

**MANAV RACHNA INTERNATIONAL UNIVERSITY,  
FARIDABAD**

(A deemed to be University under Section 3 of UGC Act 1965)  
NAAC Accredited "A" Grade University

**ORDINANCE NO.8(B)**

**Governing Programmes Leading to Degree of  
Doctor of Philosophy (Ph.D)**



**February 2017**

**MANAV RACHNA INTERNATIONAL UNIVERSITY**

**Sector- 43, Aravali Hills, Surajkund Road,**

**Faridabad- 121001**

## **CLAUSE 1. DEFINITIONS**

This Ordinance may be called Manav Rachna International University Ordinance No.8 (B) titled '**Governing Programmes Leading to Degree of Doctor of Philosophy (Ph.D.)**'.

- a. "AC" shall mean Academic Council of University with constitution as in Byelaws of the University.
- b. "Board of Faculty" shall constitute Members of similar departments in each Faculty of the University with constitution as in the Byelaws of MRIU.
- c. "BOS" shall mean Board of Studies for each department of the University with constitution as in the Byelaws of MRIU.
- d. "COE" shall mean Controller of Examinations of the University.
- e. "Degree" shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.
- f. "Dean" shall mean Dean of the concerned faculty, appointed as per Byelaws / Ordinance of the University.
- g. "RAC" shall mean Research Advisory Committee for the Research Scholar of the Faculty to monitor the progress of the research scholar at an interval of every six months. The research supervisor shall be the convener of this committee. The committee may recommend implementation of corrective measures (if any) and continuation/cancellation of registration of the research scholar.
- h. "DRC" shall mean a Departmental Research Committee consisting of Head of the Department(s) concerned, all professors from the Departments concerned in various Faculties, three Associate Professors and two Assistant Professors by rotation in order of seniority (for two years). The Dean may nominate any other person to attend meeting of DRC, on recommendation of Chairman of DRC, DRC shall be initially headed by senior most Head of Department (HOD) out of various Heads the Departments of concerned departments of different Faculties with a term of two years. Chairmanship of DRC shall be rotated among HODs on the basis of seniority. PhD qualification is mandatory for all members of DRC.
- i. "DRB" shall mean Doctoral Research Board for the research scholar of the University to maintain and achieve quality standards.
- j. "Faculty" shall mean a Faculty of the University.

- k. "Joint Supervisor" shall mean a member of the academic staff of the University/other outside staff, other than the Supervisor, and approved by BOS on the recommendation of the DRC to guide/supervise the research work of the Research Scholar.
- l. "Minimum Registration Period" shall mean the minimum period for which a candidate must be registered, prior to the date of submission of the Thesis.
- m. "Ph.D." shall mean the degree of Doctor of Philosophy.
- n. "Registration Period" shall mean the length of period commencing with the date of registration at the University and ending on the date of submission of the Thesis, counting out any gaps.
- o. "Research Scholar" shall mean a person registered for the Ph.D. degree who has got his research plan duly recommended by Doctoral Research Board, Board of Faculty and has been and approved by Academic Council and who has paid the required fee.
- p. "Supervisor" shall mean a member of the academic staff of the University approved by BOS on the recommendation of DRC to guide/supervise the research work of the student.
- q. "University" shall mean Manav Rachna International University, Faridabad.

## **CLAUSE 2. JURISDICTION**

A Research Scholar shall be required to pursue his / her research work or any prescribed course work at the University under the guidance of approved Supervisor(s). The DRC may also permit a Research Scholar to carry out either a part/ or full research work outside the University at any other relevant Research Facility/ties approved by the Academic Council. Further, the DRC may permit the Research Scholar to work at his place of employment provided adequate facilities for research on the proposed topic of research are available there, to the satisfaction of DRC. However, the candidate will have to pursue course work at the University.

## **CLAUSE 3. CRITERIA FOR ADMISSION**

An applicant possessing any one of the following qualifications shall be eligible to apply for admission to a Ph.D. programme of the University.

- (i) A Master's degree in Engineering / Technology / Science / Humanities / Commerce / Medicine / Law / Education / Pharmacy / Management of a recognized Indian

University, 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.

- (ii) 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.

- (iii) A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.

- (iv) Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. programme.

- (v) Applicants with a Bachelor's degree in engineering/ technology/ medicine / any other professional discipline of at least four year duration after 10+2, with either 70% or more marks in aggregate and a minimum of fifteen years of relevant experience in recognized Institute/University /Industry/ Government Organization, may be considered eligible for admission, on the recommendation of DRC, BOS/BOF and approval by Academic Council.

#### **CLAUSE 4: DURATION OF THE PROGRAMME**

- (a) Ph.D Programme shall be for a minimum duration of three years, including course work and a maximum of six years.

(b) The women candidate and persons with disability (more than 40% disability) may be allowed a relaxation of 2 years for Ph.D in the maximum duration. In addition the women candidate may be provided Maternity Leave/Child Care once in the entire duration of Ph.D for upto 240 days.

Extension beyond the above limits can be granted in exceptional cases, ie: may be extended by the Vice-Chancellor by a period of two years. A mercy chance can be given at the discretion of Vice Chancellor for another period of one year from the date of lapse.

## **CLAUSE 5. ADMISSION PROCESS AND REGISTRATION PROCEDURE**

### **5.1 ADMISSION PROCESS**

Applications for joining the Ph.D. programme shall be submitted on a prescribed form. The application received shall be scrutinized for eligibility criteria as laid down in Clause 3. All candidates shall be required to appear in an Entrance Test and Interview to test his/her aptitude towards research.

#### **5.1.1 Announcements and Application for Ph.D Programme**

The University shall notify well in advance, on the institutional 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, applications for admission to Ph.D. Programmes of its various faculties, for the benefit of candidates.

A candidate seeking admission to Ph.D. programme can procure the prescribed application from the University and send the completed form to the University at the address mentioned in the announcement and/or application form. The application form may also be filled on-line if and when so announced and/or advised by the University. The candidate must indicate the faculty to which the admission is being sought. In case a candidate wishes to apply to more than one field(s) of research or faculty, separate choices, preference wise, may be mentioned in application form.

#### **5.1.2 Written Test**

The provisional admission of candidates shall be made, based on written test, followed by interview and presentation. The date of written test will be announced through the website of the University. The syllabus of the Entrance Test shall consist of 50% of

research methodology and quantitative techniques and 50% shall be subject specific. The Entrance Test shall be qualifying with 50% marks.

### **5.1.3 Faculty Interaction, Interview and Provisional Admission to Ph.D Programme**

The candidates, who are short-listed on the basis of written test, can go through a faculty interaction process at the concerned Departments, to become familiar with and understand research activities, research groups and various research facilities at the Department of the university. Thereafter, the candidates can interact with Head of the Department and understand the particular type of research being done in the particular laboratory. The faculty members may also use this meeting to discuss research interests and views of the short listed candidates. On the basis of this interaction, the candidates can express their interest in the Laboratory of choice where a vacancy for a PhD student exists when they appear for interview before the DRC constituted.

An interview and viva-voce will be organized wherein the candidates are required to discuss their research interest/area through a presentation before Department Research Committee. Based on the performance in written test and interview, the committee will present its recommendations as Merit List, to Chairman DRC for finalization of provisional list along with allocation of proposed Supervisor and Broad area of research.

The list will be submitted to the Vice Chancellor for approval and to be announced through the website of the University.

## **5.2 ENROLLMENT AND REGISTRATION**

### **5.2.1 Enrollment**

The candidates recommended by the DRC and approved by Vice Chancellor, shall be admitted to the Ph.D programme of the University. They shall be required to submit the necessary documents for scrutiny and preparation of Registration Return. Upon due processing, the candidates will receive the University enrolment number.

### **5.2.2 Fee Deposit**

A Research Scholar shall be required to pay the fees in the manner prescribed by the University.

### **5.2.3 Registration**

After the approval of the Research Plan by the DRC and payment of fees prescribed by the University, a candidate shall be formally registered as a Research Scholar with effect

from date on which the Academic Council accorded its approval and the candidate was allotted enrollment number.

A Research Scholar shall be required to renew his registration every semester/ year and pay the fees in the manner prescribed by the University.

## **CLAUSE 6. COURSE WORK, RESEARCH PLAN AND SHORT SYNOPSIS.**

### **6.1 COURSE WORK AND CREDITS**

The course work shall be a prerequisite for Ph.D. preparation. 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 Academic Council.

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 (RAC), as stipulated under Clause 7 below, of the research scholar.

All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department during the initial one or two semesters (6 months or 1 year) after joining the university. Each course is assigned a total number of credits, which is based on the scientific content and the number of hours of lecture per week.

The course work shall comprise of:

- a) Research Methodology (3 Credits)
- b) Quantitative Methods and Computer Applications / Quantitative Techniques (3 Credits)
- c) One or more Elective Subject(s) related to the area of research (3 Credits)
- d) Literature Survey (1 Credit).
- e) Seminars for Short Synopsis and subsequent Progress Reports (1 Credit)
- f) Seminar for Pre-Ph.D Submission (1 Credit)

The scholar shall undergo course work for minimum three Subjects including the Subject allotted in the area of research within 6 months or 1 Year from the date of provisional registration and appear in the term end examination as notified by Controller of Examination. Regular classes for Research Methodology and Quantitative Techniques shall be held as per schedule notified by the Dean of the Faculty concerned. However, the third Subject pertaining to the area of research shall be taken by the Supervisor / Joint Supervisor during this period. He /She has to obtain a minimum CGPA of 6.0 for three theory subjects. In case, a Research Scholar fails to get minimum CGPA of 6.0 in

three theory subjects as mentioned above, he / she may be allowed to continue with the research work but would be required to improve CGPA to minimum 6.0 before Pre-Ph.D Submission Seminar Presentation.

## **6.2 RESEARCH SUPERVISORS**

- (i) Each scholar shall have a Supervisor, duly approved by the University. A scholar may also have one or two Joint Supervisor/s, if required.
- (ii) The allocation of Supervisor for the Research Scholar shall be decided by the DRC in a formal manner depending upon the specialization of the Supervisor and research interests of the student indicated by him/her at the time of Interview. The allotment / allocation of Supervisor(s) shall not be left to the Research Scholar and / or Faculty member. The DRC shall facilitate this process in the academic interest. During the admission process, potential Supervisor(s) may express their interest to DRC in guiding a Research Scholar, which may be taken on record. DRC shall maintain a database of potential Supervisor(s) along with their areas of specialization.
- (iii) Supervisor allocated by the DRC must be on the roll of the University but Joint Supervisor/s may also be allocated from outside the University as well with the condition that both must hold Ph.D Degree. However, if a Supervisor leaves the University, due to whatsoever reasons, he/she may continue as Joint Supervisor but a new Supervisor shall be allotted by DRC and the same will be got ratified from Academic Council through BOS/BOF.
- (iv) Any regular teacher of the University who holds a Ph.D. degree and has a teaching/research experience of more than 2 years shall be eligible to be a Supervisor or a Joint Supervisor.
- (v) A teacher with Ph.D. but having less than 2 years of experience in teaching/research will be eligible to become a joint Supervisor only.
- (vi) A person from another University, a public sector industry, or other reputed established industry or institutions conducting research programmes shall also be eligible to be appointed as a Joint Supervisor provided he/she holds a Ph.D Degree and has established record of research evident through publications in standard referred journals.



(vii) At any given time, a Professor shall have not more than 8 Ph.D. candidates, an Associate Professor not more than 6 candidates, and an Assistant Professor not more than 4 candidates registered under him/her. Joint registration (registration under more than one Supervisor) shall be counted as one each.

### **6.3 RESEARCH PLAN AND SHORT SYNOPSIS**

- (i) The research scholar after completion of his/her course work shall appear before DRC for judging the suitability of the research plan prepared in consultation with their Research Advisory Committee (RAC), as stipulated under Clause 7 below. The research plan shall be written in English in the specified Format. If the research plan is found suitable, the DRC shall freeze it. If the approval is not accorded to Research Plan, then such a research scholar may submit his/ her case afresh after modification in the research plan.
- (ii) The DRC will also approve requirement of the joint Supervisor (if any), it may also advise the research scholar to propose alternative names. Addition of Joint Supervisor would be considered along with justification that addition of a Joint Supervisor is absolutely necessary for carrying out research work. However, addition of joint Supervisor is allowed only up to one year from the date of registration.
- (iii) While recommending approval of the Research Plan, the BOS will also approve the Supervisor(s) or; in case it deems fit not to approve the proposed Supervisor or any of the joint Supervisors, it may advise the candidate to propose alternative names for consideration of the BOS/BOF.
- (iv) After the BOS/BOF approval of the research plan and the name(s) of the Supervisor(s) of a candidate, the case shall be submitted to the concerned Doctoral Research Board, Board of Faculty for its approval and to refer, if deemed fit, to the Academic Council for its consideration and approval in the ensuing meeting of Academic Council. If the approval is not accorded, then such a candidate may submit his/ her case afresh after modification in the research plan.
- (v) After the approval of the Research Plan by the DRC and payment of fees prescribed by the University, a candidate shall be formally registered as a Research Scholar with effect from date on which the Academic Council accorded its approval and the candidate was provisionally registered/enrolled.

- (vi) Dean of the Faculty concerned shall nominate a Senior Teacher of the Faculty as Ph.D Coordinator, who will be responsible for coordinating all activities related to the Research Scholars with all stakeholders.
- (vii) A Research Scholar will be required to give Research Plan presentation on the specified topic within two months from the date of completion of course work. In case the DRC is satisfied by the presentation, the specific topic of research shall be frozen. A candidate will ordinarily be allowed two chances for such presentation before the DRC. A third attempt may be allowed only with the approval of the Vice Chancellor in special circumstances. The topic of the research may be further changed, if required, based upon the outcome of the research by the DRC and this information shall also be given to the Academic Council through BOS/ BOF for ratification.
- (viii) The Change / Modifications in the topic of PhD would be considered by DRC, if the proposed change/modification does not involve drastic change with respect to original topic.
- If the request for change/modification is received by the DRC within six months of registration and it is subsequently approved by DRC, it will have no effect on registration period.
  - However, if the request is received after six months of the registration and subsequently approved by DRC, the period before change would be added to the mandatory registration period.
- (ix) Once the topic of research of a Research Scholar has been frozen, he / she shall prepare a Short Synopsis in consultation with their Research Advisory Committee (RAC), as stipulated under Clause 7 below, as per the prescribed Format and submit to concerned Dean of Faculty for Doctoral Research Board (DRB). The Research Scholar shall also submit a declaration to the effect that the research work done by him / her till date and contents reflected in the Short Synopsis are the original piece of research and free from plagiarism. Supervisor(s) shall carefully go through the Short Synopsis for the grammatical errors and structure as per guidelines and give instructions to the Research Scholar for its modification, if required. If Supervisor(s) is / are satisfied about the quality of the Short Synopsis he / she / they shall submit the same to concerned Dean of the Faculty for Doctoral Research Board (DRB) along with a certificate testifying therein that the entire text of the Short Synopsis has been read thoroughly and it is as per guidelines and grammatical correct.
- (x) Dean of the Faculty concerned shall countersign the certificate given by the Supervisor(s) if he / she is satisfied and forward the Short Synopsis to Doctoral Research Board (DRB) for verifying the suitability of the Short Synopsis for uploading on the Shodh Gangotri, web-portal of University Grants Commission.

(xi) Addition/ deletion/ change of Research Supervisor/ Joint Supervisor would be considered by BOS/BOF on recommendation of Research Advisory Committee(RAC) and DRC under following circumstances/ reasons, on request obtained from the Research Scholar and / or Supervisor(s):

- a) Death of Supervisor/ Joint Supervisor.
- b) Resignation of the Supervisor / Joint Supervisor from the University.
- c) Attainment of age of seventy years by Supervisor/ Joint Supervisor.
- d) Any other specific reason to the satisfaction of BOS

(xii) A Research Scholar shall be required to renew his registration every semester/ year and pay the fees in the manner prescribed by the University.

## **CLAUSE 7. RESEARCH ADVISORY COMMITTEE AND PERFORMANCE MONITORING**

There shall be a Research Advisory Committee (RAC), or an equivalent body for Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research.
- 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.
- To periodically review and assist in the progress of the research work of the research scholar.

For this purpose, each Research Scholar will be asked to submit a progress report at the end of each semester to his/ her Supervisor(s). On receipt of the progress report, the Supervisor(s) shall arrange a presentation of the Research Scholar with the RAC for a review. The RAC after having considered the progress report of each scholar shall recommend one of the following:

- (i) Continuation of registration
- (ii) Termination of registration.

The six monthly progress report with comments on evaluation of research work, as per Format prescribed, shall be submitted by the Convener of the Research Advisory Committee to the Chairman DRC of the concerned Faculty, with a copy to the research scholar.

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 Chairman DRC of the concerned Faculty, with specific reasons for cancellation of the registration of the research scholar. If the RAC recommends termination of registration, the matter is to be referred to DRC. In such cases, the BOS shall recommend its decision to Board of Faculty for its consideration and further ratification of Academic Council.

## **CLAUSE 8. MINIMUM ELIGIBILITY CRITERIA FOR SUBMISSION OF LONG SYNOPSIS/THESIS**

a) A Research Scholar may submit his/her Thesis within the time period as stipulated in Clause 4 provided of this Ordinance, provided he/she has completed the following requirements:

- **Research Publications**

(i) He/she has published minimum of one research paper in an International refereed and Indexed Journal and obtained an additional score of 10 on the parameters as given hereunder:-

<b>Type of Publication/ Presentation</b>	<b>Score</b>
Publication in an International Journal	10
Publication in National Journal	5
Paper in International Conference (Abroad)	4
Paper in International Conference (in India)	3
Paper in National Conference	2

(ii) However, in exceptional circumstances, wherever it has been not possible to fulfill the mandatory condition of one publication in International Journal, this fact must be brought to the notice of DRC by RAC, along with sufficient reasons to justify as to why the Thesis should be accepted in the absence of one published research papers in international journals. However, in that case a Research Scholar would have to score 20 marks based on the criteria as given above.

(iii) The type of publication/ presentation shall be in the field/ sphere of topic of Ph.D. Only those research publications, in the Journal / Proceedings of the Conferences, would be considered for scoring system where the name of the Research Scholar is written as an author along with that of Supervisor(s).

- (iv) The Research Scholar must mention the affiliation to the Manav Rachna International University in the research publication. For example, the specification of the Research Scholar as an author in the Research Publication may be as under:

*(Name of the Research Scholar), Research Scholar  
Manav Rachna International University, Faridabad  
(Designation, Name of the Employer of the Research Scholar) (If applicable)  
Name and Designation of Supervisor(s) and affiliation*

#### **CLAUSE 9. PRE-PH.D SUBMISSION SEMINAR AND PRESENTATION**

A Pre-Ph.D Submission Presentation on the contents of the Thesis before the DRC is an essential requirement before submission of Long Synopsis/ Thesis.

- a) On completion of the research work and complying with the submission requirements, the candidate shall submit to Supervisor(s), a copy of the Long Synopsis of his/ her research work in the prescribed format. If Supervisor(s) is / are satisfied that the research work has been completed as per pre-defined objectives and the Research Scholar meets the eligibility criteria for Pre-Ph.D Submission including published work, he/she/they shall forward the same with the certificate to Dean of the Faculty concerned for verification. This should also hold/ include prior approval and certification of RAC.
- b) Dean of the Faculty concerned shall forward the Long Synopsis of the Research Scholar after countersigning the certificate given by the Supervisor(s) and Convener, RAC, to the Doctoral Research Board (DRB). The Committee shall scrutinize the eligibility of the Research Scholar for Pre-Ph.D Presentation and Long Synopsis and submit its recommendations to the Vice Chancellor for approval. Once Doctoral Research Board (DRB) declares a Research Scholar eligible for Pre-Ph.D Presentation, the Research Scholar shall submit 8 copies of the Long Synopsis to DRC through Supervisor(s) and RAC. DRC shall conduct the Pre-Ph.D Presentation and Seminar, of the Research Scholar in the presence of Faculty members, Research Scholars and PG Students and give its recommendations as under:
- If DRC is fully satisfied with the research work completed by the Research Scholar, it will recommend to BOS to allow the Research Scholar to write his / her Thesis and submit the final draft within 6 months from the date of clearance by BOS.
  - If DRC is not satisfied with the research work done by the Research Scholar, it will advise the Research Scholar to make the specific changes / undertake additional research work and resubmit the Long Synopsis.

Notice for Pre-Ph.D Submission Presentation must be issued by the Ph.D Coordinator with the approval of the Dean concerned, at least 10 calendar days in advance.

## **CLAUSE 10. SUBMISSION OF THESIS**

- a) The Thesis shall be a body of research work characterized either by discovery of new facts or enunciation of a new hypothesis/theory or theories or by fresh interpretation of known facts. It should bear evidence of the Research Scholar's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design or development. A Thesis may be supplemented by published work, duly cited. No part of the Thesis or supplementary published work shall have been submitted for the award of any other diploma or degree.
- b) The Research Scholar by any University shall be required to submit a draft copy of the Thesis to the Supervisor(s) within a period from 15 days to 6 months from the date of Pre-Ph.D Submission Presentation by the Research Scholar after incorporating the changes as suggested by DRC and approved by BOS. The draft copy of the Thesis shall also be accompanied by a declaration by the Research Scholar that the work embodied in the Thesis entitled " \_\_\_\_\_ " is original and has been carried out by the author and that it has not been submitted in full or in part for any other diploma or degree of this or any other University. He/she further certifies that the contents of Thesis are free from plagiarism.
- c) Supervisor(s) shall carefully go through the draft Thesis and suggest changes, if any, to the Research Scholar within 21 days positively. The Research Scholar shall resubmit the amended Draft Thesis to the Supervisor(s) within a reasonable time to the Supervisor(s) who shall forward the same to the Dean concerned, with approval of RAC, along with a certificate on the same lines as in case of Short Synopsis. Dean concerned shall countersign the certificate after obtaining a certificate about originality of work from the scholar and the supervisor and forward the Draft Thesis to Doctoral Research Board (DRB) for ascertaining its suitability for final submission. The committee shall give its recommendations to the Vice Chancellor and notify the same to the Dean concerned. If Doctoral Research Board (DRB) clears the Draft Thesis for final submission, the Research Scholar shall submit eight copies of the Thesis as per the notified format to the Supervisor(s), in addition to the copies for supervisor and joint-supervisor for submission to Dean for further action.
- d) In case a scholar fails to submit his Thesis within the stipulated time but has a suitable justification for the same, the Dean concerned may grant an extension of not more than two months i.e., the candidate may be allowed to submit his Thesis within a period not exceeding eight months from the date of Pre-Ph.D Submission Presentation.

- e) If the Research Scholar even then fails to submit his / her Thesis within a stipulated period of 8 months, he / she will have to submit the Thesis after making Pre-Ph.D Submission Presentation again with the preset conditions as given in Clause 9.
- f) The Thesis shall be written in English in specified format in accordance with the prescribed instructions.

Eight copies of the bound Thesis and Long Synopsis along with 3 copies on CD (in PDF format) for record must be submitted to the Dean concerned through Head of Department. The Research Scholar shall also submit a No Dues Certificate to the Dean concerned at this stage to ensure that he / she has paid full fee for the program and nothing is due against his / her name from the University.

#### **CLAUSE 11. APPOINTMENT OF EXAMINERS**

- (i) A panel of at least six experts in the subject area of research work from the different States in India would be suggested by the Supervisor(s) and placed before the DRC at the time of Pre-Ph.D Submission Presentation for its recommendations to BOS. The BOS may add/ delete any of the name(s) proposed and forward the same to Dean of the concerned faculty.
- (ii) A person from the same University / Institutions/ industry where the candidate is employed cannot be appointed as an external examiner. Further a person, working or retired, from a University / Institutions/ industry to which the Supervisor and/or joint Supervisor of the candidate belongs cannot be appointed as an external examiner.
- (iii) On receipt of the copy of Thesis and Long Synopsis, the Dean concerned shall send the panel of examiners as approved by the BOS to the Vice-Chancellor, along with copy of Thesis and Long Synopsis, who will appoint the Board of Examiners for the Thesis. The Board shall consist of one internal examiner from amongst the Supervisor(s), and two external examiners. The examiners shall normally be chosen by the Vice Chancellor, from the panel of examiners recommended by the BOS.
- (iv) On appointment of Board of Examiners, the Dean concerned shall send three copies each of Thesis and Long Synopsis to the Controller of Examination. COE shall send Long Synopsis to such external examiners as approved by the Vice Chancellor and get their consent to examine the Thesis. In case one or more examiners so appointed decline to examine the Thesis, another examiner shall be appointed out of the panel. In case the panel gets exhausted, BOS shall be requested to recommend additional names.

- (v) In case, the Vice Chancellor himself / herself happens to be the Supervisor, the external examiners shall be appointed by the Pro Vice Chancellor of the University or the Dean of the concerned faculty.

## **CLAUSE12. EVALUATION OF THESIS AND VIVA VOCE EXAMINATION**

### **(a) Evaluation of Thesis**

- (i) COE will arrange to send the two copies of Thesis to the two external examiners as finalized in Clause 11.
- (ii) Each examiner will be requested to submit to the COE, a detailed assessment report and his/her recommendations on a prescribed proforma within four months of the date of receiving the Thesis.
- (iii) In the event that the assessment report is not received from an examiner within four months, a reminder would be sent to the concerned examiners by COE. Even if the report is not received after additional two months, the Vice-Chancellor may appoint another examiner from the panel of examiners for evaluating the Thesis. The panel of examiners would be exhausted in this manner, if the report is not received from the subsequent examiners. In case the panel gets exhausted, BOS shall be requested to recommend additional names.
- (iv) The examiners shall be required to state categorically whether in their individual opinions, the Thesis should be:
  - a. Accepted for the award of Ph.D. degree, or
  - b. Referred to the Research Scholar for presentation in the revised form, or
  - c. Rejected.
- (v) The external examiner shall state the reasons for recommending resubmission/rejection of the Thesis. If resubmission is recommended, the examiner shall specifically indicate the modifications that need to be made in the Thesis by the Research Scholar.
- (vi) On receipt of reports from all the examiners, COE shall place these reports before the Dean concerned, who shall peruse the reports and advise one of the following:
  - If the examiners are unanimous that the Thesis be accepted for award of the degree, the Research Scholar be required to appear for viva voce.



- If the examiners are unanimous that the Thesis be rejected or that the Thesis be submitted in a revised form the result be declared accordingly, and the Research Scholar be informed to submit the Thesis in a revised form.
- vii) If there is no unanimity between examiners, an additional external expert shall be appointed as examiner to examine the Thesis. The report of the additional examiner, along with all the earlier reports shall be considered by the Dean concerned, and a recommendation made to Controller of Examination, either to accept/reject the Thesis for award of degree or advise the Research Scholar to submit the Thesis in the revised form.
- viii) In the event of the candidate being required to submit a revised Thesis, he/she shall, submit the same within a period of one year from date of communication in this regard from the COE. However, in exceptional circumstances this period may be extended by BOS by one more year but the total revision time will not exceed two years. The revised Thesis shall be sent for assessment to the original panel of examiners. In the event of one or more or original external examiners not being available, an additional external examiner may be appointed by Vice- Chancellor for this purpose in consultation with Chairman of the concerned BOS. The preset procedure shall be followed for the same.
- ix) In case, the Thesis has been unanimously rejected by both the external examiners, the Research Scholar would be required to re-register for the research work as a fresh candidate, if he / she so desires.

### **(b) Viva Voce Examination**

- (i) A Research Scholar, whose Thesis is recommended for acceptance in accordance with clause 12(a) on the basis of Thesis evaluation, shall be required to defend his/ her Thesis work before the external examiner (to be appointed by the Vice Chancellor amongst the evaluators) in the presence of Dean concerned, Head of the Department concerned, and the Supervisor(s) of the candidate. The other Faculty members and the Research Scholars may also attend the viva voce examination, may ask questions to the extent of their clarifications. However, decision regarding successful defence shall vest with the external examiner. If none of the external examiners is available for the conduct of the viva voce, an alternative external examiner shall be appointed by Vice Chancellor for this purpose in consultation with Chairman of the concerned BOS.

- (ii) The external examiner invited for viva voce shall submit his report to the COE.
- (iii) On completion of all above stages of examination, the COE shall put up the case to a committee consisting of the Vice Chancellor, Dean and HOD concerned to study the reports of the evaluation and to approve one of the following:
  - a. That the degree be awarded,
  - b. That the candidate be re-examined at a later specified time in a specified manner,
  - c. That the degree not be awarded,

In case of Clause 12(b)(iii)(b), the COE in consultation with the committee shall provide to the Research Scholar a list of all corrections and modifications required in the Thesis, including suggestions made by the examiners during the Thesis evaluation. The Research Scholar shall thereafter submit two hard-bound copies of the Thesis, incorporating all necessary corrections/modifications.

### **CLAUSE13. AWARD OF DEGREE**

- (i) The Degree shall be awarded by the University provided that:
  - a) Committee (as formed in 12 (b) so approves),
  - b) The candidate produces a "No Dues Certificate" in the prescribed form
- (ii) The University, along with Degree, shall also issue a certificate to the effect that the Ph.D Degree has been awarded in accordance with the UGC Regulations titled 'UGC (Minimum Standards and Procedures for Awards of M.Phil / Ph.D Degree) Regulation 2016, as amended time to time.

### **CLAUSE14. LEAVE AND ATTENDANCE**

A Research Scholar will be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Academic Council.

### **CLAUSE 15. CANCELLATION OF REGISTRATION**

Registration of a Research Scholar shall be cancelled in any one of the following eventualities, after due approval of Vice-Chancellor:

- (i) If he fails to keep in contact with the Supervisor(s) for a continuous period of six months without prior intimation /sanction of leave.
- (ii) If he resigns from the Ph.D. programme and the resignation is duly recommended by DRC.

(iii) If he fails to renew his registration in any semester/ year subject to the provisions contained in the Ordinances.

(iv) If his academic progress is found unsatisfactory.

(v) If he is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the Institute or any other authority authorized by the Academic Council.

#### **CLAUSE 16. APPLICABILITY OF THE ORDINANCE**

Notwithstanding anything contained in these Ordinances, all categories of Research Scholars shall be governed by the rules and procedures framed by the Academic Council on this behalf, and in force from time to time.

#### **CLAUSE 17. ACTION TO BE TAKEN IN CASE OF UNFORSEEN ISSUES ARISING AND NOT COVERED IN THE ORDINANCE**

Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by this Ordinance, or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining, if necessary, the opinion/advice of a Committee consisting of senior academic functionaries of the University. The decision of the Vice-Chancellor shall be final.

#### **CLAUSE 18. DEPOSITARY WITH UGC**

Following the successful completion of the evaluation process and announcement of award of Ph.D, the Controller of Examination shall upload the an electronic copy of the Thesis in PDF Format on ShodhGanga, the Web Portal of University Grants Commission within a period of 30 days as per specifications laid for this purpose.

#### **CLAUSE 19. INTERPRETATIONS OF THE GENDER WORDS**

In this Ordinance, wherever, the word 'he' and 'his' are mentioned, the same shall be read as 'she / her' respectively or vice versa.