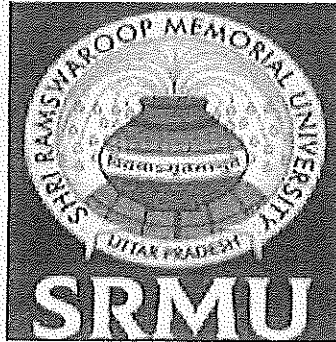


SHRI RAMSWAROOP MEMORIAL UNIVERSITY



Vill- Hadauri, Post- Tindola, Lucknow – Deva Road,
Distt- Barabanki – 225003 (Uttar Pradesh)

Ordinance for Ph.D.

Doctor of Philosophy
(w.e.f Session 2022-23)

Ref. No: SRMU/RO/Academic Ordinance 014 Issue No. – 05 Date of Issue: 05 th December 2022	Prepared By: - Director, Research & Consultancy	Approved By: - Vice Chancellor
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Academic Ordinance for Ph.D. Programme

The PhD programme in the University from academic session 2022-23 (even semester) and onwards will be govern by this ordinance which is written in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.

Keywords:

SRAC; Student Research Advisory Committee

FRDC; Faculty Research Advisory Committee

RDC; Research Degree Committee

1. General:

All Faculties/Departments of the various institutes of the University having at least two Ph.D. qualified faculty members fulfilling the minimum criteria to be Ph.D. supervisor as mentioned in *Clause-6.1* shall be eligible to offer a Ph.D. programme under the following categories

1.A. Full Time Ph.D.:

A student in this category works full-time for his/her PhD degree with or without University fellowship or with project support or fellowship from CSIR/UGC or any other recognized funding agency. The candidate should meet the requisite minimum qualification for admission in the Ph.D. degree programme of University as mentioned in *Clause-2*.

1.B. Part Time Ph.D.:

A person working in reputed research organization, academic Institute and industry, can be admitted on part time basis provided

- 1.B.(i) the candidate is working in an organization which encourages and facilitates research.
- 1.B.(ii) candidate meets the requisite minimum qualification for admission to Ph. D programme of University as mentioned in *Clause-2*.
- 1.B.(iii) candidate fulfills the condition of period of residency mentioned in *Clause-8.2*
- 1.B.(iv) candidate has minimum of one year work experience in related field.

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- 1.B.(v) candidate furnishes a "Consent & No Objection Certificate" from his/her parent organization.

2. Eligibility criteria for admission in Ph.D. Programme:

A candidate seeking the registration for the degree of Doctor of Philosophy (PhD) in the university must have the following qualifications.

- 2.1 A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

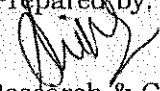
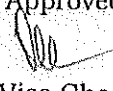
or

equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the commission from time to time.

- 2.2 Candidates possessing an M.Phil. Degree or a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution

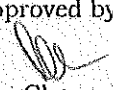
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accredited by an Assessment and Accreditation Agency in its home country shall be eligible for admission to Ph.D. programme.

- 2.3 Candidates who have cleared the M.Phil. Course work in the University with at least 55% marks in aggregate or its equivalent grade 'B' and successfully completing M.Phil. Degree / M.Phil. Dissertation has been evaluated and the viva voce is pending shall be eligible to proceed to do research work leading to the Ph. D. Degree in the University.
- 2.4 A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

3. Duration of the Programme:

- 3.1. After the admission in the Ph.D. programme, the date of the start of Pre-PhD course work classes in that academic session shall be considered as the date of Ph.D. registration of the candidate.
- 3.2. The minimum time after which Ph.D. student shall be allowed for submission of the thesis will be three years from the date of Ph.D. registration which can be extended up to a maximum of six years.
- 3.3. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- 3.4. Further, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme. In addition, the

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women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days.

4. Place of Ph.D. work:

The institute/faculty in the university shall be in general the place of work but in cases where the candidate and the supervisor/Co-Supervisor require work in external research facilities must have the formal permission to use those facilities which can also be the place of work in addition to the University subject to the recommendation by the Student Research Advisory Committee (SRAC) and approval by the Research Degree Committee (RDC).

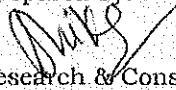
5. Procedure for Admission in Ph.D. Programme:

5.1. Allocation of Seats for PhD degree Course:

Every academic year, the number of Ph.D. seats available for admission in each Faculty of the University shall be decided by taking into account the availability of supervisors in the particular research area keeping in mind the norms regarding the scholar-teacher ratio (*Clause-5.2*) after the notification from the office of Director-Research & Consultancy (R&C). The available PhD seats will be further divided and allocated for SC/ST, OBC and General category in accordance with the UGC guidelines and UP State Government policy.

5.2. Invitation of application for admission in Ph.D. Programme:

The University shall invite the applications for registration in PhD programs by notifying well in advance on University website and at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) and all other relevant information. A candidate seeking admission in PhD program must apply to the University on a prescribed application form and submit a research proposal in the area of his/her interest for the research work. The verification of those applications shall be carried out to ensure the fulfillment of above mentioned eligibility criterion by the candidate.

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5.3. Selection Procedure for admission in Ph.D. Programme:

5.3(a) The admission in the allocated Ph.D. seats in the University in every academic session will be based on the screening of the Ph.D. aspirants through the written examination, namely "Research Aptitude Test" (RAT), followed by the interview by 'Faculty Research Degree Committee' (FRDC).

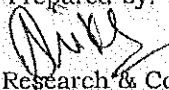
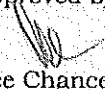
5.3(b) The applicants who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/CEED teacher fellowship holder and similar national level tests or have passed M.Phil programme may be exempted from the screening written examination 'RAT' and directly called for the interview by FRDC.

5.3.1 Research Aptitude Test:

All the eligible Ph.D. aspirants will be called to appear in Research Aptitude Test (RAT) on the notified date and time fixed by the Controller of Examination in consultation with the Director-R&C. The syllabus of the Entrance Test shall consist of 50% of research aptitude, reasoning, English proficiency and 50% shall be of subject specific. The qualifying marks for the Ph.D. entrance test shall be 50%.

5.3.2 Interview of the PhD candidates:

The number of candidates to be called for interview will be fixed maximum to 4 times the number of available Ph.D. seats for each category in all the faculties of the University. In case of non availability of reserved category aspirants, the seats will be considered as General Seats. Keeping this criterion, the list of the candidates to be called for interview shall be prepared by first accommodating the candidates fulfilling the criteria defined in *Clause-5.3(b)* and then adding candidates from the merit list of the RAT. The final selection of the candidate for admission in Ph.D. programme will be decided after their personal interview with 'Faculty Research Degree Committee' (FRDC) of the concerned Faculty. During interview by FRDC, Ph.D. aspirant should give a presentation on his/her research proposal and FRDC shall assess the suitability of the PhD aspirant to

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conduct the research work for PhD degree in the University. The FRDC will finally select the candidate and allot a supervisor from the area of research interest of the Ph.D. aspirant.

6. Ph. D. Supervisors/Co-Supervisor:

6.1. Eligibility criteria to be a Ph.D. Supervisor, Co-Supervisor:

6.1.1 A person duly approved by the RDC shall be permitted to act as supervisor.

6.1.2 Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.

6.1.3 For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

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

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6.1.5 A person from the University or from other University/Laboratory/Institute having Ph.D. degree and fulfilling the research publication criteria mentioned in the *Clause 6.1.2* may be recognized as Ph.D. Co-supervisor.

6.1.6 Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

6.1.7 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

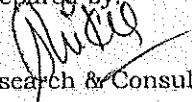
6.2. Number of Ph.D. scholars permissible per Supervisor:

- o A Professor as Ph.D. Research Supervisor can guide up to a maximum of Eight (8) Ph.D. scholars.
- o An Associate Professor as Ph.D. Research Supervisor can guide up to a maximum of Six (6) Ph.D. scholars.
- o An Assistant Professor as Ph.D. Research Supervisor can guide up to a maximum of Four (4) Ph.D. scholars.

6.3. Allocation of Ph.D. Supervisor/Co-Supervisor:

6.3.1. After interview of the Ph.D. aspirants by 'Faculty Research Degree Committee' (FRDC), FRDC shall decide the Ph.D. supervisor from the Faculty/Department based on the research interest of the selected Ph.D. aspirant and the approved research area of expertise of the Supervisor by the Research Degree Committee (RDC) of the University.

6.3.2. Co-Supervisor (*Clause-6.1.4*) from outside the Department /College/University/research organizations may be appointed/ allowed only if the research works demands so such as in inter-disciplinary /multidisciplinary areas with the recommendation of the Student Research Advisory Committee (SRAC), if required.

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6.3.3. The final approval of the Ph.D. Supervisor/Co-Supervisor for the Ph.D. student shall be done by the Research Degree Committee (RDC) at the time of approval of Synopsis for the proposed Ph.D. research work.

6.3.4. In case of retirement/ relocation of Ph.D. supervisor due to change in job or otherwise, the Dean/HoD of the Faculty/Department shall act as Administrative Supervisor and on the basis of mutual consent between University and Ph.D. supervisor leaving the University, he/she may continue to supervise the Ph.D. student. If not so, FRDC should recommend the appointment of another Ph.D. supervisor of the same research area with available seats in agreement with the *Clause-6.2.*

6.3.5. In case of relocation of an 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.

7. Admission of International students in Ph.D. programme.-

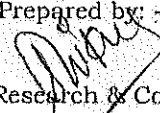
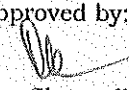
7.1. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.3 above.

7.2. The University may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

7.3. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.2 and clause 7.1.

8. Pre-PhD Course Work:

The Pre-PhD course work shall be treated as prerequisite before undertaking research work for the Ph.D. degree.

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8.1. Medium of Instruction:

The medium of instructions, writing and presentation shall be English/Hindi (as per subject need) language throughout the course of Ph.D.

8.2. Residency Period:

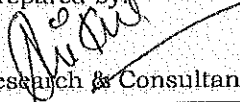
The minimum Residency Period for full time as well as part time candidates in the Faculty/Department shall ordinarily be one year. This period, in exceptional circumstances, can be reduced to not less than six months by Research Degree Committee (RDC) on the recommendations of Student Research Advisory Committee (SRAC). Residency period does not imply that the scholar stays on the university campus. It only means that he/she resides in the proximity of the campus to enable her/him to attend coursework classes on regular basis on assigned days, since, an attendance of 75% is mandatory for pre PhD coursework.

8.3. Credits, Structure, Duration & Passing standard of Pre-Ph.D. Course work

8.3.1 The credit assigned to the Ph.D. course work shall be a minimum of 06 credits and a maximum of 12 credits in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. The research Advisory committee can also recommend UGC recognized online courses as part of the credit requirements for the PhD Programme. They shall be duly approved by the Board of Studies and Academic council.

8.3.2 The course structure for 12 credits Pre-Ph.D. course shall be as follows:

- (i) Research Methodology (Theory, 2 credits) covering quantitative methods etc.
- (ii) Research Professional Ethics (Theory, 2 credits) covering research ethics etc.
- (iii) Literature Review (Project, 4 credits) covering review of published research.
- (iv) Computer Application (Lab, 2 credits) covering training on computer programming and software tools in the area of research interest of Ph.D. student.

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- (v) Advance Subject Related Course, ASRC, (Theory, 2 credits) covering advance level content of the subject related to research area of the Ph.D. student.

8.3.3 Candidates who have already completed the course work in M.Phil. in the University and have been permitted to proceed to the Ph.D. in integrated course, may be exempted from the Pre-Ph.D. course work.

8.3.4 Literature Review (Project, 4 credits) course is mandatory course, except for the candidates mentioned in the *Clause-8.3.3*, and shall be assessed by Student Research Advisory Committee (SRAC).

8.3.5 The Student Research Advisory Committee (SRAC) shall recommend the Pre-Ph.D. course work of minimum of 6 credits to a maximum of 12 credits for the Ph.D. student with proper justification.

8.3.6 All Ph.D. candidates admitted shall undertake the a minimum of 06 credits and a maximum of 12 credits Ph.D. course work based on the recommendation by the Student Research Advisory Committee (SRAC) and complete the course work during the initial one or two semesters.

8.3.7 Ph.D. scholar has to obtain a *minimum of 55% of marks or C Grade* in the UGC 7-point scale, as shown below, in the course work in order to be eligible to undertake the research work and submit the Synopsis of the proposed Ph.D. research work for approval by Research Degree Committee (RDC).

S. No.	Marks in percentage	Corresponding Grade	Grade Points
1	$\geq 90\%$	O	10
2	$\geq 80\%$ and $< 90\%$	A	09
3	$\geq 70\%$ and $< 80\%$	B	08
4	$\geq 55\%$ and $< 70\%$	C	06
5	$\geq 40\%$ and $< 55\%$	D	05
6	$\geq 30\%$ and $< 40\%$	P	04
7	$< 30\%$	F	0

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8.3.8 On the request, PhD student may also complete the part of course work except LRP in any other University/Institute provided it is duly endorsed by Student Research Advisory Committee (SRAC) and approved by Research Degree Committee (RDC). After completion of that part of the course, PhD student must submit the final grades (mark sheet) to the University.

9. Committees related to PhD, Programme and their functions:

Director-Research & Consultancy of the University shall implement the Ph.D. programme on the basis of the Academic Ordinance for Ph.D. as per the directions from the Vice Chancellor. For this purpose, various committees for the smooth and transparent functioning of Ph.D. programme should be constituted in the University.

9.1. Faculty Research Degree Committee (FRDC);

The purpose of this committee is to recognize and maintain the information about the research expertise and Ph.D. seats available in the Faculty/Department and select the screened Ph.D. aspirants by interview for admission in Ph.D. programme in their Faculty/Department of the University.

All the members of FRDC from University should be University approved Ph.D. supervisors.

- | | | |
|----|--|-------------------------|
| a) | *Director of the Institute | - Chairman (Ex-officio) |
| b) | Dean/HoD of the Faculty/Department | - Convener (Ex-officio) |
| c) | Ph.D. Coordinator of the Institute | - Member (Ex-officio) |
| d) | All University approved Ph.D. Supervisor(s) of the Faculty | - Member (Ex-officio) |
| e) | One external expert, if required, may be nominated by the Vice Chancellor on the recommendation of the Director R&C. | - Member (External) |

External expert should not be below the rank of Professor/Associate Professor / Scientist not below grade E

Director – Research & Consultancy with prior information to the Chairman of FRDC

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may attend the meeting of FRDC, if deemed necessary.

*In the absence of the Director, Dean/HoD of the Faculty/Department will act as Chairman.

Quorum and Meeting

- o The minimum one third members are required for forming quorum.
- o At least half of the committee members shall be present in case of voting.
- o The minutes of all FRDC meetings clearly mentioning the recommendations of FRDC shall be prepared by the Convener of FRDC and submitted to the Office of Director-Research & Consultancy for approval/ratification by the RDC.

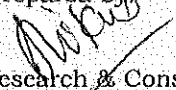
9.1.1. Roles & responsibilities of the FRDC:

9.1.1(a) Annual fixation of available Ph.D. seats with specialization in the Faculty:

Every academic year, after the notification from the office of Director Research & Consultancy (R&C), FRDC shall conduct a meeting of FRDC and decide the number of Ph.D. seats available for admission in the Faculty of the University considering the willingness of the Ph.D. supervisor(s) and keeping in mind the norms regarding the scholar-teacher ratio (*Clause-6.2*). The minutes of the FRDC meeting clearly mentioning the research area-wise number of available Ph.D. seats in the Faculty/Department should be prepared and submitted to the Office of Director-Research & Consultancy.

9.1.1(b) Admission of PhD students

- (i) FRDC shall facilitate and nominate the members of the committee for the preparation of the written examination question paper of the subject specific part of the 'Research Aptitude Test' (RAT) for written Ph.D. entrance test of the University.
- (ii) FRDC shall interview the screened PhD aspirants for their Faculty to test their subject knowledge, communication skills and research aptitude. During the interview Ph.D. aspirant should give a presentation of his/her research interest and FRDC shall consider the following aspects for selection, viz. whether:

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- o the candidate possesses the competence for the proposed research;
- o the research work can be suitably undertaken at the University;
- o the proposed area of research can contribute to new/additional knowledge.

FRDC shall also consider the availability of Ph.D. seat in the research area of interest shown by the Ph.D. aspirant.

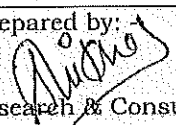
9.1.1(c) Allotment of tentative Ph.D. Supervisors

For selected Ph.D. aspirants, FRDC shall appoint a Ph.D. supervisor specialized in the area of research interest of the selected Ph.D. aspirant for admission in Ph.D. programme in their Faculty. In case of the research work warrants so/interdisciplinary research, FRDC may recommend for the appointment of Co-supervisor. The allotment of the supervisors by the FRDC shall be tentative and become final only after the approval by the RDC.

FRDC shall prepare minutes of the proceedings clearly mentioning the reasons for selection/ non-selection of the Ph.D. aspirant. For selected Ph.D. candidates, the area of their research interest, details of appointed Ph.D. supervisor and if there is any requirement for Co-supervisor (*Clause-6.3.2*) shall be clearly mentioned in the minutes.

9.1.1(d) Pre-Thesis Submission Assessment:

- (i) FRDC shall arrange the open house Pre-thesis presentation by Ph.D. student in the presence of an external expert of concerned research area after the notification from the Office of Director-Research & Consultancy.
- (ii) FRDC shall record the minutes about the suggestions for thesis to the Ph.D. student in the proceedings and submit a report on its suggestions and recommendations to the Office of Director-Research & Consultancy. The RDC will finally approve the permission for thesis submission by the Ph.D. student.

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- (iii) A copy of suggestions and recommendations for the thesis shall be given to the SRAC and the Ph.D. student by FRDC.

9.2. Student Research Advisory Committee (SRAC):

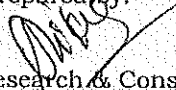
The purpose of this committee is to help the Ph.D. student by providing the direction and inputs to him/her towards the undertaken research work as well as monitoring and evaluating the progress of his/her research work. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following constituents:

- | | |
|---|-----------------------------------|
| a) Ph.D. Supervisor | - Convener
(Ex-officio Member) |
| b) An University approved Ph.D. supervisor from the same Faculty/Department; nominated by the Director of the concerned Institute | - Member |
| c) An University approved Ph.D. supervisor nominated by the Director-Research & Consultancy | - Member |
| d) One external expert, if required, may be nominated by the Vice Chancellor on recommendation of the Convener.
<i>External expert should not be below the rank of Professor/Associate Professor / Scientist not below grade E</i> | - Member |

Director – Research & Consultancy with prior information to the Convener of SRAC may attend the meeting of SRAC, if deemed necessary.

Quorum and Meeting

- o The minimum three members are required for forming quorum.
- o The external expert should be part of quorum while SRAC is meeting for evaluating Pre Synopsis and Pre Thesis submission presentation by the student.
- o SRAC should meet at least twice in a year as well as and when required.
- o The minutes of all SRAC meetings clearly mentioning the recommendations of the SRAC shall be prepared by Convener and submitted to the Office of Director-Research & Consultancy for the ratification/approval in next RDC meeting. A copy of the same should be submitted to the Office of the concerned Faculty/Institute.

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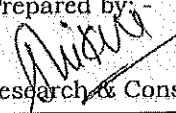
9.2.1 Role, Duties & Powers of SRAC

9.2.1(a) Pre-PhD Course Work

- (i) SRAC shall identify and recommend the courses for Pre-Ph.D. course work of minimum of 6 credits to a maximum of 12 credits for the Ph.D. student should do with proper justification. The recommendation of SRAC shall be submitted to the Office of Director-Research & Consultancy for approval.
- (ii) SRAC should develop the advance subject specific courses (total 2 credits) catering the research requirement of the Ph.D. student. SRAC may also recommend for the Ph.D. student to undertake any such course(s) offered by same or other Institutes of the University as well as other Institutes/University.
- (iii) SRAC should provide feedback and input to Director-Research & Consultancy regarding the Common Subjects such as 'Research Methodology' taught in Pre-PhD course work.
- (iv) SRAC shall conduct and assess the presentation of Literature Review Project of the PhD student and submit the marks and assessment report to the Office of Director – Research & Consultancy.

9.2.1(b) Synopsis Approval

- (i) SRAC shall review the initial research proposal submitted by Ph.D. student and finalize the topic of research.
- (ii) SRAC shall guide the research scholar to develop the study design and methodology of research.
- (iii) SRAC shall ensure that the synopsis is drafted following the guidelines issued by University.
- (iv) SRAC shall arrange the open house pre-synopsis presentation of the Ph.D. student in the presence of an external expert of concerned research area and recommend the acceptance for synopsis (as it is or

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with minor corrections) or rejected. Proceedings and of synopsis presentation and recommendation of SRAC should be drafted and submitted to the Office of Director-Research & Consultancy (for approval by the RDC) and Office of the concerned Faculty/Institute.

(v) If the student's synopsis is assessed as to be *'submit after minor corrections'* by SRAC, SRAC shall draft the suggestions regarding the corrections/modifications required in the synopsis and give to the Ph.D. student, a copy of the same should be submitted in the Office of Director-Research & Consultancy and Office of the concerned Faculty/Institute.

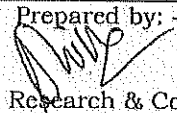
(vi) SRAC shall ensure that the suggestions given for correction in synopsis should be either incorporated or defended by the candidate in consultation with his/her supervisor(s). The Ph.D. student should submit a report and new synopsis duly signed by his/her supervisor(s) to the SRAC which will be forwarded to the Office of Director-Research & Consultancy for the RDC approval.

9.2.1(c) Half Yearly Progress Report Assessment

(i) SRAC shall periodically, as and when required review and assist in the progress of the research work of the Ph.D. student.

(ii) SRAC shall assess the Half Yearly Progress of the Ph.D. students based on the submitted report and presentation by the student in the meeting of SRAC.

(iii) SRAC shall prepare the evaluation report of the half yearly progress and minutes of the meeting mentioning the suggestions given to the Ph.D. student as guidance for further research work. SRAC shall submit the evaluation report and minutes of the meeting to the Office of Director-Research & Consultancy and Office of concerned Faculty/Institute. A copy of evaluation report and suggestions shall also be provided to the Ph.D. student by SRAC.

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- (iv) In case the progress of the Ph.D. scholar is unsatisfactory, the SRAC shall record the reasons for the same and suggest corrective measures. If the PhD scholar fails to implement these corrective measures, SRAC may recommend, with specific reasons, the cancellation of registration of the Ph.D. scholar from the Ph.D. programme.

9.2.1(d) Permission for Thesis Submission:

At the time of Ph.D. student seeking the permission for thesis submission, SRAC shall prepare a report about the fulfillment of the minimum criteria for the permission of thesis submission mentioned in *Clause-11* and submit to the Office of Director-Research & Consultancy.

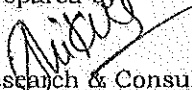
9.3. Research Degree Committee (RDC)

The Research Degree Committee (RDC) consists of the following members:

- | | |
|---|-------------------------|
| a) Vice Chancellor | - Chairman (Ex-officio) |
| b) Director- Research & Consultancy | - Convener (Ex-officio) |
| c) All Directors of the Institutes | - Member (Ex-officio) |
| d) Dean(s)/HoD(s) of the Faculty/Department
(as and when required) | - Member (Co-opted) |
| External expert(s), if required, may be nominated by the Vice Chancellor | |
| e) External expert should not be below the rank of Professor/Associate Professor / Scientist not below grade E | - Member (Co-opted) |
| f) A Ph.D. Coordinator of the University nominated by the Vice Chancellor on the recommendation of the Convener | - Member Secretary |

Quorum and Meeting

- o The minimum one third members are required for forming quorum.
- o At least half of the committee members shall be present in case of voting.
- o RDC should meet twice in an academic year as well as whenever required.

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- o The minutes of all RDC meetings shall be prepared by Member Secretary and put up to the next Academic Council by the Convener for approval/ratification.

9.3.1 Duties & Powers of RDC

9.3.1(a) Approval of University's Ph.D. Supervisor

The RDC shall authorize and approve the Faculty Member(s) of the University to act as Ph.D. Supervisor in the research area of their expertise on the basis of eligibility criteria mentioned in *Clause 6.1*.

9.3.1(b) Approval of Synopsis

The RDC shall consider the recommendations of the SRAC about the synopsis of the proposed Ph.D. research work and shall take the following decisions:

- (i) Synopsis approved as such
- (ii) Resubmit synopsis after major corrections

9.3.1(c) Approval of Supervisors/ Co-Supervisor for Ph.D. Student

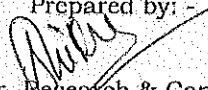
In all the cases, the RDC shall approve Supervisor/Co-Supervisor for every Ph.D. student.

9.3.1(d) Permission for Submission of Thesis

After the open Pre-thesis presentation by Ph.D. student in the University, RDC shall consider the recommendations and suggestions of FRDC about giving the permission for submission of thesis to the Ph.D. student and if found to their satisfaction, would allow the Ph.D. student to submit the Thesis. Based on their recommendation candidate must have to submit the Thesis within next 6 months.

9.3.1(e) Redressal of PhD student grievances

RDC shall suggest the amicable solution or appropriate action to address the genuine research related problem of the PhD students.

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9.3.1(f) Research Degree related issues

RDC may intervene and address any research degree related issue.

10. Evaluation and Assessment Methods of Research Proposal and Research Progress:

10.1 Synopsis:

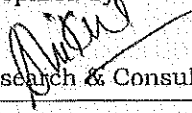
10.1.1 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in Clause-8.3, as the case may be, the Ph.D. scholar shall submit a Synopsis of the proposed research work for Ph.D. degree, prepared according to the guidelines issued by the Office of Director-Research & Consultancy, along with a Gantt chart showing the complete research plan. The synopsis is assessed by the SRAC (*Clause 9.2.1(b)*) having an external member who is an expert in the concerned research area. Finally, synopsis get approval from RDC as described in *Clause 9.3.1(b)*.

10.1.2 Ph.D. student shall get his synopsis accepted by SRAC within one year of his/her Ph.D. registration. Further extension of time to Ph.D. student for synopsis preparation may be provided to Ph.D. student by the Director-Research & Consultancy on the recommendation of SRAC.

10.2 Half Yearly Progress Report Assessment:

After the approval of Synopsis, Ph.D. student shall submit the half yearly progress report of his/her research work for the time-period and dates notified by Office of Director-Research & Consultancy. The Half Yearly Progress report shall be prepared as per the guidelines and format issued by the Director-Research & Consultancy.

The assessment of the half yearly progress of the Ph.D. student shall be done by the SRAC as described in *Clause 9.2.1(c)*. The Ph.D. student shall appear before the SRAC to make a presentation of the progress of his/her work for evaluation and further guidance. The evaluation report and minutes of the meeting prepared by SRAC should be submitted to the Office of Director-Research & Consultancy and Office of concerned Faculty/Institute. A copy of the evaluation report and suggestions shall be shared to Ph.D. student by SRAC.

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11. Minimum criteria for permission for thesis submission:

- a. The Ph.D. student must spend the minimum duration as mentioned in Clause-3
- b. The Ph.D. student should have '*Satisfactory*' result on at least three of his/her half yearly progress reports by the SRAC.
- c. The outcome of the research work should be in agreement with the Aims and objectives of the research work as mentioned in the approved Ph.D. Synopsis.
- d. The Ph.D. student shall publish/get acceptance of at least **TWO (2) research publications published in peer reviewed journals listed in UGC-CARE list (Group I: Journals found qualified through UGC-CARE protocols and/or in Group II: Scopus/WoS Indexed) in first authorship and two paper presentations in conferences/seminars from his/her research work for Ph.D.,**

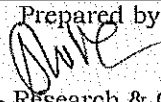
12. Thesis submission Process:

12.1. Submission of Extended Abstract of the thesis: Once the above conditions (*Clause-11*) are fulfilled, the Ph.D. student shall submit an extended abstract of the proposed thesis along with the copies of published research paper and certificates of the paper presentation in conferences/seminars to the Convener SRAC.

12.2. SRAC recommendation for thesis submission: The SRAC shall prepare and submit a report to the Office of Director-Research & Consultancy about-(i) whether the aim and objectives of the research work mentioned in the synopsis of the proposed Ph.D. research work met with the research work reported in the extended abstract (ii) whether the minimum criteria for thesis submission defined in *Clause-11* is fulfilled.

If the synopsis and extended abstract of the proposed thesis are not in fair agreement, Ph.D. student may be allowed to modify scheme of his/her research work in consultation with SRAC and the approval of RDC, but in this case, he /she shall not be permitted to submit the thesis before six month from the date of approval for such a change.

12.3. Open House Pre-Thesis Presentation

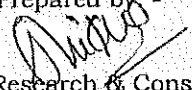
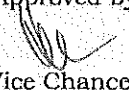
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- 12.3.1. If the report submitted by SRAC assures the above mentioned points in *Clauses 12.1-12.2* are fulfilled, FRDC arrange Open House Pre-Thesis Presentation by Ph.D. student and submit the minutes of the proceedings to the Office of Director-Research & Consultancy as mentioned in the *Clause-9.1.1(d)*.
- 12.3.2. Suggestions and recommendations about the thesis to the Ph.D. student shall be drafted by FRDC and shared with SRAC and Ph.D. student.
- 12.3.3. After the RDC approval for the permission of thesis submission, Ph.D. student must start the thesis submission procedure defined in *Clause-12.4*.
- 12.3.4. The feedback and comments obtained from FRDC may be suitably incorporated into the draft of the thesis in consultation with the SRAC.
- 12.3.5. If the supervisor of the student leaves the university after the pre thesis presentation of the student, he /she will remain the supervisor.

12.4. Thesis Submission

The PhD thesis needs to be submitted in the Office of Director-Research & Consultancy in two stages namely; *(i) Submission for Evaluation (as described in Clause-12.4.1) (ii) Submission for record (as described in Clause-13.5.2)*. The thesis shall comply with the following conditions:

- 12.4(a) It must be a piece of research work characterized by the discovery of facts or by fresh approach towards interpretation of theories. In either case it should exhibit the candidate's capability for critical examination and sound judgment.
- 12.4(b) It should also be satisfactory as far as its literary presentation is concerned.
- 12.4(c) The thesis shall be typed on one side following prescribed format and specifications given in the "Manual for preparation of Ph. D. Thesis" of the University and spirally bound to facilitate corrections, if any, suggested by the examiners.

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- 12.4(d) The thesis shall be accompanied with undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

12.4.1. Thesis Submission for Evaluation

After the permission for submission of the PhD thesis by the Research Degree Committee of the University, within six month, the PhD student should submit the soft bounded *3 copies of thesis along with 3 copies of the summary of the thesis* formatted according to the University guidelines for PhD thesis. After the conduction of viva voce examination, a candidate will submit 2 hard copies of thesis & summary of the thesis, a pen drive labeled with the name of the student, Registration no, name of Institute/Faculty and year of submission, containing the following PDF files shall be submitted.

- ✓ thesis.pdf: containing the main thesis
- ✓ thesis_summary.pdf: containing the summary of thesis

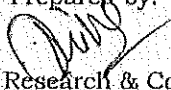
12.4.2. Plagiarism Check

12.4.2(a) Supervisor of the candidate shall perform the final plagiarism check of the submitted Ph.D. thesis using standard software and ensure that the Similarity Index of the Ph.D. thesis is within the limits decided by the University. In this process, published matter related to the thesis may be excluded in calculation of Similarity Index.

12.4.2(b) Ph.D. thesis having Similarity Index within the limits (below 10%) defined by University shall be further processed for evaluation.

13. Evaluation and Assessment of Ph.D. Thesis:

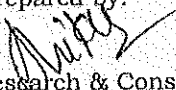
13.1. Appointment of Examiners:

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- 13.1(a) The Ph.D. thesis submitted by a Ph.D. student shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College. One of the external examiners shall be from outside the Uttar Pradesh State or from abroad.
- 13.1(b) A serving or retired Professor / Associate Professor / Senior Scientist or equivalent having Ph.D. degree with minimum experience of 5 years shall be eligible to become a Ph.D. Thesis Examiner.
- 13.1(c) The supervisor(s) have to prepare a panel of six qualified examiners out of which at least three examiners shall be from outside the State (U.P.)/Country (India) and submit it to the Office of Director-Research & Consultancy. In the meeting of RDC where the permission for submission of thesis was asked, the panel of examiners has to be approved by RDC.
- 13.1(d) The list of examiners remains confidential with the office of the Director-R&C. The Vice-Chancellor will appoint two examiners from the list of panel of approved examiners in which at least one examiner shall be from outside the State/Country.
- 13.1(e) If Vice Chancellor himself/herself is the Ph.D. supervisor, the appointment of the two examiners shall be done by the Pro-Vice Chancellor/Director-Research & Consultancy.
- 13.1(f) The Director Research & Consultancy shall make all correspondence with the examiners. The name of the examiner is made available to the Dean of the Faculty and the thesis Supervisor(s) after both the reports have been received. If the Director Research & Consultancy is supervisor himself/herself, this process shall be done by a Professor nominated by Vice-Chancellor.

13.2. Thesis Evaluation

The Ph.D. thesis submitted by a Ph.D. student shall be evaluated by his/her Ph.D. Research Supervisor and at least two external examiners. A copy of detailed summary of the Ph.D. thesis shall be sent to both the external examiners for their consent which

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should be obtained within a fortnight if not then a new examiner should be appointed from the same approved panel by the Vice-Chancellor. If the Vice-Chancellor is the supervisor himself/herself, the appointment of examiners shall be made by the Pro-Vice Chancellor/Director Research & Consultancy. In his/her absence, the Director of the concerned Institute will appoint the examiner. On receiving consent, thesis shall be sent to both the external examiners and one internal examiner (supervisor). Normally, two months time shall be given to the examiners for submitting the report. If an examiner does not send his/her report within two months, reminders should be sent and the maximum extension given to any examiner shall be one month. If the report is not received in spite of reminders, the Vice Chancellor may appoint alternate examiner(s) from the approved list of examiners.

13.3. Thesis Report

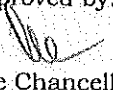
The examiners shall specifically report on the prescribed Performa whether the thesis fulfils the requirements of the *Clause-12.4(a)*. They shall clearly recommend whether the thesis be:

- (i) Approved as it is
- (ii) Approved after minor revision
- (iii) Resubmission after major revision with major rewriting or some extra work
- (iv) Rejected

13.4. Processing of Thesis Report

13.4.1. Thesis Approval

- 13.4.1.(a) If both the examiners approve the thesis and recommend for conducting the *viva-voce* examination, the *viva-voce* examination will be conducted.
- 13.4.1.(b) If one external examiner rejects the thesis, then the Office of Director-Research & Consultancy shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory and recommends the conduction of *viva-voce* examination.

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- 13.4.1.(c) If two external examiners reject the thesis, the thesis shall be rejected finally and the Ph.D. student shall be declared ineligible for the award of the degree.

13.4.2. Thesis Revision

- 13.4.2(a) If external examiner (s) recommends minor revision [Clause-13.3 (ii)] after evaluating the PhD thesis, the comments of the examiner recommending revision shall be sent to the supervisor and candidate without disclosing identity of the thesis examiner for the clarifications / comments. A detailed report of justification about the suggestive comments by the thesis examiner along with a certificate that the revisions have been considered and appropriate corrections were made shall be submitted by the Supervisor to the Office of Director-Research & Consultancy.

- 13.4.2(b) If external examiner (s) recommends major revision [Clause 13.3 (iii)] in the thesis,

- 13.4.2b(i) The Ph.D. student is required to revise the thesis and submit to the University in a period not earlier than six months and not later than one year from the date of communication to the Ph.D. student. The Ph.D. student shall have to pay an additional examination fee as prescribed by the University for Re-submission of his/her thesis. A detailed report of justification about the suggestive comments by the thesis examiner, new summary of the PhD thesis along with a certificate that the revisions have been considered and appropriate corrections were made must be submitted by the Supervisor in the Office of Director-Research & Consultancy for approval in RDC.

- 13.4.2b(ii) The revised thesis shall normally be examined by the old set of examiners provided they agree for re-evaluation. If anyone examiner's report is not satisfactory or any examiner does not agree for reevaluation of the revised thesis, another examiner will be appointed from the approved list of panel of PhD thesis Examiners. The consent of the examiner shall be obtained by sending a copy of the detailed

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new summary of thesis. A copy of each of the reports pertaining to examination of the thesis earlier submitted shall be sent to the examiners. The examiners shall clearly recommend whether the thesis is approved or rejected.

13.5 Open Defense (*viva-voce* examination) and Submission of approved Thesis:

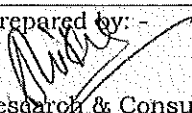
In case, the thesis is approved and two external examiners specifically recommend for the conduction of the *viva-voce* examination for the Ph.D. student by *viva-voce* board. The *viva-voce* board shall have the following constituent members

- | | |
|---|------------|
| (a) A senior faculty member of the University
nominated by Vice Chancellor | - Chairman |
| (b) Supervisor | - Member |
| (c) One of the two external examiners of the Ph.D.
thesis | - Member |

Director-Research & Consultancy shall form the *viva-voce* board and notify the date, time and venue of the open house defense and *viva-voce* examination for the Ph.D. student.

13.5.1. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the *viva-voce* board. It shall be open to be attended by the Members of the SRAC, FRDC, all faculty members of the Department, other research scholars and interested experts/researchers.

13.5.2. The Ph.D. student shall submit minimum four hard bound copies and a soft copy of the thesis incorporating corrections proposed by the examiners to the *viva-voce* board on the day of Open defense. The thesis should be in the format prescribed by University and printed on the good quality standard A-4 paper. Also, a detailed report about the changes in thesis or justification about the suggestive comments by the thesis examiner(s) along with a certificate duly forwarded by the Supervisor(s) that the revisions have been considered and appropriate corrections were made shall also be submitted by the student to the *viva-voce* board.

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13.5.3. The *viva-voce* board shall make a final recommendation and a clear verdict whether the candidate be awarded Ph.D. degree or asked to re-appear for a *viva-voce* examination before the same Board but not earlier than six months from the date of first *viva-voce* examination.

14. Award of the Ph.D. Degree:

14.1 With successful Open Defense and after the Vice-Chancellor approves the recommendation of the *viva-voce* Board and thereafter the approval of the Academic Council, the candidate shall be awarded Ph.D. degree in accordance with the provisions of the UGC (Minimum Standards and Procedure for Awards of Ph.D. Degree) Regulations 2016.

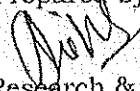
14.2 Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009 till the date of Notification (5th July, 2016) of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil/Ph.D Degree) Regulation, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degrees) Regulations, 2016 as the case may be.

14.3 The award of Ph.D. degree can be withdrawn by the University in case the thesis submitted by the candidate is found to be duplication of an old work or pirated research work.

14.4 *Provisional Degree:* After successful *viva-voce* examination and declaration of Ph.D. result, prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these.

15. Depository with INFLIBNET (Shodh Ganga):

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

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16. Redressal of PhD student grievances:

If PhD student is having genuine problem in smoothly carrying out his/her research work which is related to the resources/supervision/assessment, he/she can report it to the Office of Director-Research & Consultancy for easement.

17. Cancellation of PhD Studentship:

The PhD studentship is liable to be cancelled for any of the following reasons:

- 17.1 Giving false information at the time of application/admission.
- 17.2 Not conforming to the regulations of the program.
- 17.3 Failure in coursework requirement.
- 17.4 Non submission of Synopsis/half yearly Progress Report.
- 17.5 Consistent lack of progress in research observed by SRAC.
- 17.6 Violation of discipline and conduct rules of the University.
- 17.7 Not submitting a thesis within the stipulated period.

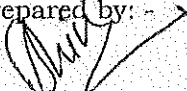
The process for cancellation of Ph.D. studentship shall be initiated by the Office of Director-Research & Consultancy and implemented by office of Registrar of University.

18. Ordinance Effectiveness:

Notwithstanding anything contained in the Ordinance, all the Ph.D. candidates/research scholars shall be governed by the rules and procedures prevailing at the time of registration.

19. Unforeseen Issues:

Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by the Ordinance, or in the event of difference of interpretation, the decision of the Vice-Chancellor shall be final.

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