

**ANDHRA UNIVERSITY**  
**GUIDELINES FOR M.Phil. AND Ph.D. PROGRAMMES**

(As recommended by the Committee constituted for modification of M.Phil. /Ph.D. regulations, BRS Sub-Committee meeting held on 13-10-2008, UGC guidelines dated 28<sup>th</sup> August and the recommendations made by the Members of BRS at its meeting held on 29<sup>th</sup> September, 2009)

(These regulations are effective for all candidates admitted from 1<sup>st</sup> June 2009)

**I M.Phil. – REGULATIONS**

M.Phil. is the first research degree and the study will provide the necessary advanced training in research methodology and recent developments in a subject. Admission into all M.Phil. programmes will be done against advertisement unless or otherwise specified.

**I.1 ELIGIBILITY:**

The degree of Master of Philosophy can be pursued by candidates possessing the minimum qualifications as specified below either on full-time / part-time basis in the Faculties of Arts, Humanities, Social Sciences, Fine Arts, Education, Physical Education, Commerce and Management Studies and Sciences.

**I.1.1 Full-Time (FT):**

- a. Post-graduate degree holders with at least 55% of marks (50% in the case of SC/ST Candidates) or equivalent grade / GPA in the concerned subject or in an allied subject, or any other P.G. degree recognized by the University as equivalent thereto and qualified at AURCET followed by an interview conducted by the University for that purpose, can register for full-time M.Phil. degree. The candidates qualified in CSIR-UGC (NET), ICMR, GATE (Science faculties), Project Fellows / Research Fellows funded by recognized National Funding Agencies are exempted from appearance for AURCET.
- b. The admission into M.Phil. Programme will be made within the frame work of the reservation rules prescribed by the Govt. of Andhra Pradesh from time to time.
- c. Candidates with requisite qualifications working in research projects in Campus Colleges/PG Centers and selected by a selection committee constituted/approved by the University are eligible to register for M.Phil. after putting in at least six months of service in the project. The project should have a valid tenure of at least one year from the date of submission of application by the candidate for registration for M.Phil degree.

**I.1.2 Part-Time (PT):**

Candidate satisfying the eligibility conditions noted under I.1.1.a above except for getting qualified in AURCET, can be registered as Part-time candidate through, AURCET notification, as per the following order of priority. Admission into Part-time category will be made on the basis of service seniority in the respective cadres.

- a. Teachers working in Departments of Andhra University and it's P.G. Centers.
- b. Teachers/ Librarians/ Asst. Librarians/Physical Education Teachers working in Postgraduate Colleges/ Professional Colleges recognized by the University having completed a minimum service of 2 years.
- c. Teachers working in Degree Colleges having completed at least 3 years service.
- d. Teachers working in Polytechnic Colleges having completed at least 4 years of service.

- e. Teachers working in Junior Colleges with at least 4 years of service
- f. Non-teaching employees of the Andhra University and A.U.P.G. Centers having completed at least 5 years of service.
- g. Executives/Administrators with a total service of 10 years in Govt./Quasi Govt./ Judiciary /Public sector organizations / Public Limited / Private Limited Companies with a turnover as specified by the University from time to time, out of which at least two years of this service should be with requisite qualification.

## **I.2 DURATION:**

- a. A Full-time student is required to spend the prescribed period of 12 months in the concerned University Department or in the concerned institute recognized by the University for that purpose.
- b. Part-time student has to spend at least six weeks in each year in the concerned department in the University or in the Institute concerned and complete all the requirements for the award of the degree within two years from the date of registration.
- c. In deserving cases, the Principal concerned in the University campus college may permit extension of time for candidates pursuing M.Phil (F.T.) up to a maximum period of three years from the date of registration for both full-time and part-time candidates for fulfilling the requirements beyond which the registration ceases. However, the candidates with adequate progress, on the recommendation of the concerned DRC may be considered for conversion of their full-time programme to part time provided they have fulfilled the attendance criteria and passed the M.Phil examinations. Such candidates have to pay necessary conversion fee. Candidates under part-time category need to get the re-registration done once in every three years.

## **I.3 REQUIREMENTS FOR THE AWARD OF M.PHIL.**

The requirements for the award of M.Phil. Degree shall be the completion of the course work and submission of dissertation based on the research work carried out under the supervision of a recognized guide in the University Department or in its post-graduate centers or in the institute recognized by the University for the purpose. However, prior to submission of the thesis, the student shall make a M.Phil. presentation in the department that shall be open to all the faculty members and the research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the research guide.

### **I.3.1. Course Work:**

The course work for full-time and part-time M.Phil. candidates shall be as follows.

PAPER – I: Recent Advances in the concerned discipline

PAPER – II: Special topic concerned with dissertation work including Research Methodology.

PAPER – III: Seminar

The instruction for course work shall be limited to one semester.

Papers I & II shall be theory papers for 100 marks each with four credits. Paper III is a seminar to be given by the candidate, which carries 50 marks with two credits. The Departmental Research Committee of the concerned department shall prescribe the syllabi for Paper-I while the syllabi for Paper-II shall be provided by the concerned research guide. The paper setting is to be done by External examiners. The candidate shall give a seminar on the research topic emphasizing the importance of the problem, review of literature, methodology and techniques to be adopted including interpretation of data and the expected outcome. The seminar is open to all members of the department. In case of full-time candidates, the M.Phil. examination is to be conducted before 9 months from the date of registration, while in case of part-time candidates the examination is to

be conducted before 15 months from the date of registration. The date of payment of fee at the time of admission will be treated as the date of registration.

### **I.3.2. Dissertation:**

After successful completion of the research work under the supervision of the research guide, the candidate shall submit a dissertation embodying the results of his/her study.

- a. Two copies of the dissertation is to be submitted out of which at least one should be hard bound.
- b. The thesis should be typed on A4 size paper with 1.5 line spacing in Times New Roman or compatible font with 12 font size.

### **I.3.3. Attendance:**

A full-time candidate shall be required to put in a minimum of 75% attendance. However, candidates with not less than 66% of attendance can be considered for condonation on medical grounds.

## **I.4 EVALUATION**

- a. Paper I is to be evaluated for 100 marks by internal and external examiners separately and the average mark will be considered.
- b. For Paper-II one valuation shall be done by the Research Director as internal examiner and the second valuation by an external examiner each for 100 marks and the average mark will be considered.
- c. Paper- III (Seminar) will be evaluated by the Head/ Chairperson BOS and the Guide for a maximum of 50 marks. In case the marks are awarded independently, the average mark will be considered
- d. However, prior to submission of the dissertation, the student shall make a presentation in the department that shall be open to all the faculty members and the research student, for getting feedback and comments, which may be suitably incorporated into the draft dissertation under the advice of the research guide.
- e. The dissertation will be evaluated by the research guide and an external examiner independently for 200 marks and the average will be taken. In case the external examiner suggests modifications / revisions for the M.Phil dissertation work, irrespective of whether or not the external examiner allots marks / grade, the dissertation should be revised and submitted to DRC for verification and approval.
- f. In addition, there shall be a Viva-Voce examination for 50 marks on the topic of dissertation which will be evaluated by the duly constituted committee. The viva-voce is open for all. However, the viva-voce committee shall consist of the Head of the Department, the Chairperson of Board of Studies, the research guide and a teacher who is a specialist in the subject of the dissertation nominated by the Vice-Chancellor. The Research guide is the convener of the viva-voce committee.

The viva- voce examination in case of candidates from the University colleges and PG Centers will be held in the respective departments. However, in case of candidates registered in Research Centers recognized by the University the viva-voce examinations will be conducted by the HOD of the University department.

A quorum with two members is required. However, the Head of the Department or Chairperson, Board of Studies must be present at the viva-voce examination.

- g. The panel of internal and external examiners, for valuation of the theory papers and dissertation should be proposed jointly by the Research Guide and Chairperson Board of

Studies for Paper II and Seminar while for paper I it will be proposed by the concerned Head of the Dept. and the Chairperson of BOS.

h. The following credits are allotted for each paper

Paper –I	-	4 credits
Paper-II	-	4 credits
Seminar	-	2 credits
Dissertation	-	8 credits
Viva	-	2 credits

Award of grades:

S.No	Range of Marks	Grade	Grade Points
1.	> 85%	O	10.0
2.	75% - 85%	A	9.0
3.	67% - 74%	B	8.0
4.	58% - 66%	C	7.0
5.	50% - 57%	D	5.0
6.	≤ 49%	F	0.0
7.	Incomplete (Subsequently changed into pass or D to O grade on subsequent appearance of the examination, and corresponding grade points will be awarded)	I	

The candidate must obtain a minimum of D-Grade in each theory paper, seminar, dissertation and viva for a pass.

A minimum of 5.5 CGPA has to be secured for getting qualified in the M.Phil examinations.

- i. In case of failure in any course or courses the candidate may be permitted to re-take the examination, only once. If the candidate fails again he/she must seek fresh admission.
- j. In case a candidate does not apply or appear for an examination scheduled after he/she gets eligibility, he / she will be treated as Failed.
- k. In case there is discrepancy of 20% for theory papers or dissertation between the internal and external valuation, third valuation will be done by a different examiner other than the previous internal / external examiners. In case of third valuation the average marks of the nearest two valuations will be taken as the final mark.
- l. In case the external examiner does not evaluate the dissertation within 3 months, he/she may be replaced by a new external examiner.
- m. After the completion of the Viva-Voce examination, the Convener of the Viva-Voce Committee shall submit the recommendations along with two soft copies in CD form for placing them in the University library and on INFLIBNET through UGC respectively.

### **I.5 FDP SCHOLARS**

Regular teachers working in Andhra University affiliated colleges / Andhra University local area colleges and institutions intending to pursue M.Phil programme under FDP or other similar programmes would be required to get their nominations processed by the concerned agencies and join in respective colleges and departments before the commencement of M.Phil programmes in the respective departments.

### **I.6 CONVERSION**

Candidate pursuing a full-time M.Phil. programme after completion of a minimum period of 9 months stay on campus with prescribed attendance and valid grounds may be permitted to

convert the registration into Part-time M.Phil programme after obtaining permission from the Vice-Chancellor and paying necessary fees. This is in addition to the general rule mentioned in I.1.2.

#### **I.7 FEE STRUCTURE**

The fee structure for M.Phil programmes will be decided by the University from time to time. In case of re-registration, the fee structure prevailing at the time of re-registration will be applicable.

**Notwithstanding anything contained in the above in exceptional cases, the Vice Chancellor can review and take a decision which is final.**

## II Ph.D. REGULATIONS

The Ph.D. programme is intended to provide advanced training in research. The research carried out towards this degree should lead to new results, new method(s) of analysis or new relationship publishable in any referred journal. The candidate can register Ph. D. under Full-time, Part-time or Extramural / Interdisciplinary category depending upon the fulfillment of the respective eligibility criteria. Admission into all Ph.D programmes will be done against advertisement unless or otherwise specified.

### II.1 ELIGIBILITY:

The degree of Doctor of Philosophy can be pursued by candidates possessing the minimum qualifications prescribed for admission as given below, for the Faculties of Arts, Humanities, Social Sciences, Fine Arts, Education, Physical Education, Commerce and Management Studies, Engineering, Science, Law and Pharmaceutical Sciences.

Self-submission by the University Teachers for Ph.D. degree is allowed for those having 10 years of teaching experience in the University and or its PG Centers with at least two research publications in referred journals.

#### II.1.1 Full-Time (FT):

- a. Post-graduate degree holders with at least 55% of marks (50% in the case of SC/ST Candidates) or equivalent grade / GPA in the concerned subject or in an allied subject, or any other P.G. degree recognized by the University as equivalent thereto and qualified at AURCET followed by an interview conducted by the University for that purpose, can register for full-time Ph.D. degree. However, candidates qualified in CSIR-UGC (NET), ICMR and GATE (Science faculties), M.Phil/ M.E / M.Tech / LL.M./ M.Pharm/MD/MS degrees, other than those awarded through distance education mode, in the concerned subject as approved by the DRC at the time of admission are exempted from appearing for AURCET.
- b. Admission into Ph.D.programme will be made in accordance with the existing and applicable reservation rules in force.
- c. Candidates with requisite qualifications working in research projects in Campus colleges/PG Centers and selected by a selection committee constituted/approved by the University are eligible to register for Ph.D. after putting in at least six months of service in the project and the project should have a valid tenure of at least two years from the date of submission of application by the candidate. At the time of submission, these candidates may be permitted for an early submission of the thesis in case all the other requirements are fulfilled.

#### Existing Rule Position:

- d. Candidates possessing M.Phil/ M.E / M.Tech / LL.M./ M.Pharm/MD/MS degrees in the concerned subject as approved by the DRC at the time of admission, are exempted from appearing for Pre-Ph.D. examination. However, candidates possessing these degrees awarded by any university under distance mode will not be exempted from appearing for Pre-Ph.D. examinations.

#### Amended rule position: II.1.1.d.

#### **(As per the Minutes of the meeting of the BRS held on 29-05-2010)**

Candidates possessing M.Phil./M.E./M.Tech./M.Pharm/MD/MS Degrees in the concerned subject as approved by the DRC at the time of admission are exempted from appearing for Pre-Ph.D. examination provided the field / topic of present research is the same / extension of the previous work carried out by the candidate. However, candidates possessing these degrees awarded by any University under distance mode will not be exempted from appearing for Pre-Ph.D. examination.

### **II.1.2 Part –Time (PT):**

- a. Candidates satisfying the above eligibility criteria, except for getting qualified in AURCET, can register for part-time Ph.D. programme in AU Campus colleges, PG centers and research centers recognized by the Andhra University. In case of such research centers one of the faculty members eligible to guide research from within the concerned department of Andhra University or its PG centers needs to be included as an external guide in addition to the principal guide from the recognized research center.
- b. In case of part-time candidates, the parent department of the constituent college will process the submission of the thesis for the award of the Ph.D. degree and will conduct the viva-voce examination.
- c. The following order of priority and service seniority will be followed for admission. M.Phil. or equivalent degree holders will be given priority in each category.
  1. (a) Teachers working in the University or the A.U.P G Centers having completed a minimum service of one year.
  - (b) Teachers working in Post-graduate and Professional colleges having completed a minimum service of two years.
  2. (a) Lecturers / Librarians / Asst. Librarians working in affiliated degree colleges having completed a minimum service of three years.

#### **Existing rule position:**

- (b) Teachers working in polytechnic colleges having completed at least four years of service.

#### **Amended rule position: II.1.2 c.2 (b)**

***(As per the Minutes of the meeting of the BRS held on 29-05-2010)***

- (b). Teachers working in polytechnic colleges having completed at least three years of service.
  - (c) Teachers working in Junior Colleges having completed at least four years of service.
  3. Non-Teaching Employees of the Andhra University and A.U. P. G. Centers having completed at least five years of service.
  4. Technical Employees working in research institutions attached to Andhra University having completed a minimum of 2 years of service.
  5. Executives / Administrators having completed at least 10 years of service, out of which at least two years is with requisite qualifications, in Govt. / Quasi Govt./ Legal / Public sector organizations / Public Ltd. / Private Limited companies with a turnover as specified by the University from time to time.
  6. Senior Government Executives may be considered for admission by the Vice-Chancellor during any time of the year.
- d. Registration of regular teachers working in Andhra University constituent colleges and its P.G. Centers may be done in any part of the year. However, part time admissions from recognized institutions can be done only against advertisement.

### **II.1.3 Extra-Mural Research (EMR):**

- a. For admission into Ph.D. programme under Extra-mural category there should be an Internal Guide (Principal guide) recognized by the A.U. in the recognized research institution where the candidate is working. In addition to the Principal Guide, a faculty eligible to guide research from within the concerned Department of Andhra University or its P G Centers needs to be included as an External Guide.
- b. Part-time admissions can be given in such institutions in cases where they do not have an eligible guide to guide the candidate. In such cases the guide may be allotted from the University. All required formalities will be fulfilled by the parent department in the University.
- c. Eligibility for admission under Extramural category shall be as follows:
  - i. Scientists and technical Officers working in a research institution recognized by Andhra University with a P.G. or equivalent degree and having put in two years of experience.
  - ii. Research Scholars with P.G. or equivalent degree having a fellowship and attached to institutions recognized as Research Centers by Andhra University at least for six months.
  - iii. Registration of an extramural candidate may be done in any part of the year. However, part time admissions from recognized institutions can be done only against advertisement.

#### **II.1.4 Inter-Disciplinary Research (IDR):**

- a. Candidates who wish to carry out research work related to more than one discipline can be considered for registration for Ph.D. under 'Interdisciplinary' category. Such candidates should submit a 'Statement of Purpose' along with the admission application form. The statement may contain the objective, definition of the problem, proposed methodology and justification. The Statement of Purpose should also contain information on the disciplines involved and the post graduate degree possessed by the candidate. The same will be discussed in the Departmental Research Committee meetings of the concerned academic departments, for its scope and viability from scientific and logistic points of view, in which the major part of the research work needs to be carried out. The candidate will be registered in the discipline in which he/she has secured the qualifying degree.
- b. Candidates who are admitted under this category will have the Principal guide from the department in which the candidate is registered and the co-guide(s) from the other disciplines involved. The Pre-Ph.D degree examination needs to be taken in the department where the candidate registers.
- c. Candidates once admitted under this category under full-time or part-time will not be permitted to transfer their registration from one department to the other.

#### **II. 2. DURATION:**

- a. A full-time student is required to spend the prescribed period of three years, in the case of master's Degree holders and two years in the case of M.Phil. / M.Tech. / M.E. / M.L. / M.Pharm. / LL.M. / M.D. / M.S. degree holders, in the University or in one of the A.U.P.G. Centers or Institutions recognized by Andhra University as Centers of Research.
- b. The prescribed period for part-time research leading to Ph.D. is four years and in case of candidates admitted with M.Phil. / M.Tech. / M.E. / M.L. / M.Pharm. / LL.M. / M.D. / M.S. degrees it is three years. A part-time candidate employed in an outside institution will be required to spend at least six weeks every year in the concerned University Department during the prescribed total period of research.
- c. If a candidate pursuing Ph.D. programme under either FT/PT/EMR category is unable to complete the work in the prescribed period the Principal of the concerned constituent college can give extension of time up to five years in case of candidates admitted with Master's



degree and four years for those admitted with M.Phil. / M.Tech. / M.E. / M.L. / M.Pharm. / LL.M. / M.D. / M.S. from the date of registration beyond which the registration of the candidate ceases. However, the candidates with adequate progress, on the recommendation of the concerned DRC may be considered for conversion of their full-time programme to part time provided they have fulfilled the attendance criteria and qualified in the Pre-Ph.D. examination. Such candidates have to pay necessary conversion fee. Candidates under part-time category need to get the re-registration done once in every five years.

- d. If a candidate has completed the requirement earlier than the prescribed period, the Vice-Chancellor may permit for an early submission of thesis before six months provided the request is justified and substantiated by publications in referred journals.

**Existing rule position:**

- e. Change/addition of Guide: In normal circumstances if a candidate wishes to change a guide or include a co-guide for valid reasons, the request may be considered as per the merits of the case. However, such candidates can submit the thesis only after ONE year from the date of change/inclusion of guide.

**Amended rule position: II.2.e**

***(As per the Minutes of the meeting of the BRS held on 29-05-2010)***

Change/ addition of Guide: In Normal circumstances, if a candidate wishes to change a guide or include a co-guide for valid reasons, the request may be considered as per the merits of the case. However, such cases where the candidate is permitted, he/she can submit the thesis only after ONE year from the date of change of guide and SIX months in case of inclusion of additional guide.

### **II.3: REQUIREMENTS FOR THE AWARD OF Ph.D. DEGREE:**

The requirements for the award of a Ph.D. degree are

- a. Should have been qualified in Pre-Ph.D. Examination wherever necessary.
- b. However, prior to submission of the final thesis the students shall make a presentation of the Ph.D thesis in the department that shall be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the research guide.
- c. The Ph.D. candidates shall publish one research paper in a referred Journal before the submission of the thesis/monograph for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint.
- d. Submission of a thesis based on the research work carried out under the supervision of one or more recognized research guides as per the University norms.
- e. Positive recommendations from the thesis adjudicators and successful defense of the thesis in a viva-voce examination before a committee appointed by the Vice-Chancellor.

#### **II.3.1 Course Work (Pre-Ph.D)**

- a. The course work for Ph.D candidates admitted in full-time, part-time and extra-mural categories is as follows:

PAPER – I: Recent Advances in the concerned discipline

PAPER – II: Special topic concerned with thesis topic including Research Methodology.

PAPER – III: Seminar

The instruction for course work shall be limited to one semester.

Papers I & II shall be theory papers for 100 marks each with four credits. Paper III is a seminar to be given by the candidate, which carries 50 marks with two credits. The Departmental Research Committee of the concerned department shall prescribe the syllabi for paper-I while the syllabi for paper II shall be provided by the concerned research guide. The

paper setting is to be done by External examiners. The candidate shall give a seminar on the research topic emphasizing the importance of the problem, review of literature, methodology and techniques to be adopted including interpretation of data and the expected outcome. The seminar is open to all members of the department. In case of full-time and EMR candidates, these examinations are to be conducted before 9 months from the date of registration, while in case of part-time candidates the examination is to be conducted before 18 months from the date of registration. The date of payment of fee at the time of admission will be treated as the date of registration.

b. The following credits are allotted for each paper

Paper –I	-	4 credits
Paper-II	-	4 credits
Seminar	-	2 credits

Award of grades:

S.No.	Range of Marks	Grade	Grade Points
1.	> 85%	O	10.0
2.	75% - 85%	A	9.0
3.	67% - 74%	B	8.0
4.	58% - 66%	C	7.0
5.	50% - 57%	D	5.0
6.	≤ 49%	F	0.0
7.	Incomplete (Subsequently changed into pass or D to O grade on subsequent appearance of the examination, and corresponding grade points will be awarded)	I	

The candidate must obtain a minimum of D-Grade in each theory paper and seminar for a pass.

A minimum of 5.5 CGPA has to be secured for a pass in the Pre-Ph.D. examination.

c. In case of failure in any course or courses the candidate may be permitted to re-take the examination, only once. If the candidate fails again he/she must seek fresh admission.

In case a candidate does not apply or appear for an examination scheduled after he/she gets eligibility to write the examination he / she will be treated as failed.

### **III.3.2 Review of Progress :**

The candidate has to submit the first Progress Report on the research work carried out during the first 12 months from the date of joining. Subsequently he/she needs to submit a detailed progress report for every six months. All the progress reports duly certified by the Guide(s) need to be submitted through the Head of the Department endorsed by the Chairperson Board of Studies to the Principal concerned. Further the progress after submitting the written documents as mentioned above, must be presented before the DRC. The DRC members will review the progress and submit their specific recommendations to the Principal concerned. Wherever the candidate is exempted from writing pre-Ph.D. examination, the first progress review will be made after six months from the date of joining.

The EMR and Part-Time candidates are required to make a presentation before the concerned DRC once an year in addition to the submission of progress report as detailed above.

The review of the progress is applicable for all categories of candidates presently pursuing Ph.D. on the University roles.

### II.3.3: Thesis

- a. After passing the Pre-Ph.D. examination and completing the research work, the candidate shall submit his/her thesis on the concerned topic of research.
- b. The thesis shall be submitted through the concerned department in the campus in respect of scholars working in all the Research Centers of University Colleges, Affiliated colleges, and other recognized Research Centers.
- c. Prior to submission of the thesis the students shall make a presentation of the Ph.D thesis in the department that shall be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor.
- d. Prior to submission of the thesis 30 copies of the synopsis should be submitted to the University along with a list of national experts from outside the University to facilitate its circulation among the members of BOS and other experts with a request to suggest the names of the experts in the field of research carried out by the candidate for inclusion in the panel of adjudicators of the thesis. The University will in turn pass on such lists to the Chairperson, BOS for consideration in the preparation of expert panels.
- e. Chairperson, Board of Studies in consultation with guide(s) will also submit three Panels of Experts consisting of not less than six names in each panel with full postal and e-mail addresses and contact numbers to the University as detailed below:

Panel I - List of Foreign Examiners

Panel II - List of Indian Examiners

Panel III - List of Experts from UGC suggested panel in the concerned discipline. In the absence of such list the Chairperson, Board of Studies may also provide Panel III with Indian Examiners.

All the three panels should be duly signed by both the research guide(s) and the Chairperson, Board of Studies.

- f. On completing the research work, the candidate is required to submit four copies of the thesis on the subject of his / her research. Out of four copies at least one should be hard bound and others can be of soft bound. The thesis should be typed on A4 size paper with 1.5 line spacing in Times New Roman or compatible font with 12 font size.
- g. Every thesis should make a distinctive contribution to the existing knowledge of the subject and afford evidence of the candidate's originality, whether based on new facts discovered by himself/herself or new relations of facts observed by others, whether constituting an exhaustive study and criticism of published work of others or forming a valuable contribution to the literature of the subject contributing to the advancement of knowledge.
- h. It must be satisfactory as regards to literary presentation and must be suitable for publication either as submitted or in an abridged form.
- i. A candidate may utilize for his/her thesis the contents of any work which he/she may have already published on the subject. But he/she shall not submit the whole or any substantial part of the work for which a degree has been conferred on him/her by the Andhra University or any other University.
- j. The candidate may also enclose to his/her thesis and printed contribution or contributions to the advancement of the subject which he/she may have published independently or jointly with others.
- k. The thesis in all subjects shall be written and submitted only in English except in language subjects where the candidate shall have the option of writing the same either in

English or in the language concerned. Where the thesis is submitted in a Language other than English, a detailed summary in English version of the thesis shall also be submitted.

1. Candidates working for Ph.D in subjects such as Music, Fine Arts and Theatre arts can write their theses in English, Telugu or Hindi. If the thesis is not written in English a detailed summary in English should accompany the thesis.

#### **II.3.4 Attendance**

A full-time candidate shall be required to put in a minimum of 75% attendance. Condonation for shortage of attendance will be permitted only on medical grounds. Condonation cannot be granted to candidates with less than 66% attendance. The monthly attendance particulars should be sent to the Principal concerned in the first week of every month.

#### **II.4. EVALUATION OF Ph.D. THESIS:**

- a. The Ph.D. thesis shall be adjudicated by three examiners selected by the Vice-Chancellor one from each of the panels suggested above in clause II.3.3.e. In case of theses in Fine Arts including Music and National Languages other than English, Panel –I may also be replaced by Indian Examiners. If all the three examiners recommend the thesis for the award of Ph.D. there shall be a viva-voce examination with internal examiners. In cases where a foreign examiner is not fixed within two months or has not sent the report within six months from the date of dispatch of the thesis (by airmail) the Vice-Chancellor may consider the change of the foreign examiner with another foreign examiner. Also in cases where the Indian examiners do not send the reports within four months from the date of dispatch of thesis, the Vice-Chancellor may consider with the nomination of alternative examiners. In case no foreign examiner is fixed within eighteen months from the date of submission of panel of examiners, the Vice-Chancellor may nominate an Indian examiner in place of the foreign examiner.
- b. While sending the offer letter to the adjudicators, only one Foreign examiner from panel I and two Indian examiners one each from panels II and III shall be contacted at any given time. However, to save time in fixing the examiners, the Vice-chancellor may simultaneously suggest alternate examiners, in order of priority, to be contacted in case of necessity.
- c. The viva-voce relating to Ph.D. thesis shall be conducted by a viva-voce committee to be appointed by the Vice-Chancellor. The concerned research director shall be the convener of the viva-voce research committee. The viva-voce committee shall consist of
  1. The Head of the Department (all the concerned Heads, in the case of interdisciplinary).
  2. The Chairperson of the Board of Studies (all the concerned chairpersons, in the case of inter-disciplinary)
  3. One of the Indian examiners who adjudicated the thesis (nominated by the Vice-Chancellor wherever necessary)
  4. One subject expert from within the department – to be nominated by the Vice-Chancellor
  5. Research Guide(s)- Convener

In case of EMR candidate the External Guide and for PT candidate the Guide from the University will be the Convener of the Viva-Voce Committee. Further where ever there is a co-guide, he will also be a Member of the Committee.

- d. The viva is to be conducted in the presence of the external member wherever nominated and at least three other members from the Viva-voce committee.
- e. Members of the DRC are required to attend the Viva-Voce examination. The research guide shall be the Convener of the Viva-voce Committee. In case if the guide superannuates from

the University service or is on long leave/ deputation or can not attend on any other valid reasons the co-guide/ Chairperson will be the convener. The Viva is open to all members of the department and allied departments. The candidate shall have to successfully defend his/her work to the satisfaction of majority members of the Viva-Voce committee.

- f. If the reports of all the examiners are favorable the candidate shall be permitted to take Viva-voce and he/she shall be awarded the Ph. D degree on the recommendation of the Viva-voce committee.
- g. If all the examiners reject the thesis the registration of the candidate stands cancelled.
- h. If a thesis is approved by two examiners and suggested for revision by the third examiner or the thesis is approved by one examiner and suggested for revision by two examiners or all three examiners ask for revision, the candidate will be permitted to resubmit and it will be referred to the same examiner(s), who have suggested for revision and resubmission. At the time of resubmission the guide has to certify that all the suggestions made by the examiner(s) have been incorporated.
- i. If two of the examiners approve the thesis and one rejects, or vice-versa or if one of the examiners approves the thesis, one rejects and the other asks for revision, the candidate may be permitted for resubmission. However, in such cases, the examiner(s) who have rejected the thesis shall have to be replaced by new examiner(s) while keeping the other examiner(s) the same. A time limit of six months shall be enforced for resubmission in all such cases.
- j. If two of the examiners ask for revision and one examiner rejects the thesis or one examiner asks for revision of the thesis and the remaining two reject the thesis, resubmission may be permitted. In this case, however a fresh set of all the three examiners has to be appointed. A minimum time limit of six months shall be enforced in these cases as above.
- k. If the re-submitted thesis is again rejected by all the three, the candidate shall not be permitted to re-submit it on a subsequent occasion and his registration lapses. If, however an examiner asks for re-submission, the candidate may be allowed to re-submit and it shall be sent to the same examiner. If one of the examiners accepts, the revised thesis conditions in clause-(h) above shall be applicable.
- l. The summary report of the thesis should be accompanied by a detailed report. In case, the thesis is recommended for revision or rejected outright the reason for the same have to be incorporated in the report.
- m. A candidate who is not successful at the Viva-Voce may be permitted to take the viva-voce a second time within a period of three months. No candidate shall be permitted to take the viva-voce more than twice. If the candidate fails for the second time, the case shall be disposed off by the Vice-Chancellor on its merits.
- n. After the completion of the Viva-Voce examination, the Convener of the Viva-Voce Committee will submit the recommendations along with the Corrected final copy of the thesis in Hard Bound and two soft copies in CD form for placing them in the University library and on INFLIBNET through UGC respectively.

## **II.5 CONVERSION FROM FULL TIME TO PART TIME & RE-REGISTRATION**

- a. Candidates pursuing full-time Ph.D. programme may be permitted to convert into part-time M.Phil./Ph.D. programme provided they satisfy the eligibility conditions for part-time notwithstanding the length of service.

- b. However, conversion from Part-time to full-time is not possible, unless the candidates fulfill all the criteria for admission into full-time category.
- c. The above norms are in addition to the guidelines mentioned against II.2.c.

## **II.6 FEE STRUCTURE**

The fee structure, including the adjudication fee, for Ph.D. programmes will be decided by the University from time to time. In case of re-registration the fee structure prevailing as on that date shall be applicable.

**Notwithstanding anything contained in the above in exceptional cases, the Vice-Chancellor can review and take a decision which is final.**

### III. GUIDELINES FOR RECOGNITION OF RESEARCH GUIDES

- a. Any teacher with one year of service after obtaining Ph. D in any department of A.U. Colleges or its P.G. Campuses or in School of Distance Education can be recognized as research guide if he/she has published two research papers in refereed journals. The quality of publications of the teacher has to be endorsed by the concerned Departmental Research Committee (DRC).
- b. Any teacher with 10 years of experience without a Ph.D in any department of A.U. Colleges or its P.G. Campuses or in School of Distance Education becomes eligible to guide the research students as soon as he/she is awarded Ph.D. and published at least two research articles in referred journals.
- c. Any teacher, having put in two years of service after obtaining Ph.D. and possessing two publications as mentioned above, working in a P.G. Department of an affiliated college and recruited through a duly constituted selection committee is eligible to be recognized as a Co-Research Guide.
- d.
  - i) Any University can be considered as a research centre and any teacher who is in active service of that University can apply for recognition as a research guide, provided the application is routed through the parent University and the University issues "No objection certificate". Since the guidelines provided refers to the full-time employees of other Universities, enabling them to guide the Research Students registered for admission into Ph.D. / M. Phil in Andhra University, it is suggested to recognize such employees as Co-guides to Guide Part-time Research Scholars of M.Phil/Ph.D. programme.
  - ii) Those teachers working in Andhra University who wish to be recognized as Guides of other Universities or other similar academic institutions which are awarding M. Phil. and Ph.D. degrees should obtain prior permission from Andhra University by processing the same through DRC and the concerned Principal.
- e. Any teacher having Ph. D. awarded at least three years prior to joining service in any department of A.U. College or its P.G. Centers or in School of Distance Education can be recognized as research guide if he/she has published a minimum of two papers in referred journals. The quality of the publications of the teacher has to be endorsed by the concerned Departmental Research Committee (DRC).
- f. Any scientist or researcher working as a regular employee in an Institute / Research Centre recognized by University as a Research Centre having put up two years of service after obtaining Ph. D degree is eligible to be considered as research guide if he/she has publications as mentioned in (a) above.
- g. The Departmental Research Committee (DRC) of the relevant Department at Andhra University campus, Visakhapatnam processes the application for recognition as research guide and forwards it to the Principal of the concerned University College. The Principal will give necessary orders for recognition based on the recommendation of DRC and approval of Vice-Chancellor.  
A copy of the proceedings issued by all the constituent colleges of the University shall be sent to the Convener, BRS for record and compilation.
- h. The registration of a candidate can be done either at university department or any Institution recognized by the university as a centre of research.
- i. The Number of Ph.D. candidates to be allotted to each teacher is as follows:  
As per the UGC Guidelines a Research Guide shall not have, at any given point of time, more than Eight Ph.D. Scholars and Five M.Phil. Scholars which include all categories.  
Two Part-time Ph.D. / M.Phil. candidates shall be considered as one full-time Ph.D. / M.Phil. candidate for the purpose of counting.

Candidates registered for Ph.D. (Full Time and EMR) and Ph.D. (Part Time) need not be counted after completion of four years and five years respectively for purpose of determining the limit of number of candidates under each guide. Similarly candidates registered for M.Phil. (FT) and M.Phil. (PT) need not be counted for fixing up the limit after completing 18 months and 2 years of period from the date of registration respectively.

- j. Teachers on lien shall include an eligible teacher from their departments as co-guide for every research student working under their guidance.
- k. Further, in case the teacher extends his lien period beyond one year, the co-guide shall be nominated as the Principle guide and incase the teacher on-lien wishes to continue to guide the candidate he can do so as co-guide for a maximum of two years from the date of sanction of initial lien.

**As per the minutes of the BRS meeting held on 29-05-2010**

The teachers and Scientists from Institutions recognized as Research Institutions, interested to guide the research scholars registered for Ph.D. in Andhra University under part-time category may be permitted to be included as co-guide(s), while a teacher from the University will act as the guide.

**Existing rule position:**

- l. Any retired teacher willing to continue to guide the candidates already registered under him / she even after retirement can do so as Principal Guide for the first two years and as co-guide later up to a maximum period of 5 years from the date of superannuation. However, at the time of retirement a co-guide needs to be nominated. After two years of such nomination the co-guide will be the principal guide and the retired teacher can continue to guide the candidate as a co-guide if he / she wish to do so.

**Amended rule position: III.L**

**(As per the Minutes of the meeting of the BRS held on 29-05-2010)**

Any retired teacher willing to continue to guide the candidates already registered under him/ her even after retirement can do so as Principal Guide for the first two year and as co-guide there after. However, at the time of retirement a co-guide needs to be nominated. After two years of such nomination the co-guide will be the principal guide and the retired teacher can continue to guide the candidate as a co-guide if he/she wishes to do so. The co-guide should be from the same department, whether or not a co-guide already exists from other department.

- m. No fresh allotment of candidates will be made if the superannuation of a teacher falls within one year from the date of admission.
- n. A retired teacher may act as Research Guide for full-time, if he/she is appointed as Emeritus Professor and or if he/she has a Major Research Project with Junior Research Fellowship/Senior Research Fellowship.
- o. Teachers who resign / retired voluntary from service shall include an eligible teacher from their departments as co-guide for every research student working under their guidance. However, their guideship will be terminate in one year from the date of resignation/voluntary retirement, while the co-guide will become the Principal Guide.
- p. Not withstanding anything stated above, recognition may be bestowed on persons with exceptional merit by the Vice Chancellor.

Note: The application for recognition as Research Guides need to be obtained from the Office of the Principal, College of Science and Technology on payment of a prescribed amount by way



of Demand Draft drawn in favor of the “Convener Board of Research Studies, College of Science and Technology, AU”.

**Notwithstanding anything contained in the above in exceptional cases, the Vice-Chancellor can review and take a decision which is final.**

#### **IV GUIDELINES FOR RECOGNITION OF INSTITUTES AS CENTRES OF RESEARCH**

The following types of institutions may be considered as centers of research:

- a. Any post-graduate department of a college or any college offering PG professional courses recognized by the AICTE, BCI, MCI, and PCI affiliated to Andhra University in which there are at least two eligible guides in each department with adequate laboratory and library facilities.
- b. Any Government Institute (Central or any State) where research activity is one of the major functions of the institute, having at least two persons qualified to guide research.
- c. Any institute in private sector where the major activities are in research, having at least two persons qualified to guide research.
- d. The process of awarding recognition will be initiated on receipt of application from the Institute in a prescribed proforma. Recognition to these institutions will be given by the Vice-Chancellor based on the recommendations of a committee appointed by the Vice-Chancellor to examine the infrastructure and other facilities. These institutions will be required to bear the cost of inspection. Institutions thus recognized as research centers shall pay a recognition fee as prescribed by the University from time-to-time.
- e. In case of institutions of national and international eminence, the Vice-Chancellor may recognize them as research centers for offering M.Phil. and Ph.D. programmes based on the information provided by the institutions and the recommendations of the Board of Research Studies.

Note: The application for recognition for Research Centers need to be obtained from the Office of the Principal, College of Science and Technology on payment of prescribed application cost by way of Demand Draft drawn in favor of the “ Convener Board of Research Studies, College of Science and Technology, AU”. All the completed applications need to be submitted to the Convener, BRS, and Principal, A.U. College of Science and Technology, Andhra University, along with processing fee prescribed from time-to-time.

**Notwithstanding anything contained in the above in exceptional cases, the Vice Chancellor can review and take a decision which is final.**

#### **V. RULES, REGULATIONS AND CONDITIONS TO BE FULFILLED BY AFFILIATED COLLEGES FOR RECOGNITION AS RESEARCH CENTRES**

- a. The P.G. Course in Science /Arts and Commerce/Engineering/Pharmacy must be in existence for at least five years.
- b. Necessary amount per course as prescribed by the university should be invested for procurement of latest journals and books.
- c. An amount per course prescribed by the University should be invested to upgrade the Laboratory facilities for the courses.
- d. At least two faculty members eligible for recognition as research guides should be associated with the course to be recognized.
- e. A minimum of two years working experience for the faculty in teaching the course in the college after obtaining Ph.D. having at least two research articles in referred journals (exemption can be given to those who worked as full-time research guides in a recognized University prior to joining the College).
- f. Failure to ensure the recognized research guide's stay in the college for a period of three years from the date of admission of the candidates into research will attract a penal fee as prescribed by the University from time to time.

- g. If the teacher is retired or leaves the Institution the research student may be transferred to any other eligible guide or to any other centre recognized by Andhra University.
- h. In case of admission in affiliated colleges recognized as research centers of Andhra University, there shall be a co-guide from the concerned academic department of the constituent college or PG center of Andhra University.

**Notwithstanding anything contained in the above in exceptional cases, the Vice Chancellor can review and take a decision which is final.**

## **GUIDELINES AND FUNCTIONS OF THE DEPARTMENTAL RESEARCH COMMITTEE**

The term of the Departmental Research Committee is for a period of three years or coterminous with Chairperson, Board of Studies which ever is earlier. The composition of the Committee is as follows :

4 Professors, 3 Associate Professors, 2 Assistant Professors, Head of the Department and Chairman, Board of Studies. All the members must have doctoral degree.

The Head of the Department is the Convener of the Committee. The Chairman, Board of Studies is the Chairman of the Committee. If there are no adequate number of teachers in any cadre in the Department, those places may be filled in by the teachers of other cadres. But the strength of the Committee shall not exceed 11(Eleven) in any case.

The members in the Committee must be on rotation basis if the strength of the teaching staff of the department is more than 11.

The functions of the Departmental Research Committee are :

1. To fix up the number of seats in M.Phil./Ph.D. to be filled every year for research admissions (the strength of the candidates with a guide at any time shall not exceed the number given in Research Regulations).
2. To assist in preparation of the Academic Calendar for M.Phil./Ph.D. programmes for the academic year.
3. To decide areas or topics of research to be pursued by the M.Phil./Ph.D. students at the time of admission.
4. To recommend syllabi for M.Phil./Pre-Ph.D. course work for approval by BOS.
5. To suggest panel of examiners and paper setters for M.Phil./Pre-Ph.D. examinations to the BOS.
6. To prepare Data base of experts for each specialized area which can be used for the preparation of panel of examiners for adjudicating the M.Phil./Ph.D./ D.Lit/D.Sc. dissertations / thesis. The data base may be periodically updated and made available to BOS.
7. To participate in all the Viva-Voce examinations and seminars of the M.Phil./ Ph.D. programmes.
8. Any other functions referred to by the Convener, Board of Research Studies or the Vice-Chancellor.
9. DRC of parent department in the University campus shall nominate Doctoral Committees, process the submission of dissertation, etc for the scholars working in all the Research Centres in the University Colleges and affiliated colleges, and departments without BOS.
10. DRC should conduct the seminars by Research Scholars before submission of the progress report for every six months.
11. For all the admitted candidates into M.Phil./Ph.D. (FT/PT), the Committee must assign a guide as per the UGC/ University norms.
12. The D.R.C. must follow the guidelines of the B.R.S. prescribed from time to time.

Note: All special cases which do not fall under the above categories will be discussed at the BRS for final recommendations.