UKA TARSADIA UNIVERSITY, BARDOLI

Academic Regulations

For

Ph. D. Program 2016
(As per University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./PH.D Degrees) Regulations, 2016)

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These Regulations may be called **Uka Tarsadia University (Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2016.**

They shall come into force from the 1st September, 2016.
(Only for those registered on or after 1st September, 2016. All scholars registered before the date will be governed by earlier rules)

1. **Objectives**

The objectives of the Ph.D. programme are to keep pace with the expanding frontiers of knowledge and to provide research training relevant to the present socio-economic and technological need of the country. The University also undertakes sponsored research and development projects from industrial and other organizations in the public as well as private sector.

2. **Procedure For Admission**

2.1 The University will invite applications from the scholars through advertisement in the press or on the website. Scholars, who intend to register for Ph.D., have to apply in a prescribed form available on the website.

2.2 Admission to the Ph.D. programme shall be based on the Entrance Test, except for those who have cleared NET/SLET/M.Phil./GATE/GPAT examination followed by an interview of the eligible scholars.

2.3 Entrance test may be waived by the Research Committee (RC) for the richly experienced scholars from the industry in special cases only.

2.4 In case of Research Fellows (JRF, SRF etc.) or Research Associates connected with the Sponsored/Funded Research Projects and those who have been appointed through proper procedure set by the University/permited by the Provost may be deemed to be eligible for admission to the Ph.D. course, on recommendation of the concerned guide, without taking entrance test. Such scholars will be admitted to the Ph.D. course at any time during the year.

2.5 At the time of interview, doctoral scholars are expected to discuss their research interest/area through a presentation before Research Committee and submit a research proposal along with the work-plan.

It shall also consider whether

a. the candidate possesses the competence for the proposed research;

b. the research work can be suitably undertaken at the Institution/College;

c. the proposed area of research can contribute to new/additional knowledge.

2.6 Applicant can apply either as full time or part time scholar. In case of full time, scholar needs to remain present for full time at constitute Institute/ University department wherever he/she is registered, subject to fulfilment of admission procedure.

2.7 The number of seats for Ph.D. will be notified on the university website or through advertisement.

3. **Entrance Test**

3.1 Entrance test shall be based on MCQ type questions. There shall be 100 MCQ each of 1 mark. Duration for this shall be of 120 minutes.

3.2 The syllabus of the Entrance Test shall consist of 50% of research methodology and 50%
shall be subject specific.
3.3 An Entrance Test shall be qualifying with qualifying marks as 50%.
3.4 Validity of entrance test score is of two years from the date of Entrance test result.
3.5 For course details scholars are requested to refer university web site.

4. Eligibility

4.1 Candidates for admission to the Ph.D. programme shall have a Master’s degree or a professional degree declared equivalent to the Master’s degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade ‘B’ in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

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

4.3 Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.

4.4 A person who’s M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution;

4.5 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from

Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

5. Duration

5.1 Full time Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

5.2 Part time Ph.D. programme shall be for a minimum duration of four years,
including course work and a maximum of seven years.

5.3 After submission of synopsis, the scholar has to submit thesis within 6 months subject to condition 16(7) and 16(8) of Evaluation method.

5.4 In case the scholar is unable to submit thesis within 6 months, then prior approval shall be taken from Provost for extension in submission of thesis. In such case scholar has to pay fee of extended term(s).

5.5 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

6. Fees

Fees per semester shall be as per schedule.

7. Eligibility Criteria for Supervisor (Guide)

7.1 A person who desires to be a Ph. D supervisor has to submit application in prescribed form to dean PG.

7.2 Any regular full time Professor of the Uka Tarsadia University with at least five research publications in refereed journals and any regular full time Professor/Associate/Assistant Professor of the UTU with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

7.3 Provost may invite supervisors in special case where there is non-availability of supervisor in particular Faculty.

7.4 Provided further that before recognising the teacher as a Ph.D. guide who meets with the above requirements a Research Committee (RC) should scrutinize the potential of the teacher.

7.5 A Supervisor shall not have, at any given point of time, more than the following number of Ph.D. scholars (including students from all universities in the state of Gujarat):

- Professor: 8
- Associate Professor: 6
- Assistant Professor: 4

7.6 A supervisor shall be permitted to continue as guide on his/her retirement after obtaining written permission from the provost.

8. Research Committee

Research Committee shall consists of

A) Dean, of Doctoral Studies & Research (Chairman)
B) Dean of the faculty concerned,
C) One member nominated by Provost
D) Directors of constitute institutes/Head of University Department (Ex-officio)
9. Recognized Supervisor (Guide)

9.1 It shall be the prerogative of the scholar to choose a suitable recognized supervisor in relation to his/her research topic.

9.2 The selected person should be a recognized supervisor of this University.

9.3 The list of recognized supervisors will be furnished on the University website at www.utu.ac.in.

9.4 Further information and details about the recognized supervisors can be obtained from the university office.

9.5 The recognized supervisor shall officiate up to the age of 70 years and he/she shall not enrol new scholars after the retirement.

9.6 Duties of the recognized Supervisor (Guide):

a. The supervisor should give the consent and No Objection Certificate (NOC) obtained from the Director / Principal for officiating as a supervisor for the scholar to be registered.

b. The supervisor shall sign all the papers, declarations, certifications, authentications, log books and other related documents pertaining to the registration, submission of synopsis and thesis of the registered scholar.

c. The supervisor shall serve as a Convener to interact with the University.

d. The supervisor shall supervise and interact with the University for the scholars who have already submitted the thesis till a final decision is arrived.

e. The supervisor shall also be the convener and a member of the panel to conduct the open Viva Examination.

f. The supervisor shall interact with the co-guide, who may be entrusted to continue the research work of the scholar when he/she is not in a position to do the same under the following situations;

i. When the supervisor has completed 70 years and till a new recognized supervisor takes over.

ii. When the supervisor is on a long leave (three months and above).

iii. When the supervisor is sick or on medical leave.

iv. Other unforeseen circumstances.

v. Till a new supervisor is selected and appointed with the approval of the university the co-supervisor shall assist the scholar in his/ her research work.

9.7 The change of supervisor shall be considered only under special circumstances with the approval of the University and the scholar has to choose a new supervisor in accordance with the Ph.D., Regulations.

9.8 Only one change of supervisor shall be permissible under normal circumstances.

9.9 In case a scholar selects a faculty member who is not a recognized supervisor, then the selected member should first apply to the University for Recognition as a supervisor by submitting the duly filled-in new supervisor recognition form.

9.10 The new supervisor after getting the official recognition from this university shall be entitled to function as a full-fledged supervisor.

9.11 In case of detection of any discrepancy, conflict of interest, unethical activities, academic dishonesty etc., the university shall initiate appropriate administrative and disciplinary actions that may lead to the cancellation and debarring of the
supervisor-ship at any stage.

10. Recognized Co-Supervisor (Co-Guide)

Co-Supervisor can be allowed in inter-disciplinary areas from other departments or from other related institutions of UTU with the approval of the Research committee. However UTU may recognise person working outside UTU in other academic institutions/research organisations/universities as recognized Co-supervisor under the following circumstances:

“On recommendation of Ph. D. supervisor for a particular research scholar that he/she guiding, requires technical expertise of internal/external Ph. D. Co-Supervisor for his/her research work”.

10.1 Eligibility Criteria for Co-Supervisor (Co-Guide)

1. A person who desires to be a Co-supervisor (Co-guide) has to submit application in prescribed form to Dean PG.
2. Shall have Ph.D. degree
3. Shall be recognized Ph. D. Supervisor (Guide) of his/her university. (if in academics)
4. Shall have obtained Ph. D. at least TWO years before the day of application
5. Shall have at least 5 years of teaching / research / industry experience. Industry experience must be of managerial level, in case of only industry experience.
6. Shall have at least Five research papers published in accredited / indexed national / international journals and being in the authors’ area of specialization. Out of which at least two research papers shall be published in last two years

10.2 The recognized Co-supervisor (Co-guide) shall be eligible to work as co-guide up to the age of 70 years. However the Co-supervisor (Co-guide) shall not enrol new scholars after the retirement.

10.3 Each recognized Co-supervisor (Co-guide) shall be entitled to enrol research Scholar as mentioned in 7.4.

10.4 Duties of the recognized Co-Supervisor (Co-Guide)

The Co-Supervisor (co-guide) shall provide guidance and offer professional/ technical assistance to the registered scholar when the selected guide is not in a position to provide the same.

10.5 In case of detection of any discrepancies, conflict of interest, unethical activities, academic dishonesty etc., the university shall initiate appropriate administrative and disciplinary actions that may lead to the cancellation and debarring of the Co-Supervisor (co-guide) at any stage.

11. Allocation of Supervisor

The allocation of the Supervisor for a selected scholar shall be decided by Research Committee (RC) of the university.
12. Ethical Committee Clearance

A. Ethical committee clearance for experiments on human subjects

1. Every institution giving consent and approval to do research work should have an Ethical Committee.

2. The Ethical Committee shall be constituted according to the guidelines given below:
   a) Chairperson
   b) Basic medical scientists
   c) Clinicians (1-2) from various Institutes
   d) One legal expert or retired judge
   e) One social scientist/ representative of non-governmental voluntary agency
   f) One philosopher / ethicist / theologian
   g) One lay person from the community
   h) Member Secretary

3. The Ethical Committee should study the proposed research project and should give the clearance to conduct the research and sign the certificate of the Ethical Committee clearance enclosed in the Ph.D., Registration Application Form.

4. Absence of the Ethical Committee Clearance will be deemed as an incomplete application which will be rejected.

B. Ethical committee clearance for experiments on animals

1. Every institution giving consent and approval to do research work in its institution involving animal studies should give the consent and approval of the Animal Ethical Committee of its institution.

2. The Animal Ethical Committee may be constituted as per CPSCEA guidelines.

13. Course work – Credit, Content, duration and Evaluation

13.1 Once the Research scholar is admitted to Ph.D. programme, he/she shall undertake course work organised by the University. Full-time, part-time Ph.D. scholars shall be required to go through the course work for one semester. The course work shall be treated as pre-Ph.D. preparation.

13.2 The course work shall carry 12 credits. The concerned department/institution shall decide the details of the course work, teaching schedule and evaluation within the broad framework given below:

13.3 Ph.D. Course Work Structure

- **4 credits** for Research Methodology which includes research methodology, writing a research proposal, Thesis, Research paper, Review Article & Technical Reports. Quality indices of research publication, Ethical issues in research and Intellectual Property and Patent.

- **6 credits** for advanced level subject specific courses. The details of the specific subject shall be decided by the department/institute.

- **2 credits** for Reviewing of published literature and other Academic Activities.

13.4 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D.
programme shall be required to complete the Ph.D. course work prescribed by the Department.

13.5 The evaluation of the course work shall be continuous, internal and external. Field work, seminar, review of research papers, etc., shall form part of continuous and internal evaluation. At the end of the course work all the research scholars shall have to appear for external examinations. The examination may be conducted online or any other method as decided by the university.

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

13.7 Those who fail to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work shall have to reappear in all the passing heads or a single passing head as the case may be.

13.8 Regular (full-time) scholars shall attend their respective departments and/or laboratories according to the pre-arranged time-table and the records of their attendance shall be maintained by the concerned Guide/s.

13.9 Part-time scholars shall be required to take at least six months’ leave from their duty to complete the course work or adjust their course work during the weekends if it is feasible at the University level.

13.10 After the successful completion of the course work, research scholar should assign grade on the final mark sheet as per university passing rules and regulations. A certificate regarding course completion shall be given to the research scholar.

14 Unsuccessful in Course work Examination

1. In case a research scholar is not successful in the Research Methodology/Subject Specific Course Work Examination, the research scholar shall undergo a further course for a period not exceeding three months, at the end of which he/she shall be cleared Research Methodology examination and/or examined again by the same committee for Subject Specific Course Work and if found fit, shall be permitted to proceed with the research work.

2. A scholar who is not successful in the Research Methodology and/or Subject Specific Course Work Examination, even at the second time shall not be permitted to continue and his/her registration shall be cancelled.

15. Extension of time for Research Methodology Examination

16.1 Extension of time shall be considered only on very special circumstances, if adequately substantiated by the scholar in the application forwarded through the guide for consideration by the Provost.

16.2 If extension of time is granted, then fee as prescribed is to be paid as mentioned in the Regulation.

16 Evaluation Method

16.1 The Research Progress Committee (RPC) consisting of
a. Dean of the faculty concerned
b. Directors of constitute institutes/Head of University Department
c. Supervisor, Co-supervisor, if any, and
d. Two experts to be nominated by the Provost/Dean, PG, at least one of whom will be from outside the University, will meet at least once in a term and monitor the progress of the each research scholar and, based on the suggestions of the committee, the research scholar will take follow-up actions.

16.2 Research scholar shall have to complete satisfactory course work of first semester, which shall be treated as preparation work.

16.3 On successful completion of course work, the scholar shall be allowed to undertake research work with his/her Supervisor.

16.4 On completion of every six months, the scholar shall have to submit the research progress report and present his/her work to the Research Progress Committee (RPC).

16.5 In case the progress of the research scholar is unsatisfactory, the Research Progress Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RPC may recommend to the university with specific reasons for cancellation of the registration of the research scholar.

16.6 In case, due to some valid reasons, the scholar is unable to present progress report in time, an application for extension must be made to the chairman, research committee well in advance before the due date of presentation with the prescribed fee.

16.7 Ph.D. scholars must publish at least two(2) research paper in refereed journal and make two(2) paper presentations in conferences/seminars as the principal author in the authors’ area of specialization before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

OR

Scholar shall have filed a complete patent as first researcher substantiated by sufficient evidence before the submission of the thesis and make two(2) paper presentations in refereed journal and make two(2) paper presentations in conferences/seminars as the principal author in the authors’ area of specialization before submission of the thesis for evaluation and produce evidence for the same in the form of presentation certificates and/or reprints.

16.8 Pre-Synopsis presentation cum viva

Apart from above 16(4), the scholar shall have to give open presentation to Research Progress Committee(RPC) before submission of synopsis, which shall be open to all interested persons for getting feedback and comments that shall be suitably incorporated into the draft of thesis under the advice of the supervisor.

16.9 After fulfilment of above conditions for submission of thesis, the scholar shall be permitted to submit synopsis to the University.
17. Submission of synopsis

17.1 Synopsis should be submitted through the guide before the expiry period of the research prescribed.

17.2 The title of the thesis mentioned in the synopsis is the final title and the same title has to be maintained in the thesis.

17.3 Six copies of the synopsis have to be submitted with the prescribed fees and the synopsis submission application form duly filled and signed by the scholar and the guide.

17.4 The synopsis of the thesis should include in brief introduction, aims, objectives, material & methods, observations, inferences, summary & conclusions etc. with a minimum of 15 pages and not exceeding 40 pages.

18. Formatting of Thesis

18.1 The thesis to be submitted by the scholar should be formatted according to the university regulations.

18.2 Every thesis shall have 2 major components;
   a. The certificate component
   b. The Research work component

18.3 The certificate component shall include the following;
   a. Certification and declaration by the scholar.
   b. Certification of the research work by the guide.
   c. Certification of the research work by the co-guide, if any.
   d. While submitting the thesis every scholar shall submit with his/her application, a certificate from the guide/supervisor that the thesis submitted is a record of research-work done by the scholar during the period of study under the guide and co-guide, if any and that the thesis had not previously formed the basis for the award to the scholar of any degree, diploma, associate ship, fellowship or other similar title together with the statement from the guide/supervisor indicating the extent to which the thesis represents independent work on the part of the scholar. If the thesis submitted has formed in part, the basis for the award of a previous research degree, the scholar shall clearly set forth in a preface or written statement the portion or portions which have formed the basis for the award of the previous degree.

18.4 The research work component of the thesis represents the actual research work done by the scholar under the supervision of the guide/co-guide.

It should have the following:
   a. Introduction
   b. Aims and objectives
   c. Review of literature
   d. Scope and plan of work
   e. Materials and methods
   f. Results
   g. Discussion
   h. Summary/conclusions
   i. References
   j. Recommendations, if any
18.5 Annexure, Charts, Graphs, Bibliography and Attached publications are not to be numbered along with the text.

19. Submission of Thesis

19.1 Thesis has to be submitted within 6 months after the submission of the synopsis.

19.2 Every scholar shall submit four hard copies of the thesis along with the duly filled thesis submission application form and signed by the scholar and the guide.

19.3 Every scholar shall submit 2 copies of the electronic version of the thesis in CD.

20. Thesis Evaluation

20.1 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the UTU.

20.2 A panel of at least eight examiners which consisting of four members each from within state and outside state/country with brief bio-data and list of five most recent research papers in relevant fields shall be submitted by the respective dean of the faculty in consultation with supervisor to the Dean PG.

The Provost will appoint any two examiners (one from each category) for evaluation.

20.3 On receipt of satisfactory evaluation reports from both the experts and include a specific recommendation for conducting the viva-voce examination, scholar shall undergo a viva voce examination which shall be open to be attended by Members of the Research Progress Committee, all faculty members of the Department, other research scholars and other interested experts/researchers. Report of viva voce examination shall be submitted to the university.

20.4 In case of difference of opinion between the two experts, the Provost shall appoint a third external expert. If third expert finds the thesis unacceptable, no viva-voce will be held and the thesis be rejected. In case the third expert considers that there is a prima-facie case for the award of the degree, the viva-voce examination of research scholar shall be held at which the expert who is in favour of the acceptance of thesis will be present.

Provided further that when it is decided to appoint third expert the copies of the reports of both the experts, favourable as well as adverse, be sent to the third expert for his perusal, without disclosing the identity of the said both experts.

20.5 Panel of Viva voce shall consist of supervisor and at least one of the two external examiners of the thesis evaluation.

20.6 On receipt of satisfactory report of viva voce examination and after submission of soft copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it
accessible to all Institutions/Colleges, scholar shall be awarded Ph.D. degree.

20.7 In case of rejection of thesis, scholar shall have to re-register himself/herself and the period of completion shall be decided by the research committee.

20.8 In case of modification suggested by experts, the same shall be incorporated in thesis under the advice of the supervisor and to be approved by the experts who has suggested modification once again. In such case scholar will have to pay fee of one more term.

20.9 In case of non-satisfactory performance in viva voce examination, one more chance shall be given to scholar to reappear for viva voce examination with prescribed fees. In case of a non-satisfactory performance again, Ph.D. degree shall not be awarded.

21. Place of Work

21.1 Work shall be carried out at University department /constitute institute/external organization partially or wholly.

21.2 The external organization where a scholar wishes to carry out the research work partially or wholly shall have to be recognized by the University. The recognition to such organization shall be given only for the purpose of individual research project by a particular scholar.

22. Depository

22.1 On the successful completion of the evaluation process scholar should submit one hardcopy and softcopy of the thesis to the university. Hardcopy should be kept in University Library in reference section and soft copy should be made available on university web site.

22.2 The university shall submit a soft copy of the thesis to the UGC within 30 working days for hosting the same in INFLIBNET.