

**PANDIT SUNDARLAL SHARMA (OPEN) UNIVERSITY
CHHATTISGARH, BILASPUR**



ORDINANCE No. 02

Recognized programme of Ph.D. vide UGC

letter No.F.1-130/2015 (VIP/PS) Dated : 3rd November, 2016

DOCTOR OF PHILOSOPHY

YEAR - 2017

Price Rs. : 100/-

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DOCTOR OF PHILOSOPHY

- 1.1. The degree of Doctor of Philosophy (Ph.D.) may be granted in any discipline, belonging to any faculty of the Pt. Sundarlal Sharma (Open) University Chhattisgarh (hereafter: University), in which programme is available at the University.
- 1.2. The Ph.D. programme will be run in accordance with the norms led by the UGC and will run in regular/part-time mode only.
- 1.3. All those who are offered fellowship by the University or any other agency and registered with the University to pursue a research degree programme of the University on a full-time basis shall belong to the category of full-time students. The Research Degree Committee, on the recommendation of the supervisor concerned, may allow registration of full-time students who do not have fellowships. The full-time students shall work on their projects either at the headquarters or at any research centre approved by the university.
- 1.4. Anyone who is employed in an organization and is desirous of pursuing a research degree programme may be permitted to register as part-time student, provided that he/she shall work at the headquarters and/or with supervisor for a minimum period of 200 days during the total period of the programme for the purpose of research which will be certified by the supervisor.
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)
 - ii. All full time regular teachers of the concerned Department who are recognized by the University 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 University.
3. Eligibility for Registration for the Degree of Doctor of Philosophy
 - A. Candidates for admission to the Ph.D. programme 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.

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 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 same Institution in an integrated programme.

B. 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.

4. Procedure for Admission

A. Provided that the candidate will be admitted to the Ph.D. program through an entrance test followed by an interview to be conducted once in a year as per decision of the University:

(i) An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The validity of eligibility will be for two consecutive years.

(ii) An interview followed by Entrance Test shall be organized when the candidates are required to discuss their research interest/area through a presentation before DRC. The interview shall also consider the following aspects, viz. whether:

- a) the candidate possesses the competence for the proposed research;
- b) the research work can be suitably undertaken at the Institution/College;
- c) the proposed area of research can contribute to new knowledge.

B. Following candidates shall be exempted from appearing at the entrance test:

i. Candidates, who qualify UGC / CSIR (JRF) examination, including NET Assistant Professor / lectureship/ SLET/ GATE/ or any other JRF examination conducted by national agencies, such as ICMR, ICSSR etc.

ii. Candidate possessing M.Phil. Degree from any recognized university/ institution as per UGC regulation 2009/2016.

iii. Teacher Fellowship holder and University/ College teachers holding a regular position (regular appointment) and having completed two years of service as teacher in a department.

C. An eligible candidate (refer Clause 3 and 4) must apply for registration for Ph.D. degree

of his/her subject on the prescribed form obtainable on payment of prescribed fee. The application shall be considered by the DRC of the concerned Departments.

- D. 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 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.
- E. Course Work:
- (i) All eligible candidates, except in 4.B. 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.
 - (ii) The course work will be of 8 credits having two parts i.e. i. Research Methodology (4 Credits), ii. Review work (4 Credits). Seminars on Research Methodology and review work will also be necessary part of the course.
 - (iii) 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 University.
 - (iv) The candidate shall be evaluated at the end of the semester. If the candidate is not able to pass the course with 55% marks, the candidate shall be allowed to reappear at the examinations within the next 12 months. The respective DRC will conduct the evaluation at the institutional/ departmental level.
- F. While granting provisional admission to candidates to Ph.D. program the DRC will pay due attention to the National/ State reservation policy.
- G. The candidates shall have to pay fees as decided by the university from time to time.

Provided that the teachers of the University and Teachers under the U.G.C. teacher fellowship scheme 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 fees.

5. Research Degree Committee (RDC):

The candidate shall be eligible to submit research proposal/ 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. One Regional Director nominated by the Kulpati.

- iii. Head of the University Teaching Department in the subject
- iv. Chairman, Board of Studies in the Subject
- v. 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 University Office at least once in a year. 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 research proposal / synopsis forwarded by the DRC.

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

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

Provided that research work leading to Ph.D. degree may be encouraged in allied subjects of 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 University

8. A candidate shall pursue his/her research at his/her research centre from where his/her application form has been forwarded.

Provided that a candidate permitted to work in a research establishment includes Institutions and Laboratories run and sponsored by the Union /State Governments or its agencies; and Foreign University/Institution of repute recognized by the University

shall be required to take at least one co-supervisor along with the supervisor; one of them should be the teacher of the University and the other a Teacher/ Scientist/ Research Officer/ Director of the Institution where the candidate is actually working.

Provided also a candidate may be permitted to carry out his/her research/ practical work in a Research Institution/ Research Laboratory/ Laboratory of an institution recognized by the University 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 to guide the Research Scholar must be:

- i. A Professor of the University Teaching Department with at least five research publications in refereed journals.
- ii. Associate Professor/ Assistant Professor of the University 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 University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- iii. Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the University or from other related institutions with the approval of the DRC.
- iv. In case of topics which are of inter-disciplinary 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/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- v. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

Provided that a recognized supervisor who fails to publish any research paper/ publication over duration of five years shall not be eligible to enroll any new candidate under his/ her supervision.

Provided that the persons who have been recognized as Supervisors/Co-supervisors shall be eligible to supervise even after their superannuation. However, in this case the superannuated faculty, with the permission of the Chairman, RDC, shall have to co-opt an additional Co-supervisor, who is in service, from the relevant research center approved by the University.

Provided further that a person who is himself registered for Ph. D. degree of the University in the subject shall not be eligible to act as Supervisor/ Co-supervisor in the concerned subject or member of the RDC related to the concerned subject mentioned in this Ordinance.

vi. Professor/Associate Professor/Assistant Professor includes officers of the University; if he/she has been basically a teacher before joining the office of the University.

10. Tenure of Ph.D. Work

(a) The candidate shall pursue his/her research at the approved place of research under the Supervisor/Co-supervisors on the approved subject.

(b) Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

The candidate shall be permitted to submit his/her thesis not earlier than 36 months and not later than six years from the date of registration. In case a candidate does not submit his/her thesis within six calendar years, from the date of registration and does not apply for extension on time, his/her registration shall stand automatically cancelled.

Provided that the period for submission of thesis can be extended by one year by the Kulapati, if he/she applies for extension within one month after the expiry of registration period together with the prescribed fee. In case the candidate does not submit his/her thesis within the extended period, 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 of 36 months and attendance shall not apply to such re-registered candidate.

(c) 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.

(d) The candidate shall put in at least 200 days attendance, including actual attendance he/she will earn during the course work, in the Institution concerned or with the Supervisor.

11. Change of Supervisor

The candidate may be allowed to change the Supervisor by the Kulapati, on the recommendation of the 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 /or 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 final Summary/Abstract 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 a list of at least one research paper published or accepted for publication in a refereed journal 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 eight names of examiners actively engaged in the concerned area of research not below the rank of Associate Professor/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 Controller of Examination shall call a meeting of Examination Committee of the subject as constituted as under:
 - i. Regional Director in the Subject
 - ii. Head of the department /Chairman of Board of Studies (BoS)
 - iii. One member of the BoS nominated by the Kulapati.

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 five both side printed hard/paper bound copies of his/her thesis along with the following:
- (a) Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
 - (b) While submitting for evaluation, the dissertation/thesis shall have an 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. No plagiarism certificate from the Librarian with recognized software is also necessary to be submitted along with the above.

- (c) 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).
- (d) 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).
- (e) The candidate shall also remit with the thesis the prescribed examination fee.
- (f) 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.

15. Evaluation Procedures following Submission of the Thesis

The Ph.D. thesis submitted along with the certificates and fee by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College.

The external examiners shall be appointed by the Kulapati from the panel of examiners submitted by the Examination Committee 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 judgment.
 - (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 at the viva-voce examination.
18. (a) The examiners may seek clarification of the subject matter on 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.
- (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 in the subject or at any place fixed by the University 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 question 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 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 of order to the candidate. The candidate shall be provided 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 revised thesis accept 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. A Research Supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. The submission of a thesis shall create a vacancy for the admission of a new candidate for 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 University 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. On detection of any irregularity, the University shall take suitable steps to withdraw the degree.
28. Honorary Degree:

Proposal of honorary degree may be made by any member of the Academic Council. It shall be placed before a committee constituted as per Statute No. 06 of the University. If the committee unanimously recommends that an Honorary Degree or other academic distinction be conferred to any person on the ground that he/she is, in its opinion, a fit and proper person to receive such degree, its recommendation shall be place before the Academic Council. On approval by the Academic Council, it shall go before the Executive Council. After the recommendation of the Executive Council and on confirmation by the Kuladhipati, the Honorary Degree or Academic Distinction so recommended shall be conferred.

29. Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Kulapati, whose decision, in his/her capacity as the Chairman, Academic Council, shall be final. The Kulapati has been authorized to,
 - (a) Modify, amend and/or delete any of the clauses given in the Ordinance or add any clause(s) to this Ordinance, which shall be reported to the Academic Council at its next meeting for approval.
30. 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.



(विश्वविद्यालय कार्यपरिषद् की 57 वीं बैठक दिनांक 08 / 12 / 2016 के प्रस्ताव क्रमांक 06 में अनुमोदित)



PROFORMA FOR SYNOPSIS

1. Title of the thesis :
2. Introduction (in about 200 words) :
3. A brief review of the work already done :
4. Objectives :
5. Noteworthy contribution in the field of proposed work :
6. Proposed methodology :
7. Expected outcome of the proposed work :
8. Bibliography in standard format :
9. List of published papers of the candidate :

Signature of the Supervisor

Signature of the Candidate

Forwarded

Chairman, DRC