Dr. Rammanohar Lohia Avadh University, Ayodhya (U.P.) -224001

(NAAC Accredited "B")



Ph.D. Ordinance 2021

GOVERNING THE AWARD
OF THE DEGREE OF
DOCTOR OF PHILOSOPHY (Ph.D.)
(2021)

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I.INTRODUCTION	
I.A	This ordinance of Dr. Rammanohar Lohia Avadh University, Ayodhya (U.P.) shall be known as Doctor of Philosophy (Ph.D.) Ordinances, 2021 with effect from the date of its approval by the Hon'ble Chancellor of Dr. Rammanohar Lohia Avadh University, Ayodhya. This ordinance shall integrate and cover all the provisions made by the University Grants Commission (Minimum standards and procedures for the award of M.Phil. / Ph.D. degrees) regulations, 2016 following its subsequent amendments as on dates August 27, 2018 & October 16, 2018.

II. Short Title, Application and Commencement	
II.A	This ordinance shall be known as Doctor of Philosophy (Ph.D.) Degree Ordinance 2021 of Dr. Rammanohar Lohia Avadh University, Ayodhya, UP.
II.B	Dr. Rammanohar Lohia Avadh University Ayodhya (Here in after referred to as the University) would consider the admission to the Ph.D. program in the Faculties / Institutes / Departments established as per the statutes of this University.
II.C	The ordinance shall come into force from the academic session 2021-22,
II.D	Candidates registered for Ph.D. program before the promulgation of this ordinance would be governed by the earlier ordinances.

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	III. Eligibility Criterion for Admission to Ph.D. Program	
III.A	Candidates seeking admission to Ph.D. program must possess at least 55% marks in Master's degree / a degree declared equivalent to the Master's degree by the equivalence committee of the University 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) or completed M.Phil. or an equivalent degree from a foreign educational institution accredited by an approved assessment and accreditation agency, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of Educational Institutions.	
III.B	Candidates belonging to SC/ST/OBC (Non-Creamy Layer)/Differently-Abled will be given a relaxation of 5% marks in Master's degree or an equivalent relaxation of grade whatever is applicable.	
III.C	Admission to the Ph.D. program will be allowed in those subjects in which regular programs are being offered by the University. The degree would be awarded in the subjects in which the candidate is admitted. Interdisciplinary research may be encouraged by respective departments by taking Co-Supervisors from other relevant disciplines.	
III.D	Research will also be encouraged in allied disciplines. The allied disciplines wherever applicable will be decided by the DRC (Departmental Research Committee). A candidate with Post-Graduate (PG) degree can opt for taking admission in allied disciplines. However, in such cases he/she will be awarded Ph.D. degree in the subject in which he/she has completed his/her PG along with the name of the allied discipline department. Only twenty percent of seats will be made available for research in allied disciplines. If no candidates of allied disciplines are available then seats may be filled normally.	

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	IV. Procedure for Admission
IV.A	The admission to Ph.D. program (Full Time mode) would be through a common entrance test conducted by this university and held once every year. In case of Part Time, it will be done as mentioned in Section IV, Pt. 3 of this ordinance.
IV.B	The admission notification shall be advertised by the university on its website and through advertisement in national newspapers.
IV.C	The admission notification shall clearly state the number of vacant seats available for each subject / discipline, criterion for admission, procedure of admission and other relevant information.
IV.D	The Ph.D. program in the department shall be classified as under. 1. Full Time Ph.D. Program 2. Part Time Ph.D. Program
IV.E	Part Time Ph.D. program will be super numeric. Only one part time research scholar will be allowed to enroll under a faculty member at a time. Subsequent allotment of student is allowed only after the submission of thesis of the student already enrolled for Part Time Ph.D.
IV.F	Candidate enrolled for Ph.D. program shall not be permitted to take admission in any other regular degree program till the award of the Ph.D. Degree.
IV.G	1. The candidates who have qualified JRF/NET/UP-SLET examinations are exempted from the written test conducted by the university. Any teacher employed in the university / affiliated colleges are also exempted from the common entrance test if he /she wishes to take Ph.D. program in Full Time mode while other terms and conditions will be same as for candidates seeking admission normally through common entrance test. However, any candidate seeking exemption from the written test is also eligible and entitled to appear in the examination so as to improve his/her merit. In such cases score card of JRF/NET will not be considered. 2. All candidates excluding IV.G (Pt. 1) have to appear in the common
	2. All candidates excluding IV.G (Pt. 1) have to appear in the common entrance test and secure a minimum qualifying mark as decided by the

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admission committee of Ph.D. entrance test from time to time.

- 3. Candidates who qualify the common entrance test as well as candidates exempted from the common entrance test will have to appear in interview/ viva-voce.
- 4. Foreign national whether self-financing or scholarship holder who is admitted through the embassy / high commission of his / her country or admitted under an MoU with the foreign institutions shall be exempted from common entrance test and interview/ viva voce.
- 5. The final selection of the candidate for Ph.D. shall be based on the 70% weightage to common entrance test and 30% weightage to performance in the interview/ viva Voce. Those candidates seeking exemption from common entrance test will be awarded the minimum qualifying marks of the common entrance test to be eligible for interview / viva voce.
- 6. The written test shall consist of 30% questions of Research Methodology and 70% questions related to the subject.
- 7. A Candidate is required to secure at least 50% marks in the common entrance test for Ph.D. A relaxation of 5% is applicable for candidates belonging to SC/ST/OBC. Reservation for teachers/ employees of university/ affiliated colleges will be as per the existing university rules.
- 8. The candidate(s) qualifying the common entrance test will have to appear in an interview/ viva-voce as decided by the admission committee. The interview / viva voce panel will comprise of Convenor, an external expert and one or two internal experts of the subject as nominated by the Vice Chancellor. The interview board will award marks as suggested in **Annexure A**. All the members of the interview board shall have equal share in the marking pattern.
- 9. The final merit for admission to the Ph.D. program shall be as follows.

Total Marks= Score card of JRF/NET (in cases seeking exemption) or marks obtained in common entrance test or the qualifying marks for teacher as candidate + Marks secured in Interview /Viva -Voce performance. This may be applicable as such or may be modified as suggested by the Examination Committee of the university.

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IV.H Conditions for Admission in Part Time Ph.D. Program 1. There will be a separate application for Part Time Ph.D. programme. 2. Only In-service teachers of this university / affiliated colleges are eligible for Part Time Ph.D. program. 3. The final selection of the candidates for the Part Time Ph.D. program shall be based on separate criteria. A weightage of 70% shall be given to a write up of 1000 words which will be submitted by the applicant and 30% weightage will comprise of work experience, academic index and performance in the interview/viva voce. Vice Chancellor.

4. Based on the result of the above selection criteria, DRC shall be required to propose the names of such scholars (a maximum of three times the declared number of seats) and seek final approval of the

5. Any matter related to Part Time Ph.D. where the ordinances are silent or unclear shall be decided by the Vice Chancellor.

V. Full Time Ph.D. Program

V.A	Research Scholars in full time Ph.D. program will not accept any other
	paid assignment except the research fellowship and research assistance
	ship during the tenure of the research. Full time Ph.D. scholars will be
	considered as regular students of the University irrespective of whether
	the supervisor is from university or affiliated colleges.

Candidates enrolled for Ph.D. program may complete their course work V.B from any center allotted by the university. The attendance of such candidates will be verified from the center at which he/she is doing the course work. For the remaining period of the program their attendance at respective parent institution or the respective department of the university as applicable will be acceptable.

Those candidates who are working in any project at any research institute/ V.B.1 university / organizations/ any such non degree awarding institution and have published two research papers in standard journals (Scopus / Web of Science / UGC care list) can directly apply for Ph.D. programme in relevant subject / department. They will be allowed to carry on their work

in the same project. However, such candidates will have an Internal Supervisor from this university and an External Supervisor from the place where project is being implemented. Other conditions for obtaining the Ph.D. degree will remain same as mentioned in the ordinance.

V.C | Duration of the Program

- 1. The Ph.D. program shall be for the minimum period of **Three Years** residential period which will include the course work. The maximum duration for completion of Ph.D. program will be **Six Years**.
- In cases were student enrolled for Ph.D. program happens to get appointed in job, he / she may opt for temporary withdrawal to a maximum of **Three years**. The candidate may avail this facility by submitting an application duly recommended and forwarded by the Supervisor to the convenor of DRC.
- The minimum duration shall be counted from the date of deposition Registration fee (first fee) for the Ph.D. program till the date of the submission of the thesis.
- 4. If the candidate is not successful in passing the course work in the first attempt, then this Six-year duration would come into effect. The candidate will deposit only the examination fee for reappearing in the course work examination.
- A candidate may clear the course work in a maximum of two attempts failing which he/she has to seek fresh admission through proper channel.
- 6. The Vice Chancellor may grant further extension of One year after the completion of Six years for submission of thesis. In such cases the candidate has to submit an application giving reasons due to which he/she could not submit the thesis. Such applications should be duly forwarded and recommended by the supervisor, the departmental research committee (DRC) and the Dean of the Faculty. Any further extension will be the prerogative of the Vice Chancellor.

VI. Part Time Ph.D.

VI.A

Part Time Ph.D. will be allowed provided all the conditions mentioned in the Ph.D. ordinance are met and applicable as and where required. A candidate shall be considered as a Part Time research scholar if he/she is employed and has submitted an NOC (No-objection Certificate)

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	form the head of the institution / organization where he / she is employed. Teacher(s) affiliated to this university can apply with an NOC from the Principal of the College.
VI.B	The part time research scholar shall stay at the place of research work for a minimum of twelve days in a year (residence period) for discussion and apprising progress report to the supervisor / co-supervisor.
VI.C	Part Time Ph.D. scholar will not be eligible for any fellowship/ scholarship from any source. However, the teacher of this university / affiliated college admitted in part time Ph.D. program may continue to receive salary from the department / college as applicable.
VI.D	The time duration of Part Time Ph.D. program shall be for a minimum of Three years and the maximum of Eight years . Further extension will be at the sole discretion of the Vice Chancellor.
VI.E	A teacher serving in this university / affiliated colleges will be eligible to enroll for Ph.D. program under Part Time mode after completion of probationary period or has completed at least one year of service. Other than the teacher of university and affiliated colleges, the candidate is required to have at least three years of continuous service experience in recognized educational institutions, Union Government: State Government(s), Armed Forces; PSUs or corporations listed in BSE or NSE. The candidate is required to submit a certificate in this regard to the concerned DRC.
	VII. Allocation of Research Supervisor (Full Time & Part Time Ph.D. Program)
VII. A	Eligibility Criterion to be a Research Supervisor/ Co Supervisor (Also referred to as Guide/ Co-Guide)
	 Any regular professor of the university having at least 08 (eight) research publications in refereed journals/ peer reviewed /UGC approved journals and regular Associate Professors and Assistant Professors of the University/ Colleges with a Ph.D. degree having at least 06 and 02 research publications, respectively in refereed / Peer Reviewed / UGC Journals shall be recognized as a research

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- supervisor/ guide provided conditions mentioned elsewhere in this ordinance are fulfilled.
- In areas/ disciplines where there is none or only a limited number
 of refereed / peer reviewed / UGC approved journals; the Vice
 Chancellor may relax the above condition for recognition of a
 person as research supervisor with reasons recorded in writing.
- 3. At least 50% of the relevant research publications (mentioned in section VII A Pt. no.1) of professors at all level (Professor / Associate / Assistant Professor) to be considered for granting permission of Supervisor must be either as first author or corresponding author.
- 4. Any person who is appointed as Professor/ Associate/Assistant professor shall submit relevant publication details to the DRC for consideration as supervisor and also for the allotment of Ph.D. seats for the first time. However, professors at different levels already supervising Ph.D. will be deemed to be possessing necessary eligibility.
- Newly appointed Professors at all levels may be allowed to register Ph.D. scholars under their supervision after the successful completion of their probationary period. However, other eligibility criterion will remain the same.
- For interdisciplinary research areas Co-Supervisor may be allowed by the DRC from other Departments/ Universities/ Institutions/ Organizations /Industries with R&D / Quality Control setup.
- 7. Professors at all levels can be co-supervisor/co-guide of other universities / institutions / organizations if they are approved supervisors of the serving institutions. An NOC for the same may be issued by the Registrar or any competent authority directly.

VII. B Allocation of Research Supervisor

- The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC based on the following Criteria:
 - 1.1.No. of Scholars working under a research supervisor.
 - 1.2. Available vacancy per research supervisor.
 - 1.3. Available specialization among the supervisors.
 - 1.4.Common research interest of the scholar and the supervisor as

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indicated by them with mutual consent.

A supervisor shall not be allowed to supervise a candidate who
is a relative whether by blood, adoption or by marriage. In this
ordinance "relative" means the relations provided in the explanation
to section 20 of the U.P. State Universities Act, 1973.

VII. C Number of Ph.D. Scholar Per Supervisor

- A research supervisor who is a professor at the any given point of time cannot guide more than 8 (Eight) Ph.D. Scholars. An Associate Professor as a research supervisor can guide up to a maximum of 6 (Six) and an Assistant Professor can guide up to a maximum of 4(Four) Ph.D. scholars. This limit is applicable even for co-supervisors. Ph.D. seats of lateral entries will be supernumerary.
- New supervisors shall declare their seats in a phased manner (e.g., 50% seats in first year and rest of the seats in next consecutive years).
- Admitted part time students will be in the nature of super numerary category and will not be counted for the purpose of the above maximum number of seats for different levels of faculty.
- A co-supervisor cannot be below the rank and grade of an Assistant Professor.
- DST-INSPIRE faculty/UGC Recharge faculty/ Ramalinga Swamy PDF/ Ramanujam PDF (as per the govt. of India guidelines) working in this university or other universities/ institutions/organizations shall also be eligible as co-supervisor.
- 6. In case of relocation of a Ph.D. female scholar due to marriage or otherwise the research data shall be allowed to be transferred to the university to which the scholar intends to relocate provided all the other conditions in these regulations are followed in toto and the research work pertains to the project secured by the parent department /University. The scholar will however, give due credit to the parent guide and the University for the part of research already done.
- 7. A faculty member who has less than one year of service before superannuation cannot be allowed to enroll any new/ fresh research scholar. However, he / she can continue to be the supervisor of already registered candidates even after the superannuation provided the DRC is convinced of his / her

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- availability for continued guidance to the candidate.
- 8. The teacher of the University/Colleges, who are themselves enrolled as Ph.D. scholars in this University or in any other institute/ University cannot act as Ph.D. supervisor/co-supervisor.
- 9. If the supervisor of a candidate proceeds on lien / leave / deputation for more than 12(Twelve) months or he / she proceeds on leave for less than 12(Twelve) months, but later extends the leave beyond 12(Twelve) months than a co-supervisor shall be appointed. In case the supervisor of the candidate proceeds on lien / deputation to another institution for a period of more than 12(Twelve) months the DRC may allocate a new supervisor to the candidate to complete the research work in the university with the consent of the original supervisor.
- 10.If a candidate for some reasons intends to change, his / her supervisor it may be permitted by the Vice Chancellor after the approval of the DRC and the Dean of the faculty concerned. In such cases the mutual consent of the present supervisor, the proposed supervisor and the candidate is essential.
- 11.If a candidate has been assigned a new Ph.D. supervisor, he/she shall continue his/her research with the new supervisor till the submission of thesis.
- 12.No candidate shall be allowed to change supervisor more than once except for some exceptional cases as decided by the Vice Chancellor.
- 13. Many national research institutes across the nation where students are carrying out research work for Ph.D. and the degree has to be awarded by this University in such cases, the supervisor will be from this University and co-supervisor from other institutions. The co-supervisor shall be a permanent researcher not below the level of Scientist-C in that research institute where the students carry out research work.



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VIII. Course work: - Credit Requirements, Number, Duration, Syllabus. Minimum Standards for Completion

VIII. A

Course Work

- 1. The course work will comprise of either 8(eight) credits or 2(two) course papers as adopted by the University in earlier Ph.D. ordinance and as mentioned below (VIII. A Pt 2) shall be treated as a prerequisite for Ph.D.
- 2. There shall be two courses:
 - A-Research Methodology and Computer Application
 - B- A subject paper

Each paper will be of 100 (Hundred) marks with 30 (Thirty) marks for internal assessment and 70 (seventy) marks for end term examination.

- 3. All candidates admitted to the Ph.D. program whether Full Time or Part Time shall be required to complete the course work prescribed by the department and appear in the course work examination conducted by the university.
- The M.Phil. degree holder will be exempted from the course work.
- 5. If an admitted candidate fails in the course work, he / she will get another chance to reappear in the next course work examination only after the submission of examination fees.
- 6. In cases where the candidate fails to appear in the course work examination due to any reason, he / she may be allowed to appear in the next course work examination without submission of fee.
- 7. If the candidates fail consecutively in the second attempt his /her registration shall be cancelled. Further, attempts if any or any decision pertaining to registration will be at the sole discretion of the Vice Chancellor.
- 8. A Ph.D. scholar has to obtain a minimum of 50% (aggregate) marks in the course work in order to be eligible to continue in the Ph.D. program and submit the thesis.

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VIII. B Departmental Research Committee (DRC)

The university and its affiliated colleges where research facility exist/ is being carried out must have their own separate DRC.

Composition of DRC: -

DRC shall consist of

- 1. Head of the Department/ Principal of College as Convenor
- 2. All the Supervisors as Members
- 3. One Faculty representing SC/ST and OBC Nominee for each category.

In cases where SC/ST/OBC nominees are not available in the department the head of the department/ Principal of college can invite the above representative member(s) from any other department of this University or affiliated college.

Note:

In cases where DRC does not exist, or is being constituted for the first time the Vice Chancellor of the university will constitute a DRC for considering the applications of potential supervisors. This said DRC will cease to exist and be replaced after the approval of the supervisors.

Functions of the DRC: -

- 1. To permit and review presentations of research proposals of scholars after successful completion of their course work.
- 2. To review the research proposal and finalize the topic of research.
- 3. To review/approve the research progress report of the candidates submitted to the Research Advisory Committee (RAC).
- 4. To take up any other matter that relates to the Ph.D. program including Ph.D. admission, continuous assessment, research facility development for any other issues related to Ph.D.

VIII. C Research Advisory Committee (RAC)

This provision is applicable only for students enrolled in the university campus.

Composition of RAC: -

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There shall be a RAC for each Ph.D. Scholar. The RAC shall consist of the following.

- 1. Supervisor of the concerned Ph.D. scholar as Convenor
- 2. Co-Supervisor (if any) of the concerned Ph.D. scholar as Member

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There shall be a RAC for each Ph.D. Scholar. The RAC shall consist of the following.

- 1. Supervisor of the concerned Ph.D. scholar as Convenor
- 2. Co-Supervisor (if any) of the concerned Ph.D. scholar as Member

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3. A minimum of 01 (one) or a maximum of 2 (two) subject expert(s) nominated by the supervisor as Member(s) from the department or elsewhere.

Functions of the RAC: -

The committee shall have the following responsibilities.

- 1. To periodically review and assist in the progress of the research work of the research scholar.
- 2. The Full-time research scholar shall appear before the RAC once every 6 (six) months whereas Part time scholars will appear once in a year to make a presentation/ discussion of the progress of the work for evaluation and further guidance.
- 3. The progress reports every after 6(six) months for Full Time Ph.D. scholars and annually for Part Time scholars shall be evaluated and forwarded by the RAC to the DRC with a copy to the research scholar.

VIII.D Research Degree Committee (RDC)

A Research Degree Committee (RDC) will meet at least once in six months or as required from time to time.

Composition of RDC

RDC will consist of the following:

Vice Chancellor as Chairperson

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- 2- Dean of the Faculty
- 3- Convenor of the Subject
- 4- All supervisors as members of the DRC
- 5- A minimum of one or a maximum of two external experts of the subject / allied areas as nominated by the Vice Chancellor
- 6- A person nominated by Vice Chancellor / Registrar as member secretary.

Function(s) of RDC

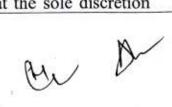
- 1- The external expert (s) of the RDC will evaluate the synopsis of the Ph.D. scholars duly recommended by the DRC.
- 2- Any modification / suggestions mentioned by the external expert will be incorporated in the synopsis by the concerned supervisor. This would be accepted and endorsed by the DRC which need not

	be placed again before the RDC.
VIII. E	Attendance& Progress Report
	 A Ph.D. scholar which excludes the teacher employed in the university / affiliated colleges must have a minimum of 70% attendance in the last 6 (six) months to be eligible to make a presentation of his/her research progress.
	The Six-monthly progress report (12 monthly for Part Time scholars) shall be maintained in the respective departments with a copy of the report of the DRC to be made available to the research scholar.
	3. In case the progress of the research scholar is unsatisfactory the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures (as may be in some extreme cases) the DRC may recommend cancellation of the registration of the research scholar to the Vice Chancellor.

10	IX. Evaluation and Assessment Method	
IX.A	Pre-Ph.D. Submission Seminar	
	 After completion of research work by the Ph.D. scholar, he / she will present his / her work before the DRC. The DRC shall assess the work of the candidate through this seminar. If the DRC recommends major modifications in the thesis, the candidate shall do further work as advised and deliver a fresh seminar in the stipulated period specified by the DRC. 	
	2. If the DRC is satisfied with the Pre-Ph.D. seminar of the candidate, the DRC shall recommend the application of the candidate for submission of the thesis along with a certificate about the satisfactory completion of the Pre-Ph.D. seminar and the exact title of the thesis to the Registrar, through the Dean of the respective Faculty. A copy of the same will also be provided to the candidate.	
	 The seat of the candidate shall be considered as vacant on the date he/she submits the thesis. 	
IX.B	Submission of Thesis	
21	1. The candidate is required to submit the thesis within 06(six) months from the date of Pre-Ph.D. seminar approval, failing which the candidate may apply to DRC for an extension period of 03(three) months. Further extension will be at the sole discretion	









of the Vice Chancellor.

- 2. The copies of the abstract and the thesis shall be printed on both sides of the paper with softbound covers for internal evaluation.
- 3. The candidate shall submit the thesis to the Head of the Department with due endorsement by the Supervisor. While submitting the thesis, the candidate shall submit the following:
 - Three hard copies and one soft copy of the abstract of the thesis in about 500-600 words describing the salient features of his/her work.
 - Three hard copies and one soft copy of the thesis in Hindi or English or any other language approved by the respective DRC.
 - iii) No-dues Certificate
 - iv) A declaration by the candidate as well as the Supervisor as per the format given in **Annexures-B** and **C**.
 - v) A Pre-Ph.D. course work completion certificate from the Head /Convenor of the DRC of respective department as per the format given in Annexure-D.
 - vi) The candidate must refer to Annexure-G and Annexure-J for the format of the thesis as well the requirements of submission respectively.
 - vii) Although not mandatory, the candidate may attach at least two published research papers in refereed and peer-reviewed journals / UGC approved journals at the end of the thesis.
 - viii) The candidate shall also submit one copy each of the thesis and the abstract to the Supervisor and Co-Supervisor (if any).
 - ix) Plagiarism check should be done through any high-grade licensed plagiarism detection software by any competent authority (Institutional Academic Integrity Panel) constituted by the Vice Chancellor. The competent authority must be logical to decide the content subjected to plagiarism check. This plagiarism check should be in conformity with the Gazette of India dated July 31, 2018 [UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018]. The plagiarism report of the thesis should be certified by the competent authority and the concerned supervisor which must be provided during the submission of thesis.

x) A thesis once submitted cannot be re- submitted except when

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the examiner recommends for the revision of the thesis xi) The Head of the Department/Supervisor shall forward the thesis to the Registrar. The Panel of Examiners for Evaluating the Ph.D. Thesis IX.C 1. The Supervisor shall propose a panel of 05(five) experts as

- External Examiners to the Vice Chancellor through Registrar. In this panel at least two examiners must be from outside the state/ country and shall be specialized in the area of the respective thesis.
- 2. Only Professors/Associate Professors/their equivalents are eligible to be Examiners (external).
- 3. In case of a research scholar who has done any part of his/her work in another institution; the panel of examiners shall not include any person working in that institution. The panel (for external examiners) shall not include the name of any person with whom the candidate has published a joint research paper.
- 4. The complete and current address of all the examiners proposed in the panel along with their specialization, their e-mail address, telephone/ mobile/FAX numbers shall be provided by the Supervisor.

Thesis Evaluation IX.D

- 1. The panel of examiners (external) shall be sent by the supervisor of the University through Head/ convenor DRC to the Registrar within a week after the submission of the thesis in the department.
- 2. The Registrar shall send this panel of examiners to the Vice Chancellor or his nominee to get the approval of two external examiners.
- 3. The Vice Chancellor can nominate the examiners from the panel of the examiner provided by the supervisor. The Vice Chancellor has the sole discretion to modify the panel of examiners.
- 4. The Registrar shall get in touch with each examiner over e-mail with a soft copy of the abstract to secure acceptance of the examiner apart from communicating through post. The said exercise shall be undertaken by the Registrar within three days of the receipt of approval from the Vice Chancellor. The Registrar shall forward the thesis and the abstract to the examiners within a week from whom consent has been received.
- 5. The Registrar shall forward the copy of the thesis to the examiners within a week of the receipt of their consent (via e-mail or postal services) and take necessary action to get the report of the

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examiner on a priority basis.

- 6. The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.
- 7. In case, an examiner does not send his / her report within the above period, a reminder shall be sent to him / her over e-mail / post. This shall be followed by a subsequent reminder after a fortnight.
- 8. In the event of the report not being received from the examiner even after serving the reminders, the name of the examiner shall be cancelled and a new examiner shall be appointed from the approved list.

IX.E Examiner's Report

- The examiners shall submit the report on a prescribed format as given in <u>Annexure-E (1)</u> and shall make one of the following recommendations:
 - i) The thesis is accepted for the award of Ph.D. degree.
 - ii) The thesis is accepted for the award of Ph.D. degree subject to the candidate giving satisfactory answers, at the time of viva voce, to the specific queries raised in the report.
 - iii) The thesis, in the present form, cannot be accepted for the award of the Degree, and the candidate is advised to revise the thesis on certain issues raised in the report and resubmit the thesis. In the case of a resubmission, the examiner shall specifically mention whether the thesis must be referred back to him / her for re-evaluation or not. Annexure E (2) is the format of the Examiner's report on revised thesis submission.
 - iv) The thesis is rejected.
 - 2. If both the external examiners recommend acceptance of the thesis for the award of the degree, the thesis shall be accepted.
 - If both the external examiners recommend rejection of the thesis for the award of the degree, the thesis shall be rejected.
 - 4. If the examiner(s) raise some queries/seek clarifications, the candidate shall be required to give satisfactory answers to the queries at the time of viva voce.
 - If one of both the external examiners recommends revision of the thesis, the candidate shall resubmit the thesis after revision within six months.
 - If one examiner recommends rejection of the thesis and the other recommends acceptance, then the Registrar shall send the thesis to a third examiner from the approved list.

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- In case the third examiner recommends the rejection of the thesis, this recommendation shall be final and the thesis shall be rejected.
- In case the third examiner's recommendation matches with any of the earlier examiner's recommendation, the majority decision shall prevail.

IX.F Viva Voce

- 1. The Registrar will take the approval of the Vice Chancellor or his nominee on one external examiner to conduct the viva voce examination, and subsequently inform the Supervisor/ Head to organize the viva voce examination as soon as possible. The Supervisor will inform the External Examiner about the date of the Viva Voce. The same will be communicated to the Registrar. TA/DA as per university rules or as approved by the Vice Chancellor would be paid to the external examiner.
- The viva voce of candidates completing their Ph.D. in the affiliated colleges will be held in the university administrative block in the Open Defense Mode i.e., viva voce examination comprising of DRC members and one external expert who has evaluated the thesis.
- If the thesis has been accepted for the award of the degree, the candidate shall be required to defend he/she thesis in an Open Defense i.e., viva voce examination, before the DRC and the approved external examiner in the respective department of the university.
- 4. The Supervisor and the Co-Supervisor (if any), shall arrange for the viva voce of the candidate within a month from the date of communication to them from the Registrar for conducting the viva voce.
- 5. In some special circumstances or situations similar to pandemic; if the examiner is unable to come to conduct the viva voce, the open viva voce can be conducted using digital platform. The recording of complete viva voce through video conferencing shall be preserved by the Supervisor and also make it available if sought by an appropriate authority, as soft copy. The confidential report of viva voce shall be submitted to the Registrar by the Supervisor endorsed by the external examiner and convenor of DRC.
- 6. In the case of inability of the Supervisor or Co-Supervisor to conduct the viva voce due to any reason, the Head of the Department shall arrange to conduct the viva voce. In such

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cases, the work shall be deemed to have been carried out under the guidance of the original Supervisor/Co-Supervisor only.

X. Academic, administrative and infrastructural requirements to be fulfilled by Colleges (Aided/Government Colleges/Constituent Colleges) for getting recognition/ permission for its Faculty Members for being Supervisors/Co-Supervisors The Supervisors from the colleges (aided/ government/ constituent X.A colleges) must fulfill the eligibility criteria as laid down earlier in this ordinance. The colleges must provide the required infrastructure and supporting facilities for the promotion of research (as necessary for the concerned subject). In case of Science and Technology disciplines, exclusive research X.B laboratories with equipment's as specified by the University are essential. In all the cases the library must be of sufficiently high standards. Associate Professors in colleges will be eligible to supervise maximum X.C 06(six) students while Assistant Professors in colleges will be allowed to supervise maximum 04(four) students at a time. The teachers from colleges fulfilling the eligibility criteria as laid down in X.D this ordinance shall be required to send an application recommended by the DRC and the Principal of the college to the Registrar for consideration as Supervisor / Co-Supervisor in the specified subject. The Registrar will place the application in the relevant RDC for approval by the Vice Chancellor. All students will be enrolled by the University. Students with Supervisors X.F from colleges will attend course work at the respective departments of the University/ assigned centers by the University regularly and take the course work examination together with other students as per this Ordinance.

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After successful completion of the course work, the respective Departments may allow supervision to be conducted at the college by the

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	college teachers. The attendance of such students will be recorded by the supervisor from the college.
X.J	The finalization of the topics for the students under the supervision of college teachers will be done by the DRC of college. The recommendations will be taken up at RDC of the respective subjects held in the University.
X.K	Students with the supervisors from the colleges will submit their six- monthly progress report to the DRC of the college which will evaluate and recommend it to RDC. The progress report with the recommendation of DRC will be send to Registrar for consideration before the relevant RDC.
X.L	The procedure for Pre-Ph.D. seminar and submission of thesis will be followed normally as laid down in this ordinance.

XI. Academic, administrative and infrastructural requirements to be fulfilled by Self Finance Departments of University Campus for getting recognition/ permission for its Faculty Members to be Ph.D. Supervisors/ Co-Supervisors XI.A The Supervisors from Self Finance Departments of this University must fulfill the following criteria for registering Ph.D. students.

- The faculty must have total teaching/research experience of at least 05 years.
 - For the faculty belonging to Engineering and Technology department /programs which will also include the faculty of "Applied Science & Humanities" the teaching/research experience shall be minimum of 05 (five) years.
 - 3. All such departments existing in university other than Engineering & Technology must have a regular existence of concerned PG program for 5 (five) years. In case of Engineering & Technology, the PG program must be at least 03 (three) years old with one pass out batch.

XI.B In addition to the above conditions the rest of the criteria regarding eligibility for research supervisor / co-supervisor, number of Ph.D. scholars to be allotted, etc. will remain as such as mentioned in this

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	ordinance (refer Section VII).
XI.C	The approval of any supervisor from Self Finance affiliated colleges of this university will be at the sole discretion of the Vice Chancellor.

	XII. Transfer from other Universities
XII.A	A candidate enrolled for Ph.D. program in a recognized university/ institution/ organization and has completed his/her Ph.D. course work from that aforesaid institution may be permitted to carry on research work in this University.
XII.B	Such candidates have to take permission from the Vice Chancellor of this University along with the NOC from the previous university/institution/organization.
XII.C	Such candidates who are seeking transfer must be a registered candidate of that University and must have successfully completed the Ph.D. course work (as evidence by the course work certificate).
XII.D	Such candidates will register in this University only after the approval of the Vice Chancellor.
XII.E	Duration of such candidate will be counted from the date of registration in this University including the six-month duration of the course work.
XII.F	Such candidate will be permitted to choose a supervisor from the concerned and relevant department of this University. A Co-Supervisor may be appointed from the previous University or any eligible faculty from institution recognized elsewhere.
XII.G	Rest of the conditions will be applicable as mentioned in this ordinance for students admitted normally.

XIII. Fee Structure

XIII.A Fee payable by a candidate admitted to the Ph.D. programme shall be as prescribed by the University from time to time. The candidate must ensure timely submission of their fees failing which action may be

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	initiated for the cancellation of their admission in Ph.D. program.			
XIII.B	Full fee, as applicable, shall be payable by the scholar for the entire period for which extension is granted.			
XIII.C	Fee once paid to the University shall not be refunded except the caution money, which shall be refunded to the scholar within one year from the date of award of the degree or cancellation of admission on any ground, subject to the adjustment of any dues payable by him/her.			

XIV. Admission Cancellation

The registration and admission of a candidate may be cancelled by the XIV.A DRC in any one of the following eventualities:

- 1. If the candidate is absent for a continuous period of four weeks without prior information/sanction of leave.
- 2. If the candidate fails to renew, his/her registration and does not pay the fee in time.
- 3. If two consecutive six monthly progress reports of the candidate are unsatisfactory.
- 4. If the candidate fails to submit the thesis within the maximum stipulated time as provided in this Ordinance.
- 5. For any errant behavior, such as indiscipline, anti-university or anti-national activity, moral turpitude or any behavior which is unlike that of a student.
- 6. If the candidate resigns from the Ph.D. programme and the resignation is duly recommended by the Supervisor.

Provided further that action of cancellation of registration of a candidate in the eventualities (listed above) may not be taken by the DRC without serving a show cause notice on the erring scholar and without giving him/her an opportunity to reply.

The decision of the Vice Chancellor in matter related to cancellation of admission will be final and binding.

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	XV. Depository with UGC
XV.A	Following the successful completion of the evaluation process and conferment of the award of Ph.D. Degree, the University shall submit a soft copy of the thesis to the University Grants Commission within a period of thirty days for hosting the same on INFLIBNET, so that it is accessible to all Institutions/Universities.
XV. B	The University shall issue a certificate to the effect that the Degree has been awarded in accordance with the provisions of the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degrees) Regulations, 2016 with amendments of August 27, 2018 and 16 October, 2018 (Annexure-F). This Ph.D. ordinance will also abide by subsequent notifications as rolled out by UGC, New Delhi time to time.

	XVI. Miscellaneous
XVI.A	Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Vice Chancellor, whose decision, in his capacity as the Chairperson of the Academic Council, shall be final
	The Vice Chancellor is authorized to:
=	1. Modify, amend and/or delete any of the clauses given in the Ordinance or add any clause(s) to this Ordinance, which shall be reported to the Academic Council at its next meeting for approval.
	2. Order a special procedure for the evaluation of a thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the Supervisor and the University.
	3. Relax any of the provisions laid in this Ordinance for handling circumstances not covered by this Ordinance.
XVI.B	Leave Rules
	 A research scholar shall be eligible to avail leave as per the University rules applicable to students of the University. He/she shall not be entitled for any inter- semester breaks. However, he/she would be entitled for an additional leave of up to 30 days on medical grounds in an academic year. The aforesaid leave provisions are cumulative.

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	 Further, female candidates shall be eligible for maternity/child care leave once during their entire tenure as research scholars. However, all such leave would not be reckoned for calculation of minimum requirement of 36 months for submission of the thesis and in such a situation, requirement of full 36 months needs to be completed (including course work).
	 The leave shall be granted by the Supervisor. Female candidates may be provided Maternity Leave/ Child Care Leave once in the entire duration of the Ph.D. program for up to 240 Days or as notified by UGC, New Delhi/ State Govt. of U.P. Candidates availing such leaves will be given a relaxation of One
	year in thesis submission. 5. In addition to the above all candidates pursuing Ph.D. are entitled to avail 30 days duty leave (DL) annually for attending / participating in conference / seminars / workshops/ training program / consultation of any nature.
XVI.C	Attendance Register for all the students for both course work and for the subsequent completion of the Ph.D. programme is to be maintained in the office of the Departments/Institutes.
XVI.D	All the admitted students shall be required to assist in the teaching practical/ demonstration/ field work/ project work/ examination work of the Department/University

XVII.A	The date of the award of the Ph.D. degree will be the date of viva voce successfully conducted in the university (Section IX F). The presentations of students registered under a supervisor from college will be held in the university. In such cases the respective Dean of the faculty may be notified. Its intimation shall be duly and immediately forwarded by the Head of the Department, through the Dean, to the Registrar.
XVII.B	The Registrar may issue a provisional certificate to the candidate after ensuring successful completion of Ph.D. examination through Viva Voce.

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XVII.C	In cases where candidate is enrolled in allied discipline for Ph.D. program, the Ph.D. degree will also mention the name of the allied department where Ph.D. work was carried out. Such degree will be treated as special cases and will be at the sole discretion of the Vice Chancellor.
XVII.D	There shall be a separate register maintained by the University in which the information about the Ph.D. awarded in different Departments/Institutes will be recorded. The record must include the following: 1. Name of the candidate 2. Topic of research 3. Name of the supervisor/s 4. Date of registration 5. Date of submission and 6. Date of award of Ph.D. This information should also be uploaded on the University website.
XVII.E	The Ph.D. degree awarded to the students shall be bilingual i.e., both in Hindi and English language.

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Annexure- A

	Interview Award Li	st	
	Maximum Marks = 3	0%	
Presentation/Viva Voce	Explanation	Marks Awarded	
	Evaluation of the candidate based on his/her understanding of the research process and issues in the proposed area of research based on presentation by the candidate and performance in the viva voce		
Total Marks (Maximum 30%)	Marks obtained as above		

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Annexure-B

CANDIDATE'SDECLARATION

(To be typed as below)

I,	, certify that the work embodied in
this Ph.D. thesis is my own bona	afide work carried out by me under the
supervision of	
	for a period of at
Dr. Rammanohar Lohia Avadh U	
(Name of the Institution where w	work has been carried out partly or fully)
The matter embodied in this Ph.I any other degree/diploma.	D. thesis has not been submitted for the award of
the research workers wherever body of the thesis. I further certi work, para, text, data, results,	their works have been cited in the text and the fify that I have not willfully lifted up some other's etc. reported in the journals, books, magazines and own work.
Date	(Signature of the candidate)
Place:	(Name of the candidate)
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Annexure- C

(To be typed as below on letter pad)

Certificate from the Supervisor/Co-supervisor

	This is to	certify that	the research	work emb	odied in t	the thesis
ent	titled					
by	Mr./Ms/ .					
S/I	D/O of Sri/Sn	nt				
		under my/our s				as worked
		he period requir				
Dat	te:					
		Sign	ature & Name	of the Super	visor/ Co-S	Supervisor
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Annexure-D

(to be typed as below on letter pad)

Certificate For Successful Completion of Ph.D. Course work

To Whom It May Concern

THIS	IS	TO)	CE	RTIFY	7	ГНΑ
MR/M	[s						
HAS	SUCCESSFULLY	COMPLETED	THE	PH.D.	Course	WORK	ON
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ORDIN	NANCE.						
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Annexure -E(1)

Format of Examiner's Report Dr. Rammanohar Lohia Avadh University, Ayodhya-224001 Recommendation of Ph.D. Thesis

Name of the Candidate		
Title of the Thesis		****
***************************************		***
Enrollment NO./ID.		
Please give your specific recommendation by ticking $(\sqrt[4]{})$ any report on separate sheet(s) with your signature, name and address		your detail
The thesis be accepted for the award of the Ph.D. degree		[]
OR		
The thesis is acceptable for the award of the Ph.D. degree subj	ect to	[]
the clarification of certain points at the time of Viva-Voca (Please enclose the points)	e.	
OR		
The thesis is not acceptable in the present form but may be a	ccepted	[]
subject to modification/clarification/ revision. (Please enclose your suggestions for modification etc. desired thesis need not be referred back to me.	d) After modification the	
OR		
The thesis is not acceptable in the present form but may be a	ccepted	[]
subject to modification/clarification/ revision. (Please enclose your suggestions for modification etc. desired thesis should be referred back to me for final assessment.		
OR		
The thesis be rejected.(Please enclose your comments).		[]
	× E	
Place	Signature of the Examiner	***
Date	Name and Address of the Examiner	
	•••••	
Encl:(a) Detailed report on separate sheet(s),		
(b) List of points for clarification.	\mathcal{N}	
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Annexure-E (2)

Format of Examiner's Report on Revised Thesis Dr. Rammanohar Lohia Avadh University, Ayodhya-224001

Recommendation of Revised Ph.D. Thesis

Name of the Candidate:	
Title of the Thesis:	
Enrollment No./ID	
Please give your specific recommendation by ticking and enclose your detailed report on separate sheet(s) w	 (√) any one of the following, with signature underneath with your signature, name and address.
The thesis be accepted for the award of the Ph.D. degree	ee []
OR	
The thesis be rejected.(Please enclose your comments)	[]
Place	Signature of the Examiner.
Date	Name and Address of the Examiner

Encl: Detailed report on separate sheet(s).	

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Annexure- F

(to be typed as below on letter pad)

Award of Ph.D. Certificate as per the University Grants Commission Regulation
(Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016 with Amendments of
August 27, 2018 and October 16, 2018

Dr. Rammanohar Lohia Avadh University, Ayodhya-224001

To Whom It May Concern

This is	to certify that I	Mr/Ms				• • • • • • • • • • • • •	.,,,,,,,,
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	ent No						
was	awarded	Ph.D.	degree			subject	
			by	this	University	in the	e year
	as	per the Uni	versity rules/ r	ecords	, his/ her Ph.	.D. degre	e fulfils
criteria	suggested by	UGC Regula	itions 2016 wi	th ame	endments of	August 2	7, 2018
and Oc	tober 16, 2018.						

Registrar

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ANNEXURE-G FORMAT OF THE PH.D. THESIS

The following format may be normally adopted for the Ph.D. Thesis:

- 1. Cover page
- 2. Inner cover page
- 3. Self-declaration certificate from the candidate
- 4. Certificate from the Supervisor/Co-Supervisor/RAC (in case of university)
- Certificate for the completion of course work/Certificate of the completion of M.Phil. Degree (Exempted from course work)
- 6. Certificate for the successful completion of the pre-submission seminar
- 7. A copyright transfer certificate
- 8. Certificate of Plagiarism Check
- 9. Acknowledgments
- 10. Contents
- 11. List of symbols, figures and tables, if any
- 12. Preface of the thesis (Optional)
- 13. Introduction
- 14. Literature review
- 15. Chapters covering the work of the candidate
- 16. Conclusion
- 17. References
- 18. Appendices
- 19. List of papers communicated/accepted/published/presented.
- 20. Copiesofacknowledgment/acceptanceletterincasethepapersarecommunicated/accepted.
- 21. Copiesofmanuscripts/reprintsofthepaperscommunicated/accepted/published.
- 22. A personal profile not exceeding one page with photograph of the candidate.

Note: - 04 (Four) copies of the approved synopsis must also be provided separately.

References should be arranged chronologically in alphabetical order. Typical style of writing the references are given below:

- (a) For single author Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.
- (b) For two authors Surname, Initial sand Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.
- (c) For more than two authors Surname, Initials, Surname, Initials, and Surname, Initials, Title of the Article, Journal Name, Volume, Pages, Year.

While citing the references in the text, the following format should be

followed: Surname (Year) or Surname et al. (Year)

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Annexure-H

COPYRIGHTTRANSFER CERTIFICATE

Title of the thesis:

Candidate's Name:

Copyright Transfer

The undersigned hereby assigns to the Dr. Rammanohar Lohia Avadh University, Ayodhya all rights under copyright that may exist in and for the above thesis submitted for the award of the Ph.D. degree.

SIGNATURE OF THE CANDIDATE

Note: However, the author may reproduce or authorize others to reproduce material extracted verb at in from the thesis or derivative of the thesis for author's personal use provided that the source and the University's copyright notice are indicated.

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ANNEXURE-I

(to be typed on letter pad)

PRE-SUBMISSION SEMINAR COMPLETION CERTIFICATE

This is to certify	
(a)That Sri/Ms.	
of the department of of the c	college / university,
has satisfactorily completed the Ph.D. course work and has been success	
(b) That his/her open Ph.D. thesis Pre-Submission seminar on (topic was held on(date)in the department / university building from (time	
(c) That the DRC is satisfied /not-satisfied with the quality of the work	of candidate,
(d) That the candidate described the thesis work satisfactorily/ut related with the basics understanding of the subject and thesis w	
(e) In case of unsatisfaction the DRC gave following suggest work/performance of pre-submission seminar:	stions for the improvement of quality of
Date:	(Signature of Convenor of DRC)
Place:	
Signature of DRC Members	
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Dr	

ANNEXURE-J

Documents to be submitted with Thesis but not enclosed with Thesis

- 1. Three hard copies of Thesis printed on both sides of paper.
- 2. Soft Copy of abstract and Thesis in CD or Pen Drive.
- 3. Thesis submission fee receipt in original.
- 4. Photocopies of Fee Receipt of every year.
- 5. Photocopies of Marksheets of Highschool to Master's degree.
- 6. Permission Certificate of Thesis submission.

John Dianel Di