

ORDINANCE

for the Degree of



DOCTOR OF PHILOSOPHY (Ph.D.)

As per UGC Regulations 2009/2016/2018

(Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees)

Approved by the Academic Council in the meeting held on 25/09/2021



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IFTM UNIVERSITY, MORADABAD

**Ordinance for the Degree of
Doctor of Philosophy (Ph.D.)**

1. ELIGIBILITY:

A candidate seeking admission for the degree of Doctor of Philosophy (Ph.D.) programme of the IFTM University (here-in-after called as the University) must hold at least one of the following qualifications:

- 1.1 Master's degree with 55% marks or Grade Point 6.75 in the scale of 10, in appropriate field of Engineering/Technology/ Pharmacy/ Management/Agriculture Engineering.
- 1.2 Master's degree with a minimum of 55% marks or Grade Point 6.25 in the scale of 10, in the appropriate field of Science/Humanities/ Commerce/Agriculture Science/Education/Law.
- 1.3 A relaxation of 5% of marks 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 decision of commission from time to time.
- 1.4 Not with standing any thing contained in the above mentioned clauses 1.1 and 1.2, the eligibility criteria/guidelines prescribed and/or issued by UGC/AICTE or any such other statutory bodies, from time to time pertaining to said disciplines/courses may be considered as minimum requirement for admission to Ph.D. degree programme of the University.

2. ADMISSION PROCEDURE:

- 2.1. The University shall invite the applications for admission to Ph.D. programme with the number of seats available in each subject in concerned academic year through national level advertisement and also through announcement at its website.

The admission process will generally be carried out once in a year, preferably in the beginning of the academic session. However, the University depending upon its academic goals and needs, may decide to carry out the admission process twice in a year with due advertisement.

- 2.2. A candidate seeking admission to Ph.D. programme should apply on the prescribed Application Form to be downloaded from the University website. Duly completed Application Form should be submitted within specified time along with the required documents and the prescribed fee for Entrance Test.

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2.3. For admission in Ph.D. programme, the applicant must qualify (50% of the total) (45% for SC/ST/OBC-Non creamy layers/Differently-abled category) the Ph.D. Entrance Test conducted by the University. The Entrance Test will consist of

- (i) Written test based on the knowledge of research methodology (consist of 50% marks) and 50% subject specific
- (ii) Interview conducted by the committee constituted by the Vice Chancellor for the concerned subject.

The test result will be based on the total score in written test and interview. It will be displayed on the University website within a week.

2.4. The candidates who have already qualified the UGC-NET (including JRF)/UGC-CSIRNET (including JRF)/SLET/GATE (Valid)/GPAT (Valid)/Teacher Fellowship of UGC holder/M.Phil shall be exempted from the Entrance Test.

3. REGISTRATION:

3.1. After qualifying the entrance test, the candidate seeking registration for Ph.D. degree must apply to the University on prescribed Application Form for Admission/Registration. The form can be downloaded from the University website.

The qualified candidates are asked to meet their Conveners of the concerned subjects. The convener then allots the Supervisor to the candidate on the basis of the supervisor's specialization and the availability of number of seats already declared at the time of advertisement.

The candidate should prepare the Synopsis containing the 'Topic of the work', 'Research Plan', 'Research Methodology' and 'Selected References' in consultation with the supervisor allotted to him/her.

Duly completed application form for admission/registration and synopsis (five in number) should be submitted to the University within the specified time with the following enclosures:

- i) Prescribed semester fee through Bank Draft in the name of the University, payable at Moradabad.
- ii) No objection certificate from the employer if he/she is a serving candidate.
- iii) Certificate from the Head of the Organization/Institution indicating that the necessary facilities for the proposed work exist in the organization/institution will be provided to the candidate, in case the candidate opts the place of research work outside the University.

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3.2. The application form along with synopsis will be placed before a Research Degree Committee (here in after called as RDC) for its consideration. There will be a separate RDC for each Subject and it will comprise of:

- | | |
|--|-----------|
| i) Vice Chancellor | Chairman |
| ii) Director/HOD/Dean | Convener |
| iii) One expert of the concerned subject
not below the rank of Professor/ Associate
Professor belonging to the University to
be nominated by the Vice Chancellor. | Member |
| iv) Two experts of the concerned subject
not below the rank of Professor/ Associate
Professor from outside the University to be
Nominated by the Vice Chancellor. | Member |
| v) Registrar/Registrar designate | Secretary |

The RDC will meet at least twice in each academic session. Half of the members of RDC shall form the quorum for a meeting. However, presence of the external expert is mandatory in the meeting.

3.3. The RDC shall satisfy it self that the 'Topic of the research work' offered to the candidate is such which can properly be pursued under the guidance of the proposed supervisor. The RDC may decide one or more of the following:

- (i) approve the proposal
- (ii) suggest some modification/revision in the proposal
- (iii) reject the proposal
- (iv) identify the additional course requirement specific to the proposed research work.

If the proposal is accepted, the candidate will be registered from that day. From this time onwards a registered candidate will be called as 'scholar' only.

3.4. If there is any modification/revision in the research proposal, the candidate will comply the decision/suggestions of RDC and will submit the revised proposal duly signed by the supervisor within specified time to the convener and after this progress he/she will be registered.

3.5. If the proposal is rejected, the candidate will be required to submit the fresh research proposal for consideration in the next RDC.


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4. SUPERVISOR:

- 4.1 Any regular Professor of the University with atleast five research publications in refereed journals and any regular Associate/ Assistant Professor of the University with a Ph.D. degree and atleast two research publications in refereed journals may be recognized as Research Supervisor.
- 4.2 External supervisors are not allowed. However, Co-supervisors can be allowed in inter disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Degree Committee.
- 4.3 The maximum number of candidates to be enrolled for Ph.D. research work under any supervisor at any particular time shall be: Professor 08, Associate Professor 06 and Assistant Professor 04 Additional number of candidates to the supervisors may be allowed by the Vice Chancellor on request.
- 4.4 A supervisor/co-supervisor shall not be allowed to register a candidate for Ph.D. programme, if the candidate has blood relation or a relation as per the University defined relationship criteria.
- 4.5 No change of supervisor shall ordinarily be allowed except in special cases as:
 - a) where the convener is satisfied that the research work of the candidate will suffer on account of supervisor leaving the University, or
 - b) on account of supervisor's retirement, or death or being unapproachable or when he/she is unwilling to continue to guide the candidate, or
 - c) in any other circumstances based on the recommendation of the convener and duly approved by the Vice Chancellor.

5. COURSE WORK:

- 5.1 All registered candidates (scholars) will be required to clear the course work prescribed by the University. The course work will consist of four papers:
 - i) Basic knowledge of Research Methodology
 - ii) Quantitative Methods and Computer Applications
 - iii) Review of Literature relevant to the subject.
 - iv) The Paper allotted by the first RDC.
 - v) Research and Publication Ethics.

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The scholars must clear four papers either at a time or separately. The scholar has to obtain a minimum of 55% marks or its equivalent grade/CGPA (6.25 in 10 point scale) in the course work qualifying examination.

- 5.2 A scholar has to clear the course work examination in maximum two attempts. However, in special cases, he/she can appear in the course work examination for more than two attempts, after the permission by the Vice Chancellor. The scholar must clear the course work before Pre Ph.D. Presentation.
- 5.3 The teaching of the course work will be arranged and teaching schedule will be notified by the University to the registered scholars. The minimum attendance required shall be 75%. However the scholar may be allowed to appear in the course work examination with minimum 60% attendance with the approval of Vice Chancellor as a special case.

6. PROGRESS REPORT:

- 6.1 A research scholar shall appear before the RDC, once in six months, to make a presentation of his/her progress report, which is submitted by his/her previously to the University Office after forwarding by the concerned supervisor. Each scholar is required to attend minimum five RDCs before applying for Pre Ph.D. presentation.
- 6.2 If a scholar fails to attend his/her 1st or 2nd six monthly RDC he/she may request for attending the RDC by getting special permission from the Vice Chancellor on the recommendation of concerned convener.
- 6.3 Supervisor's presence with the scholar in RDC meeting is compulsory.
- 6.4 The Pre Ph.D. Presentation/Submission application is to be placed before RDC for consideration and approval.

7. DURATION:

- 7.1 The period of scholar for the purpose of thesis submission shall be counted from the date of his/her registration.
- 7.2 In a normal course, a scholar is permitted to submit the thesis after completing minimum period of three years and within a maximum period of six years from the date of his/her registration. In exceptional cases, depending upon the merits and recommendations of the concerned supervisor the Vice Chancellor may extend the maximum period by another two years.

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7.3 Re-Registration:

The interested candidate may go for re-registration. The maximum period for Re-registration will be two years. The minimum time of submission of thesis is after one year but within two years the scholar must submit his/her thesis.

8. SUBMISSION OF THE THESIS:

8.1 Pre Ph.D. Presentation: Each scholar must undergo Pre Ph.D. presentation (fulfilling the rules laid down in clause 7.1) by applying to the University with the following enclosures:

- i) Reprints/proof of atleast two paper based on the research work published in any of the listed journals.
- ii) In research publication of a scholar it must be mentioned that the scholar is a research scholar in IFTM University for those who are not affiliated to the University.
- iii) The scholar will produce evidence of making two papers (relevant with the research work) presentation in two national conferences / seminars or one paper in international conference / seminar outside India
- iv) A draft copy of Ph.D. thesis in soft binding along with the PDF of the draft in a CD which may be opened on any system.

8.2 Once permitted, scholar will undergo Pre Ph.D. Presentation which will be open to all faculty members and scholars. The presence of subject convener and supervisor in the presentation is mandatory. In addition, the Vice Chancellor will appoint expert (s) from the concerned field for the purpose. The feedback and constructive suggestions by the members present during presentation should be incorporated into the draft thesis.

8.3 After successful Pre Ph.D. presentation, the scholar will be permitted to prepare the thesis as per guidelines set by the University and will be asked to submit the same as follows:

- i) Four hard copies of the thesis
- ii) Four CDs with exactly identical content in PDF format which may be opened on any system
- iii) Four copies of Summary of the Thesis
- iv) Four copies of the approved synopsis
- v) Certificate from the Supervisor stating that:
 - a) The thesis embodies the original work of the scholar and plagiarism check has been done. It has not been earlier submitted by him/her or any other scholar else where for any degree

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- b) The scholar worked under him/her for the prescribed period
 - c) All the necessary suggestions raised at Pre Ph.D. presentation stage have been incorporated in the thesis by the scholar.
- vi) A bank draft of prescribed fee in the name of IFTM University payable at Moradabad as evaluation and viva voce examination fee.

9. EVALUATION OF THE THESIS:

- 9.1 For the evaluation of thesis, the Supervisor and the Convener of concerned RDC will submit panel of examiners to the University. Each panel shall have six names of the experts of the subject concerned and not below the rank of Professor/Associate Professor in University/Institution/Research Organization. Out of six examiners three should be from out of the state of UP. The postal address along with Pin code, contact no. and e-mail address of each expert must be given in each panel.
- 9.2 The Vice Chancellor will appoint two external examiners from the submitted panels. However, in case the Vice Chancellor is not satisfied he may ask a fresh panel or he may add some names in the panel at his own level. In addition to external experts appointed by the Vice Chancellor, supervisor will be the internal examiner.
- 9.3 After receiving the consent of the examiners, the thesis will be dispatched to them for evaluation. A maximum of three months' time shall be given to the examiners for sending the evaluation report in the prescribed format failing which the Vice Chancellor may appoint an alternate examiner from the panel.
- 9.4 The examiners shall ensure that the thesis fulfills the requirements as per norms set by the University given below:
- (i) The thesis must be an original piece of work, characterized by the discovery of facts or by fresh approach towards interpretation of theories. In either case, it should reflect the scholar's capability for critical examination and sound judgment
 - (ii) It should also be satisfactory as far as its logical and reasonable presentation is concerned
 - (iii) At the same time, it should have the potential for research publications in reputed journals

The examiners shall clearly recommend whether the thesis be:

- (i) Approved or
- (ii) Re submitted after revision/extension/modification of research work or
- (iii) Rejected.

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9.5 If both the external examiners approve the thesis, the viva voce examination will be conducted.

9.6 If both the examiners recommend their vision of the thesis, the scholar will be permitted to revise his/her thesis within one year maximum from the date of communication to the scholar. The scholar will have to pay an additional examination fee as prescribed time to time by the University for re-submission of his/her thesis.

The re-submitted thesis shall be examined by the old set of examiners including the Supervisor. A copy of the report sent by each examiner earlier will be sent to them along with the revised copy of the thesis. The examiners shall clearly recommend whether the scholar has incorporated all the comments in the revised thesis which is to be approved or rejected.

9.7 If one of the examiners approves the thesis and the other external examiner recommends revision, the comments of the examiner recommending revision shall be sent to the Supervisor and the scholar for reply. These responses/replies will be communicated to the concerned examiner and following positive reply of the examiner, the viva voce examination shall be held. In case of a negative reply from the concerned examiner the matter shall be dealt with as per the provision of clause 9.8.

9.8 If one external examiner approves the thesis and the other external examiner recommends rejection of the thesis, the thesis will be sent to the third external examiner appointed by the Vice Chancellor from the panel of examiners. If the third external examiner also rejects the thesis, the thesis will be rejected.

9.9 If both external examiners reject the thesis, the thesis will be rejected.

9.10 In case the thesis is approved, an open viva voce examination for the scholar will be conducted. The panel for viva voce examination will consist of two examiners of whom one will be Supervisor and the other one out of the two external examiners. The open viva voce examination may be attended by any other interested faculty member/scholar.

9.11 The Viva voce Examiners will make the final and a clear recommendation whether the scholar

- i) be awarded Ph.D. degree or
- ii) be asked to reappear for a viva voce Examination. In this case, the scholar shall be required to re appear for a viva voce before the same examiners but not earlier than six months (in exceptional case only Vice Chancellor may shorten the time) from the date of

previous viva voce examination. If the performance of the scholar at viva voce is still unsatisfactory, the thesis will be rejected.

10. AWARD OF THE Ph.D. DEGREE:

- 10.1 After the viva voce is successfully over, the scholar must submit three hard bound copies of the thesis and a CD with exactly identical content in PDF format which may be opened on any system, incorporating suggestions made during the evaluation process by the examiners and the suggestions during the viva voce examination.
- 10.2 The Ph.D. degree will be awarded in the Convocation after the approval of Academic Council and Executive Council. However, the scholar will be issued a Provisional Degree Certificate (PDC) in the prescribed format after the completion of successful viva voce examination.
- 10.3 The award of Ph.D. degree can be withdrawn in case the thesis submitted by the scholar is found to contain false or pirated results or the scholar has been found to be involved in plagiarism. The procedures of withdrawal of the degree shall be in accordance with the policy of the University from time to time.

11. SUBMISSION TO THE UGC/STATUTORY BODIES

After the successful completion of Ph.D., the University will submit the softcopy of the Ph.D. thesis to the UGC and other statutory bodies for hosting on INFLIBNET within a period of thirty days.

The Vice Chancellor of the University shall have the power to amend, add, annul, repeal or modify any of the provisions of this ordinance, in accordance with the law & guideline issued by the statutory bodies, from time to time. Any change in the Ordinance will be informed through the University website : www.iftmuniversity.ac.in.

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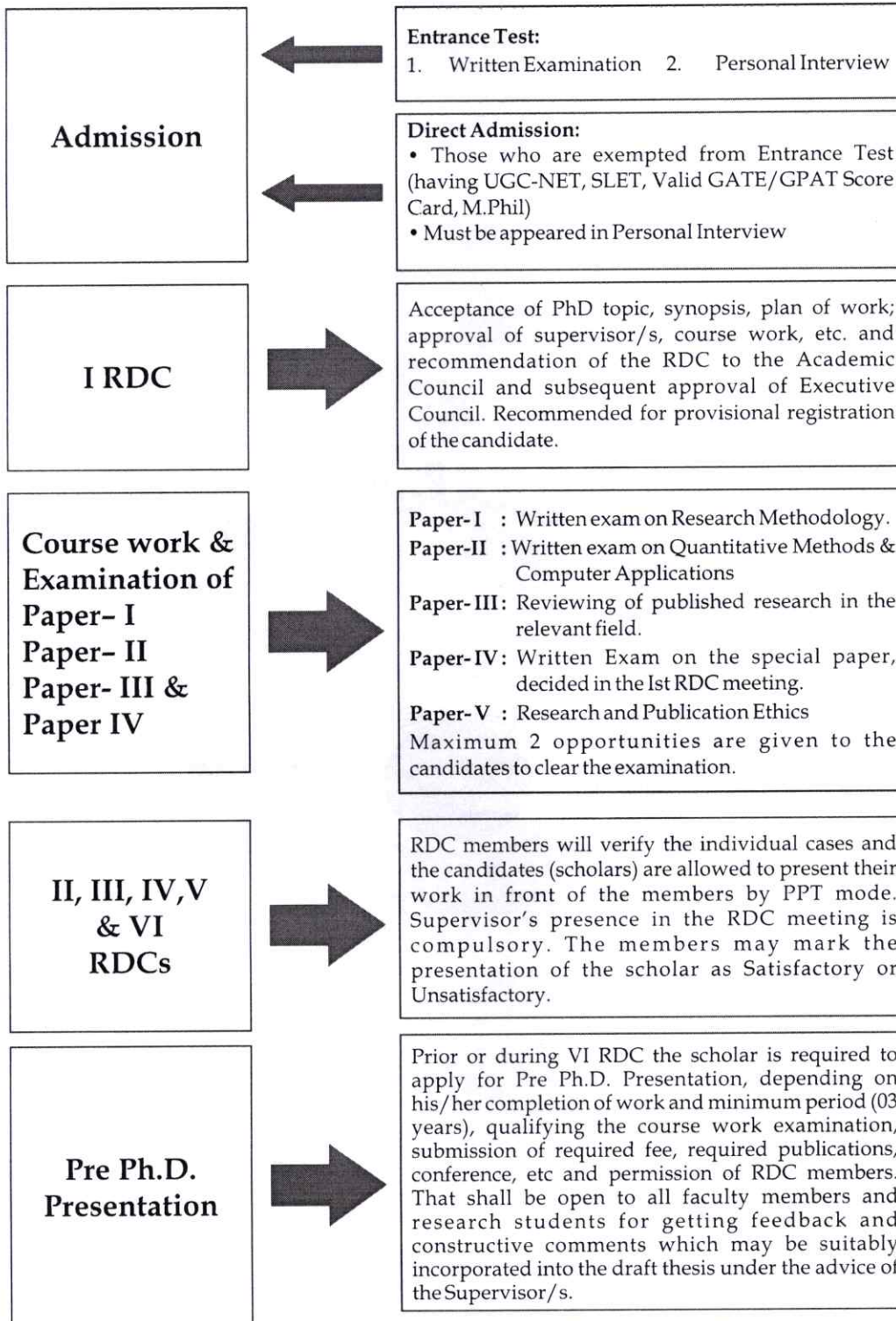


FLOW CHART OF Ph.D. Programme

[Based on UGC Ph.D. Regulation 2009/2016]

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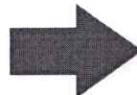


**Submission
of Thesis**



The scholar will be required to defend his/her entire research work before the RDC. The scholar is allowed to submit the thesis only after the RDC permits the same. He/she should submit 4 copies of thesis with 4 summary in soft cover prescribed by the University along with its soft copy. The plagiarism check is to be done by the candidate & supervisor, keeping the plagiarism in their 10% as suggested by UGC.

**Final
Viva
Voce**



The Examination Board for the Ph.D. Thesis shall consist of 2 External Examiners, preferably one from outside the state, who shall be experts on the subject area of the thesis. Getting positive confidential assessment report from the examiners, the oral defense of the thesis shall be conducted by a committee constituted by the Vice Chancellor consisting of the internal examiner (s) and at least one external examiner. The thesis shall be openly defended.

If Oral Defense Committee recommends 'that the Degree be Awarded', the candidate shall submit 3 hard cover copies of thesis along with its soft copy, after incorporating all necessary modifications /corrections as suggested by the Oral Defense Committee.

Following the successful completion of the Oral Defense and Announcement of the award of Ph.D. Degree, the University shall issue a Provisional Certificate to the candidate.

*The Flow Chart is made keeping in view the Ph.D. Ordinance of the University, made as per UGC Regulations of Ph.D. 2009/2016.

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