

CHAPTER: 6

DOCTOR OF PHILOSOPHY, Ph.D

Academic Programmes leading to the award of Ph.D degree shall be organized and managed by the Academic Council, URC, DRC, SRC and any other Committee(s) constituted by the authority empowered under the Statutes, Ordinance and Regulations. The constitution, composition, functions and powers of these bodies will be as specified in the Act, the Statutes, the Ordinances and the Regulations. The programmes leading to the Degree of Doctor of Philosophy will be offered by the Departments/Constituent Units.

6.1 Admission Eligibility:

- (a) A candidate for admission to the programme of Doctor of Philosophy must have obtained at least a Second Class Master Degree with not less than 55% of marks in aggregate or its equivalent grade B in the UGC 7 point scale or equivalent grade in a point scale wherever grading system is followed, in Engineering/ Technology/ Science/ Humanities/ Management/ Law/ Commerce/ Education from a recognized University or a degree approved by the Association of Indian Universities, or any other equivalent qualification in the subject in which the candidate wishes to pursue a course of research or in a subject allied thereto to the satisfaction of the URC for its recommendation to the Academic Council for approval. Candidates from interdisciplinary Programmes are also considered for admission.

Relaxation of marks in minimum eligibility shall be given to the candidate as per UGC regulation, 2016.

- (b) Applicants with B.Tech. / B.Arch. degree or any other professional degree of four years duration after ten plus two or higher duration in respective discipline or equivalent, with minimum CGPA equivalent to 75% or more marks may be considered eligible for admission in Ph.D programme in Engineering and Technology only;
- (c) For Ph.D in Law and Ph.D in Education, the applicant the applicants should possess a Master's degree in Law and Education respectively as the case may be.
- (d) If considered necessary, DRC in consultation with the concerned Dean may propose other qualifications/ requirements in specific areas, consistent with the norms of UGC, AICTE and other statutory bodies, to URC for its recommendation to the Academic Council for approval.

6.2 Admissions Process:

- (a) Applications for admission to Ph.D programmes shall be invited through an open advertisement, normally twice a year, for pre-determined intake for each programme;
- (b) Applications shall be screened by DRC. All the eligible candidates shall have to appear in a written test to be organized by the University as per guidelines of UGC, followed by an interview to be conducted by DRC. Candidates who qualify UGC/ CSIR (JRF) Examination/ SLET/ GATE/ Teacher fellowship holder or have passed M.Phil programme shall be exempted from written test;
- (c) Those applicants who are shortlisted shall appear for an interview before the DRC of the respective department;
- (d) Selected applicants shall be allocated Guide(s)/ Supervisor(s) depending on the specific areas of research interest.
- (e) DRC shall, for each applicant, constitute a Student Research Committee (SRC). DRC shall recommend to the University regular registration of the candidate to the Ph.D programme;
- (f) Non Resident Indians (NRIs), Persons of Indian Origin (PIOs) and Foreign Nationals may be admitted to the programme in accordance with the guidelines as stipulated by the regulatory bodies/ Government of India.

6.3 Fee Structure:

The Fee for Ph.D programmes shall be as notified by the University from time to time.

6.4 Fellowships/ Assistantships/ Contingency Grants:

- (a) Research Scholars, other than sponsored/self-financed and those in receipt of Scholarship from other sources (CSIR/ UGC/ Sponsored Projects etc.), shall be eligible for award of fellowship called Junior Research Assistantship (JRA) for first 24 months period and thereafter Senior Research Assistantship (SRA) for the next 12 months as decided by the Finance Committee / Board of Management. The grant of scholarship will be based purely on merit.

In case his/her attendance falls below 75% during a month, he/she will not be paid Fellowship/ Assistantship for that month;

- (b) Contingency Grant:
The Research Scholar, who will be receiving the JRA/SRA from the University, shall also be eligible to receive Contingency Grant per annum (as decided by the Finance Committee / Board of Management) which shall be utilized for the purchase of books, consumables, TA/DA to attend conferences (National/International) and other

miscellaneous expenses. On completion of the programme, the books will be required to be deposited in Manav Rachna University Library.

6.5 Classification of Applicants:

An applicant, satisfying minimum eligibility criteria, for admission to the Ph.D programme shall be classified into any one of the following categories:

(a) General Candidates:

Research Scholars, other than sponsored/ self-financed in receipt of scholarship from other sources such as CSIR, UGC etc.;

(b) Sponsored Candidates:

The candidates sponsored by an Organization/ Institution/ University, who satisfy eligibility qualifications and are allowed to register for Ph.D programme;

(c) Self-Financed Candidates:

Indian/ Foreign National/ PIO/ NRI satisfying eligibility qualifications;

(d) Faculty and Academic Staff of the University:

Regular teachers and academic staff of Departments/Constituent Units who are allowed to register for Ph.D;

(e) Non-Academic Staff of the University / Constituent Units:

A regular member of non-academic staff of the University and its Departments/ Constituent Units who satisfies eligibility qualifications is allowed to be registered for Ph.D programme;

(f) MREI Candidates:

Regular members of teaching/academic/non-academic staff of the Manav Rachna Educational Institutions' constituent units other than that of this University who satisfy eligibility qualifications are allowed to be registered for Ph.D programme.

6.6 Ph.D Registration:

After submission of admission fee a candidate is considered to be provisionally registered for the programme till the time he/she successfully completes all requirements of course work and approval of short synopsis. Date of registration of the research scholar shall be the date of approval of candidates' provisional registration with the proviso that all the requirements of course work and synopsis have been complied with. After approval by the DRC, the University will convey the approval for registration to the candidate with copies to the Dean of Faculty and Head of Department concerned.

6.7 Semester Registration:

Candidates will be required to register every semester by the specified date(s) for respective semester(s). In case of late registration, late fee will be levied. The semester

registration shall be subject to completion of specified number of credits / course work and / or satisfactory progress in his/her research work as recommended by the DRC.

6.8 Migration of Candidates:

- (i) The University shall permit migration of Ph.D students from other Universities/ Institutions. The candidate shall have to submit No Objection Certificate/ Migration Certificate from parent University;
- (ii) All the cases of migration shall be scrutinized and recommended by DRC to Vice-Chancellor for approval;
- (iii) Registration period for a migrated candidate shall not be less than one year.

6.9 Time Period Requirement for Submission of the Ph.D Thesis:

(a) Minimum Time Period:

The minimum period for submission of thesis by a Ph.D candidate shall be three years from the date of registration;

(b) Maximum Time Period:

The candidate registered for Ph.D programme shall be allowed to submit their thesis within six years from the date of their registration. Thereafter, the registration shall stand cancelled automatically unless, for valid reasons, an extension is granted by the Vice Chancellor. The maximum of two extensions of one year each shall be considered on case to case basis.

6.10 Residency Period:

The minimum Residency Period for Ph.D candidates in the Department/ Constituent Unit shall be one semester. DRC can allow a candidate to carryout research work at other Institute/ University/ Industry/ Organization provided the facilities to carryout research work exist there.

6.11 Cancellation of Registration:

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

- (a) If his academic progress is found unsatisfactory in three consecutive monitoring reports;
- (b) If he is absent for a continuous period of six weeks without sanction of leave;

- (c) If he withdraws from the Ph.D programme and his request is duly recommended by the DRC;
- (d) If he/she fails to renew his/her registration in any semester subject to the provisions contained in the Ordinances/Regulation;
- (e) If he/she fails to clear mandatory course work and comprehensive review.

6.12 Disciplinary Regulations:

If a Ph.D candidate is found to be involved in an act of moral turpitude, misconduct, misbehavior and/or indiscipline or plagiarism of any kind, disciplinary action will be taken by the University as per Regulations relating to maintenance of discipline by students.

6.13 Course Credit Requirements and Registration for Courses:

All candidates admitted to the programme shall have to undertake course work and fulfill the credit requirements as prescribed by the University in accordance with guidelines of the UGC Regulations 2016 for award of M.Phil/Ph.D degree and as amended from time to time.

Comprehensive Review:

Each candidate, normally after one semester, shall be required to appear for comprehensive review in front of DRC and present his short synopsis. Successful review shall make the candidate eligible for submission of short synopsis.

After approval, the short synopsis of the candidate shall have to be uploaded on Shodh Gangotri (INFLIBNET), within a period of 30 days by the Controller of Examinations.

6.14 Thesis Guide(s) / Supervisor / Co-Guide / Joint Supervisor:

- (a) The Guide(s) / Supervisors shall be a full-time faculty member of the University Department/Constituent Unit with a Ph.D Degree and with at least three years of teaching / industry experience;
- (b) A person from within the University or external organization with a Ph. D degree and proven merit and experience in the subject area may be appointed as Co-Guide / Joint Supervisor.

The maximum number of Ph.D students to be supervised by a faculty member at any time in the University will be as per UGC norms.

6.15 Appointment of Guide and Co-Guide(s):

The DRC may appoint more than one Guide not exceeding a total of three for guiding one candidate. There should not be more than two Guides from within the Department/ Constituent Unit or other department / institution. Normally change of Guide or

appointment of any other Guide shall not be made after the lapse of 18 calendar months from the date of registration of the candidate;

A faculty member appointed as a Ph.D Guide/ Supervisor is normally expected to be available to a research candidate in the University Department/ Constituent Unit. However, under unavoidable circumstances, such as long leave of 12 months; retirement; resignation or death; a Supervisor may not be available to a Scholar. In such special cases, appointment of Guides/ Supervisors shall be regulated as under:

- (a) A Guide/Supervisor proceeding on leave of more than 12 months:
 - (i) Where Joint-Supervisor, from the University, exists, he/she shall be appointed as Supervisor;
 - (ii) Where Joint-Supervisor does not exist or is from external organization; a new Supervisor from within the University shall be appointed;
 - (iii) Provided, the long abstract (pre submission) of the thesis or thesis has been submitted before the Supervisor proceeds on leave, he/ she will continue to be the Supervisor and DRC shall take over the administrative responsibilities of the Supervisor. Further, if a major revision becomes necessary, and the sole Supervisor is on leave, a Joint-Supervisor will be appointed.
- (b) A Supervisor retires/ is due to retire:

A faculty member who is due to retire within the next one year can be appointed only as a Joint-Supervisor and can continue to be the Joint-Supervisor even after his retirement, provided the DRC is convinced of his availability / continued guidance to the student. In other cases, a faculty member on retirement shall continue as:

 - (i) Supervisor, if his term is extended or he is reemployed or appointed or he is appointed as Emeritus Teacher or Adjunct Professor;
 - (ii) Supervisor, if the long abstract (pre submission) of the thesis or thesis has been submitted/ is due for submission within 6 months of retirement, appointment of Joint-Supervisor, if necessary, will be as per provisions made in these regulations.
- (c) A Supervisor resigns:

A faculty member who resigns from the services of the University may continue as:

 - (i) a Supervisor, if the long abstract(pre submission) of the thesis or thesis has been submitted/ is due for submission within 6 months of resignation. Appointment of Joint Supervisor, if necessary, will be as per provisions made in these regulations;
 - (ii) a Joint-Supervisor till the DRC is convinced of his availability/continued guidance to the student;

In other cases, a new Supervisor will be appointed, if necessary, as per provisions made in these regulations.

- (d) A Supervisor expires:
The Joint Supervisor, if from within the University, shall be appointed as Supervisor otherwise a new Supervisor will be appointed on the recommendation of DRC.

6.16 Performance Monitoring:

The academic/research progress of each candidate shall be monitored by SRC. For this purpose each candidate shall submit a progress report at the end of each semester to the Chairman, SRC through his Guide(s). DRC shall give S (Satisfactory) or U (Unsatisfactory) remark as per the recommendations of SRC.

6.17 Pre-Submission Seminar:

A candidate, through his/her Supervisor, can request SRC for pre-submission seminar if the candidate has published/ acceptance of minimum of two research papers in refereed/ indexed journals out of which at least one shall preferably be in an international journal, for which he/she should produce evidence in the form of acceptance letter or reprint. The publications shall be counted if they show the candidate as first author/ corresponding author and has affiliation of MRU. In case of migrated candidates at least one publication shall show affiliation of MRU.

6.18 Long Abstract:

- (a) The long abstract will be submitted by the candidate normally within three months after the pre-submission seminar;
- (b) The candidate shall submit to DRC, through SRC, a soft and a hard copy of the long abstract of the thesis;
- (c) SRC shall, in a meeting in which the candidate shall be required to be present, evaluate the long abstract for approval and will forward the same with its recommendation to the DRC for appointment of the thesis examiners.
- (d) SRC shall recommend panel of examiners as specified in the Guidelines for Research Degree Programmes;

6.19 Panel of Examiners for Ph.D:

A Ph.D thesis shall be evaluated by two examiners. DRC shall prepare a panel of at least five examiners for approval of the Vice-Chancellor.

6.20 Thesis Preparation and Submission:

- (a) A candidate shall submit thesis within four months of the approval of long abstract. However, in case a candidate fails to submit thesis within the stipulated time and has proper justification for the delay, the DRC, on individual merits of each case, may grant an extension;
- (b) The thesis shall be written in English in the format and style as approved by DRC, in accordance with the guidelines for Research Degree Programmes, unless the discipline of the Ph D thesis (linguistics) compels otherwise;
- (c) Candidate shall submit seven copies of thesis to the Controller of Examinations.

6.21 Thesis Evaluation:

Procedure for evaluation of thesis shall be as prescribed below:

- (a) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed pro-forma within six weeks of the date of receiving the thesis;
- (b) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner may be appointed from the approved panel;
- (c) If reports from two external examiners recommends acceptance of the thesis along with specific recommendation for conducting the viva voce examination, the candidate shall be eligible for oral defense;
- (d) The examiners report shall be forwarded by the Controller of Examinations to the Vice-Chancellor in a sealed cover. The Vice-Chancellor shall scrutinise the reports and if the reports recommend conduct of viva examination, the respective Dean of Faculty shall be accordingly informed.

Before the conduct of oral defence, Controller of Examinations shall share with the candidate only those comments and queries in the reports which require explanation and answers, without disclosing the identities of the examiners;

(e) Revision cases:

In case one or both of the reports recommend revision of the thesis, the candidate shall have to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiner for his recommendations.

(f) Rejection cases:

- (i) If one of the reports recommends rejection, the thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected;

- (ii) If both the reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally within one year, provided the research area of the thesis remains unchanged. The University shall then follow the normal procedure de novo for the evaluation of the resubmitted thesis.

Note:

In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be paid by the candidate

6.22 Oral Defence Examination (Viva-Voce):

- (a) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/ thesis orally (viva-voce examination) before a duly constituted Examination Board. This shall comprise at least one External Examiner and the Supervisor as Internal Examiner.

The date and time of the viva-voce shall be duly notified to enable the faculty members, staff members and students to attend it;

- (b) At the time of Viva-Voce Examination, seven copies of the thesis in hard cover binding must be submitted. These hard bound copies shall include supplements, if required, in Viva-Voce Examination, with a covering Certificate of Guide(s) in prescribed pro-forma. Additional copies of the supplement shall be provided by the candidate for the External Examiner and Supervisor(s);
- (c) Controller of Examinations, in consultation with the External Examiner, shall announce the date of Viva-Voce Examination which shall be communicated to the candidate at least fifteen days in advance;
- (d) In the Viva-Voce Examination, the candidate shall present his work and thereafter give his response to comments and questions arising out of the examiners reports;
- (e) The External Examiner shall give his recommendation in the prescribed pro-forma;
- (f) Internal Guide shall forward the report to Controller of Examinations who in turn shall submit it to the Vice-Chancellor for approval.

If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice-Chancellor for his decision.

(g) The institution shall complete the entire process of evaluation of Ph.D. Thesis normally within a period of six months from the date of submission of thesis.

6.23 Award of Ph.D Degree:

A Ph.D candidate shall be eligible for award of Ph.D degree at Convocation, after the Vice-Chancellor has, on the recommendations of the examiners, approved that the degree be awarded and the approval has been subsequently ratified by the Academic Council.

On successful completion of the evaluation process and announcements of the award of the Ph.D degree, the degree shall be awarded by the University, provided that the candidate produces "No Dues Certificate".

6.24 General Provisions for Doctoral Programmes:

(a) Issuance of Provisional Certificates:

After the approval of the Vice-Chancellor for the award of Ph.D degree, the candidate shall be issued a Provisional Certificate for having completed the requirements of the degree on the condition that the candidate has submitted seven hard-bound copies and a soft copy of the final version of his thesis and has cleared all the dues;

(b) Depository with UGC: .

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), an electronic copy of the Ph. D. thesis shall be submitted to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges. A copy of the notification of award of Ph D shall also be endorsed to the UGC for their information and adoption in records

6.25 University Research Council (URC):

(a) Role:

The role of URC is to formulate and lay down policy guidelines for the conduct of Ph.D and Post Doctoral degree programmes, and to ensure high standards of research work in such programmes;

(b) Composition:

The composition of the University Research Council shall be as follows:

(i) The Vice Chancellor - Chairperson

(ii) Four external experts nominated by Vice Chancellor - Members

(iii) Dean, Research

(iv) Deans of Faculty

(v) One faculty member from each faculty to be nominated by the Vice Chancellor

- (vi) Registrar-Member Secretary
- (c) The term of office of the members (other than ex-officio members) will be two years from the date of nomination;
- (d) The University Research Council shall meet at least twice in a year;
- (e) Fifty percent of the total membership shall form the quorum for any meeting;
- (f) Functions:
Subject to the provisions of the Act and Statutes, the University Research Council shall perform the following functions:
 - (i) Policies relating to and oversee research for Ph.D and post-doctoral degree programmes.
 - (ii) Guidelines for registration of students, thesis supervision, programme design and thesis evaluation;
 - (iii) Research indicators for such evaluation;
 - (iv) Review and recommend thrust areas for research;
 - (v) Delegation of any of its functions to the concerned DRC;
 - (vi) Preparation of the consolidated reports on research efforts of the University;
 - (vii) Any other work related to research development and coordination.

6.26 Departmental Research Committee (DRC) and its Function:

- (a) The composition of the Departmental Research Committee will be as under:
 - (i) The Head/ Senior Professor of the Department/ Constituent Unit – Chairperson;
 - (ii) Maximum three Professors/ Associate Professors of the Department;
 - (iii) Maximum three external experts who may also include those from other Departments/ Constituent Units.

Provided, however, the total number of internal and external members shall not exceed six.

- (b) The functions of Departmental Research Committee shall be as under:
 - (i) Scrutinize applications and make admissions in Ph.D programmes including migration cases;

- (ii) Appoint Supervisor and constitute Student Research Committee for each student;
 - (iii) Perform such functions as are required for operationalization of the doctoral programmes;
 - (iv) Consider the recommendation of SRC for action as required;
 - (v) In exceptional cases, recommend exemption from course work within the framework of UGC regulation.
- (c) The Departmental Research Committee shall meet as and when necessary;
 - (d) Fifty percent of the membership shall form the quorum for the meeting;
 - (e) The tenure of members of the DRC shall be three years. A member can be re-nominated for another term.

6.27 Constitution & Functions of Student Research Committee (SRC):

- (a) The composition of SRC shall be as follows:
 - (i) Ph. D Guide (Chairperson);
 - (ii) One outside expert in the related area to be nominated by DRC from the panel approved by Academic Council;
 - (iii) One University faculty expert preferably in the concerned area from within the Department, recommended by DRC;
 - (iv) One University faculty expert from outside the Department recommended by the DRC;
 - (v) The total number of members shall not exceed six. Fifty percent members will form the quorum of the meetings.
- (b) SRC shall perform the following functions:
 - (i) Scrutinize the research proposal/synopsis and finalise the thesis topic;
 - (ii) Ascertain the availability of facilities required for the proposed research;
 - (iii) May prescribe the area specific Course Unit(s) to be taken by the candidate;
 - (iv) Periodically monitor the progress of the candidate's work and advice the candidate, where necessary;
 - (v) Approve the long abstract of the thesis;

(vi) Recommend to DRC the panel of examiners.

(c) Residual Provision:

Notwithstanding anything stated in the Ordinances, for any unforeseen issues arising and not covered by Act and Statutes or in the event of differences of interpretation, the Vice-Chancellor shall take a decision. The decision of the Vice-Chancellor shall be final.

Note:

Anything in this ordinance and corollaries thereof, if any, shall conform to the UGC (minimum standards and procedure for award of M.Phil / Ph.D Degree) Regulation, 2009 in letter and spirit.