

# ORDINANCE 9

## DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMME

(Act Sec 28, Statute 16(2))

### 1. ADMISSION AND ELIGIBILITY

- (i) Admission to the Ph.D. programme is undertaken twice a year, preferably in the beginning of each semester. Eligible candidates as per the university notification shall appear for admission process adopted by the university. The entrance examination shall consist of a written test and an interview.
- (ii) Candidates, who have qualified any of the national level Ph.D. eligibility tests with fellowship (such as UGC-JRF) in the concerned subject, are exempted from the written test and will be directly called for interview for admission to Ph.D. programme in that subject.
- (iii) Teacher Fellowship holders are also exempted from the written test. Such applicants may be considered as supernumerary but *are* required to apply and appear for the personal interview.

### 2. COURSE WORK

- (i) Every research scholar shall successfully complete the coursework of at least 12 credits. The Doctoral Research Committee (DRC) recommends a set of courses to be taken by any individual research scholar. Some of these courses shall be common such as Research Methodology and some courses will be specific to a research scholar or group of research scholars. The Board of Studies of the concerned department shall prepare a list of courses for Ph.D. coursework and forward the list to School Board, which after acceptance shall forward to the Academic Council for approval. PhD courses need not be necessarily courses with regular lectures. Some of these courses can be imparted in self-study mode. However, the compulsory courses shall be on regular lecture basis.
- (ii) A scholar must secure at least 55 percent marks or equivalent grade in each of these papers in order to clear the coursework successfully. PhD courses do not have any internal tests. In respect of the courses which are offered as regular lectures, the scholar is required to have 75 percent attendance in order to be eligible to write the examination. The attendance of the scholar shall be monitored by the department. The attendance sheet shall invariably be submitted to Head of the Department on monthly basis for release of Fellowship. In case the scholar has less than 75 percent attendance or has not scored 55 percent marks in any course, he/she shall be required to undergo that course again. *However, for all other matters related to attendance, examination and evaluation of the coursework not covered herein, the provisions of Ordinance 3 shall be applicable. Further all matters related to discipline among scholars in examination, the provisions of Ordinance 54 shall be applicable.* Self-study course can be offered in every semester.
- (iii) A scholar shall be required to complete the minimum required coursework prescribed by the department preferably during initial two semesters and must successfully complete the minimum requirement latest by four semesters. In

the event a scholar's inability to clear the courses within four semesters, his/her admission will be cancelled. The Scholar, however, can take more number of courses and credits during his/her tenure of registration of Ph.D.

- (iv) At the end of the Ph.D programme, the scholar will be issued a score card enlisting the courses completed by him/her with respective credits and marks/grade awarded.

### **Provision for Exemption to Course work:**

- a) Candidates possessing M. Phil. or an equivalent (that is, like M. Tech/ M.Sc. Tech. with course work and dissertation / one semester long project work with minimum 16 credits) shall be eligible to request for exemption from coursework.
- b) The M. Phil degree, obtained by the candidate having completed course work as stipulated by the UGC regulations.
- c) On the request of scholar duly recommended by supervisor DRC may recommend exemption from Coursework for approval of the School Board of the concerned school.

### **3. SUPERVISOR**

The department shall assign a supervisor to the selected candidate taking into account the specialization of the supervisor and interest of the candidate. The supervisor shall be a regular teacher of the University. A Professor or an Associate Professor shall ipso-facto be eligible to become a Supervisor. No separate recognition is required. An Assistant Professor can become a Research Supervisor if he/she has a Ph.D. degree, has publications in refereed journals and has put in at least two years of teaching / research experience after obtaining Ph.D. degree. As such Assistant Professor needs to seek recognition from the University with relevant documents referred *ibid*.

### **4. TIMELY ALLOTMENT OF SUPERVISOR**

The allotment of a supervisor to a scholar shall be at the earliest, preferably immediately after the admission, but not later than at the end of the first semester. If due to some reason appointment of supervisor could not take place, an interim-DRC shall be constituted immediately, which can advise the scholar regarding choice of elective courses to complete the course work. *The interim-DRC generally shall have probable supervisors as members.* On no occasion, a scholar is without a supervisor or an interim-DRC.

### **5. CHANGE OF SUPERVISOR**

- (i) DRC shall ensure that the change of supervisor be avoided normally. But if under circumstances the change of supervisor becomes inevitable, the change should be carried out as amicably as possible with mutual consent of the concerned researchers- the scholar, the current supervisor and the new supervisor. Incompatibility and unavailability are two main reasons that give rise to change of supervisor. Incompatibility should be identified and curbed at the earliest by DRC. Alternative supervisor shall be allotted on mutual consent without disregarding the academic contribution of the first supervisor.
- (ii) The supervisor is responsible for making alternative arrangement of supervision during his/her *absence from* the University. If the Department is of the view that

the supervisor has not taken due care to provide alternative *arrangement* to the scholars, DRC may recommend for change of supervisor or alternatively, provide a joint supervisor. In such cases the consent of the first supervisor is not required.

- (iii) A teacher applying for a position elsewhere (or for long leave) must propose alternative measures of supervision well in advance for each of the research scholars working with him/her, failing which he/she will not be relieved (or granted leave).
- (iv) A Professor may supervise not more than 8 Ph.D. scholars, Associate Professor 6 Ph.D. scholars and an Assistant Professor 4 Ph.D. scholar at any point of time, inclusive of joint supervision. Assistant Professor initially be given one scholar only every year during initial three years after becoming recognized supervisor.
- (v) Any teacher who has less than two years to superannuate cannot be sole supervisor of any newly-admitted scholar. He/She can, however, be a joint supervisor.
- (vi) No teacher is allowed to supervise a scholar registered in any other university or institution. A teacher however, can continue to supervise the scholars registered with him/her before joining the University. The said scholars will be included while reckoning the total number of scholars under his/her supervision.

## **6. JOINT SUPERVISOR**

- (i) A department may, with the approval of the School Board and the Academic Council, appoint one or two joint supervisors in addition to the supervisor in which case the supervisor shall be in overall charge of the supervision. A Joint Supervisor need not necessarily be a teacher of the university. A scholar may be assigned a Joint Supervisor only if his/her Supervisor so desires in view of interdisciplinary nature of the *problem* or if the candidate carries out portion of his/her work from another institution.
- (ii) The recognition to a teacher, from other universities / researcher from the recognised research organizations, as a Ph.D. Supervisor will be accorded, taking into consideration the relevant ordinances, on the basis of a written application through the Head of the organization where he/she is working, along-with bio-data and other supporting documents. This application shall be submitted to the Dean of the concerned school. The concerned Dean of school shall forward the recommended names to the Academic Council, after obtaining consent of the concerned Board of Studies and the concerned School Board.

## **7. RECOGNITION OF RESEARCH INSTITUTIONS /LABORATORIES**

- (i) Recognition of research laboratories / institutions, as a centres for pursuing research leading to the Ph.D. degree of this university, may be granted on the basis of a written request by the Research Laboratory / Institution concerned. Before granting recognition an Inspection Committee constituted by the Vice-Chancellor may enquire into and offer a specific recommendation to the School Board and for eventual approval by the Academic and the Executive Council of the university

- (ii) The Academic Council, while granting such recognition, if it considers desirable, may refer the matter to the other related School Board/Board of Studies for their opinion on the suitability of the research institute/laboratory in the given field of study.

## **8. PH. D. REGISTRATION**

Ph.D. programme, like any other programme in the university will be a semester based programme and will adhere to the academic calendar applicable to the Ph.D. programme. Thus every scholar will be required to register for the programme at the beginning of each semester by paying requisite fees within the stipulated time at the beginning of the semester. The date of admission to the Ph.D. Programme shall be the date of registration of the scholar.

## **9. DURATION OF PH.D. PROGRAMME**

The duration of the Ph.D. programme is five years. A scholar may be allowed to submit *dissertation/thesis* after three years if the DRC is satisfied that the scholar has demonstrated exceptional results in the thesis. Early submission due to personal reasons will not be considered.

Academic Council may grant extension of one year (beyond the maximum time limit of 5 years) on recommendation of the DRC and the concerned School Board, provided that (i) there is sufficient justification for non-submission of thesis within five years and (ii) there are reasonable chances for submitting thesis if extension is granted. The recommendation of DRC must explicitly justify these two reasons while recommending for extension. Under no circumstances extension beyond six year of total duration, will be possible. The name of a scholar will be removed from the rolls of the university if he/she fails to submit his/her thesis within five years of the date of his/her during normal registration period and six years in the case of extended period. The women candidates and Persons with disability may be allowed relaxation as per the UGC Regulations issued from time to time.

### **(A) RESIDENTIAL REQUIREMENT OF A SCHOLAR**

The minimum residential requirement for Ph.D. Programme is two years (four semesters). A scholar is required to be available on Campus full time to comply with the residential requirement. A scholar shall not be permitted to submit the thesis for the Ph.D. degree unless he/she has completed the residential requirement at the University for not less than two years from the date of admission.

### **(B) LEAVE OF ABSENCE/DE-REGISTRATION**

If a scholar after completion of the course work and after completion of the minimum residential period, intends to take up some employment, leave can be permitted either as Leave of Absence (LoA) or De-registration, if so recommended by the supervisor and DRC, duly endorsed by the School Board. Basic unit of LoA /De-registration is one semester. LoA can be for a maximum period of two Academic years or four semesters whereas De-registration could be for three years or six semesters. After LoA the scholar may be allowed to submit the thesis within the permissible period, that is, not earlier than three years from the date of joining, but not exceeding six years. If the scholar is not able to complete the research work within five years term *or six years of extended term after availing of LoA*, he/she has to re-register himself/herself. The minimum and maximum periods of Ph.D also hold good even in respect of scholars taking recourse to De-registration.

During LoA/De-registration no fellowship is payable. During the period of LoA the scholar will have to pay the semester fee in order to keep the Registration alive. In case of De-registration there will not be any semester fee. During this LoA/De-registration period the scholar will not be allowed to stay in University hostel.

Special provisions for women scholars and scholars with disability shall be allowed as per the UGC Regulations issued from time to time.

## **10. DOCTORAL RESEARCH COMMITTEE (DRC)**

(i) There will be one DRC for each research scholar. DRC shall be constituted by the Head of the Department and placed in the regular meeting of School Board for approval/ratification.

(ii) **Constitution of DRC**

DRC will consist of following members.

- The supervisor,
- Co-Supervisor, Joint-Supervisor, if any
- A teacher of the concerned department nominated by the supervisor
- A teacher of the University nominated by the Head of the concerned Department.

For female scholar, it is advisable to have at least one lady member in DRC.

(iii) The DRC shall regularly monitor the progress of the research scholar. A scholar shall submit a 6-monthly progress report to the DRC and also hold a seminar outlining his/her research work during the year. Non-submission of two consecutive reports or failure to give seminar may be a basis for possible cancellation of registration. If the DRC finds that the progress of the work is not satisfactory, a report to that effect shall be submitted to the School Board through the department for appropriate action.

(iv) DRC shall maintain a record of the research proposal in the prescribed proforma along with a detailed research aspects including the proposed title of research work, introduction, scope of the study, review of literature, objectives, research methodology with due mention of sampling and design, wherever necessary, and references within one year of the date of registration.

(v) In case, a scholar wishes to change the topic of research, he/she may be permitted to do so within two years from the date of his/her registration. The modified research proposal shall be submitted to the DRC for consideration and approval.

(vi) DRC shall meet before end of each semester to record/review the progress of the scholar and to make recommendation of continuation or otherwise.

## **11. PRE-SUBMISSION PRESENTATION**

(i) When DRC is of the opinion that the thesis is in the final stage of completion, the scholar shall give a pre-submission presentation on his/her research findings. The pre-submission seminar will be an open presentation and any

interested teacher or student can attend. The recommendation on the pre-submission presentation will be done by the Extended *DRC*, comprising of *DRC* members and at least one teacher from other Department nominated/invited by Dean of the School.

- (ii) After the notification of the Dean's nominee, the Extended *DRC* shall fix the date and time of the pre-submission seminar with consent of the student. The supervisor shall issue the notice of the seminar. The pre-submission seminar shall be public and open to all the faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with *DRC*. The Committee either can recommend for submission of thesis or advise for revision.
- (iii) The scholar is required to submit his /her thesis within six months from the date of pre -submission presentation, failing which candidate has to give presentation again following the above mentioned process. The unanimous recommendation of the Committee shall be clearly and specifically recorded on a standard format (specified by the University from time to time) and shall be duly signed by all members as well as by the scholar. The title of the thesis proposed during the presentation shall be final.
- (iv) The Extended *DRC* shall recommend the submission of the thesis after being satisfied with the following.
  - The scholar has completed the coursework of requisite credits within the stipulated period and with requisite grade as specified in this Ordinance.
  - The scholar has completed at least *six* semesters of registered duration and has not exceeded 10 semesters in the normal registered duration or 12 semesters in extended registered duration.
  - The scholar has published at least one research papers related to his/her research topic in a refereed Journal
  - The scholar has made two paper presentations in conference/seminar.
  - The scholar shall produce evidence in support of publication/ presentation in the form of a reprint or a letter of acceptance of the paper.
  - Plagiarism Test. The scholar shall furnish the report generated by anti-plagiarism software, duly endorsed by the supervisor.
- (v) On the recommendation of *DRC* for submission of the thesis, the supervisor shall submit a panel of examiners (as specified below) and a synopsis (prepared by the candidate not exceeding **10** pages) along with *DRC* recommendation to the Dean (Research) for further processing. In order to expedite the process of evaluation, the panel will be placed to the Vice Chancellor for nominating the examiners. The process of obtaining the consent of the examiners shall be initiated at this stage, even before the submission of the thesis.

## **12. SUBMISSION OF THESIS**

- (i) A scholar shall submit five spiral bound copies of his/her thesis along with one in electronic form. *The language of thesis shall be in English except in cases of research in Languages.* The thesis must be prepared and bound as per the templates which will be available on the university's website.

- (ii) A Ph.D. thesis must contain original contribution by the scholar; it may incorporate the text of any work which the candidate may have published on the subject. A scholar should not be allowed to submit in his/her thesis any work for which a Degree / Diploma has already been conferred upon him/her by this or any other university.
- (iii) The supervisor shall satisfy himself/herself before submission of the thesis that it is a piece of research work characterized either by discovery of new facts or by fresh interpretation of facts or theories. In either case, it should provide evidence of the candidate's capacity for critical examination, original thinking and judgement. The thesis shall also be satisfactory as regards to clarity and correctness of language.
- (iv) The Scholar shall furnish an undertaking that the thesis is free from plagiarism and Copy Rights. The Supervisor shall also certify, after verification using appropriate software, that the contents of the thesis are free of plagiarism and copyright regulations.
- (v) The thesis shall include a certificate from the supervisor with a declaration that the thesis incorporates the student's bonafide research and that the findings have not been submitted for award of any degree / diploma in this or any other university or institute of learning.
- (vi) The application for submission of thesis shall be countersigned by the Head of the concerned department. The Head of the department through Dean of the School shall then forward the thesis to the Dean (Research) for further necessary action.

### **13. PANEL OF EXAMINERS**

Supervisors, (sole supervisor/joint supervisor/co-supervisor, if any) *by default* shall be examiners of the thesis.

In addition, there shall be two examiners appointed by the Vice Chancellor (as Chairman, Academic council) from panel of examiners submitted by the supervisor.

A Supervisor shall submit a panel of at least eight names of examiners not in the employment of CURAJ but from the concerned area of research along with their specialisations, preferably eminent Professors from reputed institutions, in the prescribed proforma to the Dean (Research) through the School Board. The approval of the Board of Studies and School Board may be obtained through circulation. The members of School Board and Board of Studies may suggest additional names, if deemed necessary. At least four names in the panel shall be from outside the state of Rajasthan and two examiners from outside the country. The panel of external examiners shall not be below the level of Associate Professor or equivalent.

The Vice-Chancellor, while appointing two examiners, may ensure that at least one examiner is from outside the state. The Vice-Chancellor may ask additional names to the School Board for appending to the list of examiners. The thesis shall, thus, be evaluated by at least three examiners.

## **14. EXAMINERS' REPORTS**

Each examiner shall, after carefully examining the thesis submit a report in the prescribed proforma to the university containing a clear recommendation that in his/her opinion the thesis (i) is recommended for the award of Ph.D. Degree (ii) accepted subject to modification/revision (iii) re-submission with major revision (iv) may be rejected.

- (i) On receipt of satisfactory evaluation reports, the candidate shall undergo a viva-voce examination which shall also be openly defended. A Board consisting of Dean of the School, Head of the department, supervisor as convener and one of the external examiners shall be constituted by the Vice-Chancellor for the viva-voce examination. The university shall ensure that as far as possible and practicable the viva-voce examination shall be held within a period of six months from the receipt of the examiners reports. The convener shall submit a report of viva-voce examination to the Dean (Research). A thesis shall be accepted for the award of the degree of Doctor of Philosophy on the unanimous recommendation of the examiners.
- (ii) In case, an examiner suggests some modification / improvement in the thesis on certain specific lines or points out certain lacunae in the thesis,
  - (a) The observations made by the examiner shall be communicated to the scholar through the supervisor, without revealing the identity of the examiner,
  - (b) The scholar in consultation with the supervisor shall suitably revise/modify the thesis in line with suggestions/observations of the examiner(s),
  - (c) A Para-wise reply shall be prepared by the scholar for observations of each examiner and submit to Dean (Research) along with revised thesis duly endorsed by the supervisor, within three months of receipt of the intimation of the decision. The Vice-chancellor, on the basis of request of the scholar duly endorsed by the supervisor may grant extension up to one year.
  - (d) The revised thesis may be forwarded to examiners if so required or else as decided by the Dean (Research),
  - (e) In cases where the revised thesis is not sent to the examiner, the viva-voce board shall examine the para-wise replies and revised thesis to ensure that suggestions are suitably incorporated in the thesis so revised.
- (iii) A candidate whose thesis has been referred back by the examiner for major revision/modification shall re-submit it within one year of the intimation of the decision of the university.
- (iv) If one examiner endorses the thesis and the other negates/qualifies the thesis, the same shall be referred to a third examiner to be nominated by the Vice - Chancellor out of the panel of examiners already approved. The opinion of the third examiner shall be final.

## **15. RESUBMISSION**

A thesis, which has been re-submitted, shall be examined by the same external examiner(s). In case any examiner(s) is (are) unwilling to act as such, another examiner(s) may be appointed by the Vice -Chancellor from the approved panel of examiners.

In case the thesis is rejected by both the external examiners, no degree shall be awarded.



## **16. DECLARATION OF RESULTS**

- (i) On the basis of the reports of the examiners and the viva-voce the Controller of Examination shall recommend to the Academic Council for the declaration of result. However, as an interim measure, the Vice-Chancellor may grant permission for the declaration of the result and issue Provisional Certificate. The scholar shall submit hard copy of the thesis to the library and also a soft copy of the same.
- (ii) Along with the award of the degree, the University shall also issue a certificate stating that the degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for the award of Ph. D. degree) Regulations, 2009 and further regulations thereof issued from time to time and grade card.
- (iii) After announcement of the award of the PhD degree, the university through librarian will submit an electronic copy of the Ph. D thesis to the UGC within a period of thirty days for uploading the thesis to INFLIBNET, accessible to all universities/institutes. AIU shall be informed about the award of Ph.D.
- (iv) The date of the viva-voce examination shall be deemed to be the date of award of the degree, if viva-voce board has recommended for the awarded of degree.
- (v) Central University of Rajasthan reserves the copyright in respect of all these, based on which the university has awarded Ph. D degrees. If the scholar wants to publish the thesis through a publisher, permission from the University shall be obtained according to copyright rules.

## **POWER TO REMOVE DIFFICULTIES**

Notwithstanding anything contained in this ordinance, the Vice- Chancellor may take such measures as may be necessary for removal of doubts/difficulties and to resolve any other issue of extraordinary nature.

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