



Dr. Babasaheb Ambedkar Open University
Ahmedabad

**DOCTOR OF PHILOSOPHY
PROGRAMME**

ORDINANCES

PREFACE

The Dr. Babasaheb Ambedkar Open University (BAOU) was established by the Act No.14 of 1994 passed by the Gujarat State Legislature, which come into force on the 13th April, 1994 and assented to by the Governor of Gujarat on 27th July, 1994. The BAOU is the seventh Open University in the country in terms of their establishment and only the Open University in the state.

In twenty four years long journey since its establishment in 1994, the BAOU successfully presented various degrees and certificates to approximately six laks students. The University is reaching out to the large tribal areas and very interior parts of the state providing opportunities of higher education to the citizens there, who, otherwise, have almost no approach to higher education.

The important and distinguishing objectives for BAOU are to:

- Advance and disseminate learning and knowledge by a diversity of means, including use of any communication technology.
- Provide opportunities for higher education to a large segment of the population.
- Promote the educational well-being of the community generally.
- Encourage the Open University and distance education system in the education pattern of the Sate.

Currently the University is offering more than 56 courses at different levels, right from certificate up to PG level in distance learning mode.

U.G.C., through its letter no. F.No.2-1/2017(DEB III/DEB IV) dated 19 May, 2017 has approved Dr. Babasaheb Ambedkar Open University for conducting research activities through M.Phil. and Ph.D. programmes at regular / part-time basis in accordance with U.G.C. rules and regulations 2016.

DR. BABASAHEB AMBEDKAR OPEN UNIVERSITY
AHMEDABAD
ORDINANCES FOR PH.D. PROGRAMME
(OPhD)

OPhD 1. Short title, application and commencement

- 1.1 These Ordinances shall be called “Dr. Babasaheb Ambedkar Open University Ph.D. Ordinances 2017”. It shall come into force from the date notified by the Dr. Babasaheb Ambedkar Open University.
- 1.2 These Ordinances shall apply to the Ph.D. programme conducted in different disciplines at the University Schools.
- 1.3 The Ordinances govern the conditions for imparting instructions for the courses, conduct of examinations and evaluation of scholars’ performance leading to Ph.D. degree. These Ordinances will be effective from the academic year 2017-18 onwards.
- 1.4 Doctoral Programme leading to the degree of Ph.D. shall be offered in the following subjects in the 4 Schools of the University:

Sr. No.	Name of School	Subjects
1.	School of Humanities & Social Sciences	1) English
		2) Gujarati
		3) Library and Information Sciences
		4) Journalism & Mass Communication
		5) Economics
		6) History
		7) Political Science
2.	School of Commerce & Management	1) Commerce
		2) Management
3.	School of Education, Distance Education & Educational Technology	1) Distance Education
		2) Education
		3) Educational Technology
4.	School of Computer Science	1) Computer Science & Application
		2) Information & Communication Technology

- 1.5 The provisions of these Ordinances shall be applicable to any new discipline / subject that are introduced from time to time and included to the above list.
- 1.6 There shall be the Research Development Committee (RDC) to examine and approve the research proposal before final registration. And Research Review Committee (RRC) to monitor the progress made by research scholar throughout the research tenure.
- 1.7 Notwithstanding anything contained in these Ordinances, on the recommendation of the Academic Planning Board (APB) shall exercise its powers to change / amend /

implement the decisions and actions concerned with academic matters, to change any or all parts of these Ordinances at any time.

OPhD2. Constitution of Ph.D. Committees

There shall be committees for admission and approval of research topic and for periodically review and giving assistance in the progress of the research work of the research scholar.

2.1. Research Development Committee (RDC)

2.1.1 There shall be RDC for each subject under all four schools. This Committee shall have the following responsibility :

- To review and examine the research proposal and give its decision in terms of approval / disapproval / approval after suggested amendments and finalize the topic of research before final registration.

2.1.2 The members of the Committee shall be:

- Chairperson - Director of the School concerned
- Member 1 - Head of the Department concerned
- Member 2 - External Expert of the subject concerned
- Member 3 - Faculty member of the Department concerned

2.1.3 The External Experts should be from University / Institution other than BAOU and to be nominated by Hon. Vice-Chancellor from the list given by concerned Department.

2.1.4 To complete the quorum of the Committee, presence of three members out of total four, shall be considered compulsory. Among these three members one should be external expert.

2.1.5 In the absent of the Chairperson, member 1 shall be the Chairperson of the committee for that particular session.

2.1.6 The decision of RDC regarding approval, modification or rejection of research proposal shall be final.

2.2. Research Review Committee (RRC)

2.2.1 There shall be RRC for each subject under all four schools. This Committee shall have the following responsibilities :

- To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- To review and assist in the progress of the research work of the research scholar in every six months.

2.2.2 The members of the Committee shall be:

- Chairperson - Director of the School concerned
- Member 1 - Head of the Department concerned

- Member 2 - Research Supervisor of the Scholar
- Member 3 - Faculty member of the Department concerned
- Member 4 - One faculty member from BAOU, nominated by Director of the School concerned

2.2.3 Presence of three members out of total five, in which presence of Research Supervisor is compulsory, shall be mandatory for the quorum.

2.2.4 In the absent of the Chairperson, member 1 shall be the Chairperson of the committee for that particular session.

OPhD3. Types of Ph.D.

There shall be two types of research in the Ph.D. programme:

1. Full Time Research
2. Part Time Research

3.1 Full Time Research

The full time scholars are expected to work on regular basis for entire Ph.D. programme in their respective subject departments or place of assignment by their guides / university. The scholars who are receiving assistantship / scholarship / fellowship from UGC/ ICSSR/DST/CSIR/DBT/MoES/MoEF, Industry or any other funding agency as RA/SRF/JRF/Project Fellow etc. shall be considered as full time scholars provided they submit the certificate from the concerned funding agency.

3.2 Part Time Research

This category refers to employed scholars admitted to the Ph.D. programme. A **“No Objection Certificate”** is mandatory from the Head of the Institution / employer at the time of registration. Such scholars shall not be entitled / eligible for any kind of fellowship, financial assistantship and accommodation etc. offered by the University.

3.3 Change in the type of Ph.D. Programme

In the case of request for change of type of Ph.D. Programme from full time to part time or from part time to full time, Hon. Vice-Chancellor shall consider such requests under compelling circumstances on the recommendation of RRC.

OPhD4. Eligibility Criteria for admission in Ph.D. Programme

A candidate will be eligible for admission and registration for the Ph.D. programme, provided he/she:

- 4.1 Possesses Master’s Degree from an University recognized by UGC or any other qualification recognized as equivalent thereto in such fields of study as are notified for the purpose from time to time by the University with at least 55% marks in aggregate [50% marks in the case of SC, ST and Differently-

Abled and other categories of candidates as per the decision of UGC from time to time, or for those who had obtained their Master's Degree prior to 19th September, 1991] or its equivalent grade 'B' in the UGC 7 point scale.

- 4.2 Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7 point scale and successfully completing the M.Phil Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in an integrated programme. 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/Differently abled and other categories of candidates as per the decision of the UGC from time to time.
- 4.3 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.
- 4.4 The Fellow members of the Institute of Chartered Accountants and / or Institute of Costing and Works Accounts and / or a qualified company secretary shall be considered eligible for registration for Ph.D. in the concerned subject in the School of Commerce and Management, provided that they possess a Bachelor's Degree of any statutory University. Such candidates shall have at least five years of professional experience subject to the approval of RDC.

4.5 Multi / Intra / Inter disciplinary research

- 4.5.1 Multi / Intra / Inter disciplinary research shall be encouraged. A candidate applying for multi / intra / inter disciplinary research shall specify the specific discipline in which he / she intends to pursue research, the subject of research being wholly or partly related to the subject of the post-graduate degree qualified by the candidate. The admission under such manner shall be considered only on the basis of proven ability and aptitude of the candidate for such level of research before the RDC after fulfilling all other applicable criteria for admission subject to the approval by the RDC and Hon. Vice-Chancellor.

- 4.5.2 Candidates who propose to carry out research work in Multi / Intra / Inter disciplinary areas shall be permitted to have a Co-Guide on the recommendation of the RDC. The Co-Guide could be from the same or a different department or from any other recognized University / Institution in India or abroad.
- 4.5.3 In case of Multi / Intra / Inter disciplinary research, Hon. Vice-Chancellor may approve, based on the recommendation of RDC, change to another faculty / subject other than the one in which the candidate has obtained his / her master's degree, and granting registration to such scholar for the Ph.D. degree in an allied / different / concerned subject on a case to case basis.

OPhD5. Regulations for Research Supervisor

5.1. Eligibility criteria to be a Research Supervisor, Co-supervisor :

- 5.1.1 Only a full time regular teacher of BAOU who possess Ph.D. degree in his / her respective subject and published at least two research papers in refereed journals shall be eligible to apply for recognition as Research Supervisor.
- 5.1.2 Hon. Vice-Chancellor on the recommendation of one external expert of the subject concerned, the Director of the School concerned and the Director Academic may approve such recognition as Research Supervisor.
- 5.1.3 A recognized Research Supervisor can act as a Co-Supervisor for the research scholar other than one under his supervision in order to accommodate multi / intra / inter disciplinary aspects in research on the recommendation of RDC and with the approval of the Hon. Vice-Chancellor
- 5.1.4 **The External Supervisors are not allowed.** However, Co-Supervisor can be allowed in inter-disciplinary areas from other department of the University or from other related institutions with the approval of the RDC.
- 5.1.5 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may recommend a Research Supervisor from the Department itself, who shall be known as the Research Supervisor and a Co-Supervisor from outside the Department / School / University on such terms and conditions as may be specified and agreed upon by the consenting Institution.

5.2. Norms for Supervision

- 5.2.1 Maximum number of Ph.D. Scholars at a time with a Supervisor shall be as under :
- | | |
|---------------------|------|
| Professor | : 08 |
| Associate Professor | : 06 |
| Assistant Professor | : 04 |
- 5.2.2 The number of scholars working under a Co-Supervisor shall not be taken into consideration while counting the permissible number of scholars registered under a particular Research Supervisor.
- 5.2.3 After successful pre-submission viva, the seat of the supervisor under whose supervision the scholar was registered will be treated as vacant from the date of pre submission seminar.
- 5.2.4 A Research Supervisor, in case of his / her shifting / transfer to some other University / superannuation may continue to guide the candidate/s already registered under him / her. Such person/s shall cease to be approved Research Supervisor of the University on completion of Ph.D. Programme of the candidate/s under him / her.
- 5.2.5 A Supervisor, who will be superannuating in less than one year period, may not be permitted to take a fresh Ph.D. Scholar, unless specifically permitted by the Hon. Vice-Chancellor, on the recommendation of the RDC, for a period not exceeding three years. However, he / she may co-guide new scholars up to the age of 65 years.

5.3. Allocation of Research Supervisor

- 5.3.1 The allocation of Research Supervisor for a selected research scholar shall be decided by the RDC (excluding external experts) concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of their presentation and PI in front of RDC.
- 5.3.2 The allocation of Supervisor shall not be left to the individual candidate or supervisor. The RDC (excluding external experts) shall have the sole authority to decide the allocation of supervisor to a candidate, however, the Committee may consider the choice indicated by the candidate in the application, if found feasible and after taking the acceptance by the concerned supervisor.
- 5.3.3 Notwithstanding anything contained in this ordinance, no supervisor, co-supervisor shall be under an obligation to accept any candidate for Ph.D. Programme.

5.4. Responsibilities of Research Supervisor

- 5.4.1 The Research Supervisor carries all the major responsibility of guiding / supervising the academic planning / progress / execution of the plan of research throughout the period of study. He / she counsels the scholar in academic matters and provides the guidance on the nature of course work and research, the standards expected, the adequacy of progress and the quality of work.
- 5.4.2 To ensure the successful and timely completion of the programme, it is essential that the supervisor and their scholars maintain regular contacts. The supervisors must give their scholars advance notice, if they plan to be absent from the University for an extended period of time, i.e. 03 months or more, and make suitable arrangements for the continued guidance to the scholar during his / her absence.

5.5 Change of Supervisor

The University may allow a change of supervisor under exceptional circumstances only, on the approval by the Hon. Vice-Chancellor upon recommendation of the RDC of the School concerned. These circumstances can be as follows :

- 1) If the supervisor expires or is ill so as to be unable to carry on supervision.
- 2) If the supervisor leaves the head quarter / India and not available for more than eight months.
- 3) If the supervisor does not wish to continue as a guide / declines to remain the supervisor.
- 4) If any valid reason presented by the candidate or by the supervisor with or without evidence, accepted and duly approved by Hon. Vice-Chancellor.

OPhD6. Procedure for admission

- 6.1 University will advertise the invitation for admission in Ph.D. once in a year, generally, if not notified otherwise, in month of July through its website and also through advertisement in at least one leading Gujarati newspaper. The list of subjects available for that particular year and also number of seats available under each subject shall be notify clearly on the website.
- 6.2 All the candidates seeking admission in Ph.D. programme shall have to fill up the prescribed admission form designed by the BAOU time to time and submit the same to the university along with prescribed fees through Demand Draft and all necessary documents within the last date specified in the admission announcement.

- 6.3 A copy of the Ph.D. Ordinance, rules and regulations, details of Entrance Test etc. related to the Ph.D. Programme shall be provided to the candidates along with the admission form or through website of the University.
- 6.4 After scrutiny of all the application received, a list of candidates eligible for admission in Ph.D. Programme, will be published on the university website within stipulated time.
- 6.5 All the eligible candidates shall need to appear in the Common Entrance Test for Ph.D. Programme conducted by the University, however one who is having any one of the following qualification shall be exempted from the entrance test:
- i. Qualified UGC-JRF / NET / GSET or entrance test of CSIR / ICAR/ ICMR/ DBT / DST / GATE etc.
 - ii. M.Phil degree holder whose admission has been done through the entrance test of BAOU or any other UGC recognized university.
 - iii. One who are granted fellowship / scholarship from state / central government agencies.
- 6.6 Common Entrance Test for Ph.D. Programme will consist of two parts :
- Part I - 25 MCQs based on research methodology in general.
 - Part II - 25 MCQs in the relevant subject.
- 6.7 Total marks for the Entrance Test will be 100 for 50 MCQs each of two marks and for the duration of 90 minutes.
- 6.8 To qualify in the Entrance Test, general candidate has to secure minimum 50% marks in the aggregate in Part I & Part II and individually 40% marks in each Part. 5% relaxation in passing marks of the entrance test will be given to the candidates from SC / ST categories.
- 6.9 Passing the entrance test does not guarantee for sure admission in Ph.D. Programme. **Passing the entrance test only signifies the eligibility of the candidate for the admission in Ph.D. Programme and this eligibility will be consider valid for 5 years from the date of declaration of the result of the entrance test.**
- 6.10 All the candidates, who have successfully qualified Entrance Test, shall have to send their Research Proposal with in stipulated time and finally appear for the presentation and Personal Interview (PI) with 05 copies of the research

proposal to defend the same in front of RDC of their respective schools on the date notified by the University through its website.

- 6.11 **The Research Proposal shall be of about 1500 words, containing the title, significance and scope of the topic, rational justification, national-international status, theory and research methodology / techniques involved, references, bibliography etc.**
- 6.12 The RDC shall examine the research proposal and give its decision in terms of approval, approval with modification or disapproval and shall give recommendation for provisional registration.
- 6.13 A subject wise merit list will be prepared after the presentation and PI on the basis of marks obtained for the performance in front of RDC.
- 6.14 A provisional admission shall be given based on the merit list and available seats. The admitted candidates shall have to pay the prescribed fees within 10 days from the date of offer of admission, failing which the seat shall be allotted to the next eligible candidate on the merit list.
- 6.15 If, there are any vacancy arises by any means in the second term / semester, the same shall be filled from the candidate next in the waiting list.
- 6.16 Change in Title or Topic of the research**
- 6.16.1 Change in the Title of the thesis in nature of grammatical corrections / syntax can be made any time before the final submission of the thesis on the recommendation of supervisor and referee.
- 6.16.2 Any necessary change in the topic of the research to address the desired objectives shall be made within a period of before final months from the date of provisional registration on the recommendation of RRC.
- 6.16.3 No change in topic will be permitted after six months. However, in exceptional cases, RRC may allow the change in topic after six months with approval by Hon. Vice Chancellor.
- 6.16.4 In case of major change, such as research area, theme or subject, in topic, the candidate will need to go through the process of admission afresh, however he / she will need not to appear in entrance exam again.

OPhD7. Reservation Policy Of The University

- 7.1 Reservation will be given as per rules of Government of Gujarat.
- 7.2 From total number of seats available per School, reservation will be given to different categories as follows :
- | | |
|----------------------|-------|
| Scheduled Cast (SC) | – 7% |
| Scheduled Tribe (ST) | – 15% |

Socially and Educationally Backward Class (SEBC) – 27%

- 7.3 The Directors of the concerned School in coordination with SC/ST Cell would co-ordinate for such provision.

OPhD8. Duration of the Ph.D. Programme

- 8.1 Ph.D. Programme shall be for a minimum duration of three (3) years, including course work and a maximum of six (6) years.
- 8.2 The commencement of the duration shall be considered from the date of Provisional Registration, i.e., when the candidate is admitted to the Ph.D. programme after payment of the fees.
- 8.3 Extension beyond above limit (i.e. six years) might be considered only in very special cases, such as on medical ground or in case of natural or manmade calamities, on the recommendation of APB and need to be approved by BOM.
- 8.4 In other cases, if the scholar fails to submit his thesis within maximum six years period from date of commencement, he / she shall need to take admission afresh.
- 8.5 The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration.
- 8.6 The women candidates may be provided Maternity Leave /Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

OPhD9. Fees Structure

9.1 Details of Fees Structure :-

Sr. No.	Details	Amount (₹)
1.	Initial processing fees with application form	₹ 1,000/-only
2.	Registration fees to be paid once	₹ 1,000/-only
3.	Coursework Fees	₹ 5,000/-only
4.	Semester Fees (6 compulsory semesters)	₹ 10,000/-x6=60,000/-only
5.	Thesis submission Fees	₹ 10,000/-only
6.	Fees for obtaining degree at the time of convocation	₹ 1,000/-only.

- 9.2 **All the payments should be made through Cheque / Demand Draft in favor of Dr. Babasaheb Ambedkar Open University payable at Ahmedabad.**
- 9.3 All the candidates admitted to the Ph.D. Programme shall have to pay the prescribed fees as stated above or as modified by the university from time to time.
- 9.4 The candidate shall need to pay registration fees, course work fees and first semester fees before joining the course work workshop.
- 9.5 The fees once paid shall not be adjusted or refunded under any circumstances even, if the candidate cancels the admission.

- 9.6 The scholar shall need to pay the semester fees within 10 days from the commencement of the semester. Late fees might be charged in the case of late submission of the fees.
- 9.7 Any revision of fee shall be payable by the Ph.D. scholar during the entire period of the Ph.D. Degree.
- 9.8 After completion of six compulsory semesters, if Thesis has not to be submitted yet then scholar need to continuing paying semester fees till the date of Pre-submission Viva.

OPhD 10. Course Work

- 10.1 All candidates admitted to the Ph.D. Programme shall be required to complete the course work prescribed by the University during the first two semesters. The course work shall be treated as prerequisite for Ph.D. final registration. (The term will be considered from the month of provisional registration) However candidates having M.Phil Degree and have already successfully completed the course work in M.Phil., shall be exempted from the Ph.D. course work.
- 10.2 Maximum credits assigned to the Ph.D. course work shall be 08 credits, divided in to three papers namely,
1. Research Methodology (03 credits)
 2. Computer Application (02 credits)
 3. Review of Literature related to one's research work (03 credits)
- 10.3 **A Ph.D. scholar has to obtain a minimum of 55% of marks or 'B Grade' in each of three papers of the course work in order to complete it successfully and be eligible to continue in the Ph.D. Programme.**
- 10.4 A workshop of total 75 hours will be conducted by the University in order to fulfill the requirement of course work Paper I & Paper II. For Paper III, in co-ordination with his/her research supervisor, the scholar will need to spend total 45 hours :-
- Visiting library or other such places where he/she may gather information related to their specific research topic
 - Reading available written material related to the research topic.
- 10.5 **Scheme of Assessment :**
- The assessment of the students will be done on the basis of assignments.
 - Students have to submit assignment for all the papers mentioned above.

- The topic of assignment will be announced in the class room.
- Total marks of all the three assignments are 100. The weightage of assignments are as under :
 - Research Methodology – 30%
 - Computer Application – 30%
 - Review of Literature – 40%
- Grading System
 - Marks score above 60 – A Grade
 - Marks score between 50 to 60 B Grade
 - Marks score below 50 – C Grade
- For successful completion of course work minimum B Grade is Require.

10.6 After compilation of the Course Work, a Certificate will be issued to the successful candidates to produce to the respective departments in order to proceed further in Ph.D. Programme.

Ph.D. Course Work Structure at a Glance

Sr. No.	Paper No.	Name of the Paper	Credits/ Total Hours of Contact (1 credit = 15 hours)	Maximum Marks	Minimum requirement of Marks
1.	Paper I	Research Methodology	03/45	30	15
2.	Paper II	Computer Application	02/30	30	15
3.	Paper III	Review of literature/ The Specific Study related to the Topic of Research	03/45	40	20

10.7 Academic contribution / activities of the Research Scholar through seminar / conference / workshop / publication will consider as Paper IV which shall be completed before final submission of the thesis at least one publication in peer reviewed journal and 2 presentations in seminars/conferences are compulsory for every scholar. Credits assigned to different categories are as per chart below :

Sl.no.	Category	Credit
1.	Paper presentation in State / National Seminar / Conference	2
2.	Paper presentation in International Seminar / Conference	3
3.	Attending Workshop in relevant fields*	1 per day (maximum up to 4)
4.	Publication in peer reviewed journal (National)	2
5.	Publication in peer reviewed journal (International)	3
6.	Paper in any University Publication	2

*Maximum credit limit to this category is 4.

OPhD 11. Procedure for Registration

- 11.1 The candidates get registered provisionally for the Ph.D. Programme, after RDC approval for the same. Final registration no. after submission of the necessary fees along with the registration form procedure of the admission will be completed.
- 11.2 The period of registration shall start from the date of submission of the first fees.
- 11.3 The University shall issue a letter to the Scholar
- Notifying the name of the Supervisor allocated to him/her
 - Final approval of the topic of the research
 - Final approval of the Research proposal submitted by the Scholar after the making necessary changes if any suggested by RDC.
- 11.4 A registered Ph.D. Scholar shall not be allowed to pursue any other degree course/programme from any University simultaneously. If any such violation is noticed, the registration of the scholar shall be cancelled automatically.
- 11.5 A scholar shall not be permitted to submit a thesis for which a degree has been conferred on him/her in this or in any other University. But a scholar shall not be precluded from incorporating any work which he/she has already submitted for a degree in this or any other university, in a thesis covering a wider field, provided that he/she shall indicate in a written statement accompanying the thesis about the work which has been so incorporated.

11.6 Period of Registration – Norms for Extension

- 11.6.1 A Ph.D. Scholar shall be registered for a period minimum of 03 years and maximum of 06 years from the date of Registration.
- 11.6.2 This period may be extended by 02 years maximum based on the request of the Scholar on valid grounds by Hon. Vice-Chancellor on the recommendation of RRC. However, under very special and compelling circumstances Hon. Vice-Chancellor may grant a grace period of 90 days more to submit the thesis even after the expiry of the extended period.
- 11.6.3 In case the Scholar fails to submit the thesis within this stipulated period he/she shall have to get re-registered. For re-registration, the rules of registration applicable to a fresh applicant shall have to be followed, including course work, submission of proposal, title clearance, synopsis, thesis etc. However the candidate shall be exempted from appearing in the Entrance Test.

11.7 Cancellation of Registration

The Ph.D. registration of a scholar is liable to be cancelled for any of the following reasons on the recommendation of RRC :

- 11.7.1 Non-payment of semester fees for consecutively 4 semesters.
- 11.7.2 Non-commencement of research work till the completion of 2 years after final registration.
- 11.7.3 Consistent lack of progress in research as observed by RRC or reported by the research supervisor of the scholar.
- 11.7.4 Violation of discipline, conduct and rules of the Department / School / University.
- 11.7.5 Non-submission of the thesis till the completion of maximum 06 years of registration without any notice.
- 11.7.6 Non-conformity with the Ordinances of the Ph.D. Programme.
- 11.7.7 Giving any false information at the time of application/ admission/registration, which can adversely effect on the validity of the scholar or his/her research work.

A letter of final notice to the Scholar shall be issued in occurrence of any of the above reasons and total 30 working days shall be given to the Scholar for defending his/her case in person in front of University authorities, failing which the University shall be free to take decision and action on its own cognizance and may cancel his/her registration for Ph.D. Programme permanently.

OPhD 12. Progress Review

- 12.1 The Research Scholar shall appear before the RRC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
- 12.2 The presentation shall include an elaborate description of the reading, writing, data collection or any other work done in relation to the research. The scholar can also mention difficulties encountered, if any.
- 12.3 A six monthly progress report mentioning in unambiguous terms whether the progress is satisfactory or not and whether the work done during the period under consideration is relevant and adequate or not shall be submitted by the Supervisor.
- 12.4 Only after the approval of RRC regarding the satisfactory progress of the work, the scholar shall be allowed to continue his / her research in the next term.

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

O PhD 13. Writing the Thesis

After the research supervisor is satisfied that the scholar has acquired a sound understanding of the substance in the thesis and the relevant research approaches, the research supervisor shall permit the candidate to submit her/his thesis. Thesis has to be written in following latest addition APA/MLA as applicable.

13.1 Language of the Thesis

13.1.1 Thesis can be written in any one language out of English, Hindi and Gujarati.

13.1.2 A Thesis in the subject Sanskrit can be written in Sanskrit language.

13.1.3 However, a detailed synopsis of the thesis & findings of the research shall be presented clearly in English for the Thesis written in a language other than English in order to put it on INFLIBNET to make it available worldwide.

13.2 Format of the Thesis

The format of the thesis for the final presentation shall be as follows :

1) The paper used for printing shall be of A4 size.

2) Suggestions for font :

Sr. No.	Language	Name of Font
1.	English	Times New Roman
2.	Hindi	Arial Unicode
3.	Sanskrit	Arial Unicode
4.	Gujarati	Shruti

3) However, any type of font matching the suggested size below will be accepted. The scholar has to observe that the fonts used should not highly decorative.

4) Size of the font shall be followed as under :

- i. Title of Chapter and Appendix : 14 points Bold
- ii. Title of point / sub-title : 12 points Bold
- iii. Chapter text : 12 points
- iv. References : 10 points
- v. Bibliography : 10 points
- vi. Appendices Text : 10 points

The scholar shall follow all the specifications that are issued by the University from time to time.

- 5) The printing shall be in a standardized form on both side of the paper and in one and half spacing.
- 6) A margin of one and half inches shall be on the left hand side.
- 7) The title of the thesis, name of the scholar, name of the degree for which thesis is going to be submitted, name of the supervisor, name of the University where thesis is going to be submitted and the month & year of the submission shall be printed on the title page and the front cover.
- 8) The colour of the cover should be preferably dark.
- 9) Side cover should mention “Ph.D. Thesis” on the top, name of the scholar in the middle and month & year of submission at the bottom.

13.3 Declarations to be included

13.3.1 The Thesis shall include a declaration by the Scholar that the work reported in the thesis is original and carried out by the Scholar himself / herself and that the material from other sources, if any, are duly acknowledged. The format of the certificate has been provided in Annexure I.

13.3.2 The Thesis shall also include a certificate signed by the Supervisor about the originality of the work. The format of the certificate has been provided in Annexure II.

OPhD 14. Submission of Synopsis

14.1 A Ph.D. Scholar may submit the synopsis after minimum 05 semesters (i.e. two and a half years after admission) and must submit within 11 semesters maximum.

14.2 A synopsis is viewed as a mini version of the thesis. It shall provide a clear idea about what the thesis is. It shall

- State the objectives, nature and scope of the work done
- State the principal conclusions
- State the contribution made to the body of knowledge on the subject
- Bibliography and web links used.

14.3 The synopsis shall contain introduction, chapter-wise brief account of the work done and over all conclusions.

14.4 The synopsis shall be in the language one is used for writing thesis i.e. in Gujarati, Hindi or English or in Sanskrit in the case of thesis submitted through the Department of Sanskrit.

14.5 The Scholar shall submit the synopsis of the thesis duly signed by Scholar and by his / her Supervisor in 10 copies out of that 5 copies have to be in English

according to the requirement of the respective schools along with one soft copy.

OPhD 15. Submission of the Thesis

- 15.1 Prior to submission of the thesis, the scholar has to make a pre-submission presentation in presence of an external expert/referee nominated by Hon. Vice Chancellor on the recommendation of director of the School Concerned. The Pre – Submission Presentation that may be open to all faculty members and research scholars for feedback and comments which may be suitably incorporated, if necessary, in the thesis under the supervision of the supervisor.
- 15.2 The thesis shall be submitted to the University for evaluation not later than 06 months after the pre-submission viva. If the Scholar fails to submit the thesis within this period, a maximum of 02 extensions of 03 months each may be given by Hon. Vice-Chancellor on request with valid reasons and with due recommendation of RRC. Delay after this extended period can be permissible only in extreme circumstances and subject not to be beyond maximum period of registration. However, in such cases scholar shall have to submit the synopsis afresh, face the pre-submission viva again and required to pay the necessary fees.
- 15.3 At the time of submission of the thesis, the Scholar must make sure that he / she has submitted the report for Paper III (please refer to clause 10.6) and fulfilled the requirement for Paper IV (clause 10.7) and submitted proofs for the same, failing which thesis shall not be accepted for evaluation.
- 15.4 Thesis duly signed by the Scholar and by his / her Supervisor and forwarded by the Director of the School shall be submitted in 5 hard bound copies and in soft copy in form of CD, DVD etc. to the University.

OPhD 16 Evaluation of the Thesis

- 16.1 Every thesis submitted shall go under scanner strictly to detect plagiarism and other form of academic dishonesty through mechanism evolved by the University using well developed software and gadgets.

16.2 Appointment of Examiners

- 16.2.1 The Ph.D. thesis submitted by a research scholar shall be evaluated by his / her Supervisor and two external examiners of whom one examiner shall be definitely from outside of State of Gujarat or may be from outside of India.

- 16.2.2 The research supervisor of the scholar shall prepare a list of 06 examiners–03 from within the State of Gujarat and 03 from outside of the State of Gujarat/India.
- 16.2.3 Hon. Vice-Chancellor shall appoint 02 examiners, from the list mentioned above, in which one expert must be from outside Gujarat as per the UGC norms.
- 16.2.4 All the examiners including supervisor shall submit their evaluation reports to the University individually within 01 month from the date of receipt of the thesis. In case of undue delay by the examiner to send the report, the University may, with the approval of Hon. Vice-Chancellor, send the thesis to another external examiner.

16.3 Evaluation Report

Examiners shall give their detailed report about the merit of the research work done and clearly mentioning whether

- The thesis can be accepted for the award of Ph.D. degree in the present form after open & closed viva-voce.
- The thesis can be accepted for the award of Ph.D. degree after minor corrections / revisions.
- The research work done is not up to the mark, hence the thesis cannot be accepted for the award of Ph.D. degree.

16.4 Actions to be taken according to Evaluation Report

- 16.4.1 If both the external examiners recommended for the acceptance of the thesis than the Scholar will be called for the final Viva Voce – Open Defense for their thesis.
- 16.4.2 If one of the external examiners has not commended the thesis, then the thesis shall be again referred to a third external examiner appointed by Hon. Vice-Chancellor, from within the State of Gujarat or outside the State / India as the case may be.
- 16.4.3 If the third examiner commends the thesis, the scholar shall be allowed to appear for the Viva Voce, but if the third examiner does not commend the thesis, it shall be rejected and the registration will liable to be cancelled.
- 16.4.4 In case both the external examiners have not considered the thesis acceptable for Ph.D. degree, then the thesis shall be rejected and the registration shall be cancelled. However, Hon. Vice-Chancellor in coordination with RRC may consider the merits of the thesis for re-evaluation. Even after re-evaluation, if the thesis does not find adequate,

then the thesis shall be rejected permanently and the scholar shall be declared not eligible for award of Ph.D. degree.

16.4.5 If one or both the examiners suggest any correction / revision to be made in the thesis, the same shall be made by the scholar before the Viva Voce. Corrected / revised version of the thesis shall get certified by the supervisor and forwarded by the Director of the School. Such thesis, on recommendation of RRC shall be accepted and the scholar may appear for final Viva Voce.

16.4.6 If one or both the examiners seek any clarification from the scholar regarding any point in the thesis, at the time of Viva Voce scholar must clarify the same. If examiners get satisfied with the answer, they shall give their recommendation for award of the Degree to the scholar.

In case scholar's answer cannot satisfy the examiners, the examiner(s) may suggest for acceptance after revision or rejection of the thesis.

16.4.7 If one or both the examiners suggested the need for revision and resubmission of the thesis for further examination, then the revised thesis, duly certified by the supervisor and forwarded by the Director of the School, shall be sent to the same examiner/s for further evaluation.

If the examiner concerned specifically instructs that the revised thesis need not be sent back to him / her, the revised thesis shall be examined by the RRC and accepted, if found in order and the scholar shall be allowed to appear for Viva Voce.

16.4.8 Where the scholar has been asked to resubmit the thesis after revision / correction, the same shall be done within the shortest possible period and in any case not later than 01 year from the date of the communication regarding the same by the University, Prior to expire of the maximum duration of the degree.

16.4.9 In case the scholar fails to submit the revised / corrected thesis within 01 year, the process of thesis evaluation gets cancelled. Then, the scholar Shall submit the synopsis again, along with the necessary fees, to start the process of thesis evaluation afresh.

OPhD 17. Viva Voce

17.1 Once the thesis is accepted for the award of the Degree of Ph.D. either in its original form or after revision / corrections; the scholar shall appear for open Viva Voce to defend his / her research work explained in the thesis.

- 17.2 The Supervisor of the concerned scholar shall coordinate the conduct of Viva voce. The Supervisor shall fix the date and time of the Viva Voce in consultation with the external examiner, who shall be appointed by Hon. Vice-Chancellor for conducting the Viva Voce.
- 17.3 The maximum time limit for conducting open Viva Voce shall be 02 months from the date of receipt of evaluation reports from the examiners. If the scholar fails to take Viva Voce within 02 months on valid grounds, Hon. Vice-Chancellor may permit maximum 02 months extensions on specific request from the Scholar through his / her Supervisor and forwarded by the Director of the School concerned.
- 17.4 The Viva Voce shall be held on any working day of the University and open for all the faculty members, research scholars, and other interested persons of the University.
- 17.5 In extreme cases, if the examiner is not in a position to travel to the University, the supervisor can arrange a Viva Voce with the participation of the external examiner through video-conferencing.
- 17.6 In the Viva Voce the scholar shall make a presentation about the research work. After the presentation, the external examiner and the guide shall conduct the Viva Voce.
- 17.7 Any person present to attend the Viva Voce shall be eligible to ask any question to the scholar regarding his/her research work.
- 17.8 After the completion of Viva Voce, the external examiner and the supervisor shall consolidate the recommendation and submit the same to the University. The recommendation shall be based on the reports of the examiners who adjudicated the thesis and the evaluation of the scholar's performance in the Viva Voce.
- 17.9 The Scholar who is successful in the Viva Voce shall be declared qualified for the award of Ph.D. Degree.
- 17.10 If a scholar does not satisfy the examiners at the Viva Voce, he / she shall be re-examined after a period of not less than 03 months.
- 17.11 The scholar shall not be declared eligible for the award of the degree of Ph.D. unless all the examiners unanimously declare him / her eligible for the same.
- 17.12 In the case of both the external examiners being unavailable for the Viva Voce, a third external examiner from within India shall be appointed by the Hon. Vice-Chancellor, in consultation with the RRC to conduct the Viva Voce.

OPhD 18. Award Of The Degree

- 18.1 If the thesis is recommended for award of the Ph.D. Degree after the Viva Voce, the Registrar with the approval of the Hon. Vice-Chancellor shall declare the result and shall issue a Notification to this effect to the Scholar mentioning his / her full name, title of the thesis, subject & School under which research work has been done, date of registration, name of the supervisor, name of the examiner etc.
- 18.2 Prior to the actual award of the degree, the University shall issue a provisional Certificate (Notification) duly signed by the Registrar of the University to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2016.
- 18.3 The final degree shall be awarded in the next convocation of the University.

OPhD 19. Depository with INFLIBNET

- 19.1 Following the announcement of the successful completion of the Programme and award of the Ph.D. Degree to the Scholar, the University, through its library shall submit an electronic copy of the Ph.D. Thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Universities / Institutions.
- 19.2 One hard and one soft copy of the thesis shall be placed in the University Library. A detailed abstract with name of the Scholar, name of the Supervisor, title of the Thesis, years of registration and completion shall be placed on the University website.

OPhD 20. General Rules Applicable

- 20.1 The scholars shall follow the rules and regulations prescribed by the University from time to time, even if they are not included in these Ordinances. The University shall have the right to modify, change or add to the rules and regulations which shall be binding on the scholars.
- 20.2 The Ph.D. scholars shall be entirely responsible for any duplication or plagiarism / academic dishonesty or piracy occurring in the thesis. In case any such acts are detected even after the award of the degree, the scholar shall be held accountable for the irregularity and this may even lead to cancellation of the degree. The decision of the University in this regard shall be final and binding on the scholar.
- 20.3 If any differences of opinion / dispute develop between the scholar and the supervisor at any time during the course of the research work, the decision of

Hon. Vice-Chancellor on recommendation of APB in the matter shall be final and binding on the scholar and the supervisor.

OPhD 21. Conduct of Ph.D. Programme

Ph.D. Programme of the University shall be guided by the Ordinances and Regulations of the University. Any amendment / modifications prescribed by the UGC from time to time shall be considered by the University authorities / bodies before their implementation. Until that date, the University shall follow its own Ordinances and Regulations maintaining the highest possible standards of quality in conducting Ph.D. Programme.

OPhD 22. Residual Powers of the Hon. Vice-Chancellor

For all other matters related to Ph.D. Programme under the clauses which are not covered in this Ordinance, the decision of the Hon. Vice-Chancellor shall be final and binding to all concern.

Annexure I

Declaration by the Research Scholar

I _____ Registration No. _____
hereby declare that the research embodied in this thesis entitled

_____ is an original research work done by me under the supervision of _____
of School of _____ BAOU
for the award of Doctor of Philosophy in _____ from
Dr. Babasaheb Ambedkar Open University, Ahmedabad.

I hereby also declare that to the best of my knowledge no part of this thesis fully or partly has
been submitted previously to this or at any other University / Institution for the award of any
Research Degree / Diploma.

Date :

Signature of the Candidate

Place :

Name of the Candidate

Annexure II

Certificate

This is to certify that the thesis entitled _____

submitted by _____ for the award of Doctor of Philosophy in _____ is a bonafide work carried by him / her under my supervision and guidance. No part of this thesis fully or partly has been submitted previously to this or at any other university / institution for the award of any Research Degree / Diploma.

Signature of the Supervisor

Date :

Place :

Name of the Supervisor