SHARDA UNIVERSITY

32, 34, Knowledge Park-III, Greater Noida-201310 (U.P.)

OFFICE OF THE REGISTRAR

Notification

The amendments in the Clause 1, Clause 7 *and* Clause 8 of the '**Ph.D. Ordinance**, **2019**' of Sharda University was considered and approved vide item nos. 19.29, 19.8 *and* 19.7, respectively, by the Academic Council in its 19th Meeting held on January 18, 2020:

Clause 1: <u>SHORT TITLE, APPLICATION AND COMMENCEMENT</u>:

Sub clause 1.3:

The University shall award Doctor of Philosophy (Ph.D.) degrees in Science, Engineering, Management, Mass Communication, Journalism, Law, Architecture, Planning, Design, Arts, Humanities, Social Sciences, Health Sciences, Medicine, Dental Science, Nursing, Pharmacy, Education, Agricultural Sciences, **Allied Health Sciences** *and* Other related/ allied disciplines as approved by the Academic Council from time-to-time.

Clause 7: <u>ALLOCATION OF RESEARCH SUPERVISOR</u>:

Sub clause 7.6.1:

In case of medical doctors who are serving as regular Full-Time faculty in MCI regulated Schools/ Departments of Sharda University, a guide for the Ph.D. candidate shall have not less than fifteen (15) years teaching experience *and* research experience after obtaining his/ her Post-Graduate qualification and shall also have not less than ten (10) years Post-Graduate teaching experience as a faculty member.

Clause 8: <u>COURSE WORK</u>:

<u>**Sub Clause 8.1**</u>:

Each candidate admitted with a Master degree shall complete a minimum of 14 credits of course work. This would include a course in research methodology of 04 credits and '**Research and Publication Ethics**' (RPE) of 02 credits as compulsory courses.

In addition research scholars may take, with the approval of the DRC and SRC, an eight (08) credits course on development of knowledge related to teaching, pedagogy, economics and financing of education, policy and management, leadership pedagogic studies in different curricular areas, evaluation and assessment, leadership and management, policy studies, issues of equity and marginalization, foundational knowledge in educational psychology, sociology, history and philosophy, comparative and international education, and ICT and education.

11-5-2020

(Ashok Kumar Singh)
Registrar

To,
- **The Dean** (SET, SBSR, SAP, SMFE, SBS, SHSS, SOL, SOE, SOP, SMSR, SDS, SNSR, SAHS, SAS)
- The Dean, Research / Academic Affairs
- The Controller of Examinations
- The Ph.D. Co-ordinator

SU/Reg./Notification/2020/**40**   May 11, 2020

Copy also to (for kind information):
- Chancellor/ Pro-Chancellor/ ED
- Vice-Chancellor/ Pro Vice-Chancellor
- Principal Advisor
- All Directors
- Finance Officer/ Controller of Examinations
- Sr. Legal Officer/ PIO/ PRO
- All OSDs/ Jt. Registrars/ Dy. Registrars/ Asst. Registrars/AOs
- Notification file

11-5-2020

(Ashok Kumar Singh)
Registrar

SHARDA UNIVERSITY

32, 34, Knowledge Park-III, Greater Noida-201310 (U.P.)

OFFICE OF THE REGISTRAR

SU/Reg./Notification/2019/**511**   September 9, 2019

Notification

The Ph.D. Ordinances, 2019 was considered and approved vide item no. 18.29 in 18th Meeting of the Academic Council held on August 20, 2018.

The Ph.D. Ordinances, 2019 is being notified to all concerned.

Enclosure: As state above.

9.9.19
(Ashok Kumar Singh)
Registrar (*Officiating*)

To,
- The Dean
  (SET/SBS&R/SAP/SACDMS/ SOL/SHSS/SBS/SOE/SOP/SMS&R/SDS/SNS&R *and* SAHS)

Copy to (for kind information);
1. Chancellor/ Pro-Chancellor/ ED
2. Vice-Chancellor/ Pro Vice-Chancellor
3. Principal Advisor
4. All Deans/ Directors
5. Dean, Academic Affairs/ Students' Welfare/ Research *and* Chief Proctor
6. Finance Officer/ Controller of Examinations
7. Chief Warden/ Sr. Security Officer (SSO) / Legal Officer/ PIO/ PRO
8. All OSDs/ Jt. Registrars/ Dy. Registrars/ Assistant Registrars/ AOs
9. Notification file

Ph.D. ORDINANCE, 2019
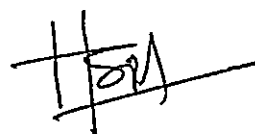
1.0   SHORT TITLE, APPLICATION AND COMMENCEMENT:

1.1   This Ordinance shall be called the Doctor of Philosophy (Ph.D.) Ordinance, 2019.

1.2   This ordinance shall come into effect from the date of its notification by the University.

1.3   The University shall award Doctor of Philosophy (Ph.D.) degrees in Science, Engineering, Management, Mass Communication, Journalism, Law, Architecture, Planning, Design, Arts, Humanities, Social Sciences, Health Sciences, Medicine, Dental Science, Nursing, Pharmacy, Education, Agricultural Sciences and other related / allied disciplines as approved by Academic Council from time to time.

1.4   There will be following four advisory committees to oversee functioning of Ph.D. degree

      i)   Research Advisory Committee   (RAC)
      ii)   Research Degree Committee   (RDC),
      iii) School Research Committee   (SRC)
      iv)   Doctoral Research Committee for Scholar (DRC)

1.5   The term of members of the committees referred in clause 1.4.i to 1.4.iii. will be for three years excluding ex-officio members. The term of members of the committees referred in clause 1.4.iv. is for the entire duration of the particular scholar.

1.6   Persons with Ph.D. degree will be associated with the Ph.D. program.

1.7   Dean (Research) will be in-charge of the Ph.D. program.

1.8   Associate Dean (Research) will assist the Dean (Research).

1.9   Vice-Chancellor shall appoint suitable professors with proven research background to the position of Dean (Research) and Associate Dean (Research) for a period of three years as per the statutory provisions. Both will be eligible for reappointment for a maximum of one more term.

2.0   COMPOSITION OF ADVISORY COMMITTEES

2.1.   Research Advisory Committee (RAC) shall function as per the provisions given in or Sharda University Research Policy.

2.2.   Research Degree Committee

Vice-Chancellor	Chairperson
Pro Vice Chancellors	Members
Dean Academic Affairs	Member
Deans of Schools	Members
Associate Dean Research	Member
Dean Research	Convener
Two Eminent Academicians*	Members

The eminent academicians will be nominated by the Vice-Chancellor for a Period of three years.

2.2. **School Research Committee (SRC):**

(i) Dean Research	Chairperson
(ii) Dean of the concerned School	Co-Chairperson
(iii) Concerned HoD of school	Member
(iv) Two Professors/Assoc. Professors*	Members
(v) Associate Dean (Research)	Convener
(vi) Concerned Supervisor(s)	Member(s)

In cases where there are not enough Professors.

2.3 **Doctoral Research committee (DRC) for scholar**

Dean of a school shall constitute a committee consisting of following for each scholar within fifteen days from the date of the admission:

(i) Supervisor	(Convener)
(ii) One faculty member from the Department	(member)
(iii) One faculty member from related Departments / School	(member)

3.0 **FUNCTIONS:**

3.1 Research Degree Committee shall deal with policy matters and make recommendations regarding conferment of award of Ph.D. degree.

3.2 **School Research Committee (SRC):**

SRC shall be responsible for
i)   admission of the candidates to the program, registration and guide allotment.
ii)   review the research plan and finalize the topic of research.
iii) monitoring of progress of research
iv)   Overall monitoring of progress of research and make suitable recommendations.

3.3 **Doctoral Research committee (DRC) for the scholar**

(i) DRC shall be responsible for regular monitoring of the progress of research work. A research scholar shall appear before the Doctoral Research Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The DRC shall submit six-month progress report within 15 days from the date of presentation to the Dean Research through the Dean of the School. SRC shall take up all the reports for consideration for satisfactory progress and make suitable recommendations.

(ii) In case the progress of the research scholar is not satisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures for two consecutive reporting periods, the DRC may recommend to SRC for cancellation of the registration of the research scholar.

4.0 **ELIGIBILITY FOR ADMISSION:**

Candidate possessing any one of the following criteria shall be eligible for admission.

4.1   Candidates for admission to the Ph.D. program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

4.2   A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the Govt. notification adopted by the university, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

5.0   DURATION OF THE Ph.D. PROGRAMME:

5.1   Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years from the date of admission.

5.2   Extension beyond the maximum limit can be given up to a maximum of two years for recorded reasons by RDC on the recommendation of SRC.

5.3   The women candidates and persons with disability (more than 40%) may be allowed an additional relaxation of maximum two years 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.

6.0   PROCEDURE OF ADMISSION:

6.1   Entrance Test followed by an interview shall be conducted twice in a year normally in June and December. The weightage for entrance test and interview shall be 70% and 30% respectively. Only those students securing at least 50% in theory and 50% in interview separately shall be considered for admission.

6.2   Candidates with M.Phil. Degree or equivalent degree from any other institute / university recognised by UGC or qualified with fellowship / scholarship offered by the University / National and International Agency / NET / GATE score will be exempted from entrance test. However such candidates will have to appear for the interview, along with the candidates who qualified for the entrance test.

6.3   Foreign candidates who fulfill eligibility criteria will be admitted after an online test and interview.

6.4   Such persons who are in regular employment in Academic institutions, Research Institute/ Corporate/ Industry / Public Undertaking / Government Sector, at a level not less than the level equivalent to Assistant Professor, and having five years of experience will be eligible for admission through specially conducted entrance test followed by interview as per the criteria

to be laid down by SRC.

6.5 University shall decide on biannual basis a manageable number of Ph.D. scholars to be admitted in different departments and RTDC depending on the number of available research supervisors and other academic / physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and other facilities.

6.6 The admission shall be based on the criteria notified by the university, keeping in view the guidelines / norms prescribed by the UGC and other discipline specific statutory bodies.

6.7 The University shall admit candidates by a two stage process (i) an entrance test conducted by CoE and (ii) an interview in the subject area of the candidate to be conducted by a committee constituted by SRC.

6.8 The entrance test will have two sections for a total of 70 Marks
   (i) Core subject (50 MCQs)
   (ii) Research aptitude (20 MCQs)

7 ALLOCATION OF RESEARCH SUPERVISOR:

7.5 A supervisor to a candidate shall be allocated by SRC to a candidate after admission to the program from amongst the regular faculty members belonging to any department of the University, holding a doctoral degree and having domain expertise in the broader area of research interest of the candidate. Candidate's preference for a supervisor shall be taken into account while allotment is made.

7.6 Any regular full-time faculty of the University with a Ph.D. degree, will be eligible as Research Supervisor.

7.7 A co-supervisor from the university/other recognized institutions may also be allocated by SRC. Normally both supervisor and co supervisor will be from different departments. However, in exceptional cases SRC may decide to allot of co-supervisor from the same department.

7.8 Co-supervisor from any other recognized institution may be appointed by SRC on the approval of the Vice Chancellor, if eligible otherwise for appointment as a supervisor.

7.9 A research supervisor/co-supervisor who is a professor, at any given point of time, cannot guide more than eight (8) Ph.D. scholars. An associate professor as research supervisor can guide 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.

7.10 SRC on the approval of the vice chancellor shall appoint another faculty as a new supervisor in case a supervisor retires, leaves the university or is unable to supervise or for any other genuine reason.

8. COURSE WORK:

8.1 Each candidate admitted with a Master degree shall complete a minimum of 14 credits of course work. This would include a course in research methodology of 04 credits as a compulsory course. In addition research scholars may take, with the approval of the DRC and SRC, an eight (8) credit course on development of knowledge related to teaching,

pedagogy, economics and financing of education, policy and management, leadership pedagogic studies in different curricular areas, evaluation and assessment, leadership and management, policy studies, issues of equity and marginalization, foundational knowledge in educational psychology, sociology, history and philosophy, comparative and international education, and ICT and education.

8.2   All courses of study shall be at post-Master's degree level, and will need the approval of DRC and SRC. SRC may permit a candidate to replace courses of the concerned subject by a especially-designed Advanced Independent Study (AIS) course to be proposed by the supervisor and approved by DRC and SRC. This may involve study, understanding, submission of review of at least 20 A4 sheets of content, and presentation from at least 16 carefully selected research papers from reputed Journals in the concerned subject area; to be carried out in consultation with the advisor. Evaluation will be done as per the guidelines given the SRC.

7.11   All candidates admitted to the Ph.D. programs shall be required to complete the course work prescribed by the School / Department during the initial one or two semesters. However, in cases, where a candidate had applied for transfer from another university / institution, exemption from course work can be considered by SRC subject to (i) earning required credits and has passing CGPA and (ii) selection to Ph.D. program was through UGC approved norms.

7.12   A Ph.D. Scholar has to obtain a minimum CGPA of 6.0 in the course work in order to be eligible to Register for Ph.D. and continue in the program.

7.13   Candidates already holding M.Phil. degree and admitted to the Ph.D. program may be exempted from the Ph.D. course work by the SRC.

9.0   COMPREHENSIVE VIVA-VOCE EXAMINATION:

9.1   Each candidate needs to qualify in a comprehensive viva-voce examination as per guidelines of SRC based on broad field of his / her research. The comprehensive examination will be conducted by SRC. The Committee will include one external expert as recommended by Dean Research and approved by the Vice-Chancellor.

9.2   After conducting the comprehensive examination SRC will make one of the following recommendations:
       I. Qualified
       II. Not qualified

9.3   A candidate will normally have only two attempts for qualifying in the comprehensive viva-voce. However, the VC on the recommendation of SRC can relax this norm. If the candidate fails to clear comprehensive viva-voce in four attempts, admission to Ph.D. program stands cancelled.

10.0   RESEARCH PLAN:

10.0   Qualified candidates shall submit a research plan in the prescribed format to Associate Dean (Research) through research supervisor.

10.1   The candidate shall present the research plan before DRC and then SRC, which may approve it or recommend modifications.

10.2 SRC on the basis of successful completion of pre-registration requirements will recommend the registration of the candidate in Ph.D. program to the VC for approval.

10.3 Ph.D. registration requirements should generally be completed within 12 months. However, the VC may relax based on the recommendation of SRC.

11.0 REGISTRATION:

11.1 The date of approval of research plan shall be taken as the date of registration.

11.2 The University shall maintain a list of all the registered Ph.D. students on its website on yearly basis. The list shall include the name of the registered candidate, title of his/her research plan, name of his/her supervisor/co-supervisor, date of enrolment/registration.

12.0 REVIEW OF THE PROGRESS:

12.1 Each research scholar will submit a progress report at the end of each semester in the prescribed format to SRC through DRC for review.

12.2 In case two consecutive progress reports are unsatisfactory, the research scholar may be de-registered from the Ph.D. program.

13.0 TRANSFER OF CREDITS:

13.1 SRC may allow transfer of credits for course work done as an admitted candidate elsewhere. However, in all cases, a candidate shall present a research proposal to SRC and get it approved.

13.2 The SRC may allow up to 1 year relaxation in the time required for submission of thesis based on the time spent in other institution.

14.0 PRE REQUISITE FOR THESIS SUBMISSION:

14.1 Research scholar can submit his / her Ph.D. thesis only after 24 months of registration i.e. approval of the Research Plan.

14.2 Publication/acceptance of three (3) research papers out which two are in Scopus / SCI indexed journal post admission. Where applicable / possible, research scholars are encouraged to publish papers in Sharda University journals.

14.3 Presentation of two research papers in national/international level conferences/symposia post admission.

15.0 PRE Ph.D. THESIS SUBMISSION PRESENTATION:

15.1 On completion of the research work, the research scholar shall submit a copy of synopsis to Associate Dean Research who, in turn, will advise SRC to conduct a pre-submission open presentation.

15.2 SRC will make one of the following recommendations:
   i)   Satisfactory for submission
   ii) Modification or more work required

In case SRC recommends some more work, the candidate shall give another presentation. If the student fails in the second presentation SRC may recommend for cancellation of registration.

16.0 PANEL OF EXAMINERS:

The supervisor will submit a panel of the examiners drawn from premier Institutes / Universities / Organizations (other than Sharda University) to SRC. The panel will have minimum of four examiners each from India and abroad. Examiners must be drawn from Institutions accredited by Internationally acclaimed agencies. If given examiners are not of higher caliber, VC may reject the list in total or in part thereof and ask for fresh set of name(s). The Vice Chancellor may approve the names of two external examiners, one from abroad, out of the names recommended by SRC. Supervisor shall be the third examiner.

17.0 SUBMISSION OF THESIS:

17.1 The research scholar will submit the thesis along with the documents as per the guidelines of the university.

17.2 After satisfactory check of the thesis on plagiarism / similarity, the University will send the synopsis of the thesis to the examiners for their consent for evaluation. On receipt of the consent, the thesis in hard /soft copy would be sent to them for evaluation.

17.3 If the consent of the examiners is not received within one month, the synopsis of the thesis may be send to the next examiner as approved by the Vice-Chancellor.

18.0 THESIS REPORT:

18.1 The examiners will be required to submit their evaluation report (either a hard copy or soft copy) within maximum of two (2) months from the date of dispatch of the thesis. The CoE will give a reminder once in 15 days in case examiner does not respond within a month. In case the examiner does not respond after two reminders the CoE may send the thesis to an alternate examiner.

18.2 The examiners will recommend either of the following:

i) The thesis be accepted after successful completion of viva-voce examination.
ii) The thesis be revised incorporating the comments of examiners and verified before Viva-voce.
iii) The thesis be revised incorporating the comments of examiners and be resubmitted.
iv) The thesis be not accepted.

18.3 FINAL VIVA VOCE OF PH.D. THESIS:

1. If all the three examiners recommend the award of degree, viva voce examination be conducted in RTDC.
2. If one of the examiner's report is unsatisfactory, thesis be send to fourth examiner
3. If more than one examiner's report is unsatisfactory, thesis be rejected for award of degree and registration cancelled.

18.4 The University shall develop appropriate process so as to complete the entire process of

evaluation of Ph.D. thesis preferably within a period of six months from the date of submission of the thesis.

19.0   VIVA-VOCE:

19.1   The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. Supervisor will initiate the process of viva - voce examination. The viva-voce examination will be conducted by a committee consisting of Dean Research, Associate Dean Research, HoD, one external thesis examiner nominated by the Vice Chancellor, and the supervisor as the coordinator.

19.2   If performance of the research scholar in the viva-voce examination is unsatisfactory, he / she will be asked to reappear within a month and not later than six months.
If unsatisfactory on second attempt, the candidate will not be awarded degree and registration gets cancelled.

20.0   AWARD OF DEGREE:

20.1   On successful completion of viva-voce examination, Dean Research with the approval of Vice Chancellor will issue a letter mentioning that the research scholar has completed all the requirements and shall receive the Ph.D. degree in the convocation.

20.2   Research Degree Committee will receive the proposal and recommend to the Academic Council of the University for final Approval.

20.3   After approval of the Academic Council, the research scholar will be awarded Ph.D. degree in the convocation.

21.0   CONTROLLER OF EXAMINATION (CoE):

The Controller of Examination shall be responsible for all the matters related to examinations.

22.0   DEAN RESEARCH:

The whole Ph.D. program will be administered by RTDC through Dean (Research)

23.0   PLAGIARISM:

Maximum permissible similarity limit shall be 10% as per UGC notification (UGC notification dated 23rd July, 2018). In case of any plagiarism reported against any research scholar at any stage, even after the award of degree, necessary action will be taken by the university as per guidelines of UGC which could include cancellation of registration / withdrawal of degree.

24.0   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 University 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

25.0   AWARD OF DEGREES TO CANDIDATES ENROLLED FOR THE Ph.D. PROGRAMME PRIOR TO

IMPLEMENTATION OF THESE ORDINANCES:

Award of degrees to candidates enrolled for the Ph.D. program before the date of notification of this ordinance shall be governed by the provisions of the Ph.D. Ordinance of the University, as was approved by the Executive Council of the University in its meeting held on 12th November 2017.

26.0   POWER TO RELAX:

The Chairperson (VC) of the Academic Council, in exceptional circumstances, on the recommendation of Research Degree Committee may relax any of the provisions of the said ordinances to remove any difficulty.

27.0 In case of any dispute, the decision of the Vice Chancellor shall be final.

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