

REGULATIONS FOR Ph.D.

Chapter XXV (D) of the Ordinances (Academic)

1. Vacancy notification

The Chairman of each Department shall intimate the Controller of Examinations (CoE) the maximum number of admissions to be made in each area of specialization in the ensuing academic session after leaving one-third of the total available seats vacant and taking into consideration:

- a) The number of faculty members available in each area of specialization for supervision.
- b) The number of admissions in Ph.D. that can be made according to the prescribed rules for supervision.
- c) The Library and Laboratory facilities and other essential resources available, to the extent this information is relevant for fixing the number of candidates who can be admitted.

2. Supervision

- (i) Any regular Professor of this University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

However, in the Faculty of Medicine the guidelines provided by the Medical Council of India regarding appointment of Research Supervisor shall be followed.

Provided that in areas/disciplines where there are no or only a limited number of refereed journals, the Board of Studies (BoS) may relax the above condition for the recognition of a person as Research Supervisor with reasons to be recorded in writing.

- (ii) Co- Supervisor(s), if required, can be appointed in inter-disciplinary areas from within the same or other Departments of Studies or from other related institutions from outside the University with the approval of the CASR.
- (iii) The allocation of Research Supervisor for a selected research scholar shall be recommended by the BoS concerned depending on the number of scholars per Research Supervisor, the available specialization of the Supervisors and research interests of the scholars as indicated by them at the time of submission of Application Form.
- (iv) At any given point of time a Research Supervisor who is a Professor can guide up to a maximum of Eight (8) research scholars; an Associate Professor can guide up to a maximum of Six (6) research scholars and an Assistant Professor can guide up to a maximum of Four (4) research scholars. This includes regular scholars and Persons with Disability (PwD) category scholars but excludes Foreign nationals, and scholars working on Project and part-time scholars (not entitled for concerned UGC scholarship).
Provided that a teacher of the University, at any point of time, can guide a maximum of two Foreign nationals and two part-time scholars only over and above her/his norm of guiding scholars given above.
- (v) Teachers of the University who have less than two years to retire may not be appointed supervisors. However, teachers of the University who have been selected for the BSR Fellowship of UGC for carrying out research work post retirement may be permitted to

register a maximum of two Research scholars under their supervision in the first year of award, and the Department shall extend all facilities for carrying out the research work to them till the end of the tenure of the fellowship.

- (vi) A retired teacher may continue to supervise the research scholars assigned under her/his supervision after her/his retirement till the submission of the thesis or up to three years whichever is less or unless s/he declines to remain the supervisor or leaves Aligarh.
- (vii) In case of relocation of woman research scholar of the University due to marriage, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these Regulations are followed in letter and spirit and the research work does not pertain to the project secured by the University / Supervisor from any funding agency. The research scholar will, however, give due credit to the parent guide and the University for the part of research already done.

3. Application for Admission

- (i) Candidates can apply for admission to:
 - a) Integrated programme in the Faculties of Agricultural Sciences, Arts, Commerce, International Studies, Life Sciences, Science, Social Sciences, Theology, and Departments of Applied Sciences in the Faculty of Engineering & Technology.
 - b) Direct Ph.D. programme in the Faculties of Engineering & Technology, Law, Management Studies & Research, Medicine and Unani Medicine.
 - c) Part-time Ph.D. programme in various Faculties as provided in (a) and (b) above.

Provided that Assistant Professor (Contractual), Guest Teacher or permanent School teacher of this University who have availed part-time Ph.D. programme shall automatically revert back to the full-time programme once s/he ceases to be in service in this University.

- (ii) Candidate eligible for admission to the Ph.D. programme in more than one Faculty of the University can apply for the same but such a candidate will have to fill separate Application Form for each Faculty. However, s/he can apply only in a maximum of two disciplines within the same Faculty.
- (iii) All candidates shall submit the duly filled Application Form in the office of the CoE on or before the last date announced by the University.
- (iv) Exemption from appearing in the written test as per the clause 3.1(ii)-(iii) of Chapter XXV(D) of the Ordinances (Academic) will be applicable to only those candidates who are eligible for the same on the notified last date of receipt of Application Form and have attached documentary proof of the same with their Application Form.

4. Conduct of Admission Test

- (i) **Written Test:** An eligible candidate, as per proviso 2.1 of Chapter XXV(D) of the Ordinances (Academic), shall be required to appear in the written test, except (a) foreign nationals and (b) those who are exempted as per proviso 3.1(ii) and do not wish to improve on it.

- (ii) The test paper, carrying 80 marks shall be of two hours duration. It shall consist of the following sections:

Section A: Research Aptitude / Methodology

There shall be 40 Multiple Choice Questions (MCQs) of 1 mark each on Research Aptitude / Methodology

Section B: Subject Specific

1. There shall be 20 Multiple Choice Questions (MCQs) of 1 mark each covering equitably, as far as possible, all areas of specialization.
2. 08 Descriptive type questions in each area of specialization out of which the candidate will be required to answer 05 questions of 04 marks each.

- (iii) There shall be no negative marking.

- (iv) The Dean of the Faculty shall be responsible for Section A for which s/he shall invite questions from various teachers of all the Departments of the Faculty to create a question pool from which the paper shall be set and moderated with the help of a Committee comprising two teachers in the Faculty who shall not normally be contributors to the question pool.

- (v) The Chairman of the Department shall be responsible for Section B for which s/he shall invite MCQs and descriptive type questions in each area of specialization from various teachers of the Department to create a question pool from which the paper shall be set and moderated with the help of a Committee comprising two teachers of the Department who shall not normally be contributors to the question pool.

- (vi) In departments where adequate number of faculty members are not available, the Chairman may use her/his discretion for setting / moderating the paper.

- (vii) It shall be the responsibility of the Dean of the Faculty concerned to coordinate with the concerned Chairman for integration of Section A and B, printing of Question Booklets, conduct of the written test, uploading the Answer Key and declaration of the result of written test of her/his Faculty. The CoE shall facilitate the conduct of the written test, its evaluation, and declaration of the result for each Faculty.

- (viii) The coding /decoding and evaluation of the Answer books of the Descriptive portion will be done under the supervision of the Chairman of the Department concerned. The Chairman concerned shall, under intimation to the Dean of the Faculty, send the award list in a sealed cover to the CoE.

- (ix) Evaluation of the MCQs shall be done under the supervision of the Dean of the Faculty concerned and will be taken up only after the descriptive portion has been evaluated and the award list received in the Controller's office.

- (x) Candidates should secure 50% or more marks in the Written Test (Objective and Descriptive combined) to be eligible for Presentation-cum-Interview.

(xi) Presentation-cum-Interview: Candidates equal to five times the number of notified vacancies in each specialization shall be short-listed for Presentation-cum-Interview from the combined Merit List of all candidates who qualified the written test and those who were exempted as per Clause 3.1(ii) of Chapter XXV(D) of the Ordinances (Academic).

In addition, Foreign national candidates shall also be required to appear for Presentation-cum-Interview as per Clause 3.1(iii) of Chapter XXV(D) of the Ordinances (Academic).

(xii) Presentation-cum-Interview shall be of 20 marks and will normally be held within 1-2 weeks following the declaration of the list of candidates short-listed as per Clause 4(x) of these Regulations.

(xiii) Each short-listed candidate will give a presentation, not exceeding 15 minutes, related to his proposed area of research, as specified in her/his application form, and appear for interview before the Presentation-cum-Interview Committee. The Committee shall consider the following aspects:

- a) the candidate possesses the competence for the proposed research
- b) the research work can be suitably undertaken at the University
- c) the proposed area of research can contribute to new/ additional knowledge

(xiv) The presentation shall be in the English language, except for those appearing in the Departments of Arabic, Hindi, Modern Indian Languages, Persian, Sanskrit, Urdu, and Theology, in which the presentation shall be made in the respective language or language approved by the concerned CASR on the recommendation of BoS.

(xv) The Presentation-cum-Interview Committee in each department shall consist of the Chairman and three senior most faculty members of the department. The Chairman may co-opt additional members for covering fields of specialization, if necessary.

(xvi) A candidate who fails to appear for Presentation-cum-Interview shall not be eligible for admission.

(xvii) The Chairman of the Department concerned shall, under intimation to the Dean of the Faculty, send the marks obtained by the candidates in the Presentation-cum-Interview in a sealed cover to the CoE to determine the overall merit list for each area of specialization.

5. Offer of Admission

(i) Based on combined merit of marks in written test and Presentation-cum-Interview for each area of specialization, candidates shall be selected for admission equal to number of vacancies notified in the area concerned, strictly on merit as per admission policy of the University and notified under the signatures of the Dean and Chairman concerned after approval of the Vice-Chancellor.

However, foreign nationals shall be considered for admission only on the basis of their merit in the qualifying examination and Presentation-cum-Interview, subject to the approval by the BoS of the synopsis of the proposed research work specified by them in their Application Form.

- (ii) Provisional admission shall be offered to the selected candidates and they shall be asked to join within a period of one month from the date of the offer. Under exceptional circumstances, an additional one-month period may be given by the Vice Chancellor to the selected candidates to join the programme.

However, foreign nationals shall be allowed to complete the admission within a period of six months from the date of the offer made to them, subject to the candidate acquiring a research visa to pursue the Ph.D. programme.

- (iii) Each research scholar shall prepare and submit her/his synopsis through the RAC to the BOS for its recommendation to the CASR. If the CASR is not satisfied it may refer the synopsis back to the BoS with its comments for modification. If the CASR is satisfied, it shall, subject to confirmation by the Faculty and the Academic Council, approve the synopsis.

6. Course Work

- (i) Each provisionally admitted candidate, will have to undertake the prescribed courses as per Clause 4 of Chapter XXV(D) of the Ordinances (Academic).
- (ii) Each course will have a maximum of 100 marks. The courses will have the following components of evaluation:

Sessional : 30 marks
Examination : 70 marks

- (iii) The examination in the courses prescribed shall be held twice in a year and will be of two hours duration each.
- (iv) A Ph.D. scholar has to obtain a minimum of 55% of marks in the course-work in order to be eligible to continue in the programme and submit the thesis.
- (v) There shall be no re-evaluation of the course work examination.

7. Attendance and Leave

- (i) A research scholar is required to sign on all working days of the Faculty in an attendance register to be kept in the office of the concerned Department, except when s/he is on duty/sanctioned leave.
- (ii) A research scholar shall be eligible to avail a leave of 30 days in an academic year. S/he shall not be entitled for any inter-semester breaks, winter and summer vacations. However, s/he is entitled for an additional leave of up to 10 days on medical grounds in an academic year. The aforesaid leave provisions are cumulative.
- (iii) The leave shall be granted by the Dean of the Faculty, on the recommendations of the Supervisor and Chairman concerned.

- (iv) In case of an emergency, if a research scholar avails of leave without prior sanction, s/he shall inform to the Supervisor and Chairman about her/his absence by sending message/e-mail, who shall communicate the same to the Dean and the student will submit proper application after availing the leave.
- (v) If a research scholar remains absent without prior sanction of leave/ information, such absence will be treated as unauthorized. The period of unauthorized absence will be debited against her/his available leave and no allowance/stipend will be paid for the entire period of such absence.
- (vi) In case of unauthorized absence of a research scholar for more than 07 days, the Chairman will bring it to the notice of the Dean and a copy of the same will be endorsed to the Provost concerned through DSW to intimate the candidate/his parents and guardians of his absence.

8. Pre-submission Seminar

- (i) As soon as the Supervisor feels that the thesis can be submitted within 06 months s/he shall ask the research scholar to prepare and submit 04 copies of a draft synopsis containing a summary and outline of chapters. The draft synopsis may not exceed 3000 words.
- (ii) The Supervisor shall, 02 weeks before the PSS, forward the copies of the draft synopsis to the members of the RAC.
- (iii) The Supervisor shall be the convener of the Pre-submission Seminar (PSS) to be convened in an open forum comprising the teachers and research scholars of the Department where the candidate will make the presentation in a manner as is done when presenting papers in a conference or seminar.
- (iv) At the PSS there shall be a discussion on the exact title of the thesis, which shall be followed by an oral presentation, preferably with the help of a PPT of 30 to 40 minutes containing: objectives and hypothesis of the research; literature review identifying research questions; research methodology, including referencing; main findings, one of which shall be presented in detail; further scope of the research; and a list of primary sources consulted.
- (v) After the presentation a discussion shall follow for a period not exceeding 20 minutes.
- (vi) The RAC shall review the scholar's submission, response to questions and presentation in a closed forum, without the candidate's presence, and prepare a written report containing suggestions and observations that shall be communicated to the research scholar through the Supervisor within one week from the date of the PSS to be incorporated in the synopsis and the thesis.
- (vii) The Supervisor shall, as soon as possible, discuss the report with the candidate and place a copy of the report in the scholar's file maintained in the office of the Department.

9. Submission of Ph.D. Thesis/ M.Phil. Dissertation

- (i) The dissertation/thesis shall be in English language, except for those being submitted in the Departments of Arabic, Hindi, Modern Indian Languages, Persian, Sanskrit, Urdu, and Theology, in which the dissertation/thesis shall be submitted in the respective language or language approved by the concerned CASR on the recommendation of BoS.
- (ii) The dissertation/thesis shall be typed using 12 font size with 1.5-line spacing in 'New Times Roman' with the following margins: 1.5" on left side, 1" on right side and 1" each on top and bottom.
- (iii) The dissertation/thesis should be printed on good quality A4 size paper on both sides.
- (iv) The thesis shall include the following:
 - a) Self-declaration certificate from the candidate and certificate from the Supervisor / Co-Supervisor /Chairman of the Department.
 - b) Certificate for the completion of course work, wherever applicable from the Chairman of the Department
 - c) Certificate for the successful completion of the pre-submission seminar from the Chairman of the Department
 - d) Details of the paper(s) published / communicated / accepted for publication.
 - e) A copyright transfer certificate as per the prescribed Proforma.
 - f) A certificate by the candidate duly verified by the University Librarian regarding plagiarism.
- (v) The research scholar shall submit the dissertation/thesis, duly forwarded by Supervisor and Co-supervisor, if any, along with the prescribed Proforma in the office of the Chairman who shall forward it to the CoE through the Dean of the Faculty.
- (vi) The research scholar shall submit required number of spiral bound copies (one for each examiner) of the thesis along with abstract, together with its soft copy in PDF format on a CD duly certified by the Supervisor.
- (vii) Copyright: The University shall have exclusive copyright of the thesis. No portion of it can be published for commercial purposes by any publishing firm without a prior written permission of the University.

Once a thesis has been approved for the award of the Ph.D. degree, the candidate shall, in case of publication of the thesis in full or in part, state on the title page that it was a thesis approved for the award of the Ph.D. degree of the Aligarh Muslim University.

10. Evaluation of Ph.D. Thesis

- (i) Every thesis for the Ph.D. Degree shall be evaluated by the Supervisor and the Co-supervisor(s), if any, and by two external examiners (one Foreign and one Indian) who shall be persons of high academic repute, not in the employment of this University.

Provided that in disciplines where Foreign Examiners are not easily available (like Telugu, Tamil, Malayalam, Bengali, Marathi, Punjabi, Kashmiri etc.), the CASR may consider appointing both the external examiners from India only.

- (ii) The Chairman of the Department concerned, in consultation with the supervisor of the Ph.D. student, shall prepare a panel of external examiners of at least ten experts in the area of the Ph.D. thesis, five of whom shall be from outside the country, and send the same to the Controller of Examinations through the Dean of the Faculty immediately after the Pre-submission Seminar of the student for its approval and appointment of the examiners by the CASR.
- (iii) The panel of external examiners of the thesis shall be scholars of eminence in the area of research not below the rank of Associate Professors having at least 10 years teaching/research experience (including scientists and /or other scholars associated with National/State organizations).
- (iv) The order of preference for operating the panel of examiners will also be approved by the CASR. The order of preference as approved by the CASR shall be strictly adhered to.
- (v) The consent of the examiners shall be sought by the CoE soon after receiving the thesis. In case the first examiner does not respond within 15 days, the CoE shall approach second examiner. If the second examiner also does not respond, the third examiner will be approached and the process will continue till the consent is received or alternatively, the panel of examiners is exhausted. If the panel gets exhausted, the CoE shall inform the Chairman for drawing a fresh panel.
- (vi) Immediately after receiving the consent from the examiner(s), the CoE shall send the thesis to the examiner(s) with the request to send the report preferably in English, or alternatively, in the language in which the thesis has been written, within one month, however, the recommendations should only be in English.
- (vii) The examiners shall be requested to submit their individual reports within one month of the receipt of the thesis. In case of non-receipt of report within one month, the CoE shall send a reminder to the examiner. In case the reports are not received within next one month, the CoE shall send a second reminder.
- (viii) In case of non-receipt of any response from the examiner even after two reminders, the CoE shall approach the next examiner on the panel for evaluating the thesis.
- (ix) After the receipt of reports from all examiners, the CoE shall send these reports to the Dean within a period of seven days.
- (x) The return of the thesis from the foreign examiner shall not be insisted upon and the payment of remuneration to him/her shall be made within a period of fifteen days.

11. Evaluation of M. Phil. Dissertation

- (i) Copies of the dissertation shall be dispatched to the examiners by the CoE within seven days from the date of its receipt.

- (ii) The examiners shall be requested to evaluate the dissertation out of 200 marks within fifteen days of the receipt of the dissertation.
- (iii) After receipt of award list from all examiners, the CoE shall, through the Dean, advise the Chairman of the Department concerned to fix the date of the viva-voce of the candidate in consultation with the Supervisor, if the candidate has obtained the requisite pass marks therein.
- (iv) The Chairman of the Department concerned shall notify the viva-voce examination of the student under intimation to the Dean of the Faculty and CoE.
- (v) The viva-voce examination shall be of 100 marks.

11. Explanation

Whenever the word 'Chairman of the Department' occurs it shall be construed to include Director or Coordinator of any Centre at which Ph.D. programme is being offered.

12. Reservation for Persons with Disability

- (i) A 5% of the total seats available in the University will be reserved for Persons with Disability, provided the disability is not a hindrance in pursuing Ph.D. programme.
- (ii) A separate merit list of candidates who could not be selected on their own but fulfill the qualifying criteria shall be forwarded by each Dean of the Faculty to the CoE. The CoE shall prepare a consolidated merit list of all such candidates and obtain the approval of the Vice-Chancellor for admission on merit against the earmarked seats.
- (iii) Only those eligible candidates shall be considered for admission under the Persons with Disability category who have degree of disability to a minimum extent of 40% as prescribed in the Persons with Disabilities (Equal Opportunity Protection of Right and full Participation) Act, 1995 and duly verified by the concerned specialist of J.N. Medical College & Hospital of the University at the time of completion of admission formalities.