Institution.

10.5 Since a candidate is admitted for the Ph.D. programme in an Institution, it is the responsibility of the Institution to resolve all disputes and assign suitable Supervisors to candidates admitted in the Institution. However, if the Institution is unable to find an alternative Supervisor then the help of the University shall be sought to get the list of available Supervisors in the discipline.

10.6 The rarest of rare cases of unresolved disputes shall be referred to the University with all details and institutional processes followed. The Vice-Chancellor's decision is final in such cases.

10.7 In case of relocation of a Ph.D. woman scholar due to marriage or similar reasons, 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 will however give due credit to the parent supervisor and the Institution for the part of research already done.

## **11 Cancellation of the Ph.D. Registration**

11.1 If the candidates do not complete the process of obtaining permanent registration within 12 months from the date of admission in the Ph.D. programme, then the temporary registration and enrolment are deemed to be terminated.

11.2 The registration and enrolment of a candidate in the Ph.D. programme may be terminated at any point of time on the recommendation of the Head of the Institution for the willful violation of the rules of the Institution or the Ph.D. regulation and for moral / ethical misconduct of the candidate.

11.3 The registration and enrolment shall be cancelled by the University on the recommendation of the RAC and forwarded by the Head of the Institution as stipulated in paragraph 4.8.

## **12 Submission of Synopsis and Thesis**

12.1 After completing three years of research study from the date of admission, the candidate with permanent registration is eligible to apply for submission of synopsis.

12.2 The candidate shall publish at least one research paper in the UGC CARE list / SCOPUS / WOS/ Pub Med/SCI journal before the submission of synopsis.

12.3 The synopsis shall not be more than 5000 words. The synopsis shall be presented before the RAC, and on its recommendation, the synopsis in triplicate and a soft copy shall be sent to the University with certification from the Supervisor and Head of the Institution.

12.4 The soft copy of the thesis shall be submitted to the University library for plagiarism check. A certificate will be issued about the level of similarity detected based on authorized software. The thesis will be permitted for submission if the level of similarity is deemed acceptable as per the rules framed by the Syndicate from time to time.

12.5 The application for submission of soft copy of thesis for plagiarism check and the relevant rules be obtained from the Librarian, Madras University Library, Chepauk and in Libraries in other Campuses of the University.

12.6 One month after submission of synopsis and not later than six months after the submission of synopsis, the candidate shall submit the thesis in triplicate and a soft copy.

12.7 If the candidate is unable to submit the thesis within six months from the date of submission of synopsis, then shall apply for extension of time to submit the thesis for another 6 months or completion of 6-year-period whichever is earlier. In other words, submission of thesis beyond 6-year-period is not allowed.

### **13 Synopsis and Thesis Format**

13.1 The synopsis and the thesis shall be in the format detailed in these rules.

13.2 The synopsis and thesis shall be written in English. However, theses in Languages and Literature shall be in the respective languages.

13.3 Candidates shall submit the Synopsis and Thesis in Tamil along with a copy of English translation certified by the Supervisor about the authenticity of the translation, so as to send the thesis for evaluation to a foreign examiner.

13.4 The title page shall contain

(a) Title of the Thesis,

(b) Degree and Subject for which the thesis is submitted. For interdisciplinary research, discipline of the PG degree and the discipline of the department where the research work is carried out shall be mentioned.

(c) Candidate's Name,

(d) Supervisor's Name and Designation, (Including co-supervisor).

(e) Address of the Institution

(f) University logo and

(g) Month and Year of Submission

13.5 The certificates to be attached before the contents page

(a) A certificate from Head of the Institution or University Department that the candidate underwent the research study during the period in that institution under the supervision of the assigned Supervisor.

(b) A certificate from the Supervisor that it is the original work of the candidate and free of plagiarism. In the case of inter-disciplinary research study, both Supervisor and Co-supervisor shall give this certificate.

(c) An undertaking from the candidate that the thesis is his / her original research work and is not submitted for the award of any other degree either in full or a part thereof.

13.6 The style of presentation shall be decided by the Supervisor in consultation with the RAC and in accordance with the best practices in the specific discipline.

13.7 The type set should be in 1.5 or 2.0 line space, and 12 font size. Artistic fonts should be avoided. Print on both sides of the paper. A well stitched soft binding is suggested.

## **14 Panel of Examiners and Process of Evaluation**

14.1 It is the responsibility of the Supervisor to submit a panel of examiners at the time of submission of synopsis by the candidate but not later than one month from the date of submission of the thesis.

14.2 The Panel of Examiners shall be submitted with all the details and in the format approved by the Vice-Chancellor.

14.3 The examiners shall not be close relatives of the candidate or Supervisor or Head of the Institution or a member of the RAC.

14.4 The Vice-Chancellor shall select one Foreign Examiner and one Indian Examiner from the Panel of Examiners submitted by the Supervisor.

14.5 If the Vice-Chancellor exhausts the panel or rejects the panel for any reason, or the Supervisor fails to submit the panel within the specific time period, the Vice-Chancellor shall either ask for a fresh panel to be submitted within one month by the Supervisor, or shall create a new panel from the list of examiners who have already evaluated the theses in the specific or relevant discipline for the University.

14.6 The thesis will be evaluated by (a) Supervisor, (b) one Foreign Examiner and (c) one Indian Examiner. In the case of languages, literature and certain branches of humanities, the foreign examiner may be replaced by an Indian examiner by the Vice-Chancellor. A copy of communication to the external examiners may be sent to the research supervisor also.

14.7 The examiners shall submit the evaluation report in the prescribed format while placing the thesis in one of the FOUR categories – (i) HIGHLY COMMENDED, (ii) COMMENDED, (iii) COMMENDED WITH CORRECTIONS, and (iv) NOT COMMENDED.

14.8 If either the Foreign Examiner or the Indian Examiner has submitted the report under “NOT COMMENDED” category, then the thesis shall be sent to another Foreign or Indian examiner whose report will be final and accordingly the decision will be taken by the Vice-Chancellor.

14.9 If both Foreign and Indian Examiners have submitted the evaluation report under “NOT COMMENDED” category, then the candidate has to resubmit the thesis after re-registration following the procedures of re-registration.

14.10 If both the Foreign and Indian Examiners have recommended for the award of degree, then the Supervisor as convener of the viva-voce examination shall be asked to prepare a consolidated report of the three reports from the examiners and submit to the University.

14.11 The Vice-Chancellor shall appoint a recognized Supervisor in the same discipline / subject within Tamil Nadu to be the external examiner in the viva-voce examination.

14.12 The Supervisor shall conduct the viva-voce examination with the approval of the Head of the Institution and the external examiner under intimation to the University.

14.13 The communication for the conduct of viva-voce examination should be sent to all related departments in the Institution and neighbouring institutions at least 15 days in advance, with a note about the placement of thesis in the Institution’s library. A copy of the communication shall be placed in the Notice Boards of the department, institution and library.

14.14 The viva-voce examination shall be conducted in a class or seminar room which is easily approachable to the visitors. The candidate shall be given time to present his/her research work followed by soliciting his/her answers/clarifications raised by the examiners and the participants in the viva-voce examination.

14.15 A joint report of the Supervisor and the external examiner certifying that the candidate has successfully defended the thesis and carried out all the corrections suggested by the two external examiners along with the corrected copy of the thesis and the list of participants in the viva-voce examination shall be sent to the university on the same day or the next working day.

14.16 The Syndicate based on the reports of the examiners about the

thesis and viva-voce examination shall recommend for the award of the degree and issue of provisional degree certificate.

14.17 If the thesis is found to be a plagiarized work or the candidate is found to have indulged in malpractices and unethical process of conducting the research study at a later stage, then the Syndicate shall withdraw the degree awarded.

## **Chapter 2**

### **Regulations relating to Admission,**

#### **Evaluation of Thesis and Award of Post-Doctoral Degrees**

##### **1. Preamble**

The Degree of Doctor of Science / Letters / Law is awarded to a candidate, who had already obtained Ph.D. and as per these regulations, has submitted a thesis on the basis of original and independent research in any particular discipline or involving more than one discipline (inter-disciplinary) as that of his / her Ph.D. and that makes a contribution to the advancement of knowledge, which is approved by Board of Examiners as required. It should not be just a compendium of research works of the candidate in a subject or discipline. Rather it should be a narrative of all the research publications tied through a theme. The post-doctoral thesis is not a fresh research work, but a cumulative presentation of decade(s) of research work that is guided by a common theme or research orientation, with a vision to substantially contribute to the academic literature with fervor to advance the knowledge in the subject / research field.

**D.Sc.:** Doctor of Science in Faculties of Sciences, Medicine, Engineering, Technology, Agriculture and Veterinary Science.

**D.Litt.:** Doctor of Letters in Faculties of Arts, Social Sciences, Humanities, Literature and Languages.

**LL.D.:** Doctor of Laws to Faculty of Law.

##### **2. Eligibility**

2.1. A candidate seeking admission to D.Sc./D.Litt./LL.D programme of the University, must have pursued outstanding post-doctoral research in the concerned discipline and obtained the minimum qualifications required for admission as detailed below.

2.2 The candidate must have obtained a Ph.D. or an equivalent degree from this University or from any Indian University recognised by the UGC or Foreign

University in the world ranking (QS, Times Higher Education, Shanghai) recognised by the UGC/AIU.

2.3 The candidate shall have 10 years of Teaching / Research experience after obtaining Ph.D. degree.

2.4 A minimum of 30 research papers for D.Sc. and 20 papers for D.Litt/L.L.D in the UGC listed research journals with high impact factor or highly reputed journals in the area of his/her research. In subjects like Indian Languages, candidate shall have 10 journal articles in the UGC CARE list / SCOPUS / WOS/ Pub Med/SCI journals and 10 books published by reputed publishers. Further, the candidate shall be the first author/corresponding author in these publications.

### **3. Admission and Registration**

3.1 Candidates who are eligible for admission to D.Sc., D.Litt., LL.D degree as per section 2 above shall apply to the University in the prescribed application form in the month of June (1<sup>st</sup> - 31<sup>st</sup> June) every year with required documents along with application and required fee.

3.2 Along with the candidate shall submit five copies of a research note in about 1500 to 3000 words on the proposed theme as per the format given in the application form describing how the already completed research work is original and contributes to the advancement of knowledge, and its applicability to solve societal problem.

3.3 A Research Committee constituted by the Vice-Chancellor consisting of the following members shall scrutinize the applications of the candidates and recommend admission before end of July every year:

- (a) Dean (Research) or Dean (Academic) or Dean (Student)
- (b) Director (Research Schemes & Projects or a Senior Professor in the relevant subject)
- (c) A Subject Expert (Chairman, Board of Studies (BoS) in the concerned subject or a Senior Professor in the relevant subject)
- (d) The committee will evaluate the quality of the publications at the time of scrutiny.

3.4 The candidates whose application is recommended by the Research Committee for admission will be intimated. The admission cum registration shall be completed by August 31.

3.5 The Candidate shall submit the thesis after one year and before two years from the date of admission. An application with progress report of research work shall be submitted seeking extension of time by one year.

Under no

circumstance will extension be granted for more than three years.

3.6 The candidate shall (a) establish that the broad theme of the post-doctoral thesis is a continuation of his/her Ph.D. thesis, (b) however, the contents of the Ph.D. thesis shall not form a part of the post-doctoral thesis, (c) the chapters in the post-doctoral thesis shall be interconnected and not a collection of isolated research papers, (d) the post-doctoral thesis shall not contain any creative writing of the candidate and (e) the post-doctoral thesis should be a narrative of all the research publications tied through a theme and not a fresh research work, but a cumulative presentation of decade(s) of research work that is guided by a common theme or research orientation, with a vision to substantially contribute to the academic literature with fervor to advance the knowledge in the subject / research field.

#### **4. Thesis Format**

4.1 The format of the thesis is same as the one prescribed for the Ph.D. thesis. The certificates of Head of Institution and Supervisor are however, not required for post-doctoral thesis.

4.2 The thesis shall be accompanied by a declaration in the prescribed format signed by the candidate. The candidate shall certify that the thesis is based on the author's original research work and has not previously formed the basis for the award of any Degree such as Masters Degree or Ph.D. Degree, Diploma, Associateship, Fellowship or other similar title. No part of the thesis shall be based on the author's published or unpublished PG, M.Phil. and Ph.D. or any other degree thesis or dissertation or project report and the contents of the thesis are in accordance with the rules specified in paragraph 3.7 in this chapter.

4.3 The candidate shall indicate in the preface of the thesis (a) the gap in the literature and major contemporary contributions in the chosen field of research, (b) explain how this research study is an important addition to the literature in his/her chosen field of research, (c) that all the prescribed research ethics, guidelines and regulations have been followed in the conduct of research and (d) the list of publications that has to be sent for screening as per rule 6.3.

## **5. Submission of Post-doctoral Thesis**

5.1 Six hard copies of the thesis along with a soft copy as prescribed in the application for submission of D.Sc., D.Litt. and L.L.D thesis shall be submitted along with a prescribed fee.

5.2 The post-doctoral thesis shall be submitted along with a hard copy and a soft copy of Ph.D. thesis.

5.3 The candidate shall submit one volume containing (i) copies of the author's published papers/ copies of the books which form the basis of the D.Sc., D.Litt. and L.L.d thesis and (ii) other papers published by the author independently or jointly in the UGC listed journals.

5.4 A certificate of Plagiarism check from the University shall be attached with the thesis.

## **6. Screening and Evaluation of Post-doctoral Thesis**

6.1 Screening is carried out before the evaluation of the post-doctoral thesis.

6.2 The Vice-Chancellor shall ask the Chairperson, BoS-PG to give a list of nine experts to screen the post-doctoral thesis and such experts shall satisfy the following criteria:

(a) For D.Litt, (i) three professors from National Level Research Institutes established by the Union Government, (ii) three professors from Institution of Eminence among Universities and (iii) three professors from Central/State Universities with highest grades in NAAC.

(b) For D.Sc: (i) three professors from National Level Research Institutes established by the Union Government, (ii) three professors from Institution of Eminence among Universities and (iii) three professors from Central/State Universities with highest grades in NAAC.

(c ) For LLD, (i) three Professors of Law from National Law Schools established by the Union Government, (ii) three Professors of Law from Law Schools and Law Universities established by State Governments, and (iii) Professors of Law from Institutions of Eminence or Universities with highest grade in NAAC.

6.3 The copies of the Ph.D. thesis and post-doctoral thesis shall be sent to two experts selected by the Vice Chancellor from the panel of nine experts suggested by the Chairperson, BoS-PG, such that the two are not selected from the same category. The screening committee may be asked to screen the post-doctoral thesis and report that the thesis satisfies the following criteria:

- (a) The theme of the post-doctoral thesis is a continuation or broad theme of the Ph.D. research work submitted by the candidate.
- (b) The contents of the post-doctoral thesis form a coherent volume of research work and not a collection of isolated chapters and creative writing.
- (c) The research publications after obtaining Ph.D. degree are of the standards that could form the basis of the Post-doctoral thesis as described in paragraph 3.6.

6.4 Only if both the experts in the screening panel certify that the post-doctoral thesis and the publications satisfy all the criteria stipulated in paragraph 6.3, is deemed to be qualified for further adjudication process.

6.5 The two experts who were in the screening panel will also be asked to suggest a panel of three foreign professors/researchers and three Indian professors/researchers whose academic credentials reflect their expertise in the specific field of research and suitable to adjudicate the post-doctoral thesis. The experts may justify their choices with a brief note on each of them.

6.6 In the absence of submission of the expert panel by screening committee members, the Vice-Chancellor is authorized to directly write to the Head of renowned Institutions in India and Overseas or the chairperson BoS-PG seeking a panel to evaluate the post-doctoral thesis, specifying the broad theme of the post- doctoral thesis.

6.7 The thesis, together with any other contributions and papers submitted, shall be referred to the Board of three Examiners -Two foreign examiners and one Indian examiner from the panel received as in paragraphs 6.5 or 6.6. The foreign examiners shall not be from the same country and the Indian examiner shall be from outside Tamil Nadu.

6.8 The Examiners will be requested to evaluate the thesis and to either “commended” or “not commended” it for the award of the Degree with a detailed evaluation report. The reports of the thesis shall be sent to the Vice Chancellor.

6.9 The Dean (Research) will be appointed by the Vice-Chancellor as the Convener for consolidating the reports of the three experts, which will be placed before the Syndicate. There shall be no viva-voce examination.

6.10 If all the three experts place the post-doctoral thesis in the category “Commended” and recommended for the award of the post-doctoral degree, then the Syndicate may recommend for the award of the degree based on the consolidated report of the Dean, Research.

6.11 Even if one of the experts does not recommend for the award of the post- doctoral degree for the thesis, then the thesis will be rejected and informed to the candidate. The Registrar with the approval of the Vice Chancellor shall inform the Syndicate once in a year about the list of thesis rejected for the award of post-doctoral degree and the reasons therefor.

6.12 The decisions of the experts in the screening panel and the evaluation panel are final. Review of such decisions is not feasible.

### **Chapter 3**

#### **Eligibility for Research Supervision and Recognition/Affiliation of Research Department/Institutions and Residual Matters**

This chapter deals with eligibility for Research Supervisors and recognition / affiliation to research departments and institutions and all other matters relating to academic research programmes.

##### **1. Eligibility for Research Supervision**

1.1 Professor and Associate / Assistant Professor in the University Department or Affiliated Research Institution shall have at least two years of teaching / research experience in their respective posts after obtaining Ph.D.

1.2 Professors and Associate / Assistant Professors in affiliated colleges should have obtained qualification approval to teach PG programmes and completed two years of PG teaching experience.

1.3 Professors shall have at least five research publications and Associate/Assistant Professors shall have three/two research publications in refereed journals of the relevant discipline/subjects in the UGC CARE list / SCOPUS / WOS/ Pub Med/SCI lists. Such publications should be after the award of the Ph.D. and should not be an outcome of Ph.D. research work.

1.4 A Research Supervisor shall not be permitted to get eligibility for research supervision from other Universities with the exception of centrally funded research institutions like CLRI, CECRI, NITTTR, CSIR, CIPET, etc. However, the research supervisors shall indicate the list of students working in other Universities under their guidance. In any case, the maximum students shall not exceed the UGC norms.

## **2. Eligibility for Research Supervision**

2.1 Only a full time regular teacher of the University Department/Institution /Affiliated College can function as a Supervisor. External Supervisors are not allowed. Co-Supervisor who is a recognized Ph.D. supervisor may be allowed in inter-disciplinary areas from other departments of the same institute or from other related Institutions within the jurisdiction of the University and with the approval of the Research Advisory Committee.

2.2 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

2.3 A Research Supervisor/Co-Supervisor who is a Professor / Principal of an Affiliated Institution and in the rank of a Professor, at any given point of time, cannot supervise more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can supervise up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can supervise up to a maximum of four (4) Ph.D. scholars.

2.4 Research supervisors are permitted one additional candidate above the maximum limit, in order to admit candidates working in their research project funded by the State / Central Government or International Funding Agencies. This is against any future vacancy which may arise when any candidate submits the thesis.

2.5 For Research Institutions: Senior Principal Scientists (Scientist-F)/Chief Scientist (Scientist-G) working in research institutes in the cadre of professor are permitted to supervise 8 (eight) Ph.D. Scholars.

2.6 Associate Professors in Self-financing Colleges / Self-supporting Departments in Aided Colleges with 12 years of teaching experience in UG and PG Degree Programmes and for the Research Institutions the Principal Scientist (Scientist-E-II) will be permitted to supervise 6 (six) scholars as under the cadre Associate Professor.

2.7 Scientist (Scientist-C) / Senior Scientist (Scientist-E-I) in the cadre of Assistant Professor are permitted to supervise 4 (four) Research scholars.

2.8 Ph.D. supervisors are permitted to supervise M. Phil. dissertation also.

2.9 If a recognized Ph.D. Supervisor offers to be a co-supervisor for an inter-disciplinary study, that will not be counted as Ph.D. guidance under

paragraphs 2.2 to 2.8 above. However, the number of candidates under co-guidance be restricted to three.

2.10 A Supervisor shall not supervise his/her immediate or close relative and to this effect he/she shall furnish a declaration in the column provided in the application form for admission.

2.11A Supervisor shall not be permitted to register candidates for Ph.D. in the last two years of his/her service. Since the retirement age varies between types of institutions, it is the responsibility of the Supervisor to recommend admission of doctoral students under his/her supervision two years before his/her retirement. The Head of the Institution should monitor and certify that the research supervisor has more than two years of service before retirement while recommending for ratification of admission of doctoral students.

2.12 Retired teachers are not permitted to supervise under any capacity or positions like Re-employed faculty member in a self-financing Institution, Emeritus, Guest faculty, visiting faculty, etc.

2.13 If a Supervisor is found to be involved in plagiarism, moral turpitude with fraudulent academic accomplishments and other activities prejudicial to the reputation of the University, etc., his/her eligibility for research supervision will be summarily withdrawn without assigning any reason thereof.

### **3 Recognition of Department/Institution for offering Ph.D. Programme**

3.1 Affiliated Colleges may be considered eligible to offer Ph.D. programmes only if they satisfy the availability of two eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.

3.2 Approved University Departments/Centres/ Chairs of the University / Post-graduate Departments of Affiliated Colleges, R&D institutes, Research laboratories of Government of India/State Government recognised by the University within the jurisdiction of the University of Madras with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 3.3, shall be considered eligible to offer Ph.D. programmes. Affiliated Colleges shall additionally have (i) successfully sent out two batches of PG students before applying for recognition, and (ii) the

necessary recognition by the authorities under which they operate to offer Ph.D. programmes.

- 3.3 Affiliated Colleges with adequate facilities for research as mentioned below alone shall offer Ph. D. programmes: (a) In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate rooms for research scholars along with computer facilities and essential software, and uninterrupted power and water supply; (b) Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;

#### **4 Award of Ph.D. Degree**

- 4.1 Ph.D. is awarded in the discipline / subject of the Department in which the candidate is registered for Ph.D. and not in the discipline / subject of the PG Degree of the candidate.
- 4.2 In the case of Inter-disciplinary research study, the Ph.D. is awarded in Department in which the candidate is registered for Ph.D. and the related discipline/subject from which the co-supervisor is employed and not in the discipline/subject of the PG Degree of the candidate.
- 4.3 Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of Ph.D. Degree) Regulation, 2009.
- 4.4 If the Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the concerned Institution for the purpose of determining the equivalence of the degree awarded by the foreign University.

## **5 Depository with Inflibnet**

5.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Affiliated Colleges.

5.2 Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

## **6 Publication of the Thesis**

6.1 A thesis, whether approved or not, shall not be published in full without the permission of the University and the Vice-Chancellor may grant permission for the publication under such conditions as it may impose;

6.2 Provided that a candidate may during the course of his/her research, publish papers in standard and research journals, as advised by his/her Supervisor, but the thesis as a whole shall not be published without obtaining permission of the Syndicate mentioned supra.

6.3 Permission for publication of the whole thesis should be obtained after award of the degree.

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**SENATE MARCH 2021**