

Ph.D Ordinance- 2022



Central Institute of Higher Tibetan Studies
Sarnath, Varanasi

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Introduction

These Ordinances shall be called the Doctor of Philosophy/Vidyāvāridhi Ordinances, 2022 and shall come into force from the date the Academic Council approves them.

The degree of Doctor of Philosophy/Vidyāvāridhi (herein after referred to as the Ph. D. degree) of the Central Institute of Higher Tibetan Studies shall be conferred on the candidates who fulfils the requirements as specified in these ordinances.

Admission

There shall be two semesters of six months each in a year for the Ph. D. programme, namely,

Odd Semester: July- December and Even Semester: January – June.

A candidate may be admitted for the Ph. D. programme at the beginning of any semester provided the result of the qualifying examination is declared before the commencement of admission to the semester and he/she fulfils the eligibility criteria laid down in these ordinances.

Reservations: As per Govt. of India Norms.

The admission to the Ph. D. programme shall be either through the Research Entrance Test (RET) or through direct admission.

A candidate who fulfils one of the following requirements may be considered for direct admission to the Ph. D. programme without appearing in the RET:

"A candidate who is qualified in a national level test such as National Eligibility Test (NET-JRF), NET-LS (without fellowship), Graduate Aptitude Test for Engineering (GATE), State Level Eligibility Test (SLET) accredited by UGC, Central or State Government."

The application form shall be the same for both these types of candidates. The candidates who are eligible for direct admission shall indicate in the form that they are exempted from RET.

The candidates shall submit the duly filled in application form to the **In-Charge Examinations** on or before the last date announced by the Institute.

A candidate, seeking admission to the Ph. D. programme, shall be required to have (a) passed the qualifying examination in concerned main/ allied discipline securing the minimum 55 percentage of marks, or equivalent grade point average in the qualifying examination.

There shall be a relaxation of 5% marks (or equivalent grade point average) for SC/ST and PC candidates in the minimum marks required in the qualifying examination. The minimum marks required for SC/ST and PC candidates in the Academic Record shall be 45 and for OBC candidates 47.50, respectively. However, a Physically challenged (PC) candidate belonging to either of the reserved categories (SC/ST/OBC) shall not get the double benefit of being SC/ST/OBC as well as PC in the above relaxations.

Number of Seat: The prospective number of seats available in each Department shall be notified at the time of Announcement for PhD admission.

Selection Procedure:

Through RET: A written test of 100 marks of two hours duration shall be conducted for the admission in PhD program.

There shall be minimum qualifying marks for the entrance test, i.e. 50 percent marks. There shall be no negative marking.

Candidates short listed based on the performance of written test need to appear for a personal interview. The merit list for all the candidates in each category is based on the score in the interview.

Direct Admission: The candidates who are eligible for direct admission shall have to be appeared for personal interview only. The merit list for all the candidates in each category is based on the score in the interview.

Final merit order shall be based on the marks obtained by a candidate in the interview.

Appointment of Supervisors and Co-Supervisors:

Every candidate, after admission to the Ph. D. programme shall be assigned a Research Supervisor, by the RDC of the concerned Department/ Centre.

The RDC may, if necessary, assign a Co-Supervisor, in the same manner.

In case a candidate is permitted to do a part of his/her research work at a place outside the Institute for a period of one semester or more but not exceeding three semesters in continuation or in parts, the person who will be looking after the research work of the candidate at the outside organization shall be appointed as an external supervisor by the concerned RDC.

All the regular faculty members of the Institute holding PhD or equivalent degree and having a minimum of 2 papers published/ accepted in peer reviewed/ refereed journals or journals listed in UGC CARE List are eligible to guide Ph.D. scholars.

Provided that in areas/discipline where there is no or only a limited number of peer reviewed/ refereed journals, the Institute may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

A faculty member on retirement may continue to be the supervisor, if he/she is reemployed or appointed as Professor / Visiting Professor/ Distinguished Professor/ UGC Scientist/ Fellow on retirement.

A faculty member who has three years of services before the retirement can be allowed to enrol/supervise a research scholar and can continue to be the supervisor of already registered candidates even after his/her retirement provided the RDC are convinced of his/her availability for continued guidance to the candidate.

The teachers of the Institute, who are enrolled as Ph. D. scholars in the Institute or in any other Institute/University, shall not be entitled to guide a Ph. D. scholar. Those, appointed as supervisors, would cease to be supervisors if they get enrolled for Ph. D.

Quota of Ph. D. Scholars

The maximum number of full time candidates who can be supervised by a faculty

member at any time shall be as follows:

by a Professor – 8,

by an Associate Professor – 6,

by an Assistant Professor – 4,

In case a co-supervisor is also appointed, a full time candidate shall be counted towards the quota of both the supervisor and the co-supervisor.

All full time research scholars registered for Ph. D. shall be counted within the quota till they submit their theses.

The teachers of the University shall also be permitted to supervise the Ph. D. Scholars admitted in other Universities **of national importance**, provided that

- (i) There is a vacancy with the guide under whom the candidate intends to work
- (ii) The sponsoring university seeks prior permission in the matter and
- (iii) The concerned DRC/SRC/CRC approves it.

Appointment of a New Supervisor:

If the supervisor of a candidate proceeds on leave/lien/deputation for a period of more than 12 months, or he/she proceeds on leave for a period of less than 12 months, but later extends his/her leave beyond 12 months, then a co-supervisor shall be appointed. However, if the candidate submits the abstract of the thesis or the thesis itself before the supervisor proceeds on leave, then no co-supervisor shall be required.

Further provided that if the Supervisor of a candidate proceeds on lien/deputation to another institution for a period of more than 12 months, the RDC of the Institute may permit a candidate to complete his/her research work under the same supervisor in that institution provided consents of the supervisor, candidate and the host institution is available and the

RDC of the Institute is convinced that the facilities available in the host institution are adequate for successful completion of research work.

If the supervisor of a candidate expires or is terminated from the University service, he/she shall cease to be the supervisor.

If the supervisor of a candidate is placed under suspension, **he/she shall cease to be the supervisor during the entire period of his/her suspension.**

If a candidate, for cogent reasons, intends to change his/her supervisor, it shall be permitted by the RDC by the mutual consent of present supervisor, proposed supervisor and the candidate.

Course Work

A candidate, admitted to the Ph. D. programme in any of the faculties, shall be required to undertake course work of **minimum 8 credits to maximum 16 credits for a minimum period of one semester** and shall have to qualify as per the **criteria prescribed by the concerned faculty.** The candidate shall pursue the courses as approved by the RDC.

The details of the courses, course credits and other related matters, which are not provided in these Ordinances, shall be determined in accordance with the recommendation of the concerned Faculties/ Departments

After completing the course work, the candidate shall appear in a comprehensive examination. However, there will be no grading system in course work. The pass mark for each course work component, requiring writing of an examination, would be **50%** and the research scholar meeting the above criteria would be declared to have successfully completed the course work component.

Submission of synopsis:

The PhD synopsis, in prescribed format, shall be submitted, through Supervisor to the In- Charge (Examination) for approval from RDC.

The synopsis shall be submitted **within 15 days after the completion of 1st semester.**

Duration of Programme

For candidates who are admitted to the Ph. D. programme in any department of a faculty, with Master's degree in a subject as qualifying degree, the minimum period of research work before the submission of the thesis shall be **three** years from the date of his/her admission.

Maximum Period for the Submission of Thesis

If a candidate fails to submit the thesis at the end of the stipulated period as prescribed in, the Head of the Department/Coordinator of the School/Centre, with the recommendation of the RDC, may grant an extension of up to **two years (one year at a time)** for the submission of the thesis.

If a candidate fails to submit the thesis within the extended period as stipulated (a) due to cogent reasons, he/she may be given additional **one year** of extension for submitting the thesis, by the Dean of the faculty, on the recommendation of the RDC, such that the total period for the submission of the thesis counted from the date of his/her admission **does not exceed six years.**

Under extraordinary circumstances, the DRC may grant a further extension of One years for the submission of the thesis, for which the candidate 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 Dean and the RDC. **No further extension shall be given under any circumstances.**

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Residency Period

- (a) A Ph. D. Scholar shall be required to be present in the University for a prescribed period, which is known as the Residency Period.
- (b) Full-time research scholars are allowed for taking up jobs, only after the successful completion of
 - i) Course work
 - ii) Comprehensive examination and
 - iii) Minimum residential period of two years

The RDC may recommend a Ph.D. scholar to pursue a part of his/her research work at a place outside the University. The Dean of the concerned Faculty may approve such recommendations of the supervisor which are for a period of six months or less. However, if such recommendations are for a period beyond six months, the recommendations of the supervisor would be placed before the RDC, which may permit a full-time Ph. D. scholar to pursue a part of his/her research work at a place outside the University without exceeding the maximum time limit for the submission of the thesis laid down in these ordinances. The Minimum residency period in this case shall be two years.

PERFORMANCE EVALUATION

Progress Report:

(a) The RDC shall monitor the academic/research progress of each candidate. For this purpose, the candidate shall submit a progress report on a prescribed proforma in triplicate, at the end of each semester to the Dean of Concern Faculty through his/her supervisor and co-supervisor, if any.

(b) The candidate shall make presentation on the progress of his/her research work through a seminar and the Dean/ HoD shall evaluate the progress made by the candidate and submit its recommendations to the concerned RDC.

SUBMISSION OF THE THESIS

Pre-submission Seminar

(a) On completion of the research work for the Ph. D. by a candidate, the supervisor shall organize a pre-submission seminar, in consultation with the Dean/ Head of the Department/Coordinator of the Centre, to apprise the teachers and other research workers of the Department/Centre of the candidate's work and receive suggestions for improvement of the research work. The RDC shall assess the work of the candidate through this seminar. If the RDC is not satisfied either with the presentation or with the

quality of work of the candidate, then the candidate shall do further work and deliver a fresh seminar after a definite period specified by the RDC.

(b) The exact title of the thesis shall be as approved by the RDC after the pre-submission seminar.

(c) If the RDC is satisfied with the pre-submission seminar of the candidate, the Chairman of the RDC shall forward the application of the candidate for submission of the thesis along with a certificate about the satisfactory completion of the pre-submission seminar and the exact title of the thesis to the In- Charge (Examination). Any extended residency period left beyond the date on which the thesis is forwarded for submission, as aforesaid, shall be deemed to have been terminated on the said date.

Submission of the Thesis

- (a) The candidate 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), failing which he/she shall be required to deliver a fresh pre-submission seminar.
- (b) The candidate shall submit the thesis to the In- Charge (Examination), duly forwarded by the Head of the Department/Coordinator of the School/Centre. While submitting the thesis, the candidate shall submit the following:
- i. Four hard copies and one soft copy (in a CD) of the abstract of the thesis written in about 500 words describing the salient features of his/her investigation.
 - ii. Four hard copies and one soft copy (in a CD) of the thesis in Tibetan/ English/ Sanskrit or any other language approved by the concerned RDC as per the format.
 - iii. A declaration by the candidate as per the format.
 - iv. A course/comprehensive examination/pre-submission seminar completion certificate, wherever applicable, by the Head of the Department/ Coordinator of the Centre as per the format.
 - v. A copyright transfer certificate as per the format given.
 - vi. Plagarsim certificate.

(c) The candidate shall be required to have published at least two research papers in peer reviewed journals/ Journal listed in UGC -CARE List, based on his/her research work before submitting the thesis. The reprints/proofs/pre-prints of the papers shall be attached at the end of the thesis. The evidence for submission/acceptance of the papers shall be submitted to the In- Charge (Examination) at the time of submission of thesis.

(d) The candidate shall also submit one copy each of the thesis and the abstract to the supervisor, co-supervisor, and an external co-supervisor, as the case may be.

EXAMINATION

Panel of Examiners

(a) The Supervisor shall propose a panel of examiners of at least six experts from within the Country in the area of the Ph. D. thesis for consideration of RDC immediately after the pre-submission seminar of the candidate. However, the supervisor shall have the liberty to propose a panel of four foreign examiners, out of six, if he considers appropriate.

(b) The panel shall not include the names of the supervisor and co-supervisor. In the case of a research scholar who has done any part of his/her work in another institution, the panel of examiners shall not include any person working in that institution. The panel shall not include the name/names of any person/persons with whom the candidate has published a research paper.

(c) Complete and current addresses of all the examiners proposed in the panel with their email addresses, telephone and FAX numbers shall be provided by the Supervisor.

(d) The Panel of Examiners shall be considered and approved by the concerned RDC. All the examiners as listed in the panel shall be from the specific area of research work and if required, the RDC may modify the panel.

Board of Examiners

(i) The Board of Examiners shall consist of **two examiners.**

(ii) The panel of Examiners duly approved by the RDC shall be sent by the Chairman of RDC to the Dean of the concerned Faculty, immediately after panel is approved by RDC, for the appointment of the Board of Examiners from the panel with a copy endorsed to the Office of the Registrar for records.

(iii) The Dean of the concerned Faculty shall communicate to the In-Charge (Examinations) two names of external examiners to function as Primary Board of Examiner, out of the panel approved by RDC, within three days of its receipt for evaluation of thesis.

A copy of said communication shall also be endorsed to the Registrar for records.

The In-charge (Examination) shall get in touch with each examiner over e-mail with a soft copy of the abstract to secure acceptance of the examinership apart from communicating through post. The said exercise shall be undertaken by the In-charge (Examination) within three days of receipt of names of appointed examiners from the Dean of the concerned Faculty. However, in case, the soft copy of the abstract is received from the Academic Section subsequent to the receipt of names in the Board of Examiners from the Dean, the said exercise shall be completed within three days of receipt of soft copy of abstract. **The examiner's consent via email may be accepted and thesis may be forwarded for the evaluation.**

If no information is received from an examiner within 15 days period from first communication to the examiner, a reminder shall be issued. If, however, no information is received from an examiner within 30 days period from first communication to the examiner, his/her appointment shall be cancelled and a new examiner shall be appointed from the panel of names.

Thesis Evaluation

- (a) The In-charge (Examination) shall forward the copy of the thesis to the Examiners within three days of receipt of their consent (via email or postal services) and take necessary action to get the report of the examiner expeditiously.
- (b) The examiners shall be requested to submit their individual reports within two months of the receipt of the thesis.

Examiner's Report

- (a) The examiners shall submit the report on a prescribed form and shall make one of the following recommendations:
 - i) The thesis be accepted for the award of the Ph. D. degree.
 - ii) The thesis be accepted for the award of the Ph. D. degree subject to the candidate giving satisfactory answers, at the time of Viva-Voce, to the specific queries raised in the report.
 - iii) The thesis, in the present form, cannot be accepted for the award of the Ph. D. degree, and the candidate be advised to revise the thesis on certain issues raised in the report and resubmit the thesis. In the case of resubmission, the examiner shall specifically mention whether the thesis must be referred back to him/her for reevaluation or not.
 - iv) The thesis be rejected.
- (b) If both the examiners recommend acceptance of the thesis for the award of the Ph. D. degree, the thesis shall be accepted.
- (c) If both the examiners recommend rejection of the thesis for the award of the Ph. D. degree, the thesis shall be rejected.
- (c) If one examiner recommends rejection of the thesis and the other recommends acceptance, then a third examiner shall be appointed from the panel of already approved examiners.
- (e) In case the third 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 shall be taken.

(f) In case the third examiner recommends the rejection of the thesis, his/her recommendation shall be final and the thesis shall be rejected.

After the reports from both the examiners are received, the In-charge (Examination) shall inform the supervisor and co-supervisor (if any) for appropriate action.

Viva-Voce

(a) If the thesis has been accepted for the award of the degree, the candidate shall be required to defend his/her thesis in a Viva-Voce, before a duly constituted committee hereinafter referred to as Viva-Voce Committee (VVC). The date, time and venue of the Viva-Voce with other necessary details shall be adequately notified so as to enable other faculty members and students to attend it.

(b) The supervisor and the co-supervisor (if any), shall arrange for the Viva-Voce of the candidate as early as possible and normally within a month from the date of communication to them from the In-charge (Examination) for conducting the Viva-Voce.

(c) The VVC shall consist of the Chairman (nominated by the Vice Chancellor), the supervisor and the co-supervisor (if any), the External examiner (one; as recommended by RDC) who has evaluated the thesis and a nominee of the concerned RDC.

(d) The VVC shall be provided with the reports of all the examiners before the Viva-Voce.

(e) The VVC shall submit a comprehensive report on the performance of the candidate at the Viva-Voce, including the discussions over various points raised. The VVC shall recommend one of the following:

- i) that the degree be awarded,
- ii) that the candidate be re-examined in a second Viva-Voce,
- iii) that the degree be not awarded and the thesis be rejected.

- (f) If the VVC recommends that the degree be awarded, the candidate shall submit Five hardbound copies of the thesis incorporating corrections, if any, (along with 2 corresponding soft copy versions of the thesis in CDs), one for keeping in the Shantarakshita library of the Institute and the other for the departmental library.

Award of Ph.D. Degree

On recommendation of the VVC the research scholar will be awarded Ph.D. degree in the ensuing convocation.

CONCLUSION

Notwithstanding anything contained in these Ordinances all categories of the candidates shall be governed by the rules and procedures framed by the Institute/ Academic Council/ UGC, and are in force at that point of time.

Any doubt or dispute about the interpretation of these Ordinances shall be referred to the Vice-Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final.

The Vice-Chancellor has been authorized to,

- (a) modify, amend and/or delete any of the clauses given in the Ordinances or add any clause(s) to these Ordinances, which shall be reported to the Academic Council at its next meeting for approval.
- (b) order a special procedure for the evaluation of a Ph. D. thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the supervisor and the Institute.
- (c) Relax any of the provisions laid in these Ordinances for handling circumstances not covered by these Ordinances.
