

CHAPTER XXV (C)
DOCTOR OF PHILOSOPHY (Ph.D.)
(Effective from session – 2017-18)

1. Introduction

Aligarh Muslim University offers a full-time programme leading to the Doctor of Philosophy (Ph.D.) degree in various disciplines in the Faculties/Interdisciplinary Biotechnology Unit of the University as notified from time to time.

The University also offers part time programme leading to Doctor of Philosophy in various discipline in the Faculty of Engineering & Technology as notified from time to time.

2. Eligibility

- 2.1** A candidate will be eligible to apply for admission to Ph.D. programme, if he/she has obtained the Masters' degree or its equivalent recognized by the University in a subject relevant to his/her proposed field of research with not less than 55% marks in the aggregate or its equivalent grade 'B' in the UGC 7 point scale (or an equivalent overall grade point average wherever grading system is followed), and had also obtained the Bachelors' Degree or its equivalent recognized by the University with not less than 50% marks in the aggregate or its equivalent grade 'B' in the UGC 7 point scale (or an equivalent grade in a point scale wherever grading system is followed), subject to any further requirements for eligibility that may be laid down by the University from time to time.

However, with reference to the Faculty of Engineering & Technology, a candidate will be eligible to apply for admission to Ph.D. programme on part time basis, if he/she has obtained the Masters' degree or its equivalent recognized by the University in a subject relevant to his/her proposed field of research with not less than 55% marks in the aggregate or its equivalent grade 'B' in the UGC 7 point scale (or an equivalent overall grade point average wherever grading system is followed), and had also obtained the Bachelors' Degree or its equivalent recognized by the University with not less than 50% marks in the aggregate or its equivalent grade 'B' in the UGC 7 point scale (or an equivalent grade in a point scale wherever grading system is followed) and has been in continuous service in any government department/public sector undertaking/R&D for at least two years and has a sanctioned study leave for one year, if selected for admission, subject to any further requirements for eligibility that may be laid down by the University from time to time.

Also a candidate will be eligible to apply for admission to Ph.D. programme on fulltime and part time basis, if he/she has obtained B.Tech degree with 75% marks in the aggregate or its equivalent grade 'A' in the UGC 7 point scale (or an equivalent overall grade point average wherever grading system is followed) and has been in continuous service in any government department/public sector undertaking / R & D organization for at least five years and has a sanctioned study leave (one year if registered as a part time Ph.D. candidate or two years if registered as a fulltime candidate) with salary subject to any further requirements for eligibility that may be laid down by the University from time to time.

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

Provided that a candidate, working in an externally funded research project in the University, who is otherwise eligible, may also apply for admission to Ph.D. programme while continuing to work in the project subject to certification by the Principal Investigator of the project that the subject of the project and the proposed Ph.D. topic of the candidate are in consonance.

3. Admission

Admission to the Ph. D. programme in various disciplines will be made annually as per the admission policy approved by the Academic Council of the University from time to time.

3.1 Criteria for Admission

- (i) Selection of candidates in Ph.D. programme will be made through an admission test comprising (a) a written test (subject to exemption under para 3.1(ii) & 3.1(iii)), and (b) a presentation-cum-interview (for those who qualify the written test and who are exempted from the written test under para 3.1(ii) except 3.1(iii))
- (ii) Candidates who qualify NET/JRF/GATE through the test organized by UGC / CSIR / DBT / ICMR / ICAR/ IITs or any other test conducted within the last three years (specific date *** to be announced by the Controller of Examinations every year) by a recognized national funding agency and employees of any sector undertaking/ R & D organization, with two years of experience and two years of sanctioned study leave with salary; will be deemed to have obtained the required minimum 50% marks without appearing in the written test. However, such candidates have option of appearing in the written test to improve upon. In such cases, the marks obtained in written test will only be counted and benefit of minimum 50% marks without appearing in the written test will not be given in case the candidate secures less than 50% marks in the written test.

Provided that the candidates working in private Universities / Colleges / Institutions shall have to appear in the Written Test and qualify as general candidate.

[* For 2017-18 admissions: 21.09.2014 – 20.09.2017]**

- (iii) Foreign nationals are exempted from appearing in the written test and presentation-cum-interview. However, it will be mandatory for those foreign nationals to pass a English Language Proficiency Course of one semester duration who did not have English as their medium of instruction and are selected for Ph.D. programme (other than in the Departments of Arabic, Hindi, Modern Indian Languages, Persian, Sanskrit, Urdu, and Theology). This course will be designed and conducted under the aegis of the Department of English.

3.2 Research Advisory Committee and its functions

3.2.1 There shall be a Research Advisory Committee (hereinafter referred to as RAC) for each research scholar consisting of the following members. The research supervisor of the scholar shall be Convenor of this committee :

- (a) Supervisor (Convenor), Co-Supervisor (if any)
- (b) Chairperson of the department concerned
- (c) Subject expert in the similar area from the department to be nominated by the Board of Studies of the department.
- (d) Dean's nominee to be selected from the allied/relevant field of research.

3.2.2 The Committee shall have the following responsibilities

- (i) To review the research proposal, finalize the topic of research and year wise research plan and identify the course(s) that he/she may have to do.
- (ii) To review periodically and assist in the progress of research work of the research scholar

3.2.3 A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to BOS with a copy to the research scholar.

3.2.4 In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the BOS of the department with specific reasons the cancellation of the registration of the research scholar.

3.3 Provisional Admission

- (i) Provisional admission shall be offered to the selected candidates in accordance with the number of vacancies already declared by the department/centre/unit under different specializations after the approval by the CASR on the recommendation of the Board of Studies (hereinafter referred to as BOS) of the department concerned
- (ii) The BOS shall propose a supervisor and a co-supervisor if necessary, with full justification in writing for appointment of a co-supervisor for each student admitted to the Ph.D. program and assign each student an area of research, in consultation with the proposed supervisor (and co-supervisor, if any).
- (iii) On the recommendation of the RAC the topic of research will be finalized within three months from the date of provisional admission and placed before the BOS to be recommended to the CASR.
- (iv) The CASR concerned shall satisfy itself, among other things, of the suitability of the proposed topic of research. If needed the CASR may modify the proposed topic or refer it back to the BOS for modification. If the CASR is satisfied, it shall, subject to confirmation by the Faculty and the Academic Council, approve the topic and supervisor (and co-supervisor, if any) of each student

4. Course Work: Credit requirement, number, duration, syllabus, minimum standards for completion, etc.

- 4.1.** A candidate provisionally admitted to the Ph.D. programme shall study a minimum of two courses. The course work shall be treated as a prerequisite for Ph.D. programme. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other course(s) shall be advanced level course(s) for the students for an in-depth research orientations.
- 4.2.** A candidate provisionally admitted to the Ph.D. programme in the Faculty of Engineering and Technology shall undertake the following courses approved by the BOS.
- (a) a course on Research Methodology
 - (b) one course recommended and/or designed by the RAC for candidates holding Master's degree
 - (c) three courses recommended and/or designed by the RAC for candidates not holding M.Tech degree
 - (d) other courses (if required) may be undertaken by the candidate on the recommendation of the RAC.
- 4.3.** The Examiners for the papers of the prescribed courses shall be appointed by the BOS of the department concerned, whereas for the evaluation of thesis the examiners shall be appointed as per proviso of Clause 3 of Chapter XV of these Ordinances (Academic).
- 4.4.** The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits based on the recommendation of the RAC.
- 4.5.** All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the BOS.
- 4.6.** All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department in not more than two attempts within 03 semesters from the date of admission, failing which his/her name shall be removed from the rolls of the university and he/she will not be entitled for re-admission in the program.

5. Residency Requirements

- (i) A candidate who has been provisionally admitted to the Ph.D. programme shall be required to be in residence at Aligarh with regular attendance and pursue research as a full time course for a minimum period of one year after the completion of course work.
 - (a) Candidate entitled to House Rent Allowance shall not be allowed Hostel Accommodation.
 - (b) Candidate not entitled to HRA will have to vacate the Hostel Accommodation within three years from the date of his/her admission.

- (ii) A teacher of a School of the University admitted to the course leading to the Ph.D. Degree in accordance with these Ordinances shall be exempted from the residency requirements but he/she shall take at least one year leave for the purpose.

6 Attendance and Leave

A Ph. D. student shall put in regular attendance and shall be entitled for leave in accordance with the Regulations framed by the Academic Council for the same.

7. Change of Supervisor

If the existing supervisor of a Ph.D. student is no more available or is on leave for a period of more than twelve months, the CASR shall appoint the co-supervisor, if any, as the supervisor of the Ph.D. student, provided the co-supervisor is a teacher of the University from the same discipline. If there is no co-supervisor for the concerned Ph.D. student or the co-supervisor is from a different discipline or the co-supervisor is not a teacher of this University, then the CASR shall appoint a new supervisor on the recommendation of the BOS.

8. Change of Topic

The CASR, on the recommendation of the BOS of the Department concerned, may approve a change in the topic of the Ph.D. thesis of the research scholar and he/she shall be permitted to submit his/her Ph.D. thesis with the new topic after at least three months from the date of approval of the change by the CASR as “minor” or after at least one year if the CASR rules that the change is “major”. No major change shall, however, be permitted after 36 months from the date of admission of the candidate.

9. Supplication by the Teachers of the University

A permanent teacher of the University who holds a Masters’ degree in the relevant subject and has been in continuous service of the University as teacher for at least two years, may apply to the CASR through the BOS, for permission to submit a thesis for the award of the Ph.D. degree on a specific topic, and the CASR may accord such permission after considering the opinion of the BOS. A teacher so permitted to submit the thesis may or may not be assigned any supervisor, depending upon the recommendation of the BOS and shall be eligible to submit his/her thesis one year after his application has been approved by the CASR, subject to the conditions in Clauses 10.5 and 10.6.

Provided that a permanent teacher of the University Polytechnic/Women’s Polytechnic of this University who holds a Masters’ degree in the relevant subject and has been in continuous service of the University as teacher for at least two years, may also apply to the CASR through the BOS of the relevant department in the Z.H. College of Engineering & Technology, for permission to submit a thesis for the award of the Ph.D. degree on a specific topic and the CASR may accord such permission after considering the opinion of the BOS concerned. The BOS may assign a supervisor to a teacher candidate. A co-supervisor may also be appointed by the BOS who may or may not be a person of the University but shall be good scholar associate with a University or an academic/research institute of high repute. He/she shall be eligible to submit his/her thesis one year after his application has been approved by the CASR, subject to the conditions in Clauses 10.5 and 10.6.

10. Duration of the Programme.

- 10.1 Ph.D programme shall be for a minimum duration of three years, including course work and a maximum of five years extendable by a maximum of another one year by the Academic Council on the recommendation of RAC.
- 10.2 Ph.D. programme shall be of minimum duration of four years, including course work for the candidates who are admitted on the basis of B.Tech degree. The maximum period shall be the same as given in 10.1.
- 10.3 The women candidates and Persons with Disability (more than 40%) may be allowed a relaxation of two years. The women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- 10.4 The maximum period of scholarship for non-NET scholars shall be three years extendable by one year only on the recommendation of the Research Advisory Committee.

10.5 **Pre-Submission Seminar**

On the completion of the research work and following the approval of the RAC, the research scholar shall be required to make an open presentation of his/her work before the RAC, teachers and research scholars of the Department concerned with a view to obtain suggestions for possible improvements in the proposed contents of the thesis.

10.6. **Submission of Thesis**

- (i) A Ph.D. student is required to submit the thesis within six months (but not earlier than three months) from the date of his/her pre-submission seminar, failing which he/she shall be required to deliver a fresh pre-submission seminar. However, the maximum time limit for the submission of thesis shall not exceed as laid down in Clauses 10.1 & 10.3.
- (ii) A Ph.D. student must publish at least one (01) research paper in a refereed journal and present atleast 02 papers in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and re-print of his/her published paper.
- (iii) A thesis once submitted cannot be re-submitted except when the examiner recommends the revision of the thesis.

11. Evaluation

Every thesis for the Ph.D. Degree shall be evaluated by the Supervisor and the Co-supervisor 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. If neither the Supervisor nor the Co-supervisor is available, another examiner shall be appointed.

In the case of teachers of AMU permitted to submit a thesis for the award of the Ph.D. Degree without a Supervisor, there shall be three external examiners for the purpose of examining the thesis.

11.1 Panel of Examiners

- (i) 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 as per proviso of Clause 3 of Chapter XV of these Ordinances.
- (ii) 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).
- (iii) The Vice-Chancellor shall approve all the 05 names in each set of Panel of Examiners in order of preference.

11.2 Evaluation of thesis

- (i) The Dean of the concerned faculty shall get in touch with the examiner as laid down in Clause 9.1 of the Ph.D. Regulations to secure acceptance of the examinership.
- (ii) The examiners shall make one of the following recommendations:
 - a) The thesis be accepted for the award of the Ph.D. degree.
 - b) The thesis be accepted for the award of the Ph.D. degree subject to the student incorporating corrections/changes spelt out in the report after being duly verified by the Supervisor(s), Chairman of the department and Dean of the Faculty.
 - c) The thesis, in the present form, cannot be accepted for the award of the Ph.D. degree and the student be advised to revise the thesis on issues raised in the report and resubmit the thesis for its re-examination by the same examiner.
 - d) The thesis be rejected.
- (iii) If all the examiners recommend acceptance of the thesis for the award of the Ph.D. degree, the thesis shall be accepted for conduct of viva-voce.
- (iv) If all the examiners recommend rejection of the thesis for the award of the Ph.D. degree, the Dean shall report the matter to the CASR, which shall put on record the fact that the thesis has been rejected.
- (v) If one or more examiners make recommendation as per 11.2(ii)(b)&(c) and suggest corrections or modifications or incorporation of additional information or data, alternative interpretation of the data etc in the thesis, the Dean of the Faculty shall convey the examiner's suggestions to the Ph.D. student concerned through the Chairman and Supervisor for its re-submission by the student after duly revising it in the light of the suggestions of the examiner(s).

The Ph.D. student shall resubmit his/her thesis after incorporating material in accordance with examiners' suggestions along with the point-wise summary of changes so made by him/her, including compliance with or justification for not complying, with one or more of the examiners' suggestions. Copies of the revised thesis, along with a certificate from the supervisor(s) that the suggested changes have actually been made, shall be forwarded by the Chairman of the Department to the Dean of the Faculty for placing it before the CASR for its consideration.

- (vi) If any of the examiners makes recommendation as per 11.2(ii)(c) and suggests that the thesis cannot be recommended for the award of the Degree, owing to certain shortcomings which the Ph.D. student should remove, the CASR may permit the student to revise according to the comments received from the examiner and submit the thesis within a specified period of time in which case, it may be sent to the examiner concerned. If the examiner still does not approve the thesis, then the same shall be sent to a new examiner.
- (vii) If one examiner recommends the rejection of the thesis, then a new examiner shall be appointed as per Clause 11.1(i) from the panel of the already approved examiners.
- (viii) The new examiner, if appointed as per the proviso of Clause 11.2(vi) or (vii), shall be an Indian or a foreign expert, depending on whether the thesis was rejected by an Indian or a foreign examiner in the first instance. Once the third examiner is appointed, any previous recommendations of the examiner, in whose place the third examiner has been appointed, shall become null and void for all purposes.
- (ix) In case the new examiner recommends acceptance or revision of the thesis or asks for clarifications, then depending on the recommendation of the other examiner (who has not rejected the thesis) an action appropriate for the case mentioned in Clauses 11.2 (iii), (v) or (vi) shall be taken.
- (x) In case the new examiner recommends the rejection of the thesis, his/her recommendation shall be final and the thesis shall be rejected.

12. Viva-Voce

- (i) If the thesis has been accepted for the award of the degree, the Dean shall advise the Chairman of the Department concerned to hold the viva-voce of the candidate under intimation to the Office of the Controller of Examinations and the Ph.D. student shall be provided a copy of the reports of all the examiners through the Chairman and Supervisor well before his/her viva-voce.
- (ii) The viva-voce examination shall be conducted by a viva-voce Committee comprising the Supervisor, Co-supervisor, if any, and one external examiner of the thesis. In the case of teachers permitted to supplicate for the Degree without a Supervisor, there shall be two external examiners for holding the viva-voce Examination.
- (iii) In case none of the external examiners, who have examined the thesis, are able to conduct the viva-voce, next examiner from the approved panel of examiners shall conduct the viva-voce.
- (iv) In the case of inability of the Supervisor (and Co-Supervisor, if any) to conduct the viva-voce due to any reason, an additional examiner may be appointed by the Vice Chancellor to conduct the viva-voce examination. In such cases, the Ph.D. work shall be deemed to have been carried out under the guidance of the original Supervisor (and Co-Supervisor, if any) only.
- (v) The viva-voce examination shall be open to members of the Research Advisory Committee, all faculty members, research scholars of the Department and other research scholars but questions shall be put by the examiners only. After the viva-voce, the reports of the examiners shall be placed before the CASR and, if the CASR is satisfied that the reports of the examiners are unanimous and definite in recommending the award of the degree, it may recommend to the Academic Council

on behalf Faculty concerned, that the student be awarded the Ph.D. degree. Should any of the viva voce examiners not recommend the award of the Degree, for reasons to be set forth by him/her, the CASR may, at its discretion, recommend that a fresh viva voce examination be held.

13. Award of Degree

- (i) The reports of all the examiners and the Viva Voce Committee shall be placed before the concerned CASR for consideration.
- (ii) In case all the reports of the examiners of the thesis and the viva voce examination are unanimous and definite for the award of the degree, the CASR shall permit the award of the Ph.D. degree on behalf of the Faculty and Academic Council.
- (iii) The year of award of the Ph.D. degree shall be the same as the year of submission of the thesis, if the thesis is accepted without revision (11.2 (iii) (a and b)). If the thesis is recommended for revision (11.2 (iii) (c)), the year of award of the Ph.D. degree shall be the year of submission of revised thesis.
- (iv) A grade sheet of the course work shall be issued to the candidate.

14. Cancellation of Admission

14.1 The admission of a Ph.D. student may be cancelled by the Dean of the Faculty if requested so by the candidate himself/herself.

14.2 In case of continued absence of the research scholar for four weeks or more without prior sanction of leave, it will be the responsibility of the supervisor to inform the Chairperson who in turn will inform RAC which shall call a meeting for recommendation to the BOS to cancel the admission and same shall be placed before the CASR for its consideration.

The admission of research scholar other than teachers of the University, shall be cancelled by the CASR upon the recommendations of the RAC & BOS of the Department concerned if the research scholar

- a) falls into the category as laid down in Clause 3.2.4.
- b) fails to submit the thesis within the maximum stipulated time as provided in these ordinances.
- c) is found involved in an act of misconduct and/or indiscipline and the cancellation of his/her admission has been recommended by the competent authority.

15. Temporary Withdrawal

A research scholar may be permitted by the Dean of the Faculty, on the recommendation of the RAC to withdraw temporarily from the programme on any one of the reasons given in sub Clause 15.1, and later allowed to resume to complete the research and submit the thesis, without exceeding the maximum prescribed time limit for the thesis submission as per Clause 10. This withdrawal may be granted only after the course work has been completed. Temporary withdrawal may be granted for a maximum of 12 months.

15.1 The temporary withdrawal may be permitted for any one of the following reasons:

- a) If the candidate is suffering due to chronic illness, supported by medical report and treatment card.
- b) If the candidate gets an academic assignment.
- c) Any other event in which the Dean is convinced that the situation faced by the research scholar warrants his/her temporary withdrawal from the programme.

The candidate who was allowed temporary withdrawal shall have to vacate accommodation in the hall of residence and seat vacated by him shall be allotted to another student. However, in case of his/her rejoining of the course, he/she may be allowed hostel facility subject to the availability of seat.

16. Conclusion

Subject to these Ordinances, the Academic Council may frame regulations governing the course of study leading to the Ph.D. Degree including the procedure of admission, manner, and pursuit of the courses, supervision and conduct of the examination.
