

प्रेषक,

अनिता मिश्र,  
विशेष सचिव,  
उत्तर प्रदेश शासन ।

सेवा में,

कुलपति,  
समस्त राज्य विश्वविद्यालय,  
उत्तर प्रदेश।

उच्च शिक्षा अनुभाग-1

लखनऊ :: दिनांक 4 जून, 2013

विषय:- विश्वविद्यालय अनुदान आयोग (एम0फिल0/पी0-एचडी0 उपाधि के लिये न्यूनतम मानक एवं प्रक्रिया) विनियम, 2009 के अनुसरण में पी-एचडी0 उपाधि अध्यादेश की संरचना का प्रस्ताव।

महोदय,

उपर्युक्त विषयक शासनादेश संख्या- रा0का0 129/सत्तर-1-2011-16(74)/2011 दिनांक 29.02.2012 की ओर आपका ध्यान आकृष्ट करते हुये मुझे यह कहने का निदेश हुआ है कि विश्वविद्यालय अनुदान आयोग द्वारा विषयगत विनियम का प्रकाशन दिनांक 01.06.2009 को किया गया था और उक्त विनियमों के प्रभावी कार्यान्वयन हेतु शासन स्तर पर तत्कालीन सचिव, उच्च शिक्षा के साथ विभिन्न विश्वविद्यालयों के कुलपतिगणों के साथ हुए विचार-विमर्श के आधार पर तैयार किये गये मॉडल ड्राफ्ट पर समस्त कुलपति राज्य विश्वविद्यालय, उत्तर प्रदेश के सुझाव आमंत्रित किये गये थे। कतिपय विश्वविद्यालयों जैसे- सम्पूर्णानन्द संस्कृत विश्वविद्यालय, वाराणसी, महात्मा ज्योतिबा फुले रूहेलखण्ड विश्वविद्यालय, बरेली, डॉ0 भीमराव अम्बेडकर विश्वविद्यालय, आगरा, बुन्देलखण्ड विश्वविद्यालय, झांसी, लखनऊ विश्वविद्यालय, लखनऊ, चौधरी चरण विश्वविद्यालय, मेरठ व महात्मा गांधी काशी विद्यापीठ, वाराणसी के सुझाव शासन को प्राप्त हुए। इन सुझावों पर शासन द्वारा सक्षम स्तर पर सम्यक विचार विमर्श किया गया। उक्त विचार विमर्श में जिन सुझावों को उचित व उपयोगी पाया गया उनका समावेश मॉडल ड्राफ्ट में कर दिया गया है।

उक्त संशोधित मॉडल ड्राफ्ट की प्रति आपको भेजते हुए आपसे अनुरोध है कि उक्त ड्राफ्ट में अपने विश्वविद्यालय की स्थानीय व विशिष्ट आवश्यकताओं का यथा आवश्यकता ध्यान रखते हुए विश्वविद्यालय अधिनियम 1973 में विहित प्रक्रिया अपनाकर विश्वविद्यालय की कार्य-परिषद के माध्यम से अग्रेतर कार्यवाही शीघ्र सुनिश्चित कराने का कष्ट करें। कृत कार्यवाही से कृपया शासन को अवगत भी करायेंगे।

संलग्नक- यथोपरि।

भवदीया,

*Anita*  
(अनिता मिश्र)  
विशेष सचिव।

## DOCTOR OF PHILOSOPHY DEGREE ORDINANCES, 2013

In exercise of the powers conferred by sub - section (3) of Section 52 of the Uttar Pradesh State Universities Act, 1973 ( President's Act No. 10 of 1973 ), as re-enacted and amended by the Uttar Pradesh Universities ( Re-enactment and Amendment ) Act, 1974 ( U.P. Act No. 29 of 1974 ) and in supercession of all the previous ordinances on 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 "The ..... University Doctor of Philosophy (Ph.D.) Degree Ordinances, 2013."

1.02- They shall come into force from the session 2011-12.

### 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. and LL.D.) shall not exceed 08 for a Professor, 06 for an Associate Professor and 04 for an Assistant Professor.

2.02- Based on the above norm 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. candidates shall be counted on annual basis and communicated by the each Head of Department, in consultation with respective faculty members of the Department, to the Registrar through their respective Deans/ Directors alongwith broad area/sub-disciplines available for these vacant positions.

2.03- The subjectwise 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.
- 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 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 fulfilment 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 shall be eligible for admission to the Ph.D. programme in Ayurveda.

### **PROCEDURE FOR ENTRANCE TEST**

- 4.01- No University or its affiliated/associated college/institutes shall conduct Ph.D. programmes through distance education mode.

- 4.02- The University shall admit Ph.D. students only through an entrance test named as "Common Eligibility Test for Ph.D." (CET):

- 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.
- 4.04- The university selected for conducting CET shall publish a public notification through its website and in atleast three issues of the daily news papers already earmarked.
- 4.05- The said advertisement will contain the salient features necessary for the purpose, i.e. eligibility criteria, subjects, fee and mode of its payment, reservation, syllabus, scheme, centre, 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 conducting the CET on a prescribed form.
- 4.07- The syllabus of the CET 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
- 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 with short answers 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, if necessary.
- 4.10- The Test fee including Application Form, prescribed for different categories for CET shall be as determined by the 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.
- 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/ Differently-abled ( 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 the entrance test, categorywise merit list shall be prepared and the categorywise 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. On the next date, a notice of this effect shall be published in those daily news papers in which the advertisements were published earlier.
- 4.14- A categorywise Merit Score Certificate will be awarded and dispatched to the candidate by Speed/Registered Post and through his/her e-mail address, if provided. This certificate will be effective for next two years form the date of issue.
- 4.15- The 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.

### **Exemptions from the Entrance Test**

- 4.16- The following categories of candidates shall be exempted from the CET for admission to Ph.D. programme-
- (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 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 Airforce Officers of atleast Colonel or equivalent rank with not less than 15 years of Service applying for Ph.D. in Defense and Strategic Studies

## PROCEDURE FOR ADMISSION

5.01- Candidates having Merit Score Certificate, as mentioned in ordinance 4.15 with duly attested photo copies of Certificates and Degrees shall apply to the university of his/her choice and other candidates mentioned in ordinance 4.17 to his/her concerned university 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.

5.02- The categories of candidate exempt for the eligibility test (CET) will be given preference over the candidates qualifying through CET. 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 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.

## COURSE WORK

- 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 or reviewing of published research in the relevant field. It may also involve reviewing of published research in the relevant field.
- 6.04- The Head of Department 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, extra - curricular activities etc., the following rules may be applied:-
- (a) Shortage upto 5% may be condoned by the Convener/Dean.
  - (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- end qualifying examination, on par with other university exams, based on the course work in general supervision of the HOD/ Director. The pass marks in the Course Work ( including internal assessment ) shall be 50 percent for all students in each paper 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- If found necessary, Course Work may be carried out by doctoral candidates in sister Departments/ Institutes either within or outside the University.

### 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 department and shall consist of -
- (a) the Vice-Chancellor as Chairman,
  - (b) the Dean of the faculty or the Director of the Institute,
  - (c) the Head of the Department, as convener and
  - (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 department/research centre or Institution 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 whose synopsis has been found suitable and recommend these for approval to the faculty board through the Dean or Director concerned.
- 7.07- The Dean of Faculty/Director shall place all such recommendations before the Board of Faculty/Governing Board for approval.



- 7.08- 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 Academic Council for permission being granted to the candidate.
- 7.09- 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.
- 7.10- Only the predetermined number of students shall be admitted to Ph.D. programme.
- 7.11- While granting admission to candidates, the University will pay due attention to the State Reservation Policy.
- 7.12- A candidate may be allowed to pursue his/her research work at one of the Government aided affiliated/ associated/ constituent college in the regular departments having PG courses with 10 years of standing.
- 7.13- The Dean of each faculty shall place all such recommendations before the Board of Faculty.
- 7.14- All proposals approved by the Board of various faculties shall be forwarded to the Registrar who shall place the same before the admission committee for final approval for registration as a Ph.D. student of the University.

### **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 of the University in the subject concerned having atleast one research publication or two research papers published in referred journals and periodicals to their credit and holding Ph.D. degree, with-

(a) atleast five years of Post Graduate teaching experience,

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 and 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 of 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 consider as per provisions :

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

### **Allocation of Supervisor**

8.03- 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.

8.04- (a) The Vice Chancellor in consultation with the Deans of the Faculties 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 Department or Institution 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.

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 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 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,

(ii) 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/ Associated/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 without a supervisor:

*Provided* that his/her topic has been duly approved by Board of Faculty 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 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, 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 of the Supervisor, the Head of the Department, and the Dean, may allow a candidate to work at such centres of research within area of its jurisdiction or such research centres 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 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 Vic-Chancellor, on collective recommendations of the supervisor, the Head of Department 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.
- 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 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, 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 two 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) The Head of Department concerned shall place the application before the Board of Studies, which shall recommend a panel of not less than six external experts of Professor level alongwith their e-mail address, postal address, fax and contract number of each expert in addition to the supervisor who shall also be an examiner. The Supervisor shall be co-opted as a member of the Board of Studies for this purpose. Out of this panel, atleast three experts, inclusive of the Supervisor, 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.

(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 Board of Studies.

(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.

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 Devanagari Script ) except in the case of subject 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 characterised 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. 10,000/- ( Rupees Ten Thousand Only ) Rs 5,000/- ( Rupees Five Thousand in case of SC/ST candidates ) as the evaluation and viva - voce examination fee for Ph.D. degree.

#### **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) In 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 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.

(iv) The Head of the Department 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 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 the majority of 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 to re-submit his thesis, he 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, 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 resubmitted. 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 the exchange of reports, the thesis shall be finally 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, after 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 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.