



**SHARDA UNIVERSITY**  
**Ph.D. ORDINANCE, 2021 (4<sup>TH</sup> Revision)**

**1.0 SHORT TITLE, APPLICATION AND COMMENCEMENT:**

- 1.1 This ordinance shall be called the Doctor of Philosophy (Ph.D.) Ordinance, 2021.
- 1.2 This Ordinance shall come into effect from the date of its approval by the Executive Council of the University.
- 1.3 Ph.D. shall be treated as one programme. The University shall award degree of Doctor of Philosophy (Ph.D.) in the disciplines of Science, Engineering, Management, Mass Communication, Journalism, Law, Architecture, Planning, Design, Arts, Humanities, Social Sciences, Health Sciences, Medicine, Dental Sciences, Nursing, Pharmacy, Education, Agricultural Sciences, Allied Health Sciences and other related/ allied disciplines as approved by the Academic Council from time-to-time.
- 1.4 Persons with Ph.D. degree will be associated with conduct of Ph. D. programme. However, in case of Medical and Dental Schools the guidelines prescribed by the NMC/DCI will follow.
- 1.5 Dean, Research and Development will be the overall in-charge of the Ph.D. programme.
- 1.6 Members of Research and Development Cell (RDC) will assist the Dean, Research and Development in smooth conduct of Ph.D. Programme.
- 1.7 There shall be following committees for smooth conduct of Ph.D. Programme.
  - i) Research Degree Committee (**RDC**)
  - ii) School Research Committee (**SRC**)
  - iii) Doctoral Research Committee (**DRC**)
- 1.8 The term of members or the committees referred in clause 1.7 (i) and (ii) shall be for three years, excluding ex-officio members. Whereas, the term of members of the committee referred in clause 1.7 (iii) shall be for the duration of the studentship of the concerned Ph.D. student.
- 1.9 Vice-Chancellor shall appoint suitable Professor with proven background to the position of Dean, Research and Development, 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 Degree Committee (RDC)

Vice-Chancellor	:	Chairperson
Pro Vice Chancellor(s)	:	Member(s)
Dean Academic Affairs	:	Member
Deans of Schools	:	Member
Associate Dean Research	:	Member
Dean Research and Development	:	Convener
Two Eminent Academicians*	:	Members

\*The eminent academicians will be nominated by the Vice-Chancellor

### 2.2. School Research Committee (SRC)

Dean of the concerned School	:	Chairperson
Concerned HoD	:	Member
Professor/ Associate Professor	:	Member
Supervisor* & Co-supervisor	:	Convener*
PhD Coordinator of School**	:	Member

\*Concerned supervisor will work as Convener for SRC of his/her Ph.D. student.

\*\* Ph.D. Coordinator for each school will be appointed by Dean of concerned School on the recommendations of Dean Research and Development, and approval of the Vice Chancellor

### 2.3 Doctoral Research Committee (DRC) for student

Dean of the School shall constitute DRC through concerned head of the department consisting of the following for each student preferably within one month from the date of admission.

i) Supervisor	:	Convener
ii) One faculty member from the Department	:	Member
iii) One faculty member from related Department/School	:	Member

### **3.0 FUNCTIONS OF ADVISORY COMMITTEES:**

#### **3.1 Research Degree Committee (RDC)**

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):**

- Allotment of Supervisor/ Co-supervisor considering the preference of the candidate
- Formation of DRC, and Research Area Identification through supervisor
- Semester wise registration of continuing students
- Conduct of Comprehensive Examination
- Review of Research Plan of the candidate
- Half yearly monitoring of progress of research work
- Evaluation of Pre PhD Research Work for thesis submission

#### **3.3 Doctoral Research Committee (DRC)**

- Selecting Research Area
- Recommendation for Course Work
- Course Work Registration
- Facilitating the student for Research Plan Formulation and its presentation to SRC for approval
- Regular monitoring of the progress of research work and submission of six-monthly progress report to SRC
- Publication of quality research papers
- Facilitating the student for Pre Ph.D. Research Work Presentation, pre requisite for thesis submission
- Preparing student for thesis viva voce/ defense before external examiner
- Facilitating the student for submission of thesis to the office of Dean Research and Development as per check list

DRC shall be responsible for regular monitoring of the progress of research work of the student. A student 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-monthly progress report to SRC with recommendations whether the progress is satisfactory or not within 15 days from the date of presentation.

#### **4.0 ELIGIBILITY FOR ADMISSION:**

Student fulfilling the following criteria shall be eligible for admission.

4.1 Students for admission to the Ph.D. programme shall have a Master's degree in concerned discipline 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 to the students belonging to SC/ST/OBC (non-creamy layer)/differently abled and other categories of candidates as per the Government 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 is permissible based only on the qualifying marks without including the grace mark procedures.

4.3 In case of medical and dental sciences, where percentage of marks is not given/ not mentioned in MD/MDS degree certificate, students possessing such degree certificate will also be considered for admission to Ph.D. program on the approval of the Vice Chancellor.

#### **5.0 DURATION OF THE Ph.D. PROGRAMME:**

5.1 Ph.D. programme 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 the Vice Chancellor on the recommendations of SRC and Dean Research and Development.

5.3 The female candidates and persons with disability (more than 40 %) may be allowed an additional relaxation of maximum two years' duration. In addition, the female candidates may be provided up to 240 days' relaxation for maternity /child care once in the entire duration of Ph.D.

#### **6.0 PROCEDURE OF ADMISSION**

6.1 Entrance Test followed by an interview shall be conducted by the University twice a year, normally in January and July. The weightage for entrance test and interview shall be 70% and 30% respectively. Only those students securing at least 50% marks in written examination and 50% marks in interview separately shall be considered for admission.

6.2 Students with M.Phil. degree or equivalent degree from any Institute/University recognized by UGC or qualified with fellowship/ scholarship offered by the University, National and international Agency / NET/ GATE score shall be exempted from entrance test. However, such students will have to appear for the interview, along with the students who have qualified the entrance test.

6.3 Foreign students who fulfill eligibility criteria will be admitted after an online test / interview.

6.4 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.

6.5 University shall decide on biannual basis a manageable number of Ph.D. students to be admitted in different Departments/ Schools based on the number of available eligible supervisors and academic / research facilities, 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 students by a two stage process (i) an entrance test conducted by Controller of Examination (CoE) and (ii) an interview in the subject area of the candidate to be conducted by a committee constituted by Dean Research and Development.

6.8 The entrance test shall have two sections for a total of 70 Marks.

(i) Core subject (50 MCQs)

(ii) Research aptitude (20 MCQs)

#### **7.0 ALLOCATION OF RESEARCH SUPERVISOR:**

7.1 A supervisor to a student shall be allocated by SRC after admission to the programme 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 student. Student's preference for a supervisor shall be taken into account while allotment is made.

7.2 Any regular full-time faculty of Sharda University with a Ph.D. degree will be eligible as Research Supervisor/Co-supervisor. However, in case of Medical and Dental Schools the guidelines prescribed by the NMC/DCI will follow.

7.3 A co-supervisor from the University may also be allocated by SRC. Normally both supervisor and co-supervisor shall be from different departments. However, in exceptional cases SRC may decide to allot co-supervisor from the same department on the recommendation of Dean Research and Development, and approval of the Vice Chancellor.

7.4 A co-supervisor from any other recognized institution may be appointed by SRC on the recommendations of Dean Research and Development, and approval of the Vice Chancellor, if eligible otherwise for appointment as a supervisor.

7.5 Retired faculty working in the University with a Ph.D. degree may also be appointed as co-supervisor by SRC on the recommendation of Dean Research and Development, and approval of the Vice Chancellor.

7.6 In case of interdisciplinary research, considering the administrative aspect, eligible faculty of any department of Sharda University can be appointed as supervisor

7.7 A research supervisor/co-supervisor, who is a Professor at any given point of time, cannot guide more than eight (8) Ph.D. students. An associate professor as research supervisor can guide a maximum of six (6) Ph.D. students and an assistant professor as research supervisor can guide up to a maximum of four (4) Ph.D. students at a given point of time. Professors, Associate Professors, and Assistant Professors, acting as a supervisor must have published at least 5, 3 and 2 research papers respectively in refereed Journals prior to appointment as Supervisor.

7.8 In case a supervisor retires, leaves the University or is unable to supervise or for any other reason, SRC on the recommendations of Dean Research and Development, and approval of the Vice chancellor shall appoint another faculty as a supervisor.

7.9 If a student is about to submit Ph.D. thesis within six months or has submitted, and there is no supervisor, Dean of the School can appoint an administrative supervisor on the recommendations of Dean Research and Development, and approval of the Vice Chancellor.

## **8. COURSE WORK:**

8.1 Each student admitted with a Master's degree shall complete a minimum of 16 credits of course work for his/her Ph.D. programme. This would include courses on Research Methodology (04 credits), Research and Publication Ethics (02 credits), and Pedagogy (02 Credits) as compulsory courses. In addition, the student will take, with the approval of the DRC and SRC, eight (8) credits course (02 courses each of 4 credits) on core courses or the Advanced Independent Study (AIS, 08 credits), which involves studying, understanding and submission of a review of 16 recently published quality research papers from reputed Journals in the concerned subject area comprising of at least 20 A4 sheets of content in consultation with the supervisor. The student has to make a presentation for its evaluation as per the guidelines given by the SRC. Based on AIS, publication of one review article is expected.

8.2 All courses of study shall be at post-Master's degree level, and will need the approval of DRC and SRC for course registration.

8.3 All students admitted to the Ph.D. programme shall be required to complete the course work during the initial one or two semesters.

8.4 A Ph.D. student 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. However, each student is required to get a minimum of 50% marks each in CA and ETE/AIS separately.

8.5 Students already holding M.Phil. degree and admitted to the Ph.D. programme may be exempted from the Ph.D. course work if they have already done the same, but have to do Research and Publication Ethics and Pedagogy courses of 2 credits each.

8.6 Respective school shall be responsible for teaching of core papers/AIS, while Research Development Cell shall conduct Research Methodology, Research and Publication Ethics, and Pedagogy.

## **9.0 COMPREHENSIVE EXAMINATION:**

9.1 Each student needs to qualify a comprehensive examination as per guidelines. The comprehensive examination will be conducted by the SRC.

9.2 After conducting the comprehensive examination, SRC will make one of the following recommendations:

I. Qualified

II. Repeat

9.3 A student will normally have only two attempts for qualifying in the comprehensive examination. However, the Vice Chancellor on the recommendations of SRC and Dean Research and Development can relax this norm. If the student fails to clear comprehensive examination in four attempts, admission to Ph.D. programme will stand cancelled.

## **10.0 RESEARCH PLAN:**

10.1 Students qualified based on the comprehensive examination shall submit a research plan in the prescribed format to SRC through research supervisor.

10.2 The supervisor shall prepare the student to present the research plan before SRC in the presence of an External Expert, Vice Chancellor's Nominee and Dean Research & Development or his /her Nominee. Approval of the research plan shall be accorded by Dean Research and Development. External Expert shall be nominated by Vice Chancellor on the recommendations of Dean Research and Development.

10.3 Dean of Concerned School shall provide a list of at least 5 Experts having domain knowledge of the subject to Dean Research and Development for approval of the Vice Chancellor. Ph.D. Coordinator(s) shall coordinate with supervisors for presentation of 4-5 research plans, to the extent possible, in a slot with the same External Expert.

10.4 Research Plan approval should generally be completed within 12 months of admission. However, the Vice Chancellor may relax the time duration based on the recommendations of SRC and Dean Research and Development.

10.5 It is mandatory to obtain clearance of Institutional Ethical Committee (IEC), Institutional Animal Ethical Committee (IAEC) as per the requirement for clinical studies before submission of research plan. Such studies should also be registered with Clinical Trial Registry on India (CTRI), if necessary.

## **11.0 REGISTRATION:**

11.1 The date of approval of research plan by Dean Research and Development shall be taken as the date of registration to Ph.D. Programme.

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 supervisor/co-supervisor, date of admission.

### **12.0 REVIEW OF THE PROGRESS:**

12.1 Each student 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 the progress of student is not found satisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the student fails to implement these corrective measures for two consecutive reporting periods, the DRC through SRC may recommend to Dean Research and Development for cancellation of registration of the student.

### **13.0 TRANSFER OF CREDITS:**

13.1 Dean Research and Development may consider transfer of credits for course work done as an admitted candidate elsewhere subject to (i) earning required credits and passing the course and (ii) selection to Ph.D. programme through UGC approved norms. However, in all cases, a candidate shall present a research plan to SRC for approval by Dean Research and Development.

13.2 Dean Research and Development with the approval of the Vice Chancellor may allow up to one-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 A student can submit Ph.D. thesis only after 36 months of admission and 24 months of registration i.e. the date of approval of the Research Plan by Dean Research and Development.

14.2 Publication/acceptance of three (3) research papers out of which two are in Scopus / SCI / WoS/ Pub Med for students of SBSR, SET, SMSR, SDS, SNSR SAHS, SAS, SOP, whereas students from other streams viz., SBS, SAP, SOL, SOE, SMFE, SHSS may publish in UGC care list indexed journal post admission and the other paper in any journal.

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

### **15.0 PRE Ph.D. THESIS SUBMISSION PRESENTATION:**

15.1 On completion of the research work, the student shall submit through DRC and SRC a copy of synopsis to Dean Research and Development, who in turn, will advise SRC to conduct a pre-submission open presentation in the presence of Dean Research and Development/ his Nominee and External Expert. The External Expert, to the extent possible should be the same as appointed by Vice Chancellor for Research Plan evaluation. However, in case the same External Expert is not available, Dean Research and Development may appoint any other suitable expert with the approval of the Vice Chancellor.

15.2 Ph.D. Coordinator(s) shall coordinate with supervisors for presentation of 4-5 pre Ph.D. research work, to the extent possible, in a slot with the same External Expert.

15.3 SRC will make one of the following recommendations:

i) Satisfactory for submission

ii) Modification or more work required in the light of suggestions



Based on the performance of the student, it will be approved by the Dean Research and Development.

In case the committee recommends some more work, the student shall give another presentation. If the student fails in the second presentation, the committee may recommend to Dean Research and development for cancellation of registration.

#### **16.0 PANEL OF EXAMINERS:**

The supervisor will submit a panel of the examiners with their brief bio-data drawn from premier Institutes / Universities / Organizations (other than Sharda University and Sharda Group of Institutions) to the Dean Research and Development. The panel will have minimum of four examiners, working in related areas, each from India and abroad. The Vice Chancellor may accept, reject or partially accept the panel. He may in turn also modify the panel as he deems fit. Out of the accepted panel, the Vice Chancellor may approve the names of two examiners, one each from India and abroad. Supervisor of the Ph.D. student shall be the third examiner.

#### **17.0 SUBMISSION OF THESIS:**

17.1 Normally, a student should submit the thesis along with requisite documents to the office of Dean Research and Development within 90 days of pre PhD thesis presentation approval, failing which he/she has to present the thesis work again for evaluation.

17.2 After satisfactory check of the thesis on plagiarism / similarity, the Controller of Examination (CoE) will send the synopsis of the thesis to the examiners for their consent for evaluation. On receipt of the consent, the thesis 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 sent to the next examiner as approved by the Vice-Chancellor.

#### **18.0 THESIS REPORT:**

18.1 The examiners will be required to submit the evaluation report within a maximum period of two (02) months from the date of dispatch of the thesis. The CoE will give a reminder once in 15 days, if the 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.
- vi) The thesis be not accepted.

18.3 Final Viva Voce of Ph.D. Thesis:

i) If all the three examiners recommend the award of degree, open defence (viva voce) examination be conducted in the office of Dean Research and Development/ online as the case may be.

ii) If one of the examiner's report is unsatisfactory, thesis be send to fourth examiner.

iii) If more than one examiner's report is unsatisfactory, thesis be rejected for award of degree and registration be 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 examination of the student 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 specific recommendations for conducting the viva-voce examination. The supervisor will initiate the process of viva-voce examination. The viva voce examination will be conducted by the office of Dean Research and Development with one external thesis examiner, nominated by the Vice Chancellor, and supervisor as the coordinator, Concerned Dean / HoD.

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

#### **20.0 AWARD OF DEGREE:**

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

20.2 Research Degree Committee on receiving the proposal will recommend the same to the Academic Council for final Approval.

#### **21.0 CONTROLLER OF EXAMINATION (COE):**

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

#### **22.0 PLAGIARISM:**

Maximum permissible similarity limit shall be 10% as per UGC notification (Self similarity out of publication of Ph.D. work will not be counted: (UGC notification dated 23rd July,2018). In case of any plagiarism reported against any student 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.

#### **23.0 DEPOSITORY WITH INFLIBNET:**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, CoE 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


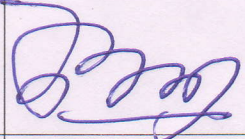

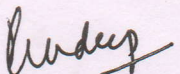
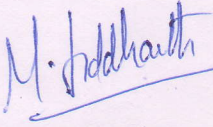
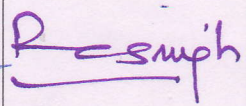
**24.0 AWARD OF DEGREES TO THE STUDENTS ADMITTED FOR THE Ph.D. PROGRAMME PRIOR TO IMPLEMENTATION OF THIS ORDINANCE:**

Award of degrees to students admitted for the Ph.D. programme before the implementation of this ordinance shall be governed by the provisions of the Ph.D. Ordinances of the University notified from time to time.

**25.0 POWER TO RELAX:**

Vice Chancellor, the Chairperson of the Academic Council, in exceptional circumstances, may relax any of the provisions of the said ordinances to remove any difficulty.

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

					
<b>Dr. V.P.S Arora</b> Advisor to Vice Chancellor	<b>Dr. Bhuvensh Kumar</b> Dean Research & Development	<b>Dr. Parma Nand</b> Dean Academic Affairs & Dean SET	<b>Dr. Pradeep Kulshreshtra</b> Dean SOL	<b>Dr. M. Siddhartha</b> Dean SDS	<b>Dr. R.C Singh</b> Controller of Examination

Approved By



(Dr. Sibaram Khara)  
Vice Chancellor, Sharda University