

**RAJIV GANDHI PROUDYOGIKI VISHWAVIDYALAYA  
BHOPAL**

Established under act No. 13 of 1998

Ordinance No. 11

(Under Section 40 (1))

**Doctor of Philosophy (Ph.D.)**

(Ordinance as per UGC Regulation 2009)

(With effect from 03rd June 2010)

(Amended upto June, 2013)

- 1.0 Candidate for the degree of Doctor of Philosophy must, at the time of application, hold Master's degree with at least 60% marks or an equivalent grade of the University, a deemed University or any other University incorporated by any law for the time being in force and recognized by the University. However, for SC/ST candidates, 55% marks are required instead of 60%.
- 2.0 A candidate must apply for registration for Ph.D degree of his subject on the prescribed form obtainable on payment of prescribed fee, stating.
- (i) His/Her qualification and experience;
  - (ii) Proposed subject/discipline along with the relevant faculty in which he/she proposes to work;
  - (iii) Proposed title of the Ph.D. theses.
  - \*(iv) Name of the supervisor (along with the name of Co-Supervisors, if any) (Strictly from the University list of approved Supervisors & Co-supervisors ) under whom he/she wishes to work and the place/places (**Strictly from the University list of approved research centre**) at which he/she wishes to carry on investigations together with the consent of the Supervisor and Co-supervisors.
  - (v) Certificate of qualifying the UGC/CSIR/DST/National or State Level Fellowship / GATE / GPAT/SLET, if any
    - (vi) Letter granting teacher fellowship, if any.
    - (vii) Address, Contact number, mobile number, email id and other contact details.

**3.0 Eligibility**

A candidate shall ordinarily be permitted to work for Ph.D. Degree in the subject in which he/she has obtained his Master's or Bachelor degree in Engineering / Technology / Applied Sciences.

Provided that the subject must be one of the subjects included in the Statute of the list of subjects of the University and teaching must be going on in the subject in University Teaching Department\*/college affiliated to the University, which has been recognized as a research centre.

Provided that research work leading to Ph.D. degree may be allowed in allied subjects of interdisciplinary nature of the same faculty or of allied faculties. Provided further that whether a subject is allied or not to the subject in which the candidate has done Master's or Bachelor degree in Engineering / Technology / Applied Sciences, shall be decided by the Academic Council.

\*for the purpose of this ordinance, departments of constituent college of the University i.e. UIT – RGPV, shall be considered as University Teaching Department.

#### 4.0 Availability of seats.

The number of seats available for admission to Ph.D. programme shall be decided and notified by the University on its website and/or by advertisement, which shall be decided on the following basis :-

- (i) A supervisor shall not have at any point of time, more than 08 Ph.D. Scholars as supervisor and 06 Ph.D. Scholars as co-supervisor in case of a Professor and 06 Ph.D. Scholars as supervisor and 05 Ph.D. Scholars as co-supervisor in case of others, in any universities in India and abroad. For that supervisor have to submit undertaking regarding total number of candidates he is supervising.
- (ii) The seats available with the supervisor should be manageable for him/her and also manageable for the concerned research centre.

#### 5.0 Admission Procedure

- (1) The admissions shall be made by the University, through an Admission Committee, consisting of :-
  - (i) Dean of faculty – Chairman.
  - (ii) One of the Head of University Teaching Departments / Professor / Associate Professors, nominated by the Kulpati.
  - (iii) One of the BoS Chairman of the faculty concerned nominated by the Kulpati.

The above members shall be nominated for a year by the Kulpati before the process of admission starts. The committee may be assisted by a suitable number of teaching and non-teaching staff of the University.

The functions of the Admission Committee shall be as follows:-

- (i) To prepare panel of names of paper-setters in various subjects and submit them to the University.
  - (ii) To arrange for entrance test.
  - (iii) To arrange for interview.
  - (iv) To announce the names of candidates admitted along with subject, place of research work, name of supervisor and tentative title of the thesis.
  - (v) To resolve problems, if any.
- \* (2) (A) **Preference will be given to the** candidates who have qualified the UGC/ CSIR/ DST/ National/ State Level Fellowship or GATE/ GPAT/ SLET/**Teacher fellowship.**
- \* (B) All candidates shall be admitted through an entrance test *and interview* conducted by the University.
- (3) Admissions shall be made twice in an academic session, dates for which shall be notified by the University. Left over candidates may be considered for admission in May-June next year, so that the second admission process is completed before July. If there are no left over candidates in a subjects and seats have become available, then fresh- applications may be invited by a notification. The same procedure shall be adopted for these applicants as was adopted for the admitted candidates.

#### 6.0 Entrance test

The entrance test for enrolling into Ph.D programme shall be conducted and the date and place of which shall be announced in the notification by the University.

The entrance test shall be conducted for each subject separately. The syllabus for which shall be notified by the University. The duration of test shall be of two hours.

### **7.0 Interview and Allotment**

- (1) Each student shall have to appear in an interview. The interview board shall consist of the following members:-
- (i) Vice Chancellor or his Nominee - Chairman
  - (ii) Dean of faculty.
  - (iii) One of the Chairman (BOS) to be nominated by the Kulpati.
  - (iv) Head of University Teaching Departments/ Professor / Associate Professors, nominated by the Kulpati.
  - (v) One of the recognized supervisors in the University Teaching Department in the subject to be nominated by the Kulpati.
  - (vi) One subject expert to be nominated by the Kulpati.

One third of the total members shall complete the quorum. If the Dean of faculty is not available, the Kulpati may then appoint a Senior Professor of any University Teaching Department as chairman.

Note :-No T.A. and D.A. shall be payable to candidate for attending the interview.

- (2) The interview shall be conducted in the University Teaching Department. For subject, in which there is no University Teaching Department, the interview shall be conducted at a place in the University premises, fixed by the University for this purpose.
- (3) The candidates shall be called for interview in the following order:-
- (i) Candidates who have qualified UGC/CSIR/DST/National or State level fellowship examination /GATE/GPAT/SLET.
  - (ii) Candidates who have been granted teacher fellowship.
  - (iii) Candidates according to merit list of the entrance examination.
- (4) At the time of interview, the candidates are expected to discuss their research interest/ area, choice of supervisors and co-supervisors (if any), and the proposed title of the thesis.

\*\* The weightage of the interview marks shall be twenty percent where as sixty percent weightage shall be given to the written entrance exam conducted as per para 6.0 and remaining twenty percent weightage shall be given to aggregate of qualifying PG examination. *Each candidate required to obtain 50% of marks of total weightage percentage for admission.*

- (5) The allotment board then shall finalize the list of the names of the candidates admitted to the Ph.D. in the concerned subject.
- (a) The candidates in category (i) of sub-para 7 (3) above shall be admitted first., secondly the candidates in category (ii) shall be admitted and subsequently candidate in the category (iii) shall be admitted in that order. In these categories, if there are more than one candidate having equal marks, then merit shall be decided according to the percentage of marks at the qualifying PG examination.

- (b) As far as possible, the allotment board shall allot the preferred place of research work and the preferred supervisor and co-supervisor, if any, and shall also approve the proposed title of the thesis (however, the candidate may change title of his/her thesis, after prior approval by Research Degree Committee (RDC)). The candidate may, however, be allowed to take another chance for allotment in next admission process if he does not want to change the preferences in the first instant.
- (6) The admission process must be completed by the last date for admission decided by the University for the Doctoral Courses.
- (7) A merit list shall be prepared on the basis of entrance test and interviews as mentioned in para 7 (4) and shall be declared as the result of the entrance examination by the Registrar..

#### **8.0 Fees**

- (a) Registration fee for Ph.D. programme is to be paid to the University at the prevalent rates as announced by the University from time to time.
  - (b) The following is the first installment of fees payable to the research centre :-
    - (i) Tuition fee for six months
    - (ii) Library fee for six months
    - (iii) Library caution money payable once only and refundable
    - (iv) Laboratory fee for six month (for research scholars where laboratory work is involved)
    - (v) Laboratory caution money payable once only and refundable.
    - (vi) Identity card fee.
    - (vii) Development fee (one time)
- (c) The first installment of university Library fee along with caution money shall be as follows :-
  - (i) University Library fee for six months
  - (ii) University Library caution money payable once only and refundable.

The fees mentioned in para (b) and (c) above will be as prescribed by the University from time to time.

The other installments of the six monthly fees shall be paid till the student submits Ph.D. thesis.

#### **9.0 Course work**

- (1) After having been admitted, each Ph.D. student shall be required to undertake course work. The duration of the course shall be two semester for all Candidates. The course work shall be treated as pre Ph.D. preparation. It shall include,
  - i. Semester one shall comprise of a course on research methodology which shall include quantitative methods and computer applications etc. and one of the elective suggested by supervisor/ co supervisor.
  - ii. In second semester, the candidate has to choose two electives with the consent of his/her allotted supervisor/co-supervisor. A review or survey of the published research in the relevant field shall be submitted to the supervisor/co-supervisor for which supervisor/co-supervisor shall evaluate the review report.

- (2) University examination shall be held at the end of the semester. The scheme of examination shall be notified by the University.
- \*\* (2.1) *To complete the course work (I & II Semester) the candidate will be required to score minimum 65% of the marks, however candidate must separately score minimum 50% marks in each subject.*
- (3) The review or survey presented by the candidate in typed form shall be examined by the supervisor. He shall declare whether it is satisfactory or not.
- (4) A candidate shall be declared to have successfully completed the course, if he/she has successfully passed semester examinations with minimum 65% or in equivalent grade as mentioned above. Minimum 10 credits to be earned during the course work for successful completion.

### **10.0 Research Centre**

A candidate may pursue his research work for Ph.D. degree in the University Teaching Departments in the subject concerned, affiliated autonomous Government/Government aided engineering colleges.

or

Research centre in the subject in a college affiliated to this University, in which institutions having both courses under-graduate and post graduate accredited by NBA, for which :

- a. Permission for the research centre shall be for maximum of two years and can be for a less period if recommended by the inspection committee. If institute is interested to continue the research centre, it shall have to reapply for fresh permission in the prescribed format, along with previous progress report, at least one month before the expiry of registration period together with a fee as prescribed by the University.
- b. The existing study centers shall also be governed by the conditions mentioned in the para 10.0 of this ordinance, and shall have to comply with the same i.e. they shall have to reapply for fresh permission in the prescribed format along with previous progress report and prescribed fee, within three months from the date on which this ordinance becomes effective, as otherwise their status of study centre shall automatically be treated as expired.

The candidate may also be allowed by RDC to pursue research work at a research institute recognized for this purpose by the University.

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

Candidates may also be allowed by RDC to pursue research work at a Industry of international repute, actively involved in research and development activities in the subject and having sufficient R&D infrastructure for conducting research, which must be Government of India approved R&D centre and shall be recognized for this purpose by the Executive Council of the University.

A candidate permitted to work in such Industry stated in pre para, recognized by the University, shall be required to take at least one supervisor or co-supervisor from that industry. Such Supervisor or Co-supervisor should be Scientist / Director of the R&D centre not below the rank of Associate Professor of the University.

Candidate may also be permitted to work by RDC in research establishment of repute like CSIR Labs / DRDO Labs or Labs of repute established by Central Government and recognized by the University as research centre.

A candidate permitted to work in such Research Establishment, stated in pre para, recognized by the University, shall also be required to take at least one supervisor or co-supervisor from that industry. Such Supervisor or Co-supervisor should be scientist/ Director of the R&D centre not below the rank of Associate Professor of the University.

### **11.0 Supervisor/Co-supervisor**

- (a) The person recommended as supervisor/co-supervisor to guide the research scholar must be:
- (i) A Professor in a University Teaching Department or in a college affiliated to the University who has obtained a doctorate degree in the subject and has published at least seven research papers on the concerned subject in peer reviewed standard journals of repute or having at least two Indian Patents / 01 International Patent in relevant fields.  
OR
  - (ii) An Associate Professor or Reader in a University Teaching Department or in a college affiliated to the University who has obtained a doctorate degree in the subject and has published at least seven research papers on the concerned subject in peer reviewed standard journals of repute or having at least two Indian Patents / 01 International Patent in relevant fields.  
OR
  - (iii) An Assistant Professor or lecturer of a University Teaching Department or college affiliated to the University who has obtained a doctorate degree in the subject and has published at least seven research papers on the concerned subject in peer reviewed standard journals of repute or having at least two Indian Patents / 01 International Patent in relevant fields and has at least five years teaching experience after Ph.D  
OR
  - (iv) A Scientists/Director working in a research institute/organization/ establishment, recognized by the University as a research centre, who has obtained a doctorate degree in the subject and has published at least seven research papers on the concerned subject in peer reviewed standard journals of repute or having at least two Indian Patents / 01 International Patents in relevant fields and has at least five years research experience after Ph.D.
- (b) A recognized supervisor who fails to publish at least two research papers on the concerned subject in peer reviewed standard journals of repute over duration of last two years shall not be eligible to enroll any new candidate under his supervision.

- (i) Provided that the persons who have been recognized as supervisor/co-supervisor shall be eligible to supervise and register under him/her even after their superannuation.
- (ii) Provided also that the teacher in any college, which has been now affiliated to this University and who has been recognized as supervisor/co-supervisor earlier by the concerned University, shall continue to be recognized as supervisor/co-supervisor if they comply the requirement laid down for recognition as supervisor/co-supervisor in Section 11(a) .
- (iii) Provided further that a person who is himself registered for Ph.D. degree of the University shall not be eligible to act as supervisor/co-supervisor or member of any committee mentioned in this Ordinance.
- (iv) A person, who wants to get himself/herself recognized as a supervisor/co supervisor, shall apply in the prescribed Performa, duly forwarded by Head/Principal/Director of his institution. The case will be put up before the RDC which will decide about the recognition.

## 12.0 RDC

- (1) After successful completion of Pre-PhD. course work mentioned above, the candidate shall be eligible to submit a synopsis (as per Appendix 1.) of his proposed research work along with the title of thesis (finally decided by the candidate) duly forwarded by the supervisor and Head of the institution where the candidate is pursuing his/her research. The synopsis has to be submitted in ten copies, with signatures of candidate, supervisor, co-supervisor and Head of the institution on each of the copy on each of the page.
- (2) The candidate shall be required to make an oral presentation of the proposed work before the Research Degree Committee (RDC) consisting of the following members:-
  - (i) Kulpati or his nominee – Chairman.
  - (ii) Dean of the Faculty concerned.
  - (iii) Chairman BoS of the subject in the faculty.
  - (iv) Head or One Professor of University Teaching Department or in the case of non-availability of Professor, one Associate Professor of the University Teaching Department of the subject.
  - (v) One external subject expert of the rank of University Professor to be appointed by the Kulpati, ordinarily out of a panel of 5 experts given by the Dean of the Faculty concerned.

External expert and two other members shall form the quorum.

Note :- (a) On the request of the supervisor, Kulpati may permit him to be present as an  
observer during the oral presentation of his candidate.

- (b) No. T.A. and D.A. shall be payable to candidate and supervisor for attending the Research Degree Committee meeting.

- (3) The meeting of Research Degree Committee (RDC) shall be held in the University office twice a year. The committee shall consider the application of the persons, who want to get recognized as supervisor/co-supervisor, submitted under section 11 of this Ordinance, and recommend the eligibility of the person for the appointment as supervisor/co-supervisor. The Committee shall also prepare a list of approved supervisors/co-supervisors, alongwith their specializations as per provisions of this Ordinance. This list shall be available with the Registrar.
- (4) After approval by the RDC of the title of the thesis, synopsis, supervisor, co-supervisor/s (if any), and place of research work, the candidate shall be registered for Ph.D./degree from the date on which the candidate had deposited the registration fee and other fees mentioned in para 8 of this Ordinance, at the time of admission, and this date will be the “date of registration” of the candidate. The letter of registration shall be issued by the Registrar, and sent to all those concerned. The candidate shall be enrolled as a student from the date of registration and will be required to pay regular tuition, library and laboratory fees (six monthly) where laboratory work is involved during his research tenure in the UTD/college/institute from which the application form was forwarded.
- (5) If the RDC makes any change only in the title of the thesis, the approved changed title shall be communicated to the candidate in the meeting of the RDC itself. The letter of registration shall be issued mentioning the approved title.
- (6) If the RDC suggests any change in the synopsis, then the change required shall be communicated to the candidate by the Registrar. The candidate will be required to resubmit the synopsis ( in Ten copies) as revised by him/her, incorporating the changes suggested by the RDC within 3 months time. The Dean of the Faculty shall examine the revised synopsis and if he is satisfied that the changes suggested by the RDC have been incorporated in the revised synopsis, he will approve the same. The letter of registration shall then be issued by the Registrar.
- (7) If the RDC decides that major revision is required in the synopsis and/ or the oral presentation was also found to be unsatisfactory, then the candidate may be asked to revise the synopsis and/ or improve upon the oral presentation and reappear at the next meeting of the RDC.
- (8) If the RDC does not recommend a candidate for registration to Ph.D. degree, the candidate shall be communicated the same by the Registrar. In such case, only the caution money deposited by the candidate shall be refunded.
- (9)\* The RDC shall also ensure that either Supervisors or Co- supervisor is from the approved Research Centre and also fulfill provision of para (11)

### **13.0 Period for submission of thesis**

- (a) The candidate shall pursue his research at the approved place of research under the supervisor/co-supervisor on the approved subject. The candidate shall be permitted to submit his/her thesis not earlier than 24 months after successfully completion of course work at the research centre and not later than five calendar years from the date of registration. In case a candidate does not submit his/her thesis within five calendar



years, from the date of registration and does not apply for extension in time, his/her registration shall stand automatically cancelled.

Provided that the period for submission of thesis can be extended by one year by the Kulpati, if the candidate applies for extension at least one month before the expiry of registration period together with a fee as prescribed by the University. In case the candidate does not submit his/her thesis within the extended period, his/her registration shall stand automatically cancelled.

Provided also that after the expiry of five years from the date of registration, the Kulpati may permit a candidate to get re-registration on the same topic on payment of a re-registration fee as prescribed by the University. The condition of minimum period of 24 months and attendance shall not apply to such re-registered candidate for submission of the thesis. For re-registration, approval by RDC is not required. The candidate must submit the thesis within four years from the date on which the original registration expired. No extension in this period is allowed. The registration will stand automatically cancelled after nine years from the date of original registration. After this period if a candidate desires to pursue research work for Ph.D. degree he will have to apply for registration as a fresh candidate.

- (b) A teacher candidate with 5 years teaching experience at the time of registration can submit his/her thesis after 18 months instead of 24 months after successful completion of course work as provided in Section 13(a) of this Ordinance.
- (c) The candidate shall put in at least 240 days attendance after successfully completion of course work in the institution concerned or with the supervisor/ co- supervisor. The relevant declaration by the candidate ( **Appendix 2**) and the certificate of the supervisor ( **Appendix 3**) must be given in the beginning of the thesis. If a candidate is in service, having his/her research centre at a place other than his/her place of service, then such candidate shall be required to submit a certificate of leaves availed from his/her employer, to justify his/her 240 days attendance in the research centre with the supervisor/co supervisor.

#### **14.0 Change of supervisor**

Only under special circumstances, the candidate may be allowed to change the supervisor by the Kulpati on the recommendation of the committee, constituted by the Kulpati for this purpose. No change in the topic of research will be permitted due to change of supervisor.

#### **15.0 Six monthly report**

The University shall obtain every six months a record of attendance, receipt of fees paid and progress report of the work of the Research Scholar from his supervisor as per **Appendix 4** which shall be scrutinized by the Dean of the concerned faculty. If the progress of work is not found satisfactory in two successive reports or no reports are received for a period of one year or candidate fails to deposit fees, the Kulpati on the recommendation of the Dean of the faculty may order the removal of the name of the scholar from the list of those registered for the Ph.D. degree.

## **16. Summary of thesis and appointment of examiners**

- a) The candidate shall submit ten copies of the summary of the thesis together with a list of research papers published or accepted for publication (in the peer reviewed standard journals of repute, as approved the University from time to time. through his/her supervisor to the Registrar about three months prior to the anticipated date of submission of thesis.
- b) The supervisor shall submit to the Registrar, in a sealed cover a panel of at least six names of examiners actively engaged in the concerned area of research not below the rank of Associate Professor of a University Teaching Department or college Professor, from outside the jurisdiction of this University. At least half of the names should be from outside the state. Names can also be included from outside the country. Another panel of at least six examiners, actively engaged in the concerned area of research and not below the rank of Associate Professor of a University Teaching Department or college Professor, from outside the jurisdiction of this University, shall be submitted by the Dean of Faculty in which the candidate is pursuing Ph.D.
- c) In case the candidate is related\*\* to the supervisor, then the first panel of examiners shall be obtained from Head, University Teaching Department of the Subject concerned, or a senior professor nominated by Kulpati,
- d) The Kulpati shall appoint two examiners out of the two aforesaid panels, submitted by the supervisor and Examination Committee, respectively. The consent of examiners shall be obtained by sending them the summary and list of publications.

Note :- The summary of thesis shall be sent by post / air mail / email.

## **17.0 Pre Submission Defense Committee (PSDC)**

- (1) Prior to submission of the thesis, the candidate shall prepare a draft thesis and shall submit it in SOFT and HARD copy in the prescribed format of the university.
- \*\*\* (2) However prior to the submission of draft Ph.D. thesis and PSDC, the candidate shall publish at least two research papers in the SCI Index Journal in case of Science/Technology/Engineering Streams, peer reviewed standard journal in case of humanities, Management & Social Science as approved by the University from time to time, in which the candidate is the sole author or if there are co-authors, then his/her name should be as first author. The reprint of such a paper along with reprints of other research papers published by him, if any, shall be appended inside the thesis at the end. If reprint has not been obtained till the time of submission of thesis, the acceptance letter along with the approved manuscript (i.e., pre-print) shall be appended inside the thesis at the end.
- (3) The candidate shall make a Pre Submission Defense, based on that draft thesis, in the University Teaching Department in the subject or any place in the University premise fixed by the University for the purpose. Arrangement for this shall be made on a request from the candidate, duly recommended by the supervisor, to the University in the proforma given in **Appendix 5**.
- (4) The candidate shall be required to make an oral presentation of the proposed work before the Pre Submission Defense Committee (PSDC) consisting of the following members:-
  - I. Kulpati or his nominee – Chairman.
  - II. Dean of the Faculty concerned.
  - III. Chairman BoS of the subject in the faculty.

- IV. Head or One Professor or in the case of non-availability of Professor, one Associate Professor of the University Teaching Department of the subject.

Presence of three members shall form the quorum.

The term relations shall include father, mother, wife, husband, daughter, son, grand son, grand daughter, brother, sister, nephew, niece, grand nephew/niece, uncle, aunty, son in law, sister in law, father in law, mother in law and the first cousin.

Note: - (a) On the request of the supervisor, Kulpati may permit him to be present as an

observer during the oral presentation of his candidate.

- (b) No. T.A. and D.A. shall be payable to candidate and supervisor for attending the Pre Submission Defense Committee (PSDC) meeting.

- (5) The presentation shall be open to all the faculty members and research students and its aim will be to get feedback and comments, If the PSDC suggests any change in the work, then the change required shall be communicated to the candidate by the Registrar, which will have be suitably incorporated into the draft thesis under the advice of the supervisor. The candidate will be required to resubmit the draft thesis as revised by him incorporating the changes suggested by the PSDC within 3 months time. The Dean of the Faculty shall examine the revised draft thesis and if he is satisfied that the changes suggested by the PSDC have been incorporated in the revised draft thesis, he will approve the same and the thesis can be submitted. The letter of approval accordingly shall then be issued by the Registrar.
- (6) If the PSDC decides that major revision is required in the draft thesis and/or the oral presentation was also found to be unsatisfactory then the candidate may be asked to revise the draft thesis and/or improve upon the oral presentation and reappear at the next meeting of the PSDC.
- (7) The candidate shall only be permitted three times (including one mercy attempt to be awarded by the Kulpati) to present his case before PSDC on the basis of his request, duly recommended by the supervisor, to the University in the proforma given in **Appendix-05**. However, if, the candidate fails to get a recommendation for submission from PSDC, as mentioned above, his registration for PhD shall be cancelled.

### **18.0 Submission of thesis**

- (1) After getting an approval from PSDC as mentioned in para 17, the candidate can finalize his/her thesis.
- (2) The finalized thesis shall be type set on a computer using a standard software like MS-Word or LATEX. It shall then be type-written only on one side of pages. It may then be photocopied (only on one side of the pages) for producing multiple copies.
- (2) The candidate shall submit the thesis to the University as follows :-
- (i) Three hard bound copies of the thesis, and
  - (ii) Soft copy in the form of CD (in two copies).

- (3) In the thesis after the cover page, the forwarding letter/declaration/certificate mentioned in (a) (b) and (c) below must be given.
- (a) The thesis should be forwarded by the Head of the UTD/college/institution where the candidate was registered. (**Appendix 6**)
  - (b) The thesis must be accompanied by a declaration from the candidate as per (**Appendix 2**) 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 the Ordinance.
  - (c) The certificate from the Supervisor together with co-supervisors, if any, as per **Appendix 3**.

- Note :- (i) The candidate shall also remit with the thesis, prescribed fee as the examination fee as prescribed by the University.
- (ii) The no dues certificates from the place of work and the University library must be submitted along with the thesis.

#### 19.0 **Evaluation of thesis and viva-voce examination**

On receipt of the thesis, required fee and no dues certificates, the thesis shall be sent to the two examiners already consented.

20. 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 new 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.
  - (a) It must be satisfactory in point of language and presentation of the subject matter.
- 21.0 The examiners shall categorically recommend in the prescribed Proforma (**Appendix 07**) acceptance, revision or rejection of the thesis. He shall also give detailed comments on the points spelt out in clause 20 of the Ordinance and also detailed comments on each chapter in the examiners report, which should be typed on separate pages, in four copies. The examiner must also give a list of at least ten questions; he wishes to be asked at the viva-voce examination.
- 22.0 (a) The examiners may seek clarification of the subject matter of the thesis from the supervisor through the Registrar. This provision will be incorporated in the letter to be sent to the examiners while sending the thesis.
- (b) The Kulpati may recall the thesis from an examiner, who fails to send the reports within three months of the date of dispatch of the thesis or such other date as may be extended by the Kulpati, and appoint another examiner from the panels of examiners.
23. (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 examiners (as constituted at para 16 (b)) by the Kulpati, without the reports of earlier examiners, the third examiner shall be asked to give his/her opinion and this opinion 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, and 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 two examiners (as per para 16(b)), selected by the Kulpat, who have accepted the thesis for the award of the Ph. D. degree. In case the candidate is related\*\* to the supervisor, then the Kulpati shall appoint Head of the University teaching Department/School of Studies/Institution/Chairman Board of studies of the subject concerned to act as viva-voce examiner, in place of the Supervisor.
  - (e) The Supervisor/Head University Teaching Department/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 Kulpati to conduct the viva-voce examination. The same shall then contact the external examiner and fix up a date for viva-voce. The date fixed for the viva-voce shall be informed to the candidate and the Registrar. Provided that in special circumstances Kulpati may appoint alternate viva-voce examiner from the panel of examiners, if both the external 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 or at any place fixed by the University for the purpose. The date and time and place of open viva-voce examination shall be notified by the registrar on the University Notice board at least a week in advance. At the time of viva-voce examination, the board of examiners shall be provided the reports of the examiners, which shall be returned along with the report of viva-voce examination to the Registrar in confidential cover.
  - (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 present in open viva. 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 examiners differ from that of the thesis examiner or there is difference of opinion between the viva-voce examiners, the candidate shall reappear at a second viva-voce examination within six months. Such candidates would be required to pay an additional fee as prescribed by the University for second viva-voce examination. The external examiner for second viva-voce examination shall be appointed by the Kulpati as above. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected.
- .24.0 If the examiners recommend that the candidate be asked to revise/improve his thesis, the Kulpati shall permit the candidate to resubmit his thesis not earlier than six months and not later than eighteen months, the period being counted from the date of the issue of orders to the candidate.

The candidate shall be provided examiners reports without disclosing the names of the examiners to enable him/her to improve the thesis on the basis of the reports. 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/has carried out the work.

The resubmitted three copies of the thesis must make 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 a candidate is asked to revise the thesis under clause 23(b) and one of the examiners recommends again for revision of the revised thesis and the other accepts the revised 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 the thesis for the award then the candidate shall be awarded the Ph.D. degree on successful viva-voce examination as per provision of clause 23 of the Ordinance.

In case a candidate is asked to further revised the thesis by the third examiner, as per provisions laid down under para 17 (c), above thesis shall stand rejected. Second time revision is not permitted in any case and if so, the thesis shall automatically stand rejected.

Note – Whether a candidate has incorporated the minor revision/s suggested by the examiner/s, shall be evaluated by the Dean of the Faculty. Only after his satisfactory report, the viva-voce of the candidate shall be fixed.

#### **25.0 Appearing in other examination**

No research scholar shall join any other course of 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).

#### **26.0 Publication of thesis**

The thesis shall be published only with the permission of the University and such publication shall state on the title page itself that this was thesis approved for award of the Ph.D. degree of the University.

#### **27.0 Award of Ph.D.**

After the successful viva-voce, the Vice Chancellor shall have powers to issue Notifications for the award of Ph.D degree to the candidate and the matter shall be reported to the Executive Council for their approval in its forthcoming meeting. 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.

#### **28.0 Reports of examiners**

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

### **30.0 Withdrawal of degree**

On detection of any irregularity or any plagiarism the University shall take suitable steps to withdraw the degree.

#### **31.0 Provision for those candidates who have already been registered before this Ordinance comes into force:**

Those candidates who have already been registered under the repealed Ordinance, i.e. before this Ordinance comes into force, shall continued to be governed by the provisions of the Ordinance prevalent before this Ordinance comes into force.

#### **32. Provision for those candidates who have applied for registration but have not been registered before this Ordinance comes into force:**

Those candidates who have applied for registration but have not been registered before this Ordinance comes into force, shall be governed by the provision of this ordinance i.e. they will have to fulfill all the requirements, as laid down in this ordinance.

*(\*Approval accorded on single file systems on dated 20-08-2011 by Hon'ble Chancellor's)*

*(\*\*Approval accorded on single file systems on dated 03-09-2012 by Hon'ble Chancellor's)*

*(\*\*\*Approval accorded on single file systems on dated 14-06-2012 by Hon'ble Chancellor's)*

**Appendix – 1**

**PROFORMA FOR SYNOPSIS ( Para – --- )**

1. Title of the thesis
2. Introduction : Giving purpose of research (in about 200 words)
3. A brief review of the work already done in the field.
4. Noteworthy contributions in the field of proposed work.
5. Proposed methodology during the tenure of the research work.
6. Expected outcome of the proposed work
7. References in standard format.
8. List of published papers of the candidate.

Signature of the Supervisor

Date : .....

Signature of Co-supervisor (if any)

Date : .....

Signature of the Candidate

Date : .....



**Appendix – 2**

**DECLARATION BY THE CANDIDATE { Para -----}**

**I declare that the thesis entitled .....**  
.....  
**Is my own work conducted under the supervision of Dr. ....**  
**(Supervisor/Co-supervisor) at .....**  
**(Centre) .....**  
**Approved by Research Degree Committee. I have put in more than 240 days of attendance**  
**with supervisor at the centre.**

**I further declare that to the best of my knowledge, the thesis does not contain any**  
**part of any work which has been submitted for the award of any degree either in this**  
**University or in any other University without proper citation.**

**Signature of the candidate**

**Date : .....**

**Place : .....**

**Appendix – 3**

**CERTIFICATE OF THE SUPERVISOR { -----}  
CERTIFICATE**

**This is to certify that the work entitled .....  
Is a piece of research work done by Shri/Smt./Ku. .... Under my/our  
Guidance and supervision for the degree of Doctor of Philosophy of  
..... University .....  
(M.P.) India. I certify that the candidate has put in an attendance of more than 240  
days with me.**

**To the best of my knowledge and belief the thesis :**

- (i) Embodies the work of the candidate himself/herself:**
- (ii) Has duly been completed :**
- (iii)Fulfills the requirement of the Ordinance relating to the Ph.D. degree of the  
University : and**
- (iv)Is upto the standard both in respect of contents and language for being referred  
to  
the examiner.**

**Signature of the Co-supervisor**

**Date : .....**

**Signature of the Supervisor**

**Date : .....**

**Appendix – 4**

**CONFIDENTIAL PROGRESS REPORT Para – ---)**

Six monthly progress report of the research work done for the period from ..... To ..... Of the research scholar.

1. Name of the research scholar
2. Subject
3. Topic registered for Ph.D. Degree
4. Name of the Supervisor.
5. Name of co-supervisor(if any)

---

Description of the guidance on the topic	Period with dates the Candidates has been with the guide for research work (It may also indicate the date of leave availed by the candidate during the above period.)
--	---

---

Remarks of the supervisor on the work done by the candidate on topic.

Fees paid vide receipt No. .... Date .....

Signature of the Supervisor

Date : .....

Place : .....

Address : .....

.....

.....

**Appendix – 5**

**REQUEST FOR PRE-Ph.D. PRESENTATION BASED ON  
DRAFT THESIS { Para ----}**

**The Registrar,  
RAJIV GANDHI PROUDYOGIKI VISHWAVIDYALAYA,  
BHOPAL**

**Subject :- Request for making Pre-Ph.D. presentation based on draft thesis.**

**Reference :- Ph.D. registration letter No. .... detail .....**

**Sir,**

**With reference to above, the details of my Ph.D. thesis are given bellow:-**

- 1. Name of the candidate**
- 2. Name of supervisor and Co-supervisors**
- 3. Subject**
- 4. Place of work**
- 5. Title of thesis**

**My draft thesis is complete and I want to make Pre-Ph.D. presentation.**

**Kindly arrange for the same.**

**Date : .....**

**(Signature of the candidate)**

**Place : .....**

**Name and Address .....**

**(Signature of the Supervisor)**

**Name and Address : .....**

**Appendix – 6**

**FORWARDING LETTER OF HEAD OF INSTITUTION {Para -----}**

The Ph.D. thesis entitled .....

Submitted by Shri/Smt./Ku. ....

Is forwarded to the University in three copies. The candidate has paid the necessary fees and there are no dues outstanding against him/her.

**Date :** .....

**Place :** .....

.....  
**(Signature of Head of institution  
where the candidate was registered for Ph.D.  
degree)**

**Name** .....

**Seal**.....

Appendix – 7

EXAMINERS REPORT ON Ph.D. THESIS (-----)

Title of thesis .....

Name of candidate Shri/Smt./Ku. ....

Subject : ..... Faculty .....

1.#	The thesis is recommended for the Award of Ph.D degree	Yes	No
2.##	The thesis be revised on the Lines Detailed below		
3.	The thesis be rejected		

(Please write Yes/No, as the case may be)

#Thesis requiring only minor revision/s should also be covered in this category and suitable remarks detailing minor revision/s required, is/are to be enumerated.

## Thesis requiring only major revision/s should be covered in this category and suitable remarks detailing the major revision/s required is/are to be enumerated

DETAILED REPORT

(The examiner is requested to attach detailed report in four copies, covering also the following points)

- (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.

Date : .....

Place : ..... (Signature of the Examiner)

Full name & Address

.....  
.....  
.....

**Appendix – 8**

**PROVISIONAL CERTIFICATE REGARDING AWARD OF  
Ph.D. DEGREE (Para -----)**

**RAJIV GANDHI TECHNICAL UNIVERSITY, BHOPAL**

**CERTIFICATE**

**This is to certify that vide notification no .....**  
**Dated ..... of this University, the Executive Council has decided that the**  
**degree of Ph.D. in ..... ( Subject) be awarded to .....**  
**.....**

**The title of Ph.D. thesis is .....**  
**.....**  
**.....**

**The Ph.D. degree has been awarded in compliance of the “University Grants  
Commission (minimum standards and procedure for award of M.Phil/Ph.D. degree)  
Regulation, 2009”**

**Registrar**

**Date : .....**