



**ORDINANCE FOR Ph.D.  
DEGREE PROGRAMME-2016**

**Vardhman Mahaveer Open  
University, KOTA (Rajasthan)**

## **Vardhman Mahaveer Open University, KOTA**

### **O.8.2 ORDINANCE FOR Ph.D DEGREE PROGRAMME**

#### **O.8.2.1 General:**

The Degree of Doctor of Philosophy (Ph.D.) as per the conformity of University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degrees Regulations, 2016 notification dated 05 May 2016) shall be awarded by the University to a registered student on his/her successful completion of the prescribed programme of research offered in different subjects/disciplines existing in the Schools. Research studies leading to the award of the Doctor of Philosophy (Ph. D.) degree shall be organised and managed by the following bodies in accordance with their respective roles as specified here under: The Ph.D. programme will be run in accordance with the norms led by the UGC (Amended time to time), and will run in regular mode only.

#### **(a) Academic Council:**

The Ph.D. Degree Programme of the University shall be offered in accordance with the Research Policy adopted by the Academic Council subject to the provision of the Act and the Statutes of V. M. Open University, Kota.

#### **(b) Research Board:**

There shall be a Research Board which is subject to the overall guidance and supervision of the Academic Council and shall be responsible for the planning, management, organization and monitoring of the Ph.D. Degree programme.

The Research Board shall perform the following functions:

- I. Management and Administration of the research policy and programme of the University.
- II. Formulation of guidelines for registration, supervision, programme evaluation and award of Ph.D degree, including appointment of supervisors and examiners, award of scholarships/fellowships and approval of research topics.
- III. Monitoring of level of research as deemed fit for such evaluation.
- IV. Determination of the criteria for review of the research areas/themes/topics relevant to the concerned subjects.
- V. Recommend a person for award of Ph. D. degree on the basis of his/her outstanding published research work.
- VI. Advise on research priorities and allocation of resources for research.

- VII. Preparation of the consolidated reports on research in the University and any other work related to research development and coordination.

#### **O.8.2.2 Composition of the Research Board:**

The Research Board shall consist of the following:

Vice-Chancellor	Chairperson
All the Professors*	Member
Representative of Academic Council	Member
<i>(To be nominated by the Vice-Chancellor)</i>	
Directors of Schools	Member
Research Supervisor	Member
Director, Research	Member Secretary

#### **Note:**

- (i) \*In case there is no Professor in the subject/discipline, the Vice-Chancellor may nominate the Professor(s) of the concerned subject/discipline from other universities.
- (ii) Director (Research) shall act as Secretary of the Research Board.
- (iii) The term of office of the nominated members shall be of two years from the date of nomination. A member can be re-nominated for another term. One-third of the total membership shall form the quorum for the meeting.

There shall be a Research Advisory Committee for each Ph.D. scholar. The Research Supervisor of the scholar shall be the convener of this Committee.

The Research Advisory Committee will be constituted by the Director of the concerned school. The Research Advisory Committee will consist of the following members

1. Research Supervisor Convener
2. All Faculty members (Relevant to the concerned Subject) of the concerned School Member
3. One faculty member from the school Member

If, the RAC quorum (minimum 2 members) is incomplete, then, Vice-Chancellor shall nominate member from any other school.

In case the research supervisor retires or leaves the university, the subject Convener shall be Convener of the Research Advisory committee. In absence of supervisor/convener Director of the concerned school shall act as convener.

This Committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research for approval of the Research Board;
- 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.
- To periodically review and assist in the progress of the research work of the research scholar.
- A research scholar shall submit a six monthly progress report to research advisory committee for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Director Research with a copy to the research scholar.
- In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures within stipulated time. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to Director Research with specific reasons for cancellation of the registration of the research scholar.

### **O.8.2.3 Procedure for Admission**

#### **(A) Entrance Examination:-**

- (a)** The process and schedule of registration shall be prepared and announced by the University in accordance with the guidelines given by the Research Board from time to time. The research degree programme shall be offered by the University in the existing School of the subject concerned.
- (b)** The registration to the Research Degree Programme shall be made once in a year in view of limited number of seats for research in the university.
- (c)** A candidate shall be eligible for admission and pre-registration course work for Ph. D. programme provided he/she has:
  1. Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, 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.

2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their 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 mark procedures.

- (d) Adhere to the State-level reservation policy, as applicable.
- (e) Qualified the Ph.D. entrance test conducted by the University on the pattern Recommended by University Grants Commission, time to time.
- (f) An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified by the university in the admission guidelines.
- (g) It will be notified in advance on the institutional website and through advertisement in at least two national newspapers, of which at least one shall be in regional newspaper, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information.

**(B) Interview**

The successful candidate(s) in the Ph.D. Entrance test shall be interviewed by the Research Board Committee and members nominated by the Vice-Chancellor. An interview/*viva-voce* will be organized when the candidates are required to discuss their research interest/area through a presentation. The merit shall be prepared for final admission on the basis of written test and interview both.

The interview/*viva voce* shall also consider the following aspects, viz. whether:

- (I) the candidate possesses the competence for the proposed research;
- (ii) the research work can be suitably undertaken at the Institution/College;
- (iii) the proposed area of research can contribute to new/additional knowledge.

**(C) Course Work:**

- (a) All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Research Department during the initial one or two semesters.

The candidate(s) shall undertake the course work of 16 Credits which consists of:

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|------|--|---|------------|
| (i)  | <ul style="list-style-type: none"> <li>• Research Methodology and Computer Module-I<br/>Application</li> <li>• Review of Literature/Recent Trends Module-II<br/>(published research work in relevant field)</li> </ul> | } | 08 Credits |
| (ii) | <ul style="list-style-type: none"> <li>• Level Advance Subject knowledge Module-III</li> </ul>   |   | 08 Credits |

Students will undergo common course work for 8 credits and subject based course work for 8 credits (in the department concerned on the basis of recommendation of Research Advisory Committee.)

- (b) After six months the candidate(s) shall be examined through Continuous Assessment (CA).
- (c) 75% attendance of the student in the Pre-Ph.D. Course Work both in Module 1&2 and Module three will be compulsory.
- (d) Successful candidate(s) then shall submit a synopsis and also make a presentation before the Research Board.
- (e) The candidate(s) shall abide by the decision of the Research Board Committee and Research Advisory Committee.
- (f) All full time Research Scholars shall be eligible for 30 days leave in an academic year.

**Note:**

- ❖ In case the candidate(s) does not clear course work examination, he/she shall be eligible to take such an examination along with the candidate(s) of the immediately next batch whenever conducted by the University. No further chance will be given.
- ❖ Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Examination Department through Research Department.
- ❖ A Pre-Ph.D. course work 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 (separately in both Continuous Assessment (CA) and Term-End-Examination) in order to be eligible to continue in the programme and submit the thesis.

**(D) Registration:**

- (a) The University shall admit only the pre-determined number of students in the Ph. D. programme.
- (b) While granting admission to the candidate(s) in Ph. D. programme, the University shall implement the prevailing Reservation policy of the State.
- (c) All those who are offered fellowships by the University or any other agency registered with the University to pursue a research degree programme of the University on a full-time basis shall belong to the category of full-time students. The Research Board, on the recommendation of the Research Advisory Committee may allow registration of full-time/part time students who do not have fellowship. Candidates for full time research programme shall preferably be permitted having sponsorship / assistantship / fellowship/ any financial support from university/state or national level agency, etc., however, candidates without any financial support as above, shall not be disqualified to take admission to full time Ph.D programme.

In addition to the educational qualifications the applicant shall prove the following to the satisfaction of Research Advisory Committee (RAC)

- (i) Permission of the employer in writing to the candidate, to pursue Ph.D programme along with his/her regular duties in the organization he/ she is employed.
- (ii) Availability of all facilities for pursuing research at the candidate's parent organization / place of work, in the chosen field of research.
- (iii.) Certificate issued by the employer to allow him/her to fulfill the residential requirement during course work (180 days leave for attending the class of course work) and contact days (as required by the university) with supervisor after completion of the course work as notified by University from time to time.
- (d) The date of registration shall be the date of admission (Fee deposition)
- (e) The registration of a student may be cancelled due to any of the following reasons:

- (i) Non-payment of fees
- (ii) Unsatisfactory progress
- (iii) Non-compliance with the provision of the ordinance on research
- (iv) Failure to submit the thesis within the prescribed time limit.
- (v) Any act of indiscipline by the candidate.
- (f) No re-registration is allowed.

**O.8.2.4 Fee:**

The candidate(s) shall be required to pay the fee for the course work and the Ph.D. programme as decided by the University from time to time.

**O.8.2.5 Supervisor/ Research Supervision:**

1. The Convener of the subject shall determine the number of seats in the concerned subject; from the eligible faculty members of VM Open University only. Maximum 2 seats will be allocated to a teacher each year.
2. Every student registered for the Ph.D. programme shall be required to pursue the programme under a supervisor from the University.
3. Only a full time regular teacher (Professor/ Associate Professor/ Assistant Professor) of the VM Open University will act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same university or from other related institutions with the approval of the Research Board.
4. Any regular Professor of the university with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
5. The allocation of Research Supervisor for a selected research scholar shall be decided by the university Research Board Committee depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.
6. A person having less than two year to his/her retirement will not be allotted research scholar under his/her supervision.
7. Retired teachers of VMOU shall continue to be Research Supervisors of the University only for candidate(s) already registered under them.



8. In case of relocation of 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 on willingness of the supervisor and on the recommendation of Research Advisory Committee and permitted by the Research Board.
9. No person shall be permitted to supervise or evaluate the research work of his/her close relations. The term close relation includes wife/husband/son/daughter/grandson/granddaughter/brother/sister/nephew/niece/grand-niece/uncle/aunt/firstcousin/son-in-law/daughter-in-law.
10. The maximum number of students of Ph. D. Programme, registered under a Supervisor at a time shall be as under:
  - (a) Professor: 8 students
  - (b) Associate Professor: 6 students
  - (c) Assistant Professor: 4 students
11. In case the supervisor retires or leaves the University, the student shall be permitted to work with him/her if he/she has completed six months of research work after registration. In an eventuality of death of the Supervisor, the student on his/her request would be allotted another Supervisor by the Research Board and the entire period of his/her research work until then shall be counted for the purpose of the submission of the Ph. D. thesis.
12. Universities shall make appropriate provision so that eligible research supervisors do not refuse to guide research scholars.

**O.8.2.6 Submission of Ph.D. Thesis:**

- (a) Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years for full time research scholars and 4 years including course work and maximum of 7 years for part time research scholars.
- (b) Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the University.
- (c) The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year or two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- (d) For Ph. D. degree, a student shall be required to submit a thesis after getting a “NO DUES CERTIFICATE” from the concerned units of the University.
- (e) Prior to submission of the thesis, the student shall submit a summary of the thesis in approximately 3000-5000 words indicating as to how far the thesis embodies the

results of investigations. The summary shall be submitted in four copies along with a soft copy (CD). The summary shall be sent to the examiners. No thesis shall normally exceed eighty thousand words (excluding footnotes and bibliography). It may be a piece of research work duly characterized either by the discovery of new facts or by a fresh interpretation of facts or theories. In either case it should reflect the student's capacity for critical examination and judgments. It should also be satisfactory as far as its literary presentation is concerned. However, in case a thesis exceeds this limit the student shall be required to obtain special permission of the Research Board. The student shall submit his/her thesis in four copies with one soft copy (CD).

- (f) Ph.D. scholars must publish at least two (2) research papers in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- (g) Prior to the submission of the thesis, the scholar shall make a presentation which shall be three months prior to the submission of thesis in the Department before the Research Advisory Committee which shall also be open to all faculty members (Professor/Associate/Assistant Professor only) and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the Research Advisory Committee.
- (h) A student shall ordinarily not be permitted to change the scheme of research during the course of the study. In exceptional cases, on recommendation of the Research Advisory Committee and with due justification, the Vice-Chancellor/Research Board may permit change in the scheme.

**(i) Colour scheme for cover of thesis in different Schools:**

<b>School</b>	<b>Colour</b>
School of Social Sciences & Humanities	Red/Maroon
School of Commerce & Management	Yellow
School of Continuing Education	White
School of Science & Technology	Light Blue
School of Education	Pink

- (j) The Academic Council shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to 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 same Institution where the work was carried out, or to any other Institution. The university shall follow plagiarism policies as prescribed by UGC and amended time to time.

**O.8.2.7 Evaluation and Awards:**

- (a) After receipt of the thesis, along with necessary certificates and the requisite fee deposited in the office of the Director (Research), the Supervisor shall submit a panel of 8 experts who are entitled to be Research Supervisors of the University, preferably Professors and Associate Professor, for appointment as examiners and certify that they are active in the related field. The Vice-Chancellor shall appoint two external examiners from the submitted panel for evaluating the thesis.
- (b) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College, of whom one examiner may be from outside the State/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 examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- (c) The following provisions shall be applicable for evaluation of a Ph. D. thesis:
  - (i) If the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the Institution shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners 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 dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
  - (ii) In case all the three examiners approve the thesis, the student shall be called upon to appear for a *viva-voce* examination.
  - (iii) The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.
- (d) The student shall undergo a *viva-voce* examination to defend his/her thesis based among other things, on the critiques given in the evaluation report. The *viva-voce* shall be open to

Research Advisory Committee, all faculty members, research scholars and all interested persons and shall be conducted by the Board of Examiners consisting of the Supervisor and one of the external examiners of the thesis nominated by the Vice-Chancellor for the purpose.

- (e) It is essential for the student to appear for the viva-voce examination.
- (f) If both the examiners (Supervisor and external) conducting the viva-voce are satisfied and recommend, the case shall be forwarded by the Director, Research to the Vice-Chancellor for approval and a provisional certificate may be issued to the student by the Examination Department.
- (g) In case the recommendations of the viva-voce examiners differ from that of the thesis examiners or there is a difference of opinion between the viva-voce examiners, the student may be asked to reappear at a second viva-voce examination within six months. If the student fails to satisfy the viva-voce examiners, second time also, the thesis shall be finally rejected.
- (h) If two examiners recommend that the student be asked to revise/improve his/her thesis, the Vice-Chancellor may permit the student to resubmit the revised thesis on the recommendation of the Supervisor(s).
- (i) In case a student is allowed to resubmit the thesis, he/she shall have to pay a fresh submission fee at the time of submission of the revised thesis.
- (j) In the event of the thesis report not being received from an examiner within a period of three months, the Director (Research) may seek approval of Vice Chancellor for appointment of another examiner on suggestion of research supervisor.

**O.8.2.8 Remuneration to Examiner:**

The expert(s) shall be paid TA/DA and remuneration for evaluation of synopsis, thesis and conduct of viva-voce as per the prevailing University rules. The actual postal charges shall be reimbursed to the examiners. Necessary deductions shall be made as per university rules. The rates may be amended by the University from time to time.

**O.8.2.9 Depository with INFLIBNET:**

Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the M.Phil. Dissertation /Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2016.

#### **O.8.2.10 Incentives to Research Supervisors**

- (i) Universities shall make suitable provisions for accelerating and creating conducive environment for promotion of research in the university.
- (ii) Universities may set up research centre in the institutes under their jurisdiction where research guide and research facilities are available.
- (iii) Universities shall promote teachers to submit research proposal getting funds from UGC/AICTE/DST/ICSSR etc.
- (iv) Each Research Supervisor shall be credited a load of 2 periods /week to his /her teaching load irrespective of number of candidates working under him.
- (v) University shall allocate special funds for research initiatives.

#### **O.8.2.11 To Improve Quality of Research**

- I. The efforts for R&D should lead to benefit society directly / indirectly.
- II. Departments shall identify research areas and form research groups consisting of faculty members having common specializations and research interests.
- III. Departments shall interact with industries to take inputs to define R&D problems. Outcome of such type of R&D efforts may lead to Technology Transfer to industries for improving processes or production of new products / new innovation.
- IV. The R&D activities shall lead to bring external cash flow (ECF) through consultancy and testing, technology transfer / transfer of resources out come. etc. which may be utilized for further development of department and the institute.
- v. The R&D activities shall lead to file patents at national and/or international level.

#### **O.8.2.12 Removal of Difficulties:**

Notwithstanding anything contained in this ordinance, the Vice-Chancellor may take any such measures as may be deemed necessary for removal of doubts/difficulties and to resolve any other extraordinary issue pertaining to research.

Any provision that is not covered under the provisions of the above Ordinance shall be referred to the Vice-Chancellor, whose decision shall be final.