

SARGUJA VISHWAVIDYALAYA, AMBIKAPUR (CG)

ORDINANCE No. 42

DOCTOR OF PHILOSOPHY

[As per University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016]

Preamble

1. The degree of Doctor of Philosophy (Ph.D.) may be granted in any discipline, belonging to any faculty of the Sarguja Vishwavidyalaya (hereafter: Vishwavidyalaya), in which post-graduate studies and/or research is available at the Vishwavidyalaya or at its affiliated Colleges that are recognized as research centers by the Vishwavidyalaya.
2. All academic matters related to Ph.D. degree shall be processed by a Departmental Research Committee (hereafter: DRC) consisting of the following:
 - i. Head of the Department (Chair), for UTD or Principal (Chair), for affiliated Colleges of the Vishwavidyalaya
 - ii. All teachers of the Department/ Department of the affiliated Colleges of the Vishwavidyalaya who are recognized by the Vishwavidyalaya as Ph.D. Supervisors
 - iii. There should be at least three members, including the Chairman of the DRC.
 - iv. The Kulapati shall nominate members from other/related departments in case the number of recognized Ph.D. guides is less than two in any Department/ approved research centers of the affiliated Colleges of the Vishwavidyalaya.

3. Eligibility for Registration for the Degree of Doctor of Philosophy

- A** Candidates for admission to the Ph.D. program shall have a Master's degree 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. Provided that 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, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever the grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

OR

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 the 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 Vishwavidyalaya /any other University or any research institute recognized by UGC. 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.

OR

A person, whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. program of the same Institution/any other University or any research institute recognized by UGC.

OR

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 the Ph.D. program.

- B.** Provided that the candidate will be admitted to the Ph.D. program through an entrance test to be conducted once in a year, preferably in the month of September to October. Vishwavidyalaya. The modalities of the test shall be decided by the Vishwavidyalaya. Candidates provisionally admitted to the program through an entrance test will be awarded with the Vishwavidyalaya Fellowships depending upon their availability.
- C.** Following candidates shall be exempted from appearing in the entrance test:
- i. Candidates, who qualify UGC-CSIR (JRF) examination, including NET lectureship / SLET/ GATE/ GPAT or any other JRF examination conducted by national agencies, such as CSIR, ICMR, DBT, DAE, ICSSR, etc.
 - ii. (a) Candidate possessing M.Phil. degree from Sarguja Vishwavidyalaya or other University shall be exempted from the course work, provided that his/her admission to the M.Phil. degree has been through entrance examination.
(b) Candidate possessing M.Phil. degree from another recognized University has to appear in the entrance examination, but shall be exempted from course work if 'Research Methodology' has been a component of his/her M.Phil. degree.
 - iii. Teacher Fellowship holder and University/ College teachers holding a regular position (regular appointment) and having completed two years of service as a teacher in a Department or affiliated Colleges of the Vishwavidyalaya.
 - iv. Scientists of any recognized National (for example, DST, CSIR-funded etc.) and International Institutions (for example, WHO-funded etc.) having acquired two years experience.

4. Procedure for Admission/Registration

An eligible candidate (refer Clause 3) must apply for registration for the Ph.D. degree of his/her subject on the prescribed form obtainable on payment of the prescribed fee. The application shall be considered by the DRC of the concerned Schools/ Departments/ Affiliated Colleges.

The DRC will allocate the Supervisor, with the mutual consent of the candidate and the guide, for an eligible candidate 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 student.

All eligible candidates except in **3 C ii** shall be required to undertake course work for a minimum period of one semester. The course work must include Research Methodology which may consist of quantitative methods and computer applications. The course content shall be designed by the Board of Studies (BoS) of the concerned subject. The course work may also involve reviewing of published research in the relevant field.

On the recommendation of the Supervisor, the course work may be carried out by the candidates in sister Schools/ Departments/ Institutes either within or outside the Vishwavidyalaya.

The candidate shall be evaluated at the end of the semester. If the candidate is not able to pass the course with 50% marks, the candidate shall be allowed to reappear in the examinations within the next 12 months. The respective DRC will conduct the evaluation at the institutional/ departmental level.

While granting provisional admission to candidates to Ph.D. program the DRC will pay due attention to the National/ State reservation policy.

The candidates shall have to pay fees as decided by the University from time to time.

Provided that the teachers of the Vishwavidyalaya and teachers under the U.G.C. Teacher Fellowship Schemes or any other scheme will not be required to pay the fees, except the registration fee and six-monthly progress report fee. The teachers of the other Universities shall be required to pay the Library and/or Laboratory Caution money.

5. Research Degree Committee (RDC):

The candidate shall be eligible to submit a synopsis (as per **Appendix-1**) of his/her proposed research work, after successfully completing the course work, along with the title of the thesis (in six copies) duly forwarded by the Chairman of the relevant DRC. He/She shall be required to make an oral presentation of the proposed work before the Research Degree Committee consisting of the following members:

- (i) Kulapati or his/her nominee
- (ii) Dean of the Faculty
- (iii) Head of the University Teaching Department
- (iv) Chairman, Board of Studies in the subject
- (iv) One external subject expert of the rank of a University Professor/ Director of recognized Institutes to be appointed by the Kulapati, out of a panel of 5 experts given by the Chairman of the Board of Studies concerned. The term of the subject expert shall be coterminous with the tenure of the Board of Studies.

External expert and two other members shall form the quorum.

- Note:**
- 1. The Supervisor/ Co-supervisor are entitled to be present during the oral presentation of his/her candidate.
 - 2. No. TA and D.A. shall be payable to the candidate and the Supervisor/Co-supervisor for attending the Research Degree Committee meeting.

- 6.** The meeting of the Research Degree Committee shall be held in the Vishwavidyalaya office twice a year preferably in **June and November**. The committee shall confirm a list of approved Supervisor/Co-Supervisor along with their specializations, prepared by the DRC. This list shall be available with the Registrar/ Academic section of the University. The committee shall formally recommend the registration of the candidate for the Ph. D. degree. On approval by the RDC the candidate shall be registered and enrolled as a student from the date of his/her application. He/She will also be required to pay regular tuition, library and laboratory fees (six-monthly) during his/her research tenure. The RDC has the right to suggest revision/alterations (if required) in the synopsis forwarded by the DRC.

Provided that if the RDC does not recommend a candidate for registration to the Ph.D. degree, the caution money deposited by the candidate shall be refunded.

- 7.** A candidate shall ordinarily be permitted to work for the Ph.D. degree in the subject in which he/she has obtained his/her post-graduate degree.

Provided that research work leading to the Ph.D. degree may be encouraged in allied subjects of the interdisciplinary nature of the same faculty or of allied faculties. In such cases the

candidate may also be permitted to work under one or two Co-supervisors, along with the Supervisor of the Vishwavidyalaya.

8. A candidate shall pursue his/her research at the institution from where his/her application form has been forwarded under Clause 3 (b) of the Ordinance.

Provided that a candidate permitted to work in a research establishment^{*} recognized by the Vishwavidyalaya shall be required to take at least one co-supervisor along with the supervisor; one of them should be the teacher of the Vishwavidyalaya and the other a Teacher/ Scientist/ Research Officer/ Director of the Institution where the candidate is actually working.

^{*}Includes Institutions and Laboratories run and sponsored by the Union /State Governments or its agencies; and Foreign University/Institution of repute.

Provided also a candidate may be permitted to carry out his/her research/ practical work in a Research Institution/ Research Laboratory/ Laboratory of a University recognized by the Vishwavidyalaya for the purpose under the supervision of a Scientist/ Director/ Teacher of the Institution who may or may not be the Co-supervisor of the candidate.

9. **Supervisors/ Co-supervisors**

The person recommended as Supervisor/Co-supervisor to guide the Research Scholar must be: Any regular Professor of the Vishwavidyalaya /Institution deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the Vishwavidyalaya /Institution deemed to be a University/College with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Only a full time regular teacher of the concerned Vishwavidyalaya /Institution deemed to be a University/College can act as a Supervisor. The external Supervisors are not allowed. However, Co-supervisor can be allowed in the interdisciplinary areas from other departments of the same Institute or from other related institutions with the approval of the RDC.

The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

In the case of topics which are of interdisciplinary nature where the department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

In case of relocation of an M.Phil/Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the Research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

10. Tenure of Ph.D. Work

- (a) Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years.
The women candidates and persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
The candidate shall pursue his/her research at the approved place of research under the Supervisor/Co-supervisors on the approved subject. In case a candidate does not submit his/her thesis within six calendar years, his/her registration shall stand automatically cancelled.
Provided also that Kulapati may permit a candidate to get re-registered on the same topic on payment of the prescribed re-registration fee. The minimum period and attendance shall not apply to such re-registered candidate.
- (b) The candidate possessing M.Phil. degree or a teacher with two years teaching experience at the time of registration can submit his/her thesis after 30 months instead of 36 months as provided in Clause 10 (a) of the Ordinance.
- (c) The candidate shall put in at least 300 days attendance, excluding attendance, he/she will earn during the course work, in the research Center and certified by the Supervisor and/or Co-supervisor.

11. Change of Supervisor

The candidate may be allowed to change the Supervisor by the Kulapati, on the recommendation of the DRC or committee constituted by the Kulapati for this purpose under special circumstances. No major change in the topic of research will be permitted due to change in supervisor.

12. Six-monthly Progress Report

The candidate shall submit every six months a record of attendance, receipt of fees paid and progress report of the work through his/her supervisor as per **Appendix-2**. If the progress of work is not found satisfactory in two successive reports or no reports are received for a period of one year and the candidate fails to deposit the prescribed fees, the Kulapati may order the removal of the name of the scholar from the list of those registered for the Ph.D. degree.

13. Submission of Summary of Thesis

- (a) Prior to submission of the thesis, the candidate shall make a pre-Ph.D. presentation before the DRC that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the Supervisor.
- (b) The candidate shall submit six copies of the Summary of the thesis together with at least one (1) research paper in refereed journal and make two paper presentations at conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation of certificates and/or reprints through his/her Supervisor to the Registrar about two months prior to the anticipated date of submission of thesis.
- (c) The supervisor shall submit a panel of at least six names of examiners actively engaged in the concerned area of research not below the rank of Reader or College Professor in a sealed cover to the Registrar. Provided that the panel of examiners shall be obtained from the Chairman, Board of Studies of the subject concerned, in case the candidate is related to the Supervisor.
- (d) On the receipt of the panel of examiners from the Supervisor and Summary from the candidate, the Registrar shall call a meeting of the Examination Committee of the subject constituted **U/S 44 of the Adhiniyam.** The Committee considering the panel submitted by the Supervisor/ Chairman, Board of Studies, will prepare a panel of six names to act as examiners.

- (e) THE TERM RELATIONS SHALL INCLUDE: Father, Mother, Wife, Husband, Daughter, Son, Grand Son, Grand Daughter, Brother, Sister, Nephew, Niece, Grand Nephew/Niece, Uncle, Aunt, Son-in-law, Sister-in-law, Father-in-law, First cousin-in-law etc.

14. The candidate shall submit three bound copies of his/her thesis along with the following:

- (a) The candidate must append reprint of the published paper (Ref. 13.b) or acceptance letter and certificate of presentation of the papers in Symposium/Conference/Seminar.
- (b) The thesis must be accompanied by a declaration from the candidate that the thesis embodies his/her own work and he/she has worked under the Supervisor at the approved place of work for the required period as per provisions of Clause 10 of Ordinance (**Appendix-3**).
- (c) The certificate from the Supervisor together with Co-supervisors, if any, that the thesis fulfills the requirements of the Ordinance relating to the Ph.D. degree of the University (**Appendix-4**).
- (d) The candidate shall also remit with the thesis the prescribed examination fee.
- (e) Submission of Electronic copy of the Thesis/ Dissertation (ETD) is mandatory at the time of submission of the Ph.D. thesis (**Appendix-5**). The University shall submit a soft copy to the UGC within a period of 30 days after the award of the degree, for hosting the same in INFLIBNET, accessible to all Institutions /Universities.
- (f) The candidate will submit a declaration that the thesis is free from plagiarism or produce a certificate from the institutional plagiarism cell to that effect (**Appendix-6**).

15. Evaluation Procedures following Submission of the Thesis

On receipt of the thesis along with the certificates and fee it shall be sent to the examiners already consented as per Clause 13 (d) of the Ordinance.

16. The thesis to be accepted for the award of the Ph.D. degree must comply with the following conditions:

- (a) It must be a piece of research work, characterized either by the discovery of the facts or by a fresh approach towards the interpretation of facts. In either case it should evince the candidate's capacity for critical examination and sound judgement.
- (b) It must be satisfactory in point of language and presentation of the subject matter.

17. The examiners shall categorically recommend in the prescribed proforma acceptance, revision or rejection of the thesis together with detailed comments on the points spelled out in clause 16 of the Ordinance. The examiner must also give a list of the questions he/she wishes to be asked in the viva-voce examination.

18. (a) The examiners may seek clarification of the subject matter of the thesis from the Supervisor. The provision will be incorporated in the letter to be sent to the examiners while sending the thesis.

(b) The Kulapati can recall the thesis from an examiner who fails to send the report within three months of the date of dispatch of the thesis and appoint another examiner.

19. (a) In case both the examiners reject the thesis or one of them rejects the thesis and the other recommends a revision the thesis shall be rejected.

(b) If both the examiners recommend for the revision of the thesis the candidate shall be called upon to revise the thesis in the light of the observations of the examiners.

- (c) If one examiner approves the thesis and the other rejects it or recommends for revision the thesis shall be sent to the third examiner drawn from the panel of the examiners by the Kulapati with both the reports of earlier examiners. The names of earlier two examiners shall not be disclosed to the third examiner. The third examiner shall be asked to give his/her opinion on the points, raised by the earlier examiners while rejecting or recommending revision of the thesis. The opinion of the third examiner shall be final.
- (d) In case both the original examiners accept the thesis for the award of the Ph.D. Degree or in the event of it being referred to the third examiner, the third examiner accepts the thesis for the award of the Ph.D. Degree, the candidate shall be called upon to appear at the viva-voce examination before a board of examiners comprising of the Supervisor, Co-Supervisor (if any) and one of the two examiners selected by the Kulapati who have accepted the thesis for the award of the Ph.D. Degree. Provided that the Kulapati shall appoint the Chairman, DRC or Chairman, Board of Studies of the subject concerned to act as viva-voce examiner, in place of the Supervisor in case the candidate is related Clause 13(e) to the Supervisor.
- (e) The Supervisor/ Chairman, DRC, Chairman, Board of Studies of the subject concerned, as the case may be, shall be communicated the name of the external examiner appointed by the Kulapati to conduct the viva-voce examination. The date fixed for the viva-voce be informed to the candidate and the Registrar. Provided that in special circumstances Kulapati may appoint alternate viva-voce examiners if both the examiners are not in a position to conduct the viva-voce examination.
- (f) The viva-voce examination shall be conducted at the University Teaching Department/School of Studies in the subject or at any place fixed by the Vishwavidyalaya for the purpose. The date, time and place of viva-voce examination shall be notified by the Registrar on the University Notice Board about a week in advance. At the time of viva-voce examination the board of examiners shall be provided with the reports of the examiners which shall be returned along with the report of viva-voce examination to the Registrar.
- (g) The candidate shall present the work embodied in the thesis before the board of examiners, members of faculty, research scholars and other interested persons. After the presentation of the research work the Board shall ask questions together with those questions which have been given along with examiners' reports. Others in the audience can also ask questions and the candidate shall reply only those questions which are permitted by the external examiner.
- (h) In case the recommendation of the viva-voce examiner differs from that of the thesis examiner or there is a difference of opinion between the viva-voce examiners, the candidate shall re-appear at a second viva-voce examination within six months. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected. Such candidates would be required to pay the prescribed additional fee for the second viva-voce. The external examiner for second viva-voce shall be appointed by the Kulapati.

20. If the examiners recommend that the candidate be asked to revise/improve his/her thesis, the Kulapati shall permit the candidate to resubmit his/her thesis not earlier than six months and not later than eighteen months, the period being counted from the date of the issue in order to the candidate. The candidate shall be provided the examiner (s) reports without disclosing the names of the examiners to enable him/her to improve the thesis. All the copies of the thesis shall also be returned to the candidate.

In case the candidate is allowed to resubmit the thesis he/she will have to pay the prescribed fee afresh at the time of resubmission, but it shall not be necessary for him to reproduce any certificate of further attendance at the Institution at which he/she carried out the work.

The resubmitted three copies of the thesis must mark clear mention that it is a revised version.

The thesis shall be got examined as far as possible by the examiners who finally recommended for the revision.

In case both the examiners of the revised thesis accepts the thesis for the award then the candidate shall be awarded with the Ph.D. Degree on successful viva-voce examination as per provisions of clause 19 of the Ordinance.

In case a candidate is asked to revise the thesis under clause 19 (b) and one of the examiners recommends again for revision and the other accepts the thesis for award then the thesis shall be sent to the third examiner. If the third examiner rejects or recommends for revision the thesis shall stand rejected. If, he accepts for the award then the candidate shall be awarded with the Ph.D. Degree on successful viva-voce examination as per provision of clause 19 of the Ordinance.

In case a candidate who has been asked to revise to thesis under clause 19 (c) and one of the examiners recommends again for revision and the other accepts the thesis for award then the candidate shall be awarded with the Ph.D. Degree on successful viva-voce examination as per provision of clause 19 of the Ordinance.

If the revised thesis is required to be revised a second time it shall automatically stand rejected.

- 21.** Maximum number of research candidates that can be registered and allowed to pursue research work under a Supervisor at any particular time shall be SIX only. The submission of a thesis shall create a vacancy for the admission of a new candidate for the Ph.D. degree under the concerned Supervisor.

Provided that the candidates registered with the Co-supervisor shall not be counted for the number of candidates under a Supervisor.

- 22.** No research scholar shall join any other course, study or appear at any other examination conducted by any Vishwavidyalaya leading to a degree (except Certificate/Diploma course of Languages, Research Methodology, Statistics, Computer courses).

- 23.** The candidate, if so desires, is allowed to publish his/her thesis. However, such publication shall state on the title page itself that this was a thesis approved for the award of the Ph.D. Degree of the University.

- 24.** The University agrees that a Ph.D. student is the owner of the copyright in his/her thesis.

- 25.** After the viva-voce, the recommendation of the examiners shall be reported to the Executive Council for the award of Ph.D. Degree to the candidate. One copy of the thesis will be kept in the University Library and another copy will be kept in the Departmental Library of the Institution where the research work was carried out; the third will be returned to the Supervisor.

- 26.** After the declaration of the result the successful candidates may be provided with the copies of reports of examiners who recommended for the award of the degree on payment of the prescribed fee. The reports will not disclose the identity of the examiners.

- 27.** The candidates who have been already registered for Ph.D. Degree under the repealed Ordinance will continue to be governed by the Provisions of the repealed Ordinance.

The candidates who have applied for registration but have not been registered till this Ordinance comes into force shall be governed by the provisions of this Ordinance.

- 28.** On detection of any irregularity, the University shall take suitable steps to withdraw the degree as per provisions of **section 6 (12) of the Adhiniyam.**