

## **Dr. Bhimrao Ambedkar University, Agra**

### **Regulations**

#### **Doctor of Philosophy (Ph.D)**

In succession of Dr. Bhimrao Ambedkar University, Agra (Minimum Standard and Procedures for award of M.Phil./Ph.D. degree) Ordinances, 2018, the Executive Council under the provisions of sub section (1) of section 53 of UP State Universities Act, 1973 makes the following Regulations for the degree of **Doctor of Philosophy** to be awarded in the pursuance of the above referred Ordinances 2018:-

1. (i) For admission to Ph.D. degree program, the candidates including those exempted from the entrance test, shall apply to the University on a prescribed application form (or online process) with a demand draft in favor of the Finance Officer, worth Rs. 1000/- (Rs. 700/- in case of the candidates belonging to Schedule Caste / Schedule Tribes categories) (or online admission fee) together with a hard copy of application form.  
(ii) All candidates applying for admission shall be required to annex attested photocopies of their respective testimonials, certificates and degrees.
2. Each candidate selected for course-work, whether by way of an entrance test or for being under exempted category, as provide for the under ordinance 5.2, shall pay a sum of Rs. 25000/- (Twenty five thousand only) [ Rs.12500/- (Twelve thousand five hundred only) in case belonging to Schedule Caste / Schedule Tribes categories] as fee for the course work.
3. A candidate shall ordinarily be permitted to undergo for Ph.D. Degree in the subject in which he/she hold Master's degree.

Provides 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 (RDC) concerned, on recommendation of the Dean of faculty or the Director of the Institute/ Head of the Department concerned is satisfied that the candidate is in possession of requisite qualification and capability to undertake proposed work in multi-disciplinary areas.

4. The Research degree committee (RDC) which may be separate for each department/subject shall consist of –  
(a) The Vice- Chancellor as Chairman,

(b).The Dean of the faculty concerned,

(c). The Head of the department in case of the University/ the Convener of the Board of Studies in the subject in case of affiliated colleges.

(d).Two subject- experts nominated by the Vice- Chancellor in consultation with members mentioned at (b) and (c) here above.

Provide that in the matters of the Teachings departments/ Institutes of the University, the Academic Committee, as provided for the relevant Ordinances of the University, shall replace the Research Degree Committee for the purpose of Research Degree.

5. (a) The duration of the course work shall be of Minimum one semester of six months.

(b) Minimum attendance required to become eligible to appear in the qualification examination for each paper of Course-work shall be 75% of all lectures (separately in theory and practical if any).

Provided that in case, a student is short of attendance due to illness, participation in sports, extra-curricular activities, a shortage up to 5% may be condoned by the Course-Coordinator.

Provided also that a shortage up to 10% may be condoned by the Vice- Chancellor on the recommendation of the Course- Coordinator.

Provided further that minimum 65% attendance shall be compulsory even after condonation of attendance under above provision.

6. (a) In case, a candidate fails to qualify the Course-work in first attempt, he will be given only one additional chance to clear the Course-work along with next regular batch.

(b)The candidates, who are not allowed to appear in the examination of the Course-work due to shortage of the attendance even after condonation, if any, shall not hold any claim on the seats against which they were allowed to enter the Course-work. Such seats in the subjects concerned shall be deemed to be vacant thereafter.

### **Allocation of Supervisors**

7(a). The allocation of the supervisor for a selected student shall be decided by the department or institute 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 student as indicated during interview by the student. The allocation of supervisor shall not be left to the individual student or teacher.

7 (b) 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 an application for Ph.D work along with a list of three proposed supervisors with vacant Ph.D. seats and expertise in the area covered in his synopsis in the Department or Institute.

7(c).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 or Principal of a college, Head\ In-charge of the Department and prospective supervisors by the method stated in 7a.

7(d). No change of supervisor shall ordinarily be allowed, but in special cases, where the 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.

The RDC, at its discretion may also decide whether change of supervisor will require fresh registration of the scholar.

### **Submission of Synopsis**

8(a). The synopsis shall be placed before a Research Degree Committee (RDC). The Research Supervisor of the Scholar shall be the member of this committee.

8(b). The Research Degree Committee (RDC) shall arrange for an interview which may include Presentations, Group Discussion or other mode of appraisal.

8(c). 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 that requisite qualifications and the adequate facilities and equipment for the work exist at the department /research center of Institution concern.

8(d). At the time of Interview, the candidate is expected to discuss his/her topic of research interest in the concerned subject.

8(e). The RDC will finally allocate an appropriate PhD supervisor for those candidates whose synopsis has been found suitable and recommend them for approval to the faculty board through the Dean or the Director concerned.

8(f). 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 improvement 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.

8(g). 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.

8(h). Only the Pre-determined number of students shall be admitted to Ph.D programme.

8(i) All proposals approved by the RDC shall be forwarded to the Vice-Chancellor through the Registrar for final approval for registration as a Ph.D student of the University.

8(j). The synopsis should contain Title, Introduction (covering general importance, justification in the present times), Literature review, Objectives, Hypothesis (if applicable), Work plan and Methodology, Impact of Utility of proposed work, References/Bibliography.

8(k) (i).The candidate shall be required to submit a progress report every six months to the University research department through Supervisor.

(ii) RDC can form its sub-committee (two members) for periodical review and further guidance to the research scholar in his presence.

(iii) If the research scholar fails to implement the suggestive corrective measures the RDC/Sub-Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

### **Submission of the Thesis**

9 (a).The period of candidate studentship shall be counted from the date of the commencement of course work which will be normally of six months.

9(b). 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(c). A candidate registered for the Ph.D degree shall be required to pursue his/her research at the approved research centre under the supervisor and on the subject approved for not less than thirty six months including the period of Course Work (six months) commencing from the date of approval by RDC.

*Provided* that the Vice-Chancellor, on the recommendation of the Supervisor, the Head of the Department, 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 after the RDC.

*Provided* further that the Vice-Chancellor on recommendation of the Supervisor, the Head of Department, and Dean, may allow a candidate to work at such centers of research within a 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 or Research Center for this purpose and as may be approved by the RDC in this behalf in which case the candidate can have a co-supervisor who shall be not bellow the rank of Associate Professor or Senior Scientist of equivalent rank for research center concerned. Such candidate shall be required to put at least six months attendance with the supervisor.

9(d). In case, a candidate fails to submit his/her thesis within six calendar years, he/she shall cease to be a bonafied student of the University and shall not be entitled to the rights and facilities extended to a regular student:

9(e). 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(f). Prior to submission of the thesis, the student shall make a pre-Ph.D presentation in the concerned department 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(g) (i) A scholar may be permitted to make minor modifications in the title of his thesis by the Dean of faculty concerned on recommendation from the supervisor and Head of the department, but not later than one year after the approval of the RDC.

(ii) In case of the major modifications or topic change the scholar will be treated as a fresh case. The modified topic shall have to be approved by the RDC and he/she shall not be allowed to submit the thesis before two and a half years of the RDC approval. However, the total limit will be remain as six years only.

9(h) (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 shall be received at least one month before the completion of the thesis.

(ii) The Head of Department concerned shall place the application before the Board of Studies or its Sub-Committee which shall recommend a panel of not less than six external experts of Professor level along with their email address, postal address, fax and contact number of each expert in the addition to the supervisor who shall also be an examiner. The supervisor shall be co-opted as a member of the Board of Studies/Sub-Committee for this purpose. Out of this panel, at least three experts, inclusive of Supervisor, shall be appointed by the Vice Chancellor in accordance with the due procedure to evaluate the thesis. It is to be ensured that at least one examiner- expert shall be from outside the state. It shall be up to the University to have one examiner from outside the country.

(iii) In the case the thesis is not submitted within the stipulated time of three months, the panel shall stand lapsed and fresh panel shall have to be recommended by the Board of Studies/its Sub-Committee.

(iv). Every effort should be made to ensure that the panel of examiners is representative in terms of the University that not more than one examiner is chosen from one University.

9(i).The research scholar shall submit the thesis in four printed or type written but not published earlier, copies of his/her thesis, the two CDs of PDF format along with three copies of summary and approved synopsis. Published matters any also be incorporated mentioning the sources as part of thesis. The medium of expression of every thesis shall be either English or Hindi (written in Devanagari script) except in the case of subject connected with any of the oriented language where of the thesis, may at the option of the candidate, be presented in that language.

9(j). 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 results of the candidate's own observations and in what respects his investigation 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/- (Ten thousand only) Rs. 5000/- (Five Thousand incase of SC/ST candidates) as the evaluation and viva-voce examination fee for Ph.D Degree.

### **Evaluation and Assessment Methods**

**10(a).**Plagiarism rules framed and adopted by the University from time to time shall be applicable. An undertaking from the research scholar and a certificate by the research supervisor attesting to the originality of the work and that the work has not been submitted for the award of any degree/diploma of any University shall also be submitted apart from Plagiarism certificate obtained by University..

10 (b). On receipt of the thesis, along with the certificates and the fee mentioned above, the thesis shall be send within two weeks after getting consent from examiners selected for the purpose. In no case the maximum time for all this process shall exceed two months.

10(c)(i). If the examiner considers 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 report, 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 and unanimous and definite, the candidate shall be required to undergo a Viva-Voce examination to be conducted by the two examiners of whom one shall ordinarily be the supervisor and the other one from amongst the two 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.

10d (i). If the majority of the examiners recommend that the candidate be asked to improve 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.

(ii) In case a candidate is allowed re-submit his thesis, he shall have to pay a fresh fee of Rs. 5000/- at the time of resubmitting the thesis but it shall not be necessary to produce any certificate except plagiarism certificate.

10e (i). If reports of the examiners show divergence of opinion between the examiners, the Examination Committee or Sub-Committee thereof appointed for the purpose, may direct that

the reports be exchanged between them, the examiners being requested to submit a joint report, if possible.

(ii) If there is divergence of opinion even after the exchange of reports, a fourth examiner shall be appointed from the panel of examiners already approved whose decision shall be final:

*Provided* that if two examiners recommend the revision of the thesis either originally or after the exchange of reports, the thesis shall be revised and re-submitted. The revised thesis shall ordinarily be examined by the same set of examiners for evaluation after obtaining their consent afresh.

*Provided* further that in case two examiners reject a thesis originally or after exchange of reports, the thesis shall be finally rejected.

10f(i).The Head of Department shall preside and conduct the proceedings of Viva-Voce examination, but he/she shall not be party to the decision.

(ii). In case the Supervisor is not available, the Head of Department himself and any senior teacher of department as recommended by the Board of Studies/ its Subcommittee may act as internal examiner,.

(vi) The open Viva-Voce examination shall be held at the University Headquarter and will be open to all interested to the subject, where the candidate shall be required to present main findings of his/her thesis and defend the same. After satisfactory Viva-Voce, the Examination Committee or Sub-Committee as the case may recommend that the results of the candidate be declared and the result shall be declared accordingly. Vice-Chancellor may allow for online viva-voce in special circumstances according to standard operating procedures framed by the University.

10g .A printed copy, not use for evaluation and an electronic version on a CD of each accepted thesis shall be lodged with the University Library or Research Center at which the candidate perused research where it will be open to Public inspection.

10h .The copies of reports of examiners of the thesis and Viva-Voce reports, may be given to candidate on his written request, only in cases where the thesis has been finally accepted for award of the degree, after award of the degree.