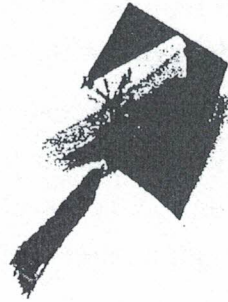




C. S. J. M. U.  
DOCTOR OF PHILOSOPHY DEGREE  
ORDINANCE



**CHHATRAPATI SHAHU JI MAHARAJ UNIVERSITY,  
KANPUR**



## DOCTOR OF PHILOSOPHY DEGREE ORDINANCE

In exercise of powers conferred by sub-section (3) of section-52 (3) of the U.P. State Universities Act, 1973, (President's Act No. 10 of 1973), as re-enacted and amended by the Uttar Pradesh Universities (Reenactment and Amendment) Act, 1974 (U.P. Act No. 29 of 1974 ) and in supersession of all the previous ordinances of the subject, the Executive Council, hereby makes the following ordinances in order to regulate the minimum standards and procedures for award of Ph.D. Degree in consonance with the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2009-

- 1.01- These ordinances may be called "Chhatrapati Shahu Ji Maharaj University, Doctor of Philosophy (Ph.D.) Degree Ordinances, 2014".
- 1.02- They shall come into force from the session 2014-15.

### Enumeration of Ph.D. Seats

- 2.01 At any point of time, total number of Ph.D. seats (including those for D.Sc., D.Litt & L.L.D.) shall not exceed 08 for a Professor, 6 for an Associate Professor and 04 for an Assistant Professor.
- 2.02 Based on these allocations, and number of Ph.D. scholars already registered for Ph.D. with all supervisors in the Department, a pre determined and manageable number of feasible vacancies available for new Ph.D. students shall be counted on annual basis and communicated by the Head of Department/Convener(as case may be). in consultation with the research supervisor, to the Registrar through their respective Deans/Directors along with broad area/sub disciplines available for these vacant positions..
- 2.03 The subject wise number of seats for Ph.D. shall be decided well in advance and displayed in the University website and advertisement. The University shall widely advertise the number of available seats for Ph.D studies and conduct admission on regular basis.
- 2.04 These vacant positions shall be divided as per Reservation Policy of the State- Vertical & Horizontal-categories into unreserved, reserved for OBC, and reserved for SC/ST, and so classified for each Department.
- 2.05 The procedure for admission, evaluation and award concerning pursuit of Ph.D. in multi-departmental inter-disciplinary Institutes of the University duly established under section 44 shall be same as specified for regular departments.

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- 2.06. There shall be no additional Ph.D. seats in multi-departmental interdisciplinary institutes unless regular whole-time teachers are appointed in the institutes themselves. For teachers otherwise associated with these Institutes, the number of Ph.D. students shall have to be adjusted against the seats for the associated teachers of these institutes in their parent departments with no more than two for Professor and one each for Associated/Assistant Professor, respectively.

### ELIGIBILITY

- 3.01 A candidate for pursuing research for a Doctor of Philosophy Degree of the University must hold a Post- Graduate Degree with minimum percentage of marks(as per UGC/UP state govt. norms) in the subject concerned and must fulfill other conditions of eligibility (good academic record, and other stipulations, if any) prescribed in the statutes for the recruitment to the post of Assistant Professor:

*Provided* that in exceptional cases a candidate holding a Master's degree in an allied subject may also be considered for admission to Ph.D. Degree by the Research Degree Committee (RDC):

*Provided* further that the students appearing for final year or final semester of their post- graduate degree examination will also be eligible to appear for the admission process subject to the fulfillment of minimum eligibility criteria in the final result thereof.

- 3.02 In Faculty of Ayurveda, however, a candidate having M.D. (Ayurveda) degree in the subject concerned or equivalent degree of another University recognized by this University with at least 60% (55% for SC/ST/Handicapped candidates) marks shall be eligible for admission to the Ph.D. programme in Ayurveda.

? [ In faculty of medicine a candidate having M.D./M.S. degree in the subject concerned or equivalent degree of another University recognized by this University having a post graduate degree with at least 60% (55% for SC/ST/Handicapped candidates) marks shall be eligible for admission to the Ph.D. programme in Medicine.

In faculty of Law a candidate having LL.M. degree recognized by this University shall be eligible for admission to the Ph.D. programme in Law.

### PROCEDURE FOR ENTRANCE TEST

- 4.01 University or its affiliated college/institutes shall not conduct Ph.D. programme through distance education mode
- 4.02 The University shall admit Ph.D. students through an entrance test named





as "Common Eligibility Test for Ph.D." (CET) or through an entrance test named as "Chhatrapati Shahu Ji Maharaj University Entrance Test for Ph.D." (CSJMU-ET).

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- 4.03 Subject to the provisions contained in clause (8) of section 7 of the Uttar Pradesh State Universities Act, 1973, a "Common Eligibility Test for Ph.D." (hereinafter referred to as the CET) shall be conducted in specified subjects/disciplines by a University to be selected by a Committee constituted for the purpose by State Government or for CSJMU-ET by The Vice-Chancellor..
- 4.04 The university selected of conducting CET/CSJM University, Kanpur shall publish a public notification through its website and in at least three issues for the daily news papers already earmarked.
- 4.05 The advertisement will contain the salient features necessary for the purpose, i.e. eligibility criteria, subjects, fee and mode of its payment, reservation, syllabus, scheme, center, submission of application, other relevant instructions and anticipated date of the declaration of results thereof.
- 4.06 A candidate for admission to the Ph.D. degree shall apply to the University co-ordinating the CET/CSJM University, Kanpur on a prescribed form.
- 4.07 The syllabus of the CET/CSJMU-ET will be the same as prescribed for NET/JRF examinations conducted by the University Grants Commission/Council of Scientific and Industrial Research/ Indian Council of Agricultural Research which may be seen from their websites.

Separate syllabus may be prepared for Life science, Botany, Zoology Subjects for CSJMU-ET.

? [ The syllabus for CSJMU-ET will also be decided for subjects under Faculty of Medicine as subject under faculty of medicine are not covered under NET/JRF examinations conducted by different examination bodies in India.

- 4.08 A written test shall be based on questions with short answers containing two question papers-

First paper will contain multiple choice objective type 100 questions of 100 marks of two hours duration and will be for assessing general awareness, academic aptitude and subject proficiency.

The Second paper will contain 200 questions of 200 marks of three hours duration for assessing subject expertise, research aptitude and subject knowledge.

There shall be no negative marking.

- 4.09 The question papers shall be prepared in two sets by the university





conducting CET in collaboration with other State Universities or for CSJMU-ET by C.S.J.M. University, Kanpur, if necessary.

4.10 The Test fee including Application Form, prescribed for different categories for CET/CSJMU-ET shall be determined by the Committee or as decided by the Finance Committee mentioned in ordinance 4.03. ( )

4.11 The Test shall be conducted in campus of the University but in special circumstances, if adequate facilities are not available, it may be held in a Government Degree College/Government aided degree college.

4.12 There shall be minimum qualifying marks for the test, i.e. 50 percent marks on the aggregate but minimum 40 percent marks separately in each paper.

*Provided* that a relaxation of 5 percent marks (on the aggregate and in each paper as well) will be provided to the candidates belonging to the Scheduled Castes/Scheduled Tribes/Differentlyabled (Physically and visually differently- abled):

*Provided* further that the average percentage of marks shall not be rounded-off to the next higher integer.

4.13 Based on the marks obtained in CET entrance test, category wise merit list shall be prepared and the category wise result of the successful candidates will be displayed on the website of the co-ordinating university and will be sent through e-mail to all the participating State University with its hard copy also or Based on the marks obtained in CSJMU-ET Entrance test, Subject wise/Category wise merit list shall be prepared and the result of the successful candidates will be displayed on the website of the University. On the next date, a notice of this effect shall be published in those daily news papers in which the advertisements were published earlier.

2 4.14 A category wise Merit Score Certificate will be awarded and dispatched to the CET candidate by Speed/Registered Post and through his/her e-mail address, if provided. This certificate will be effective for next two years from the date of issue. or Subject wise/Category wise Merit Score awarded to the CSJMU-ET candidate will be dispatched by Speed/Registered Post.

4.15 The CET Successful candidate will be free to apply for registration to Ph.D. programme to any State university within two years in accordance with his choice, as he/she deems suitable or The CSJMU-ET Successful candidate may apply to the University for registration to Ph.D. programme within prescribed time limit.





### Exemptions From the Entrance Test

4.16 The following categories of candidates shall be exempted from the CET/CSJMU-ET for admission to Ph.D. programme-

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- (a) Regular teachers of the University or a College affiliated/associated to the University who have completed their probation period successfully,
  - (b) International students (including NRIs) which shall be subject to the general rules framed by the Government of India from time to time and as applicable to the University with regard to the admission, fees etc,
  - (c) All candidates selected by the UGC/CSIR/ICAR/DST/DBT/ ICMR or other central regulatory bodies for their fellowships, subject to the validity norms of the respective fellowship.
  - (d) Candidates who have GATE Score of not less than 75% and
  - (e) Serving Army, Navy and Air force Officers of atleast Colonel or equivalent rank with not less than 15 years of Service Applying for Ph.D. in Defense and Strategic Studies.
  - (f) In case number of candidates passing JRF are more than the number of vacancies in a particular subject, their marks in post graduation will be taken into account for their admission in Ph.D. programme.

### **PROCEDURE FOR ADMISSION**

5.01 Candidates having Merit Score Certificate or CSJMU-ET Success Candidate, as mentioned in ordinance 4.15 with duly attested photo copies of Certificates and Degrees shall apply to the university of his/her choice or CSJM University, Kanpur and other candidates mentioned in ordinance 4.16 to his/her concerned university or CSJM University, Kanpur on a prescribed Application Form with a fee of Rs. 500/- (Rupees 250/- in case of SC/ST candidates) for admission to the Ph.D. Degree or as decided by the Finance Committee.

5.02 The categories for the candidate exempt for eligibility test (CET) or (CSJMU-ET) will be given preference over the candidate qualifying through (CET) or (CSJMU-ET). A candidate shall ordinarily be permitted to work for the Ph.D. degree in the subject in which he/she holds Master's degree:

*Provided* that such research work leading to Ph.D. degree in allied subject in the same or other faculty may also be allowed if the Research Degree Committee concerned on recommendation of the concerned Dean of the faculty or the Director of Institute and the Head of





Department/Convener is satisfied that the candidate possesses the requisite qualification/capabilities to take up the proposed work in multi-disciplinary areas.

- Note:*
- (i) The Director of Archive, Government of India is eligible for being appointed as Supervisor.
  - (ii) Research on living authors is not permissible.
  - (iii) A candidate holding M.D. Degree in Psychological Medicine (in the Faculty of Medicine) is eligible to supplicate for Ph.D degree in Sociology.
  - (iv) Scientist/Officers of research institute or an established research department or laboratory who have MOU with the university may also be appointed as supervisor by the approval of the University.

### COURSE WORK

- Course*
- 6.01 Each student shall pay a sum of Rs. 25,000/- (Rupees Twenty Five Thousand only) (Rupees 12,500/- in case of SC/ST candidate) as a fee for Course Work.
  - 6.02 All admitted candidates shall undergo a course work for a minimum period of one semester of six months as prescribed by the University.
  - 6.03 The course work shall be treated as pre- Ph.D. preparation and include a course on research methodology, quantitative methods and computer applications. It may also involve reviewing of published research in the relevant field.
  - 6.04 The Head of Department/Convener (as the case may be) for subject shall prepare the time-table for the course work, teaching, continuous evaluation and internal tests and shall conduct the same under the overall supervision of the concerned Dean of Faculty/Director of the Institute.
  - 6.05 Minimum attendance required to become eligible to appear in the qualifying examination for each paper shall be 75% of all class lectures (separately in theory and practical). In case a student is short of attendance due to illness, participation in sports, extracurricular activities etc., the following rules may be applied:
    - (a) Shortage upto 5% may be condoned by the Convener/Dean/Head.
    - (b) A shortage upto a maximum of 10% may be condoned by the Vice Chancellor on the specific recommendations of the Convener/Dean. Minimum 65% attendance is required even after such condonation.
  - 6.06 The University shall conduct a semester and qualifying examination based on the course work in general supervision of the Registrar or a Person





nominated by the Vice-Chancellor. The pass marks in the Course Work shall be 50 percent for all students in each paper (Internal and External separately) and in aggregate as well.

- 6.07 If a candidate fails to qualify the course work examination in first attempt, he will be given only one additional chance to clear the course work examination alongwith the next regular batch to qualify this examination.
- 6.08 Course Work may be carried out at University Campus/Research Centers/Affiliated college of the University to be approved by the Vice-Chancellor.

### SUBMISSION OF SYNOPSIS

- 7.01 On successful completion of course work, the student shall interact with Ph.D. supervisors with vacant seats available in his chosen broad sub-discipline and shall submit a synopsis for Ph.D. work along with a list of three proposed supervisors with vacant Ph.D. seat and expertise in the area covered in his synopsis.
- 7.02 The synopsis shall be placed before a Research Degree Committee (hereinafter referred to as the RDC), which may be separate for each subject and shall consist of-
- (a) The Vice-Chancellors as Chairman,
  - (b) The Dean of the faculty or the Director of the Institute,
  - (c) The Head of the Department in the case of University campus/Convener, Board of Studies in the case of affiliated Colleges,
  - (d) Two experts nominated by the Vice-Chancellor in consultation with the members mentioned at (b) and (c) above for one year.

The Vice-Chancellor may invite a person of repute as a member of the Committee.

- 7.03 The Research Degree Committee (RDC) shall arrange for an interview which may include Presentations, Group Discussions or other modes of appraisal.
- 7.04 The candidates, who have successfully completed their course work, shall be required to be present before the RDC for presentation of synopsis. The supervisors may also attend the RDC meeting. The committee shall satisfy itself that the subject offered is such which can properly be pursued under the guidance of a supervisor and that the candidate possesses the requisite qualifications and the adequate facilities and equipment for work exist at the University department in the campus/Affiliated colleges/Research Centre concerned.





- 7.05 At the time of Interview the candidate is expected to discuss his/her area of research interest in the concerned subject.
- 7.06 The RDC will allocate an appropriate Ph.D. supervisor for those candidates who synopsis has been found suitable and recommend these for approval to the Vice-Chancellor through the Dean or Director concerned.
- 7.07 In case, the RDC finds that the synopsis is not up to the mark, it shall make specific suggestions for improving the synopsis. The candidate after making the necessary improvements shall re-submit his/her synopsis for approval. The revised synopsis is to be submitted within 30 days from the date of the RDC meeting. If RDC is satisfied on these points, it shall report the application to the Vice Chancellor for permission being granted to the candidate.
- 7.08 In case, the synopsis is rejected, the candidate may submit the new synopsis within two months to be placed before the next meeting of the RDC. No further chance will be given after this submission.
- 7.09 Only the predetermined number of students shall be admitted to Ph.D. programme.
- 7.10 While granting admission to candidates, the University will pay due attention to the State Reservation Policy.
- 7.11 A candidate may be allowed to pursue his/her research work at one of the Government aided/Affiliated/constituent college in the regular departments having PG courses with 10 years of standing or Institutes/departments of University Campus having atleast 10 years of standing.

### **ELIGIBILITY CRITERIA AND ALLOCATION OF SUPERVISOR**

- 8.01 The University shall lay down and decide on annual basis, a predetermined and manageable number of Ph.D. students depending on the number of the available eligible Faculty Supervisors. A Supervisor shall not exceed the number of scholars mentioned in ordinance 2.01.
- 8.02 Regular whole-time teachers on pay scale of the University in the subject concerned having atleast one research publication or two research papers published in refereed journals and periodicals to their credit and holding Ph.D degree, with-
- (a) Atleast five years of Post Graduate teaching experience, Or eight years of regular teaching experience of 4-year Technical courses in University Campus.

OR





(b) Atleast five years of post Ph.D. experience as Research Scientist in a research organization recognized as such by the University Grants Commission, subject to the condition that number of registered scholars shall not exceed four for a Professor level Scientist, three for an Associate Professor level Scientist and two for Assistant Professor level Scientist, and

Professor of Eminence shall be approved as supervisors to guide Ph.D. thesis.

*Provided* that a teacher of Post graduate department in Affiliated/Associated/Constituent college of the University having eligibilities mentioned hereinabove, may be approved as supervisor:

*Provided* also that a retired teacher of the University or its Affiliated/Associated/Constituent college, may be permitted to remain as supervisor and his/her Ph.D. student during the remaining tenure of Ph.D. studentship of the student(s) already registered with him/her. If the research scholar is unable to submit the thesis within the regular studentship period, the change of supervisor may be considered as per provisions.

*Provided* further that in very special circumstances the retired teachers of the Universities and Affiliated/Associated college upto the age of 65 years may also be approved as supervisors by the Academic Council.

*Provided* that in the faculty of Law a teacher of University or of a affiliated/associated /constituent college to be eligible for Ph.D. Supervisor must have a minimum 05 years of LL.M. teaching experience.

In faculty of medicine a teacher of University or of a affiliated/associated /constituent medical college to be eligible for Ph.D. Supervisor must have MD/MS/Ph.D. Degree and a minimum 05 years of P.G. teaching experience.

Teachers under faculty of medicine considered for supervisor ship/Co-supervisor ship for Ph.D. Programme not only for subject under faculty of medicine in allied areas/subjects.

However in Faculty of Medicine Professor appointed on contractual basis of post graduate department of affiliated/associated/constituent college under faculty of medicine of university, eligibilities may be approved as supervisor to guide Ph.D. Thesis.

### **ALLOCATION OF SUPERVISOR**

**8.03** The allocation of the supervisor for a selected student shall be decided by the University in a formal manner depending on the number of student per faculty member, the available specialization among the faculty supervisors, and the research interest of the students as indicated during interview by the student. The allocation of supervisor shall not be left to the individual





students or teacher.

- 8.04 (a) The Vice Chancellor in consultation with the Deans of faculties/Head of University departments or the Director of Institute shall approve a list of qualified supervisors in accordance with the aforesaid ordinances and may add or delete names accordingly.
- (b) A supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood or by marriage.

*Explanation-* In this ordinances "relative" means the relations provided in the Explanation to section 20 of the U.P. State Universities Act, 1973.

- 8.05 On recommendation from the RDC through the Dean of the Faculty or the Director of Institute concerned, the Vice Chancellor may allow a candidate to have co-supervisor for his/her thesis from an allied Subject/research institute recognized by the University for this purpose, if the research is of an inter- disciplinary nature. The Supervisor shall be from the Department where the candidate is registered:

*Provided* that if a Supervisor is not available in the Department in inter- disciplinary area, RDC may appoint Supervisor from the other concerned Department of the University with the approval of the Vice-Chancellor.

- 8.06 The allocation of the supervisor for an eligible student shall be decided by the Counseling Committee comprising of the Dean or the Director of Institute, Head of the Department/Convener (as the case may be) and prospective Supervisors, in a formal manner depending on the number of students per faculty member, the available specialization among the faculty Supervisors, and the research interest of the student as indicated during the interview by the candidate.

- 8.07 No change of supervisor shall ordinarily be allowed, but in special cases, where the Convener/Head of the Department is satisfied that the research work of a scholar will suffer-

- (i) on account of migration, retirement, long leave, or for any other reason, the supervisor may not be available to guide the scholar, or
- (ii) as the supervisor is not willing to, or not in a position to supervise a scholar,
- (iii) due to existence of extra-ordinarily situations necessitating such a change.

In such cases, the RDC may recommend a change of supervisor to the Vice-Chancellor through the Dean of Faculty or the Director of Institute who may allow change of the supervisor.





- 8.08 The RDC at its discretion may also decide whether change of supervisor will require fresh registration of the scholar.
- 8.09 Regular whole-time teachers of the University and its affiliated/Constituent colleges may be permitted to present a thesis for the degree of Doctor of Philosophy after five years of continuous service as a full time teacher in the University/College with a supervisor:

*Provided* that his/her topic has been duly approved by the Research Degree Committee atleast two full academic sessions before the date of submission of the thesis. The procedure of evaluation of such a thesis shall be the same as that of those submitted by regular Ph.D. candidates.

### SUBMISSION OF THESIS

- 9.01 The period of a candidate's studentship shall be counted from the date on which he/she had deposited his/her fees before the commencement of the Course Work, as mentioned in ordinance 6.01.
- 9.02 Continuation of the registration of candidate in the Ph.D. Programme shall depend on his/her satisfactory progress and good conduct. The University reserves the right to cancel the registration of any candidate in the event of his/her conduct and progress being found otherwise.
- 9.03 The candidate shall be required to submit a progress report every six months to the University through Supervisor.
- 9.04 A candidate registered for the Ph.D. Degree shall be required to pursue his/her research at the head-quarter of the University/Institution/Research centers under the supervisor and on the subject approved for not less than twenty four months including the period of Course Work commencing from the date of approval by RDC and must put in at least 180 days attendance in the department concerned after the completion of the course work.

*Provided* that the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department/Convener, and the Dean, grant permission to candidate to reside outside for purpose of collection of research material for his/her thesis or doing experimental research work for a total period of not more than one year provided that such exemption shall not be granted in the first six months.

*Provided* further that the Vice Chancellor on the recommendation on the Supervisor, the Head of the Department/Convener, and the Dean, may allow a candidate to work at such centers of research within area





of its jurisdiction or such research centers of repute outside its jurisdiction with which a Memorandum of Understanding (MOU) has been signed by the University for this purpose and as may be approved by the Academic Council in this behalf in which case the candidate can have a co-supervisor who shall be not below the rank of Professor or Senior Scientist of equivalent rank from the research centre concerned.

9.05 In special circumstances, a candidate may, not later than one year from the date on which approval was granted to him or next meeting of the RDC, modify the scheme of the topic with the approval of the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department /Convener and the Dean.

9.06 In case, a candidate fails to submit his/her thesis within four calendar years, he/she shall cease to be a bonafide student of the University and shall not be entitled to the rights and facilities extended to a regular student:

*Provided* that Such a candidate may, under special circumstances, be permitted by the Vice-Chancellor, on collective recommendations of the supervisor and the Head of Department/convener and the Dean of the Faculty concerned, to submit his/her thesis within a maximum period of six years including the four years period of his/her studentship.

9.07 A candidate submitting his/her thesis after the expiry of four years period shall have to pay additional fee of Rs. Two thousand only to the University or decided by the University.

9.08 The registration of the candidate who does not submit his/her thesis within six years from the date of his/her studentship shall be deemed to be cancelled automatically.

9.09 Every Research scholar will be required to submit a progress report every six months to the University through Supervisor.

9.10 Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Concerned Department/Affiliated colleges/Research centre that will be open to all Faculty members and research students, for getting feed-back and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor. The supervisor shall provide a certificate to this effect.

9.11 The research scholar shall publish atleast one research paper in refereed journal or in any of the journals approved by the respective department before the submission of the thesis for evaluation and produce evidence for the same in the form of acceptance letter or the reprint.





- 9.12 (a) A scholar may be permitted to make minor modifications in the title of his thesis by the Dean of the Faculty concerned on recommendation from the supervisor and the Head of the Department/the convener, but not later than six months before the submission of his/her thesis.
- (b) In case of major modifications or Topic change the scholar will be treated as a fresh case and shall not be allowed to submit the thesis before one years.
- 9.13 A thesis already presented for the Master of Philosophy (M.Phil). Degree shall not again be accepted for the degree of Doctor of Philosophy. However, some portion of it may be utilized in the Ph.D. thesis. The thesis should make substantive contribution to the discipline concerned, as evinced by discovery of new facts, or a fresh interpretation of facts or theories and should be so certified by the scholar and the supervisor.
- 9.14 (i) When the thesis is ready for submission, the scholar shall apply through his/her supervisor stating therein that the thesis is on the point of completion. Such a report be received atleast one month before the completion of the thesis.
- (ii) Head of Department/The convener and supervisor of the subject concerned shall recommend a panel of not less than six National Repute external experts of Professor level alongwith their e-mail address, postal address, fax and contact number of each expert. Out of this panel, atleast three experts, shall be appointed by the Vice-Chancellor in accordance with the due procedure to evaluate the thesis. It is to be ensured that atleast one examiner-expert shall be from outside the State. It shall be upto the University to have one examiner from out side the country. In case, the panels do not contain reputed names, the Vice-chancellor shall appoint such examiners from outside the panel.
- (iii) In the case, the thesis is not submitted within the stipulated time of three months, the panel shall stand lapsed and a fresh panel shall have to be recommended by the Convener/Supervisor.
- (iv) Every effort should be made to ensure that the panel of examiners is representative in terms of the University and that not more than one examiner is chosen from one University.
- (v) In the case, the thesis is submitted under the guidance of the convener of the board of studies concerned, he/she will be asked to





suggest only one panel of six names of National Repute external experts of Professor level in the capacity of supervisor only. The second panel of National Repute external experts of Professor level may be obtained by the Vice-chancellor, from a senior teacher of the subject concerned.

- 9.15 The research scholar shall submit the thesis in four printed or type written, but not published earlier, copies of his/her thesis, and two CDs in PDF format alongwith the three copies of summary and approved synopsis. Published matters may also be incorporated mentioning the sources as part of the thesis.

The medium of expression of every thesis shall be either English or Hindi (written in Devanagri Script) except in the case of subjects connected with any of the oriental language where the thesis may at the option of the candidate, be presented in that language.

- 9.16 The thesis shall comply with the following conditions:

- (i) It must be a piece of research work characterized either by the discovery of facts or theories. In either case it should reflect the candidate's capacity for critical examination and sound judgment. The candidate shall communicate, how far the thesis embodies the result of candidate's own observations and in what respects his investigations may advance knowledge in the subject.
- (ii) It shall be satisfactory so far as its literary presentation is concerned and must be in a form suitable for publication.
- (iii) The thesis shall be accompanied by a certificate from the supervisor stating:
  - a. That the thesis embodies the work of the candidate himself/herself.
  - b. That the candidate worked under him/her for the period required under Ordinance, and
  - c. That he/she has put in the required attendance in the department during that period.
- (iv) The candidate shall also remit, with thesis, Rs. 10000/- (Rupees Ten Thousand only) as the evaluation and viva-voce examination fee for Ph.D. degree or as decided by the Finance Committee.

### **EVALUATION AND ASSESSMENT METHODS:**

- 10.01 On receipt of the thesis alongwith the certificates and the fee mentioned above, the thesis shall be sent within two weeks to examiners selected for





the purpose after receiving their consent. In no case, the maximum time for all this process shall exceed two months.

- 10.02**
- (i) If the examiners consider the thesis to be of sufficient merit, they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy.
  - (ii) On receipt of satisfactory evaluation reports, these shall be laid before the Examination Committee or Sub-Committee thereof appointed for the purpose.
  - (iii) If the Committee is satisfied that the reports of the Examiners are unanimous and definite, the candidate shall be required to undergo a Viva-voce examination to be conducted by two examiner of whom one shall ordinarily be the supervisor and the other one from amongst external examiners, who have evaluated the thesis. If the external examiners evaluating the thesis are from outside the country, another external examiner may be specially appointed for the purpose.
  - (iv) The Head of the Department /Convener shall preside and conduct the proceedings of the Viva-voce examination, but he/she shall not be party to the decision.
  - (v) In case the supervisor is not available, the Head of the Department/Convener himself or any senior teacher of Department as recommended by the Board of Studies may act as internal examiner.
  - (vi) The Viva-voce examination shall be held at the University Headquarter and will be open to all interested in the subject, where the candidate shall be required to present the main findings of his/her thesis and defend the same. After satisfactory Viva-Voce, the Examination Committee or Sub-Committee, as the case may be may recommend that the result of the candidate be declared and the result shall be declared accordingly.
- 10.03**
- (i) If any of examiners recommend that the candidate be asked to improve/Revise his thesis, the Executive Council/Vice Chancellor may permit the candidate to re-submit his thesis, not earlier than six months and not later than the date to be fixed by the Executive Council/ Vice-Chancellor in such cases. The revised thesis will be sent to the same examiner who has asked for Improvement/Revision.
  - (ii) In case a candidate is allowed to re-submit his thesis, he/she shall have to pay a fresh fee of Rs. Five thousand at the time of resubmitting the thesis but it shall not be necessary to produce any certificate e.g. further attendance at the Institution.





- 10.04 (i) If reports of the examiners show a divergence of opinion between the examiners i.e. if one examiner recommends approval, another recommends Improvement/Revision and third recommends rejection, the thesis will be sent to the candidate for Improvement/Revision. The revised thesis will be sent to two examiners. One of the examiners will be the one from the previous panel who has asked for revision and the other will be appointed by the Vice-chancellor.
- (ii) If out of three examiners, two examiners approved the thesis and the third examiner rejects the thesis then the thesis shall be sent to the fourth examiner to be appointed by the Vice-chancellor. The opinion of fourth examiner shall be final.

*Provided* further that in case two examiners reject a thesis, the thesis shall be rejected.

- 10.05 A printed copy, not used for evaluation and an electronic version on a CD of each accepted thesis shall be lodged with the University Library or Research Centre at which the candidate pursued research where it will be open to public inspection.
- 10.06 The copies of report of examiners of the thesis and viva voce reports, may be given to the candidate on his written request, only in cases where the thesis has been finally accepted for award of the degree.

#### **Depository with UGC**

- 11.01 Following the successful completion of the evaluation process and conferment of the award of Ph.D, the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission within a period of thirty days, for hosting the same in the INFLIBNET, accessible to all Institutions/Universities.
- 11.02 The University shall host another soft copy of the Ph.D. thesis on its website for general viewing.
- 11.03 The University, alongwith the Degree, shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions to the University Grants Commission (minimum standards and Procedure for Award of M.Phil/Ph.D. Degree) Regulations, 2009.