

RAJIV GANDHI PROUDYOGIKI VISHWAVIDYALAYA, BHOPAL

Established under act No. 13 of 1998

Ordinance No. 11

(Under Section 40 (1))

Doctor of Philosophy (Ph.D.)

(Ordinance as per UGC Regulations 2016)

(With effect from the date of issue of its Notification dated 02/05/2019)

1. Eligibility criteria for admission to Ph.D. programme

1.1 Candidates for admission to the Ph.D. programme shall have a relevant Master's degree with at least 55% marks in aggregate or its equivalent grade from a University, a deemed University or any other University incorporated under a law and recognized by University Grants Commission of India (UGC). A candidate possessing equivalent degree from a foreign University may be permitted provided that the candidate submits a certificate of equivalency and no objection from the UGC.

1.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed to candidates belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of UGC from time to time, or for those who had obtained their relevant Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace marks.

1.3 A candidate shall ordinarily be permitted to work for Ph.D. Degree in the subject in which he/she has obtained his Master's or Bachelor's degree in Engineering / Technology / Applied Sciences.

Provided that the subject must be one of the subjects included in the list of subjects in the Statute of the University and teaching must be going on in that subject in any one of the research centres approved by the University.

Provided that research work leading to Ph.D. degree may be allowed in allied subjects of interdisciplinary nature of the same faculty or of the allied faculties. Provided further that whether a subject is allied or not to the subject in which the candidate has done Master's or Bachelor degree in Engineering / Technology / Applied Sciences, shall be decided by the Interview Board, constituted according to clause 3.9 of this ordinance.

1.4 A candidate who has not completed Master's Degree, may be permitted to appear in the entrance test for the Ph.D. programme. However, such candidates shall be required to submit a certificate of passing the Master's Degree along with the marks/grades obtained at the time of interview for admission into Ph.D. programme.

2. Duration of the programme

2.1 The candidate shall pursue the research work at the approved research centre under the guidance of supervisor/co-supervisor. The candidate shall not be permitted to submit the thesis earlier than 30 months after successfully completion of course work and not later than five calendar years from the date of registration.

In case a candidate does not submit his/her thesis within five calendar years, from the date of registration and does not apply for extension/re-registration in time, his/her registration shall stand cancelled automatically.

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

Provided also that after the expiry of five years (six years for those candidates who have obtained one-year extension as per above clause) from the date of registration, the Vice Chancellor, may permit a candidate to get re-registered on the same topic. For re-registration the candidate shall be required to apply at least one month before the expiry of registration period along with re-registration fee as prescribed by the University. The condition of minimum period of 30 months after successful completion of course work for the submission of the thesis shall not apply to such re-registered candidates. For re-registration, approval by RDC is not required.

Reregistered candidate must submit the thesis within four years from the date on which his/her original registration expired (excluding extension period of one year). The registration will stand cancelled automatically after nine years from the date of the original registration, no further extension in this period shall be granted, however, even after this period, if a candidate desires to pursue Ph.D. programme then the candidate shall be required to appear in the entrance test as a fresh candidate.

- 2.2 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration for completion of Ph.D. programme. Such candidates can opt for this two years' relaxation only once during their entire tenure of the Ph.D. programme. In addition, the women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of the Ph.D. programme.

3. Procedure for admission

- 3.1 Admission into the Ph.D. programme shall be through an Entrance Test and subsequent interview conducted by the University.
- 3.2 The university shall decide on semester basis number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities.
- 3.3 The University will normally be admitting Ph.D. Scholars for July and January semesters in a particular academic year, depending upon availability of vacancies. Before starting the admission process the University shall seek from its research centres the details of the available vacancies and names of available supervisors/co-supervisors.
- 3.4 University shall notify well in advance through its website and notices in at least two national newspapers, of which at least one shall be in the Hindi language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria and procedure for admission, examination centre(s) and all other relevant information for the benefit of the candidates.
- 3.5 Reservation shall be applicable as per the reservation policy of the State Government of Madhya Pradesh.
- 3.6 The admission into the Ph.D. programme shall be on the basis of marks obtained by the candidate in the Entrance Test and subsequent interview, the weightage of these components shall be 85% and 15%, respectively. All

candidates, other than those mentioned at clause 3.7 of this ordinance, are compulsorily required to appear in the Entrance Test. Only those candidates shall be called for the interview who have scored at least 50% marks in the Entrance Test. Candidates who have qualified NET/SLET/GATE examination conducted by Central Government/ State Government of Madhya Pradesh agencies shall be awarded additional marks, which shall be 10% of the marks scored by the candidate in the Entrance Test; however, to qualify for the interview these candidates shall be required to score at least 50% marks in the Entrance Test, without adding these additional marks. The Entrance Test shall be subject specific, the syllabus for which shall be notified by the University from time to time.

- 3.7 Junior Research Fellowship (JRF) holders of UGC/CSIR, Teacher Fellow Ship Holders of Central Government or State Government of Madhya Pradesh and Teachers selected under QIP programme of Central Government or State Government of Madhya Pradesh are exempted to appear in the Entrance Test. These candidates shall have first preference in the admission process. These candidates shall be required to appear in the interview like any other candidates mentioned at clause 3.6 above. Relative merit of these candidates shall be decided by the marks obtained by them in the Interview.
- 3.8 Based on available vacancies and the reservation policy, selection and final merit list shall be declared, in which first preference shall be given to the candidates listed at clause 3.7 of this ordinance. The remaining vacancies shall be filled after adding marks obtained by the candidate in different criteria as mentioned at clause 3.6 of this ordinance.
- 3.9 Candidates qualifying the Entrance Test shall have to appear in an interview. The interview board shall consist of the following members:
- i. Vice Chancellor or his Nominee – Chairman
 - ii. Dean of the concerned faculty.
 - iii. Chairman Board of Studies (BOS) of the concerned Branch.
 - iv. Head of the Department of the concerned branch of University Institute of Technology (UIT) / University Teaching Department (UTD) of RGPV, who should be a Professor or any other Professor of the concerned branch of UIT/UTD of RGPV, and in case of non-availability of Professor any other Professor/Associate Professor of UIT/UTD/Affiliated Institutions, to be nominated by the Vice-Chancellor.
 - v. One of the recognized supervisors from the UIT/UTD of RGPV in the concerned subject to be nominated by the Vice-Chancellor.
 - vi. One subject expert, who should not be from UIT/UTD of RGPV, to be nominated by the Vice-Chancellor.

Subject expert and three other members shall form the quorum. If the Dean of faculty/Chairman of BOS is not available, then the Vice-Chancellor may appoint a Senior Professor of UIT/UTD in their place.

No T.A. and D.A. shall be payable to the candidate for attending the interview.

- 3.10 The interview shall be conducted in the University premises. The venue and time for the interview shall be notified by the University.
- 3.11 At the time of interview, the candidate is expected to discuss his/her research area of interest and choice of supervisors and co-supervisors (if any). During the interview the Interview Board shall assess the subject knowledge and research aptitude of the candidate.

- 3.12 Depending upon the performance in the Interview, the Interview board shall finalize the merit list of the candidates in the concerned subject, according to clause 3.8 of this ordinance. If there are more than one candidate having equal marks, then merit shall be decided on the basis of marks obtained firstly in Entrance Test then in UG programme and then in PG programme. If marks obtained in all above components are also equal, then the elder candidate shall be placed higher in the merit.
- 3.13 The Interview board shall also approve the proposed area of research; however, the candidate may change area of research, after prior approval by Research Degree Committee (RDC).
- 3.14 Based on candidate's merit and his/her choice of research centre and supervisor/co-supervisor, the University shall allot preferred research centre, supervisor and co-supervisor (if any) to the candidate.
- 3.15 In case a higher merit candidate is not allotted a seat due to non-availability of vacancy in his/her preferred research centre and/or non-availability of vacancy with his/her preferred supervisor/co-supervisor, then the candidate shall be informed about this. Such candidates shall not have the option of changing the choice of research centre and/or supervisor/co-supervisor. The vacancies created due to above shall be filled in order of merit from amongst the remaining candidates in the merit list.
- 3.16 The University shall maintain the list of all the Ph.D. scholars on its website. The list shall include the name of the scholar, research centre, topic of research, name of supervisor/co-supervisor, date of registration etc.

4. Research Centre

- 4.1 Institutions of following categories may be considered eligible as research centre for Ph.D. programmes;
- University Teaching Departments and constituent colleges of RGPV/Affiliated Autonomous Government/Government Aided engineering colleges/Institutions of RGPV.
 - Institutions affiliated to RGPV, in which both under-graduate and post graduate courses in relevant subject are accredited by NBA.
 - Research laboratories/Institutions of Government of India/State Government, Industry of National / International repute, actively involved in research and development activities in the subject concerned.

Only post-graduate departments of institutions listed at point (i) and (ii) above, and institutions as listed at point (iii) above with at least two Ph.D. qualified teachers/scientists shall be considered eligible to offer Ph.D. programme, provided that all the Institutions listed above satisfy the availability of eligible research supervisors/co-supervisors, required infrastructure, supporting administrative staff and research promotion facilities and should have been recognized for this purpose by the Executive Council after the recommendation of the Academic council of the University.

- 4.2 The standards, procedure and fee applicable for recognising any Institution as a Research Centre of the University for the Ph.D. programme shall be notified by the University from time to time.
- 4.3 For the Institutions mentioned at clause 4.1 (ii) & (iii) above, the recognition period as the research centre shall be for a maximum duration of five years. On the expiry of this duration, the Institution, if interested to continue as the research centre of the University, shall have to apply a fresh.

- 4.4 For all those research scholars, who have registered in a research centre prior to the expiry of the recognition period of that research centre, the recognition of the research centre shall deem to continue even after the expiry of the recognition period.
- 4.5 If a candidate is pursuing his/her Ph.D. programme from an Institution mentioned at clause 4.1(iii) of this ordinance then the candidate shall be required to have at least one co-supervisor from research centres listed at clause 4.1 (i)/(ii) of this ordinance.

5. Allocation of Research Supervisor

The person recommended as supervisor/co-supervisor to guide the research scholar must be from a University approved research centre and must be:

- 5.1 A regular full time Professor of the University/Constituent College/Affiliated Government/Autonomous Institution / Private affiliated Institution* with at least five research publications in the refereed journals

OR

A regular full time Associate/Assistant Professor of the University/Constituent College/Affiliated Government/Autonomous Institution / Private affiliated Institution* with a Ph.D. degree and at least two research publications in the refereed journals.

OR

A regular Scientist/Director or an equivalent position working in a Research laboratory/Institution/Industry with a Ph.D. degree and at least seven research publications in the refereed journals.

Provided that in areas/disciplines where there is none or only a limited number of refereed journals exist, the University may relax the condition regarding minimum numbers of research publications for recognition of a person as research supervisor with reasons recorded in writing.

- 5.2 Only a full time regular Teacher or Scientist/Director or an equivalent position from a recognised research centre of the University can act as a supervisor. The external supervisors are not allowed. However, after the due approval from the RDC, external co-supervisor can be allowed from other research centres of the University or from other institutes/organisations of national/international repute provided that the co-supervisor fulfils all the requirements as listed at clause 5.1 of this ordinance other than the condition of being a faculty member of the university approved research centre.

- 5.3 The allocation of supervisor for a selected research scholar shall be decided by the University according to clause 3.14 & 3.15 of this ordinance.

- 5.4 A research supervisor/co-supervisor who is a Professor, at any given point of time, cannot guide more than eight Ph.D. scholars. An Associate Professor can guide up to a maximum of six Ph.D. scholars and an Assistant Professor can guide up to a maximum of four Ph.D. scholars. Supervisor/co-supervisor, who is not a faculty member, can guide up to a maximum of four Ph.D. scholars.

- 5.5 In case of relocation of a 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 that all 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 supervisor/co-supervisor and the research centre for the part of research already done.

- * For private Institutions only those faculties, who have been recruited according to the Statute 30 of the University, shall be considered.

6. Change of Supervisor

6.1 Change of supervisor/co-supervisor shall be permitted only under following circumstances:

- i. In the event, the supervisor/co-supervisor leaves the institute permanently.
- ii. If the supervisor/co-supervisor proceeds on deputation/lien /study leave/ sabbatical leave/ child Care leave/any other leave for a period exceeding six months.
- iii. Supervisor/co-supervisor passes away.
- iv. If the supervisor/co-supervisor is expected to remain absent from the Institute for a period exceeding six months.
- v. If the supervisor/co-supervisor retires, and it is expected that candidate requires more than six months to submit his final thesis.
- vi. If the supervisor/co-supervisor is not interested to supervise the research work of a candidate and has requested the University for the same.

6.2 In all the above cases, the candidate shall be required to apply to the University for change of the supervisor/co-supervisor, stating the reason for change along with the name of the proposed supervisor/co-supervisor (from the allotted research centre) and consent letter from proposed supervisor/co-supervisor. The application should be duly forwarded by the head of the allotted research centre. The Chairman RDC, on the basis of recommendation of the Dean of the faculty concerned, shall take decision on these applications, which will be intimated to the candidates. The decisions of the Chairman RDC shall be put up before the ensuing meeting of RDC for its formal approval.

6.3 After necessity of change in supervisor due to any of the reasons listed at clause 6.1 of this ordinance, if there is no supervisor/co-supervisor available for the replacement in the allotted research centre, then in such cases, the candidate may apply to the University for the change of research centre, stating the reason/s for the change, along with the name of the proposed research centre, supervisor/co-supervisor (from the proposed research centre) and consent letter from proposed supervisor/co-supervisor. The application should be duly forwarded by the heads of the previously allotted and proposed research centres. The decision regarding this shall be taken by the University after due approval from the Vice Chancellor.

6.4 If at the time of admission of a new batch of Ph.D. programme, any faculty member of a research centre is on deputation/lien/study leave/sabbatical leave/child care leave, such faculty shall not be appointed as supervisor/co-supervisor for these Ph.D. candidates. It shall be the responsibility of the head of the research centre to provide list of such faculties to the University while submitting the details of available vacancies as per clause 3.3 of this ordinance.

6.5 If a candidate is allotted both supervisor and co-supervisor, and change in one of them is warranted due to circumstances listed at clause 6.1 of this ordinance, then the scholar, if so desire, can continue with only one supervisor/co-supervisor, provided that the remaining supervisor/co-supervisor is from the allotted research centre of the candidate. If due to above change, only the co-supervisor is left, then the status of the co-supervisor shall be elevated to that of supervisor.

7. Course Work

7.1 After having been admitted into the Ph.D. programme each candidate shall be required to undertake course work. For successful completion of the Ph.D.

course work a candidate is required to earn a minimum of twelve credits through course work.

- 7.2 The duration of the course work shall be of one/two semesters. The course work shall be treated as pre Ph.D. preparation. The course work shall comprise of a subject on research methodology, with minimum of four credits, which shall cover areas such as quantitative methods, computer applications, research ethics, review of published research, data collection etc. in the relevant field. Other subject/s shall be advanced level subject/s of the relevant field, identified as per clause 9.3 of this ordinance.
- 7.3 One credit shall be equal to one hour of Theory/Tutorial or two hours of Practical classes per week.
- 7.4 A student shall be continuously evaluated for his / her academic performance in a subject through tutorial work, practicals, home assignments, mid-semester tests, field work, seminars, quizzes, regularity and end-semester examinations. The distribution of weightage of marks for each component shall be decided by the respective BOS and other competent bodies of the University. The broad distribution of marks for theory subject shall be 10% for tutorial work, practicals, home assignments, field work, seminars, quizzes and regularity; 20% for mid semester tests and 70% for the end-semester examination. For practical subject 40% marks shall be assigned for tutorial work, practical, home assignment, field work, seminars, quizzes and regularity, remaining 60% marks for the end-semester examination. In each theory subject, the institute shall be required to conduct at least two mid semester tests.
- 7.5 Research Advisory Committee (RAC) formed at the research centre level for each research scholar, shall prescribe the subjects of course work for each of the research scholar. Subjects having only practical components can also be taken as subjects of the course work, provided that it is duly approved by RAC.
- 7.6 PhD Scholar shall not be permitted to take those subjects as the subject of course work which the scholar has already studied during his/her post graduate programme.
- 7.7 For any subject recommended for the course work, if the classes are being conducted in any post graduate programme at the research centre allotted to the Ph.D. scholar then the scholar is compulsorily required to attend these classes and appear in the examination of this subject along with the students of the post graduate programme.
- 7.8 If the classes for a subject which is required for the Ph.D. course work is not being conducted at the research centre of the Ph.D. scholar then the Ph.D. scholar with the consent of RAC and University can take admission for that particular subject in a constituent/affiliated institution of the university/IIT/NIT/other National Institution or an Institution which has been accredited by NAAC/NBA and has been authorized by the University for this purpose after entering into an agreement or by obtaining a no objection certificate from the institution. For such cases credits earned by the research scholar in other institute shall be transferable.
- 7.9 The Ph.D. scholar with the recommendation of RAC and due approval of University shall also have an option to earn credit of any one subject of the course work through Massive Open Online Courses (MOOCs) available on the 'SWAYAM' platform according to the provisions of UGC (Credit Framework for Online Learning Courses through SWAYAM) Regulation, 2016.

7.10 All the candidates admitted to the Ph.D. programme shall normally be required to complete the course work prescribed by the RAC during the initial one/two semester/s. If a candidate is unable to clear the subject/s of course work in a particular semester, then he/she will be required to clear the subjects as an ex student in the subsequent examination. However, if a candidate is not able to clear all the subjects of the course work within first two semesters from the date of his admission into the Ph.D. programme, the candidate may be granted one mercy attempt, on valid grounds, by Vice Chancellor on the recommendation of the supervisor, which should be duly forwarded by the Head of research centre of the candidate. If a candidate is not able to clear subject/s of course work even after availing the mercy attempt as stated above, his/her admission for the Ph.D. programme shall stand cancelled automatically.

7.11 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in each subject of the course work in order to be eligible to continue the Ph.D. programme.

7.12 For the Ph.D. course work the system of grading adopted shall be the same as adopted by the University for its post graduate programmes.

8. Attendance requirements

8.1. Candidates appearing as regular students for the examination of any subject of the course work shall be required to attend at least 75% of lectures delivered and of the practicals held, provided that a short fall in attendance up to 10% and 5% can be condoned by the Head of the research centre and Vice Chancellor of Rajiv Gandhi Proudhyogiki Vishwavidyalaya, respectively, for satisfactory reasons. If a candidate is in service, then such candidate shall be required to submit certificate of leaves availed from his/her employer, to justify attendance in the research centre for the duration of course work.

8.2 After successfully completion of the course work the candidate shall be required to put in at least 240 days of attendance in the research centre with the supervisor/ co-supervisor. The relevant declaration by the candidate and the certificate of the supervisor in the format prescribed by the University must be given at the beginning of the thesis. If a candidate is in service, having his/her research centre at a place other than his/her place of service, then such candidate shall be required to submit certificate/s of leaves availed from his/her employer, to justify 240 days of attendance in the research centre with the supervisor/co supervisor.

9. Research Advisory Committee (RAC)

9.1 For each Ph.D. scholar the research centre, shall form a Research Advisory Committee, within two weeks from the date the candidate deposits the admission fee in the research centre.

9.2 The following shall form this committee:

- i. Head of the concerned department – Chairman
- ii. One representative from the concerned department, possessing doctoral Degree-Member
- iii. One representative from the other department of the research centre (preferably from allied departments), possessing doctoral Degree-Member
- iv. Research supervisor of the scholar –Convener
- v. Co-supervisor of the scholar, if he/she is from the same institute- Member

The Convener shall nominate four experts, two each from the parent department and the other department. The Head of the research centre shall then select one member each from the parent and the other department.

9.3 RAC shall have the following responsibilities:

- i. To guide the research scholar in developing study structure and methodology for research.
- ii. To identify the subjects of the course work.
- iii. To review the research proposal and finalize the title of research before being submitted to the RDC.
- iv. To periodically review and assist the work of the research scholar.
- v. To evaluate the research work in view of the recommendation of the RDC, if any.
- vi. To conduct pre thesis seminar of the research scholar.
- vii. To verify the requirement of publications as per clause 9.6 of this ordinance
- viii. To ensure that draft thesis is free of any plagiarism as per provision of relevant UGC Regulation-2018

9.4 After a candidate's research topic has been approved by the RDC and the letter of registration issued by the registrar, according to the clause 11 of this ordinance, the research scholar shall be required to appear before the RAC once in every six months to make a presentation of the progress of his/her work for evaluation and further guidance. There should be a minimum gap of four months between two successive RACs. The six monthly progress reports shall be submitted by the RAC to the University with a copy to the research scholar.

9.5 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.

9.6 Prior to the submission of the draft thesis to RAC the Ph.D. scholars must publish

- (i) at least two research papers in the SCI Indexed Journals/SCI Expanded Journals/Journals of Institution of Engineers (India) in case of Science/ Technology/ Engineering streams (in case of Humanities/ Management/ Social Science in peer reviewed standard journals as approved by the UGC from time to time)

OR

- (ii) at least one research paper in the SCI Indexed Journals/SCI Expanded Journals/Journals of Institution of Engineers (India) in case of Science/ Technology/ Engineering streams (in case of Humanities/ Management/ Social Science scholars in peer reviewed standard journals as approved by the UGC from time to time) and make two paper presentations in conferences/seminars.

In these publications the candidate should be the sole author or if there are co-authors, then candidate should be the first author and other co-authors can only be the supervisor and/or co-supervisor of the candidate. In the thesis the candidate shall append there prints of above publications along with reprints of any other paper/s published by the candidate pertaining to his/her thesis. If reprint has not been obtained till the time of submission of the thesis, the acceptance letter along with the approved manuscript shall be appended inside the thesis.

As a proof of paper presentation, in accordance with clause 9.6 (ii) of this ordinance, the candidate shall be required to append related certificates of presentation.

9.7 RAC shall check the draft thesis for plagiarism through an appropriate process and software, in accordance with University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 (UGC Regulation-2018). Only on the satisfactory report for plagiarism, the candidate shall be called upon to make oral presentation before the RAC.

9.8 Prior to the submission of the draft thesis to the University, the candidate shall make a presentation before the RAC, which shall be open to all the faculty members, research scholars and students. Based on the feedback and comments received during this presentation, the RAC shall either approve the thesis or communicate the required modification/s to be incorporated in the draft thesis. In case modifications are sought by the RAC then the candidate shall be required to submit the revised draft thesis to the RAC, which shall then evaluate whether the required modifications have been incorporated. Before forwarding the draft thesis to the University the RAC shall ensure that the candidate fulfils all other requirements regarding submission of draft thesis to the University as per the provisions of this Ordinance, accordingly, candidate's draft thesis shall be forwarded to the University by the head of the research centre.

9.9 If any RAC member is on leave for more than six months or has superannuated or transferred or passed away, the concern supervisor has to initiate the process for the permanent replacement of this member, which shall be approved by the Head of the research centre.

9.10 If the meeting of RAC of any research scholar is being delayed beyond the maximum duration stipulated for the meeting of RAC of that scholar, due to the leave of any of the member of RAC, then the supervisor will propose, to the Head of the research centre through concerned HOD, name of an alternate faculty member in place of this member. The Head of research centre shall then approve this temporary change.

10. Research Degree Committee (RDC)

10.1 After successful completion of the course work, the candidate shall be required to submit a synopsis of his/her proposed research work, along with the proposed title of the thesis, in the format as prescribed by the University from time to time, duly forwarded by the supervisor, co-supervisor (if any) and Head of the research centre.

10.2 The candidate shall be required to make an oral presentation of the proposed work before the RDC consisting of the following members:

- i. Vice Chancellor or his nominee – Chairman.
- ii. Dean of the faculty concerned.
- iii. Chairman BoS of the concerned branch.
- iv. Head of the Department of the concerned branch of UIT / UTD of RGPV, who should be a Professor or any other Professor of the concerned branch of UIT/UTD of RGPV, and in case of non-availability of Professor any other Professor/Associate Professor of UIT/UTD/Affiliated Institutions, to be nominated by the Vice-Chancellor.
- v. One external expert, of the concerned branch, not below the rank of Professor of IIT/NIT/University/other Institutions of national-repute to be appointed by the Vice Chancellor, ordinarily out of a panel of five experts proposed by the Dean of the concerned faculty.

External expert and two other members, one of which shall be Vice Chancellor or his nominee shall form the quorum.

10.3 The meeting of RDC shall be held in the University twice a year.

10.4 The RDC shall have following functions:

- i. To finalize the title of the thesis and the synopsis submitted by the candidate.
- ii. To appoint supervisor/co-supervisor in the relevant branch according to the provisions of this Ordinance.

10.5 If the RDC makes any change in the title of the thesis, it shall be communicated to the candidate during the RDC meeting itself.

10.6 If the RDC is satisfied with the synopsis submitted and oral presentation of the candidate, the letter of registration shall be issued by the University.

10.7 If the RDC suggests any minor modification/s in the synopsis, the same shall be communicated to the candidate by the University. The candidate will be required to submit the revised synopsis, incorporating the modification/s suggested by the RDC, within 3 months from the date of communication made in this regard. The Dean of the Faculty shall examine the revised synopsis. Dean, if finds it necessary, may send the revised synopsis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the RDC. If the Dean is satisfied that the changes as suggested by the RDC, have been incorporated in the revised synopsis, the letter of registration shall then be issued by the University after due approval from the Vice Chancellor.

10.8 If the RDC decides that major revision is required in the synopsis and/ or the oral presentation of the candidate is unsatisfactory, then the candidate shall be required to reappear in the next meeting of the RDC. If the RDC again is not satisfied by the revised synopsis and/ or the oral presentation of the candidate his/her admission shall stand cancelled automatically.

10.9 T.A. and D.A. shall not be payable to candidate for attending the RDC meeting.

11. Date of Registration

After the approval of title and synopsis by the RDC, the candidate shall be considered to have been registered for the Ph.D. programme from the date declared by the university as the last date of fee submission for that particular admission process, provided that the candidate had deposited the registration and other applicable fees as mentioned in the clause 17 of this Ordinance, within the time period as stipulated by the university for this purpose.

12. Pre Submission Defence Committee (PSDC)

PSDC shall evaluate the draft thesis submitted to the University after it being duly forward by the research centre according to the provision of clause 9.8 of this ordinance.

12.1 The following shall be the constitution of PSDC for a candidate:

- i. Vice Chancellor or his nominee – Chairman.
- ii. Dean of the concerned faculty- Member.
- iii. Chairman BoS of the concerned branch- Member.
- iv. Head of the department who should be a Professor or any other Professor or in the case of non-availability of a Professor, Associate Professor of the University Teaching Department of the concerned subject - Member.
- v. One external subject expert not below the rank of Professor or in the case of non-availability of a Professor, an Associate Professor from a reputed Institute other than the research centre of the candidate to be appointed by the Vice Chancellor.

External expert and two other members, one of which shall be Vice Chancellor or his nominee shall form the quorum.

12.2 This Committee shall have the following responsibilities:

- i. To ensure that draft thesis is free of any plagiarism as per provision of relevant UGC Regulation-2018
- ii. To ensure that the draft thesis submitted by the candidate is in order and the candidate fulfils all the necessary requirements as laid down in this ordinance for the submission of the draft thesis to the University.
- iii. To give recommendation regarding the standard of the research work prior to submission of the thesis to the external examiner.

12.3 Based on draft thesis, the candidate shall defend his/her work before PSDC through an oral presentation, which shall be conducted in the University. This presentation shall be open to all the faculty members, research scholars and students, with an aim to get feedback and constructive suggestions/comments from them.

12.4 Based on the feedback and comments received during this presentation, the PSDC may approve the draft thesis or may recommend modification/s to be incorporated in the draft thesis. These modifications shall be communicated to the candidate by the University, which will have to be suitably incorporated into the draft thesis by the candidate.

12.5 If the modifications required are of minor nature, the candidate shall be required to submit the revised draft thesis, incorporating modifications as suggested by the PSDC, within 3 months from the date of issue of the communication in this regard. The Dean of the Faculty shall examine the revised draft thesis. Dean, if finds it necessary, may send the revised draft thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the PSDC. If the Dean is satisfied that the modification/s as suggested by the PSDC, have been incorporated in the revised draft thesis, he/she will approve the same. The letter of approval accordingly shall then be issued by the University after due approval of the Vice Chancellor.

12.6 If the PSDC decides that major revision is required in the draft thesis and/or the oral presentation is unsatisfactory, then the candidate shall be required to revise the draft thesis and/or improve the oral presentation and reappear at the next meeting of the PSDC.

12.7 A candidate shall only be permitted to appear maximum of three times before the PSDC (including one mercy attempt to be granted by the Vice Chancellor). Even after exhausting all these attempts PSDC does not approve the draft thesis and/or is not satisfied by the oral presentation, the registration of the candidate shall stand cancelled automatically.

12.8 T.A. and D.A. shall not be payable to candidate for attending the RDC meeting.

13. Submission of thesis

13.1 After approval from PSDC as mentioned at clause 12 of this ordinance, the candidate can finalise his/her thesis.

13.2 According to the format and procedure as prescribed and notified by the University from time to time, the candidate shall be required to submit four copies of the summary of the thesis, list of research papers published or accepted for publication relating to his/her thesis, proof of paper presentations in conferences/seminars (if

any), three spiral bound copies of the thesis and a CD containing soft copies of all of these. Before submitting these documents, the candidate shall also be required to deposit the prescribed fee as notified by the University from time to time.

- 13.3 The thesis must contain an undertaking from the Ph.D. Scholar indicating that the thesis has been prepared by him/her and is his/her original work and is free of any plagiarism. The undertaking shall include the fact that the thesis has been duly checked through a plagiarism detection tool approved by the University. The thesis should also contain a certificate from supervisor and co-supervisor (if any) indicating that the work done by the researcher under him /her is free of any plagiarism.

14. Appointment of examiners, evaluation of thesis and viva-voce examination

- 14.1 On approval of draft thesis from PSDC and submission of thesis according to clause 13 of this ordinance, the supervisor shall submit to the Registrar, in a sealed envelope, a panel of at least six external experts from outside the jurisdiction of this University, who are actively involved in the concerned area of research. These experts should not be below the rank of Associate Professor or equivalent from IISc or IIT or NIT or University/other Institutions/Research Organisations of national/international repute. At least half of these names should be from outside the state of Madhya Pradesh. Names of external experts from outside the country can also be included.

- 14.2 The Dean of the concerned faculty shall also submit to the Registrar, in a sealed envelope, a separate panel of at least six external experts, fulfilling the conditions as stated at clause 14.1 of this ordinance.

- 14.3 In case the candidate is related to the Supervisor/Dean, then the panel of examiners as stated at clause 14.1/14.2 of this ordinance, shall be obtained from the Head of the University Teaching Department of the concerned Subject or from any other senior Professor nominated by the Vice Chancellor.

- 14.4 The Vice Chancellor shall then appoint two external examiners out of the two aforesaid panels, submitted by the Dean and the supervisor, respectively.

- 14.5 The Ph.D. thesis of the research scholar shall first be evaluated by his/her Research Supervisor. Only after satisfactory report of the supervisor in the prescribed format, the thesis shall be send for evaluation to two external examiners, as appointed as per clause 14.4 of this ordinance, following the procedure listed at clause 14.6 of this ordinance. However, if the report of the supervisor is not satisfactory the candidate shall be required to modify the thesis and submit it to the University along with other documents listed at clause 13 of this ordinance, which shall again be evaluated by the supervisor. Only after satisfactory report of the supervisor in the prescribed format, the thesis shall be send to two external examiners. However, if the report of the supervisor is not satisfactory even after the modifications, the thesis of the candidate shall be rejected, and shall not be sent to external examiners for further evaluation. The candidature of such candidate for the award of the Ph.D. degree shall stand cancelled automatically.

- 14.6 Before sending the thesis to two external examiners for evaluation, the summary of the thesis and the list of the publications, as submitted by the candidate according to clause 13.2 of this ordinance, shall be sent to these examiners to obtain their consent for evaluating the thesis of the candidate. These may be sent through E-mail to expedite the process.

- 14.7 After receiving the consent of the examiners, the spiral bound thesis or its soft copy (as may be desired by the examiner) shall be sent to these examiners for evaluation.

14.8 The Vice Chancellor may recall the thesis from an examiner, who fails to send the evaluation report within three months from the date of dispatch of the thesis or such other date as may be extended by the Vice Chancellor, and shall appoint another examiner from the aforesaid panels of examiners.

14.9 For acceptance of the thesis, the examiner must evaluate that the thesis must be:

- i. A piece of research work characterized either by the discovery of the new facts or by a fresh approach towards the interpretation of facts. In either case, it should evince the candidate's capacity for critical examination, problem solving and analysis.

AND

- ii. Satisfactory from the point of view of language and presentation.

14.10 In its evaluation report the examiners shall categorically recommend acceptance (including a specific recommendation for conducting the viva-voce examination), minor revision, major revision or rejection of the thesis in the pro-forma as prescribed by the University for this purpose and shall provide:

- (i) Detailed comments regarding points mentioned at clause 14.9 of this Ordinance.
- (ii) Comments on each chapter.
- (iii) A list of at least ten questions which examiner wishes to be asked from the candidate during the viva-voce examination.

14.11 If the examiner/s need any clarification regarding the research work of the candidate, they may seek it from the supervisor of the candidate through the Registrar. This provision shall be incorporated in the letter to be sent to the examiners while sending the thesis.

14.12 Following shall govern approval/rejection of the thesis:

- i. In case both the examiners approve the thesis for the award of the Ph. D. degree, the candidate shall be called upon to appear at the viva-voce examination.
- ii. In case both the examiners reject the thesis.

OR

One of them rejects the thesis and the other recommends a major revision, the thesis shall be rejected.

- iii. If one examiner approves the thesis and other recommends for a major Revision.

OR

If one examiner approves the thesis and other rejects it.

The thesis shall be sent to the third examiner appointed by the Vice Chancellor, from the panel of examiners according to provision of clause 14.1 & 14.2 of this ordinance. The previous report/s shall not be disclosed to the third examiner. The evaluation report received from the third examiner shall be final. If the third examiner approves the thesis for the award of the Ph. D. degree then the candidate shall be called upon to appear at the viva-voce examination. If the third examiner rejects or recommends a major

revision, the thesis shall stand rejected. However, if the third examiner recommends for minor revision, the candidate shall be communicated to revise the thesis in the light of the observations of the third examiner. Revised thesis incorporating minor revision/s shall be sent to the Dean of the Faculty, who shall evaluate whether the candidate has incorporated the minor revision/s as suggested by the examiner. Dean, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. If the Dean is satisfied that the changes as suggested by the examiner, have been incorporated in the revised thesis, only then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor.

- iv. If one examiner recommends minor revision and other recommends for a major revision.

OR

If one examiner recommends minor revision and other rejects it.

The candidate shall be communicated to revise the thesis in the light of the observations of the examiners. Revised thesis incorporating these changes shall be sent to Dean of the Faculty, who shall evaluate whether the candidate has incorporated the minor revision/s as suggested by the examiner/s. Dean, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. Only after his satisfactory report, the thesis shall be sent to the third examiner, appointed by the Vice Chancellor from the panel of examiners (according to provision of clause 14.1 & 14.2 of this ordinance). The previous report/s shall not be disclosed to the third examiner. The evaluation report received from the third examiner shall be final. If third examiner approves the thesis for the award of the Ph. D. degree then the candidate shall be called upon to appear at the viva-voce examination. If the third examiner rejects or recommends a major revision, the thesis shall stand rejected. However, if the third examiner recommends for the minor revision the candidate shall be communicated to revise the thesis in the light of the observations of the third examiner. Revised thesis incorporating minor revisions shall be sent to Dean of the Faculty, who shall evaluate whether the candidate has incorporated the minor revision/s as suggested by the examiner. Dean, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. If the Dean is satisfied that the changes as suggested by the examiner, have been incorporated in the revised thesis, only then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor.

- v. If both the examiners recommend for major revision, the candidate shall be communicated to revise the thesis in the light of the observations of the examiners. The revised thesis of the candidate shall again be sent to both these examiners for evaluation. In case both the examiners approve the thesis for the award of the Ph. D. degree, the candidate shall be called upon to appear at the viva-voce examination. If one examiner approves the thesis and other recommends for a minor revision, the candidate shall be communicated to revise the thesis in the light of the observations of the examiner. Revised thesis incorporating minor revision/s shall be sent to Dean of the Faculty, who shall evaluate whether the candidate has incorporated the minor revision/s as suggested by the examiner. Dean, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding

incorporation of the modification/s raised by the examiner. If the Dean is satisfied that the changes as suggested by the examiner, have been incorporated in the revised thesis, only then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor. However, if any one or both of these examiners again recommend for a major revision or both the examiners rejects it, the thesis shall stand rejected. The candidature of such candidate for the award of the Ph.D. degree shall stand cancelled automatically.

- vi. If one examiner approves the thesis and other recommends for a minor revision

OR

If both the examiners recommend for a minor revision

The candidate shall be communicated to revise the thesis in the light of the observations of the examiner/s. Revised thesis incorporating minor revisions shall be sent to the Dean of the Faculty, who shall evaluate whether the candidate has incorporated the minor revision/s as suggested by the examiner/s. Dean, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. If the Dean is satisfied that the changes as suggested by the examiner/s, have been incorporated in the revised thesis, only then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor.

- 14.13 In case the candidate is asked to revise the thesis, he/she shall be required to submit the revised thesis within six months for minor revision and within eighteen months in case of major revision, this period shall be counted from the date of communication made in this regard to the candidate.
- 14.14 In case the candidate is asked to revise the thesis the candidate shall be provided examiner/s report/s without disclosing the name/s of the examiner/s to enable the candidate to revise the thesis incorporating the required changes. One copy of the original thesis shall be retained by the University till the final disposal in the case.
- 14.15 At the time of resubmitting the thesis after incorporating the major revisions the candidate shall have to pay the fee prescribed by the University for this purpose. However, there shall not be any minimum requirement of attendance at the research centre.
- 14.16 The thesis submitted after incorporating the major revisions must clearly mention that it is a revised version.
- 14.17 The candidate, whose thesis has been approved for the award of the Ph.D. Degree, shall be required to deposit two hardbound copies of the thesis in the University.
- 14.18 On receiving the hard bound copies of the thesis according to clause 14.17 of this ordinance, the process of conducting the viva-voce examination of the candidate shall be initiated. The viva-voce examination shall be conducted before a board of examiners comprising of the supervisor, co-supervisor (if any) and one of the two examiners, who have approved the thesis for the award of the Ph.D. Degree to be nominated by the Vice Chancellor. If both the external examiners are not in a position to conduct the viva voce examination, the Vice Chancellor, in special

circumstances, may appoint an alternate examiner from the panel of examiners (according to clause 14.1 & 14.2 of this ordinance).

14.19 The University shall fix up the date of viva voce in consultation with examiners and communicate it to the candidate through e-mail. The viva-voce examination shall be conducted at the University and will be open to all the faculty members, research scholars and students. The date, time and place of viva-voce examination shall be notified by the University, at least a week in advance, through its portal.

14.20 In the viva-voce examination, the candidate shall be required to present his research work through a presentation, and shall also be required to answer questions/queries raised by the examination board. The questions provided by the examiners, who have approved the thesis with specific recommendation for conducting the viva voce examination, as per clause 14.10 (iii) of this ordinance, shall also be made available to the examination board. The examination board shall compulsorily be required to ask these questions during the viva-voce examination. Others present in the audience, can also ask questions relevant to the research work of the candidate. Whether answers to these questions are to be considered during the evaluation of the candidate shall be the prerogative of the examination board.

14.21 In case the examination board is not satisfied with the performance of the candidate during the viva-voce examination, the candidate shall be required to reappear in the second viva-voce examination, which shall be conducted within six months from the date of present viva-voce examination, all the provisions listed at clause 14.18 to 14.20 shall also be applicable for the second viva-voce examination. If the examination board is not satisfied with the performance of the candidate even during the second viva-voce examination, the candidature of the candidate for the award of the Ph.D. degree shall stand cancelled automatically. The candidate, however, shall be at liberty to apply for the Ph.D. programme as a fresh candidate.

14.22 For the second viva-voce examination the candidate shall be required to pay an additional fee as prescribed by the University from time to time.

14.23 The University shall develop appropriate methods so as to complete the first round of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

15. Award of Ph.D.

After the successful viva-voce and due approval from the Chairman Executive Council, the Registrar shall issue a notification regarding acceptance of the thesis of the candidate and declaring the candidate eligible for the award of Ph.D. Degree from the date of viva-voce examination. This notification shall clearly mention that the Ph.D. Degree being awarded is in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016. The Ph.D. degree will be conferred upon the candidate after due approval of the Executive Council.

16. Reports of examiners

After issuance of the notification as per clause 15 of this ordinance, desirous candidate, on payment of fee as prescribed by the University for this purpose

may ask for the copies of the reports of examiners, who have evaluated his/her thesis for the award of Ph.D. degree. The reports shall not disclose the identity of the examiners.

17. Fee Payable

Candidate admitted to Ph.D. programme shall be required to pay fee as prescribed by the University from time to time. The University fee and Research centre fee shall be separate, which will have following main components:

Fee components for University fee:

- i. Registration fee (Once).
- ii. University Library fee (six monthly, if availing the facility).
- iii. University Library Caution Money-once (refundable).
- iv. Fee for Extension of Registration (if applicable).
- v. Fee for re-registration fee (if applicable).
- vi. Thesis submission fee.
- vii. Fee for viva-voce examination (if applicable).
- viii. Thesis re-submission fee (if applicable).
- ix. Fee for second viva-voce examination (if applicable).
- x. Fee for seeking evaluation report.

Fee components for Research Centre:

- i. Tuition fee six monthly.
- ii. Library fee six monthly.
- iii. Library caution money payable once only (refundable).
- iv. Laboratory fee for six months (for research scholars where laboratory work is involved).
- v. Identity card fee.

The university reserves the right to modify or include new components of fee after due approval from its Executive Council. The candidate shall be required to deposit the applicable six monthly fees from the date of his admission till the time draft thesis is submitted by the candidate.

18. Appearing in other examination

No research scholar shall be permitted to join any other course or appear for any other examinations (except competitive examinations/interviews related to employment) conducted by any University/Board/Institution without prior approval from this University. Candidate shall be required to submit an undertaking of above effect, to the University, at the time of depositing the registration fee.

19. Publication of thesis

Once a thesis has been approved for the award of the Ph. D. degree, the candidate shall be required to take due permission of the University for publication of the thesis in full or in part and shall state on the title page of this publication that this was a thesis approved for the award of the Ph.D. degree of the Rajiv Gandhi Proudyogiki Vishwavidyalaya, Bhopal.

20. Plagiarism

At the time of submission of draft and final thesis the University shall check the submission for plagiarism through an appropriate process and software, in accordance with University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

(UGC Regulation-2018).

In case plagiarism is established in the submission the University shall take appropriate punitive action/s in accordance with UGC Regulation-2018. The role of Departmental Academic Integrity Panel and Institutional Academic Integrity Panel, as mentioned in UGC Regulation-2018, shall be performed by RAC and PSDC, respectively.

21. Award of Ph.D. degrees prior to Notification of this Ordinance

Award of degrees to candidates registered for the Ph.D. programme prior to coming into existence of this ordinance shall continue to be governed by the provisions of the ordinance existing at the time of their admission into Ph.D. programme.

22. Depository with INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit soft copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

23. Withdrawal of degree

If at any time after the award of degree it has been found that the degree has been awarded in violation of any of the provision of this ordinance, then the University deserves the right to withdraw the degree after providing the candidate opportunity to defend himself or herself in a fair and transparent manner.

24. Interpretation

In case of any doubt regarding any of the provisions of this ordinance the interpretation of Vice Chancellor Rajiv Gandhi Proudhyogiki Vishwavidyalaya, shall be final and binding to all.

✓
REGISTRAR

RAJIV GANDHI PROUDYOGIKI
VISHWAVIDYALAYA, BHOPAL