



**DOCTOR OF PHILOSOPHY DEGREE  
ORDINANCES, 2017**

## **DOCTOR OF PHILOSOPHY DEGREE ORDINANCES, 2017**

In exercise of the powers conferred by sub-section (3) or Section 52 of the Uttar Pradesh State Universities Act, enacted 1973 and amended by the Uttar Pradesh Universities (Re-enactment and Amendment) Act, 1974 (U.P. Act No. 29.06.1974) and in supersession of all the previous ordinances on the subject, the Executive Council, hereby makes the following ordinances in order to regulate the minimum standards and procedures for award of Ph.D. degree in consonance with the University Grants Commission 'Minimum Standards and Procedure For Award of M.Phil./Ph.D. Degree Regulations, 2016.' (In supersession of the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2009.

1.01-These Ordinances may be called 'The V.B.S. Purvanchal University, Jaunpur, Doctor of Philosophy (Ph. D.) Degree Ordinances, 2017

1.02-They shall come into force from the session 2017-18

### **ENUMERATION OF PH.D. SEATS**

2.01-At any point of time, total number of Ph. D. seats (including those for D. Sc., D.Litt. and LL.D.) shall not exceed 08 for a Professor, 06 for an Associate Professor and 04 for an Assistant Professor.

2.02- Based on the above norm and number of Ph. D. scholars already registered for Ph.D. with all supervisors in the Department, a pre-determined and manageable number of feasible vacancies available for new Ph.D. candidates shall be counted on annual basis and communicated by the each Head of Department/Head of centers if applicable, in consultation with respective faculty members of the Department, to the Registrar through their respective Deans/Directors along with broad area/sub-disciplines available for these vacant positions.

2.03-The subject wise number of seats for Ph. D. shall be decided well in advance and displayed on the University website and advertisement. The University shall widely advertise the number of available seats for Ph.D. studies and conduct admission on regular basis.

2.04-These vacant positions shall be divided as per Reservation Policy of the State-Vertical & Horizontal-categories into unreserved, reserved for OBC and reserved for SC/ST and so classified for each Department.

2.05-The procedure for admission, evaluation and award concerning pursuit of Ph. D. in multi-departmental inter-disciplinary Institutes of the University duly established under section 44 shall be same as specified for regular departments.

2.06-There shall be no additional Ph.D. seats in multi-departmental interdisciplinary institutes unless regular whole time teachers are appointed in the institutes themselves. For teachers otherwise associated with these Institutes, the number of Ph.D. students shall have to be adjusted against the seats for the associated teachers of these institutes in their parent departments with no more than two for Professor and one each for Associated/Assistant Professor, respectively.

### **ELIGIBILITY**

3.01-A candidate for pursuing research for a Doctor of Philosophy Degree of the University must hold a Post- Graduate Degree with minimum percentage of marks in the subject concerned and must fulfill Other conditions of eligibility (good academic record, and other stipulations, if any) prescribed in the statutes for the recruitment to the post of Assistant Professor or in equivalent position.

Provided that in exceptional case in an allied subject may also be considered for admission to Ph.D. Degree by the Research Degree Committee (RDC):

Provided further that the students appearing for final year or final semester of their Post-graduate degree examination will also be eligible to appear for the admission process subject to the fulfillment of minimum eligibility criteria in the final result thereof.

### **PROCEDURE FOR ENTRANCE TEST**

4.01-No University or its affiliated/associated college/institutes shall conduct Ph.D. programme through distance education mode. However, part time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D Regulation are met.

4.02-The University shall admit Ph.D. students through Combined Research Entrance Test named as 'PU-CRET'

4.03-The University shall conduct Combined Research Entrance Test named as 'PU-CRET'

4.04-The University shall publish a PU-CRET public notification through its website and in at least three issues of the daily newspapers already earmarked.

4.05-The said advertisement will contain the salient features necessary for the purpose, i.e. eligibility criteria, subject, fee and mode of its payment, reservation, syllabus, scheme, Centre,

submission of application, other relevant instructions and anticipated date of the declaration of results thereof.

4.06-A candidate for admission to the Ph. D. degree shall apply to the University conducting the PU-CRET on a prescribed form.

4.07-The syllabus, examination paper pattern and qualifying criteria of the PU-CRET will be the same as prescribed for NET examinations conducted by the University Grants Commission/Council of Scientific and Industrial Research/Indian Council of Agricultural Research, etc.

### **EXEMPTION FROM THE ENTRANCE TEST**

4.08- The following categories of candidates shall be exempted from the PU-CRET for admission to Ph.D. programme.

- a) Regular teachers of the University or a College affiliated/associated to the University.
- b) International students (including NRIs) which shall be subject to the general rules framed by the Government of India from time to time and as applicable to the University with regard to the admission, fees etc.
- c) All candidates selected by the UGC/CSIR/ICAR or other central regulatory bodies for their fellowships, NET-lectureship, subject to the validity norms of the respective fellowship.
- d) Candidates who have GATE Score of not less than 75% and
- e) Serving Army, Navy and Air-force Officers of at least Colonel or equivalent rank with not less than 10 years of service applying for Ph.D. in Defense and Strategic Studies.
- f) M.Phil. Degree holders
- g) Serving in public sector, private industries/companies as an officer/scientist with not less than of 10 year service.

### **PROCEDURE FOR ADMISSION**

5.01-Candidates having Merit Score Certificate, with duly attested photo copies of Certificates and Degrees shall apply to the university on a prescribed Application Form with a fee of Rs. 500/-(Rupees 250/- in case of SC/ST candidates) for admission to the Ph.D. degree duly forwarded by the proposed supervisor if possible.

5.02- A candidate shall ordinarily be permitted to work for the Ph.D. degree in the subject in which he/she holds Master's degree:

Provided that such research work leading to Ph.D. degree in allied subject in the same or other faculty may also be allowed, if the Research Degree Committee concerned, on recommendation of the concerned Dean of the faculty and the Director of Institute or the Head of Department on being satisfied that the candidate possesses the requisite qualification/capabilities to take up the proposed work in multi-disciplinary areas.

### **COURSE WORK**

6.01- Each student shall pay a sum of Rs. 25,000/- (Rupees Twenty Five Thousand Only) (Rupees 12,500/- in case of SC/ST candidate) as a fee for Course Work.

6.02- All admitted candidates shall undergo a course work for a minimum period of one semester of six months as prescribed by the University.

6.03- The course work shall be treated as pre-Ph.D. preparation and include a course on research methodology, quantitative methods and computer applications or reviewing of published research in the relevant field.

6.04- The Head of Department/Director of the center shall prepare the time-table for the course work, teaching and continuous evaluation and shall conduct the same under the overall supervision of the concerned Dean of Faculty/Director/HOD of the Institute/Department respectively.

6.05- Minimum attendance required to become eligible to appear in the qualifying examination for each paper shall be 75% of all class lectures. In case a student is short of attendance due to illness, participation in sports, extra-curricular activities etc., the following rules may be applied:-

- a) Shortage up to 20% may be condoned by the Dean/Head/Director of the centre.
- b) 50% relaxation in attendance can be given by the Vice Chancellor.

6.06- The University shall conduct a semester- end qualifying examination, at par with other university exams, based on the course work in general supervision of the HOD/Director. The pass marks in the Course Work shall be 50 percent for all students in each paper and in aggregate as well.

6.07- If a candidate fails to qualify the course work examination in first attempt, he will be given only one additional chance to clear the course work examination along with the next regular batch to qualify this examination.

6.08- The Course Work may be carried out by doctoral candidates in sister Departments/Institutes either within or outside the University.

**CONSTITUTION OF DEPARTMENT RESEARCH COMMITTEE (DRC)/  
RESEARCH DEGREE COMMITTEE (RDC) & ALLOCATION OF  
SUPERVISORS AND SUBMISSION OF SYNOPSIS**

7.01-The student shall interact with Ph.D. supervisors with vacant seats available in his chosen broad sub discipline before counseling for admission /Registration.

The student will submit prescribed Ph.D. registration form along with synopsis forwarded by the proposed supervisor to the concerned Department/Center. The registration of the student will be recommended by the DRC.

7.02-The Department Research Committee (DRC) will be constituted in the following manner.

- Head of Department/ Director of the centre
- One external subject expert nominated by Vice-Chancellor (Chairman )
- At least One Internal subject expert by rotation for one year (Member)

Finally the RDC (Research Degree Committee) will approve the candidate for registration in Ph.D. programme. Research Degree Committee will be constituted in the following manner

- Vice-Chancellor (Chairman )
- Dean
- Head of the Department /Director of the centre.

After approval of RDC the student will be registered for Ph.D. Programme.

The allocation of the supervisor for an eligible student shall be recommended by the Department Research Committee (DRC) .The allocation shall take care the no of students per faculty member, the available specialization among the faculty supervisors, and the research interest of the students as indicated during the interview by the candidate

In case, the DRC finds that the synopsis is not up to the mark, it shall make specific suggestions for improving the synopsis in future.

**ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, CO-SUPERVISOR, NUMBER OF Ph.D. SCHOLARS PERMISSIBLE PER SUPERVISOR, ETC.**

8.01-Any regular Professor of the university /institution /Deemed to be university/college with at least 5 research publications in refereed journals and any regular Associate Professor /Assistant Professor of the University /College with a Ph. D. degree and at least 2 research publications in referred journals may be recognized as research supervisor.

8.02-Only a full time regular teacher of the University/College can act as supervisor. The external supervisor are not allowed .However Co-supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other institution with approval of the Research Advisory Committee.

Provided also that a retired teacher of the University or its affiliated/associated/constituent College, may be permitted to remain as supervisor of his/her Ph.D. student during the remaining tenure of Ph.D. studentship of the student (s) already registered with him/her. If the research scholar is unable to submit the thesis within the regular studentship period, the change of supervisor may be considered as per provisions:

Provided further that in very special circumstances, the retired teachers of the Universities and affiliated/associated colleges up to the age of 65 years may also be approved as supervisors by the Research degree committee.

8.02- (a) The Vice-Chancellor in consultation with the Deans of the Faculties or the Director of Institute shall approve a list of qualified supervisors in accordance with the aforesaid ordinances and may add or delete names accordingly.

(b) A supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood or by marriage.

Explanation-In this ordinances “relative”Explanation to section 20 of the U.P. State University Act, 1973.

8.03- On recommendation from the RDC through the Dean of the Faculty or the Director of Institute concerned, the Vice-Chancellor may allow a candidate to have co-supervisor for his/her thesis from an allied Department or Institution recognized by the University for this purpose, if the research is of an inter-disciplinary nature. The Supervisor shall be from the Department where the candidate is registered:

Provided that if Supervisor is not available in the Department in inter-disciplinary area, RDC may appoint Supervisor from the other concerned Departments of the University.

8-04 No change of supervisor shall ordinarily be allowed, but in special cases, where the Head of the Department is satisfied that the research work of a scholar will suffer-

- i) on account of migration, retirement, long leave, or for any other reason,
- ii) the supervisor may not be available to guide the scholar, or
- iii) as the supervisor is not willing to, or not in a position to supervise a scholar,
- iv) Due to existence of extra- ordinarily situations necessitating such a change.

In such case, the DRC may recommend a change of supervisor to the Vice-Chancellor through the Dean of Faculty or the Director of Institute who may allow change of the supervisor.

### **SUBMISSION OF THESIS**

9.01-The period of a candidates students which he/she had deposited his/her fees before the commencement of the Course Work, as mentioned in ordinance 6.01.

9.02- Continuation of the registration of a candidate in the Ph.D. programme shall depend on his/her satisfactory progress and good conduct. The University reserves the right to cancel the registration of any candidate in the event of his/her conduct and progress being found otherwise.

9.03- The candidate shall be required to submit a progress report every six months to the University through Supervisor.

9.04- A candidate registered for the Ph.D. Degree shall be required to pursue his/her research at the head-quarter of the University/Institution under the supervisor and on the subject approved for not less than Thirty Six months including the period of Course Work commencing from the date of approval by RDC.

9.05-Provided that the Vice-Chancellor, on the recommendation of the Supervisor, the Head of the Department/Director, and the Dean, grants permission to candidate to reside outside for purpose of the research work for a total period of not more than one and halfyear.

In special circumstances, a candidate may, not later than one year from the date on which approval was granted to him or next meeting of the RDC, modify the scheme of the topic with the approval of the Vice-Chancellor on the recommendation of the Supervisor, the Head of the Department/Director and the Dean.



9.06-In case, a candidate fails to submit his/her thesis within Six years, he/she shall cease to be a bonafide student of the University and shall not be entitled to the rights and facilities extended to a regular student:

9.07- The registration of the candidate who does not submit his/her thesis within six years from the date of his/her registration shall be deemed to be cancelled automatically. However the extension for the period may be given by the Vice-Chancellor.

9.08- Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the concerned Department that will be open to all faculty members and research students. The supervisor shall provide a certificate to this effect.

9.09- a) The research scholar shall publish at least two research papers of the Ph.D. work in separate research journals out of which at least one must be in a refereed journal before the submission of the thesis for evaluation.

b) The research scholar shall present at least two research papers of the Ph. D. work in separate seminars/conferences organized by higher academic institutes before the submission of the thesis for evaluation.

9.10- (a) A scholar may be permitted to make minor modifications in the title of his thesis by the Dean of the Faculty concerned on recommendation from the supervisor and the Head of the Department, but not later than six months before the submission of his/her thesis.

9.12- (i) When the thesis is ready for submission, the scholar shall apply through his/her supervisor stating therein that the thesis is on the point of completion. Such a report be received at least three months before the completion of the thesis.

(ii)The Head of Department /Director of the Centre concerned and the supervisor jointly shall recommend a panel of six experts (two from other states) along with their e-mail address and postal address, including the supervisor as one of them and his alternate(3 Examiners and their 3 alternates) .

(iii)The RDC will finally approve the panel of examiners and Chairman of the RDC can modify the list of examiners in special circumstances.

(iv) In the case, the thesis is not submitted within the stipulated time of twelve months, the panel shall stand lapsed and a fresh panel shall have to be recommended.

9.13-The research scholar shall submit the thesis in four printed or type written, but not published earlier, copies of his/her thesis, and two CDs in PDF format along with three copies of summary.

9.14-The thesis shall comply with the following conditions:

(i) The Academic council (or its equivalent body) of the University shall evolve a Mechanism Using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty, While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the 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.

(ii) The candidate shall also remit, with thesis, Rs. 10,000/- (Rupees Ten Thousand Only) Rs. 5,000/- (Rupees Five Thousand in case of SC/ST candidates) as the evaluation and viva-voce examination fee for Ph.D. degree.

(iii)-All the relevant certificates given by the candidates/supervisor/Head of the department/Director/Dean must be attached to the thesis.

### **EVALUATION AND ASSESSMENT METHODS**

10.01- Upon satisfactory completion of the coursework and obtaining the marks a minimum of 55% or its equivalent grade in the UGC seven –point scale, PhD scholars shall continue to the research work.

10.02-On receipt of the thesis along with the certificates and the fee receipt, the thesis will be sent within two weeks to the examiners selected for the purpose after their consent.

10.3-(i) if the examiners consider the thesis to be of sufficient merit, they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy.

(ii)-If the RDC is satisfied that the reports of the examiners are unanimously recommending to award the PhD Degree, the candidate shall require to undergo a viva voce examination to be conducted by two examiners (One supervisor and one external examiner)

(iii)-The viva voce examination shall be conducted at the university headquarters and will be open to all interested in the subjects.

(iv)-After satisfactory viva voce examination the RDC will grant the permission for the award of the PhD degree to the candidate.

(v)-If the majority of the examiners recommend that the candidate be asked to modify his/her thesis, the RDC chairman (Vice Chancellor) will permit the candidate to resubmit the

thesis not earlier than three months and not later than the date fixed by the RDC Chairman (Vice Chancellor).

(vi)-If One Examiner asked to revise the thesis then the report of the examiner will be sent to the other two examiners for their comments. If both of them are not agreed to revise, then the thesis will be sent to the alternate of the previous examiner for fresh evaluation.

(vii)-After receiving the report of the alternate examiner the RDC will take suitable decisions to grant the permission for viva voce examination.

(viii) The University will complete the entire process of evaluation of PhD thesis within a period of six months from the date of submission of the thesis.

### **DEPOSITORY WITH INFLIBNET/ UGC**

11.01-Following the successful completion of the evaluation process and conferment of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

11.02- The University shall host another soft copy of the Ph.D. thesis on its website for general viewing.

11.03-The University, along with the Degree, shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with provisions to the University Grants Commission 'Minimum Standards and Procedure For Award of M.Phil./Ph.D. Degree Regulations, 2016.' and as on further amended time to time.

### **AWARD OF PH.D. DEGREE PRIOR TO NOTIFICATION OF THESE REGULATIONS OR AWADED BY THE FOREIGN UNIVERSITIES**

12.1-Award of degrees to the candidates registered for Ph.D. programme on or after July 11, 2009 till date of notification of these regulations shall be governed by the provisions of the UGC (Minimum standards and procedures for the award of PhD) regulations 2009.

12.2- If the PhD degree is awarded by a foreign University, the University considering such a degree shall refer the issue to a standing committee constituted by the university for the [purpose of determining the equivalence of the degree awarded by the foreign university.