

ORDINANCE-23 (A)

ADMISSION, EXAMINATION AND EVALUATION FOR THE AWARD OF DOCTOR OF PHILOSOPHY

(Under Section 28(1) (b), 28 (1)(c) and 28(1)(g) of the Central Universities Act 2009)

(Approved in the 13th Meeting of Academic Council held on 07.11.2016 and in the 20th Meeting of Executive Council held on 07.12.2016)

This ordinance is based on the “University Grants Commission (Minimum Standards and Procedure for Award of M. Phil./Ph. D Degrees) Regulations, 2016” published in the Gazette of India on 5th July, 2016. It incorporates all the regulations laid down therein.

This Ordinance shall come into force from the Academic Session 2016-2017.

1. Eligibility Criteria for Admission to Ph. D. Programme:

Candidates seeking admission to the Ph. D. programme must have a Master's degree in the concerned/relevant / allied subject with at least 55% marks in aggregate or its equivalent CGPA (where grading system is followed).

2. Reservations and Relaxations:

2.1 Reservations: Reservations in seats for applicants of reserved categories will be provided as per Government of India norms applicable in admissions from time to time.

2.2 Relaxation in Minimum Qualifying Marks: 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. 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.

3. Categories of Ph. D. Candidates: There shall be two categories of candidates:

3.1 Full-time Ph.D. candidates: This category includes research scholars who shall pursue their research for Ph. D. degree at the University as a full time regular scholar.

3.2 Part-time Ph.D. candidates: This category is further divided into two categories:

3.2.1 Part-time Candidates (Internal): A regular faculty of the University with three years of teaching experience at the time of admission shall be eligible under this category. Such candidates will be required to take study leave during the course work.

However, if the course work could be completed by the teacher without affecting his/ her normal teaching load of the department concerned, a study leave in such case is not required. A certificate to this effect from the Head of the Department shall be required for admission to the Ph. D. programme.

3.2.2 Part time Candidates (External): This category includes persons working in Higher Educational and Research Institutions. The candidates have to produce a sponsorship certificate from the Parent Institution.

4 Duration of the Programme:

4.1 Ph. D. programme shall be for a minimum duration of three years, including course work and a maximum duration of five years.

- 4.2 An extension of one year in the maximum duration may be granted by the Academic Program Committee on the recommendation of Research Advisory Committee in special cases.
- 4.3 Provided that the women candidates and Persons with Disability (more than 40% disability) may be allowed an additional relaxation of two years for the Ph. D. programme in the maximum duration. The women candidates may be provided Maternity Leave/ Child Care Leave once in the entire duration of Ph. D. for up to 240 days.
- 4.4 Minimum residence required for full time scholars shall be three years including course work.
- 4.5 However, for Part Time Candidates (External), the minimum residence in the University Department/ Center should be till the completion of course work. The remaining period of minimum duration may be completed with the Co-Supervisor in the Parent Institution, who will be duly appointed by the Research Advisory Committee.

5. Procedure for Admission:

- 5.1. For admission to the Ph. D. programme, the University will notify well in advance in the University website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language. The number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission; examination centre(s), where entrance test(s) shall be conducted and all other relevant information will be provided in the University website.
- 5.2. The University will decide on an annual basis, through Board of Studies of Departments; a predetermined and manageable number of Ph. D. scholars to be admitted; depending on the number of available Research Supervisors and other academic and physical facilities available, taking into account the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities.

5.3 Admission of candidates by a two stage process through:

5.3.1. Entrance Test:

- (a) An Entrance Test shall be conducted by the University for admission to its Ph. D. programme. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Center(s), if any, also will be notified well in advance).
- (b) The 50% of the syllabus for the Entrance Test shall consist of research methodology and the remaining 50% of the syllabus shall be based on specific subject. The qualifying marks of the Entrance Test shall be 50% of the total marks for the Entrance Test. A relaxation of 5% in the qualifying marks shall be granted to SC/ST and Differently-Abled candidates.
- (c) However, candidates who have qualified UGC-NET (including JRF/UGC-CSIR NET (including JRF) shall be exempted from appearing in the Entrance Test.
- (d) The Teacher Fellowship Holders shall also be exempted from appearing in the Entrance Test.

5.3.2. Interview/Viva-Voce: An interview/ viva-voce for the candidates; who qualify in the Entrance Test as well as the candidates, who are exempted from appearing in the Entrance Test, will be conducted in the concerned Department. The candidates will be required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC). The constitution of the Departmental Research Committee (DRC) is given in Schedule-1 of this ordinance.

- 5.4 At the time of interview/*viva voce* , the Departmental Research Committee (DRC) shall consider the following aspects, viz. whether:
- 5.4.1 the candidate possesses the competence for the proposed research;
 - 5.4.2 the research work can be suitably undertaken at the Department;
 - 5.4.3 the proposed area of research can contribute to new/ additional knowledge.

The interview/viva voce shall be of 100 marks.

- 5.5 On the basis of marks awarded in the interview/*viva-voce*; a merit list of the candidates possessing the competence for research will be prepared. The candidates not possessing the competence for research will not be considered for inclusion in the merit list.
- 5.6 The admission to Ph. D. programme of a Department will be based strictly on the basis of merit list prepared on the basis of marks obtained by the candidates in the interview/*viva-voce*. Department / Discipline wise reservations will be applicable while admitting the students.

6 Eligibility Criteria for Supervisors and Co-Supervisors:

- 6.1. Only a full time regular teacher of the University can act as a supervisor. The external (outside the University) supervisors are not allowed.
- (a) Any full time regular Professor of the University with at least five research publications in refereed journals may be recognized as Research Supervisor.
 - (b) Any full time regular Associate Professor of the University with a Ph. D. degree and at least two research publications in refereed journals shall be eligible as Research Supervisor to guide the Ph.D. research scholars.
 - (c) Any full time regular Assistant Professor of the University, with a Ph. D. degree having at least three years of teaching experience at PG level and who has published at least two research papers in refereed journals, shall be eligible as Research Supervisor to guide the Ph.D. research scholars.
Provided that the condition of “*at least three years of PG teaching experience*” for an Assistant Professor may be relaxed by the Vice-Chancellor in exceptional cases on the recommendation of Board of Studies (BOS) and Dean of the School concerned for the reasons to be recorded.
- 6.2 In areas/discipline where there is no or only a limited number of referred journals, the Board of Studies (BoS) may recommend for relaxation in condition of publications for recognition of a teacher as research supervisor. The recommendation of BoS for relaxation in condition of publication shall be effective after its ratification by the APC.
- 6.3 Co-supervisor can be allowed in interdisciplinary areas from same/ other departments of the University or outside the University/ research institutions with whom the University has entered a Memorandum of Understanding.
- (a) Provided further that the Emeritus Professors, Honorary Professors, Adjunct Faculty of the University shall be eligible to guide as Co-Supervisor for Ph. D. scholars.
 - (b) Provided further that an Inspire Faculty in the University may also act as a Co-Supervisor.
 - (c) The recognized faculty / adjunct faculty of the institution(s) with whom the University has entered into an MOU for teaching / research collaboration should be appointed as co-supervisor(s) only if they hold Ph.D.degree with at least 3 years of teaching experience at PG Level/ 5 years of research experience.

Provided further that in case a research supervisor, under whose supervision a thesis has been prepared in part or in full, ceases to be a teacher of the University, he/ she may, subject to his/her availability shall be continued as research supervisor of the scholar already registered under his/ her supervision. However, in such cases, a regular faculty member from the department/centre shall be appointed as co-supervisor.

7 Allocation of Research Supervisor and Co-Supervisor:

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

7.2 The maximum number of Ph. D. scholars allocated to a Research Supervisor/ Co-Supervisor at any given point of time shall be as follows:

- (i) Professor – 08 (Eight)
- (ii) Associate Professor – 06 (Six)
- (iii) Assistant Professor – 04 (Four)

However; in any academic session, up to 50% of vacant seats under a research supervisor; shall be available for allocation to research scholars. While calculating the 50% of vacant seats, the fractions may be rounded off to the next higher digit.

7.3 In case of topics which are of inter-disciplinary nature where the Board of Studies (BoS) of the concerned Department feels that the expertise in the Department has to be supplemented from outside, it may appoint a Co-Supervisor from outside the Department/ School/ the University as given in the clause 6.3 Provided that the Co-supervisor shall be appointed with the approval of the Research Advisory Committee (RAC).

7.4 In case of relocation of a Ph. D. woman 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 letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

8 Course Work: Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

8.1. The course work shall be treated as prerequisite for Ph. D. preparation. The credit assigned to the Ph. D. course work shall be 16 credits.

8.2 A minimum of four credits shall be assigned to a course on Research Methodology which could cover areas such as quantitative methods, computer applications, and research ethics. Review of published research in the relevant field will be assigned four credits. Credits may also be assigned for training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph. D. degree.

8.3 The structure of the Course Work is given in the **Schedule-1** of this Ordinance. The medium of instruction and examination for the courses shall be prescribed by the respective Board of Studies

8.4 All courses prescribed for Ph. D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Academic Council.

- 8.5 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar.
- 8.6 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 8.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and all the faculty members imparting instructions to various courses and the final grades shall be communicated to the University.
- 8.8 A Ph. D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the programme and submit the thesis.

9 Evaluation of Course Work and Grading System:

The syllabi, teaching and evaluation of the course work shall be followed on the pattern as mentioned in ordinance 22(A) and 22(B). However, all the question papers for the Ph. D. course work shall be set and evaluated internally by the teacher(s) imparting instructions.

- 9.1 For the course work, the candidate will be evaluated using grading system based on a **Ten (10) point scale** in terms of marks, grade points, letter grade and class.
- 9.2 The performance of a student within a semester shall be indicated by the (a) Semester Grade Point Average (SGPA) and (b) Cumulative Grade Point Average (CGPA). These shall be calculated as under:

$$SGPA = (\sum C_i G_i) / (\sum C_i)$$

$$CGPA = (\sum \sum C_{ni} G_{ni}) / (\sum \sum C_i)$$

Where

C_i = number of credits in i^{th} course,

G_i = grade point obtained in the i^{th} course,

C_{ni} = number of credits of the i^{th} course of the n^{th} semester,

G_{ni} = grade points of the i^{th} of the n^{th} semester.

9.3 Course-wise Letter Grade & Grade Point:

Accordingly, the marks obtained by a student in a course will be indicated by a grade point and a letter grade on a **Ten (10)** point scale as under:

PERCENTAGE OF MARKS	GRADE POINT	LETTER GRADE
91-100	10	O (Outstanding)
75-90	9	A ⁺ (Very good)
65-74	8	A (Good)
55-64	7	B ⁺ (Average)
50-54	6	B (Pass)
0-49	0	C (Fail)

A student obtaining grade C in a course shall be considered fail in the particular course and he/ she will be required to reappear in the examination.

For non credit courses "Satisfactory" or "Unsatisfactory" shall be indicated instead of the letter grade and this will not be counted for the computation of SGPA/CGPA.

A student who has successfully completed all the courses to accumulate the minimum specified number of credits under the Comprehensive Choice Based Credit System with minimum CGPA of 7 shall be deemed to have completed the Course Work.

If a student gets a CGPA less than seven (7), he/ she shall be permitted to re-appear in End Semester Examination of as many courses as deemed fit on the recommendation of the Research Advisory Committee of the student.

10 Research Advisory Committee and its Functions:

10.1 There shall be a Research Advisory Committee (RAC) for each Ph. D. Scholar. The composition of the RAC is given in Schedule-1 of this Ordinance. This Committee shall have the following responsibilities:

10.1.1. To review the research proposal and finalize the topic of research;

10.1.2. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do during the course work.

10.1.3. To periodically review and assist in the progress of the research work of the research scholar.

10.2 A research scholar shall appear before the Research Advisory Committee at the end of each semester to make a presentation of the progress of his/ her work for evaluation and further guidance. The semester wise progresses reports shall be submitted by the Research Advisory Committee to the office of Director, Academic Affairs with a copy to the research scholar. The format of the Progress Report is given in Annexure-I of the Ordinance.

10.3 In case, the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University through the Head and Dean concerned, with specific reasons for cancellation of the registration of the research scholar.

11. Submission of Synopsis of the Proposed Research:

11.1 Within four months from the date of successful completion of the course work, the scholar shall submit the detailed synopsis on the topic of his/her research work duly forwarded by the Research Advisory Committee (RAC). The format for synopsis is given in Annexure-II of this Ordinance.

11.2 The scholar should defend the synopsis before the Departmental Research Committee (DRC). The DRC, if satisfied by the proposed synopsis, shall send the synopsis to the Academic Programme Committee (APC) for ratification.

11.3 If the DRC is not satisfied by the defence of the synopsis by the scholar, it may suggest the modification, which may be incorporated in the revised synopsis by the scholar in consultation with the RAC.

11.4 Within two months from the date of rejection of the synopsis, the scholar should submit the revised synopsis, which is to be defended by him/her before the DRC. If the DRC is satisfied by the defence of the revised synopsis it shall be submitted to APC for ratification.

11.5 In case the DRC is not satisfied by the defence of the revised thesis, it will be reported to the APC and the registration of the scholar in the Ph.D. programme shall be cancelled.

11.6 All the decisions of the DRC in this regard shall be forwarded to the Director of Academic Affairs through Dean of the concerned school.

12. Candidacy to the Ph.D. Programme:

- 12.1 The synopsis as approved by DRC will be placed before the APC for ratification. After ratification of the synopsis, the scholar shall be provisionally admitted to the candidacy of the Ph. D. programme.
- 12.2 The scholar shall be admitted to the candidacy of the Ph.D. Programme, after ratification of the provisional candidacy by the Academic Council.

13. Modification/ Change of the Subject of Research:

- 13.1 A Ph. D. scholar may, on the recommendation of his/her RAC, modify the subject of his/ her research with the approval of the DRC provided that the request for such modification is made not later than one year after the approval of the his/ her synopsis by the DRC.
- 13.2 The scholar should submit a new synopsis on the modified subject which is to be approved by the DRC following the procedure as given in clause 11.
- 13.3 Provided, further that the candidate shall be required to submit his/her thesis within the maximum time period prescribed in Clause 4.
- 13.4 Such a modification/ change of the subject of research shall be reported to the APC for ratification.

14. Removal of Name of a Ph.D. Scholar from the Rolls of the University:

- 14.1 Admission of a scholar in Ph.D. programme shall stand automatically removed from the rolls of the University if he/she:
 - 14.1.1 Fails to successfully complete the course work within two semesters;
 - 14.1.2 Fails to submit the synopsis to the DRC within the stipulated period.
 - 14.1.3 Fails to submit the thesis within the maximum permissible duration for Ph. D.;
 - 14.1.4 Fails to pay the University fees and other dues;
 - 14.1.5 Appear in any other examination of programme without submitting the Ph. D. thesis;
 - 14.1.6 Indulge in any behavior or conduct that violates University rules/ discipline leading to punishment of removal of name from the rolls of the University under relevant/ concerned Ordinances/ Regulations of the University.
- 14.2 If a Ph. D. scholar takes an employment without completing the minimum residence requirement.
- 14.3 If a Ph. D. scholar breaches any of the provisions of the Ordinance.
- 14.4 Admission to the Ph.D. Programme may be cancelled by the APC on the recommendation of the BoS of the Department / Centre concerned, in case a candidate admitted to the Ph.D. Programme breaches the provisions of this Ordinance or any other relevant Ordinance / Rules of the University.

15. Modification of the Title of the Thesis:

- 15.1 If there is a need for modification of the title of research topic, the candidate shall submit an application to the DRC through his/ her RAC at least four months before the date of submission of the thesis for approval.
- 15.2 The DRC may approve the modification, if found satisfactory and forward it to the Academic Section for record.
- 15.3 A minor change in the title of the thesis suggested during the Pre-Submission Seminar will not attract any time bar as stipulated in clause 15.1

16. Change of Research Supervisor:

- 16.1 A change of Research Supervisor under following exceptional circumstances is allowed:

- 16.1.1 Change / modification in the subject / area of research;
- 16.1.2 New direction of research warranting appointment of subject matter specialist as Research Supervisor;
- 16.1.3 The Research Supervisor leaves the University and/or ends his/her association with the University.

16.2 In the circumstances described above, a research scholar may make a written request listing the reasons for change of research supervisor to the Head of the Department (HOD).

16.3 The HOD shall place such request before the DRC in its next meeting and if DRC is satisfied with the reasons stated by the candidate for change of Research Supervisor, a new Research Supervisor shall be allocated to the research scholar.

16.4 The change of research supervisor shall be ratified by the APC on the recommendation of the Dean of the School. It shall be placed in the Academic Council for ratification.

17. Pre-Submission Seminar:

- 17.1 When the thesis is in the final stage of completion, the student shall give a pre-submission seminar presentation before RAC at least two months prior to the date of submission of the thesis.
- 17.2 The pre-submission seminar shall be open to all the faculty members and research scholars of the University.
- 17.3 A notice of the seminar must be displayed on the Departmental Notice Board at least ten days before the date of pre-submission seminar. The notice shall be sent to all departments in the University, at least ten days in advance by the Head of the Department.
- 17.4 The scholar will present his/her research work in the open seminar and defend the research carried out by him / her. The feedback, comments and suggestions received during the presentation may be suitably incorporated into his/her thesis under the advice of his/ her RAC.
- 17.5 The intimation that the open seminar has been successfully presented should be communicated by the research supervisor through the Head of the Department and Dean of School to the Director of Academic affairs.

18. Publication Requirements:

- 18.1 A scholar must publish at least one research paper based on his/her research work in a refereed journal before submitting the thesis.
- 18.2 The scholar must also present at least two papers in conference/seminars before the submission of the thesis.
- 18.3 A thesis can be submitted only after the satisfactory fulfilment of the above two requirements.
- 18.4 The scholar must publish evidence for the publication and presentation in the form of reprints and presentation certifications.
- 18.5 If a paper published contains authors other than Ph.D. scholar and his/her supervisor, co-supervisor(s), the candidate must give a declaration stating the extent of his/her contribution

19. Submission of Synopsis of the Thesis:

Within fifteen days after the successful completion of the pre-submission seminar, the student shall submit five copies of the synopsis of the thesis, duly forwarded by RAC,

and the Head of the Department. The candidate may be required to submit the synopsis in electronic form also.

20 Appointment of Examiners for the Evaluation of the Thesis:

- 20.1** Once a candidate has delivered successfully the open seminar, a panel consisting of ten external examiner specializing in the area of the topic of the research should be prepared. The external examiners on the panel shall not be below the rank of University Professor or in equivalent position in R&D or in academic institution/ laboratory.
- 20.2** The panel of examiners shall be prepared by a Committee consisting of the Research Supervisor, the Chairman of the concerned Board of Studies and the Chairman of the concerned School Board. The Dean of concerned School shall be the Chairman of the Committee.
- 20.3** The Vice-Chancellor shall, from the panel so submitted, appoint two external examiners to evaluate the thesis. Provided that, if the Vice-Chancellor is not satisfied with the panel submitted to him/ her, he/she may refer the panel back through the Dean concerned, inviting a fresh panel of external examiners.
- 20.4** Besides the two external examiners, the Research Supervisor shall also act as an internal examiner of the thesis.
- 20.5** If an evaluation report is not received within three months from the dispatch of the thesis to the examiners, the Vice- Chancellor may appoint another examiner for evaluation of the thesis.

21 Submission of the Thesis:

- 21.1** No scholar shall be permitted to submit his/ her thesis for the Ph.D. degree unless he/ she has pursued research, at the University or at the center with whom the University has signed an Memorandum of Understanding (MOU); for not less than three years after his/her admission to Ph.D. programme.
- 21.2** Provided that a semester may be declared zero semester(s) in the case of a student if he/she could not continue with the academic programme during that period due to illness and hospitalization or due to accepting any scholarship / fellowship leading to his/her absence from the University. Such zero semester(s) shall not be counted for calculation of duration of the programme in case of such a student. Provided further that in case a candidate is permitted by the University to accept a scholarship / fellowship related to his/her research, such Semester(s) shall not be treated as zero semesters for such a student.
- 21.3** The first page of the thesis shall be as per ANNEXURE – III given in this Ordinance.
 - 21.3.1** The thesis shall also contain a certificate to the effect that the thesis incorporates the results of investigations carried out by the candidate himself / herself and that the results are not submitted earlier to any other institution / university for the award of any degree. This certificate shall be signed by the candidate and the supervisor(s).The certificate shall be as per ANNEXURE – IV given in this Ordinance.
 - 21.3.2** The candidate shall also be required to submit a “No Dues Certificate” from various concerned offices of the University prior to the submission of his/her thesis.
 - 21.3.3** The Candidate shall be required to submit four hard copies of the thesis and its soft copy on four CDs to the Director of Academic Affairs through the RAC, the Head of the Department / Director of the Centre together with the prescribed fees.
 - 21.3.4** The thesis shall be written in English or Hindi. However, when the subject matter relates to or is based on a language other than English/Hindi, it may be written in the relevant language, as approved by the BOS.

21.3.5 The scholar shall be required to submit an abstract of the thesis in Hindi and English for depositing in **Shodh Ganga**.

22. Evaluation of the Thesis:

22.1 After obtaining the consent of the Examiners so appointed by the Vice-Chancellor, the Director of the Academic Affairs shall arrange to dispatch the thesis to each examiner for the evaluation of the thesis and submission of report.

22.2 Each examiner shall be required to submit a detailed report to the Director of Academic Affairs containing a clear recommendation whether in his/her opinion:

22.2.1 The thesis be accepted for the award of the degree of Ph.D. and the *viva-voce* examination of the candidate be held; or

22.2.2 the thesis be referred back to the research scholar for revision; or

22.2.3 the thesis be rejected.

22.3 The examiner(s) shall not recommend that the thesis be accepted for the award of the degree and *viva-voce* examination be held unless he/she is satisfied that that the thesis constitutes a contribution to knowledge characterized either by the discovery of new facts or by re-interpretation of known facts or development of new techniques / methodologies / models and that the methodologies pursued by the candidate are sound and its literary presentation is satisfactory.

22.4 In case an examiner recommends that the thesis be referred back to the candidate for revision, he/she shall be required to give in his/her detailed report the reasons for such a recommendation and also clearly delineate the details of the revision that is required to be made by the candidate in the thesis.

22.5 In case an examiner recommends that the thesis should be rejected, he/she shall be required to give in his/her detailed report the reasons justifying the recommendation.

23 Viva-Voce Examination:

23.1 The Director of the Academic Affairs, after receipt of the detailed reports and recommendations of all the Examiners shall put the reports before the Vice-Chancellor. The Vice-Chancellor shall direct the Head of the Department concerned to arrange the *viva-voce* Examination, if he/ she is satisfied that all the three examiners have unanimously recommended that the thesis be accepted for the award of the degree and *viva-voce* examination be held.

In case all the Examiners of the thesis have not recommended unanimously that the thesis be accepted for the award of the degree and the *viva-voce* examination of the candidate be held, the Director of Academic Affairs (DOAA) shall be required to act as under:

(i) In case an examiner has recommended that the thesis be referred back to the candidate for revision, the candidate shall be required to submit the revised thesis within a period of one year and that the revised thesis shall be sent for evaluation to the same examiner who had recommended for the revision. If on revision, the examiner recommends that the thesis be accepted for the award of the degree and *viva voce* examination be held, the *Viva Voce* Examination of the candidate shall be held;

(ii) In case the examiner after evaluation of the revised thesis recommends either that the thesis be further revised or be rejected, the Vice-Chancellor shall appoint a fourth

examiner for the evaluation of the thesis and the opinion of the fourth examiner shall be final.

- (iii) In case an examiner has recommended that the thesis be rejected, the Vice-Chancellor shall appoint a fourth examiner for the evaluation of the thesis and the opinion of the fourth examiner shall be final.
- (iv) No thesis shall earn a degree unless all the three examiners have recommended that the thesis be accepted for the award of the degree and viva voce examination be held.

23.2 If two examiners have recommended that the thesis be rejected, the thesis shall be rejected for Award of Ph.D. Degree.

23.3 The *viva-voce* examination of the candidate shall be conducted by a *Viva-Voce* Board consisting of :

- (i) an external examiner of the thesis, as appointed by the Vice-Chancellor to conduct the Viva Voce examination;
- (ii) the Head of the Department / Director of Centre and
- (iii) the Supervisor(s) concerned.

Provided, that if both the external examiners have expressed their inability to conduct the *vivo-voce* examination, an external examiner from the panel of examiners shall be appointed by the Vice-Chancellor to conduct the *viva-voce* examination.

The *Viva Voce* examination shall be conducted under the supervision of the Head of the Department and shall be held on the University Campus.

23.4 The notice for the viva-voce shall be displayed at the notice board of the department as well as sent to all the departments of the University at least ten days before the day the viva-voce is to be conducted.

23.5 The *viva-voce* examination shall be open to all members of the Faculty and Research Scholars of the University.

23.6 The *viva-voce* Board having satisfied itself that the thesis submitted by the candidate is his/her own work and that the candidate has defended his/her thesis satisfactorily, shall recommend for the award of the degree of Ph. D. to the candidate. In case of any difference of opinion in this regard, the decision of the external examiner shall be considered final.

23.7 The recommendation of the *Viva Voce* Board together with all other relevant documents shall be forwarded by the Director of Academic Affairs to the Chairman, Academic Council/ Vice-Chancellor for approval and also for issue of the provisional certificate and further processing of the award of degree.

23.8 The manner in which the *viva-voce* examination is to be conducted is to be prescribed by the *Viva-Voce* Board itself.

24 Declaration of Result and Award of Degree:

24.1 On receipt of the report that the student has passed the *viva-voce* examination the Vice-Chancellor will recommend to the Executive Council through the Academic Council, for the declaration of result and award of the Ph. D. degree. However, as an interim measure, the Chairman, Academic Council/ Vice-Chancellor may grant permission for the declaration of the result and the award of Ph.D. degree.

24.2 The date of approval by the Chairman, Academic Council/ Vice-Chancellor will be the date of award of the degree.

- 24.3** The degree shall be awarded to a student only if he/she has paid all the dues to the University and, should have no pending case of indiscipline.
- 24.4** Along with the Degree, the University will 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 Awards of M. Phil. / Ph.D. Degree) Regulations, 2016**”.
- 24.5** The University will make earnest efforts to complete the process of evaluation of the thesis and declaration of the result within six months from the date of submission of the thesis.
- 24.6** However, the degree shall be awarded only after; the award of the degree has been ratified by the Academic Council.

25 Unfair Means and Plagiarism:

- 25.1** To check the unfair means and plagiarism, a soft copy of the thesis shall be deposited with the Librarian, J.L.N. Library (of the University). The Librarian shall report to Director of Academic Affairs, if any matter is copied/ lifted from other works.
- 25.2** In case a Ph.D. candidate is found adopting or suspected of adopting unfair means or lifting of other's work and inserting it in his/her work without proper acknowledgement, credit and reference, such penal action shall be taken by the University as may be necessary to uphold the sanctity and the integrity of the examination system, research work, and the credibility of the University.
- 25.3** The Academic Council shall take suo-motu cognizance of all such cases. Such cases may also be reported by any person to the Academic Council, the Head of the Department/ Dean of the School/Vice-Chancellor who will forward the matter to the Academic Council for its consideration and recommendation.

26 Depository with the UGC

Following the successful completion of the evaluation process and declaration of the award of Ph. D. the University will submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/ Universities.

27 Copyrights

Doctor Harisingh Gour Vishwavidyalaya reserves the copyright in respect of all materials of the thesis based on which the University has awarded the Ph.D. degree. The thesis shall be published only with the permission of the University and such publication shall state on the title page itself that this was a thesis approved for the award of Ph. D. degree of the University.

28 Financial Assistance:

- 28.1** The University may provide to Ph. D. students, financial assistance in the form of UGC (Non-NET) Fellowship as provided by UGC in Central Universities.
- 28.2** The UGC (Non-NET) Fellowship henceforth, will be referred to as University Fellowship.
- 28.3** The University Fellowship will be paid at the rates approved by the UGC from time to time.
- 28.4** The University Fellowship will be awarded for a period of up to three years (or as amended by UGC from time to time) for Ph. D. Scholars.
- 28.5** The continuation of fellowship is contingent on student's satisfactory performance in the academic programs and in the discharge of Fellowship duties.

- (i) The fellowship of a research scholar will be discontinued if he/ she fail in the course work. However, the fellowship will be resumed from the date the scholar passes the course work.
- (ii) If the progress report of a scholar is not found satisfactory, the fellowship of the scholar shall be discontinued. The fellowship may be resumed only after the progress is found satisfactory. The resumption of the fellowship shall be effective from the date the progress report is found satisfactory.
- (iii) The period of three years shall be counted from the date the fellowship is awarded irrespective of the period of discontinuation.

28.6 A student is expected to devote up to six hours per week towards teachings and other academic duties assigned to him/ her by the Department. The students may be assigned teaching works only after the completion of the course work.

28.7 A student will also be reimbursed for some contingency expenses as per the approved terms and procedures to be notified from time to time. The reimbursement will be made for a Ph.D. scholar on half yearly basis, if he/she is on University Fellowship.

28.8 Research scholars may avail scholarships and Fellowships of other funding agencies, such as, the Council of Scientific and Industrial Research (CSIR), Department of Science & Technology (DST), etc. In such cases, University Fellowship shall not be provided.

28.9 A scholar who is awarded the UGC/UGC-CSIR (NET-JRF) fellowship/Teacher Fellowship/any other fellowship shall not be provided University fellowship. The Part Time candidates and Sponsored Candidates shall also not be provided the University Fellowship.

29. Medical and Leave Rules:

29.1 Medical Claims: No separate/fixed medical assistance is provided to the student. However, the student may avail the medical facilities available in the University.

29.2 Leave: The students are entitled for a maximum period of 30 days of leave in a year in addition to public holidays. They are not entitled to any other vacations. Women candidates are eligible for maternity leave of 240 days at full rates of fellowship once during the tenure of the Ph.D. program. Leave up to 6 weeks can also be granted for miscarriage including medical termination of pregnancy, if supported by a proper medical certificate. Such leave can be combined with any other leave due and will not entail any loss of financial assistantship.

29.3 Semester Leave: Semester leave for up to a maximum of two semesters for Ph.D. scholars may be sanctioned for bona-fide reasons. Such a leave would not be, normally, sanctioned before the student has completed the course work. Leave for more than one semester at a time will not be granted. The candidates will not be entitled for any fellowship during semester leave period.

29.4 Absence without Sanctioned Leave: Absence without sanctioned leave will entail the loss of financial assistantship for the period of absence. Absence without sanctioned leave for a period of more than four weeks may also result in the termination of the student's Ph. D. program on the recommendation of the Head of the Department and approval of the Vice-Chancellor through APC.

29.5 If a student is getting a fellowship under a scheme other than Non-NET Fellowship, the leave Rules for the fellowship purpose only, will be governed by the specific leave rule of the particular fellowship scheme.

29.6 Record of Attendance and Leave:

The Head of the Department/Center shall keep records of attendance and leave for all the Ph.D. students in the Department/Center. While forwarding the fellowship of the student, the leave rule mentioned above should be followed.

30 Permissions to Proceed For Academic Activities outside the University:

- 30.1** The Ph.D. students may be permitted to proceed for academic activities outside the University to carry out field work, library work, computational work, experimental work, and laboratory works etc.
- 30.2** They can also be permitted to attend conference, workshop etc. and will be allowed to undertake any other research work related to Ph.D. program, outside the University as recommended by the research Supervisor.
- 30.3** Such activities with prior permission shall not entail any loss of financial assistanceship.
- 30.3.1** Permission for duration up to 15 days may be sanctioned by the Head of the Department on the recommendation of the Research Supervisor.
- 30.3.2** Permission for duration up to 30 days will be sanctioned by the concerned School Dean on the recommendation of the Research Supervisor and the Head of the Department.
- 30.3.3** Permission for duration of more than 30 days will be sanctioned by the Director of Academic Affairs on the recommendation of the Research Supervisor and Head of Department through the concerned School Dean.
- 30.3.4** Normally, a student should not be permitted to undertake academic activities outside the University, which adversely affects the course work. However, permission to attend short term seminars, conferences and workshops etc. may be granted during course work.

31. Removals of Difficulties:

Notwithstanding anything contained in this ordinance, the Vice-Chancellor may take such measures as may be necessary for removal of doubts/ difficulties and to resolve any other extraordinary issue.

- 32.** The Vice- Chancellor in his/ her capacity as Chairman of the Academic Council, is authorized to:
 - 32.1** Modify, amend and/or delete any of the clauses given in the ordinances or add any clause to these ordinances, which shall be reported to the Academic Council at its next meeting for approval.
 - 32.2** Order a special procedure for the evaluation of a Ph.D. 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.
 - 32.3** In special circumstances, any relaxation to the Ph.D. Program by Academic Program Committee/ Academic Council/Executive Council/Vice-Chancellor may be made, subject to fulfillment of “**University Grants commission (Minimum Standards and Procedure for Awards of M. Phil. / Ph.D. Degree) Regulations, 2016**”.
- 33.** Notwithstanding anything contained in these Ordinances, all matters related to the Ph. D. research scholars shall be governed by the rules and procedures framed by the Academic Council, that are in force at that point of time.
- 34.** From the date when these Ordinances come into operation, all previous Ordinances on the subject shall cease to have effect.
Provided that this revocation shall not affect the previous Ordinances so revoked or anything done or suffered under any previous Ordinances so revoked or affect any

right, privilege, obligation or liability acquired, arrived or incurred under any Ordinances so revoked.

- 35.** Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Vice- Chancellor, whose decision, in his/ her capacity as the Chairman, Academic Council, shall be final.

Schedule - 1 of Ordinance 23(A)
REGULATIONS GOVERNING Ph.D. PROGRAM

1. Coverage:

This regulation is applicable to the Ph. D. program of the University.

2. The Departmental Research Committee:

2.1 There shall be a Departmental Research Committee for each department. It shall consist of:

- (i) Head of the Department – Chairperson,
- (ii) All the members of the Board of Studies who are qualified to be supervisors,
- (iii) A faculty member representing the SC/ST category, if no member from the above categories belongs to SC/ST category.

The member belonging to this category will be nominated by the Vice-Chancellor.

2.2 Two thirds of the members present will constitute the quorum. However, the presence of member mentioned at clause 2.1 (iii) is mandatory.

3. Research Advisory Committee:

There will be a Research Advisory Committee (RAC) for each scholar admitted to the Ph.D. programme. The RAC shall consist of:

- (i) The Research Supervisor,
- (ii) A Teacher from the Department as proposed by the DRC in consultation with the research supervisor.
- (iii) A teacher from other inter-disciplinary department as proposed by the DRC;

Or

A teacher from within the Department in addition to one as above under (ii) to be proposed by the DRC in consultation with the research supervisor in case there is no inter-disciplinary research involved.

The Research Supervisor shall be the Convenor of the RAC.

4. Credit Requirements for Course Work:

There shall be 16 credits for the course work. The credits assigned to different courses shall be as follows:

- (a) Research Methodology: 4 credits
- (b) One core course: 4 credits
- (c) One elective course (elective/specific area): 4 credits
- (d) Review of Published Research (in relevant field): 4 credits

5. Evaluation Committee for Review of Published Work:

- (a) There shall be an Evaluation Committee to evaluate the Review of Published Research. The evaluation process shall involve seminar presentation by the candidate followed by *viva-voce* on the presentation.
- (b) The Evaluation Committee shall be proposed by Research Supervisor through the Head of Department and approved by Dean of School.
- (c) The Evaluation Committee will consist of:

- (i) The Research Supervisor,
- (ii) A subject expert from the Department/ interdisciplinary area, to be recommended by the Research Supervisor,
- (iii) The Head of the Department or his/ her nominee who is a member of the BOS.
- (iv) An external faculty from outside the student's parent department to be nominated by the Dean of the concerned School from a list submitted by the Research Advisor.
- (v) The Head of the Department or his/her nominee shall be the Chairman of the Evaluation Committee.