

**Ordinance 19**  
**Doctor of Philosophy (Ph.D.)**  
**(Ordinance as per UGC Regulation 2022)**

*Revised on 23 Feb 2024 in light of the University Grants Commission (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degrees Regulations, 2022 published in the Gazette of India on November 7<sup>th</sup> 2022)*

1. Candidate for the degree of Doctor of Philosophy must, at the time of application, hold Master's degree with at least stipulated percentages as below or an equivalent grade of the University, a deemed University or any other University incorporated by any law for the time being in force and recognized by the University:
  - a. Engineering – First Class at UG and/or PG level
  - b. Science – 55 Per cent at PG level
  - c. Management – 60 Per cent at PG level
  - d. Computer Applications – 60 Per cent at PG level
  - e. Humanities - 55 Per cent at PG level
2. A candidate must apply for registration in Ph.D. Program of his subject on a prescribed form obtainable on payment of prescribed fee, stating.
  - a. His/ Her qualification and experience;
  - b. Proposed subject/discipline along with the relevant faculty in which he/she proposes to work;
  - c. Proposed title of the Ph.D. thesis.
  - d. Name of the supervisor (along with the name of Co-Supervisors, if any) (Strictly from the University list of approved Supervisors & Co-supervisors) under whom he/she wishes to work and the place/places at which he/she wishes to carry on investigations together with the consent of the Supervisor and Co-supervisors.
  - e. Certificate of qualifying the UGC/CSIR/DST/National or State Level Fellowship/NET / GATE / GPAT/SLET, if any
  - f. Letter granting teacher fellowship, if any.
  - g. Address, Contact number, mobile number, email id and other contact details.
3. **Eligibility criteria for admission to the Ph.D. Programme.-**

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 degree in Engineering / Technology / Applied Sciences. Provided that research work leading to Ph.D. degree may be allowed in allied subjects of interdisciplinary nature of the same faculty or of 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 Academic Council.

The following are eligible to seek admission to the Ph.D. programme:

1. Candidates who have completed:

- i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least % of marks as mentioned in Clause 1 in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.
- ii. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

2. Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

**4. Duration of the Programme.-**

- a. Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- b. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- c. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- d. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

**5. Availability of seats.**

The number of seats available for admission to Ph.D. programme shall be decided and notified by the University on its website and/or by advertisement, which shall be decided on the following basis:

- a. A supervisor shall not have at any point of time, more than 08 Ph.D. Scholars as supervisor and 06 Ph.D. Scholars as co-supervisor in case of a Professor and 06 Ph.D. Scholars as supervisor and 05 Ph.D. Scholars as co supervisor in case of others, in any universities in India and abroad. For that supervisor have to submit undertaking regarding total number of candidates he is supervising.
- b. The seats available with the supervisor should be manageable for him/her and also manageable for the concerned research centre.


**6. Procedure for admission. -**

- (1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time. The admissions shall be made by the University, through an entrance test by the Admission Board following the norms prescribed by the UGC New Delhi. The functions of the Admission Board shall be as follows:
  - a. To prepare panel of names of paper setters in various subjects and submit them to the University.

- b. To arrange for entrance test.
  - c. To arrange for interview.
  - d. To announce the names of candidates admitted along with the subject, place of research work, name of supervisor and title of the thesis.
  - e. To resolve problems, if any
- (2) Admission to the Ph.D. program shall be made using the following methods:
- a. University will admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

**And/or**

- b. University will admit students through an Entrance Test conducted at the University. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject- specific.
  - c. Students who have secured 50% marks in the entrance test are eligible to be called for the interview.
  - d. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
  - e. University will call the number of eligible students for an interview based on the number of Ph.D. seats available.
  - f. Provided that for the selection of candidates based on the entrance test conducted by the university, a weightage of 70% for the entrance test and 30% for the performance in the interview/viva-voce shall be given and candidate is required to pass in both the section(Entrance test and Interview) separately by securing 50% marks in each section.
- (3) Universities and Colleges which are eligible to conduct Ph.D. programs, shall:
- a. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;
  - b. Adhere to the National/State-level reservation policy, as applicable.
- (4) The Higher Educational Institution shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.
- (5) Procedure for conduct of Entrance Test & Structure of the Test**

Page 4 of 30  
  
**Dr. Omveer Singh**  
REGISTRAR  
ITM University  
Gwalior (M.P.)



All those who are not exempted from the entrance test will be required to take the entrance test. The format of the entrance test will be similar to that of National Eligibility Test of UGC . The entrance test for enrolling into Ph.D programme shall be conducted by the University. The date and place of which shall be announced through a notification.

The contents of the test will be as follows:

- i. General analytical skill/mental ability, including reasoning.
- ii. Wherever applicable, English communication skill (up to 12th standard level).
- iii. Foundation of the relevant subjects in multiple choice questions (MCQ) and descriptive type questions on the relevant subject up to PG level.

The first part of the test will consist of objective type of questions covering:

- a. General analytical skill/mental ability, including reasoning.
- b. English communication skill (up to 12th standard level)

This part will have 60 questions and will be for a duration of 45 minutes.

The second part of the test will consist of objective type of questions in the relevant subject for a duration of 30 minutes and will have 40 questions. There shall be negative marking of 0.25 marks for each wrong answer.

The third part will be a descriptive type of questions on the subject, which will be of one hour duration. This part will be evaluated only if the candidate secures more than 50% marks in the aggregate in the first two parts and individually 40% marks in each part. Those who secured more than these desired levels have to obtain more than 50% marks in the third part. If enough candidates do not qualify in the entrance test, the University may, if deemed fit, relax these conditions on a year-to-year basis. The Academic Council may modify the scheme of the entrance examination from time to time.

#### **7. Allocation of Research Supervisor.-**

- a. Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.
  - i. Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five (5) research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least two (2) research

publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of these Regulations.

- ii. For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
  - iii. Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
  - iv. Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
  - v. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- b. In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
  - c. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
  - d. In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholars shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
  - e. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
  - f. A recognized supervisor who fails to publish at least two research papers on the concerned subject in peer reviewed standard journals of repute over

duration of last two years shall not be eligible to enroll any new candidate under his supervision.

- g. The persons who have been recognized as supervisor/co-supervisor shall be eligible to supervise and register under him/her even after their superannuation.
- h. The teacher in any college, which is now a constituent unit of this University and who has been recognized as supervisor/co-supervisor earlier by the concerned University, shall continue to be recognized as supervisor/co-supervisor if they comply the requirement laid down for recognition as supervisor/co-supervisor.
- i. A person who is himself registered for Ph.D. degree of the University shall not be eligible to act as supervisor/co-supervisor or member of any committee mentioned in this Ordinance.
- j. A person, who wants to get himself/herself recognized as a supervisor/co supervisor, shall apply in the prescribed Performa, duly forwarded by Head/Principal/Director of his institution. The case will be put up before the RDC which will decide about the recognition.

#### **8. Admission of International students in Ph.D. programme.**

- 1. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 7(c) above.
- 2. The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
- 3. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 7(c) and clause 8.1.

#### **9. Fees**

- 1. Registration fee for Ph.D. program is to be paid to the University at the prevalent rates as announced by the University from time to time.
- 2. The total program fee must be paid before submission of Ph.D. thesis.

10. Course Work.- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

- 1. The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC

Page 7 of 30

  
**Dr. Omveer Singh**  
REGISTRAR  
ITM University  
Gwalior (M.P.)

vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

The Ph.D. course work shall contain the following courses:

- |  |           |
|--|-----------|
| i. Research Methodology                    | 3 credits |
| ii. Research Publication Ethics            | 2 credits |
| iii. Quantitative Techniques               | 3 credits |
| iv. Advance course in the relevant subject | 4 credits |
2. The course work shall be conducted in the University Teaching Departments/ Research centers as approved by the Vice chancellor.
  3. A combined course work for M.Phil. and Ph.D. students may be conducted for a single / group of subjects wherever possible.
  4. If found necessary, course work may be carried out in sister UTD/ Institute within the University for which due credit will be given.
  5. If a student obtains F or Ab Grade in a course/ subject, he /she will be treated to have failed in that course. He / she have to reappear in the examinations of the course as and when conducted or arranged by the UTD in the next semester. Marks obtained earlier in continuous assessment may be carried forward and added to the marks obtained in repeat end-semester examination to decide the grade in the repeat course. The student has to pay the prescribed fee for repeating the course. If he/she further fails in the course, he/she shall not be given another chance and he/ she shall be out of the Ph.D. programme. No student shall be allowed to repeat the course to improve the grade if he/ she pass the course.
  6. The candidate has to obtain a minimum of 55% of marks or its equivalent grade points in aggregate in the course work in order to be eligible to continue in the Ph.D. programme.
  7. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/ pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
  8. A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade

in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

#### **11. Research Advisory Committee and its Functions.-**

1. There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the Higher Educational Institution concerned for each Ph.D. scholar. The Dean of the School/HOD of the department where the Ph.D. scholar is registered shall be the Convener of this committee. RAC Committee will constitute of
  - 1) Hon'ble Vice Chancellor or Nominee of Hon'ble Vice Chancellor
  - 2) Dean of the School
  - 3) Chairman, BOS
  - 4) Head of Department
  - 5) Two Professors or One Professor & One Associate Professor of the School/Deptt.
2. RAC shall have the following responsibilities:
  - i. To review the research proposal and finalize the topic of research.
  - ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
  - iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.
3. Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.
4. In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

#### **12. RDC**

1. After successful completion of Pre PhD. course work mentioned above, the candidate shall be eligible to submit a synopsis (as per Appendix 1.) of his proposed research work along with the title of thesis (finally decided by the candidate) duly forwarded by the supervisor and Head of the institution where the candidate is pursuing his/her research. The synopsis has to be submitted in ten copies, with signatures of candidate, supervisor, co supervisor and Head of the institution on each of the copy on each of the page.
2. The candidate shall be required to make an oral presentation of the proposed work before the Research Degree Committee (RDC) consisting of the



following members:

- i. Kulpati or his nominee – Chairman.
- ii. Dean of the School concerned.
- iii. Chairman BoS of the subject in the School.
- iv. Head or One Professor of University Teaching Department or in the case of non-availability of Professor, one Associate Professor of the University Teaching Department of the subject.
- v. One external subject expert of the rank of University Professor to be appointed by the Kulpati, ordinarily out of a panel of 5 experts given by the Dean of the School concerned. External expert and two other members shall form the quorum.

**Notes:**

- (a) On the request of the supervisor, Kulpati may permit him to be present as an observer during the oral presentation of his candidate.
- (b) No. T.A. and D.A. shall be payable to candidate and supervisor for attending the Research Degree Committee meeting.
- (c) The meeting of Research Degree Committee (RDC) shall be held in the University office twice a year. The committee shall consider the application of the persons, who want to get recognized as supervisor/co-supervisor, submitted under section 11 of this Ordinance, and recommend the eligibility of the person for the appointment as supervisor/co-supervisor. The Committee shall also prepare a list of approved supervisors/co-supervisors, along with their specializations as per provisions of this Ordinance. This list shall be available with the Registrar.
- (d) After approval by the RDC of the title of the thesis, synopsis, supervisor, co-supervisor/s (if any), and place of research work, the candidate shall be registered for Ph.D./degree from the date on which the candidate had deposited the registration fee and other fees mentioned in para 8 of this Ordinance, at the time of admission, and this date will be the “date of registration” of the candidate. The letter of registration shall be issued by the Registrar, and sent to all those concerned. The candidate shall be enrolled as a student from the date of registration and will be required to pay regular tuition, library and laboratory fees (six monthly) where laboratory work is involved during his research tenure in the UTD/college/institute from which the application form was forwarded.
- (e) If the RDC makes any change only in the title of the thesis, the approved changed title shall be communicated to the candidate in the meeting of the RDC itself. The letter of registration shall be issued mentioning the approved

title.

- (f) If the RDC suggests any change in the synopsis, then the change required shall be communicated to the candidate by the Registrar. The candidate will be required to resubmit the synopsis (in Ten copies) as revised by him/her, incorporating the changes suggested by the RDC within 3 months time. The Dean of the School shall examine the revised synopsis and if he is satisfied that the changes suggested by the RDC have been incorporated in the revised synopsis, he will approve the same. The letter of registration shall then be issued by the Registrar.
- (g) If the RDC decides that major revision is required in the synopsis and/ or the oral presentation was also found to be unsatisfactory, then the candidate may be asked to revise the synopsis and/ or improve upon the oral presentation and reappear at the next meeting of the RDC.
- (h) If the RDC does not recommend a candidate for registration to Ph.D. degree, the candidate shall be communicated the same by the Registrar. In such case, only the caution money deposited by the candidate shall be refunded.

### **13. Period for submission of thesis**

1. The candidate shall pursue his research at the approved place of research under the supervisor/co-supervisor on the approved subject. The candidate shall be permitted to submit his/her thesis not earlier than 2.5 years (30 months) after successfully completion of course work at the research centre and not later than 6 (six) calendar years from the date of registration. In case a candidate does not submit his/her thesis within six calendar years, from the date of registration and does not apply for extension in time, his/her registration shall stand automatically cancelled.
  - i. Provided that the period for submission of thesis can be extended by 2(two) years by the Kulpati, 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 automatically cancelled.
  - ii. Provided also that after the expiry of six years from the date of registration, the Kulpati may permit a candidate to get re-registration on the same topic on payment of a re-registration fee as prescribed by the University. The condition of minimum period of 30 months and attendance shall not apply to such reregistered candidate for submission of the thesis. For re-registration, approval by RDC is not required. The

candidate must submit the thesis within four years from the date on which the original registration expired. No extension in this period is allowed. The registration will stand automatically cancelled after 8 years from the date of original registration. After this period if a candidate desires to pursue research work for Ph.D. degree he will have to apply for registration as a fresh candidate.

2. A teacher candidate with 5 years teaching experience at the time of registration can submit his/her thesis after 24 months instead of 30 months after successful completion of course work as provided in Section 10 of this Ordinance.
3. The candidate shall put in at least 240 days attendance after successfully completion of course work in the institution concerned or with the supervisor/co supervisor. The relevant declaration by the candidate (Appendix 2) and the certificate of the supervisor (Appendix 3) must be given in 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 a certificate of leaves availed from his/her employer, to justify his/her 240 days attendance in the research centre with the supervisor/co supervisor.

### **13. Change of supervisor**

Only under special circumstances, the candidate may be allowed to change the supervisor by the Kulpati on the recommendation of the committee, constituted by the Kulpati for this purpose. No change in the topic of research will be permitted due to change of supervisor.

### **14. Six monthly report**

The University shall obtain every six months a record of attendance, receipt of fees paid and progress report of the work of the Research Scholar from his supervisor as per Appendix 4 which shall be scrutinized by the Dean of the School. If the progress of work is not found satisfactory in two successive reports or no reports are received for a period of one year or candidate fails to deposit fees, the Kulpati on the recommendation of the Dean of the faculty may order the removal of the name of the scholar from the list of those registered for the Ph.D. degree.

### 15. Summary of thesis and appointment of examiners

- (a). The candidate shall submit ten copies of the summary of the thesis together with a list of research papers published or accepted for publication (in the peer reviewed standard journals of repute, as approved the University from time to time. through his/her supervisor to the Registrar about three months prior to the anticipated date of submission of thesis.
- (b). The supervisor shall submit to the Registrar, in a sealed cover a panel of at least six names of examiners actively engaged in the concerned area of research not below the rank of Associate Professor of a University Teaching Department or college Professor, from outside the jurisdiction of this University. At least half of the names should be from outside the state. Names can also be included from outside the country. Another panel of at least six examiners, actively engaged in the concerned area of research and not below the rank of Associate Professor of a University Teaching Department or college Professor, from outside the jurisdiction of this University, shall be submitted by the Dean of School in which the candidate is pursuing Ph.D.
- (c). In case the candidate is related<sup>1</sup> to the supervisor, then the first panel of examiners shall be obtained from Head, University Teaching Department of the Subject concerned, or a senior professor nominated by Kulpati,
- (d). The Kulpati shall appoint two examiners out of the two aforesaid panels, submitted by the supervisor and Examination Committee, respectively. The consent of examiners shall be obtained by sending them the summary and list of publications.

**Note:** The summary of thesis shall be sent by post / air mail / email.

### 16. Pre Submission Defense Committee (PSDC)

- a. Prior to submission of the thesis, the candidate shall prepare a draft thesis and shall submit it in SOFT and HARD copy in the prescribed format of the university.
- b. However prior to the submission of draft Ph.D. thesis and PSDC, the candidate shall publish at least two research papers in the peer reviewed standard journal of repute, as approved by the University from time to time, in which the candidate is the sole author or if there are coauthors, then his/her name should be as first author. The reprint of such a paper along with reprints

<sup>1</sup> The term relations shall include father, mother, wife, husband, daughter, son, grandson, granddaughter, brother, sister, nephew, niece, grand nephew/niece, uncle, aunty, son in law, sister in law, father in law, mother in law and the first cousin.

of other research papers published by him, if any, shall be appended inside the thesis at the end. If reprint has not been obtained till the time of submission of thesis, the acceptance letter along with the approved manuscript (i.e., preprint) shall be appended inside the thesis at the end.

- c. The candidate shall make a Pre-Submission Defense, based on that draft thesis, in the University Teaching Department in the subject or any place in the University premise fixed by the University for the purpose. Arrangement for this shall be made on a request from the candidate, duly recommended by the supervisor, to the University in the proforma given in Appendix 5.
- d. The candidate shall be required to make an oral presentation of the proposed work before the Pre Submission Defense Committee (PSDC) consisting of the following members:
  - i. Kulpati or his nominee – Chairman.
  - ii. Dean of the School.
  - iii. Chairman BOS of the subject in the School.
  - iv. Head or One Professor or in the case of non-availability of Professor, one Associate Professor of the University Teaching Department. Presence of three members shall form the quorum.

**Notes:**

- a. On the request of the supervisor, Kulpati may permit him to be present as an observer during the oral presentation of his candidate.
- b. No. T.A. and D.A. shall be payable to candidate and supervisor for attending the Pre Submission Defense Committee (PSDC) meeting.
- c. The presentation shall be open to all the faculty members and research students and its aim will be to get feedback and comments, If the PSDC suggests any change in the work, then the change required shall be communicated to the candidate by the Registrar, which will have to be suitably incorporated into the draft thesis under the advice of the supervisor. The candidate will be required to resubmit the draft thesis as revised by him incorporating the changes suggested by the PSDC within 3 months time. The Dean of the School shall examine the revised draft thesis and if he is satisfied that the changes suggested by the PSDC have been incorporated in the revised draft thesis, he will approve the same and the thesis can be submitted. The letter of approval accordingly shall then be issued by the Registrar.
- d. If the PSDC decides that major revision is required in the draft thesis and/or the oral presentation was also found to be unsatisfactory then the candidate may be asked to revise the draft thesis and/or improve upon the oral presentation and reappear at the next meeting of the PSDC.
- e. The candidate shall only be permitted three times (including one mercy attempt



to be awarded by the Kulpati) to present his case before PSDC on the basis of his request, duly recommended by the supervisor, to the University in the proforma given in Appendix 05. However, if, the candidate fails to get a recommendation for submission from PSDC, as mentioned above, his registration for PhD shall be cancelled.

## **17. Submission of thesis**

- (a) After getting an approval from PSDC as mentioned in para 17, the candidate can finalize his/her thesis.
- (b) The finalized thesis shall be type set on a computer using standard software like MS Word or LATEX. It shall then be typewritten only on one side of pages and strictly as per the format provided by the University. It may then be photocopied (only on one side of the pages) for producing multiple copies.
- (c) The candidate shall submit the thesis to the University as follows:
  - i. Three hard bound copies of the thesis, and
  - ii. (ii) Soft copy in the form of CD (in two copies).
  - iii. In the thesis after the cover page, the forwarding letter/declaration/certificate mentioned in (a) (b) and (c) below must be given.
  - iv. The thesis should be forwarded by the Head of the UTD where the candidate was registered. (Appendix 6)
  - v. The thesis must be accompanied by a declaration from the candidate as per (Appendix 2) that the thesis embodies his/her own work and he/she has worked under the supervisor at the approved place of work for the required period as per provisions of the Ordinance.
  - vi. The certificate from the Supervisor together with co-supervisors, if any, as per Appendix 3.

### **Notes:**

- i. The candidate shall also submit with the thesis, prescribed examination fee as prescribed by the University.
  - ii. The no dues certificate as per University policy must be submitted along with the thesis.
18. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.-
- 1. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in Clause 1 of Regulation, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.

2. Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Higher Educational Institution concerned, which shall also be open to all faculty members and other research scholars/students.
3. The Higher Educational Institution concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
4. A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
5. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of this Regulations.
6. The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
7. The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

## 19. Evaluation of thesis and viva-voce examination

- 1) On receipt of the thesis, required fee and no dues certificates, the thesis shall be sent to the two examiners already consented.
- 2) The thesis to be accepted for the award of the Ph.D. degree must comply with the following conditions:
  - a. It must be 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 and sound judgment.
  - b. It must be satisfactory in point of language and presentation of the subject matter.
20. The examiners shall categorically recommend in the prescribed Proforma (Appendix 07) acceptance, revision or rejection of the thesis. He shall also give detailed comments on the points spelt out in clause 21 of the Ordinance and also detailed comments on each chapter in the examiner's report, which should be typed on separate pages, in four copies. The examiner must also give a list of at least ten questions; he wishes to be asked during the viva voce examination.
21.
  - a. The examiners may seek clarification of the subject matter of the thesis from the supervisor through the Registrar. This provision will be incorporated in the letter to be sent to the examiners while sending the thesis.
  - b. The Kulpati may recall the thesis from an examiner, who fails to send the reports within three months of the date of dispatch of the thesis or such other date as may be extended by the Kulpati, and appoint another examiner from the panels of examiners.
22.
  - a. In case both the examiners reject the thesis or one of them rejects the thesis and the other recommends a revision, the thesis shall be rejected.
  - b. If both the examiners recommend for the revision of the thesis, the candidate shall be called upon to revise the thesis in the light of the observations of the examiners.
  - c. If one examiner approves the thesis and the other rejects it or recommends for revision the thesis shall be sent to the third examiner, drawn from the panel of examiners as constituted at para 15 (b) by the Kulpati, without the reports of earlier examiners, the third examiner shall be asked to give his/her opinion and this opinion shall be final.
  - d. In case both the original examiners accept the thesis for the award of the

Ph. D. degree or in the event of it being referred to the third examiner, and the third examiner accepts the thesis for the award of the Ph. D. degree, the candidate shall be called upon to appear at the viva-voce examination before a board of examiners comprising of the Supervisor, co supervisor (if any) and one of two examiners (as per para 15(b), selected by the Kulpati, who have accepted the thesis for the award of the Ph. D. degree. In case the candidate is related\* to the supervisor, then the Kulpati shall appoint Head of the University teaching Department/School of Studies/Institution/Chairman Board of studies of the subject concerned to act as viva-voce examiner, in place of the Supervisor.

- e. The Supervisor/Head University Teaching Department/Chairman Board of Studies of the subject concerned, as the case may be, shall be communicated the name of the external examiner appointed by the Kulpati to conduct the viva-voce examination. The same shall then contact the external examiner and fix up a date for viva-voce. The date fixed for the viva-voce shall be informed to the candidate and the Registrar. Provided that in special circumstances Kulpati may appoint alternate viva-voce examiner from the panel of examiners, if both the external examiners are not in a position to conduct the viva voce examination.
- f. The viva-voce examination shall be conducted at the University Teaching Department or at any place fixed by the University for the purpose. The date and time and place of open viva-voce examination shall be notified by the registrar on the University Notice board at least a week in advance. At the time of viva-voce examination, the board of examiners shall be provided the reports of the examiners, which shall be returned along with the report of viva-voce examination to the Registrar in confidential cover.
- g. The candidate shall present the work embodied in the thesis before the board of examiners, members of faculty, research scholars and other interested persons present in open viva. After the presentation of the research work the Board shall ask question together with those questions, which have been given along with examiners reports. Others in the audience can also ask questions and the candidate shall reply only those questions which are permitted by the external examiner.
- h. In case the recommendations of the viva-voce examiners differ from that of the thesis examiner or there is difference of opinion between the viva-voce examiners, the candidate shall reappear at a second viva-voce

examination within six months. Such candidates would be required to pay an additional fee as prescribed by the University for Second viva- voce Examination. The external examiner for second viva-voce examination shall be appointed by the Kulpati as above. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected.

23.

- a. If the examiners recommend that the candidate be asked to revise/improve his thesis, the Kulpati shall permit the candidate to resubmit his thesis not earlier than six months and not later than eighteen months, the period being counted from the date of the issue of orders to the candidate.
- b. The candidate shall be provided examiners reports without disclosing the names of the examiners to enable him/her to improve the thesis on the basis of the reports. All the copies of the thesis shall also be returned to the candidate.
- c. In case the candidate is allowed to resubmit the thesis he/she will have to pay the prescribed fee afresh at the time of resubmission but it shall not be necessary for him to reproduce any certificate of further attendance at the institution at which he/has carried out the work.
- d. The resubmitted three copies of the thesis must make clear mention that it is a revised version. The thesis shall be got examined as far as possible by the examiners who finally recommended for the revision.
- e. In case a candidate is asked to revise the thesis under clause 22(b) and one of the examiners recommends again for revision of the revised thesis and the other accepts the revised thesis for award then the thesis shall be sent to the third examiner. If the third examiner rejects or recommends for revision the thesis shall stand rejected. If he accepts the thesis for the award then the candidate shall be awarded the Ph.D. degree on successful viva voce examination as per provision of clause 26 of the Ordinance.
- f. In case a candidate is asked to further revised the thesis by the third examiner, as per provisions laid down under para 22 (c), above thesis shall stand rejected. Second time revision is not permitted in any case and if so, the thesis shall automatically stand rejected.

**Note** – Whether a candidate has incorporated the minor revision/s suggested by the examiner/s shall be evaluated by the Dean of the School. Only after his satisfactory report, the viva-voce of the candidate shall be fixed.



**24. Appearing in other examination**

No research scholar shall join any other course of study or appear at any other examination conducted by any University leading to a degree (except Certificate/Diploma course of languages, research methodology, statistics, and computer courses).

**25. Publication of thesis**

The thesis shall be published only with the permission of the University and such publication shall state on the title page itself that this was thesis approved for award of the Ph.D. degree of the University.

**26. Award of Ph.D.**

After the successful viva-voce, the Vice Chancellor shall have powers to issue Notifications for the award of Ph.D degree to the candidate and the matter shall be reported to the Board of Management for their approval in its forthcoming meeting. One copy of the thesis will be kept in the University Library and another copy will be kept in the Departmental Library of the Institution where the research work was carried out; the third will be returned to the supervisor.

**27. Reports of examiners**

After the declaration of the result the successful candidates may be provided the copies of reports of examiners who recommended for the award of the degree on payment of fee prescribed by the University. The reports will not disclose the identity of the examiners.

**28. Withdrawal of degree**

On detection of any irregularity or any plagiarism the University shall take suitable steps to withdraw the degree. Those candidates who have applied for registration but have not been registered before this Ordinance comes into force, shall be governed by the provision of this ordinance i.e. they will have to fulfill all the requirements, as laid down in this ordinance.

**29. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes.-**

1. Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.

2. Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:
  - i. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
  - ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

**30. Ph.D. Through Part time mode**

1. Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
2. The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
  - i. The candidate is permitted to pursue studies on a part-time basis.
  - ii. His/her official duties permit him/her to devote sufficient time for research.
  - iii. If required, he/she will be relieved from the duty to complete the course work.
3. Notwithstanding anything contained in these Regulations or any other law, for the time being in force,  
no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

**31. Issuing a Provisional certificate.-**

Prior to the actual award of the Ph.D. degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

**32. Award of Ph.D. degrees prior to Notification of these Regulations.-**

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016.

Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

**33. Depository with INFLIBNET.-**

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

  
**Dr. Omveer Singh**  
REGISTRAR  
ITM University  
Gwalior (M.P.)

### **Appendix – 1 PROFORMA FOR SYNOPSIS**

1. Title of the thesis
2. Introduction : Giving purpose of research (in about 200 words)
3. A brief review of the work already done in the field.
4. Noteworthy contributions in the field of proposed work.
5. Proposed methodology during the tenure of the research work.
6. Expected outcome of the proposed work
7. References in standard format.
8. List of published papers of the candidate.

  
**Dr. Omveer Singh**  
REGISTRAR  
ITM University  
Gwalior (M.P.)

**Appendix – 2**  
**DECLARATION BY THE CANDIDATE**

I declare that the thesis entitled  
.....  
.....  
..... Is my own work conducted under the supervision of Dr.  
..... (Supervisor/Co-supervisor) at  
..... (Centre)  
.....  
..... Approved by Research Degree Committee. I have put in more than 240 days of  
attendance with supervisor at the centre.  
I further declare that to the best of my knowledge, the thesis does not contain any part  
of any work which has been submitted for the award of any degree either in this  
University or in any other University without proper citation.

Signature of the candidate  
(Name of the Candidate)  
Date : ..... Place : .....



**Appendix – 3**  
**CERTIFICATE OF THE SUPERVISOR**

**CERTIFICATE**

This is to certify that the work entitled  
..... Is a piece of  
research work done by Shri/Smt./Ku. ....  
Under my/our Guidance and supervision for the degree of Doctor of  
Philosophy of ..... University  
..... (M.P.) India. I  
certify that the candidate has put in an attendance of more than 240  
days with me.

To the best of my knowledge and belief the thesis:

- i. Embodies the work of the candidate himself/herself.
- ii. Has duly been completed
- iii. Fulfills the requirement of the ordinance relating to the Ph.D  
degree of the University: and

Signature of the Supervisor  
(Name of the Supervisor)  
Date : .....

Signature of the Co-supervisor  
(Name of Co Supervisor)  
Date : .....

  
**Dr. Omveer Singh**  
**REGISTRAR**  
**ITM University**  
**Gwalior (M.P.)**

Page 25 of 30

**Appendix – 4**  
**CONFIDENTIAL PROGRESS REPORT**

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

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

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

Date : .....

Place : .....

.....

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

Signature of the Supervisor

Date : .....

Place : .....

Address : .....

.....

.....

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

.....

**Appendix – 5**  
**REQUEST FOR PRE Ph.D. PRESENTATION BASED ON**  
**DRAFT THESIS**

The Registrar,  
ITM University, Gwalior

Subject : Request for making Pre-Ph.D. Presentation based on draft thesis.  
Reference : Ph.D. registration letter No. .... Detail .....

Sir,

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

1 Name of the candidate

2 Name of supervisor and Co-supervisors

3 Subject

4 Place of work

5 Title of thesis

My draft thesis is complete and I want to make Pre Ph.D. presentation.

Kindly arrange for the same.

Date: .....

(Signature of the candidate)

Place: .....

Name and Address .....

(Signature of the Supervisor)

Name and Address : .....

**Appendix – 6 FORWARDING LETTER OF HEAD OF INSTITUTION**

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

Name ..... Seal.....

**Appendix – 7**  
**EXAMINERS REPORT ON Ph.D. THESIS**

Title of thesis

.....  
.....  
.....

Name of candidate Shri/Smt./Ku.

.....  
.....

..... Subject : ..... Faculty .....

1.The thesis is recommended for the Award of Ph.D degree  
..... Yes/No

2.The thesis be revised on the Lines ..... Detailed below  
.....

3. The thesis be rejected ..... (Please write Yes/No, as the case may  
be)

Thesis requiring only minor revision/s should also be covered in this category and suitable remarks detailing minor revision/s required, is/are to be enumerated. ## Thesis requiring only major revision/s should be covered in this category and suitable remarks detailing the major revision/s required is/are to be enumerated

**DETAILED REPORT**

(The examiner is requested to attach detailed report in four copies, covering also the following points)

(a) It must be a piece of research work characterized either by the discovery of the facts or by a fresh approach towards the interpretation of facts. In either case it should evince the candidate's capacity for critical examination and sound judgment.


(b) It must be satisfactory in point of language and presentation of the subject matter.

Date : .....

..... Place :

..... (Signature of the Examiner)

Full name & Address .....  
.....

Page 29 of 30  
  
Dr. Omveer Singh  
REGISTRAR  
ITM University  
Gwalior (M.P.)

**Appendix – 8**  
**PROVISIONAL CERTIFICATE REGARDING AWARD OF**  
**Ph.D. DEGREE (Para)**  
**ITM UNIVERSITY, GWALIOR**

**CERTIFICATE**

This is to certify that vide notification no ..... Dated  
..... of this University, the Board of Management has  
decided that the degree of Ph.D. in ..... ( Subject) be  
awarded to .....  
..... The title of Ph.D. thesis is  
.....  
..  
.....  
.....  
.....

The Ph.D. degree has been awarded in compliance of the “University  
Grants Commission (minimum standards and procedure for award of  
M.Phil/Ph.D. degree) Regulation, 2022.

Registrar

Date : .....

  
**Dr. Omveer Singh**  
**REGISTRAR**  
**ITM University**  
**Gwalior (M.P.)**