

# **RAJIV GANDHI PROUDYOGIKI VISHWA VIDYALAYA BHOPAL**

Established under act No. 13 of 1998

## **Ordinance No. 11**

(Under Section 40 (1))

### **Ordinance for Doctor of Philosophy**

(w.e.f. the year 2000-2001)

**(Amended up to Nov. 2007)**

1.0 A 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.

**OR**

A candidate who has at least 5 years experience of research/teaching with at least 3 papers published in standard research journals may be permitted to get registered for PH.D. degree, even if he does not possess 60% marks at Masters Degree.

**OR**

\*\* 1.1 In special circumstances a candidate having Bachelors of engineering Degree of a recognized University with at least 65% marks or equivalent in aggregate and possessing demonstrable research capabilities *by publishing at least two papers in Referred Journals with impact factor/value/International conference of repute and excellence in Industry and has got minimum 10 years of relevant experience on the post not below the scale of pay approved for the post of lecturer by AICTE. The relevant experience means the Candidates interested in carrying out research in the same field in which he has worked in the industry shall be eligible to seek enrollment for the Degree of Ph.D.*

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 qualification and experience;
- (ii) subject in which he proposes to work;
- (ii) the field or topic of Research work;
- (iii) name of the supervisor (along with the name of Co-Supervisors, if any) under whom he/she wishes to work and the place/places at which he/she wishes to carry on investigations together with the consent of the Supervisor and Co-supervisors, if any.

The application must also be accompanied with :

- a) Registration fee as prescribed by the University.
- b) A certificate from the head of the university Teaching department/School of Studies or the Principal of the College affiliate to the University or Head of a Research Institute recognized for the purpose by the University where the candidate proposes to carry out his Ph. D work testifying that adequate facilities exist and stating that the Head of the University Teaching Department/School of Studies or the Principal or the Head of the Research Institute will, in case the candidate is permitted, allow the candidate to work in his department or college or institution under the supervision of the person(s) mentioned in the application.

- c) Attested copies of the mark-sheet/grade-sheet of Master's degree examination, degree examination, eligibility and migration certificates wherever necessary, should be enclosed with the application. Application for registration may be submitted at any time during the academic year.
- d) A certificate from the Head of the institution where he/she wishes to prosecute this research work, that he/she has paid first installment of the Tuition fee and other fees as prescribed by the University.
- e) A certificate from the University Library that he has paid the prescribed Library fee along with caution money.  
Provided that the teachers of the University/College/Institution where the candidate is serving and teachers under AICTE/UGC schemes of teacher fellowship will not be required to pay the fees as in para 2(d) above.
- f) After payment of fees and on receipt of the application form along with the required documents, the candidate will be provisionally admitted.  
Provided that the application is found in order on being scrutinized by a Dean of faculty appointed by the Kulpati.

3.0 After six months of his application, the candidate shall be eligible to submit a synopsis (as per Appendix 1) of his proposed research work along with the title of thesis (in ten copies) duly forwarded by the supervisor and Head of the institution where the candidate is prosecuting his research work. He shall be required to make an oral presentation of the proposed work before the Research Degree Committee consisting of the following members :

- i) Kulpati or his nominee.
- ii) Dean of the faculty
- iii) Head of the University Teaching Department/school of studies/institution in the subject.
- iv) Chairman, Board of studies in 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 Chairman of the board of Studies concerned. The term of panel shall be coterminus with the term of Chairman Board of Studies.

External expert and any two other members shall form the quorum

- Note : (1) One supervisor shall remain present as Observer during the oral presentation of his candidate.
- (2) No T.A and D.A shall be payable to the candidate and the supervisor for attending the Research Degree Committee meeting.

4.0 The Meeting of the Research Degree Committee (RDC) shall be held in the University Office at least twice a year preferably in February and October. The committee shall 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 along with their specialization as per provisions of this ordinance for the appointment as Supervisor/Co-supervisor. This list shall be available with the Registrar.

The committee shall recommend suitability of the topic of research and the registration of the candidate for the Ph. D. degree. On approval by the RDC; the candidate shall be registered and enrolled

as a student from the date the Head of the Department of School of Studies/College/Institution forwarded the application or the date on which the candidate deposits the registration fee, whichever is later. He will also be required to pay regular tuition, library and laboratory fees as per rules and norms during his research tenure.

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

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

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. In such cases the candidate may also be permitted to work under one or two Co-supervisors, along with the supervisor.

6.0 A candidate shall pursue his/her research at the institution from where his/her application from has been forwarded under section 2(b) of the Ordinance.

Provided that a candidate permitted to work in a research establishment recognized by the University shall be required to take atleast one Co-supervisor along with the Supervisor; one of them should be the teacher of the university and the other a Teacher/Scientist/Director of the Institution where the candidate is actually working.

Provided also that a candidate may be permitted to carry out his practical work wholly or in part in a Research Institution/Research Laboratory of a University or recognized by the University for the purpose under the supervision of a Scientist/Director/Teacher of the Institution who may be the Co-supervisor of the candidate.

\*\* 7.0 (a) *The person recommended as Supervisor to guide the Research Scholar must be:*

\*\* (i) A Professor/Emeritus Professor of UGC or AICTE, Reader in *the* University Teaching Department/School of Studies or a college affiliated to the University possessing either Doctorate degree or has published five research papers in Standard Research Journals.

**OR**

(ii) A teacher of a university Teaching Department/School of studies/Colleges affiliated to the University who has obtained a doctorate degree in the subject and has published at-least ten Research papers in standard Research journals and has at-least five years teaching experience after Ph. D.

(iii) (a) A Scientist/Scholar/Director working in a research institute/Organization/ establishment/ laboratory recognized by the University as a research center, who has obtained a doctorate degree and published 10 research papers on concerned subject in standard research journals and has five years post-doctoral research experience.

(b) The person recommended as Co-supervisor to guide Research Scholar together with supervisor must be:

\*\* (i) A Professor/Emeritus Professor of UGC or AICTE, Reader in *the* University Teaching Department/School of Studies or a college affiliated to the University possessing either Doctorate degree or has published five research papers in Standard Research Journals.

\*\* (ii) A Teacher/Scientist/Director of any University Research Establishment/Emeritus Professor of UGC or Emeritus Fellow of AICTE who has obtained a Doctorate degree, and has published at least ten research papers in standard Research Journals with five years Post-Doctoral research experience.

- (c) A recognized supervisor who fails to publish any research paper over a duration of five years shall not be eligible to enroll any new candidate under his supervision, Provided that the persons who have been recognized as Supervisor/Co-supervisors shall be eligible to supervise even after their superannuation.

Provided also that the teacher who has been recognized as Supervisor/Co-supervisor under the repealed ordinance shall continue to be recognized as Supervisor/Co-supervisor, provided further that a person who is himself registered for Ph. D. degree of any University shall not be eligible to act as Supervisor/Co-supervisor or member of any committee mentioned in this Ordinance.

- 8.0 (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 and not later than four calendar years from the date of

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

Provided also that Kulpati may permit a candidate to get reregistered on the same topic on payment of the prescribed Re-registration fee as may be prescribed by the University. The minimum period of 24 months and attendance shall not apply to such reregistered candidate.

- (b) The candidate shall put in at least 200 days attendance in the institution concerned or with the Supervisor.

- 9.0 The candidate may be allowed by the Kulpati to change the Supervisor, on the recommendation of the committee constituted by the Kulpati for this purpose under Special circumstances. No major change in the topic of research shall be permitted due to change in supervisor.

- 10.0 The University shall obtain every six months a record of attendance, receipt of fees paid and a progress report of the work of the Research Scholar from his Supervisor as per Appendix – 2. If the progress of work is not found satisfactory in two successive reports or no reports are received for a period of one year or the candidate fails to deposit fees the Kulpati may order the removal of the name of the Scholar from the list of those registered for the Ph. D. degree.

- 11.0 (a) The candidate shall submit six copies of the summary of the thesis together with a list of research papers published/communicated for publication, if any, through his Supervisor to the Registrar about three months prior to the anticipated date of submission of thesis.
- (b) The supervisor shall submit a panel of at least eight names of examiners actively engaged in the concerned area of research not below the rank of Reader/Professor, in a sealed cover, to the Registrar.

Provided that the panel of examiners shall be obtained from the head, University Teaching Department/School of Studies/Institution, Chairman Board of Studies of the Subject concerned, in case the candidate is related\* to the Supervisor.

(c) On the receipt of the panel of Examiners from the Supervisor and summary from the candidate, the Registrar shall call a meeting of Examination Committee of the subject constituted under the Adhinyam. The committee considering the panel submitted by the Supervisor/Head, University Teaching Department/School of Studies/Institution, Chairman Board of Studies, Prepare a panel of six names to act as examiners.

(d) The Kulpati shall appoint out of the panels submitted separately by the Supervisor and Examination Committee two examiners as per provisions of the Adhinyam. The consent of examiners shall be obtained by sending them the summary and list of publications, if any.

**Note:** Supervisor/Head of the Department/Chairman Board of Studies as well as Examination Committee can recommend the name(s) of foreign examiners. In case appointment of foreign examiner(s) by the Kulpati and the candidate wishes the thesis to be sent by AIR MAIL he/she shall have to bear the charges of AIR MAIL.

12.0 The candidate shall supply three type written photocopies hardbound of his thesis along with the following:

(a) The candidate shall try as far as possible to publish/communicate paper(s) for publication in standard Research Journals. A copy each of published/communicated paper(s) be appended.

(b) The thesis must be accompanied by a declaration from the candidate that the thesis embodies his own work and he/she has worked under the Supervisor at the approved place or worked for the required period as per provisions of para 8 of the Ordinance. (Appendix – 3)

(c) The certificate from the Supervisor together with Co-supervisors, if any, that the thesis fulfills the requirements of the Ordinance relating to the Ph. D. degree of the University. (Appendix - 4)

(d) The candidate shall also remit with the thesis fees as decided by the University as the examination fee.

13.0 On receipt of the thesis along with the certificates and fee it shall be sent to the examiners already consented as per para 11 of the Ordinance.

14.0 The thesis to be accepted for the award for the Ph. D. degree must comply with following conditions:

(a) It must be a piece of research work characterized either by the discovery of the facts or by a fresh approach towards the interpretation of facts. In either case it should evinces the capacity of the candidate for critical examination and sound judgment.

(b) It must be satisfactory in point of language and presentation of the subject matter.

15.0 The examiners shall categorically recommend in the prescribed proforma (Appendix- 5) acceptance, revision or rejection of the thesis together with detailed comments on the points spelled out in clause 14 of the Ordinance. The examiner must also give a list of the questions he wishes to be asked at the viva-voce examination.

16.0 (a) The examiners may seek clarification of the subject matter of the thesis from the Supervisor. The provision will be incorporated in the letter to be sent to the examiners while sending the thesis.

(b) The Kulpati can recall the thesis from an examiner who fails to send the report within three months of the date of despatch of the thesis and appoint another examiner.

- 17.0 (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 examiner recommend for the revision of the thesis, the candidate shall be called upon to revise the thesis approves 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 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 accepts the thesis for the award of the Ph. D. degree or in the event of it being referred to the third examiner, the third examiner accepts the thesis for the award of the Ph. D. degree, The candidate shall be called upon to appear at the viva-voce examination before a board of examiners comprising of the Supervisor, co-supervisor (if any) and one of two examiners (selected by the Kulpati) who have accepted the thesis for the award of the Ph. D. degree. Provided that 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 in case the candidate is related to the Supervisor.
- (e) The Supervisor/Head University Teaching Department/School of Studies/Institution, 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, and the date fixed for the viva-voce 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 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/School of Studies/Institution in the subject 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. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected.

Such candidates would be required to pay an additional fee of Rs. 2000.00 for second viva-voce examination. The external examiner for second viva-voce examination shall be appointed by the Kulpati.

18.0 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 order to the candidate. The candidate shall be provided examiner(s) reports without disclosing the names of the examiners to the candidate.

In case the candidate is allowed to resubmit the thesis he/she will have to pay a fee of Rs. 1000.00 fresh at the time of resubmission, but it shall not be necessary for him to reproduce any Certificate of further attendance at the institution at which he/she carried out the work.

The resubmitted three copies of the thesis must make clear mention that it is a revised version.

The thesis shall be got examined as far as possible, by the examiners who have recommended the revision.

In case a candidate is asked to revise under clause 17(b) and one of the examiners recommends again for revision and the other accepts the thesis for award then the thesis shall be sent to be third examiner. If the third examiner rejects or recommends for revision the thesis shall stand rejected. In case he accepts for award of Ph. D. then the candidate shall be awarded the Ph. D. degree on successful viva- voce examination as per provision of clause 17 of the Ordinance.

In case a candidate asked to revise the thesis again by the third examiner as per provision laid down under para 17© above the thesis shall stand rejected.

Second time revision is not permitted in any case and if so, the thesis shall automatically stand rejected.

\* 19.0 *Maximum number of research candidates that can be registered and allowed to persue research work under a supervisor at any particular time shall be six only.*

*Provided that the candidates registered with the co-supervisor shall not exceed five candidates.*

20.0 No research scholar shall join any other course of study or appear at any other examination conducted by any University leading to a degree.

21.0 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 a thesis approved for the award of Ph. D. degree of the University.

22.0 After the viva-voce, the recommendation of the examiners shall be reported to the Executive Council for the award of Ph. D. degree to the candidate. One copy of the thesis will be kept in the University Library and another copy will be kept in the Departmental Library of the Institution where the research work was carried out; the third will be returned to the supervisor.

23.0 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 Rs.200/-. The reports will not disclose the identity of the examiners.

24.0 The candidates who have been already registered for Ph. D. degree under the repealed/previous Ordinance shall continue to govern by the provision of repealed/previous Ordinance.

The candidates who have applied for registration but have not been registered till this Ordinance comes into force shall be governed by the provisions of this Ordinance.

25.0 On detection of any irregularity, the University shall take suitable steps to withdraw the degree as per the provisions of the Adhinyam.

26.0 In all cases Vice Chancellor shall have powers to condone the time limit up to six months for valid reasons to be recorded therein.

- \* *Approval accorded on single file system on dated 06.09.2004 by Hon'ble Chancellor's office.*
- \*\* *Approval accorded on single file system on dated 05.11.2007 by Hon'ble Chancellor's office.*