



# DR. B.R. AMBEDKAR UNIVERSITY, AGRA

## (Formerly Agra University, Agra)

### APPLICATION FOR PH.D. ENTRANCE EXAMINATION / EXEMPTION\*

(Application form downloaded from university web site should be submitted to the office of the Dean (Research) along with a crossed Demand Draft for Rs. 500/- (Rs. 300 in case of SC/ST) *in favour of the Finance Officer, Dr. B.R. Ambedkar University payable at Agra* on or before 31<sup>st</sup>-March-2010.)

1. Name of Applicant :	<input type="text"/>	Affix Latest Photograph
2. Father's Name :	<input type="text"/>	
3. Address (In English) :	<input type="text"/>	

City/District

Post Office  Pin Code:

Phone No. :  Mob:-

E-mail

4. Category – GEN  OBC  SC  ST  OTHERS   
 (Please mark appropriate category by putting a  $\checkmark$  mark)

5. Whether eligible for exemption from entrance examination as per Ph.D. rules:- YES / NO  
 If yes mention the category.

Name of test/Exam passed	Subject	Year of passing the Exam	Roll No.	Period of validity of the test
UGC/CSIR NET (JRF)				
UGC/CSIR NET (Lectureship)				
SLET				
GATE				
M.Phil				

6. Examinations passed by the applicant:

S.No	Examinations	Board / University	Subject	Year	Div.	% of Marks
1.	High School					
2.	Intermediate					
3.	Graduation					
4.	Post-Graduation					
5.	M.Phil					
6.						

7. Subject offered at Post-graduate degree and the name of the faculty:

1. Subject \_\_\_\_\_ 2. Faculty \_\_\_\_\_

Subject for Ph.D. entrance examination: \_\_\_\_\_

(Select your subject from the list of subjects in which Ph.D. entrance examination will be conducted)

Details of application form fee deposited :

Amount Rs. 500/- \_\_\_\_\_ DD No. \_\_\_\_\_ Date: \_\_\_\_\_

Name of Bank \_\_\_\_\_

*(Signature of Applicant)*

**FOR OFFICE USE**

Exempted from Ph.D. Test /NOT Eligible for Exemption : \_\_\_\_\_

Eligible to appear in the Ph.D. Entrance Test : \_\_\_\_\_ Category : \_\_\_\_\_

Roll No. \_\_\_\_\_ Centre : \_\_\_\_\_

Date of Exam : \_\_\_\_\_

*Signature  
(Dean of Research)*

# **DR. B.R. AMBEDKAR UNIVERSITY, AGRA**

## **REVISED ORDINANCES RELATING TO THE DOCTORATE DEGREE IN THE FACULTIES OF ARTS, FINE-ARTS, SCIENCE, COMMERCE, AGRICULTURE AND EDUCATION, 2009.**

### **ORDINANCES**

#### **A. DOCTOR OF PHILOSOPHY**

1. A candidate for registration for the degree of Ph. D. must at the time of application possess a Masters Degree of a University established or incorporated by or under a Central Act, Provincial Act or a State Act, of an Institution including a constituent or an affiliated College recognized by the UGC under clause (1) of Section 2 of the UGC Act, 1956, and Institution deemed to be a University under section 3 of the said Act, and also recognized by the Executive Council for the purpose; provided that the candidate:-
  - (i) has secured at least 55% marks at the Master's Degree Examination ( with relaxation for SC/ST as per UGC/State government rules).  
and
  - (ii) has qualified in the UGC/CSIR/JRF exam/SLET/GATE/ Ph.D. entrance test of the University/ got teacher fellowship.  
and/or
  - (iii) has passed M.Phil. programme of a recognized University, where admissions are through entrance exam.

Note: - (i) In case where a candidate has done M.Phil. from another University and has moved to this University, the University shall give credit and exemption for the course work done in the previous University. Those candidates who have obtained Ph.D. degree from abroad shall have to appear in the entrance test as applicable to fresh candidate directly joining Ph.D. and also in the post- course work examination.

(ii) A candidate who has done M.Phil. in the subject shall be exempted from pre-Ph.D. courses and post-course work examinations.

(2) A candidate for registration for the Ph.D. degree must apply to the University on the prescribed form clearly stating—

- (i) his/her qualification and experience.
- (ii) the subject on which he/she proposes to work along with the proposed title of the thesis and synopsis.
- (iv) the name of the proposed supervisor (and joint-supervisor, if any, who shall not be from the same institution).
- (v) the name of the institution where he/she proposes to carry on his/her research.

Note: - The Institution shall be an affiliated college of the University having post-graduate classes in the subject concerned or an institute/teaching Department of the University having post-graduate classes in the subject concerned or such other Research Institutions as may be approved by the

Academic Council and Executive Council for the purpose within the jurisdiction of the University, provided such institutions are not entitled to award their own Ph.D. degree.

(3) The allocation of the supervisor for a selected student shall be decided by the concerned Department in a formal manner depending on the permitted number of students per faculty member, the available specialization among the faculty supervisors and the research interest of the student. The allotment/allocation of the supervisor shall not be left to the individual student or teacher.

The Head of the Institution/University Department concerned shall give a certificate to the candidate that he/she has been provisionally admitted as a research scholar, that adequate facilities for research exist in the institution and that the candidate will be allowed to work in the Institution under the supervision of the person allocated, if the R.D.C. approves the topic and the supervisor. Provided that the Head of the Institution/University Department may, on the recommendation of the supervisor, permit the candidate to work in another institution approved by the Academic Council, where adequate facilities exist. In such cases there shall be a joint-supervisor belonging to that place, where the candidate has been allowed to work.

(4) The candidate must deposit registration fee which will not be refundable.

(5) A candidate shall ordinarily be permitted to work for the Ph.D. Degree in the subject in which he/she obtained his/her Master's Degree. Provided that research work leading to Ph.D. Degree may be allowed in an allied subject in the same or other Faculty, if the Research Degree Committee concerned is satisfied that the candidate possesses the requisite qualifications to take up the proposed work.

(6) (1) The person recommended for appointment as a supervisor or joint-supervisor must be in possession of Ph.D. in the subject (or an allied subject) and must be --

Either (a) A regular permanent serving teacher or a retired teacher of the University or any of its Affiliated Colleges, having taught the subject (or/and any allied subject) for not less than five years either at the Master's degree level or at the first degree level or at both the levels, counted together; he/she must have also at least two independent (single authorship) research papers in the field to his credit published in a standard (indexed/refereed) Journal of Research after getting Ph.D. on topics other than those of his Ph.D. thesis.

OR (b) A person having a Ph.D. degree and working in a Research Institute as such approved by the Academic Council, on a post equivalent to or above the post of Assistant Professor, having not less than five years of experience of research work in any Research Project sponsored by the Central or any State Govt. or UGC, ICAR, CSIR, ICHR, etc. and published work as mentioned in 6 (1) (a) above.

Provided that teaching experience at the Master's degree level as under (a) above shall be equated with research experience as under (b) above, and vice-versa, for the purpose of this clause;

(2) Notwithstanding anything to the contrary contained in clause (1) hereinabove—

(a) A teacher or scientist or an eminent scholar who is or has been recognized by the Academic Council as suitable to act as Ph.D. Supervisor may be allowed to act as such.

b) Relatives as defined in the Explanation of Section 20 of the U.P. State Universities Act, 1973 of a candidate supplicating for the Ph.D. shall not be allowed to act as his/her supervisor.

(3) A teacher of Masters and first degree classes in the University or an affiliated college of the University or a person serving in a Research Institute can supervise candidates at his own institution only.

Provided that a teacher of this University can supervise at any local affiliated college only if adequate research facilities or post-graduate classes do not exist in his institution.

Retired teacher of the University or any of its affiliated colleges or a scientist or an eminent scholar can supervise candidates at any approved place as a joint supervisor only.

(4) No supervisor or joint supervisor shall have more than 8 students under him/her at any time in any case.

7. (1) Ten copies of the synopsis i.e. plan of work should be submitted with the registration form, giving the purpose of study and indicating clearly the original contribution to knowledge which the thesis proposes to make and which will bring to light material not yet known or used by scholars or fresh interpretation of already known facts. The synopsis so prepared must indicate the proposed research design, tools, methodology, hypothesis and tentative conclusions (wherever applicable) and bibliography.

(2) The application of the eligible candidates shall be placed for consideration at a meeting of the Research Degree Committee of the subject concerned which shall meet once in an academic session. Applications must be received in the University office latest by June 30.

(3) The candidate shall appear in an Interview before the concerned Research Degree Committee. At the time of the Interview, the candidate shall discuss his/her research interest/area and defend his/her proposal.

8.(1) The Research Degree Committee of a subject shall consist of the (i) Vice-Chancellor (ii) the Dean of the Faculty (iii) the Convener of the Board of Studies (iv) senior most teacher in the subject from the affiliated college under whose supervision at least three candidates have been awarded Ph.D. Degree, by rotation for a period of two years and (v) three experts from outside the university to be nominated by the Vice-Chancellor for two years.

(2) In subjects where no teacher has produced three Ph.D. candidates, the Vice-Chancellor may nominate such a teacher as member of R.D.C. as he may deem fit.

(3) Where there is a Research Degree Committee for more than one subject (as Agriculture, Commerce, etc.) more than three experts shall be nominated so that there is at least one internal and one external expert of each subject in which the application is to be considered.

(4) Professors of University teaching departments shall be ex-officio members of the Research Degree Committee in their respective subjects.

(5) In case of University Institutes / Teaching Departments, the Academic Committee of the subject shall function as Research Degree Committee in that subject.

(6) An honorarium shall be paid to every member of the RDC as per University norms.

9. (1) The Research Degree Committee shall examine if (i) the topic proposed and the plan of work (synopsis) submitted are suitable for research (ii) the supervisor (and the joint-supervisor, if any) allocated by it is/are qualified and suitable to guide the proposed work and (iii) adequate facilities for work exist at the place/places of work..

(2) The candidates shall personally present the synopsis before the Research Degree Committee.

(3) The Research Degree Committee shall give reasons in detail for acceptance or revision or rejection of the application provided as under:-

(i) Where the Research Degree Committee accepts the application, the candidate, the supervisor (and the joint-supervisor, if any) and the Head of the Research Centre shall be informed forthwith. While accepting the application, the Research Degree Committee shall have the power to modify the topic. The modified topic shall be communicated to the candidate and the supervisor (and the joint-supervisor, if any).

(ii) Where the Research Degree Committee directs revision of the synopsis so as to be suitable for the approved or modified topic, the revised synopsis shall be referred to the sub-committee consisting of (i) the Convener (ii) the internal expert and (iii) the supervisor concerned, for decision on behalf of the Research Degree Committee.

(iii) Where the Research Degree Committee is of the view that the synopsis must be rejected, it shall indicate reasons in detail for such rejection.

(iv) The topic and the synopsis approved by the R.D.C. shall be put on the University website. The candidate shall be issued approval letter after receiving two soft copies of the approved synopsis.

10. (1) If permission is granted by the Research Degree Committee, the candidate shall pursue his research under the supervisor on the topic approved, for not less than twenty four months commencing from the date of application. He/She shall not be able to submit his/her thesis before these twenty four months. Period spent on work done under the joint-supervisor, if any, shall be taken into account for this purpose. Provided that this period shall stand reduced to eighteen months in the case of candidates holding M.Phil. degree in the subject concerned. A certificate in this regard shall be given by the supervisor and countersigned by the Principal/Director/Head of University Teaching Department as the case may be.

(2) On permission being granted by the Research Degree Committee, the candidate may submit his thesis at any time till the completion of sixty months from the date of final acceptance of his/her proposal by the Research Degree Committee.

(3) After having been admitted, the Ph.D. student shall be required to undertake course work for a minimum period of one semester for which the candidate will be required to deposit the course fee which will not be refundable. The course work shall be treated as pre-Ph.D. preparation and must include a course on research methodology which may include quantitative methods and computer applications. It may also involve reviewing of published research in the relevant field. If necessary, the course work may be carried out in sister departments/institutes/colleges within the University. One of the essential requirements for allowing the student to write and submit the dissertation will be passing in the examination to be conducted by the University after the course work.

11. (1) Upon satisfactory completion of the course work, the research scholar shall undertake the research work and produce a draft thesis.

(2) Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Department/Institution that may 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. A certificate to this effect and to the effect that the candidate worked at the research centre for the specified period, signed by the candidate, supervisor/joint-supervisor and

countersigned by the Head of the College/Institute/University Department, shall have to be appended with the thesis.

(3) Ph.D. candidates shall publish at least one research paper in a refereed Journal before the submission of the thesis/monograph for adjudication, produce evidence for and append the same with the thesis in the form of the reprint or acceptance letter along with a pre-print.

12. If the admission of a candidate is cancelled by the Head of the Institution concerned on the ground of unsatisfactory progress report of the supervisor or on any ground of indiscipline, misconduct etc, his/her registration shall stand cancelled in the University with effect from the date of cancellation of his admission.

13. (1) Three examiners for the evaluation of the Ph.D. thesis shall be appointed by the Vice-Chancellor as Chairman of the Examination Committee. For this, the Vice-Chancellor shall seek panels containing names - six proposed by the supervisor concerned and another six proposed by the Convener of the Board of Studies concerned.

(2) In case of University Institute/Teaching Departments, the Chairman of the Academic Committee shall propose the panel of the examiners in place of Convener of Board of Studies.

(3) In case where the Vice-Chancellor himself is the supervisor, the examiners shall be appointed by the Examination Committee.

(4) Provided that if the panels are not made available by the Convener or Supervisor within one month from the date of the receipt of University letter seeking panels, the Vice-Chancellor may obtain names from the Internal expert on the Research Degree Committee and get the thesis processed for evaluation.

(5) Provided that if the number of candidates who have been awarded Ph.D. degree under the supervision of the Convener of the Board of Studies is less than three, then, the panel of examiners for Ph.D. candidates shall be sought from the internal expert.

(6) The proposed names of the examiners shall be of the level of Professors. Out of the three examiners, at least two shall be from outside the state. The University may send the thesis to one examiner from outside the country.

(7) No serving teacher or a retired teacher, who is guiding research in the University, can be appointed as an examiner for the evaluation of a thesis.

14. After the thesis is completed, the candidate shall submit to the Registrar four printed or typed (but not published) copies of his thesis together with four copies of the summary of the thesis and four copies of the plan of work as approved in accordance with Ordinance 7 foregoing. He shall also submit two soft copies of the thesis along with the printed copies. These will be sent to the UGC for hosting the same in INFLIBNET, accessible to all Institutions/Universities, if the degree is awarded.

15. The medium of expression for every thesis shall be either English or Hindi (written in Devanagiri script) except in the case of subjects concerned with any of the languages where the thesis may, at the option of the candidate, be presented in the language. In this case English/Hindi translation of the summary may also be submitted along with the thesis.

16. The thesis shall comply with the following requirements:-

(i) It must be an original piece of research work characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories. In either case it should evince the candidate's independent capacity for critical examination and sound judgment.

(ii) It shall be satisfactory in respect of language and presentation of subject matter.

17. The thesis shall be accompanied by a certificate from the supervisor/joint supervisor stating that the thesis embodies the work of the candidate himself and that the candidate worked under him for the period required i.e. not less than 24 months on whole time basis (18 months for those who have passed M.Phil.), together with a clearance certificate from the Head of the College/Institute/University Teaching Department concerned, as envisaged in 11(2). The attendance registers of the candidate shall be maintained by the concerned department.

18. The candidate shall deposit the prescribed examination fees along with the thesis for Ph.D. thesis processing.

19. On receipt of the thesis along with the certificates and the fee prescribed, the thesis shall be sent to the examiners appointed in accordance with ordinance 13 foregoing.. Each examiner shall clearly state whether—

(i) the thesis should be approved for the conferment of Ph.D. Degree, **or**

(ii) the thesis should be rejected.

The above recommendation is to be submitted along with a report in the following format –

(a) Strength of the thesis

(b) Weakness of the thesis

(c) At least five probable questions to be asked at the time of viva-voce examination (applicable in the case of 19 (i) only).

(d) At least three specific reasons (applicable in case of 19 (ii) only).

20. (i) If at least two examiners recommend approval of the thesis, it shall be approved and shall be processed for viva voce.

(ii) If at least two examiners recommend rejection, the thesis will be rejected. The candidate will be supplied with the reason for rejection and will be given the option to resubmit the thesis within a minimum period of two years from the date of communication of the rejection along with the prescribed fee and a certificate from the supervisor stating that the reasons of rejection have been dealt with. The process of evaluation shall then start afresh. If the thesis is rejected again, the candidate will have to apply and register afresh.

(iii) When the thesis has been approved, the candidate will be required to appear at an open viva-voce before a Board consisting of the Supervisor (unless otherwise directed by the Vice-Chancellor) and one of the examiners recommending approval of the thesis. Reports of all the examiners shall be made available to the Board and to the candidate before the viva voce. In case, any of the examiners of the Board are not available, the Vice-Chancellor may appoint any other examiner from the panel and he/she along with the Convener shall conduct the viva-voce as per procedure.

(iv) In the viva-voce, the candidate shall have to openly defend his thesis. An official notification shall be issued by the University on the notice board and its web-site in this regard.

(v) In case the Board of viva-voce examiners so recommend, the thesis shall finally be accepted and the candidate may be awarded Ph.D. Degree after due process. In case the Board is not satisfied or where there is difference of opinion, the candidate shall be asked to re-appear at a second viva-voce examination to be conducted by the same Board within six months. If the candidate fails to satisfy the Board second time, the thesis shall finally be rejected.

(vi) In case the examiners of the Board are not available or the supervisor and external examiner do not finalize the date for the viva-voce examination within three months, the Vice-Chancellor may reconstitute the Board of examiners out of the Panel.

(vii) The viva-voce examination will ordinarily be held in the University campus Institute/Teaching Departments, provided that the Vice-Chancellor may allow the viva-voce examination at any other place in exceptional case.

(viii) If, at any time it is found that the candidate has resorted to plagiarism or unfair means, the thesis will be rejected or withdrawn if the degree is already awarded.

21. Provisional (final) Certificate issued by the University shall certify that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree), Regulation 2009.

22. Remuneration for evaluating the Ph.D. thesis and for conducting the viva-voce examination shall be as approved by the University from time to time.

23. (1) A candidate on being permitted to supplicate for the Ph.D. Degree, notwithstanding anything to the contrary, contained in any Ordinance of the University, shall not get himself enrolled for any degree course or examination, whether of Dr. B.R. Ambedkar University or any other University.

(2) A candidate on being permitted to supplicate for the Ph.D. Degree shall work on whole time basis. Those who are in jobs shall have to submit a no objection certificate and proof of leave from their employer.

(3) If at any time it is found that the above two clauses have been flouted, the Ph.D. degree of the candidate shall be cancelled/withdrawn and the supervisor can be debarred from supervising Ph.D. for five years. It shall be the duty of the supervisor to ensure the compliance of (1) and (2).

24. Notwithstanding anything to the contrary contained in any Ordinance herein above, where the application for work involving interdisciplinary research is submitted—

(a) the Research Degree Committee in the discipline in which Ph.D. degree has been sought shall be the body competent to consider the application under Ordinance 7. When the Research Degree Committee concerned considers such case, an expert from each of the Research Degree Committees in the remaining disciplines concerned shall be invited.

(b) More than one person may be approved to guide the research work, one from each discipline. One of them shall be the supervisor and the remaining shall be the joint-supervisor(s), as

the Research Degree Committee may approve. The Supervisor shall be from the discipline in which Ph.D. Degree is sought.

(c) More than one place may be approved as centre where the proposed research work is to be done. Work at a place shall be done under the guidance of the supervisor or a joint-supervisor working at the place, as the case may be.

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