

## PEOPLE'S UNIVERSITY, BHOPAL

(Established under M.P. Act No. 17 of 2007)

### Ordinance No. 41 DOCTOR OF PHILOSOPHY (Ph.D)

#### 1.0 AIM AND OBJECTIVES:

##### 1.1 Aim:

To provide candidates / scholars, supervisors, examiners and University staff with information for efficient management & design of the Ph.D Degree Programme, offered by the People's University.

##### 1.2 Objective:

1.2.1 To produce skilled / independent researchers capable of rendering original contribution to knowledge.

1.2.2 To synthesize available literature on chosen Disciplines/Subjects to discover, explain & evaluate new horizons of learning.

1.2.3 To develop high-quality experts, scientists and engineers.

1.2.4 To formulate & share evidence based research.

#### 2.0 APPLICABILITY:

2.1 This Ordinance shall apply to all Doctoral Programmes leading to the award of the Degree of Doctor of Philosophy (Ph.D).

2.2 Doctoral Programme shall be offered only in Disciplines / Subjects, in which Post Graduate Programmes are offered by People's University.

#### 3.0 DEFINITIONS:

3.1 In the Ordinance, unless the context requires otherwise, following meanings shall apply.

3.1.1 University means People's University.

3.1.2 Programme means Doctoral Programme leading to the award of Ph.D Degree.

3.1.3 Supervisor means any Faculty Member / Scientist / Expert of the University or outside the University, who is recognized by the University to guide Research Scholars.

3.1.4 University Doctoral Committee means a Committee constituted by the University to coordinate all Doctoral Programmes.

3.1.5 Scholar means a candidate admitted by the University, either under Full-time or Part-time category, for pursuing research for the award of Ph.D Degree of the University.

3.1.6 Course Work means curriculum, prescribed for the Scholar to undergo, as a part of the Ph.D Programme.

#### 4.0 CATEGORIES OF SCHOLARS:

##### 4.1 Research Scholars:

4.1.1 Scholars, from outside the University, with/without research grant from a funding agency (including UGC / CSIR (JRF) / SLET / NET / GATE Examination/ Teacher Fellowship holders), pursuing Ph.D Programmes on whole time basis, in the University.

4.1.2 Non-Resident Indian / Foreign Nationals, pursuing Ph.D Programmes on whole time basis, in the University.

4.1.3 Scholars with/without scholarship from the University pursuing Ph.D Programmes on whole time basis, in the University.

#### 5.0 DURATION:

##### 5.1 Minimum Time Period

5.1.1 The minimum time period of registration for Ph.D. candidate shall be two years after completion of course work and after registration.

##### 5.2 Maximum Time Period

The candidates registered for Ph.D. programme shall be allowed to submit their Theses within five years of the date of their registration. Thereafter, the registration shall stand cancelled automatically unless, for valid reasons, an extension is granted by the Vice-Chancellor.

##### 5.3 Re-Registration:

After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if an extension of registration is approved by the Vice-Chancellor.

**6.0 RESEARCH OUTSIDE THE UNIVERSITY:**

University Doctoral Committee may permit a Scholar to carry out research at a recognized centre of repute outside the University, for specified period.

**7.0 ELIGIBILITY FOR ADMISSION:**

- 7.1 Ordinarily candidates will be permitted to pursue Ph.D in Discipline, in which they have obtained Regular Full-time Master's Degree.
- 7.2 **Inter Disciplinary Ph.D:**
- 7.2.1 Proposals of research in a subject other than the one in which the candidate has obtained Post Graduate degree, may be accepted by the University Doctoral Committee (UDC) on the recommendation of Faculty Doctoral Committee (FDC) under the category of Inter Disciplinary research.
- 7.3 Criterion for selection of candidate seeking admission shall be as follows.
- 7.3.1 At-least 55% marks/Equivalent Grade in a Full-time Masters Degree Programme in subjects, other than Medical / Dental / Ayurvedic Sciences.
- 7.3.2 Masters Degree in Medical / Dental / Ayurvedic Sciences.
- 7.4 Academic Council of the University may modify eligibility criteria/ lay down additional criteria, commensurate with UGC (Minimum Standards and Procedure for award of Ph.D Degree), Regulation 2009, as amended from time to time.
- 7.5 Candidates appearing in final examination, in a Regular Full-time PG Programme shall also be eligible to apply, but they will be eligible for Provisional Registration only after producing proof of passing the Programme.

**8.0 ADMISSION PROCEDURE:**

- 8.1 Number of vacancies shall be pre-determined by the University.
- 8.2 Applications for Ph.D will be received by the University throughout the year and will be processed half yearly.
- 8.3 The University may conduct one or more Entrance Examination, as per requirement.
- 8.4 The University employees must submit their applications through proper channel.
- 8.5 Candidates sponsored by other Organizations/Institutions must submit their applications duly countersigned by authorized signatory, along with a 'No Objection Certificate', from their Organizations/institutions.
- 8.6 Candidates shall be required to appear in an Entrance Examination, as per a pre-determined Scheme, decided by the University, to prepare a Discipline-wise Merit List of candidates.
- 8.7 The candidates obtaining minimum cut-off marks shall be required to undergo Selection Interview, in front of the Faculty Doctoral Committee.
- 8.8 Candidates, shortlisted as above, shall submit a self-explanatory Research Proposal/Plan for the Selection Interview, in 5 to 10 pages, to include following suggested heads.
- 8.8.1 Introduction to the proposed Research Work.
- 8.8.2 Identification of Research gaps.
- 8.8.3 Objectives.
- 8.8.4 Methodology.
- 8.8.5 Plan/Schedule.
- 8.8.6 Pilot study (if any).
- 8.8.7 Expenditure and Source of funding.
- 8.8.8 Faculty Doctoral Committee (FDC) convened Discipline-wise, shall screen and accord approval to the list of selected & waits listed candidates.

**9.0 SEMESTERS / ACADEMIC YEAR:**

- 9.1 Odd Semester: 1 January to 30 June.
- 9.2 Even Semester: 1 July to 31 December.
- 9.3 Calendar Year shall be considered as the Academic Year.

**10.0 PROVISIONAL REGISTRATION:**

- 10.1 Candidates, approved by the UDC on the recommendations of FDC, shall be required to deposit fees, by the stipulated date, to seek Provisional Registration.
- 10.2 Duration of the Program shall count from the date of Provisional Registration.
- 10.3 Provisional Registration shall be confirmed on passing the Course Work.
- 10.4 The Scholars shall not be permitted to pursue any Full Time or Part Time Degree/Diploma Programmes, in the duration of Ph.D Programme. However, the Scholars may pursue Certificate Courses on skills viz. Computer Software, and Communication Skills etc. after obtaining permission from the Vice Chancellor.

**11.0 SUPERVISORS / CO-SUPERVISORS:**

- 11.1 Scholars will work under the guidance of a Supervisor, approved by the UDC on recommendation of FDC as proposed by Institutional Doctoral Committee (IDC) and Departmental Doctoral Committee (DDC). Co-Supervisors may be nominated, if felt essential by the Board.
- 11.2 Nomination of Co-Supervisor shall be mandatory in case of research work in Inter Disciplinary Research. In such cases, the Supervisor shall be from the subject/ discipline of research & Co-Supervisor shall be from the Scholar's subject/discipline in Post graduate Degree.
- 11.3 If a teacher working in a department different from his / her specialization wished to guide a candidate in the subject in which the supervisor holds the eligibility degree, he / she may be appointed as the supervisor / co-supervisor of the candidate. However, the candidate shall be admitted only in the main department corresponding to the subject of research of the candidate in the accordance with the normal procedures.
- 11.4 In case, Supervisors/Co-Supervisors are unable to continue, the Doctoral Board may nominate replacements.
- 11.5 Scholars, pursuing Ph.D Programme themselves, shall not be nominated as Supervisors/ Co-Supervisors.
- 11.6 Supervisors/Co-Supervisors shall not be close relatives of the Scholars.

**12.0 RECOGNITION OF SUPERVISORS/ CO-SUPERVISORS:**

- 12.1 Candidates desirous of being recognized as Supervisors shall be required to apply to the University. Vice Chancellor shall accord such approval based on recommendation of the FDC. For this purpose, Vice Chancellor may seek opinion of any Subject Experts, if required.
- 12.2 Supervisors, so approved as Recognized, shall be of eminence in the field of concerned Subject/Discipline/Specialty.
- 12.3 **Revocation of Recognition of Supervisors:**
  - 12.3.1 The University may withdraw the recognition of a Supervisor, on following grounds.
    - 12.3.1.1 Moral turpitude.
    - 12.3.1.2 Plagiarism.
    - 12.3.1.3 Activities prejudicial to the interest of the University.

**13.0 ELIGIBILITY OF SUPERVISORS / CO-SUPERVISORS:**

Ph.D Degree in concerned discipline with minimum three years of teaching / research experience after acquiring Ph.D Degree with at least two publications. However, in Faculty of Medical Sciences, MD / DM or and MS / M.Ch. Degree (s) with at least 15 years of teaching experience after acquiring MD / MS Degree, including 10 years in Post Graduate Teaching Institution, in Faculty of Dental Sciences, MDS Degree with at least 12 years of teaching experience after acquiring MDS Degree including 8 years in Post Graduate Teaching Institution and in the faculty of Nursing, the supervisor should have either Ph.D Degree with three years of teaching post Ph.D or atleast 15 years of teaching experience after acquiring M.Sc. (Nursing) Degree, including 10 years in Post Graduate Teaching Institution.

Notwithstanding the aforementioned eligibility criterion, the Doctoral Board may approve Supervisors / Co-Supervisors, who possess eminent credentials, as well as qualifications, which are in conformity with those specified by UGC (Minimum Standards and Procedure for award of Ph.D Degree,) Regulation 2009 and / or other Regulations.

**14.0 NUMBER OF CANDIDATES PER SUPERVISOR:**

- 14.1 As laid down vide UGC (Minimum Standards and Procedure for award of Ph.D Degree) Regulation 2009, a Supervisor shall guide not more than eight Doctoral scholars, at any time.
- 14.2 While assessing number of vacancies under Supervisors, date of submission of thesis, under their supervision, shall reckon.
- 14.3 A Co-Supervisor shall guide not more than five scholars at any time.

**15.0 DOCTORAL COMMITTEE [UDC]****Composition:**

- 15.1 Chairman – Vice Chancellor
- 15.2 Head of Faculty (HOF) – Member
- 15.3 Head of Departments (HODs) – Members [Concerned subject / Speciality]
- 15.4 A professor of relevant subject/Supervisor - Member [Nominated by VC]
- 15.5 Dean Academic Affairs - Convenor
- 15.6 HOF, HOD/S keeps on changing faculty wise, speciality, subject wise. Vice Chancellor may co-opt additional member(s) in the committee if required.

**16.0 FACULTY DOCTORAL COMMITTEE [FDC]****Composition:**

- 16.1 Chairman – HOF of the concerned Faculty
- 16.2 Members – All the HOI/s of the concerned Faculty
- 16.3 Convener – Chairman – BOS

**17.0 INSTITUTE DOCTORAL COMMITTEE [IDC]****Composition:**

- 17.1 Chairman – HOI of the concerned Institute.
- 17.2 Members – All the HODs of the concerned Institute.
- 17.3 Convener – A member of IDC selected by concerned HOI.

**18.0 DEPARTMENTAL DOCTORAL COMMITTEE [DDC]****Composition:**

- 18.1 Chairman – HOD of the concerned Department.
- 18.2 Members – All the eligible Ph.D supervisor of the concerned department.
- 18.3 Convener – A member of DDC selected by concerned HOD.

**19.0 MEDIUM OF INSTRUCTIONS:**

English shall be the medium of instructions, Written/Oral examinations, Research Proposal / Plan, Synopsis, Thesis & Research Papers etc.

**20.0 EXAMINATION ON COURSE WORK:****Conduct of Examination for Course Work:**

Controller of Examination will finalize the Schedule of Written Examination and intimate to the concerned Institutes, where the Scholars are enrolled sufficiently in advance.

**21.0 CONFIRMATION OF REGISTRATION:**

- 21.1 Provisional Registration of Scholars, who successfully complete the Course Work, shall be confirmed.
- 21.2 Grade sheet of the Course Work shall be issued to the Scholars after every semester.

**22.0 SUBMISSION OF TITLE & SYNOPSIS OF THESIS:**

- 22.1 Within six months of Provisional Registration, the Scholar shall be required to submit following documents to the IDC through DDC.
  - 22.1.1 Proposed Title of the Thesis.
  - 22.1.2 At least seven hard-copies of the Synopsis.
  - 22.1.3 A soft copy of the Synopsis in CD ROM in PDF.
  - 22.1.4 Relevant ethical clearances/approvals, if use of animals or human subjects/ materials is involved.
- 22.2 Change in the Title of the thesis shall be permitted, only in exceptional cases, by the Vice Chancellor, based on the recommendations of the UDC.

**23.0 PRE- Ph.D PRESENTATION:**

- 23.1 The Scholar shall be required to submit Summary of Thesis to the DDC, at least three months before likely date of its submission.
- 23.2 The Scholar shall also offer a Pre-Ph.D Presentation in the concerned Institution/ Department for critical review/feedback/comments by Experts/Faculty Members/Research Scholars/Post Graduate Students etc. The Scholar must incorporate the feedback, received during the Presentation, in the Thesis.

**24.0 SUBMISSION OF SYNOPSIS ON COMPLETION OF RESEARCH WORK:**

- 24.1 Scholar, on completion of the Research Work, shall submit a Synopsis to the IDC, through the DDC on the recommendation of FDC, UDC will take its decision.
- 24.2 If UDC approves the Synopsis, the Scholars shall be permitted to submit their Thesis and they will be required to submit following documents to Controller of Examinations, through the Supervisor & Head of Institution.
  - 24.2.1 At least seven hard copies of the approved Synopsis.
  - 24.2.2 At least seven hard copies of the Thesis.
  - 24.2.3 Soft copy each of the approved Synopses as well as the Thesis, in a CD ROM in PDF.

**25.4 EVALUATION OF THESIS:**

- 25.1 Each external examiner will be requested to submit a detailed assessment report and his/his recommendation on a prescribed proforma to the COE within 45 days of date of receiving the thesis.
- 25.2 In case the assessment report is not received from an external examiner within 60 days, the Vice Chancellor may appoint another external examiner from the panel of examiners for evaluating the thesis.
- 25.3 The external examiner shall be required to state categorically whether in their individual opinion, the thesis should be.
- 25.3.1 accepted for the award of Ph.D Degree, or
- 25.3.2 referred to the research scholar for submission in the revised form, or
- 25.3.3 rejected.

The external examiners shall state the reasons for recommending / resubmission / rejection of the thesis. If resubmission is recommended, the external examiner shall specifically indicate the modification that needs to be incorporated in the thesis by the research scholar.

- 25.4 On receipt of reports from all the external examiners the Controller of Examinations shall place them before the Vice Chancellor who will peruse the report and recommend one of the following:

25.4.1 If the examiners are of unanimous opinion that the thesis be accepted for the award of the degree, the research scholar would be required to appear for oral defense.

25.4.2 If the examiner are of unanimous opinion that the thesis should be rejected or the thesis be submitted in a revised form then the result be declared accordingly and the research scholar be informed to submit the thesis in a revised form.

25.4.3 If there is no unanimity between examiners, an additional external expert shall be appointed as examiner to evaluate the thesis. The report of the additional external examiner, along with all the earlier reports shall be considered by the UDC and a recommendation made either to accept the thesis for the award of the degree or reject the same.

25.4.4 In case the research scholar is being required to submit a revised thesis, he / she will submit the same within a period of the year from the date of communication in this regard from the Controller of Examinations. However in exceptional circumstances, this period may be extended by UDC by one more year but the total revision shall not exceed two years in any case. The revised thesis shall be sent for assessment to the original panel of external examiners. In the event of one or more original external examiners not being available, an additional external examiner may be appointed.

**26.0 SUBMISSION OF RESEARCH PAPERS:**

- 26.1 The Scholar shall submit at least one Research Paper, emerging out from the Research Work, for publication in an Indexed Journal.
- 26.2 The scholar shall be required to submit proof of publication of aforementioned Research Papers, to the Oral Defense Committee. Proof of acceptance of papers for publication along with copy of the Paper(s) may also be accepted.
- 26.3 Award of Ph.D shall be held in abeyance, if two Research Papers are not published as stipulated in clause 26.1 & 26.2 above.
- 26.4 Oral Defense Committee shall proceed with the examination, even if requirement of publications is not complied by the Scholar. However, in this eventuality, decision of award of Ph.D shall be deferred till the submission of the two Research Papers

**27.0 ORAL DEFENSE:**

- 27.1 A research scholar, whose thesis is recommended for acceptance in accordance with the process of clause 25.4.1 on the basis of thesis evaluation, shall be required to defend his / her work/thesis orally before a duly constituted committee, hereinafter referred to as Oral Defense Committee (ODC) during working hours of the University at the University premises. Any deviation from this procedure should have prior permission of the Vice Chancellor
- 27.2 The composition of ODC is as:
- 27.2.1 Chairman - HOD
- 27.2.2 Members -- one of the two external examiners who have evaluated the thesis
- 27.3.3 Convenor - Supervisor / Co-Supervisor.

If none of the external examiner is available for the conduct of Oral Defense, an alternative external examiner shall be appointed by the Controller of Examinations for this

purpose only. The external examiner committee for Oral Defese examination shall submit his / her report confidentially in the prescribed proforma to the Controller of Examinations. (A)

- 27.3** On the completion of all the stages of the examination, the Controller of Examinations shall put before the UDC the report of the ODC to approve one of the following:
- 27.3.1 that the degree of Ph. D be awarded; or
- 27.3.2 that the research scholar be re-examined at a later specified time in a specified Manner; or
- 27.3.3 that the degree of Ph. D not be awarded.

In case of 27.3.2, the Controller of Examinations in consultation with Vice Chancellor shall also provide to the research scholar a list of all corrections and modification required in the thesis, including suggestions made by the external examiner during the thesis evaluation.

The research scholar shall incorporate all suggestion and changes as discussed in the ODC and submit the same to the IDC through DDC for review and approval for the submission of the thesis after incorporating the suggestions / changes. The IDC with the approval of FDC will submit report to UDC for resubmission. After the clearance of UDC, the research scholar shall thereafter submit two hard bound copies of the thesis incorporating all the necessary corrections / modification.

### **28.0 AWARD OF Ph.D DEGREE:**

- 28.1 The Scholar will be eligible for award of Ph.D degree, on the recommendation of the Academic council and with the approval of the Governing Body of the University, subject to fulfilment of following criterion.
- 29.1.1 Recommendation for award of Ph.D by two Thesis Examiners.
- 29.1.2 Satisfactory performance in Oral Examination.
- 29.1.3 Publication of at least two Research Papers.
- 28.2 Ph.D Degree Certificate shall indicate Discipline/Subject/Specialty/Faculty, as relevant. Title of the Thesis shall also be indicated in the Certificate.
- 28.3 Along with the Degree, the University shall issue a Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of UGC (Minimum Standards and Procedure for award of Ph.D Degree), Regulation 2009.

### **29.0 PUBLICATION OF THESIS:**

- 29.1 After the Oral Examination, the Scholar shall submit, for University Archives, a copy of the thesis in CD ROM in PDF, duly certified by the Supervisor that all the corrections suggested, if any, by the Examiners, have been duly carried out.
- 29.2 Papers arising out of the Thesis may be published by the candidate. However, the thesis as whole shall not be published by the candidate without the specific approval of the University.
- 29.3 Following the announcement of the award of Ph.D, the University shall submit a soft copy of the Ph. D. Thesis to UGC within a period of 30 days, for hosting on INFLIBNET.

### **30.0 PLAGIARISM:**

- 30.1 Cases of alleged plagiarism, by the Scholars, shall be brought to the notice of the Doctoral Committee. Vice Chancellor shall investigate the veracity of such allegations.
- 30.2 In cases, where allegations of plagiarism are confirmed, the Thesis and award of Ph.D shall be rejected /annulled. Scholars' research registrations shall be terminated and they shall be debarred from registration or other Programmes, in the University.

### **31.0 CONDUCT:**

- 31.1 Following actions by Scholars shall invite cancellation of Registration and withdrawal from the Ph. D Programme.
- 31.1.1 Acts of gross discipline in the University.
- 31.1.2 Concealing and/or concealing material facts with the intent to obtain Registration, in the Ph.D Programme, fraudulently.

### **32.0 FEES**

The fee structure for the Ph.D Programme shall be declared by the University as applicable from time to time.

## Amendment Ph.D. Ordinance – 41

S.No.	Provision No.	Exiting Provision	Suggestions for Amendment	Justifications
01	5.0	<p><b>5.0 Minimum Time Period</b></p> <p>5.1.1 The minimum time period of registration for Ph.D. candidate is shall be of two years after completion of course work and after registration.</p> <p>5.2 Maximum Time Period The candidate registered for Ph.D. programe shall be allowed to submit their thesis within five years of the date of registration. Thereafter, the Registration shall stand cancelled automatically unless, for valid reasons, an extension is granted by Vice- Chancellor.</p>	<p><b>5.0 Minimum Time Period</b></p> <p>5.1.1 The minimum time period of registration for Ph.D. candidate is shall be of two years after completion of course work and after registration.</p> <p>5.1.1 The minimum time period including course work will be three years from date of admission as per UGC regulation 2016.</p>	<p>As per UGC regulation 2016</p>
02	13.0	<p><b>13.0 ELIGIBILITY OF SUPERVISORS/CO-SUPERVISORS:</b></p> <p>Ph.D Degree in concerned discipline with minimum three years of teaching/research experience after acquiring Ph.D Degree with at least two publications. However, in Faculty of Medical Sciences, MD/DM or and MS/M.Ch. Degree(s) with at least 15 years of teaching experience after acquiring MD/MS Degree, including 10 years in Post Graduate Teaching Institution, in Faculty of Dental Sciences, MDS Degree with at least 12 years of teaching experience after acquiring MDS Degree including 8 years in Post Graduate Teaching Institution and in the Faculty of Nursing, the supervisor should have either Ph.D Degree with three years of teaching post Ph.D or atleast 15 years of teaching experience after acquiring M.Sc. (Nursing) Degree, including 10 years in Post Graduate Teaching Institution.</p>	<p><b>13.0 ELIGIBILITY OF SUPERVISORS/CO-SUPERVISORS:</b></p> <p>Ph.D Degree in concerned discipline with minimum three years of teaching/research experience after acquiring Ph.D Degree with at least two publications. However, in Faculty of Medical Sciences, MD/DM or and MS/M.Ch. Degree(s) with at least 15 years of teaching experience after acquiring MD/MS Degree, including 10 years in Post Graduate Teaching Institution, in Faculty of Dental Sciences, MDS Degree with at least 12 years of teaching experience after acquiring MDS Degree including 8 years in Post Graduate Teaching Institution and in the Faculty of Nursing, the supervisor should have either Ph.D Degree with three years of teaching post Ph.D or atleast 15 years of teaching experience after acquiring M.Sc. (Nursing) Degree, including 10 years in Post Graduate Teaching Institution.</p> <p>13.0 Ph. D Degree in concerned discipline with minimum three years of teaching/research experience after acquiring Ph.D Degree with at least two publications. However, in Faculty of Medicine, Dentistry, Nursing &amp; other allied Health Sciences with minimum 8 years of teaching experience out of which minimum 3 years of teaching experience in post graduate teaching Institution, after acquiring post graduate degree.</p>	<p>The Government Health Science Universities follow the same rule.</p>