

**தமிழ்நாடு திறந்தநிலைப் பல்கலைக்கழகம்**  
**TAMIL NADU OPEN UNIVERSITY**

[Established by Act No.27/2002 of the Government of Tamil Nadu and Accorded with 12-B Status by UGC]

*Revised Ph.D.Regulations based on University Grants Commission (Minimum Standards and Procedure for Award of Ph.D.Degrees) Regulations, 2016 approved by the 11<sup>th</sup> Academic Council and 47<sup>th</sup> Syndicate held on 27<sup>th</sup> February 2019.*

**Ph.D. Regulations - 2019**



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## Ph.D. Regulations - 2019

### 1. INTRODUCTION

Tamil Nadu Open University (TNOU) was established by an Act 27 of the Legislative Assembly of the Government of Tamil Nadu in 2002. As per this Act, the University with its headquarters at Chennai may carry out its academic activities. The TNOU was recognised under 2F and 12-B by the University Grants Commission (UGC), Government of India and also accorded permission to offer both Ph.D. and M.Phil. [both Full-time and Part-time] under regular mode only [vide UGC approval letter F.No. 2-1/2017 (DEB-III/DEB-IV) dated May, 2017].

Also both the degrees viz. Ph.D. and M.Phil. [both Full-time and Part-time] are approved by the Govt of Tamil Nadu for employment purpose [vide G.O. No.355, K2, Higher Education Dept. dated 12-12-2017].

### 2. PREAMBLE

The Degree of **Doctor of Philosophy** (Ph.D) is awarded to a Candidate who has passed prescribed course work and submitted a thesis on the basis of original and independent research work that makes a contribution to the advancement of knowledge in the specific field, which is approved by the Board of Examiners as required.

### 3. ELIGIBILITY FOR Ph.D. PROGRAMME

**3.1.** Candidate willing to register for Ph.D. should have passed a Master Degree or a professional degree declared equivalent to the master degree, in the discipline concerned with not less than 55% of marks. Also the Candidate should have gone through the pattern of

study in 10+2+3+2 pattern or equivalent in that order. These degrees should have been obtained from this University or any other University recognized as equivalent thereto.

**3.2.** A relaxation 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / Differently-Abled and other categories of Candidates as per the decision of the TNOU based on the orders of the UGC and the Government of Tamil Nadu from time to time, or for those who had obtained their Master 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 exact marks without including the grace mark procedures. The applicants shall produce necessary documents in support of their claim.

**3.3.** If the applicants/Candidates have passed their Master's degree in grading system, the Candidate shall produce the equivalent marks or classification for the same from the University concerned and the same may be submitted with the application.

**3.4.** The conditions for admission prescribed under the regulations in respect of the Ph.D. programme should be strictly followed. All Candidates should have passed their PG Degree course as per UGC / AICTE / NCTE / Any Other regulating Body's regulations.

**3.5.** Junior/Senior Research Fellows working in research projects funded by various external agencies of National and State level organizations and executed by the Schools of University / Recognized Research Centres of the affiliated Colleges/ Recognized Research Institutions and those who are working as stipendiary/ non-stipendiary research Scholars are also eligible to register for Ph.D.

**3.6.** Foreign students from abroad may be permitted for admission in either Full-time or Part-time category, if they possess the equivalent eligibility requirements as mentioned in 3.1 and 3.2. They should provide all the pertaining documents whenever/whichever needed by the University. The Candidate should have a prior valid visa for their stay period. The University shall not be responsible for their visa obtaining / extension / change or normal residence. Such Candidates are governed by the rules and regulations of Govt of India.

**3.7.** The individual applicants shall be solely responsible for the genuinity and authenticity of the all the certificates and informations submitted by them.

#### **4. CATEGORIES OF REGISTRATION**

There are two categories of Registration – 1) Full-time and 2) Part-time

**4.1. Full-time:** A Candidate admitted in Full-time shall not be employed in any institution, must dedicate his or her prescribed time to research in the school in which he/she was admitted.

#### **4.2. Part-time**

**4.2.1.** A teacher working in the University / Recognized Research Institution / Higher Education Institution / College / Higher Secondary School/ High School / Polytechnic College within Tamil Nadu and Puducherry is eligible to apply.

Provided teachers from affiliated colleges with two years of total teaching experience and Teachers from Higher Secondary / High Schools and Polytechnic with four years of total teaching experience after the qualifying degree, be allowed to register for Ph.D. (Part-time) programme.

**4.2.2.** A Candidate employed other than as a teacher in a permanent job in a registered firm / Institution, (within the Tamil Nadu and Puducherry) with a minimum of four years of total working experience, after the qualifying degree is also eligible to apply.

**4.2.3.** Research Assistants / Technical Assistants appointed on a permanent basis by the University are eligible to register for Ph.D. programme on Part-time basis after confirmation of service.

**4.2.4.** The applicants should submit the NOC for applying for the research programme and experience certificate issued by their Head of the Institution at the time of submitting the application.

#### **5. DURATION OF RESEARCH**

Ph.D. programme shall be for a minimum duration of Three years and a maximum of Six

years including course work for Full-time. For the Part-time Candidates, minimum duration is four years and a maximum of Six years. The above are the minimum and maximum period of requirements as fixed by the UGC for the Ph.D. programme which may be amended from time to time.

### **5.1. Exemption for M.Phil. degree holders**

Those full-time Candidates who have already acquired their M.Phil. degree in the same discipline (disciplinary) through Regular Mode, at the time of admission itself, may be permitted to submit their thesis after completion of two years, subject to i) recommendations of the Doctoral committee, ii) having earned necessary attendance, iii) other mandatory requirements for the submission of thesis.

## **6. SUBJECT OF RESEARCH**

**6.1. Disciplines of Study:** Ph.D. Programmes under full-time and part-time in the subjects, are offered through the following Schools of Study of the University as amended from time to time.

- (i) School of Social Sciences [SOSS]
- (ii) School of Management Studies [SOMS]
- (iii) School of Education [SOE]
- (iv) School of Humanities [SOH]
- (v) School of Continuing Education [SOCE]
- (vi) School of Science [SOS]
- (vii) School of Computer Science [SOCS]
- (viii) School of Tamil and Cultural Studies [SOTCS]
- (ix) School of Journalism and New Media Studies [SOJNMS]
- (x) School of Politics and Public Administration [SOPPA]
- (xi) School of Criminology and Criminal Justice Administration [SOCCJA]
- (xii) School of History and Tourism Studies [SOHTS]
- (xiii) School of Special Education and Rehabilitation [SOSER]

**6.2.** The Candidate shall register in the chosen subject (at the time of application) which shall be the same as the main branch of knowledge of the Master Degree.

**6.3.** The Candidate with a Master degree in a particular discipline may register for Ph.D. in any other related discipline also, if the topic of research is relevant to the discipline of the Master degree, as certified by the Research Supervisor and the degree shall be awarded as **Ph.D. (inter-disciplinary) only.**

**6.4.** In the case of inter-disciplinary Candidates, the guide shall certify with a detailed justification as submitted by the Candidate (in the prescribed format) to this effect that the subject for research is inter-disciplinary in nature and this certificate shall be produced along with the application for provisional registration. The interdisciplinary research shall be permitted on the specific recommendation of the Supervisors concerned with a Co-Guide from the relevant discipline who shall also be a recognised Supervisor.

**6.5.** The Candidates who have qualified for the Master Degree (with required percentage of marks as mentioned in 3.1) can register in the disciplines of study as mentioned in 6.1 of this regulation.

## **7. ADMISSION**

As per the UGC regulations, the University will normally admit Ph.D. students through an Entrance Test conducted twice a year in January and July sessions and respective admissions will be made accordingly. However, the announcement for the admissions will be given subject to the vacancy condition only. The admission shall be made purely on merit basis: 50% of marks are from the qualifying examination, i.e. PG Degree and another 50% based on entrance test. The Candidate should take the examination only in the subject for which he/she has applied for admission into the Ph.D. programme. The University reserves the rights to advertise/admit or both due to administrative reasons.

### **7.1. Notification**

The University shall notify in advance the information about admission to Ph.D. programme in University's Website and Newspapers. The admission shall be completed according to the schedule of notification.

### **7.2. Entrance test**

For admission into the Ph.D. Programme, an entrance test and interview will be compulsory



for all the eligible applicants which will be conducted at the University Headquarters. The entrance test will comprise of 50 Objective type questions and each question carries one mark.

**7.2.1.** The syllabus of the Entrance test shall comprise of 50% in Research Methodology and 50% in the specific subject of research at the PG level/standard. The Ph.D. applicants must secure at least 50% in the entrance test to become eligible for attending interview and admission into the Ph.D. Programme.

**7.2.2.** To become eligible for admission, in addition to the clause 3.1 and 3.2 mentioned above, i) a Candidate should obtain 50% in the entrance test, and also ii) should obtain 50% in the interview also. Entrance test and interview marks will be added to the qualifying examination marks taken for 50% and the rank list will be prepared accordingly.

**7.2.3.** During the interview the committee shall also consider the following aspects, viz. whether: (i) the Candidate possesses the competence for the proposed research; (ii) the research work can be suitably undertaken at the University (iii) the proposed area of research can contribute to new/additional knowledge.

### **7.3. Exemption for Entrance Test**

The following Candidates are exempted from appearing into the entrance examination.

**7.3.1.** Candidates who have passed UGC - NET-(including JRF)/UGC- CSIR NET (including JRF)/SET/GATE/Teacher Fellowship holder or awarded with any other National Fellowship/Scholarship/passed M.Phil. programme (disciplinary basis) shall be exempted from appearing in the entrance test for the Ph.D. Full-Time/ Part-Time programme.

**7.3.2.** The exemption is permissible only for the subject in which the Candidate has cleared/passed the NET/SET/M.Phil. (disciplinary basis through regular mode only), depending upon the vacancy position. However, these Candidates should appear for the interview.

**7.3.3.** Candidates with Junior/Senior Research Fellowship sanctioned by National/State Level Research Funding Agencies who have been admitted by following the recommended admission procedure after proper notification and selection process as well as appointed in

Research Projects shall be admitted into Ph.D. programme directly as and when the vacancy arises with the Principal Investigator.

**7.3.4.** Candidates who are claiming exemption shall submit all the relevant certificates, which form the basis, along with their application itself. If certificates are not submitted along with the application No Exemption will be given.

#### **7.4. Interview**

Following the entrance test, based on ranking, the qualified Candidates shall be short listed and called for an interview by their respective School. The interview shall carry 10 marks.

#### **7.5. Rank List**

The rank list will be prepared based on the following scheme: (50% weightage to the qualifying PG examination, 40% weightage to the entrance test and 10% weightage to the Interview).

| S.No | Candidate Name | PG Marks<br>50%<br>(A) | Entrance Mark<br>(Max. 50)<br>40%<br>(B) | Interview<br>Mark<br>(Max. 10)<br>10%<br>(c) | Total<br>100%<br>(A+B+C) | Rank |
|------|----------------|------------------------|--|--|--------------------------|------|
|      |                |                        |  |  |                          |      |

#### **7.6. Selection Committee**

The School Selection Committee should comprise of the Head of the School as Convener and two recognized Ph.D. guides in the respective school. If only one guide is available in any school, subject expert[s] shall be nominated by the Vice Chancellor from the other Schools/ neighbouring Higher Education Institutions. At the time of interview, the School Selection Committee shall interact with the Candidate and assess his/her Subject Knowledge, Research Interest/Aptitude and Communication Skills. The ultimate responsibility of admission rests only with the School Selection Committee.

#### **7.7. Allocation of Candidates**

The School Selection Committee shall allot the Candidates to guides, on the basis of the specific area of research preferred by the Candidate and the vacancy available with the guide.

## **8. PROVISIONAL REGISTRATION**

**8.1.** The Candidates selected by the selection committee of Schools concerned will be eligible to get Provisional Registration for Ph.D. [Full-time/Part-time] by submitting filled-in application in the prescribed format with prescribed fee.

**8.2.** A Candidate applying for provisional registration shall furnish all the information *interalia* in the form prescribed together with the fee specified in the Ph.D. Prospectus & Online registration in the University website.

**8.3.** Every applicant who satisfies all the conditions and procedures prescribed shall, after approval by the University, be provisionally registered for the Ph.D. programme.

**8.4.** Provisional Registration for the Ph.D. programme must be applied with all documents by the Candidate within ONE month after getting the admission information from the University. Extension upto 3 months may be given in deserving cases, with the penal fees as decided by the University from time to time.

**8.5.** For inter-disciplinary research, the proposal under inter-disciplinary research should be submitted in the prescribed format duly approved by the Supervisor and forwarded by the Head of the School concerned to the Research Division.

**8.6.** The University shall maintain the list of all the Ph.D. registered students on its website ([www.tnou.ac.in](http://www.tnou.ac.in)) on year-wise basis. The list shall include the name of the registered Candidate, topic of his / her research, name of his / her Supervisor/Co-Supervisor, date of enrolment / registration.

**8.7.** A Scholar provisionally registered for the Ph.D. programme should not register for any UG/PG/M.Phil./Ph.D. Degree programme in any University either through Regular mode or Distance mode. However, the Scholar can register for Certificate/Diploma programmes of one year duration through Distance mode of any University. Simultaneous registration will lead to cancellation of the Ph.D. registration at this University summarily.

## **9. ATTENDANCE**

### **9.1. Full-time**

A Candidate registered on a Full-time basis shall work under continuous supervision for the minimum period of research prescribed after the date of provisional registration and before submission of the thesis in the University. Attendance is compulsory for the Ph.D. Full-time (both Stipendiary and Non stipendiary) Scholars for the minimum period as prescribed in the regulations.

**9.1.1.** A minimum attendance of 80% is required in every year of prescribed research duration for Full-time without which a Candidate will not be allowed to appear for course work examination and Synopsis/Thesis submission. 5% shortage of attendance, is permissible with penalty fee.

**9.1.2.** Those who could not earn the necessary attendance will be permitted to appear for their Term End Examination in the subsequent semester, only after they earn their required attendance.

**9.1.3.** A Casual Leave (CL) of Twelve days per annum is allowed.

**9.1.4.** There is no vacation break for Full-time Scholars.

**9.1.5.** On Other Duty (OD) leave will be sanctioned by the Heads of Schools based on the recommendation of the research Supervisor for attending conferences, workshops and seminars and to undertake data collection.

**9.1.6.** Scholars who wish to undertake academic research related foreign visits should submit application 15 days in advance after duly forwarded by the Head of the School based on the recommendation of the research Supervisor, to obtain permission and NOC from the Registrar.

**9.1.7.** Extra ordinary leave on medical grounds shall be considered and permitted by the Vice Chancellor when it is recommended and forwarded by the research Supervisor and Head of the school. In such circumstances this period of leave shall not be exempted from the minimum period of requirement.

**9.1.8.** Beyond the minimum period, Ph.D. Full-time Scholars may be permitted to take leave of absence and allowed to submit the thesis before the expiry of maximum period as prescribed in these regulations. The Candidates shall pay all the applicable fees including Tuition fees for the Ph.D. programme and shall apply for the extended period.

**9.1.9.** After availing OD, the Scholars shall submit their visit report/presentation certificates and other relevant certificates certified by the Supervisor. The Scholars are individually responsible for their travel, safety and comforts.

## **9.2. Part-time**

**9.2.1.** A Candidate registered on a Part-time in all the subjects except in those involving laboratory works shall work at least for TWO MONTHS in every year of study during the course of research. The Supervisor has to forward the attendance certificate including Bio-metric attendance through the Head of School of the University to the Controller of Examinations/ Research Division.

**9.2.2.** A Candidate, who has been permitted to register on a Part-time basis 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 THREE MONTHS in the Institution directly under Supervisor. If required, the period of residency may be spent in different spells during an academic year in the course of their research.

## **9.3. Conversion of Full-time Registration into Part-time and Vice-Versa**

**9.3.1.** Notwithstanding anything prescribed in these regulations, the University may permit conversion from Full-time to Part-time research in respect of Candidates registered, for valid reasons and subject to satisfying the regulations, rules and conditions in force after completion of course work and one year under Full-time research.

**9.3.2.** Conversion from Part-time to Full-time research is permitted at any point of time for Part-time Scholars.

**9.3.3.** The conversion formula for calculating the minimum period required for the submission of the thesis after conversion from FULL-TIME to PART-TIME and vice versa is as follows;

- (i) From FULL-TIME to PART-TIME: actual period spent as FULL-TIME Scholar shall be taken as period of research in full.
- (ii) From PART-TIME to FULL-TIME: 50% of the period out of total period spent as PART-TIME Scholar shall be taken as period of research for FULL-TIME.

#### **9.4. Withdrawal/Cancellation of Admission/ Registration**

**9.4.1.** At any stage of the research period, if it is observed that the admission given by the University is incorrect, the same will be cancelled by the University at any stage of the Ph.D. Programme.

**9.4.2.** For those Candidates who have not taken the Course Work examination and the Minutes of the meeting of the Doctoral Committee for them are not forwarded to the University for confirmation of provisional registration on completion of TWO year of provisional registration, their registration shall be cancelled for both Full-time and Part-time programmes by the University on completion of 24 months from the date of provisional registration.

**9.4.3.** In case of recommendation for cancellation of the registration by the Supervisor due to shortage of attendance, poor progress of research, proved misconduct etc., the Candidate shall be informed about the grounds on which the registration is being proposed for cancellation.

**9.4.4.** In extraordinary cases, the student may be permitted to withdraw his/her registration on personal grounds etc. If those Candidates' wish to continue his/her research again after a period of time, he/she shall once again appear for the entrance examination through fresh application.

### **10. GUIDELINES FOR RESEARCH SUPERVISOR**

All Full-time and Part-time Candidates registered for Ph.D. shall work under the supervision of a recognised research guide of this University.

## **10.1. Qualifications of a Research Guide**

**10.1.1.** The research guides shall be a permanent fulltime faculty in the cadres of Assistant Professors, Associate Professors and Professors working in various Schools of TNOU and its Regional Centres with two years of service as a faculty member in this University. University reserves the right to award the Guideship.

**10.1.2.** A research guide shall be an active researcher with a Ph.D. as evidenced by at least two publications of their original research work in quality refereed journals or refereed publications.

**10.1.3.** A research guide should have a minimum of one year of service before retirement while a Candidate registers under a Supervisor.

**10.1.4.** Those teachers who have obtained research guideship from a recognised University earlier may also be considered on a case by case basis by a duly constituted scrutiny committee.

## **10.2. Procedure for Recognition of Guides**

**10.2.1.** A teacher shall be permitted to apply for Guideship in only one discipline in which he has been awarded post graduation. He is permitted to guide only in the discipline he has been provided with guideship except in case of interdisciplinary research.

**10.2.2.** If the guide-applicant has obtained his/her Doctorate Degree through an interdisciplinary research, the subject of guideship shall be considered/decided by the Guideship Scrutiny Committee of the University.

**10.2.3.** The prescribed application for recognition as guide by an individual shall be submitted through proper channel along with the Curriculum Vitae, list of research publications in quality refereed journals or refereed publications with photocopies of such publications. The application will be scrutinized by the Guideship Scrutiny Committee constituted for this purpose comprising of Director of Research, Head of the School concerned and two subject experts nominated by the Vice Chancellor. In case of conflict the same may be referred to and the decision of the Research Council of the University shall be final. The report of the committee will be placed before the Syndicate for approval.

**10.2.4.** In case of topics which are of inter-disciplinary nature where the School concerned feels that the expertise in the School has to be supplemented from outside, the School may appoint a Research Supervisor from the School itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the School/ Faculty/ College/ Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges. Retired professor, Emeritus, re-employed persons may not be considered as a Co-Supervisor.

**10.2.5.** Those guides who got the recognition for the Ph.D. shall be deemed to be eligible to guide M.Phil. students in the same discipline in this University.

### **10.3. Tenure of Research Guide**

The recognition given to a researcher as guide shall be valid till his/her retirement. A research Supervisor should have a minimum of one year of existing service before retirement while registering a Candidate under him/her. If, for any reason, the guide takes voluntary retirement from service or leaves the service or moves away from the jurisdiction of the University, his/her guideship shall stand cancelled. However, such guides shall be permitted to complete their commitments to the students already registered.

### **10.4. Number of M.Phil./ Ph.D. Scholars under a Supervisor**

Number of Research Scholars to be allotted to the Research Guides / Supervisors is based on the UGC Regulation.

**10.4.1.** A Research Supervisor/Co-Supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. Scholars.

**10.4.2.** An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. Scholars.

**10.4.3.** An Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. Scholars.



A guide shall not act as a Supervisor for any of his/her close blood relatives. A declaration to this effect has to be submitted while forwarding every application for admission to Ph.D. programme. The number of allotted students is subject to the UGC regulations as amended from time to time.

### **10.5. Responsibilities of Supervisors**

The Supervisor carries the major responsibility of guiding the academic progress of the Candidate through the period of study.

- i) He/she counsels the Scholar in academic matters, provides guidance on the nature of course work and research, standards required, progress of research and quality of work by devoting exclusive time for them.
- ii) Maintaining the copies of all records of the reports/minutes of the Doctoral committee.
- iii) To ensure the periodical conduct of the mandatory meetings.
- iv) To ensure successful and timely completion of the programme,

### **10.6. Withdrawal of Guideship Recognition**

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

### **10.7. Change of Supervisors and Transfer of Scholars**

Normally, the request for change of Research Supervisors shall not be permitted as a routine. However, in deserving cases it may be considered as follows:

**10.7.1.** Transfer of Ph.D. Scholars from one Supervisor to another Supervisor can be effected, with mutual willingness given by both the present and proposed Supervisors.

**10.7.2.** The Head of the School shall consider the Ph.D. Scholar's complaints relating to Ph.D. Supervisors and requests for transfer of Supervisor and resolve the issue amicably referring to Internal Research Advisory Committee. Change of Supervisor shall be informed to the University for approval within one month.

**10.7.3.** In the case of change of Supervisor or transfer of Candidates is proposed without the

consent of any one of the parties (either Candidate or Supervisor) concerned, or complaints against the Supervisor, the matter shall be referred to the Internal Research Advisory Committee to take a decision on such matters.

**10.7.4.** The Supervisors who wish to avail leave/lien/deputation beyond a period of SIX MONTHS shall nominate a Supervisor in the School or Head of the School based on the concerned subject of the Candidates for the period of absence and should get approval from the University well in advance.

In exceptional cases, the request of the Scholar for the change of Supervisor without No Objection Certificate from the Supervisor can be considered by the Research Council for the same.

## **11. COURSE WORK EXAMINATION AND EVALUATION**

**11.1.** Every Candidate provisionally registered for the Ph.D. programme shall undergo course work in the first year (First–Second semesters – in case of Full-time Candidates and Third-Fourth semesters for the Part-time Candidates) for confirmation of registration. The course work consists of the following:

|                 |   |   |
|-----------------|---|---|
| Course Work I   | : | Research Methodology (4 Credits)                                    |
| Course Work II  | : | An advanced paper in the subject concerned (6 Credits)              |
| Course Work III | : | Background Paper related to the Candidate's Ph.D. work (6 Credits). |

The School can recommend courses (as approved by the Board of Studies) for the course works I & II. In such cases, the Ph.D. Candidates will be offered course works by the School concerned. For the course work III, the Doctoral Committee shall frame the syllabus for approval. The courses offered for M.Phil. programmes can also be recommended for the requirement of Course Work I & II. All the course work examinations shall be conducted by the Controller of Examinations.

The examination regulations governing the PG programmes of this University shall be applicable to the Ph.D. course works also. The Controller of examinations shall communicate the final result/grades of the course work completion to the Scholar and School.

## **11.2. Confirmation of Provisional Registration**

Results/Grades in the course work, shall be considered by the Doctoral Committee for recommending the confirmation of provisional registration and continue with the research work.

## **11.3. Exemption from Course work**

Candidates who possess M.Phil. degree/ PG Diploma in Research Methodology (not below One year duration offered by TNOU or any other recognised University) qualifications in the same subject (disciplinary) only are eligible for getting exemption from undergoing the Course Work of all the three papers.

**11.4.** All the Candidates should give atleast TWO seminars periodically in the general field and topics of his/her research work. The same shall be certified by the Supervisor and Head of the school. Alternatively, it can be the participation of the Candidate in National/ International Seminar/conference. Subject to their performance in the first year of research, the respective DC can recommend for the confirmation of their registration.

Candidates who are claiming any exemption shall submit all the relevant certificates, which form the basis, along with their application itself. If certificates are not submitted along with the application No Exemption will be given.

**11.5.** A Ph.D. Scholar (except the exempted category) has to obtain a minimum of 55% 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 works in order to become eligible to continue in the programme and submit the Ph.D. thesis.

## **12. DOCTORAL COMMITTEE AND ITS FUNCTIONS**

**12.1.** There shall be a Doctoral Committee (DC), for each Ph.D. Scholar. The Research Supervisor of the Scholar shall be the Convener of this Committee. Two subject experts [one may be the Head of the school concerned and another Member may be the Co-Guide if applicable] in the discipline of the Candidate shall be nominated by the Vice Chancellor. One of the DC members shall be from the Schools of this University and other member may be a subject expert from neighbouring institutions. The Head of the School shall be a Member of

the DC as a subject expert, but in case he/she belongs to different subject the Head may act as the ex-officio member of the DC where the remaining two shall be subject experts. All DC members shall be recognised guides and shall be in service in their respective institutions. Retired professors, Emeritus, re-employed persons may not be considered for this purpose.

***This Committee shall have the following responsibilities:***

**12.2.** i) To review the research proposal and finalize the topic of research; ii) To guide the research Scholar to develop the study design and methodology of research; iii) To identify the course works that he/she may have to do; iv) To periodically review and assist in the progress of the research work of the research Scholar and v) To permit extension for the period of research in deserving cases without deviating the appropriate clauses in the regulations.

**12.3. The first DC meeting**, which may be conducted within six months from the provisional registration, will finalise the broad area of research and prescribe the course works for the Candidate.

**12.4. The second DC meeting** will approve the results for course work and the topic of research as well as recommend for Confirmation of Provisional Registration.

**12.5. The third DC meeting** shall review the research work done by the Candidate including presentations in seminars and conferences, publications in UGC approved journals and quantum of work.

**12.6. The fourth DC meeting** shall review the suitability for submission of the thesis at the Pre Ph.D-submission presentation.

**12.7. Change of Title:** Change of title shall be permitted only one time, when the required change is of a minor nature as recommended by the Doctoral Committee. In such cases the research work shall be in the same area of the research. Requisition for a change of title shall be submitted at least 3 months prior to the submission of the Synopsis.

### **13. PROGRESS REPORT**

**13.1.** Every Ph.D. Scholar shall submit a progress report for every six months through the Supervisor in the prescribed format.

The Ph.D. Scholar shall submit a consolidated progress report in every DC meeting for its approval.

In the case of deficiency of attendance of the research Scholar and or unsatisfactory progress of the research Scholar, the Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the research Scholar fails to implement these corrective measures, the research Supervisor shall recommend to the University with specific reasons for cancellation of the registration of the research Scholar.

#### **14. PRE Ph.D.-SUBMISSION PRESENTATION**

After the successful conduct of the third DC meeting, the Ph.D. Scholar shall present the research work in the School concerned as a Pre. Ph.D.-submission Presentation. The Pre Ph.D.-submission presentation shall be presented before the Head of the School, Supervisor, Faculties and research Scholars of the concerned school. The notification for Pre Ph.D.-submission presentation shall be issued by the Research Supervisor. The minutes of the Pre Ph.D.-submission Presentation prepared by the Supervisor shall be countersigned by the Head of the School and submitted to the Research Division. In case of any suggestions for corrections/ modifications, the certificate from Supervisor indicating that the modifications have been carried out, to be submitted at the time of synopsis submission.

#### **15. SYNOPSIS SUBMISSION**

**15.1.** After the completion of minimum period of research, every Candidate shall submit a Synopsis of the thesis before the submission of the main Thesis. The Synopsis shall be in **10 to 20 pages of A4 size paper** typed in 1.5 line spacing using a legible font such as **“Times New Roman style - 13 points (for English) and Unicode style – 13 points (for Tamil)”**. Figures and tables may be included if considered absolutely necessary.

**15.2.** The components of the synopsis shall be as follows:

- (i) Title of the thesis
- (ii) Introduction of the research topic
- (iii) Problem, objectives and scope of research work
- (iv) Sample of the study/data collection methods/ materials and methods
- (v) Results and discussion,
- (vi) Conclusion and references
- (vii) Evidence of publications

**15.3.** Six hard copies of the synopsis of the thesis, duly signed by the Candidate and forwarded by the guide through proper channel, along with an electronic copy in portable document format (*pdf*) written in a CD with due label, shall be submitted to the office of the Controller of Examinations with panel members for adjudication.

**15.3.1.** The Candidate shall present at least two papers in relevant Regional/National/International seminars and conferences during the period of research. The relevancy shall be certified by the Supervisor.

**15.3.2.** The Candidate should publish at least ONE paper in refereed journals with ISSN to become eligible to submit the synopsis.

**15.4.** The following documents shall be enclosed with the Synopsis submission Form:

- a) A Copy of letter of confirmation of registration.
- b) The original certificates of evidence for the presentation of two papers in seminars and publication details in Journals as well as minutes of Pre. Ph.D-submission presentation.
- c) All other certificates mentioned in the Checklist as prescribed by the University from time to time.

**15.5.** The Candidate shall submit his/her thesis only after expiry of Three months from the date of submission of synopsis but before Six months of the synopsis submission.

**15.6** Along with the synopsis the Supervisor shall submit a panel of Adjudicators

## **16. THESIS SUBMISSION FORMAT**

- a) Five hard copies of thesis shall be submitted after Pre-submission Presentation and Synopsis submission. Five hard copies of the thesis and a soft copy of the thesis shall be submitted. The hard copy shall be in ***A4 size on A4 executive bond paper.***
- b) The thesis may be printed in 1.5 line spacing on one side of the paper, using “***Times New Roman style - 13 points (for English) and Unicode style – 13 points (for Tamil)***”.
- c) The thesis shall not exceed 250 pages excluding Appendices and Reference. The soft copies (two) shall be exact replica of the printed version of the thesis in portable

document format (**pdf**) and **Word Format** along with the required fonts for other than English language. The thesis shall be soft binded one.

- d) The Ph.D. thesis in all subjects shall be submitted in English, except in Tamil and Indian language subjects where the thesis shall be in that language only.
- e) The Candidates submitting Ph.D. thesis in subjects other than English languages, if desirous of submitting in Tamil, with the approval of the Supervisor should obtain prior permission well in advance from the authorities and submit the synopsis in English version also in addition to the Tamil version.
- f) Cover page of Thesis is must as like in the form attached.

## **17. PLAGIARISM CHECK**

As per UGC mandatory requirements, every thesis needs to undergo Plagiarism Check with the facility provided in the University Library, and a certificate from the Librarian/ Asst.Librarian countersigned by the Supervisor, needs to be produced to the effect that there is Plagiarism within permissible limits in the thesis. It shall be done before the submission of thesis and the same may be attached with the thesis.

The Candidates shall submit soft copies (two) which shall be exact replica of the printed version of the thesis in portable document format (**pdf**) and **Word Format** along with the required fonts in Compact Disc (CD).

### **17.1. Level of Plagiarism in Thesis**

Plagiarism check for the content of the chapters may be done as per the UGC Notification i.e. University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 23<sup>rd</sup> July, 2018 as applicable from time to time.

10% and below : Thesis accepted.

Above 10%- below 40% : Thesis can be re-submitted within 6 months from date of Plagiarism check, after correction.

|                  |   |   |
|------------------|---|---|
| Above 40% to 60% | : | Thesis rejected. To be resubmitted after extensive revision after one year from date of plagiarism check. |
| Above 60%        | : | The registration for the programme shall be cancelled.  |

## **18. EVALUATION OF THE THESIS**

**18.1.** Along with the submission of Synopsis, the Supervisor shall submit a panel of Nine adjudicators containing Three from the *Outside the Country (excluding the experts who are on short term employment in abroad)*, Three from *Outside the State category* and Three from the *Within the State category* of Tamil Nadu including Puducherry (preferably from Chennai).

**18.2.** In the case of Tamil and other Indian Languages, adjudication by a foreign examiner may be optional and the same may be adjudicated by an Examiner from *outside the state category (of which Three from North India and Three from South India)*.

**18.3.** There shall be Three adjudicators of which one will be the Supervisor, while the remaining will be External examiners. The Panel of adjudicators shall be experts in the respective discipline.

**18.4.** The Supervisor shall submit short Curriculum Vitae including recent publications of all the panellists.

**18.5.** The panel suggested for appointment as examiners should hold a Ph.D. degree with 10 years research/ teaching experience at the Post-Graduate level in recognised research institutions/universities/colleges with research publications in standard National and International refereed research journals with ISSN/ISBN to their credit and also a recognised Ph.D. Supervisor and having guided Ph.D. Scholars.

**18.6.** Close or immediate relative of the Candidate/Supervisor shall NOT be appointed as examiners.

**18.7.** The Vice Chancellor shall nominate the adjudicators, one each among the panellists of the three categories (one examiner within Chennai to conduct the Viva-voce examination).



**18.8.** Every adjudicator is expected to give a detailed report on the Thesis apart from the duly filled in proforma for adjudication in the prescribed format, shall declare the results in the following format:

- a) Recommended – **Highly Commended;**
- b) Recommended – **Commended;**
- c) Recommended – **Minor Revision** before *Viva-voce*;
- d) Resubmission – **Major Revision ;**
- e) Not Recommended – **Rejected**

In the case of ‘a’ and ‘b’ verdict, Viva-voce shall be conducted.

**18.9.** In case of minor revision/correction, the same shall be executed and certified by the Supervisor before the conduct of Viva-voce. The Viva-voce examiner shall also certify the corrections carried out.

**18.10.** In case of major revision, the Candidate shall resubmit the thesis on the basis of comments and the resubmitted thesis has to be certified by the Supervisor and sent to the same adjudicator for re-evaluation. Final adjudication result shall be declared as per the above norms.

**18.11.** In case the expression of inability by the adjudicator who suggested major revision / correction, the thesis shall be referred to fourth adjudicator of the same category from among the panellist submitted earlier.

**18.12.** In case of one adjudicator not recommending the thesis for the award of the degree, a Fourth examiner of the same category shall be nominated for adjudication and the final result shall be declared accordingly. The decision of the fourth examiner shall be final.

**18.13.** In case of both the adjudicators not recommending the thesis, the Ph.D. thesis submitted is rejected and the registration stands cancelled.

**18.14.** Upon completion of the adjudication process, the University shall declare the same. Once the declaration is positive, the conduct of Viva-voce examination shall be notified by the University.

**18.15.** Supervisor shall not correspond with the examiners under any circumstances while the thesis is in the evaluation process. Any violation will lead to debarring the faculty member from guiding Ph.D. thesis and face disciplinary action. Similarly, any attempt by the student to contact the examiners will lead to withholding/withdrawal of degree.

## **19. THE PUBLIC VIVA-VOCE**

**19.1.** The public Viva-voce examination shall be conducted by a board consisting of the Supervisor [who will also be the convenor of the Viva-voce board] and the external examiner [within Chennai]. The co-Supervisor shall be the part of Viva-voce board.

**19.2.** In case the external examiner expresses his/her inability, the Vice Chancellor shall nominate another External Examiner for Viva-voce examination from the panellists. In case of the Supervisor being unavailable in case of exigency, the Vice Chancellor may nominate a faculty member (who is an recognised Supervisor) from the School in the place of the Supervisor to conduct the Viva-voce proceedings.

**19.3.** If a Candidate could not successfully defend the thesis in the Viva-voce examination, the Candidate is permitted to reappear once, for the public Viva-voce examination to be re-conducted after three months and within six months. No Candidate shall be permitted to appear for the viva-voce examinations for more than TWO occasions.

**19.4.** A Candidate who fails to satisfy the viva-voce board for the second time will have his/her thesis finally rejected. The viva-voce examination shall be conducted only on a working day (including the vacation period) and during the working hours, within the premises of University.

**19.5.** The Supervisor in consultation with the Head of the School & External Examiner, shall fix the venue, time for the examination and a public notice be issued to all the Schools as possible.

**19.6.** The copy of the notice shall also be displayed in the School and Library notice board 15 days in advance of the date of the viva-voce examination. A copy of the thesis shall be made available to the public at the School/Library for perusal, at least 15 working days prior to the date of the viva-voce examination.

**19.7.** During the viva-voce examination, the student shall present the thesis within a limited period of time, indicating its relevance/importance, methodology, limitations and the findings/ discoveries /inventions etc. After the presentation by the Candidate, the External Examiner shall raise his/her questions or the clarifications needed. Then the Examiner shall raise the questions raised by the other examiners seeking the responses from the Candidate. Then the audience may also be permitted to participate seeking clarifications. After the defences by the Candidate, the report to this effect with recommendation may be forwarded.

**19.8.** During the public viva-voce examination, the attendance of participants is compulsory. Not less 25 participants are required during viva-voce examination.

**19.9.** After the viva-voce examination, the Evaluation reports including recommendation of the Examiners shall be consolidated and submitted to the Controller of Examinations with the list of attendees with their name, designation, address and signatures.

**19.10.** After successful completion of the Viva-voce examination, the University shall declare the results after obtaining approval from the Vice Chancellor, and it shall be approved / ratified in the Syndicate. The date of Viva-voce shall be reckoned as the date of award of Ph.D. degree.

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

## **20. RESUBMISSION OF THE THESIS**

**20.1.** A Candidate whose thesis is **Not-Recommended**, the Scholar may be permitted to resubmit it on a second occasion after a period of one year from the date of declaration of the first result with a specific statement from the Candidate and the Supervisor about the additional research work conducted and the revision done in the thesis.

Before resubmission of the thesis, the suitability for the same shall be decided by a three member committee including School Head, the Supervisor and one external member nominated by the Vice Chancellor. Based on the recommendation of the committee the resubmitted thesis shall be construed as fresh thesis for evaluation. The resubmitted thesis may be sent to the same Adjudicator for evaluation.

**20.2.** No Candidate shall be permitted to resubmit the thesis more than once.

## **21. DEPOSITORY WITH INFLIBNET**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University 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.

## **22. FORMAT OF THE DEGREE**

- 1) Ph.D. for the Candidate will be awarded in the same subject of post-graduation which formed the basis for his/her admission to the Ph.D. programme.
- 2) In case of multiple discipline eligibility for a particular subject, the degree will be issued in the PG degree+..... [Subject of Doctoral research]- Interdisciplinary.
- 3) The degree to be issued in the convocation shall contain the following details.
  - (i) Name of the Faculty i.e. Faculty of Arts, Science, Commerce and Management [in which the subject of study comes under based on eligible the PG degree]
  - (ii) Subject of Doctoral Research (as quoted in 1, & 2 above)
  - (iii) Name of the Candidate
  - (iv) Title of the thesis
  - (v) Any other updations as applicable from time to time.

## **23. PUBLICATION OF THE THESIS**

**23.1.** A thesis, after the viva-voce approval, can be published in full only with the permission of the University and the Vice-chancellor may grant permission for the publication under such conditions as it may impose;

**23.2.** Provided that a Candidate during the course of his/her research, may 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.

**23.3.** Permission for publication of the thesis should be obtained from the authorities after the award of the degree.

**24. MISCELLANEOUS INSTRUCTIONS TO THE SCHOLARS**

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

**24.2.** With regard to a Candidate proposing to work on public issue/Government policy/functioning, it is mandatory that the Candidate shall obtain necessary permission from the authorities of the concerned Department/Institution on which the research was intended, before provisional registration.

**24.3.** Suggestions/Permission/Details maintaining regarding Reserach Proposals of Faculties/Scholars for getting research grants is under the control of Planning and Development Cell.

**24.4.** The existing Scholars i.e., those who were already admitted to the research programme in various subjects under the earlier regulations, shall be brought under the new regulations.

**25.** Any legal dispute is to fall within the legal jurisdiction of Chennai only.

**26.** All the arbitration/disputes will be finalized by the Vice Chancellor only.

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