



# GONDWANA UNIVERSITY GADCHIROLI

## Ordinance NO. 87 OF 2017

### **ELIGIBILITY CRITERIA AND PROCEDURE FOR REGISTRATION OF CANDIDATES, ALLOTMENT OF SUPERVISORS/ GUIDES AND RESEARCH TOPICS, SUBMISSION OF THESIS AND ITS EVALUATION FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY, ORDINANCE, 2017.**

Whereas, it is expedient to prepare an ordinance in respect of Eligibility criteria and procedure for registration of candidates, Allotment of Supervisors/Guides and research topics, submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy, for the purpose hereinafter appearing, the Management Council is hereby pleased to make the following ordinance;

1. This Ordinance shall be called “Eligibility criteria and procedure for registration of candidates, allotment of supervisors/ guides and research topics, submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy, Ordinance, 2017”. (hereinafter referred to as “Ordinance”).
2. This Ordinance shall come into force with effect from the date of its making by the Management Council.
3. Scope:-
  - a) This Ordinance shall govern the award of Ph.D. degree in all the faculties in the University which are provided under original statute 18;
  - b) This Ordinance shall apply to the university / (institutions/conducted colleges/constituent colleges), every affiliated college of the university and an institution recognized by the university for the purposes of research.

#### **4. Definitions:-**

In this Ordinance, unless the context requires otherwise :-

- a) “Act” means the Maharashtra Universities Act, 1994. (Maharashtra Act No. xxxv of 1994);
- b) “Board of Studies” means a Board for a particular subject or a group of subjects constituted as per provisions of Section 37(2) of the Act as provided under original Statute 23;
- c) “Board of University Teaching and Research” means a Board for the particular faculty constituted by the University as per provision of sub-section (2) of section 36 A of the Act.
- d) “College” means a college as defined under section 2(10) of the Act,
- e) “Faculty” means a faculty constituted as per the provisions of Section 33(5) of the Act which are provided under original Statute 18;
- f) “Head, Place of Research” means the Head of the Department of the University/Principal of the College/ Director of the Institute;

- g) "Place of Research" means all the post-graduate teaching departments of the University and includes any other place which is duly recognized as the place of research by the University;
- h) "Ph.D. Entrance Test (PET)" means the entrance test conducted by the Gondwana University, Gadchiroli in accordance with the (applicable) rules framed by the University in this regard;
- i) "Post Graduate Department" means a department in a college or institution of higher learning, research, or specialized studies, recognized to be so by the university and imparting post-graduate instruction or guidance for research and includes the post-graduate teaching department of the University;
- j) "Research Advisory Committee" means a committee as provided under this Ordinance;
- k) "Research & Recognition Committee" means a committee for the particular Board of Studies constituted by the University as per provisions of Section 36 A (5) of the Act, which shall act as a subject-wise University Research Committee in lieu of the Department Research Committee as mentioned by the UGC in Regulations 2016;
- l) "Supervisor" means a Ph.D. supervisor who is recognised as Ph.D. supervisor as per the provisions of this Ordinance and "External Supervisor" mean a Ph.D. supervisor who is recognised as a Ph.D. supervisor in the university but is not a full time regular teacher of the University/Institution/College, and
- m) "University" means the Gondwana University, Gadchiroli.

#### **5. Eligibility Criteria for admission to Ph.D. Programme:-**

Subject to the compliance with the requirements of this Ordinance, an applicant, fulfilling the following criteria, shall be eligible for registration for the award of Ph.D. Degree of the university in different faculties in the university :-

Has passed Post Graduate Degree (Master's Degree) Examinations of the University or an equivalent Degree of any other statutory university recognized thereto; in concerned subject, with at least 55% marks in aggregate or its equivalent grade "B" in the UGC- 7 point Scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent Degree from a foreign educational institution accredited by an Assessment and Accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

**Explanation:-** A relaxation of 5% of marks, from 55 to 50% or an equivalent relaxation of grade, may be allowed to the candidate of State of Maharashtra belonging to S.C./S.T./D.T./N.T./S.B.C./O.B.C. (Non Creamy Layer)/ differently abled and other categories of candidates as per the University Grants Commission's Regulations, 2016, or for those who had obtained their Master's Degree prior to

19<sup>th</sup> 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/class of candidates mentioned above are permissible based only on the qualifying marks without including the grace marks procedures,

OR

Candidates who have cleared the M.Phil. Course work as per condition laid down by U.G.C. Regulations, 2009 published in Government of India Gazette July 11- July 17, 2009, i.e. admitted on the basis of entrance examination, with at least 55% marks in aggregate or its equivalent grade B in the UGC 7 point Scale or an equivalent grade in a point scale wherever grading system is followed) and successfully completed the M.Phil. Degree shall also be eligible for admission to Ph.D. Programme in the same institution in an integrated Programme. A relaxation of 5% of marks, from 55 to 50% or an equivalent relaxation of grade, may be allowed to the candidate of State of Maharashtra belonging to S.C./S.T./D.T./N.T./S.B.C./O.B.C. (Non Creamy Layer)/ differently abled and other categories of candidates as per the University Grants Commission's Regulations, 2016.

**Explanation:** - A candidate whose M.Phil. Dissertation has been evaluated and Viva Voce is pending may also be admitted to the Ph.D. programme of the same institution;

OR

Candidates possessing a degree, considered equivalent to M.Phil. Degree of an Indian Institution, from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions,

AND

has qualified in the two stage qualifying examination PET-I and PET-II (Ph.D. Entrance Test), conducted by the University as per the applicable rules in force. The candidate who has been declared to be successful in the Ph.D. Entrance Test of the university shall be eligible to submit his application for registration for Ph.D. within a period of 36 months from the date of result of his/her Ph.D. Entrance Test (PET).

**6. Pre-Entrance test for becoming eligible for admission to the Ph.D. program : -**

- a) 50% marks, each in PET-I and PET-II, shall be the qualifying marks to qualify for admission to Ph.D. program.
- b) The syllabus of the pre-entrance test shall consist of 50% of Research Methodology and 50% shall be of the subject or a group of subjects of the Board of Studies comprised in the faculty.
- c) The pre-entrance test shall be conducted by the University at the centers notified in advance in accordance with the rules framed by the university.
- d) The students who have qualified UGC-NET (including JRF)/UGC-CSIR NET(including JRF)/SLET/GATE/Teacher Fellowship Holder or have passed M.Phil. program as per conditions laid down by U.G.C. Regulations, 2009 published in Government of India Gazette July 11- July 17, 2009, i.e. admitted on the basis of entrance examination, shall be exempted from appearing in PET-I.

**7. Number of seats for admission, subject/faculty-wise distribution of available seats, criteria for admission adhering to the National/State level reservation policy :-**

Procedure for admission, Examination Centre(s) for conducting pre-entrance test and all other relevant information for the benefit of the candidates shall be notified, well in advance, by the university in the website and through advertisement in at least two national newspapers of which at least one shall be in the regional language.

50% shall be the qualifying marks for admission of the candidates by two stage process through entrance test. Syllabus of the entrance test shall consist of 50% of research methodology and 50% shall be for the subject or

a group of subjects of the Board of Studies comprised in the faculty. RRC shall be, subject-wise university committees, before which the candidates are required to discuss their research interest/area through a presentation by way of interview/viva-voce to be organised.

In the interview/viva-voce, the RRC shall also consider the competence of the candidate for proposed research; suitable conduct of the research work at the institute/college and contribution of proposed area of research to new/additional knowledge.

The University shall maintain the list of all Ph.D. registered students on its website on calendar year wise basis which shall include the name of registered candidates, topic of research, names of supervisors/ co-supervisors and the dates of registration.

**8. Academic, Administrative & Infrastructure requirement with the College for getting recognition to offer Ph.D. programmes :-**

- a) College should have eligible research supervisor/s,
- b) It should have required infrastructure and supportive administrative and research promotion facilities,
- c) Post Graduate Departments of the college, Research Laboratory of Government of India/State Government should have at least two Ph.D. qualified teachers/scientists/other academic staff along with required infrastructure, supportive administrative & research promotion facilities,
- d) In case of science & technology faculties, exclusive research laboratories with sophisticated equipment's as specified by the university with provision for adequate space for research scholar along with computer facilities and essential software and uninterrupted power & water supply,
- e) Earmarked library resources including latest books, Indian and International journals, E-journals, extended working hours for all faculties, adequate space for research scholars in the Department / Library for reading, writing and storing studies & research materials,
- f) It may also access the required facilities of neighbouring institution/ college / R & D Laboratory& organization having required facilities.

**9. Recognition of Ph.D. Supervisor and maximum number of permissible Ph.D. Scholars:-**

Following persons shall be eligible to be recognized as Ph.D. Supervisors in the University:-

- a) Any full time regular professor of the University/institution / college having at least five research publications in refereed journals and any regular Associate/Assistant Professor of the University/Institution/College having Ph.D. Degree and at least two research publications in refereed Journals.

However, already recognized Ph.D. supervisors who are not regular Professors / Associate Professors / Assistant Professors of the University/Institution/College shall also continue to be recognized as Ph.D. Supervisors of the university unless and until their recognition as Ph.D. Supervisors in the university has come to an end. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the above condition for recognition of a person as a research supervisor may be relaxed by recording reasons in the writing by the Board of University Teaching and Research constituted as per provision of section 36A (2) of the Maharashtra Universities Act, 1994.

- b) Only a full time regular teacher of the University/Institution/ college shall be eligible to be recognized as a Ph.D. supervisor. The External supervisors are not allowed. However, co-supervisor can be allowed in inter disciplinary areas from other departments of the University/institution/college with the approval of the research and the recognition committee of the University. The maximum number of Research Scholars to be registered under the Ph.D. Supervisor is Eight in case of Professor, Six in case of Associate Professor, and Four in case of Assistant Professor. However, in no case there shall be more than one research scholar from outside the university registered with the Ph.D. supervisor. With respect to the existing external Ph.D. supervisors, in no case, there shall be more than one research scholar, from the outside university, registered under him/her.

- c) The existing External Ph.D. supervisor shall continue as Ph.D. supervisor of the university until the last research scholar under him/her submitted his/her Ph.D. thesis to the University, or the period of registration of research scholar has expired, whichever is earlier.

#### **10. Allocation of Research Supervisor:-**

- a) There shall be a Research Supervisor Allocation Committee to be constituted every time the applications for registration for Ph.D. are received to the research centre from the research scholars. Such a committee shall be constituted by the concern Head of the Research Centre in the month of March and October every year. The committee shall consist of :-
  - (i) Head of the Research Centre who shall be ex-officio chairperson of the committee,
  - (ii) Two senior recognised Ph.D. Supervisors and/or senior teachers in the subject (members).
- b) The allocation of the Research Supervisor for an eligible research scholar shall be decided by the recognized centre of the research depending on the number of scholars per research supervisor, the specialization of the supervisors and research interest of the research scholar as indicated by them. For the purpose of allocation of the research supervisor from the centre or outside the centre, if any, the head of the centre of research shall convene a meeting inviting two senior recognized Ph.D. supervisors and/or senior teachers in the subject. In no case the selection of guide by the student and selection of researcher by the guide shall be done by the researcher and the guide independently.
- c) In case of topics which are of inter disciplinary nature, if the head of the research centre is of the opinion that the expertise at the centre has to be supplemented from outside, he shall appoint a research supervisor from the centre itself, who shall be known as research supervisor, and a co-supervisor from other centres of research outside the university/college/institution on such a terms and

conditions as may be specified and agreed upon by the two centres of research.

- d) For the purpose of counting of the maximum permissible number of research scholars who can be registered under a research supervisor, the appointment as a co-supervisor shall also be taken into account.
- e) In case of relocation of a women scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate. Provided all other conditions of this Ordinance are followed in letter and spirit and the research work does not pertain to the project secured by the parent centre of research/supervisor from any funding agency. The research scholar will however have to give due credit to the parent supervisor and the centre of research for the part of the research already done.

#### **11. Procedure for Admission/Registration :-**

- (i) The University shall admit Ph.D. students through pre-entrance Test conducted by the University, i.e. PET-I and PET-II. University shall give relaxation from PET-I for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET/ (including JRF)/SLET/GATE/Teacher Fellowship Holder or have passed M.Phil. Course as per conditions laid down by U.G.C. Regulations, 2009, published in Government of India Gazette July 11-July 17, 2009 i.e. admitted on the basis of pre-entrance examination.
- (ii) The University shall notify, well in advance, on its website the number of seats for admission, subject/discipline wise available seats, examination centres where the Ph.D. pre-entrance test shall be conducted and all other relevant information for the benefit of the candidates.
- (iii) After allotment of guide, as per the provisions of this ordinance, an eligible applicant seeking admission to the Ph.D. Programme shall apply for registration to the University, on line, in the prescribed form **(Annexure-I)**. The hard copy of the on line application form along with the registration letter and other fees, as may be prescribed by the University from time to



time, and the supporting documents shall be submitted to the University, endorsed by the allotted guide, through the Head, place of research, on any working day of the University. The last date of submission of the application form to the University in the calendar year shall be considered as the date of registration (15<sup>th</sup> January or 15<sup>th</sup> July) subject to the approval, with or without modifications, by Research and Recognition committee. However, where deficiencies in application for registration have been communicated by the University to the candidate, the candidate shall remove the deficiencies, by complying with the directions given by the University in this regard, within the period of thirty days. Where the candidate fails to remove the deficiencies within thirty days but does so within one year from the date of said communication of the University, the date of registration shall be deemed to be the date on which the deficiencies have been completely removed. On failure of the candidate to remove the deficiencies within one year from the date of above said communication of the University, the application for registration shall lapse and the candidate shall be required to apply for registration de novo as per the ordinance in existence on that day. The University shall not be liable to the candidate for the lapse of his application for registration under this clause.

- (iv) The applicant shall submit to the University the application for registration along with eight copies of synopsis, duly signed by the guide, for his proposed research work on or before 15<sup>th</sup> January or 15<sup>th</sup> July of the calendar year.
- (v) Every application for registration shall be placed for consideration before the Research and Recognition Committee of the concerned subject or a group of subjects, constituted as per section 36A(5) of the Act. The Research and Recognition Committee (RRC) shall take decision either to accept or reject the research topic/title on the basis of the submitted synopsis and also the personal interview /presentation by the candidate. The RRC may accept the research topic/title

subject to suitable modifications. The decision of Research and Recognition Committee shall be final. After approval of the application by the RRC, the candidate shall be treated as a registered Ph.D. Candidate. The concerned guide may be invited during the interview/presentation by the candidate, if deemed fit by the RRC.

- (vi) The last date for submission of application for Ph.D. Registration shall be 15th January and 15th July of every calendar year. All the applications received on or before these dates shall be placed before the Research and Recognition Committee and the meeting of the Research and Recognition Committee shall be called as far as possible, within 60 days from the last date of application for registration of Ph.D. degree.
- (vii) After approval of application by the Research and Recognition Committee, the particulars of the candidate, topic/title of research work, research guide and place of work shall be displayed on the website of the University, within a period of one month, as far as possible.
- (viii) If a candidate desires, he may be permitted to partially modify the topic / title and/or the plan of the approved research work by the concerned Research and Recognition Committee. The proposal for partial modification, however, should be recommended by the guide and Head of the Place of Research work.
- (ix) Once a candidate has been registered for any Ph.D. Programme of the University, he shall not be allowed to be continued or to be registered simultaneously for the same or any other research degree/**Diploma** programme of this or any other University in India or abroad. The breach of this condition shall result in automatic cancellation of registration for Ph.D. degree in this University

## **12. INTER DISCIPLINARY RESEARCH**

- (i) Application for research in inter-disciplinary areas from applicants belonging to a faculty or subject other than the faculty or subject in which research is proposed to be done shall be permissible on the basis of the proven ability and aptitude of the researcher for such kind of research. Such proposal shall be referred to the Board of inter disciplinary studies. On examination, the Board shall send the proposal to the concerned RRC, depending on the major component of the research for registration, for Ph.D. degree.
- (ii) The modality regarding conduct of meetings of the committee, preparation of list of guides, vacancies with individual **guide**, their specialization and any other matter shall be such as may be laid down by the University.
- (iii) While granting admission to candidates for Ph.D. programme, due attention shall be paid to the State Reservation Policy.
- (iv) In case certain facilities of research do not exist in the jurisdiction of the University, the candidate may be permitted by the Guide and Head of the Place of Research work to carry out his research work at an Institution recognized by any Statutory University or Central/State Government, outside the jurisdiction of the University, for such a period as may be approved by the Research and Recognition Committee.

### **13. TENURE OF REGISTRATION**

The Ph.D. Programme shall be for the minimum duration of 3 years, including course work and a maximum of 6 years from the date of registration as per the provisions of this ordinance. The women candidates and persons with disability (more than 40 % disability) may be allowed a relaxation of two years in the maximum duration. In addition, the women candidates may be provided maternity leave/child care leave once in the duration of the Ph.D. Programme for up to 240 days.

Provided that an extension up to maximum period of 12 months may be permitted on the recommendation of the Supervisor and also the head of place of research work, The decision for extension,

however, shall be taken by the relevant Research and Recognition Committee. In case Research and Recognition Committee is not in existence for any reason, the powers may be exercised by the Vice-Chancellor. The application for extension of the period of registration under this **clauses** shall be submitted at least 3 months prior to the date of expiry of registration. The decision to extend the period as above shall be taken and communicated within the period of 60 days. On failure to take decision and communicate it to the candidate by the university, it shall be deemed that the extension has been granted. In no circumstances, however, second extension shall be permitted. Therefore, on expiry of the extended period of registration the candidate shall be required to apply for registration afresh following the procedure *denovo*.

#### **14. CANCELLATION OF REGISTRATION AND ITS CONSEQUENCE : -**

**A) Cancellation of registration:** - The registration of a candidate for the Ph.D. Programme may be cancelled in the following manner :-

**i) Voluntary Cancellation:-**

The candidate can opt for voluntary cancellation of his Ph.D. registration. In such event the application duly signed by the candidate and duly endorsed by the Guide and Head of Place of Research Work shall be submitted to the Controller of Examinations. The candidate shall personally appear before the Controller of Examinations and shall submit a declaration of cancellation under his signature. The Controller of Examinations shall then endorse the declaration of the candidate contained in his application and forward it to the relevant Research and Recognition Committee. The registration shall stand cancelled from the date of approval of the application by the Research and Recognition Committee.

**ii) Cancellation for misconduct:-**

If a candidate after registration, during the course of research work, is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties, unbecoming

behaviour, in subordination etc., the registration shall be cancelled by the relevant Research and Recognition Committee by way of punishment on receipt of report from the Guide and the Head of Place of Research work;

Provided that the Head of Place of research work before submitting report to the University shall grant an opportunity to the candidate for submitting his explanation and shall conduct such enquiry as deemed necessary;

Provided also that the involvement of the candidate in a criminal offence involving moral turpitude shall be treated to be a misconduct and registration for Ph.D. programme shall be cancelled with immediate effect on his/her conviction by the Competent Court. In such case there shall be no requirement of offering opportunity of being heard before cancellation of the registration.

- iii) Cancellation for failure to abide by the provisions of this ordinance and/ or Rules approved by the University:-

The registration of a candidate committing breach of provisions of this ordinance and/ or Rules approved by the University shall be cancelled by the Controller of Examinations on receipt of the report from the Guide and the Head of Place of Research work and the approval of Research and Recognition Committee;

Provided that the Head of Place of Research work shall before submitting report to the University shall provide opportunity to the candidate to submit his explanation.

- iv) Cancellation for unsatisfactory progress of research scholar in research work :-

**If** the progress of the research scholar is unsatisfactory, the R.A.C. shall record reasons for the same and suggest corrective measures. If the research scholar fails to implement those corrective measures, R.A.C. may recommend to the university with specific reasons for cancellation of the registration of the research scholar. On approval of the recommendations of the R.A.C. by the Vice-Chancellor, the registration of the research scholar shall be cancelled.

- v) Cancellation for simultaneous registration for the same or other research degree programme of this or any other university :-

Once a candidate has been registered for any Ph.D. programme of the university he/she shall not be allowed to be continued or to be registered simultaneously for the same or any other research degree programme of this or any other university in India or abroad. The breach of this condition shall result in automatic cancellation of registration for Ph.D. degree in this university.

**B) Consequence of cancellation of registration:-**

Where the candidate whose registration for Ph.D. programme has been cancelled as above has received scholarship/financial assistance from funding agencies like UGC, CSIR, University etc., the amount so received shall be recovered from the candidate and shall be promptly returned by the candidate to the funding agency. Where the funding agency happens to be the Gondwana University, Gadchiroli an interest at the Rate of 18% may be charged by the university from the candidate, on failure to return the amount within a period of 3 months from the date of cancellation of the registration. The university may take appropriate steps for recovery of the said amount from the candidate.

**15. SUPERVISION OF THE RESEARCH WORK:-**

**(A) SUPERVISOR:-**

Candidate shall be required to complete his/her Ph.D. research work under the supervision of allotted recognised guide. The concerned Research and Recognition Committee may allow change of guide on production of a 'No Objection Certificate' from the earlier allotted guide and an acceptance letter from the new guide. In case of such a change, the candidate shall work for a minimum period of Twelve Months under the new guide before he /she submits the thesis. The requirement of 'No Objection Certificate' shall not be necessary, if the candidate justify (ies) the non-availability of his /her earlier allotted guide. The justification will have to be endorsed by the Head of place of research work.

**(B) Maximum number of researchers at places of research work :-**

- a) The maximum number of researchers in the University's post graduate teaching departments, which are also recognised as places of research work, shall not exceed fifty.
- b) The maximum number of researchers for affiliated colleges/institutions, which are recognized as places of research work, shall not be more than ten for professional courses, and twenty for the non-professional and traditional courses.

**(C) Redressal of disputes :-**

In case of a dispute between a candidate and his /her guide or a co-guide, the committee consisting of the following members, shall examine the matter and report to the Vice-Chancellor:-

- (i) Dean of the concerned faculty; (Chairperson)
- (ii) Nominee of the Vice-Chancellor;
- (iii) The Head of place of research work (If the complaint is against the Head or the Dean, he/ she shall not participate in the proceedings of the meeting of the committee. In that case, additional member/ s may be nominated by the Vice-Chancellor)

The report shall include, among other things, specific recommendations of the committee. Based on the recommendations of the committee, the Vice-Chancellor may issue appropriate orders. The orders of the Vice-Chancellor shall be final and binding on the parties.

**16. COURSE WORK FOR PH.D. PROGRAM : -**

- (i) The course shall be treated as pre-requisite for Ph.D. preparation. A minimum of four (4) credits or 60 hours of teaching in a semester shall be assigned to one course on Research Methodology, which would cover quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. A minimum of four (4) credits or 60 hours of teaching in a semester shall be assigned to other advanced level course in the subject or a group of subjects comprised in the faculty. Ph.D. course work shall be in conformity with the credit hours institutional requirement which shall specify contents, instructional

and assessment methods which shall be approved by the Board of University Teaching and Research. The university shall prescribe a course work on the recommendations of the Research Advisory Committee. It shall be mandatory for the university to make arrangement for research scholar to pursue the course work within a period of initial one year from the date of registration.

- (ii) Candidate already has M.Phil. Degree as per conditions **laid** down by U.G.C. Regulations, 2009 and admitted in Ph.D. program or those who have already completed the course work in M.Phil. as per conditions **laid** down by U.G.C. Regulations, 2009, shall be exempted from the Research Methodology course work only. All other candidates admitted to the Ph.D. programmes prescribed by the University in the subject or a group of subjects of the Board of Studies comprised in the faculty shall have to complete the entire course work.
- (iii) Marks/Grades in the course work shall be finalised after assessment by the Research advisory Committee in the subject comprised in the faculty and the final marks / Grades shall be communicated to the institution / college.
- (iv) The Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade /CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the Ph.D. program and submit the thesis. The teacher-student instructional ratio for the course work in Research Methodology and advance level course shall be minimum 75% to consider the student for assessment.

## **17. SUBMISSION ANDEVALUATIONOFTHESIS :-**

### **(A) Research Advisory Committee**

- (i) Before making an application for of Ph.D. programme there shall be a research advisory committee, to be constituted at the University level for the Department/Conducted College/ institution of the university for the subject or a group of subjects comprised in each Board of studies comprised in the faculty.



If there is no university department in the subject or a group of subjects comprised in the Board of studies, comprised in the faculty, the committee shall be constituted at an affiliated college which is a recognised research centre of the university.

- (ii) The committee shall consist of following persons :-
  - a) Head, University Teaching Department / Head, Institute of the University / conducted college / affiliated college which is a recognised research centre of the university in the subject or a group of subjects comprised in each Board of studies; (**Ex-officio Chairperson**)
  - b) Two research supervisors in the subject or a group of subjects comprised in the Board of studies, nominated by the Vice-Chancellor; (**Members**) and
  - c) Recognised Research Supervisor of the Ph.D. Scholar. (**Member**)
- (iii) The university shall make arrangement to provide clerical assistance for the meeting of the above said committee.
- (iv) If the chairperson could not attend the meeting of the committee on the scheduled date, he / she shall nominate senior research supervisor in the department to chair the meeting of the committee as working chairperson. If no research supervisor is available in the Department / Institute of the University / conducted college / affiliated college which is a recognised research centre of the university in the subject or a group of subjects comprised in each Board of Studies, one person out of two research supervisors nominated by the Vice-Chancellor shall be nominated as a working Chairperson in the meeting of the committee.
- (v) Research Supervisor of the Research Scholar shall attend the meeting as a member of the committee as and when candidate(s) under his/her supervision shall be called before the committee meeting for presentation of the research proposal and for periodical review and assist in the progress of research work of the research scholar.

- (vi) Out of the two research supervisors nominated by the Vice-Chancellor one must be present in the meeting for transacting the business.
- (vii) The committees shall have following responsibilities :-
  - a) to review the research proposal and finalize the topic of the 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; and
  - c) **to** periodically review and assist in the progress of research work of the research scholar.
- (viii) Every student shall have to submit an application stating the topic of research and 5 copies of synopsis for the proposed research work signed by the allotted supervisor to the Controller of Examinations on or before 15<sup>th</sup> April or 15<sup>th</sup> November of the calendar year for placing it before the meeting of Research Advisory Committee in the subject.
- (ix) Research Advisory Committee shall complete the work, of reviewing the research proposed and finalizing the topic of the researcher, in its meetings to be held in the month of June and/or December of each calendar year.
- (x) A research scholar shall appear before the Research Advisory Committee, once in every six month to make presentation of the progress of his/her work for evaluation and further guidance.
- (xi) The six monthly progress report of each research scholar shall be submitted by the Research Advisory Committee to the university with a copy to the research scholar.
- (xii) In case the progress of the research scholar is unsatisfactory, Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement the corrective measures suggested by the Research Advisory Committee, it may recommend to the university specifying the reasons for the cancellation of the registration of the research scholar.

- (xiii) The dates of the meeting of the Research Advisory Committee shall be 30<sup>th</sup> January and 30<sup>th</sup> July of the calendar year to review the progress of research work. Provided that if the 30<sup>th</sup> January and/or 30<sup>th</sup> July is a public holiday, then the meeting shall be convened on the immediate working day of the university. Candidate desiring to register as research scholar and research scholar whose six months are completed of the research progress on 15<sup>th</sup> January and/or 15<sup>th</sup> July of the said calendar year shall have to appear before the Research Advisory Committee.

### **(B) PROGRESS REPORT**

Every registered candidate shall submit to the Controller of Examinations of the University, through guide, the progress report of his research work after every six months in the prescribed form, **(Annexure- II)** on or before 20<sup>th</sup> July and 20<sup>th</sup> January. He/she shall appear before the Research Advisory Committee once in every six months after his/her registration for Ph.D. programme to make presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports of each scholar shall then be submitted by the Research Advisory Committee to the Controller of Examination with a copy to the research Scholar.

In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record reasons for the same and suggest corrective measures, the Research Advisory Committee may recommend to the university with specific reasons for cancellation of the registration of the research scholar with a copy to the Department /institution /college.

### **(C) SUBMISSION OF THESIS:-**

The Submission of thesis shall be on the following terms and conditions. :-

- (i) Subject to completion of course work, every candidate registered for Ph.D. programme shall be allowed to submit his/her thesis only after Completion of 36<sup>th</sup> months from the date of registration for Ph.D programme. A candidate will be allowed to

submit the summary of his/her thesis after completion thirty four months from the date of registration for Ph.D. programme.

OR

A candidate registered for Ph.D. programme shall be allowed to submit his/her thesis only after completion of 30<sup>th</sup> month from the date of certificate of completion of the course work prescribed for the Ph.D. programme by the university and the said candidate will be allowed to submit the summary of his/her thesis after 28<sup>th</sup> months from the date of certificate of completion of course work prescribed for the programme completion of course work prescribed for the programme. The summary should contain introduction, chapter wise brief account of the work done and overall conclusions.

- (ii) At least three months before the date of submission of the summary of the thesis, each candidate shall give a pre-submission presentation. The presentation shall be made before the Research Advisory Committee constituted for the subject or a group of subjects and shall be arranged by the Head of the place of research work, on the request of the candidate duly endorsed by the guide. The presentation shall be attended by other research guides or teachers in the related subject at the place of research work and other Ph.D. Researchers. The organization of the presentation shall be duly certified by Head, place of research work **(Chairperson of R.A.C.), R.A.C. member and the research guide of the scholar (Annexure III).**

- (iii) After suitably incorporating the feedback and comment suggested during the pre-submission presentation in the draft thesis in consultation with the Research Advisory Committee, the candidate shall submit to the Controller of Examinations ten copies of the summary of his/her thesis through his/her guide within three months from the date of presentation.

It shall be mandatory for the researcher to publish at least one research paper in refereed journal/ refereed journal / peer

reviewed journal / journal with ISSN or ISBN, relating to his/her topic of Ph.D. Research, and make two paper presentation in conferences /seminars before submission of the Ph.D. thesis for adjudication and the researcher shall submit an evidence for the same in the form of presentation certificate and reprint of published research paper.

- (iv) The candidate shall be allowed to submit his/her thesis after completion of a period of two months and before six months from the date of submission of the summary, failing which the candidate will have to pay the fine prescribed by the University from time to time for late submission. Late submission of thesis may be allowed up to the completion of one year from the date of submission of the summary or till the expiry of the registration period, whichever is earlier.
- (v) The university shall generally ensure the process of adjudication of the thesis within a period of 6 months from the date of submission of the thesis.
- (vi) Five copies of the thesis shall be submitted in compact bound form along with a soft copy (CD), through his guide and Head of Place of Research work.
- (vii) The final thesis shall be presented in accordance with the following specifications:
  - (a) The paper used for printing shall be of A4 Size.
  - (b) Printing shall be in a standardized form on both sides of the paper and with minimum of one and- half spacing.
  - (c) A margin of one-and-a half inches shall be on the left hand side.
  - (d) The title of the thesis, name of the university, name of the concerned subject in which thesis is submitted (like Economics, Political Science, Physics, chemistry etc.) name of the concerned faculty, name of the candidate, name of the guide and co-guide wherever appointed, month and year of thesis submission shall be printed on the title page and the front cover. (For specimen see an **Annexure-IV**)

- (viii) The thesis shall include a Certificate of the guide (**Annexure- V**) and a Declaration by the candidate (**Annexure-VI**) that the work reported in the thesis has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged as well as an undertaking to vouch that there is no plagiarism & that the work has not been submitted for the award of any other degree / diploma of the university or any other institution. The thesis should also be accompanied by the certificate of pre-submission presentation issued by the **Research Advisory committee**.
- (ix) If the plagiarism or any form of academic dishonesty in the thesis is brought to the notice or comes to the notice of the university before its evaluation or after its evaluation, the said matter shall be placed before the Board of Examinations to take decision in this regard.
- (x) The thesis shall be written in English/Marathi/Hindi, except where it relates to foreign or other Indian Languages. In the Faculties of Science, Law, Engineering and Technology, Medicine (Pharmaceutical Science) the thesis shall in variably be written in English only.

#### **(D) APPOINTMENT OF REFEREES**

- (i) On receipt of the copies of the summary of the thesis, the same shall be placed before the relevant Research and Recognition Committee, as soon as possible, for recommending panel of referees, for evaluation of the thesis, comprising of not less than six referees, excluding research supervisor, in an alphabetical manner with their full addresses, e-mail addresses, telephone numbers, mobile numbers and pin codes for correspondence. The RRC while recommending the panel of referees may take into consideration the names of experts suggested by the guide. Provided firstly, that the RRC shall recommend the panel in such a way so as to include at least three referees within the

State but out of the jurisdiction of this University and at least three referees outside the country, if available.

Provided secondly, that if the referees within the State are not available, the panel shall be recommended so as to have all the three referees outside the State of Maharashtra.

Provided thirdly, that if language of thesis is Marathi and referees are not available out of the state or outside India, the panel shall be recommended so as to have all six referees within the state of Maharashtra.

- (ii) In terms of the resolution of the Board of University Teaching and Research, the Research and Recognition Committees of the University may recommend to the committee appointed under provision of section 32(5)(a) of the Act a panel of referees for evaluation of the thesis. The said committee shall prepare the list of referees in order of preference, category wise as mentioned above, for being finally appointed by the Board of Examinations for evaluation of the thesis.

#### **(E) EVALUATION :-**

The Ph.D. Scholar shall present at least one research paper in refereed journal and make two paper presentations in the conferences/seminars before submission of the thesis for adjudication, and produce evidence of the same in the form of presentation certificates and/or reprint.

- (1) While submitting the thesis for evaluation, the research scholar shall give an undertaking and the research supervisor shall issue a certificate attesting the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other Degree/Diploma of the university or of any other university/institution.
- (2) The Ph.D. thesis submitted by the research scholar shall be evaluated by his/her research supervisor and at least two external examiners, who are not in employment of the University/Institution/college, of whom one examiner may be from outside the country. The Viva-Voce examination, based among other things on the critiques given in the evaluation report, shall be

conducted by the research supervisor and at least one of the two external examiner, and shall be open to be attended by members of the Research Advisory Committee, all faculty members at the Place of research work, the other research scholars and other interested experts/researchers.

(3) The public viva-voce of the research scholar to defend the thesis shall be conducted only, if the evaluation report(s) of the external examiners on the thesis are satisfactory and include a specific recommendation for conducting the viva voce examination. In case evaluation report of one of the external examiner is unsatisfactory and does not recommend viva voce, the thesis shall be sent to another examiner out of the approved list of examiners of the said category and the viva voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of Ph.D. Degree.

(i) The thesis shall be evaluated by three referees (one internal and two external referees) out of which at least one shall be out of Maharashtra, for all the faculties, subject to the compliance of proviso second and third in clause (D) of Para 17 above.

(ii) After the candidate has submitted the copies of thesis and Board of Examinations has appointed category-wise referees, the Controller of Examinations shall, preferably within one week from the date of appointment of referees as per Clause (D) of Para 17 above, request the first referee from each of the categories mentioned in proviso first of sub clause(i)of clause (D)of Para 17 on the list to communicate within 30 days their will ingness to examine the thesis. Copy of the summary of the thesis, submitted by the candidates, shall be sent to the referees along with the request letter. If the referee fails to communicate his acceptance/ will ingness within 30 days from the date of dispatch of the first invitation letter, the Controller of



Examinations shall send the invitation letter to next referee in the category of the approved list. If the referee fails to convey his acceptance within 15 days, the Controller of Examinations shall send a reminder to the referee to send the acceptance letter immediately.

Where the referee has accepted to examine the thesis, the Controller of Examinations shall forward the thesis to him /her within one week after receipt of letter of acceptance and shall request the referee to submit the report within 45 days from the receipt of the thesis.

- (iii) The external referees shall independently send their reports in the prescribed format to the Controller of Examinations within forty-five days from the date of receipt of the thesis. If the referee fails to do so, the Controller of Examinations shall send a reminder immediately after the expiry of the said period and request him / her to submit the report within thirty days. If the concerned referee fails to comply even with in the extended period, the Controller of Examinations shall cancel his/her appointment and invite the next referee from the category of approved list to evaluate the thesis.
- (iv) As soon as reports of two external referees have been received, those shall be placed before the Vice-Chancellor by the Controller of Examinations. The reports shall be opened and if both the referees have recommended acceptance of the thesis, the process for conduct open viva-voce test shall be initiated immediately. If one of the two referees whose reports have been received has either rejected or suggested revision of the thesis then further steps for conduct of the open viva-voce shall be taken only after report of the third referee has been received by the university.
- (v) The viva-voce shall be conducted by the research supervisor and one nearest external examiner. After the satisfactory

viva-voce test, the candidate shall become eligible for the award of Ph.D. Degree in the subject /faculty concerned.

- (vi) If the external referees do not approve the thesis, then the candidate shall not be eligible for award of Ph.D. Degree.
- (vii) If the referees recommended revision of the thesis, then the candidate shall submit revised thesis (five copies) within 12 months from the date of the communication by the Ph.D. Cell of the university and the revised thesis shall then be sent to both external referees who have suggested revision and it will be subjected to the process of evaluation and conduct of viva-voce test as prescribed above. The referees recommending revision must state the reasons for their opinion and also must clearly indicate the direction in which they desire the thesis to be revised.
- (viii) If out of the three referees, one has recommended the acceptance of thesis, the second has recommended rejection and the third one has recommended revision then the following procedure shall be followed :  
The thesis shall be sent back to the candidate along with the recommendations of the referee, who has suggested revision. The candidate shall resubmit the thesis, within a period of 12 months, revised in terms of the recommendations of the referee. There after, the revised thesis shall be sent back to the referee who had recommended the revision of the thesis. If the thesis is accepted by the referee then the candidate shall be declared to have become eligible for appearing in the open viva-voce test.
- (ix) The guide of the candidate shall be the internal referee for open viva-voce and defence.
- (x) After ascertaining that the reports are favourable, the Controller of Examinations shall arrange the viva-voce and the defence of the thesis on the earliest date suitable to the internal examiner and preferably the nearest external examiner and the Head of the Place of Research work who

will act as Chairperson. In case the Head of place of research work is not available, he shall nominate another research guide as Chairperson for the defence. The Controller of Examinations shall make the reports available to the Head of Place of research work/ Chairperson a day before the date of the viva-voce. In case of any difficulties, the Dean of the concerned faculty shall take appropriate decision.

(xi) **VIVA-VOCE AND OPEN DEFENCE OF THE THESIS :-**

(a) The day, date, time and the place for the viva voce and the open defence of the thesis shall be notified by the Controller of Examinations preferably eight days in advance. Normally the viva voce and the open defence of the thesis shall be arranged in the University. However, in exceptional cases, the Vice-Chancellor may permit the viva-voce and open defence to be conducted at a different place.

(b) The open defence of the thesis shall take place in presence of guide (internal referee), one external examiner and the Head, place of research work (**chairperson**) who shall jointly evaluate the performance of the candidate. In case of any difficulty, Dean of the concerned faculty shall take the appropriate decision.

(c) If the external referee is unable to be present at the time of the viva-voce and open defence, the Vice-Chancellor, on the recommendation of the guide and the Dean of the concerned faculty, shall appoint a senior research guide to act as an external referee for the viva-voce and open defence of the thesis. In case the internal referee is not available, the Vice-Chancellor shall appoint one of the senior research guide as an internal referee, on the recommendation of the Dean of the concerned faculty & the Head, place of research work.

(d) The referees present for the viva-voce and the open defence of the thesis shall submit to the Controller of Examinations their final report in written form duly

signed by them, immediately after the viva-voce and open defence is over, along with the copy of the thesis, through the Chairperson of the Viva-voce and open defence, about the award of Ph.D. Degree.

- (e) In case the viva-voce and open defence is not satisfactory the referees may unanimously recommend with reasons that a fresh viva-voce and open defence of the thesis be organized within a period of not less than one month. If the viva-voce and open defence is still not-satisfactory the committee would record the reasons for the same and refer the matter to Board of Examinations for consideration.
- (f) The result shall be officially declared by the Controller of Examinations within eight days from the date of the receipt of the favourable report on the viva-voce of the thesis.

**18. DEPOSITORY WITH UGC :-**

- (i) Following the successful completion of the evaluation process and announcements of the award of Ph.D. Degree, the University shall submit an electronic 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.
- (ii) The University shall issue a provisional certificate certifying to the effect that the Ph.D. Degree has been awarded in accordance with the UGC Regulations, 2016, issued by the UGC as per the Notification dated 5<sup>th</sup> May, 2016 and published in Gazette of India on 5<sup>th</sup> July, 2016.

**19.** The Ph.D. degree shall be conferred on the candidate in the ensuing convocation of the university under the signature of the Vice-Chancellor.

**20. SAVING CLAUSE:**

Notwithstanding anything contained herein, it is clarified that all cases in which registration has been already granted, the same shall

continue to be governed by the respective Ordinances and Directions even if repealed by virtue of other Direction. The procedure of submission of thesis and evaluation shall be governed by the said Ordinances/Directions, not with standing their repeal.

### **(Statement of object and reasons)**

The Vice-Chancellor had issued Direction No.            of 2016 Dated        /        /2016 in respect of “Eligibility Criteria and Procedure for registration of candidates, Allotment of Supervisors/Guides and research topics, submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy, Direction, 2016.”

The above mentioned Direction is required to be converted into an ordinance as per provision made under the Maharashtra Universities Act, 1994, hence this Draft ordinance is prepared for its consideration by the Academic Council and the Management council of the Gondwana University, Gadchiroli.