



# TEERTHANKER MAHAVEER UNIVERSITY

(Established under Govt. of U. P. Act No. 30, 2008)

NH-24, DELHI ROAD, MORADABAD – 244001 (U.P.)

## STANDARD OPERATING PROCEDURE FOR THE AWARD OF Ph.D. DEGREE

1. The result of TRAT will normally be declared within 10(ten) days of the examination by the Examination Division. Thereafter the result will be sent for uploading on the website of the university, to the IT Cell, and the College concerned, by the office of the Joint Registrar (R&D) within two days of the declaration of result by the Examination division.
2. After declaration of the result of the TRAT, the concerned College will inform the candidate about the result and request the qualified candidates to attend the first CRC meeting along with their research plan, as per Clause 6.3 of the ordinance, (normally a two-page write-up on the Research they intend to do). This should normally be completed within a month of declaration of results.
3. During the first interaction with the qualified and TRAT exempted candidate the CRC will assess the suitability of the candidate, the facilities available for the Research, the availability of Research supervisor, and additional course work if any required, as detailed under Clause 6.3 of the Ordinance.
4. After the first interaction with the qualified candidate, if the CRC decided to recommend the candidates research plan for further processing, the College will form a Research Advisory Committee (RAC) for each candidate as defined under clause 1.10 of the Ordinance

OR

In case the Research plan needs modification or needs change due to lack of facilities or research supervisor, and if the candidate agrees to change his research domain the CRC will allocate a Research supervisor to help him submit a revised Research plan. Such candidates will represent their plan in the next CRC meeting.

The Research Advisory Committee (RAC) for such candidates will be formed after clearance of their Research Plan by CRC.

5. Based on the CRC recommendation including the course work(s) to be carried out by the research candidate, the candidate will register with the University, as a Research Scholar, after submitting the letter recommending enrollment of the candidate duly signed by the Chairperson of the CRC and completing the due formalities as per the Ordinance.
6. On registering as a Research Scholar, the University R&D cell will issue a unique registration number to the registered Research scholar. S/he will also complete the formalities of enrollment in the University enrollment division. Thereafter the Research Scholar would be required to complete the mandatory course work coordinated by the URCC and the additional course work in the college concerned as per the ordinance.
7. Simultaneously s/he will also prepare the synopsis under the guidance of the RAC and present the same when CRC meets next.

8. Due to high attrition of faculty members, the Research work of the scholar suffers if the supervisor(s) leaves the University delaying the research work. To mitigate the same, in case a supervisor leaves the University after 12 months of registration of the Research Scholar, and approval of synopsis, the supervisor(s) can continue to guide the research scholar, even after their leaving the University, if the candidate and the supervisors are both willing to carry on by giving a written consent to the CRC.
9. The RAC and CRC will guide and monitor the progress of the research scholar periodically and mandatorily at least once in a semester and give its specific recommendation in the format. Mandatory quorum for CRC meeting shall be complete when atleast one member of the URRRC(Chairman or Member Secretary) is present.
10. Duration of the PhD program shall be three years from date of registration and a maximum of six years as per Clause 11 of the Ordinance. Researcher scholars who have progressed fast and completed their requirement can submit their Research work for evaluation after 30 months of registration, on the approval by the CRC. However, the Oral Defence will not take place before completion of three years of registration.

## **PRE THESIS SUBMISSION & PRESENTATION**

11. For the pre thesis submission presentation, a candidate is required to apply to the college on the prescribed application form 'APPLICATION FOR PRE THESIS SUBMISSION PRESENTATION' (Annexure – I).
12. The candidate is required to attach copy of all the related research papers published by him/her after registration to PhD programme of the university.
13. The research coordinator shall examine the application of the candidate and submit his/her report to the Director/Principal/Head in the prescribed proforma 'REPORT OF CRC/DRC ON THE REQUEST FOR PRE THESIS SUBMISSION PRESENTATION' (Annexure – II).
14. The research coordinator shall ensure that the candidate has completed all the academic requirements for being eligible to make a pre thesis submission presentation viz. completion of coursework including review of literature, compliance of conditions of continuity as mentioned in Annual Progress Report(s) of the candidate, publication of at least two research papers related to the topic of research in reputed research journals.  
  
*Only the research papers published as a PhD research scholar of Teerthanker Mahaveer University shall be considered for the purpose of partial fulfillment of academic requirements of PhD Programme. The papers published in any other capacity shall not be considered for the purpose.*
15. On receipt of the report of research coordinator, the Director/Principal/Head shall examine the same and give his/her observations on the application of the candidate. In case the Director/Principal/Head decides to grant permission to make the presentation, the research coordinator shall fix the schedule of presentation in consultation with the candidate and the research supervisor(s).

16. The Director/Principal/Head shall give his/her approval in the prescribed 'APPROVAL OF DIRECTOR ON THE APPLICATION FOR PRE THESIS SUBMISSION PRESENTATION' (Annexure – III).
17. Before a candidate is permitted to make the presentation, the college shall ensure that the candidate has submitted all the dues till date.
18. The college/department shall also ensure that no presentation is allowed before the elapse of at least thirty-six months from the date of registration to the PhD programme.
19. Then the research coordinator shall send a written communication to the candidate as well as the research supervisor(s) about the schedule of presentation viz. day, date, time, and venue of the presentation.
20. He/she shall also inform the candidate to submit eight soft bound copies of summary of research work to CRC/DRC, duly certified by the research supervisor(s), at least fifteen days before the date of presentation. The candidate is also required to submit a soft copy of the summary along with the certified copies.
21. The candidate shall also be provided with 'GENERAL GUIDELINES FOR PRE THESIS SUBMISSION PRESENTATION' (Annexure – IV) along with the schedule of presentation.
22. It is also desirable to ascertain in advance whether the candidate shall need some special arrangement for presentation like some specific equipment/instrument, special facility etc. If so, the research coordinator should do the needful to arrange for the same.
23. On submission of the summary by the candidate to the college, the coordinator shall circulate the copies of the summary amongst the CRC/DRC members.
24. The members shall go through the summary and make constructive suggestions and observations in enriching the research work at the time of presentation.
25. The Head of CRC/DRC shall arrange to convene the meeting of CRC as per schedule. Some of the faculty members other than CRC/DRC members and having interest in the area of research topic, and/or some students may also be present during the presentation.
26. The college may also invite some internal/external expert for the purpose, if desired. In such a case, the necessary approval of the Vice Chancellor should be obtained in advance.
27. The presence of the research supervisor at the time of presentation is desirable. However, if the supervisor is not available then the co-supervisor, if any, may remain present during the presentation. In the event of non-availability of any of the supervisor(s), the presentation will be cancelled and a fresh schedule shall be finalized and communicated to all the concerned people.
28. The candidate shall make the presentation as per schedule.

29. The coordinator shall prepare a comprehensive report of the presentation in the prescribed proforma 'REPORT OF CRC/DRC ON PRE THESIS SUBMISSION PRESENTATION' (Annexure – V), and submit it to the Director/Principal/Head along with a list of observations and suggestions that the candidate shall be required to incorporate in his/her thesis before its submission. The 'Report' must be accompanied with the minutes of the meeting of CRC/DRC in this context.
30. The CRC/DRC is also expected to review the research work of the candidate from the plagiarism point of view. The pre thesis submission presentation can be accepted only after the favourable observations of the CRC/DRC in this regard.
31. The Director/Principal/Head shall review the report of CRC/DRC and give his/her decision on it, and subsequently, the research coordinator shall inform the candidate and the supervisor(s) about the decision on presentation.
32. In case, the research work is accepted by the college/department for submission of thesis, a list of observations and suggestions, as mentioned above, shall also be sent to the candidate and the supervisor(s). The candidate is required to incorporate these observations and suggestions in his/her thesis in consultation with the supervisor(s). Also, the research coordinator shall send a copy of ANNEXURE–G of the PhD ordinance (i.e. Instructions for preparation of PhD thesis) to the candidate. The thesis must be typed using MS Word, in Times New Roman font size 12, with heading in font size 14 and bold. The text shall be in line spacing 1.5 with side margins Left 1.5" and right margin 1.0".
33. Faculty willing to supervise Research Scholars will submit their request through the College head to the URCC with their CV and details of publications as per the UGC guidelines from time to time. Other than for Medical and Dental programs faculty should have three years teaching experience and not less than two years after award of PhD to be eligible for guiding a Research scholar as supervisor.

However, a relaxation can be considered in case of Colleges/Department not having supervisors subject to the approval of the Vice Chancellor, based on the evaluation by a committee comprising of the Chairman (URCC), Dean (Academics), Principal of the concerned College and Joint Registrar (R&D); on the specific recommendation of the College Research Committee.

  - a) The faculty should have obtained the Ph.D. degree from an institute of repute – being defined as an institution ranked in the Top 200 institutions under NIRF in any year of its ranking; or currently rated as B++ or above by NAAC.
  - b) For being supervisor, the faculty must have more than two (2) years of teaching experience on the date of consideration of the request.
  - c) The faculty with less than two years but more than one year of teaching experience can be considered for being co-supervisor.
  - d) The above i.e. 33a to 33c will be considered only if the faculty has published Research papers as prescribed under TMU Ordinance, and would be considered based on UGC guidelines from time to time as applicable on the date of publication of the paper by the faculty

## **THESIS SUBMISSION**

34. On approval of the pre thesis submission presentation by the college/department for the submission of thesis, the candidate shall submit his/her thesis as per clause XI and clause XIII of the PhD ordinance, in the specified format, to the college/department within three months of the pre thesis submission presentation.
35. Before accepting the thesis, the college shall ensure that the candidate has completed at least two years of registration.
36. The candidate shall submit the thesis, duly certified by the supervisor(s), enclosing the prescribed 'THESIS SUBMISSION FORM' proforma(Annexure– VI).
37. The candidate is required to obtain a no dues certificate from the university in prescribed 'NO DUES CERTIFICATE FOR PhD THESIS SUBMISSION' proforma (Annexure – VII) and enclose the same with the completed 'THESIS SUBMISSION FORM' proforma (Annexure – VI).
38. In case, the thesis involves matter related to Intellectual Property Rights (IPRs), a certificate from the competent authority must also be enclosed.
39. The candidate is required to submit four copies of thesis in soft bound form and seven copies of summary of the thesis in soft bound form along with one copy in CD.
40. The college shall forward the thesis along with the requisite documents to the Controller of Examination(COE) for evaluation of thesis. The original file of the candidate shall also be submitted to the COE along with these documents.

## **APPOINTMENT OF EXAMINERS AND THESIS EVALUAION**

41. On submission of the thesis and summary to the college:
  - i) The Director/Principal/Head shall request the research supervisor(s) of the candidate to suggest a panel of at least six experts, as per clause XII (a) of the PhD ordinance, in the area of research work and place this panel before the CRC/DRC for its recommendations.
  - ii) The Director/Principal/Head shall send the panel of examiners, as approved by the CRC/DRC in terms of clause XII(a) of the PhD ordinance, to the Controller of Examination in a sealed cover.
31. The COE shall constitute the 'Board of Examination' as given in clause XII(b) of the PhD ordinance of the university and get the approval of the Vice Chancellor for the same.
32. The COE shall send the summary of the thesis to members of the approved 'Board of Examination' and seek their approval for evaluation of the related thesis.
33. On receipt of the consent of the concerned examiner the COE shall forward a copy of the thesis to him/her for evaluation.
34. The COE shall forward the thesis with the prescribed 'FORWARDING LETTER' proforma (Annexure – VIII) along with 'PhD THESIS EXAMINATION REPORT' proforma(Annexure – IX), 'BILL FOR PAYMENT OF REMUNERATION FOR PhD THESIS EVALUATION' proforma(Annexure – X), and

relevant part of the PhD ordinance of the university describing 'RULES FOR THE AWARD OF THE DEGREE OF DOCTOR OF PHILOSOPHY'.

35. The COE shall also initiate the constitution of Research Degree Committee (RDC) as given in clause I(xii) of the PhD ordinance of the university and take the approval of the Vice Chancellor.
36. On receipt of the reports of all the external examiners, the COE shall convene a meeting of the RDC and place the reports before it for its review. The meeting of the RDC shall be fixed by the COE in consultation with its members.

(a) In case, all the examiners are unanimous:

- i) that the thesis be accepted for the award of the PhD degree in accordance with the provision of clause XIV(a)(iv)(a) of the PhD ordinance, and the RDC recommends for the oral defence of the research work done by the candidate, the COE shall constitute an Oral Defence Committee (ODC) as per clause XIV sub clause(b)(ii) of the PhD Ordinance and take the approval of the Vice Chancellor.

The COE shall fix the schedule of ODC meeting in consultation with the External Expert, Director/Principal/Head, and the supervisor(s). The schedule of the meeting i.e. day, date, time, and venue (normally the venue shall be the concerned college/department) shall be communicated by the CEO to the candidate, supervisor(s), expert, and Director/Principal/Head.

OR

- ii) that the thesis should be rejected, and the RDC recommends so, the COE shall declare the result accordingly and inform the college about the decision of RDC. The research coordinator shall inform the decision of RDC to the candidate, and supervisor(s).

OR

- iii) that the thesis be submitted in a revised form, and the RDC recommends so, the COE shall send a list of recommendations/observations/suggestions/modifications to the college/department for incorporation by the candidate in his/her thesis. The research coordinator shall send this list to the candidate who shall incorporate the same in consultation with his/her supervisor(s) and submit the revised thesis to the college/department.

On receipt of the modified thesis in the college/department, the CRC/DRC shall ensure that the candidate has modified his/her thesis accordingly. The Director/Principal/Head shall forward the modified thesis to the COE for external evaluation.

Then the COE shall forward the thesis for evaluation by the original panel of examiners and proceed with the matter as stated earlier.

- (b) If there is no unanimity between the examiners, an additional external expert shall be appointed as examiner from the approved panel of examiners to evaluate the thesis. The COE shall follow the procedure mentioned earlier regarding the appointment of the examiner and evaluation of the thesis by him/her. The report of the additional external examiner, along with all the earlier reports shall be placed by the COE before the RDC for

its review. The RDC shall make its recommendation and the COE shall act accordingly as mentioned previously.

*Note: In case the candidate is required to submit a revised thesis, he/she will submit the same within a period of one year from the date of communication in this regard from the COE.*

37. The ODC shall meet as per schedule and conduct the viva voce examination, and submit its report in the prescribed 'REPORT OF THE ORAL DEFENCE COMMITTEE' (Annexure – XI) proforma to the COE in a sealed cover, duly signed by all the members.

## **AWARD OF THE PhD DEGREE**

38. The COE shall again convene the meeting of RDC and place the report of the ODC before it for its decision on the thesis.

39. (a). In case the RDC recommends that the thesis be accepted for the award of PhD degree:

(i) The COE shall send a copy of corrections/modifications required in the thesis (if any), as discussed in the ODC/RDC meetings (including suggestions made by the external examiners during the thesis evaluation), to the Director/Principal/Head of the College/Department. In turn, the research coordinator shall communicate these modifications to the candidate, if any.

(ii) On approval of the RDC the candidate shall become eligible for the issue of provisional degree certificate in terms of the clause XV(i)(a) of the PhD ordinance. The COE shall issue the provisional degree certificate in the prescribed 'PROVISIONAL DEGREE CERTIFICATE' proforma (Annexure – XII). The date of RDC approval shall be the date of completion of the PhD degree.

- (b). In case the RDC recommends that the candidate is to be examined on a later date in a specified manner:

(i) The COE shall communicate the decision of RDC to the Director/Principal/Head of the college/department, and the case shall be processed further as advised by the RDC.

(ii). The COE shall also send a copy of corrections/modifications required in the thesis (if any), as discussed in the ODC/RDC meetings (including suggestions made by the external examiners during the thesis evaluation), to the Director/Principal/Head of the college/department.

The research coordinator, in turn, shall communicate the decision of RDC as well as the modifications, as above, to the candidate and supervisor(s).

40. The candidate shall incorporate all suggestions and changes, if any, as discussed in the ODC/RDC meetings (including suggestions made by the external examiners during the thesis evaluation) and informed by the college/department, and submit the modified thesis to the college/department for review and approval of the CRC/DRC. Thereafter, the candidate shall submit two hard-bound copies of the final thesis incorporating all necessary

corrections/modifications and requisite certificates along with a copy in CD in the prescribed 'FINAL THESIS SUBMISSION FORM' proforma (Annexure – XIII).

41. The Director/Principal/Head shall forward the above documents to the COE.
42. The COE shall forward, within one month, one hard copy of the thesis to the central library of the university, and a soft copy of it to "INFLIBNET, Gujarat University Campus, P.B. No. 4116, Navrangpura, Ahmedabad – 380009" (with a copy of the forwarding letter to the UGC).
43. The COE shall also ensure that the candidate is awarded PhD degree in the ensuing convocation of the university.
44. The research coordinator shall convey the schedule of the convocation to the candidate along with the specified procedure for the award of degree like registration, rehearsal, convocation charges, etc.

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