

SIDDHARTH UNIVERSITY,
Kapilvastu,
Siddharth Nagar-272202 (U.P.) India



Ph.D. Ordinance
2018

सिद्धार्थ विश्वविद्यालय कपिलवस्तु, सिद्धार्थनगर विद्या परिषद् की बैठक दिनांक-26.11.2018 के बिन्दु संख्या-03 द्वारा संस्तुत एवं कार्य परिषद् की बैठक दिनांक-26.11.2018 के बिन्दु संख्या-02 द्वारा स्वीकृत तथा माननीय कुलाधिपति जी के पत्रांक संख्या:ई-361/27-जी.एस. /2018(iii) दिनांक 24 जनवरी 2019 द्वारा अनुमोदित डॉक्टर ऑफ फिलासफी (पी-एच0डी0) अध्यादेश, 2018

Ph.D Ordinance of Siddharth University Kapilvastu, Siddharth Nagar (U.P.) as recommended by Academic council and Approved by Executive council of Siddharth University Kapilvastu, Siddharth Nagar in the meeting on 26-11-2018 for submission to Chancellor.

In exercise of the powers conferred by Section 66(A) of the Uttar Pradesh State Universities Act, 1973, Uttar Pradesh State Government letter no. 7/2018/266/ Sattar-1-2018-16(74)/2018 has hereby directed the state universities to implement as it is, the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2016 of 05 May 2016 which was published in Gazette of India weekly No.278 on 05 July 2016 and became effective on that date. The following Ph.D. Ordinance has been proposed by Ph.D. Ordinance Committee of Siddharth University Kapilvastu, Siddharth Nagar are-

1. Short title, Application and Commencement:

- 1.1 These Regulations shall be called Siddharth University Kapilvastu Siddharth Nagar (Minimum Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2018.
- 1.2 These shall apply to Siddharth University Kapilvastu, Siddharth Nagar and its affiliated government/government aided post graduate colleges eligible for research.
- 1.3 These shall come into force from the date of its approval by executive council of the university.

2. Eligibility for admission to the Ph.D. programme:

Candidates for admission to the Ph.D. programme must have a Master's degree necessarily in the subject concerned from this university or degree declared equivalent to the Master's degree from other university/Institute recognised by U.G.C.

However, research degree committee can accept equivalent Master degree necessarily in the subject concerned eligible for Ph.D. programme where U.G.C./C.S.I.R./I.C.A.R. organises teacher eligibility examination.

3. Eligibility criteria for admission to the Ph.D. programme:

The University will normally, every year, organise a Research Eligibility Test for admission to Ph.D. programme against the vacant seats in different subjects. After qualifying this examination candidate must follow the instructions of university for further formalities of admission. The candidates who have qualified the Research Eligibility Test shall be eligible for registration in research for two year from date mentioned on the certificate of passing the research entrance test to be issued by Registrar.

Research Eligibility Test will be in two parts: written and interview. First part that will be of a written test consisting of multiple-choice questions and second part will consist

of interview. Total marks of the test will be 200 of which 140 marks is allotted for written test and rest 60 marks for interview. Only those Candidates who have obtained 50% marks in written test will be eligible for interview however S.C./S.T./O.B.C. (non-creamy layer)/differently abled shall get 5% relaxation in this marks.

The final merit of the students who have cleared the Research Eligibility test will be decided after awarding weight-age of 5% of the total marks of the test to the students who have passed their post graduate examination from this university/its affiliated colleges. On the basis of this final merit list of the test, the student will present himself before the supervisor appointed by the Research Advisory Committee of the subject concerned and complete all the formalities of registration.

3.1 Following will be the Minimum qualification for Research Eligibility Test:

- (a) A candidate belonging to general category/other backward classes (creamy layer) must have passed his/her qualifying post graduate examination with 55% of marks or above, however a relaxation of 5% is given to SC/ST/OBC (non-creamy layer) /Differently- Abled and other candidates as per decision of the commission from time to time or to those who have passed the Master degree prior to 19th September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark.
 - (b) The Candidates should have passed his graduation with Second division or have obtained required marks fulfilling the guidelines issued by U.G.C. from time to time.
 - (c) The candidates appearing in the final year of their post graduation can also apply for Research Entrance Test but before taking admission in research programme, they must complete the expected eligibility by passing their post graduation examination.
- 3.2 J.R.F./NET qualified from U.G.C. /C.S.I.R/I.C.A.R. and GATE (above 75 percentile) U.P.SLET and M.Phil. passed candidates will be exempted from written test. They will be selected only on the basis of interview.
 - 3.3 Teachers holding fellowship or regular teacher of Siddharth University Kapilvastu, Siddharth Nagar/ its affiliated colleges will be exempted from Research Eligibility Test. Foreign student/NRI will also be exempted from Research Eligibility Test
 - 3.4 Regular teachers of foreign University recognised by University Grants Commission recommended through their Embassy/High Commission and defence personnel of Indian Armed Forces will be exempted from Research Eligibility Test.

- 3.5 Admission of exempted Candidates from written test in the concerned subjects of Research Eligibility Test will be possible only after their overall performance in the interview and its marks scaled up to 200(the maximum marks of the RET), after this a combined merit lists of those who are exempted and those who have appeared in the written examination of RET in each subjects will be prepared to facilitate the admission according to merit.
- 3.6 Fee structure for University teachers/Affiliated colleges' teachers/NRI will be decided by finance committee of Siddharth University, Kapilvastu, Siddharth Nagar.
- 3.7 Syllabus for Research Eligibility Test of every subject will be of post graduate standard of the concerned subject which will be decided by university, however university can decide different standard any time which will be according to orders or conditions of U.G.C. and government.
- 3.8 Candidates possessing a Degree considered equivalent to M.Phil. degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

4. Duration of the Programme:

- 4.1 Ph.D. programme shall be for a minimum duration of three years, including pre-Ph.D. course work and up to a maximum of six years. After completing three years' candidate should apply for re-registration within a month. Total duration of research shall not exceed 6 years under any circumstances.
- 4.2 The women candidates and Persons with Disability (whose disability is more than 40%) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided maternity leave/child care leave once in the entire duration of Ph.D. for up to 240 days, on the recommendation of Research Degree Committee.

5. Procedure for admission:

Admission will be given to candidates on pre-determined vacant seats on an annual basis in the university through the entrance examination conducted every year which will depend on the available research supervisors and other academic facilities. It will take into account criteria laid down in the aforesaid Regulation 2016 of University Grant Commission regarding laboratories, library and other such facilities.

- 5.1 Number of seats available subject wise, eligibility criteria and process of admission and other relevant information concerning admission in the interest of the student will be uploaded on the website of the university and all the above

information will be published in at least two national newspapers well in advance in which one can be in the regional language. The number of uploaded/ published research vacancies will be provisional which may increase or decrease.

- 5.2 In admission process reservation policy of National/ State government will be applicable as such.
- 5.3 Admissions will be made from time to time, keeping in mind the guidelines/ criteria used by U.G.C. and other statutory bodies regarding research.
- 5.4 The research eligibility test will be conducted in two stages (written and interview), which will be of 200 marks. Written test will be of 140 marks and interview will be of 60 marks. Candidates who get 50% marks in written test will be eligible for interview but SC / ST / OBC (Non-Creamy Layer) / Disabled (40% or more disabled) Candidates will be given 5 percent relaxation.

As per the provisions of UGC (Minimum Criteria and Procedure for grant of PhD degree) (First Amendment) Regulations 2018 dated 27 August 2018 "In the SC/ST/OBC (Non-creamy layer)/Disabled categories despite appropriate relaxation if the allotted seats remain vacant, then the concerned university will conduct a special admission campaign for that specific category within a month of the completion of the admission process and prepare its own process as well as qualification conditions to ensure that most of the seats in the categories can be filled".

- 5.5 The written test will be of 3:00 hour's duration with 70 multiple choice questions. In this, 35 questions will be related to research methodology and remaining 35 questions will be related to the subject. There will be no negative marking in the written test.
- 5.6 The entrance Examination will be conducted in the already notified centres. Information about change in these centres and dates will be provided to the candidates before time.
- 5.7 After written examination an interview of qualified candidates will be conducted by the Research Advisory Committee of each subject. Candidates not appearing in the interview will not be considered for admission. At the time of interview, the candidates are expected to have proper discussion with the committee members on their research interest / field.
- 5.8 RAC will send the details of the marks earned by candidates to the Coordinator, Research Eligibility Test after evaluating the candidates involved in the interview for 60 marks.

At the time of interview/viva-voce, the RAC shall consider the following points, viz., whether:

- (a) The Candidate possesses the competence for the proposed research?
 - (b) The research work can suitably be undertaken at the University/ Institute/ College?
 - (c) The proposed area of research can contribute to new/additional knowledge?
- 5.9 Merit list of selected candidates will be published/ notified on the basis of combined marks obtained in the written test and interview in the subject concerned.
- 5.10 Allocation of Research Supervisor
- (1) University shall notify subject wise list of research supervisors.
 - (2) University shall notify subject wise number of vacant seats under each research supervisors.
 - (3) Selected candidates in each subject will submit the acceptance letter obtained from the research supervisor of the concerned subject before the committee constituted by the university.
 - (4) On the basis of acceptance letter committee will permit the research scholar for Pre-Ph.D. course work.
- 5.11 The selected candidate will then submit their research synopsis explaining the research ability and details of proposed topic and pay the Pre-Ph.D. Course Work fees in the university.
- 5.12 Admitted students can amend synopsis during Pre Ph.D. course work, only, no change/amendment will be allowed after registration.
- 5.13 Only Ph.D. students, who have cleared Pre-Ph.D. course work, will be registered for research. The synopsis submitted by students for registration should be approved by RDC on recommendation of Research Advisory Committee (RAC).
- 5.14 List of all registered Pre Ph.D. Course work students will be maintained by university on its website annually. The list will include name of the candidate, topic of research, name of supervisor /co-supervisor and date of enrolment, etc.
- 5.15 Qualifying the research eligibility test does not imply that the candidate shall be guaranteed admission to the research program. The university reserves the right to suspend the admission to the research program due to the unavailability of a supervisor or other reasons.

6. Fee

The Fees for Pre-Ph.D. course work and research programme shall be payable in accordance with the rules decided by the university from time to time.

6.1 Fees: Rs. 20,000.00 (Rs twenty thousand) will be the fees of Pre-Ph.D. (course fees) for the general and OBC (creamy layer) candidates whereas the OBC (non-creamy layer, SC/ST/Visibly Handicapped and differently abled (having 40% or more disability) will have to pay the 50% of it, i.e. Rs. 10,000.00 as Pre-Ph.D. Fees (Course fee).

6.2 Ph.D. Fee (for six months)

Practical Subjects		Non-Practical Subjects	
Development funds	100	Development funds	100
Union Fee	50	Union Fee	50
Magazine fee	50	Magazine fee	50
Delegacy fee	50	Delegacy fee	50
Identity Card fee	50	Identity Card fee	50
Games fee	50	Games fee	50
Library fee	150	Library fee	150
Poor Boys Fund	50	Poor Boys Fund	50
Caution money	200	Caution money	200
Cycle stand fee	50	Cycle stand fee	50
Tuition fee	900	Tuition fee	900
Fan fee	50	Fan fee	50
Election fee	35	Election fee	35
Dearness fee	138	Dearness fee	138
Medical fee	22	Medical fee	22
Practical fee	500	Practical fee	-
Total	2445	Total	1945

7. Allocation of Research Supervisor

Eligibility criteria for Research Supervisor, Co-Supervisor, Number of permissible Ph.D. scholars per Supervisor, etc.

- 7.1 Any regular teacher of University/Affiliated government or government aided colleges having P.G. Department who has completed his/her probation period successfully/Any regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor, provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 7.2 Only University or Post Graduate Departments (equivalent/allied subject) of affiliated Government or Government aided colleges teachers can work as supervisor. No external supervisors are allowed, *however, different departments of university and affiliated Institutes/Colleges with interdisciplinary area/subjects which are equivalent/allied and where there is one lectureship eligibility test conducted by U.G.C. (NET); these teachers will be allowed to work as supervisor if college has post graduate department in any equivalent/allied subject.*
- 7.3 In case of research topics which are of inter-disciplinary nature and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- 7.4 A Research Supervisor/Co-supervisor who is a Professor, at any given point of period, cannot guide more than Eight (8) Ph.D. scholars, an Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 7.5 In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

8. Course Work

8.1 All admitted candidates shall undergo a course work for a minimum period of one semester of six months as prescribed by the University (concerned department /subject/research centre determined by university). This course work shall be treated as pre-Ph.D. preparation and include a course on research methodology, reviewing of published research in the relevant field. The format of course work will be –

- (1) There will be two paper in this course work. First paper of Research Methodology will be of 100 marks/5 credits, which will include qualitative and quantitative analysis of concerned subject, research methodology, field study, collection and analysis of data, review of literature and work of report writing.
- (2) The second paper will be of computer application of 100 marks. The university, college will provide basic facilities of computer application and computer training.

8.2 The syllabus of research methodology and computer application will be prepared by board of studies of concerned subject. In this reference approval should be taken from authorised academic body.

8.3 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. similarity in matter of pre Ph D candidate following legal opinion has been included-

"If the candidate has completed his/her Pre-Ph.D. Course work recognised by any Institution/University and there after transferred to any other such University shall not be required to complete his/her Pre-Ph.D. course work again provided both Institution/University, where the candidate was already enrolled and where the candidates transferred are recognised by the University Grants Commission (UGC)."

8.4 It is compulsory to complete course work by every applicant within the stipulated time, in which his/her attendance will not be less than 75% in any circumstances.

8.5 After completing the course work University will organise a written examination in convenor ship of Dean for all concerned subjects in that faculty or by any authority nominated by V.C. when situation warrants so. After internal/external evaluation on the basis of specialisation of faculty members' result will be declared. The candidates have to secure a Minimum of 55% marks to qualify the examination.

- 8.6 In the final phase of the coursework, the candidate shall prepare a research proposal on the subject/title specified by the Research Advisory Committee in consultation with the supervisor. After having passed the Pre Ph.D. course work examination the research proposal shall be sent to the Research Degree Committee (R.D.C) for approval.
- 8.7 If any candidate is unsuccessful in the Pre Ph.D.-Coursework examination, he/she shall be provided one more chance to appear in the next examination after submitting Rs.5100.00 as fees.
- 8.8 The provision for printing, moderation and evaluation related to the examination shall be provided by the university.

9. Research Advisory Committee & Research Degree Committee and its functions

9.1 There will be a Research Advisory Committee (hereinafter referred to as the RAC) for admission and conduction of pre-Ph.D. course work. The constitution of Research Advisory Committee shall be as follow as-

- (a) The concerned head of department will be the convenor and all supervisors will be its members for the courses run in the university.
- (b) For colleges, Dean of that faculty will be the convenor, and convenor of the Board of Studies of the concerned subject and the research supervisors of the scholars will be the member.

The committee shall have the following responsibilities:

- 1- To review the research proposal and suggest the topic of research.
- 2- To guide the research scholar to develop the study design and methodology of research and identify the course (s) that he/she may have to do.
- 3- To periodically review and assist the progress of the research work of the research scholar.

9.2 Research Degree Committee

There shall be a Research Degree Committee for each subject in the university which will be constituted as follow as –

Chairman	The Vice Chancellor or his nominee
Member Convenor (for University Dept.)	Concerned Head of the Department
Member Convenor (for Colleges).	The Dean of the faculty.
Member	Convener of the board of studies of concerned subject and Two experts nominated by the Vice Chancellor for three years.

The Vice Chancellor may invite a person(s) of repute as member(s) of the Committee.

In meeting presence of one external member is essential for quorum.

Functions of Research Degree Committee

- (a) The committee will make an arrangement for the registration of research scholar and evaluation of his/her research work.
- (b) A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports of each research scholar will be submitted by the Research Advisory Committee to the concerned dean with a copy to the research scholar.
- (c) In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall accord the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Vice Chancellor through the Dean with specific reason for cancellation of the registration of the research scholar.

10. Evaluation of Ph.D. Thesis and Related Standards

- 10.1 Prior to submission of thesis, the student shall make a pre-Ph.D. presentation in the concerned department before the RAC that will be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor and also in consultation with RAC. The supervisor shall provide a certificate to this effect.
- 10.2 The research scholar shall publish at least one research paper in refereed journal or in any of the journals having ISSN where refereed journal with impact factor are not available and make two paper presentations in conferences/seminars related with the topic before the submission of the thesis for evaluation and produce evidence for the same in the form of acceptance letter or the reprint.
- 10.3 While submitting for evaluation the thesis shall have an undertaking from the research scholar and a certificate from the research supervisor endorsing the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- 10.4 Generally on an application, by the research scholar that he will probably submit the thesis within six months, his supervisor will submit a panel of examiners to the head of department/dean to submit before board of studies/RAC. In this panel instead of supervisor/co-supervisor there will be names of five external

examiners from university/colleges not below the rank of Professor/Associate Professor or person of repute in concern subject. Among these two external examiners one will be from out of state and one of them may be from out of country. Only the name of those examiners should be recommended who have either done research work or are a person of academic repute in that field/concerned field.

- 10.5 On the recommendation of the supervisor's proposal BOS/RDC/Examination committee chairperson will present a panel of examiners before the Vice Chancellor. Vice Chancellor will then appoint three examiners in which one will be the supervisor. However, if an examiner cannot evaluate the thesis or conduct the viva-voce of the research scholar in any circumstances another examiner will be appointed from the same panel for evaluation or conducting viva-voce
- 10.6 After completing his/her research work candidate shall submit the thesis in four printed or typed copies of his/her thesis through director/Concerning head of Department/Principal of the college in the research section of university with a declaration that the thesis embodies the work of the candidate himself/herself and the candidate worked under him/her for the period required under Ordinance. The typing of thesis should be done on both side of paper. Together with thesis two CDs/ Pen drive containing the thesis in PDF format along with the scanned images of certificates and declarations etc. should also be submitted in the office.

10.7 The colour of cover page of thesis belonging to different faculty will be-

1-	Arts Faculty	Maroon
2-	Science Faculty	Blue
3-	Commerce Faculty	Yellow
4-	Education faculty	Pink
5-	Law Faculty	Black
6-	Medicine Faculty	White
7-	Agriculture Faculty	Green

10.8 Examiners of the thesis will give their report separately. Examiners can consult before submitting the report. Examiners should be satisfying before writing research report that the theses:

- (1) Is a piece of research work characterized either by the discovery of facts or theories. In either case it should reflect the candidate's capacity for critical examination and sound judgment. The examiner shall communicate, how far the thesis embodies the result of candidate's own observations and in what respects his investigations may advance knowledge in the subject. It

shall be satisfactory so far as its literary presentation is concerned and must be in a form suitable for publication.

- (2) The examiner may suggest certain suggestion which is suitable in his/her views in increasing the quality of thesis. Such suggestion will be provided to research scholars at the time of viva-voce, which can be incorporated during publication of thesis.
- (3) If the evaluation report of one of the external examiner is unsatisfactory and does not recommend viva-voce, the Vice Chancellor shall appoint another external examiner out of the approved panel of the examiners. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar will be declared ineligible for the award of Ph.D. Degree.

10.9 After evaluating the thesis the examiners will present their report on specified format that thesis may be accepted or rejected or candidate allowed modifying their thesis and resubmitting again. If all the examiners send satisfactory reports separately then on the recommendation of Research Degree Committee Registrar will arrange the viva-voce of candidate.

10.10 The examiner of viva –voce will mention clearly in his/her report that-

1. The thesis embodies the work of the candidate himself/herself
2. Candidate is aware about literature of concerned subject
3. Candidate has capacity of comparative analysis and mature discussion ability.

10.11 Reports of thesis and viva-voce shall be presented before Research Degree Committee for essential action.

10.12 On publication of thesis candidate has to mention on front page that this thesis has been accepted by Siddharth University Kapilvastu, Siddharth Nagar for Ph.D. Degree on respective subject.

10.13 The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

11. Academic, administrative and infrastructure requirement to be fulfilled by Colleges prior to recognition for offering Ph.D. programmes:

11.1 Government / Government aided Post Graduate Colleges may be considered eligible to offer Ph.D. programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.

- 11.2 Such Post-graduate Departments of Colleges, Research laboratories of Government of India/State Government should have at least two Ph.D. qualified teachers/scientists/ other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply is mandatory for being considered suitable for conducting research work.
- 11.3 Institution/College should have /Earmarked library resources including latest books, Indian and International journals, journals, extended working hours for all disciplines, adequate space for research scholars in the Department/library for reading, writing and storing study and research materials;
- 12. University shall not conduct Ph.D. Programmes through distance education mode or on part time basis.**
- 13. Depository with INFLIBNET:**
- 13.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the Institution concerned shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- 13.2 Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

Note: If any confusion or dispute arises in these ordinances or rules the decision of the chairman of the academic council will be final, binding and acceptable to all.