

Ordinances (Academic)

Doctor of Philosophy (Ph. D.)

(Chapter– XXV)

1. Introduction

Aligarh Muslim University offers a full-time program 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.

2. Eligibility

- (i) A candidate will be eligible for admission to Ph.D. program, if he/she has obtained the Master's Degree or its equivalent recognized by the University in a subject relevant to his proposed field of research with not less than 55% marks in the aggregate or its equivalent CPI/CGPA/NAG, and had also obtained the Bachelor's Degree or its equivalent recognized by the University with not less than 50% marks in the aggregate or its equivalent CPI/CGPA/NAG, subject to any further requirements for eligibility that may be laid down by the University from time to time
- (ii) A candidate, working in an externally funded research project in the University, who is otherwise eligible, may be permitted for admission to Ph.D. program 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 overlap.

3. Admission

Admission to the Ph. D. program in various disciplines will be made normally once a year 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. program will be made through an Admission Test to be conducted by the University followed by an interview of those who qualify the Admission Test.
- (ii) Candidates who have qualified JRF / NET of UGC / CSIR / DBT / ICMR / ICAR / GATE or any other test by a recognized national funding agency or employees of a university other than AMU/ institution/ college/ government department/public sector undertaking/ R & D organization with two years of experience and two years of sanctioned study leave or candidates who were admitted to M. Phil. program of this University through Admission Test and have completed the same are exempted from appearing in the Admission Test; they, however, will have to appear in the interview.
- (iii) Foreign nationals are exempted both from appearing in the Admission Test and interview.

3.2 Provisional Admission

- (i) The Board of Studies (hereinafter referred to as BOS) shall recommend the provisional admission of candidates, on merit, subject to available vacancies, and in each case, propose a Supervisor (and, where necessary, also a Co-supervisor) and assign the topic of research, in consultation with the proposed Supervisor(s), subject to approval by the Committee of Advanced Studies and Research (hereinafter referred to as CASR) of the Faculty concerned.
- (ii) The CASR concerned shall satisfy itself, among other things, of the suitability of the proposed topic of research and may modify the proposed topic or refer it back to the BOS. If the CASR is satisfied, it shall, subject to confirmation by the Faculty and the Academic Council, permit the provisional

admission and appoint, on the recommendation of the BOS concerned, a teacher of the University to guide and supervise the work of the candidate.

Provided that a Co-supervisor may also be appointed if the BOS recommends the same, and the CASR is satisfied that this is necessary.

4. Course Work

- (i) A candidate provisionally admitted to the Ph.D. program shall undertake work for a minimum period of one semester in two courses, namely (a) a course prescribed by the BOS, comprising, or including, the study of research methodology, quantitative methods and computer applications, and (b) a course designed for each candidate comprising review of published work in his/her field, and other topics prescribed by the BOS.
- (ii) The Examiners for the papers of the courses prescribed shall be appointed as per proviso of Clause 3 of Chapter XV of these Ordinances
- (iii) A candidate provisionally admitted to the Ph.D. program after having completed M. Phil. from this University as per proviso of Clause 3.1(ii) shall be exempted to undertake the course work if the BOS is of the opinion that the course work undertaken by him/her at M. Phil. level suffices the requirements of course work at Ph.D. level.
- (iv) A Ph. D. student shall be eligible to have his/her admission confirmed by the CASR on the recommendation of the Supervisor and the Chairman of the Department concerned if he/she obtains the passing marks in each of the prescribed papers in a maximum of two attempts within a period of one calendar year of his/her provisional admission, failing which his/her name shall be removed from the rolls of the university and he/she will not be entitled for readmission in the program.

5. Residency Requirements

- (i) A candidate who has been provisionally admitted to the Ph.D. program 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 two years from the date of his/her provisional admission.
- (ii) A Ph. D. student, after completion of two years residency requirements, may be permitted by the Dean of the Faculty, on the recommendations of the Supervisor and Chairman concerned, to change his/her status to that of an ex-student.
- (iii) A Ph. D. student may be permitted by the CASR to reside outside Aligarh for the purpose of collecting material for his/her thesis for a period not exceeding six months, which shall count as residence at Aligarh in terms of requirements laid down in Clause 5(i).

Provided further that the CASR may, in special cases, permit a Ph. D. student to reside outside Aligarh for the purpose of his/her research for the Ph.D. program for durations it deems fit, on recommendation of the BOS concerned; and this period too shall count as period spent in residence at Aligarh for the purposes of requirements laid down in Clause 5(i).

- (iv) 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 requirement of residence for two years as prescribed in Clause 5 (i), but he/she shall take at least one year's 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 a Ph. D. student 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”.

9. Supplication by the teachers of the University

A permanent teacher of the University who holds a Master’s 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 condition in Clause 10.2 and 10.3.

10. Submission

10.1 Time Period Requirements

10.1.1 Minimum Duration

The minimum period of work required for submitting the thesis for a student admitted to the Ph. D. program shall be two years from the date of his/her admission.

10.1.2 Maximum Duration

- (i) The maximum duration of the time permissible for submitting the thesis for a student admitted to the Ph. D. program shall be five consecutive years after admission. However, for a visually challenged student, the same shall be seven consecutive years after admission.
- (ii) Under extraordinary circumstances, the Academic Council, may grant a further extension of one year for the submission of the thesis, for which the Ph. D. student shall apply giving the reasons due to which he/she was not able to submit the thesis and his/her application is duly forwarded and recommended by the concerned Supervisor, Chairman of the department and the Dean of the Faculty. No further extension shall be given under any circumstances.

10.2. Pre-Submission Seminar

On completion of the research work for the Ph. D. by a student, he/she shall be required to make an open presentation of his/her research work before the teachers and research scholars of the Department concerned with a view to obtain suggestions for possible improvements in the proposed content of the thesis, subject to the guidance of the supervisor(s).

10.3. Submission of Thesis

- (i) A Ph. D. student is required to submit the thesis within six months from the date of his/her pre-submission seminar (without exceeding the maximum time limit for the submission of the thesis as laid down in Clause 10.1.2), failing which he/she shall be required to deliver a fresh pre-submission seminar.
- (ii) A Ph. D. student shall publish at least one research paper in a recognized refereed journal based on his/her Ph.D. research work and provide evidence of the same in the form of a photocopy of the published article or reprint or, if it is still not published, a letter of acceptance from the journal, without which he/she shall not be eligible to submit the Ph.D. thesis.
- (iii) A thesis once submitted cannot be re-submitted except when the examiner recommends for the revision of the thesis.

11. Evaluation

Every thesis for the Ph.D. Degree shall be evaluated by the Supervisor and the Co-supervisor, if any, and by two external examiners who shall be persons of high academic repute, not in the employment of this University. If neither the Supervisor nor the Co-supervisor, if any, is available, an examiner other than the Supervisor / Co-supervisor shall be appointed.

In the case of teachers permitted to submit a thesis for the award of the Ph.D. Degree without a Supervisor, there shall be three external examiners for 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 atleast ten experts in the area of the Ph. D. thesis, five of which 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 (including scientists and or other scholars associated with National/State organizations).

11.2 Evaluation of thesis

- (i) The Controller of Examinations shall get in touch with each appointed examiner with a copy of the abstract to secure acceptance of the examinership. On receipt of the acceptance from any examiner, the Controller of Examinations shall forward the copy of the thesis to him/her to get the report of that examiner.
- (ii) The examiners shall examine the thesis specifically with a view to judge whether the thesis is a piece of research work characterized by:
 - (a) Addition of fresh evidence, or
 - (b) a fresh approach towards interpretation of facts or theories, or
 - (c) a distinct advancement in the subject.
- (iii) The examiners shall also 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.
- (iv) 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.
- (v) 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.
- (vi) If one or more examiners 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 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 changes suggested 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.

- (vii) If any of the examiners suggests that the thesis can not 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 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.
- (viii) If one examiner recommends rejection of the thesis, then a new examiner shall be appointed as per Clause 11.1(i) from the panel of already approved examiners.
- (ix) The new examiner, if appointed as per proviso of Clause 11.2(vii) or (viii), 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.
- (x) 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 to the case mentioned in Clauses 11.1 (iv), (vi) or (vii) shall be taken.
- (xi) 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 of the Supervisor, Co-supervisor, if any, and one external examiner of the thesis. In the case of teachers

permitted to suplicate 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, one person not in the service of the University shall be appointed by the Vice Chancellor to 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 all members and research scholars of the Department 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 through the 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 the case all the reports of the examiners on 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. If the thesis is recommended for revision, the year of award of the Ph. D. degree shall be the year of submission of revised thesis.
- (iv) 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.

14. Cancellation of Admission

- (i) The admission of a Ph.D. student may be cancelled by the Dean of the Faculty on his/her own request.
- (ii) The admission of a Ph.D. student, other than teachers of the University, shall be cancelled by the CASR upon the recommendations of the BOS concerned if the student:
 - (a) is absent for a continuous period of four weeks without prior information/sanction of leave.
 - (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 his/her cancellation of admission has been recommended by the competent authority.

15. Temporary Withdrawal

- (i) A candidate admitted to the Ph. D. program may be permitted by the Dean of the Faculty, on the recommendation of the Supervisor and the Chairman of the department concerned to temporarily withdraw from the program on some specific reasons, and later allowed to join back to complete the research and submit the thesis, without exceeding the maximum prescribed time limit for the thesis

submission as per clause 10.1.2. This withdrawal may be granted provided it does not affect the coursework.

- (ii) The temporary withdrawal may be permitted on any one of the following reasons:
 - (a) If the candidate is suffering due to prolonged illness, supported by medical certificates.
 - (b) If the candidate gets a professional employment.
 - (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 program.
- (iii) The residential requirement of the candidates, who are allowed temporary withdrawal, shall be automatically extended by a period equivalent to the duration of the withdrawal.

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.

Transitory Provisions

Provisions of this Chapter (XXV) shall be deemed to have come into effect from the beginning of Academic Year 2010-11.

Candidates admitted prior to the implementation of these Ordinances shall be governed by the Ordinances (Academic) under which they were admitted.