

ORDINANCE GOVERNING

Ph.D. & M.Phil. Program

2020



**SWAMI VIVEKANAND SUBHARTI UNIVERSITY
MEERUT, UTTAR PRADESH**

Ordinance No. V (30A)

Ordinance Relating to the Doctor of Philosophy (Ph.D.) & Master of Philosophy (M.Phil.) Programs

Chapter-1: General

1. This ordinance may be called the “Ordinance relating to the Doctor of Philosophy (Ph.D.) & Master of Philosophy (M.Phil.) Programs. (as per revised guidelines of UGC - 2016)
2. It shall come into force from Academic Session 2020-21
3. This supersedes the previous Ordinances related to the Doctor Of Philosophy (Ph.D.) program [Ordinance No. V (30A)] & Master of Philosophy (M.Phil.) program [Ordinance No. V (44A)].

Chapter-2: Eligibility

4. (i) An applicant for registration in the Ph. D program should have either an M. Phil. degree or a postgraduate Master’s degree with minimum 55% marks or an equivalent grade point in the relevant subject from a recognized University.
(ii) An applicant who has completed post-graduation in any subject with minimum 55% marks and possesses 10 years professional experience in relevant field shall be eligible to apply for Entrance test and pursue Doctorate Program in Fine Arts or Journalism & Mass Communication.
(iii) Candidates for admission to the M.Phil. program shall have a Master's degree or a professional degree declared equivalent to the Master’s degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade.
(iv) There shall be relaxation of 5% marks for SC/ST/OBC(non-Creamy layers)/Differently-Abled categories candidates based only on the qualifying marks without including the grace mark procedures.
(iii) M.Phil. student of SVSU whose M.Phil. Dissertation has been evaluated and the Viva-voce is pending may be admitted to the Ph.D. program.
5. (i) An applicant having a post graduate degree in an allied subject may also apply, but the eligibility of such an applicant shall be determined by the Research Degree Committee (RDC) on the recommendation of the Departmental Research Committee (DRC).The decision of the RDC in this regard shall be final.
(ii) A candidate, possessing a foreign post graduate degree shall be eligible for registration under Ph D program, subject to fulfillment of ‘Equivalence Criteria’ as laid down by the Association of Indian Universities and or UGC.

Chapter-3: Procedure for Admission

6. (a) The admission will be done on the basis of Entrance Test conducted by University or on behalf of the University. The number of seats for Ph.D. / M.Phil. shall be decided well in advance and notified in the University website and advertised in the newspapers. Entrance Test will carry maximum 100 marks with qualifying marks as 50. There shall be relaxation of 5% marks for SC/ST/OBC (non-Creamy layers)/Differently-Abled categories candidates in the qualifying marks as above.
 - (b) The candidates who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF) /SLET/GATE/teacher fellowship holder or have passed M.Phil. program may be exempted from the Entrance Test.
 - (c) Qualified candidates in Entrance Test or otherwise will have to face the Personal Interview. Candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC) at the time of the Interview.
7. The application for the Entrance Test for M.Phil./Ph.D. program shall be submitted in the prescribed form along with the prescribed application fee.
 - a) Qualifying the Ph.D. Entrance Test will not entitle the student for admissions till all formalities have been completed.
 - b) If the advertised numbers of seats are not filled by the Entrance Test and more than 15% of total seats of M.Phil./Ph.D. in any Department/subject remain vacant or not filled due to any reason, the Entrance Test admission procedure laid down above may be followed again.
8. (i) The interview shall also consider the following aspects, viz. whether:
 - The candidate possesses the competence for the proposed research;
 - The research work can be suitably undertaken at the Institution/College;
 - The proposed area of research can contribute to new/additional knowledge.
 - (ii) If an applicant is found eligible and is successful in the Interview, after submission of prescribed fee the selected student can join the course work classes and his/her application shall be forwarded to the Departmental Research Committee (DRC) for consideration with the research proposal. If the proposal is found acceptable. The candidate shall prepare synopsis on the topic for submission to DRC with consultation of the teachers who may guide him/her.
 - (iii) The DRC will evaluate the proposed synopsis and allocate a supervisor for M.Phil./Ph.D. student and if considered necessary in case of inter-disciplinary topics, a co-supervisor will also be provided from other department of SVSU.

For Ph.D. program- The synopsis together with the appointment of the Supervisor/Co- supervisor will be recommended and submitted to the Research Degree Committee (RDC) for approval.
 - (iv) If the RDC is satisfied with the synopsis and the topic of research it will allow the student to be registered as Ph.D. scholar. After the approval of RDC the Supervisor will act as the Convener of

Research Advisory Committee for the scholar.

- (v) All communication will be done by the Supervisor with the consent of HOD under intimation to the Head of the Institution.
- (vi) A candidate possessing post graduate qualification from a foreign country shall not be required to appear in the Entrance Examination. But he shall have to appear for interview before the DRC, in addition, he will be required to fulfill all other criteria as laid down for registration in S.V. Subharti University and UGC.

RESEARCH COMMITTEES

Subject to the general superintendence of the Academic Council, the following Committees shall deal with all matters connected with the Ph.D. program of the University in accordance with these ordinances:

- a) The Research Degree Committee (**RDC**)
- b) The Departmental Research Committee (**DRC**)
- c) The Research Advisory Committee (**RAC**)

(i) **RDC** shall be constituted as follows:

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|---|----------|
| a) Vice Chancellor | Chairman |
| b) Pro Vice-Chancellor | Member |
| c) Subject Expert nominated by V.C. | Member |
| d) Dean / HOI of the Faculty concerned | Member |
| e) Head of the Department concerned | Member |
| f) Supervisor and Co-Supervisor (if any) of the applicant | Member |
| g) Registrar Secretary | |

(ii) The composition of the **DRC** shall be as follows:

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| a) Head of the Department | Chairman |
| b) All Professors of the Department | Member |
| c) One Associate Prof. of the Department | Member |
| d) One Assistant Prof. of the Department | Member |

If the number of teachers in the relevant Department does not exceed three, the DRC shall consist of the following:

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| a) Head of the Department | Chairman |
| b) All teachers of the Department | Member |
| c) A senior teacher of a sister department nominated as a Member by the Vice-Chancellor. | |

(iii) The **Research Advisory Committee** shall consist of the following:

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|---|----------|
| (i) Supervisor of the concerned Ph. D. Scholar | Convener |
| (ii) Co-supervisor (if any) of the concerned Ph. D. Scholar | Member |
| (iii) A nominee of the Chairman of DRC/HOD | Member |
| (iv) A nominee of the Dean of concerned Faculty | Member |

Chapter-4

Supervisor and Co-Supervisor

9. The allocation of the supervisor for a selected student shall be decided by the DRC in a formal manner depending on the number of student per faculty member, the available specialization among the faculty supervisors, and the research interest of the student as indicated during interview by the student. The allotment/allocation of supervisor shall not be left to the individual student or teacher. The following points may be kept into mind while appointment of a supervisor or co-supervisor: -
- (i) Every candidate, admitted to the M.Phil. / Ph.D. Program shall be assigned to a Research Supervisor approved by the RDC. The RDC may, if necessary, approved an appointment of a Co-supervisor also.
 - (ii) Any regular Professor of the University with at least five research publications in indexed journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in indexed journals may be appointed as Research Supervisor. However, first author of an article shall have the value of one (01) credit for publication and second author shall have only half (0.5) credit value. No other author shall get credit for that publication.
 - (iii) Only a full-time regular teacher of the concerned University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter disciplinary areas from other departments of the same institute or from other related institutions with the approval of the DRC.
 - (iv) Emeritus Professors/Scientists/Fellows appointed by the University shall be eligible to guide Ph.D. scholars, provided their appointment in the University is for a period of not less than three years and they fulfill all the other formalities to be a supervisor. They may be allotted seats as per 10 (a) and (b).
 - (v) A faculty member who is due to retire within the next three years can take fresh candidate under him provided the DRC is convinced of his/her availability for continued guidance of the candidate.
 - (vi) A teacher, who has retired/resigned from the University service, may continue to be the supervisor, if the research scholar as fulfilled the minimum attendance period requirement and course work.
 - (vii) A Supervisor for the Ph.D. degree in Medical and Dentistry subjects shall have not less than fifteen year's teaching and research experience after obtaining his postgraduate qualification and shall also have minimum ten years or more postgraduate teaching experience as a faculty member.
 - (viii) Notwithstanding clause 9 (ii), a regular faculty member, who does not possess a Ph.D. degree, may be allowed to become a supervisor/co-supervisor on the recommendation of the RDC, subject to the approval by the Vice-Chancellor, any full-time regular teacher with keen interest and proven track of publishing his/her research work with minimum 5 publications as first author/corresponding author in National or International Journals and who has minimum 08 years of approved teaching experience as Assistant Professor or above, after completion of his/her Post Graduate degree in the concerned subject or allied subject, is eligible to become Ph.

D. Supervisor for M.Sc. courses of the same subject and paramedical courses, for Faculty of Medical Sciences.

Whereas for the Faculty of Dental Sciences, any full-time regular teacher with keen interest and proven track of publishing his/her research work with minimum 5 publications as first author/corresponding author in National or International Journals and who has minimum 09 years of approved teaching experience as Assistant Professor or above, after completion of his/her Post Graduate degree in the concerned subject or allied subject, is eligible to become Ph. D. Supervisor.

- (ix) The concerned Unit heads will certify and send the complete details of teachers who are eligible to become Supervisor on joining the institution or otherwise to the Vice-Chancellor for his approval.
- (x) Every time when a supervisor is selected for a candidate by DRC, the proposed supervisor will declare in writing the total number of Ph.D. scholar registered and are active under him/ her of the S.V. Subharti University or any other University (if any).
- (xi) In case of relocation of an M.Phil./Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done

10. **Quota of Scholars:-**

a) For M.Phil. program:- The maximum number of M.Phil. scholars, who can be supervised by a faculty member at any time, shall be as follows:-

By a Professor	-	3
by an Associate Professor	-	2
by an Assistant Professor	-	1

b) For Ph.D. program:- The maximum number of Ph.D. scholars, who can be supervised by a faculty member at any time, shall be as follows:-

By a Professor	-	8
by an Associate Professor	-	6
by an Assistant Professor	-	4

For this purpose a candidate whose viva-voce exam is not over, will be still counted as registered scholar.

The Academic Council may allow supernumerary Ph.D. seats not exceeding 10% of the total seats available in the department, if there is no vacant seat available with the eligible Supervisors in that department, to the in-service teachers for encouraging the faculty members of colleges and universities for doing Ph.D.

c) In case of a dispute between a candidate and his/ her Supervisor :- the Committee consisting of the following shall examine the matter and report to the Vice- Chancellor, whose decision shall be final:-

- i] Dean of the concerned faculty-Convener
- ii] Nominee of the Vice - Chancellor
- iii] Head of Department

(If the complaint is against the Head / the Dean, he / she shall not participate in the proceedings of the meeting. In that case, additional member/s may be appointed by the Vice - Chancellor.) The report shall include, among other things, specific recommendations.

11. **Appointment of a New Supervisor**

- (i) A supervisor, who proceeds on leave for a period of more than 12 months, or proceeds on leave for a period of less than 12 months but later extends it beyond 12 months, shall cease to be the supervisor, provided that if the scholar submits the abstract of the thesis or the thesis before the supervisor proceeds on leave, the existing supervisor shall continue to be the supervisor.
- (ii) If the supervisor dies or his service is terminated/retires/resigns (leaves the job), he/she shall cease to be the supervisor unless permitted by the Vice Chancellor.
- (iii) In all the cases, where the existing supervisor ceases to be the supervisor, the DRC shall appoint the co-supervisor (if any), as the supervisor of the candidate, provided the co-supervisor is from the same discipline. If there is no co- supervisor or the co-supervisor is from a different discipline, the DRC shall appoint a new supervisor.
- (iv) However, if any teacher leaves/resigns the job of this University at any stage during the period of a student doing his/her Ph.D. under his/her Guidance then the students will be allotted a new Supervisor or Co-Supervisor as Supervisor on the request of scholar to Vice Chancellor to complete his/her Ph.D. work.

Chapter-5 Course Work

12. **Course Work:-**

- a) A student, admitted for the M.Phil. / Ph.D. program shall be required to do the Course work prescribed by the department during the initial one or two semesters. The course work shall be treated as prerequisite for M.Phil. / Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology and two credits for the research publication & ethics course during M.Phil. / *PhD course* work which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.
- b) The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the DRC, of the research scholar.
- c) The credit assigned to the M.Phil./Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.

- d) A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the program and submit the dissertation/thesis.
- e) Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the COE and the DRC and the final grades shall be communicated to the Department and student.
- f) Candidates already holding M. Phil. degree and admitted to the Ph.D. program, or those who have already completed the course work in M.Phil. program, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. program shall be required to complete the Ph.D. coursework prescribed by the Department.

Chapter-6

Submission of Dissertation/Thesis

- 13. (i) M.Phil. program shall be for a minimum duration of three (3) consecutive semesters / one & half year and a maximum of four (4) consecutive semesters / two years. The overall minimum credit requirement (including credit for the course work) for the award of M.Phil. degree shall not be less than 24 credits.
- (ii) Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years.
- (iii) All the scholars are required to submit a Dissertation/thesis after completion of his/her research work. This can be done after the expiry of the minimum period required for the M.Phil./Ph.D. program from the date of registration.
- (iv) An extension of one year for M.Phil. and two years for Ph.D. program may be granted by the Vice-Chancellor on the recommendation of the supervisor in special circumstances on cogent reasons.
- (v) If a scholar fails to submit the dissertation/thesis within the stipulated period or within the extended period, if allowed, the registration will stand automatically cancelled.
- (vi) The women candidate and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil./Ph.D. for up to 240 days.
- 14. (i) A research scholar shall appear before the RRC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to the University with a copy to the research scholar (**Annexure -7**).
- (ii) In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the University with specific reasons for cancellation of the registration of the research scholar.
- 15. If found necessary, part of research work may be carried out by doctoral candidates in sister departments/institutes either within or outside the University for which due credit/attendance will be given to them.
- 16. Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the RAC of the Institution concerned which shall also be open to all 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 the RAC. A proper notice will be circulated well in advance to all concerned for the same with the permission of HOD.
- 17. The scholar is required to submit the thesis within six months from the date of his/her pre-submission seminar, failing which he/she shall be required to make a fresh presentation of a pre-submission seminar along with the thesis.
- 18. A written certificate is to be submitted with the thesis from the Supervisor, and Co- Supervisor if any,

- testifying that the thesis is the original work of the scholar, conducted under his/her supervision.
19. The scholar shall submit the thesis in three hard copies and one soft copy (in C.D) (two copies for the COE office & one for the Central Library) to the University for evaluation as per format given in **Annexure -1**.
- Three hard copies and one soft copy (in a C.D.) of the abstract of the thesis describing the salient features of the scholar's investigation.
 - A declaration by the scholar as per the format given in **Annexure-2**
 - Pre-submission seminar completion certificate as per the format given in **Annexure-3**
 - A copyright transfer certificate as per the format given in **Annexure-4**.
 - Anti-Plagiarism report (in hard and soft copy) verified by the Supervisor & Co- supervisor (if any).
 - Plagiarism Certificates **Annexure - 8 to Annexure -11**.
20. M.Phil. scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least one (1) research paper in indexed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
21. No part of the thesis can be or should have been submitted copied from diploma or thesis of other University submitted by him.
22. A thesis once submitted cannot be re-submitted, unless the examiner recommends revision of the thesis

Chapter-7

Examination of Thesis

23. (i) All copies of thesis (with digital copy) shall be forwarded to the Registrar by Supervisor with a certificate of pre-submission seminar conducted in the department with attendance sheet in original with the recommendation of the Head of the department. The thesis must be accompanied with the plagiarism certificate as per the latest UGC regulation in this regard.
- (ii) In case of a research scholar who has done any part of his work in another institution, the panel of examiners shall not include any person working in that institution.
24. **Board of Examiners:-**
- The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in the employment of the University, of whom one examiner may be from outside the country.
 - The M.Phil. Dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the Institution/College.
 - Hon'ble Vice Chancellor will approve the name of External Examiner(s) from the panel of examiners and name(s) will be sent to Controller of Examination for information and necessary action.
25. The Controller of Examinations shall send a copy of the abstract of thesis to the examiners for securing acceptance for the examiner-ship. If no confirmation is received from the examiner within one month, his/her appointment shall be cancelled and a new examiner shall be appointed from the existing panel of examiners.
26. **Thesis Evaluation:-**
- On receipt of the acceptance from the Examiner, the Controller of Examinations shall forward the

digital copy of the dissertation/thesis to him/her and take necessary action.

- (ii) In case, if examiner wants the hard copy of thesis, the Controller of Examinations shall provide the same to the Examiner
- (iii) The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.
- (iv) In case, an examiner does not send his/her report within the specified period, a reminder shall be sent to him/her. This shall be followed by a second reminder after a fortnight.
- (v) If the report is not received from the Examiners even after fifteen days of receiving reminders, his/her examiner-ship shall be cancelled and the thesis will be recalled. Thereafter a new examiner shall be appointed from the existing panel of examiners.
- (vi) The examiners shall examine the thesis specifically with a view to judge whether the thesis is a piece of research work characterized by:-
 - a) Discovery of new facts, or
 - b) A fresh approach towards interpretation of facts or theories, or
 - c) A distinct advancement in the subject.
- (vii) The examiner shall be required to give his/her opinion about the scholar's ability to examine issues critically and thereby arriving at a sound judgment.

27. **Report of Examiners:-**

- (i) The examiners shall submit the report in the prescribed format as given in **Annexure-5** making one of the following recommendations:-
 - a. The Thesis is accepted for the Viva-voce.
- OR**
- b. The Thesis is rejected in the form it is submitted.
 - (ii) The copy of the Dissertation/thesis shall be returned by the examiners along with the report to expedite the remuneration in time.

For Ph.D. Program:-

- (iii) If both External Examiners recommend acceptance of the thesis for award of Ph.D. degree, the thesis shall be accepted.
- (iv) If both External Examiners recommend rejection of the thesis, it shall be rejected.
- (v) If the examiners rise some queries/seek clarification, the scholar shall be required to give satisfactory answers to the queries at the time of Viva- Voce.
- (vi) If one of the evaluation reports of the External Examiner is unsatisfactory and does not recommend *viva-voce*, the Institution shall send the thesis to another External Examiner out of the approved panel of examiners. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

For M.Phil. Program:-

- (vii) If External Examiner recommend acceptance of the Dissertation for award of M.Phil. degree, the Dissertation shall be accepted.
- (viii) If the examiner rises some queries/seek clarification, the scholar shall be required to give satisfactory answers to the queries at the time of Viva- Voce.
- (ix) If the evaluation report of the External Examiner is unsatisfactory and does not recommend *viva-voce*, the Institution shall send the dissertation to another External Examiner out of the

approved panel of examiners. If the report of the latest examiner is also unsatisfactory, the dissertation shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

- (x) In case of an ambiguous recommendation by any examiner, the Controller of Examinations shall approach the examiner concerned for a clear recommendation. If a clear recommendation is not received, the matter shall be submitted to the Vice-Chancellor for decision.
- (xi) The Controller of Examinations shall intimate the recommendations of the examiners to the Supervisor and the co-supervisor (if any) for information and necessary action, if any.
- (xii) Notwithstanding the provisions of this clause, the Vice Chancellor may make appropriate modifications in the evaluation process in a deserving case with a view to protect a work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the scholar, the Supervisor and the University.

Chapter-8

Viva-Voce

- 28 (i) The Vice-Chancellor shall appoint the Board of Examiners in which there will be one External Examiner from the panel of Examiners who has already evaluated the thesis and second examiner will be the Supervisor of candidate who will act as Internal Examiner for conducting the Viva-Voce Examination.
- (ii) The Supervisor shall fix the date for the Viva-Voce with the consent of External Examiner and HOD. The Viva Voce should normally be conducted maximum within one month of the acceptance of the dissertation/thesis.
- (iii) The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination,
- (iv) The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Departmental Research Committee (DRC), all faculty members of the Department, other research scholars and other interested experts/researchers.
- (v) There shall be an open Viva-Voce examination. The candidate shall give a summary of the thesis and the work done before an audience consisting of the above Board of Viva-Voce Examiners duly appointed by the Vice-Chancellor. The faculty members and other persons present during the Viva-Voce will not be allowed to express their opinion about the capability of the candidate.
- (vi) The Board of Viva-voce Examiners shall submit the report of the Open Viva- Voce Examination (**Annexure-6**) immediately after the examination in a sealed cover to the Registrar along with a certificate from the Head of the Department that a circular/notice was issued well in advance for inviting all concerned to attend it on fixed date and time as specified in letter.
- (vii) The Viva-voce Examiners shall submit a comprehensive report on the performance of the candidate during Viva-Voce examination and shall make one of the following recommendations:-
- a) That the degree of M.Phil. / Ph.D. be awarded
 - b) That the candidate be re-examined after correction in a second Viva-Voce
- (viii) If the Examiners recommend a change/improvement or required information the second Viva-Voce shall be conducted normally after a period of one month but within six months from the date of the first Viva-Voce.

Chapter-9

Award of Degree

29. In case the Board of Examiners recommends that M.Phil. degree be awarded, the reports of the Viva Voce shall be placed before the Vice-Chancellor for the approval
30. (i) In case the Board of Examiners recommends that Ph.D. degree be awarded, the reports of the Viva Voce shall be placed before the Vice-Chancellor for the approval of Academic Council. The Academic Council may approve the award of the Ph.D. degree.
- (ii) After the approval by the Academic Council, a provisional degree shall be issued to the scholar by the Controller of Examinations on getting an application from the scholar in the prescribed form and on payment of the prescribed fee and no dues certificate.
31. The year of award of the M.Phil./Ph.D. degree shall be the same as the year of Viva-voce examination

on the basis of which the M.Phil./Ph.D. degree has been awarded.

32. The Ph.D. degree shall mention the title of the thesis, the Faculty of research and the Department in which the candidate was admitted for the Ph.D. program.
33. After a thesis is approved for award of Ph. D. degree, it can be permitted to be published. In case the scholar is permitted to get the thesis published in full or in part, he/she will have to state on the title page that the publication was based on the thesis which was approved for award of Ph. D. degree by Swami Vivekanand Subharti University.

Chapter-10 **Miscellaneous**

34. Ph.D. PROGRAMME

The Ph.D. program shall be conducted in the regular mode only and not through distance learning. It can be Residential and Non-residential. All eligible candidates who fulfill the eligibility criteria can join Ph.D. program as Residential and Non-residential scholars.

A. Residential Ph.D. Program

Candidates under this category shall be appointed as Junior Research Fellow / Senior Research Fellow. They shall conduct research in **Subharti Central Research & Incubation Center** and/ or research laboratories of Departments of Subharti University. The JRF and SRF shall be paid Fellowship allowance by S.V. Subharti University if not by other outside funding agency.

B. Non-residential Ph.D. Program

The regular faculty of Subharti University and outside candidates, registered for Ph D program in Subharti University, shall fall within this category of Non-residential Ph D Program. These candidates shall be required to fulfill all eligibility criteria and qualify the Entrance Examination, interview and also other norms as laid down by the UGC from time to time, as well as the requirement of RAC.

35. The admission to Ph. D. program **may be cancelled by the Vice Chancellor on the recommendation of Research Advisory Committee (RAC)** on following conditions:

- a) If the residential scholar remains absent for a continuous period of four weeks without prior information/sanction of leave in case where the scholar is on the roll of the university as research scholar **may or may not be** getting any stipend/fellowship for the same. **He/ She will have to refund any stipend he /she may have got in such a case of the unattended period.**
- b) If two consecutive progress reports of the scholar are found unsatisfactory
- c) If the scholar fails to submit the thesis within the maximum stipulated time as provided in this Ordinance and do not apply for extension as per rule. The supervisor is not satisfied with his work.
- d) If the scholar wishes to withdraw from the Ph. D. program and his/her request to that effect is duly recommended by the RAC be sent to the Vice Chancellor for his approval.
- e) If the scholar is found involved in an act of misconduct and/or indiscipline and the cancellation of his/her admission is recommended by the competent authority
- f) **If it is found that the research scholar is taking a double scholarship i.e, from outside agency as well as SVSU.**

36. (i) A scholar admitted to the Ph.D. program may be permitted, to withdraw temporarily from the program for any one of the following reasons:
- a) On medical grounds due to prolonged illness, as evidenced by a medical certificate issued by the attending doctor and approved by the Medical Board of C.S. Subharti Hospital.
 - b) Due to the death of the parents/guardians/spouse/child of the scholar.

- (ii) During the period of temporary withdrawal, the candidate will have to clear the annual dues however for the period of absence no extension fee will be charged.
- (iii) The period of temporary withdrawal shall be excluded while calculating the maximum period allowed for the Ph. D. Program.

37. If any doubt or dispute arises in respect of any of the provisions of this Ordinance, the matter shall be referred to the Vice-Chancellor, whose decision in this regard shall be final.
38. If at any time after the award of the Ph.D. degree, any irregularity or flaw is detected in the award of the degree, or the scholar is suspected of a misconduct so as to render him/her unworthy of holding the awarded degree, the Vice Chancellor shall constitute a Committee which will inquire into the matter and submit its findings after giving adequate opportunity to all concerned to have their say. The Vice Chancellor shall consider the report and pass an appropriate reasoned order thereon. If any irregularity or flaw is established beyond doubt in the award of the degree or the scholar is found guilty of any misconduct, the Vice Chancellor may order for withdrawal of the degree and/or for taking any other action as may deem appropriate. The scholar can prefer an appeal to the Hon'ble Chancellor against the order of the Vice Chancellor within a month of issue of the order. The decision of the Hon'ble Chancellor in the matter shall be final.

Chapter-11

Power to Modify

39. In the event of any emergent situation, if some deviation is considered necessary, the Vice-Chancellor is authorised to modify the ordinance. Subject to subsequent ratification by the Executive Council

Chapter-12

DEPOSITORY with INFLIBNET

40. Following the successful completion of the evaluation process, the list of successful candidates, who are to be awarded the degree, shall be submitted to the Uttar-Pradesh Higher Education Council for its approval minimum 30 days before the Convocation. Thereafter, Subharti University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
41. Prior to the actual award of the degree, Subharti University, on request of the candidate, may issue a provisional certificate to the effect that the candidate has successfully completed the Program in accordance with the provisions of UGC Regulations, 2016.

Annexure-1
(See Clause 19)

FORMAT OF THE Ph.D. THESIS

1. The following format may be adopted while writing the thesis / dissertation:
 - i. Cover Page (pattern enclosed as annexure-)
 - ii. Inner cover page (same description as on cover page)
 - iii. Undertaking from the candidate
 - iv. Self-declaration certificate from the candidate and certificate from the Supervisor/Co-Supervisor/Head of the Department(**Annexure-2**)
 - v. Certificate for the completion of course work and successful completion of the pre-submission seminar(**Annexure-3**)
 - vi. A copyright transfer certificate(**Annexure-4**)
 - vii. Acknowledgements
 - viii. Table of Contents
 - ix. List of symbols, figures, tables, annexures etc.
 - x. Introduction
 - xi. Review of Literature
 - xii. Aims & Objective
 - xiii. Hypothesis
 - xiv. Research Methods
 - xv. Material & Methods
 - xvi. Observations
 - xvii. Discussion
 - xviii. Conclusion
 - xix. Recommendations
 - xx. References / Bibliography
 - xxi. Annexures
 - a. List of papers communicated/accepted/published/presented.
 - b. Copies of acceptance letter in case papers are accepted for publication.
 - c. Copies of manuscripts/reprints of the papers accepted/published.
 - d. Questionnaire, etc (if any used)
 - xxii. A personal profile not exceeding one page with photograph of the candidate.
2. Plagiarism report should be submitted in both hard & soft copy duly endorsed by the Supervisor with **Annexures – 8, 9, 10 & 11.**

Annexure-2
(See Clause 19)

CANDIDATE'S DECLARATION

I..... certify that the work embodied in this Ph.D. thesis is my own bonafide work carried out by me under the supervision of.....and co-supervision of..... for a period of.....years.....monthsfrom.....to.....at Swami Vivekanand Subharti University. The matter embodied in this Ph.D. thesis has not been submitted for the award of any other degree/diploma.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their work has been cited in the text and the body of the thesis. I further certify that I have not willfully lifted some other's work, para, text, data, results, etc. reported in the journals, books, magazine reports, dissertations, thesis etc, or available at websites and included them in this Ph.D. thesis and cited them as my own work.

Date.....

(Signature of the Scholar)

Place.....

Name of the Scholar

Certificate from the Supervisor/Co-Supervisor

This is to certify that the above statement made by the research scholar is correct to the best of my/our knowledge.

Signature of Co-Supervisor
(Name & Designation)

Signature of Supervisor
(Name & Designation)

Annexure-3
(See Clause 19)

PRE-SUBMISSION SEMINAR COMPLETION CERTIFICATE

This is to certify that Mr. / Ms.

Is a bonafide research scholar of this department/college, has successfully completed the course work & pre-submission seminar requirement as a part of his/her M.Phil./Ph.D. program.

Signature of the Dean/Head of Department

(Name & Designation)

Signature of Supervisor

(Name & Designation)

Date.....

Place.....

Annexure-4
(See Clause 19)

COPYRIGHT TRANSFER CERTIFICATE

Title of the thesis:-

Scholar's Name:-

Copyright Transfer

The undersigned hereby assigns to the Swami Vivekanand Subharti University all the rights that may exist in and for the above thesis submitted for the award of Ph.D. degree.

Signature of the Scholar

Date:-

(Name)

Note: The author may reproduce or authorize others to reproduce material extracted verbatim from the thesis or derivative of the thesis for author's personal use, provided that the source and the University's copyright notice are indicated.

Annexure-5
(See Clause 27)

EXAMINER’S EVALUATION REPORT OF THESIS / DISSERTATION

Name of the Candidate:-

Department:-

Title of the thesis / dissertation:-

Name of the Examiner:-

Please give your specific recommendation by ticking any one of the following, with signature underneath and enclose your detailed report on separate sheet(s) with your signature, name and address:

1) The Thesis /Dissertation is accepted for the Viva-voce.

OR

2) The Thesis / Dissertation is rejected in the form it is submitted.

.....
Signature of the Examiner

Name and Address of the Examiner

Place:.....

Date:.....

.....

.....

.....

Enclosures -

- (a) Detailed report on separate sheet(s)
- (b) List of points for clarification
- (c) Copy of the Thesis / Dissertation

Annexure-6
[See Clause 28 (vi)]

SWAMI VIVEKANAND SUBHARTI UNIVERSITY, MEERUT

REPORT OF THE VIVA-VOCE EXAMINATION ON THE DISSERTATION / THESIS

1. Name of the Candidate.....
2. Department.....
3. Title of the Thesis.....
.....
4. Name of the Supervisor
5. Name & address of the External Examiner

The candidate appeared before us for Viva-Voce and we are satisfied that:-

- (i) The Dissertation / Thesis is genuinely the work of the candidate;
- (ii) The candidate has capacity for critical examination;
- (iii) The candidate is acquainted with the literature on the subject.

We recommend that: - *

The degree of M.Phil. / Doctor of Philosophy in the Faculty be conferred.

OR

The candidate be allowed to reappear at the Viva-Voce examination after the required correction.

REPORT

(A separate page can be added for the detailed report)

Date..... Signature :External Examiner Name.....

Place Signature :Internal Examiner Name.....

*** Please strike out the clause not applicable.**

