

CHAPTER

ORDINANCE - DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMME

1. Ph.D. PROGRAMME

- i. This Ordinance shall be called the "Award of Doctor of Philosophy (Ph.D.) Ordinance and shall be applicable with effect from the date of its approval by the Government. This shall be applicable to all Ph.D. Programmes offered by the University.
- ii. The students shall be registered for Ph.D. programmes in the University subject to the general guidelines of the Academic Council.
- iii. While framing / amending rules and regulations, the guidelines issued by the University Grant Commission from time to time shall be taken into consideration. It shall be ensured that the standard of Ph.D. studies at PDM University shall be comparable to the best in the country.

2. CATEGORIES OF Ph.D. SCHOLARS

(i) **FULL-TIME Research Scholars**

Full-time research scholars are those who register for Ph.D. at PDMU on full-time basis and are not employed anywhere.

(ii) **PART-TIME Research Scholars**

Part-time research scholars are those who are presently employed in any college/institution/industry and are registered for Ph.D. at PDMU. They will be defined as external or internal depending on whether they are employed outside PDMU or inside PDMU.

3. CONVERSION OF FULL-TIME REGISTRATION TO PART-TIME AND VICE-VERSA

The University may permit the conversion of registration from full-time to part-time basis and vice-versa in respect of registered scholars for valid reasons, with the approval of the Vice-Chancellor. For these scholars, the minimum and maximum period of research will be decided on pro-rata, based on the period already completed in full time / part-time mode.

4. DURATION OF PROGRAMME

The duration of Ph.D. programme including course work for the two categories of scholars will be as under:

Sr. No.	TYPE	MINIMUM (YEARS)	MAXIMUM* (YEARS)
1.	Full-time Scholars	3	6
2.	Part-time scholars	4	6

- Extension beyond this will be considered on case to case basis under the provision of relevant statutes/rules.

Women scholars and person with disability (more than 40% disability) may be given a relaxation of two years for Ph.D. in the maximum duration. In addition, women scholars may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. programme, for up to 240 days.

5. ELIGIBILITY FOR ADMISSION

A candidate seeking admission in the Ph.D. program must have secured at least 55% marks or equivalent CGPA in the concerned subject / allied subject at Master's level. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the UGC from time to time.

6. CONSTITUTION OF DEPARTMENTAL RESEARCH COMMITTEE (DRC)

- (i) The Dean of the Faculty, with the approval of the Vice Chancellor, will get for each Department the DRC constituted having two outside experts and HOD as its Chairman. Its tenure will be three years.

Functions:

- (i) Each DRC shall declare the number of seats available for Ph.D. scholars depending upon regular number of faculty members in the concerned subjects.
- (ii) The DRC shall decide the allocation of supervisor depending upon the area of research and the availability of supervisor in that area.
- (iii) After joining the program, the supervisor(s) shall be appointed within three months.
- (iv) The DRC shall approve the area of research to be pursued by the scholar at the time of the allocation of supervisor(s).

(v) The maximum number of Ph.D. scholars, a supervisor can guide at a time shall be decided by the concerned DRC subject to maximum of numbers.

(vi) In extraneous conditions if so warrant, the change of supervisor or allocation of a second supervisor may be made by the DRC with the approval of the Dean of the Faculty.

7. CONSTITUTION OF RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS

- (i) There shall be a Research Advisory Committee for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have two other faculty members of the department as its members.
- (ii) This committee shall have the following responsibilities:
 - a) To review the research proposal and finalize the topic of research;
 - b) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
 - c) To periodically review and assist in the progress of the research work of the research scholar.
- (iii) A research Scholar shall appear before the Research Advisory Committee once in six months to make a presentation progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institution/College with a copy to the research scholar.
- (iv) In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University/Institution with specific reasons for cancellation of the registration of the research scholar.

8. University Research Council (URC)

The role of URC is to formulate and lay down policy guidelines for the conduct of Ph.D. programmes, and to ensure high standards of research work in such programmes

Composition:

The composition of the University Research Council shall be as follows:

- (i) The Vice Chancellor or his nominee - Chairperson
- (ii) The Pro-Vice Chancellor
- (iii) external experts nominated as under - Members - By the Chancellor - one - By the Vice Chancellor – one - By the Academic Council - two
- (iv) Three Deans/ Heads of Departments/ Constituent Units to be nominated by the Vice Chancellor
- (v) Two teachers of Departments/Constituent Units to be nominated by the Vice Chancellor
- (vi) CoE - Member Secretary

The term of office of the members (other than ex-officio members) will be two years from the date of nomination. The University Research Council shall meet at least once a quarter. Fifty percent of the total membership shall form the quorum for any meeting.

Functions:

Subject to the provisions of the Act and Statutes, the University Research Council shall perform the following functions:

- (a) Formulate policies related to and oversee research for Ph.D. programmes;
- (b) Formulation of guidelines for registration of students, thesis supervision, programme design, and thesis evaluation;
- (c) Monitoring of research indicators for such evaluation;
- (d) Review and recommend areas/themes/topics for research;
- (e) Consider evaluation reports of Examiners for award of Ph.D.;
- (f) To consider and approve the recommendations of DRCs including waivers of and exemptions from any of these Regulations;
- (g) Delegation of any of its functions to the concerned DRC;
- (h) Preparation of the consolidated reports on research efforts of the University;
- (i) Any other work related to research development and coordination.

9. COORDINATOR Ph.D. PROGRAMME

There shall be a Coordinator Ph.D. Programme for the University.

Functions:

- (a) To conduct the Ph.D. entrance examination twice in a year.
- (b) To coordinate the research activity of all departments, including selection and admission of research scholars.
- (c) To counsel research scholars about the Rules and Regulations of the Ph.D. Programme
- (d) To call the URC meeting for exceptional cases/policy changes, etc.
- (e) To issue registration letters to research scholars and external supervisors.
- (f) To approve the Research Advisory Committee (RAC) as proposed by supervisor and recommended by Department Research Committee (DRC).
- (g) To record the Minutes of all the meetings of DRC or URC.

10. PROCEDURE FOR ADMISSION

Admission to Ph.D. program will be made twice in a year, normally during the months of June and December.

- (i) The candidate desiring to seek admission to Ph.D. program shall apply for the same on a prescribed Application Form by a due date announced by the University.
- (ii) The applications will be scrutinized by the DRC concerned. The DRC will call an adequate number of eligible candidates for a Ph.D. entrance test. The selection will be made on the basis of Ph.D. entrance marks, qualifying degree marks, weight-age (s) and interviews.

Category-I A candidate, who has qualified CSIR (JRF) / UGC (NET)/ SET/JEST/GATE/GPAT or has passed M Phil full time regular degree shall be exempted from Ph.D. Entrance Test. Such candidates shall be given a weight-age of 30 marks. Admissions will be made on the basis of following criteria:

Category- II Candidates are those who qualified in Ph.D. Entrance Examination Conducted by PDMU.

(aa) Entrance marks 30% (maximum 30 marks).

or

Weightage to JRF/NET/M.Phil. qualified candidates: 30 marks

(bb) Qualifying degree marks 40% (maximum 40 marks).

(cc) Interview 30 marks

- (iii) The candidates, whose selection is approved by the DRC, will be admitted to the Ph.D. program after payment of prescribed fees.

11. FEES

Each scholar shall pay fees as prescribed which is subjected to revision.

12. REGISTRATION

All research scholars are required to report for Registration before the commencement of each semester according to the schedule/procedure notified by the University in advance. Any student failing to register for two consecutive terms will be considered to have withdrawn from the program. A candidate shall be finally registered for Ph.D. program only after completing the requisite course work of six months, review of synopsis of the research topic and subsequently clearing the comprehensive examination within the stipulated period i.e. of 6 months.

13. LEAVE

A registered Ph.D. scholar can avail leave up to 30 days in a calendar year. Leave record shall be maintained by the Department to which the scholar is attached. In case of serious illness, the necessary information will be immediately communicated by the scholar in writing through the supervisor(s) and the Head of Department for approval of Dean of the Faculty concerned as per rules. Unauthorized absence from the University will lead to cancellation of registration.

14. ELIGIBILITY CRITERIA FOR SUPERVISORS

All full time faculty members of the University holding Ph.D. degree with minimum of 3 years teaching experience with at least five research publications in referred journals are eligible to supervise a research scholar. A person from other academic institutes, research laboratories, or industry holding a Ph.D. degree and actively involved in Research can be a Joint Supervisor along with the supervisor from the PDM University. The maximum number of Research Scholars to be registered under a supervisor/joint supervisor shall be as under:

Professor	:	8
Associate Professor	:	6
Assistant Professor	:	4

15. FUNCTIONS OF THE RESEARCH SUPERVISOR

- (i) To guide the scholar to select a topic for research
- (ii) To suggest the courses for doctoral course work
- (iii) To monitor the progress of the scholar
- (iv) To suggest a panel of examiners to the DRC
- (v) To approve and forward all applications of the scholar
- (vi) To provide or arrange for facilities to carry out research
- (vii) To arrange for a change of supervisor(s) in the event of his leaving the University or going away from the University for a period of more than three months.
- (viii) To ensure that the scholar has deposited all the fees regularly

16. COURSE WORK

- (i) Recognition of high achievements, independent research and application of scientific knowledge to the solution of technical and scientific problems shall be the major thrust for award of Ph.D. degree. Creative and productive inquiry is the basic concept underlying the research work. In order to overcome any deficiency in the breadth of fundamental training or for proper foundation for advanced work, special make up or pre-doctoral courses shall be given by each Department, including a pre-Ph.D. course on Research Methodology and another two relevant subjects .
- (ii) After provisional admission into the Ph.D. programme all the registered candidates shall take up the Ph.D. course work in the respective faculty Department of the University for a period of one semester and this is compulsory for both Category-I and Category-II candidates, and for both full-time as well as part-time candidates. However, a candidate with an M.Phil. Degree done in regular mode is exempted from the Ph.D. course work and the Ph.D. course work examination, provided that they have undergone the same course work in M.Phil.

The Ph.D. course work shall comprise of two theory papers:

Paper 1: Research Methodology (100 Marks): Common to all the candidates admitted in a Department. The syllabus of this paper includes the research techniques/ methods of the concerned subject.

Paper 2: Broad field of specialization (100 marks): The syllabus of this paper includes the current concepts/trends in the concerned specialization of the subject. The broad specializations in a department shall be subjected to the approval of the Board of Studies/Academic Council.

The candidate has to appear for an examination (the Ph.D. course work examination) in these two papers which have a weightage of 100 marks each.

- (iii) Each theory paper shall have 60 contact hours of classes.
- (iv) The faculty for these classes are arranged by the Head of the concerned Department.
- (v) Both full-time and part-time research scholars shall have to attend a minimum of 75% classes in each paper to be eligible to appear for the Ph.D. course work examination.
- (vi) Ph.D. course work examination shall be conducted for the admitted candidates after the one Semester Ph.D. course work.
- (vii) The pattern of the Ph.D. course work syllabus and the pattern of the Ph.D. course work examination question paper shall be uniform for the Faculties.
- (viii) The medium of examination for the Ph.D. course work examination shall be English for all subjects except those in which the official medium of instruction is a language other than English.
- (ix) The medium of examination for the Ph.D. course work examination shall be English for all subjects except those in which the official medium of instruction is a language other than English.

- (x) The Coordinator shall arrange for the evaluation of the answer scripts. The Ph.D. Course work examination is of three-hour duration and is for 100 marks per theory paper.
- (xi) The courses to be taken shall be prescribed by the Departmental Research Committee and shall be approved by the Academic Council.
- (xii) Candidates are required to obtain minimum of C grade under 10 points scale.
- (xiii) The course work must be completed within 6 months from the date of admission. However, if the CGPA at the end of the course is less than 'C' grade, the candidate will be asked to repeat the course in order to make up the required CGPA, for which an extension of six months for completion of course work may be granted at the request of the research scholar by the URC. Such a request for extension must be recommended by the Head of the Department and DRC and routed through the Dean of the Faculty.
- (xiv) If the CGPA at the end of Course work is below "C" grade he/she will have to Re-Register for the Doctoral Programme which shall be subject to approval of DRC.

- 17.** On completion of course work, a scholar shall prepare a detailed "Research Proposal" with Program Evaluation Review Technique (PERT) Chart on the DRC approved research area of his/her interest within 6 months from the date of completion of course work.

The proposed work plan shall be considered by the DRC and it shall recommend the proposal for acceptance by the Dean Academic Affairs. In case DRC does not find the Proposal suitable, it can reject the proposal and communicate the candidate about the decision. The Departmental Research Committee may also ask the candidate to resubmit a revised proposal within two months if it is found to be deficient.

18. PROGRESS OF RESEARCH WORK

- (i) After completion of six months, progress of a research scholar will be assessed by the DRC, who shall make a presentation before the DRC for feedback and comments. The DRC shall send the Assessment Report to the Dean Academic Affairs with its recommendations on continuation.
- (ii) If a supervisor is not satisfied with the work of the candidate, he/she will inform the DRC for appropriate advice to the scholar. The DRC may take up the matter with the Dean Academic Affairs. The matter shall be considered by the Dean Academic Affairs, in order to decide whether the candidate should be allowed to continue his/her research for the Ph.D. degree.
- (iii) A research scholar may request the Dean Academic Affairs for discontinuation of his/her research work through his/her supervisor/Head of the Department.
- (iv) All correspondence will be carried out by the scholar through the supervisor(s) and Head of the Department.

19. MODIFICATION OF THE TITLE OF Ph.D. THESIS

- i. The Dean may permit the modification in title of the Ph.D. thesis. Candidate's request must be recommended with due justification by the Research Supervisor and the Research Committee of the concerned Department. However, such a modification is permitted only once.
- ii. Candidates seeking the change of topic of research or the title of the thesis have to pay the prescribed fee for each of the above.

20. SUBMISSION OF SYNOPSIS

- (i) On completion of the research work to the satisfaction of the supervisor(s), the scholar shall submit 06 copies of the synopsis to the Departmental Research Committee through the supervisor/Head of the Department. The synopsis must precisely reflect in about 800-1000 words all aspects of the research work done which are to be included in the thesis. A CD/DVD containing a PDF file of the synopsis shall also be submitted.
- (ii) The assessment shall be carried out by the DRC through a pre-Ph.D. seminar for getting feedback and comments, which may be suitably incorporated by the scholar into the thesis under the advice of the supervisor(s). The schedule for this seminar must be notified well in advance. The research scholar shall present the complete work carried out by him/her in this seminar and defend it before the DRC. The DRC shall make recommendations of the "Synopsis" and certify the completeness of research work, to the Dean Academic Affairs. On other hand, the DRC may also ask the scholar to do further work, if so required, and resubmit a revised synopsis within a specified time.
- (iii) The supervisor(s) shall submit to the DRC through HOD a confidential list of at least eight renowned experts actively working in the field of the research area and who have significant contributions in terms of publications in reputed journals of high impact rating and/or patents. This list must include at least five from reputed Universities/ institutions both from the National and developed foreign countries. The DRC shall then recommend a panel of eight examiners based on this list to the Dean Academic Affairs.

21. SEMINAR PRESENTATION

Registered Scholars must present at least two Presentations. One seminar must be at the time of Thesis Submission.

Pre-submission Seminar :

- Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Department, open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated in the draft thesis. Student is required to submit the application signed by the supervisor in the office for approval of pre-Ph.D. presentation from Head of the

Department. Notice of pre-submission is required to be put up on the Department website and notice board at least 7 days before the pre-submission seminar.

- There should be at least 20 research scholars, faculty members in total present in pre-submission. Attendance sheet needs to be submitted in the office and student shall keep one copy of attendance with self for record.

- The pre-submission would have held in the Department under the presence of respective supervisors.

22. CANCELLATION OF Ph.D. ADMISSION/REGISTRATION

1. The Dean Academic/Research may cancel the registration of a Ph.D. scholar, if the candidate fails to satisfy the conditions stipulated in the admission order, within the prescribed period.
2. The Dean may cancel the registration of a Ph.D. scholar on the recommendation of the Supervisor and Head of the Department under any one or more of the following circumstances:
 - i) Where the progress of the research work has been to be unsatisfactory in two consecutive Half-yearly reports or when two consecutive progress reports are not submitted.
 - ii) Where a candidate discontinues his/her research, and/or where he/she has applied for employment without obtaining the written permission of the Dean, or when he/she accepts any appointment without the written consent of the Dean.
 - iii) The University may cancel the admission of a research scholar at any time for proven misbehavior or misconduct of the candidate in the University or elsewhere.
 - iv) If a research scholar is found guilty of committing any irregularity, malpractice, plagiarism, etc. in research, his/her result will be withheld / cancelled by the Controller of Examinations, even after the publication of the result.
 - v) Non receipt of fee within two months of notification.

23. SUBMISSION OF THESIS

- (i) The thesis shall be written in English in the specific format and shall contain a critical account of the candidate's research. It should be characterized by discovery of facts, of fresh approach towards interpretation of facts and theories or significant contribution to knowledge of design or development, or a combination of them. It should bear evidence of the candidate's capacity for analysis and judgment and also his/her ability to carry out independent investigation, design or development.
- (ii) No part of the thesis or supplementary published work shall have been submitted for the award of any other degree/diploma.
- (iii) A research scholar shall publish at least two research papers in refereed Journals before the submission of the thesis for evaluation, and produce evidence for the same in the form of acceptance letter or the reprint. The DRC shall keep an up to date list of refereed journals of high impact rating in each area of research.

- (iv) Plagiarism shall be dealt according to the existing law.
- (v) The scholar shall submit six (6) printed or typed copies of his/her thesis to the DRC through his/her supervisor. The DRC shall recommend the thesis for acceptance to the Dean Academic Affairs for further processing. In addition, a CD of the thesis in PDF format shall also be submitted by the scholar for forwarding it to the Dean Academic Affairs.
- (vi) The thesis shall include the following certificate signed by the supervisor(s):

This is to certify that the thesis entitled “..... (TITLE OF THE THESIS)” is submitted to PDM University, in partial fulfillment of the requirements for the award of degree for Doctor of Philosophy in (name of the subject). It embodies the original research work carried out by Mr./Ms..... (Name of the candidate) under my/our supervision and has not been submitted in part or full for any other degree or diploma of the University or of any other University/institution anywhere.

- 24. (i) From the panel of examiners submitted by the Chairman, Departmental Research Committee (DRC), the Dean Academic Affairs will appoint two external examiners (may also be from outside India) after taking approval of the Vice Chancellor. These two external examiners and the supervisor(s) of the scholar shall form the Committee of Examiners for evaluation of thesis submitted by the research scholar. This Committee shall be notified by the Dean Academic Affairs. The appointment of these examiners shall be strictly confidential.
- (ii) A copy of the synopsis shall be sent to each examiner.
- (iii) The Dean Academic Affairs shall request the appointed examiners, to give their consent for the acceptance of examiner ship.
- (iv) In case, an appointed external examiner declines to act as examiner, the Dean Academic Affairs may appoint another external examiner in line with (i) above.
- 25. (i) On receipt of acceptance of examiner ship from the appointed examiners, a copy of the thesis shall be sent to them for evaluation within a stipulated time indicated by the Dean Academic Affairs.
- (ii) Each examiner is required to give his/her assessment report and a clear recommendation about the candidate’s research work to the Dean Academic Affairs. The assessment report shall cover the following in details:
 - (a) Significant contribution to knowledge.
 - (b) Any specific observations made by the candidate requiring revision, modifications or clarification.

(c) Standard of presentation of thesis.

(iii) The recommendation made by the examiner about the candidate's research work shall be on the prescribed form provided by the PDM University indicating clearly ONE of the following:

(a)	The thesis is recommended for the award of the Ph.D. degree in the present form.	
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Or

(b)	The thesis is accepted for the award of the Ph.D. degree after minor revision.	YES/ NO
	The examiner shall like to examine the response before recommending the award.	

Or

(c)	The thesis may be accepted for the award of the Ph.D. degree after major revision requiring rewriting a portion/chapter of the thesis incorporating some additional work.	YES/ NO
	The examiner shall like to examine the response before recommending the award.	

Or

(d)	Rewriting of the thesis after further research.	
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Or

(e)	The thesis is rejected outright.	
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The examiners of the thesis may send, along with their reports, suggestions on corrections and modifications and questions to be asked from the candidate by the Committee constituted for conducting the Viva-Voce examination.

- (iv) If the examiner has recommended resubmission of the thesis, the Dean Academic Affairs shall accordingly advise the scholar through his/her supervisor. The candidate shall ordinarily resubmit the revised thesis within one year from the date on which the comments of the examiner(s) are provided to him/her. The response of the candidate shall be sent again to the same examiner for a fresh assessment and recommendation, if specified.
- (v) If an examiner has recommended rejection of the thesis, the Dean Academic Affairs may appoint a new examiner out of the panel, provided the report of one of the external examiners is satisfactory.
- (vi) If both the external examiners have recommended rejection of the thesis, the thesis shall be rejected outright.
- (vii) On having received the Thesis Assessment Report and recommendations from all the examiners, the Dean Academic Affairs, with the approval of the Vice-Chancellor, shall

request the supervisor to arrange for the final viva voce.

- (viii) The viva-voce Committee, comprising one of the external examiner from India, a member of the Departmental Research Committee (DRC) and the Dean of the Faculty and the supervisor(s) shall conduct the viva voce of the scholar on his/her thesis.
 - (ix) The viva-voce Committee shall provide to the candidate a list of all corrections and modifications, if any, suggested by the examiners.
 - (x) The research scholar shall present the complete work in an open seminar, (which may be attended by any faculty member, expert or research scholar) and defend it before the Viva-Voce Committee. All queries raised by the examiners in their reports shall also have to be satisfactorily answered by the scholar.
 - (xi) The recommendations of the examiners shall be placed before the Viva-Voce Committee.
 - (xii) The Viva-Voce Committee shall communicate its recommendations on the award of Ph.D. degree to the Dean Academic Affairs through the Chairman, the DRC.
 - (xiii) In exceptional cases, if external examiners are not available for viva-voce examination the Dean Academic Affairs will appoint another external member for viva-voce committee, in consultation with Chairman – DRC.
- 26.** Honorarium, TA and DA to examiners and Viva-Voce Committee Members shall be payable according to rules of the University as specified from time to time.
- 27.** The Dean Academic Affairs shall place the recommendations of the Viva-Voce Committee to the DRC before obtaining the final approval of the Vice-Chancellor for the award of the Ph.D. degree.
- 28.** The Dean Academic Affairs shall inform the COE about the approval of the Vice Chancellor.
- 29.** The COE shall declare the result on the award of Ph.D. degree to the scholar.
- 30.** The COE shall issue a Provisional Certificate to the effect that the Ph.D. Degree has been awarded in accordance with the provision to the Ph.D. Ordinance of PDM University and UGC (minimum standards for the award for Ph. D) Regulation 2009
- 31.** The Board of Management retains the right to deviate from, or suspend, any part of these guidelines for good reason and in the interest of academic standards and/or fairness to students.
- 32.** Following the successful completion of the evaluation process and announcements of the award of Ph.D., PDM University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.
