

ORDINANCE No. 38 (Revised)

Doctor of Philosophy (Ph.D.)

(As Per NEP 2020)

1. Title of the Degree: Doctor of Philosophy (Ph.D.)

2. Applicability: This Ordinance will be applicable to all faculties of the University.

3. About the Program: The Ph.D. Program of ICAI University, Raipur (IUR) in terms of the eligibility & process admission, duration, course work, allocation of supervisor and evaluation of Ph.D. thesis etc is in strict compliance with UGC Ph.D. Regulations 2022. The program has been designed to develop a generation of researchers, who have an in-depth knowledge & understanding, analytical & methodological skills, and ability to apply suitable research methods to rigorously explore the existing & emerging challenges in their respective domains for the benefit of the society.

4. Eligibility criteria for admission to the Ph.D. Programme: The following are eligible to seek admission to the Ph.D. programme:

4.1. Candidates who have completed:

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 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 the educational institution.

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.

4.2. 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.

5. Duration of the Programme:

5.1 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.

5.2 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.

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.

5.3 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for upto 240 days in the entire duration of the Ph.D. programme.

6. Procedure for admission:

The admission of candidates for the award of Ph.D. Degree shall be based on the criteria notified by the institution, keeping in view the regulations/norms issued by the UGC from time to time.

7. Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

7.1 Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five 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 three 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.

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.

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.

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.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

7.2 In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.

7.3 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.

7.4 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 scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

7.5 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.

8. Admission of International students in Ph.D. programme:

8.1 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 7.3 above.

8.2 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.

8.3 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 7.3 and clause 7.1.

9. Course Work:

Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

9.1 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 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.

9.2 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.

9.3 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.

10. Research Advisory Committee (RAC) and its Functions:

The Vice Chancellor will appoint the three senior teachers as member for the Research Advisory Committee. To resolve any disputed academic matters related to Ph.D degree as received from Department Research Committee (DRC) shall be processed by the Research Advisory Committee.

11. Department Research Committee (DRC) and its Functions:

11.1 All academic matters related to Ph.D. degree shall be processed by the Departmental Research Committee (hereinafter DRC) consisting of the following:

- i. Head of the concerned department – Chairman
- ii. Three teachers from the department - Member
- iii. Supervisor of the Candidate – Member
- iv. One expert from other Department within University nominated by Vice Chancellor

11.2 This committee 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.

11.3 Each semester, a Ph.D. scholar shall appear before the Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The 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.

11.4 In case the progress of the Ph.D. scholar is unsatisfactory, the Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

12. Research Degree Committee (RDC) and its Functions:

12.1 The Research Degree Committee (hereinafter RDC) shall be responsible for maintaining the standards of the research work leading to the award of degree of Ph.D. The Committee shall consist of the following:

- a) Vice Chancellor or his nominee – Chairman
- b) Dean of the concerned Faculty / School of Studies - Member
- c) Head of the concerned department - Member
- d) Chairman of the Concerned Board of Studies – Member
- e) Supervisor/Co-Supervisor of the Candidate - Member
- f) One outside expert nominated by the Vice Chancellor - Member

12.2 The Supervisor/Co-Supervisor shall be entitled to be present during the oral presentation of the candidate.

12.3 The meeting of the RDC shall be held in the University Office. The frequency of RDC meetings shall be as per the regulations framed by the Academic Council in this regard. The Committee shall consider the proposals of DRC for approval of the Supervisor/Co-supervisor and confirm the same if found suitable. If the proposal is not found suitable, the Committee shall ask the DRC to send another proposal.

12.4 The Committee shall also formally recommend the registration of a candidate for the award of Ph.D. degree.

13. Course Work, Credit requirements, number, duration, syllabus, minimum standards for completion, etc:

13.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (9.3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.

13.2 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.

13.3 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.

13.4 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.

13.5 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. One of the external examiners should be chosen from outside the state. 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 affect the provisions of these Regulations.

13.6 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.

14. Ph.D. through Part-time Mode:

14.1 Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

14.2 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.

14.3 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.

15. Ph.D Programme Fee:

The fee for the various stages of Ph. D. programme shall be fixed by the Academic Council/Board of Management and the same shall be deposited by the candidates as per the schedule declared by the Academic Council.

16. Issuing 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.

17. 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.

18. 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.
