

**ORDINANCE NO. 16**  
**DOCTOR OF PHILOSOPHY (Ph.D.) DEGREE PROGRAMME**

**Course & Faculty**

1. The Degree of Doctor of Philosophy (Ph.D.) may be granted in any discipline, belonging to any faculty of the AISECT University, in which postgraduate studies and/or research is available at the University.
2. These programmes are offered by concerned faculty approved by the Board of Studies and Academic Council.
3. The ordinance shall be applicable to all the University teaching departments/Institutes /Schools of this University.

**Eligibility**

- (a) A Candidate for the degree of Doctor of Philosophy must, at the time of application, hold Master's degree with at least 55% marks or an equivalent grade from a recognized University / a Deemed University or any other University incorporated by any law.
- (b) The Candidates will have to appear in Combined Entrance Test (CET) conducted by AISECT University as per rules. Details of the CET will be uploaded on University website.
- (c) University may decide separate terms and conditions for those students who qualify UGC/CSIR(JRF) Examination/SLET/GATE/teacher fellowship holder or have passed M.Phil programme for CET for Ph.D. Programme.
- (d) It shall be followed by an interview to be organized by the University as the case may be.
- (e) At the time of interview, doctoral candidates are expected to discuss their research interest/area.
- (f) Only the predetermined number of students may be admitted to Ph.D. Programme.
- (g) Maximum number of research candidates that can be registered and allowed to pursue research work under a supervisor at any particular time shall be not more than six.  
Provided that the candidate registered with the Co-supervisor shall not be counted for the number of candidate under a supervisor.

**Fee Structure**

A Candidate must apply for registration for Ph.D. degree of his subject on the prescribed form obtainable on payment of prescribed fee, stating:

- (i) his qualification and experience;
- (ii) subject in which he proposes to work;
- (iii) the field or topic of research work;
- (iv) Name of the supervisor (along with that of Co-supervisors, if any) under whom he wishes to carry on investigations along with the consent of the supervisor and co-supervisors, if any.

The application must also be accompanied with :

- (a) Registration fee of Rs. 10,000/- (Rs. Ten thousand only)

- (b) A certificate from the head of the University Teaching Department, testifying that adequate facilities exist and stating that the head of the University Teaching Department/School of Study will, in case the candidate is permitted, allow the candidate to work in his/her department or institute.
- (c) Attested copies of the mark sheet /grade sheet of Master's degree examination should be enclosed with the application. Application for registration may be submitted any time during the academic year.
- (d) A certificate from the Head of the Institute where he/she wishes to pursue his/her research work, that he/she has paid the following first installment fees, be enclosed;
- (i) Tuition fee Rs. 25000 per year (for Faculty of Humanities, Arts & Commerce) and Rs. 60000 per year (For Faculty of Science, Management, Information Technology, Engineering and Technology, Agriculture, Medical Sciences and Law)
  - (ii) Library fee (Rs. 4000/- for each Six months)
  - (iii) Library caution money (Rs. 5000 once only) and Refundable.
  - (iv) Identity card (Rs. 100/- once only)
  - (v) Laboratory fee (Rs. 10000/- for each six months, for research Scholars where laboratory work is involved).
  - (vi) Laboratory caution money (Rs. 10000/- once only and refundable.)
- (e) After payment of fees along with the form of application the candidate will be provisionally admitted.
- Provided the application is found in order after being scrutinized by the dean of faculty..

### **Selection Process**

Candidates will be selected through an Entrance Test followed by an interview. The entrance test will be used to shortlist the candidates to be interviewed.

The interview of the short-listed candidates will be held immediately after the entrance test as per announced programme.

### **Entrance Test Details For Ph.D. Programmes**

Duration : Two hours.

Pattern : The test paper will contain objective and subjective questions.

The question paper consists of two parts.

Part - I Research Methodology - 40 Marks.

Part - II Subjective Questions - 60 Marks.

Medium - Hindi/English.

### **Course Work**

- (a) After having been admitted each Ph.D. student shall be required to undertake course work for one semester in the concerned department.

- (b) The course work shall be treated as pre Ph.D. preparation and must include a course on research methodology which should include quantitative method, Computer Applications and reviewing of the literature in the relevant field.
- (c) The HOD of the respective department shall prepare the time table of the course work, teaching, continuous evaluation and the internal assessment and shall conduct the same.
- (d) The semester end examination of the course work shall be conducted by the University. The passing standard in the course work shall be 50%
- (e) After completion of the course work by the student, the department shall issue a certificate indicating that the student has completed the course work and he/she is qualified for research and writing the thesis.

### **Registration & RDC**

A. After three months of his application and/or on completion of course work of one semester duration, the candidate shall be eligible to submit a synopsis of his proposed research work along with the title of thesis (in seven copies) duly forwarded by the supervisor and Head of the Institution where the candidate will be pursuing his research work. He shall be required to make an oral presentation of the proposed work before, the Research Degree Committee consisting of the following members

- (i) Vice Chancellor or his/her nominee.
- (ii) Dean of the Faculty
- (iii) Head of the University Teaching Department / Chairman, Board of Studies in the respective subject.
- (iv) Two external subject experts of the rank of the University professor / Associate Professor/Reader to be appointed by the Vice Chancellor on the recommendation of Chairman respective Board of Studies.

Three members including at least one external expert shall form the quorum of the Committee.

On the request of the supervisor, the Vice Chancellor may permit him to be present as observer during the oral presentation of his candidate.

No TA and DA shall be payable to the candidate and the supervisor for attending the Research Degree Committee meeting.

B. The meeting of the Research Degree Committee will be held in the University Office ordinarily twice a Year. The committee shall recommend the eligibility of the person for the appointment as Supervisor/Co-supervisor. The committee shall also prepare a list of approved Supervisors/Co-supervisors along with their specializations as per provisions of the ordinance. This list shall be available with the Registrar.

The Committee shall recommend suitability of the topic of research and the registration of the candidate for the Ph.D. degree. On approval by the RDC the candidate shall be registered and enrolled as a student from the date the Head of the Department/School of Studies/Institute forwarded the application or the date on which the candidate deposits the registration fee, whichever is earlier. He will also be required to pay regular tuition, library and laboratory fees (six monthly) during research tenure.

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

- C. A candidate shall ordinarily be permitted to work for Ph.D. degree in the subject in which he has the Masters degree, provided that research work leading to Ph.D. degree may be allowed in allied subjects of interdisciplinary nature.
- D. The candidate shall pursue his/her research at the approved place of research under the Supervisor/Co-Supervisors on the approved subject. The candidate shall be permitted to submit his/her thesis not earlier than 24 months and not later than four calendar years from the date of registration. In case a candidate does not submit his/her thesis within four calendar years, from the date of registration and does not apply for extension on time, his/her registration shall stand automatically cancelled. Provided that the period for submission of thesis can be extended by one year by the Vice Chancellor, if he/she applies for extension within a month after the expiry of registration period together with the prescribed fee. In case the candidate does not submit his/her thesis within the extended period, his/her registration shall stand automatically cancelled.
- Provided also that Vice Chancellor may permit a candidate to get re-registered on the same topic on payment of the prescribed re-registration fee. The minimum period of 24 months and attendance shall not apply to such re-registered candidate.
- E. The candidate possessing M.Phil degree or a teacher with 2 years teaching experience at the time of registration can submit his/her thesis after 18 months instead of 24 months as provided in clause 9(D) of the Ordinance.
- F. The candidate shall put in at least 200 days attendance including actual attendance he/she will earn during the course work, in the institution concerned or with the Supervisor.

### **Eligibility For Guide**

The person recommended as Supervisor/Co-supervisor to guide the Research Scholar must be :

- A. A professor in a University Teaching Department/School of Studies

OR

A Reader /Associate Professor in a University Teaching Department/ School of Studies or a Research centre possessing either Doctorate degree or has published five research papers in standard Research journals.

OR

A lecturer/Assistant Professor of a University Teaching Department/School of studies/Research centre who has obtained a Doctorate degree in the subject and has published at least five Research papers in standard Research journals and has at least five year teaching experience after Ph. D.

OR

A Scientist/Director working in a research institute/ organization / establishment/ laboratory, identified by the University as a research centre by signing an MOU of the effect, who has obtained a doctorate degree and published 5 research papers on concerned subject in standard research journals and has 5 years post-doctoral experience.

OR

Any other person from another University, a public sector industry, an institute of repute conducting research programmes having a Ph.D. Degree and has established record of research evidenced through publications in standard refereed journals, shall be eligible for appointment as Co-guide .

Provided farther that (i) the name(s) of guide and co-guides shall be approved by RDC. (ii) If the University proposes to appoint a guide (supervisor), an academician who is not a teacher of this University, such appointment shall be made only after such recommendation of RDC and communicate to the Regulatory Commission.

- B. The person recommended as co-supervisor to guide Research Scholar together with supervisor must be a Teacher/Scientist/Director of any Institute/ Research establishment who has obtained a Doctorate degree and has 5 year post-doctoral research experience.

### **Research Centre**

(a) A candidate may pursue his research work for Ph.D. degree in a research centre recognized by the University for this purpose. This may include :

- i. University Teaching Departments in the subject concerned
- ii. Research institute of national/international repute in respective fields, with exceptional research facilities.
- iii. Industry of international repute, actively involved in research and development activities in the subject and having sufficient R&D infrastructure for conducting research, which must be Government of India approved R&D centre
- iv. A candidate permitted to work in such Industry stated in pre para, shall be required to take at least one co-supervisor from that organisation/industry. Such Co-supervisor should be Scientist / Director of the R&D centre not below the rank of Associate Professor of the University.
- v. A candidate permitted to work in such Research Establishment, stated in pre para, shall also be required to take at least one co-supervisor from that industry. Such Co-supervisor should be scientist/ Director of the R&D centre not below the rank of Associate Professor of the University.

(b) Candidates will be permitted to pursue research work in any of the above centre outside of the University only after such centre has entered into an MOU for research work.

(c) All new research centres and new supervisors (guide/co-guide) have to be approved by the Academic Council on the recommendations of concerned RDC/ Faculty Board of Studies

### **Change Of Supervisor**

The candidate may be allowed to change the Supervisor by the Vice-Chancellor on the recommendation of the committee constituted by the Vice Chancellor for this purpose under special circumstances. No major change in the topic of research will be permitted due to change in supervisor.

### **Submission Of Thesis:**

The University shall obtain every six months a record of attendance, receipt of fees paid and a progress report of the work of the Research scholar from his/her Supervisor. If the progress of work is not found satisfactory in two successive reports or no reports are received for a period of one year and the candidate fails to deposit fees, the Vice Chancellor may remove the name of the scholar from the list of those registered for the Ph.D. degree.

- (a) Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Department that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor.

- (b) The candidates shall publish atleast one research paper in referred Journal before the submission of the thesis for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint.
- (c) The candidate shall submit five copies of the summary of the thesis together with a list of research papers published/communicated for publication, if any, through his Supervisor to the Registrar about three months prior to the anticipated date of submission of thesis.
- (d) The supervisor shall submit a panel of at least six names of examiners actively engaged in the concerned area of research not below the rank of Reader or Professor in a sealed cover to the Registrar. Provided that the panel of examiners shall be obtained from the Chairman, Board of Studies of the subject concerned, in case the candidate is related to the supervisor.
- (e) On the receipt of the panel of examiners from the Supervisor and summary from the candidate, the Registrar shall call a meeting of Examination Committee of the subject. The Committee considering the panel submitted by the Supervisor/Chairman, Board of Studies of the subject concerned will prepare a panel of six names to act as examiners.
- (f) The candidate shall supply three type written/photocopies, hard bound, with 3 CDs of his thesis along with the following:
- Published/communicated papers (s).
  - The thesis must be accompanied by a declaration from the candidate that thesis embodies his own work and he/she has worked under the Supervisor at the approved place of work for the required period as per provisions of the ordinance.
  - The certificate from the supervisor together with co-supervisor, if any, that the thesis fulfills the requirements of the ordinance relating to the Ph.D. degree of the university.
  - The candidate shall also remit with the thesis Rs. 20,000/- (Rupces Twenty thousands) as the examination fee.

### **Examination Rules**

- (a) On receipt of the thesis along with the certificates and fee it shall be sent to two examiners appointed by the Vice Chancellor and already consented as per ordinance.

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

- I. It must be a piece of research work characterized either by the discovery of the facts or by a fresh approach towards the interpretation of the facts. In either case it should evince the candidate's capacity for critical examination and sound judgment.
- II. It must be satisfactory in point to language and presentation of the subject matter.
- III. The examiners shall categorically recommend in the prescribed proforma acceptance, revision or rejection of the thesis together with detailed comments. The examiner must also give a list of the questions he wishes to be asked at the viva-voce examination.
- IV. If the examiners recommend that the candidate be asked to improve his thesis, the Vice Chancellor shall permit the candidate to resubmit his thesis not earlier than six months and not later than eighteen months, the period being counted from the date of the issue of order to the candidate. The candidate shall be provided examiner(s)' reports without disclosing the names. In case the candidate is allowed to resubmit the thesis he/she will have to pay a fee Rs. 20,000/- afresh at the time of resubmission,

but it shall not be necessary for him to reproduce any certificate of further attendance at the institute at which he/she carried out the work.

- V. The resubmitted three copies of the thesis must clearly mention that it is a revised version.
  - VI. The thesis shall be got examined as far as possible by the examiners who finally recommended for the revision.
  - VII. In case both the examiners of revised thesis accept the thesis for the award then the candidate shall be awarded the Ph.D. Degree on successful viva-voce examination as per provisions of the Ordinance.
- (b) The Vice Chancellor can recall the thesis from an examiner who fails to send the report within three months of the date of dispatch of the thesis and may appoint another examiner.
  - (c) In case may both the examiners reject the thesis or one of them rejects the thesis and the other recommends a revision of the thesis then the thesis shall be rejected.
  - (d) If both the examiners recommend for the revision of the thesis, the candidate shall be called upon to revise the thesis in the light of the observations of the examiners.
  - (e) If one examiner approves the thesis and the other rejects it or recommends for revision of the thesis then the thesis shall be sent to the third examiner drawn from the panel of examiners approved by the Vice Chancellor.
  - (f) In case both the original examiners accept the thesis for the award of the Ph.D. degree or in the event of it being referred to the third examiner, and the third examiner accepts the thesis for the award of the Ph.D. degree, then the candidate shall be called upon to appear at the viva-voce examination before a board of examiners comprising the supervisor, co-supervisor (if any) and one of the two examiners (approved) by the Vice Chancellor who have accepted the thesis for the award of the Ph.D. degree. Provided that the Vice Chancellor shall appoint head, department/school of studies or Chairman, board of studies of the subject concerned to act as viva-voce examiner, in place of the supervisor in case the candidate is related to the supervisor.
  - (g) The supervisor/head, University teaching department/school of studies, as the case may be, shall be communicated the name of the external examiner appointed by the Vice Chancellor to conduct the viva-voce examination. The date fixed in consultation with the external examiner for the viva-voce shall be informed to the candidate and to the Registrar.

Provided that in special circumstances the Vice Chancellor may appoint alternate viva-voce examiner if both the examiners are not in a position to conduct the viva-voce examination.

- (h) The viva-voce examination shall be conducted at the University Teaching Department/School of Studies in the Subject or at any place fixed by the University for the purpose. The date, time and place of viva-voce examination shall be notified by the Registrar on the University Notice Board at least a week in advance. At the time of viva-voce examination the board of examiners shall be provided the reports of the examiners which shall be returned along with report of viva-voce examination to the Registrar.

The candidate shall present the work embodied in the thesis to the board of examiners, members of faculty, research scholars and other interested persons. After the presentation of the research work the Board shall ask questions together with those questions which have been given along with examiners reports. Others in the audience may also ask questions and the candidate shall reply only those questions which are permitted by the external examiner.

In case the recommendation of the viva-voce examiners differ from that of the thesis examiner or there is difference of opinion between the viva-voce examiners, the candidate

shall reappear at a second viva-voce examination within six months. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected.

Such candidates would be required to pay an additional fee of Rs. 20,000/- for second viva-voce. The external examiner for second viva-voce shall be appointed by the Vice Chancellor.

- (i) The thesis shall be published only with permission of the University and such publication shall state on the title page itself that this was a thesis approved for the award of the Ph.D. Degree of the University.
- (a) After the viva-voce, the recommendation of the examiner shall be reported to the BOM for the award of Ph. D. Degree to the candidate. One copy of the thesis will be kept in the University Library and another copy will be kept in the Departmental Library of the Institute where the research work was carried out, and One copy along with CD will be sent to UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/ Universities.
- (j) After the declaration of the result the successful candidates may be provided the copies of reports of examiners who recommended for the award of the degree on payment of fee of Rs. 2000/-. The reports will not disclose the identity of the examiners.
- (k) Along with the Degree, the University shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions to PhD Regulations of the UGC
- (l) On detection of any irregularity, the University may take suitable steps to withdraw the degree.

### **APPENDIX-1 PROFORMA FOR SYNOPSIS**

1. Title of the thesis
2. Introduction
3. Motivation
4. Objective(s) and Scope (Research Problem/Question and Hypothesis)
5. A brief review of the work already done in the field (Literature Survey)
6. Proposed Methodology / plan of work during the tenure of the research work
7. Expected outcome of the proposed work
8. List of Publications based on the research work (Attach one set of reprints).
9. Proposed contents of the thesis (for Social Science Subjects Only)
10. References (Bibliography)

Signature of Supervisor

Date

Signature of Co-Supervisor (if any)

Date

Signature of the Candidate

Date

**APPENDIX – 2**  
**Certificate By the Candidate**

I certify that the thesis entitled ..... approved by Research Degree Committee, submitted for the award of Ph.D. embodies my own work. I further certify that to the best of my knowledge and belief the thesis does not contain any part of any work which has been submitted for the award of any degree either in this University or in any other University/Dcemed University without proper citation.

Signature of Supervisor

Signature of the Candidate

**APPENDIX – 3**  
**CERTIFICATE OF THE SUPERVISOR**  
CERTIFICATE

This is to certify that the work entitled ..... is a piece of research work done by Shri/Smt./Ku. .... Under my/our guidance and supervision for the degree of Doctor of Philosophy of AISECT University (M.P.) India. I certify that the candidate has put in an attendance of more than 200 days with me.

To the best of my knowledge and belief the thesis :

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

Signature of the Co-supervisor

Signature of the Supervisor

Date : .....

Date : .....

**APPENDIX – 4**  
**CONFIDENTIAL PROGRESS REPORT BY SUPERVISOR**

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

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

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

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

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

Signature of the Supervisor

Date : .....

Address : .....

Place : .....

.....

#### APPENDIX – 5

#### REQUEST FOR PRE-PH.D. PRESENTATION BASED ON DRAFT THESIS

The Registrar,  
AISECT University

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

Reference :- Ph.D. registration letter No. .... dated .....

Sir,

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

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

My draft thesis is complete and I want to make Pre-Ph.D. presentation. Kindly arrange for the same.

Date : .....

(Signature of the candidate)

Place : .....

Name and Address

(Signature of the Supervisor)

Name and Address : .....

#### APPENDIX – 6

#### FORWARDING LETTER OF HEAD OF INSTITUTION OF RESEARCH CENTRE

The Ph.D. thesis entitled .....  
Submitted by Shri/Smt./Ku. .... is forwarded to  
the University in three copies. The candidate has paid the necessary fees and there are no dues  
outstanding against him/her.

Date : .....

Place : .....

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

Name .....

Seal.....

**APPENDIX – 7**  
**EXAMINERS REPORT ON PH.D.**

Title of Thesis .....

Subject ..... Faculty .....

1. The thesis is recommended for the award of Ph.D. degree. Yes/ No
  2. The thesis be revised on the lines detailed below .....
  3. The thesis be rejected. ....
- Please specify Yes/No, as the case may be.

**DETAILED-REPORT**

(The examiner is requested to give his/her detailed report below on the following points.)

- (i) It must be a piece of research work characterized either by the discovery of new facts or by a fresh approach towards the interpretation of facts & theories.
- (ii) It evinces the candidate's capacity for critical examination & sound judgment.
- (iii) It must be satisfactory in point of language & presentation of the subject matter.

Space for detailed report

Note : Additional sheet(s) may be attached, if necessary.

Date .....

Place .....

(Signature of the Examiner)  
Full Name & Address

.....  
.....