



(Established under Galgotias University Uttar Pradesh Act No. 14 of 2011)

Ph.D

RULES & REGULATIONS

2019-20

GALGOTIAS UNIVERSITY

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1. Definitions

- (a) **“Act”** means the GU (Act No....., India).
- (b) **“University”** means Galgotias University
- (c) **“Ph.D.”** shall mean the degree of Doctor of Philosophy at GU.
- (d) **“Applicant”** means an individual who applies on a prescribed application form for admission to PhD. Program of the University.
- (e) **“Candidate”** means a person registered for PhD. program.
- (f) **“Full-time Candidate”** means a candidate registered for a PhD. devoting full time for completing the requirements of the program (Produce no objection certificate from statutory authority in case of working candidate)
- (g) **“Part-time Candidate”** means a candidate who is registered for the PhD. devoting only a part of his time towards the pursuit of PhD. program while discharging his official/employment obligations.
- (h) **“Registration”** shall mean formal enrolment of a candidate for PhD. Program.
- (i) **“Registration Period”** shall mean the length of time span commencing from the date specified by SRC after its approval of the research proposal of the candidate and ending on the date of submission of the thesis/dissertation.
- (j) **“Residency Period”** shall mean the minimum period for which a candidate must work at the school on full time basis.
- (k) **“Minimum Registration Period”** means the minimum duration of time span prescribed for the PhD program.
- (l) **“COE”** means ‘Controller of Examinations of the University.
- (m) **“BOS”** means Board of Studies
- (n) **“DC”** means the Doctoral Committee constituted for each PhD candidate.
- (o) **“SRC”**, means School Research Committee.
- (p) **“RAC”** means Research Advisory Committee.
- (q) **“Supervisor”** shall mean a member of the academic staff of the University/Constituent Unit, approved by SRC guide/supervise the research work of the candidate.
- (r) **“Co-Supervisor”** means an additional Guide from the University Teaching Department/ Constituent Unit or an outside organization approved by SRC, to help in accomplishment of the research work of the candidate.
- (s) **“Course Work”** mean course units prescribed by DC to be completed by a candidate towards fulfillment of requirements of PhD. program.
- (t) **“Credit”** means a number indicating the weight age assigned to a course unit, project, research work or any other academic component, on the basis of contact hours per week for the learning activity.
- (u) **“Comprehensive Examination/Viva”** means a comprehensive examination/viva required to be taken by each candidate to test comprehension of his broad field of research, academic preparation and potential to carry out the proposed research plan.
- (v) **“Statutes”, “Rules” and “Regulations”** mean, respectively, the Statutes, Rules and Regulations of the University.
- (w) **“UGC”** means University Grants Commission established under University Grants Commission Act, 1956
- (x) **“Academic Council”** means the Academic Council of the University
- (y) **“Competent Authority”** means any authority in relation to the exercise of powers under these Regulations to whom or to which the power has been conferred under the Act, Statutes and Rules.

Note: Definitions specified in the Act, the Statutes, and the Regulations shall apply unless the context requires otherwise

2. Management and Coordination

(a) Academic Council shall coordinate and exercise general supervision over the academic policies for the Program leading to award of PhD., subject to the provisions of the Act, Statutes and UGC Regulations. However, RAC, SRC, DC and any other Committee(s) constituted in this behalf by the Competent Authority shall organize and manage the Program.

(b) The overall execution of the program shall be done by the Dean PG & PhD (at university level).

(c) Constitution, composition, functions and powers of these bodies will be as specified in the Act, Statutes, and Regulations.

3. Organization of the PhD. Program

(a) Programs leading to the Degree of Doctor of Philosophy will be offered at the Schools of the University.

(b) Subject to the general guidance of the Academic Council, research studies in the University leading to the Degree of Doctor of Philosophy (Ph.D.) shall be overseen by the Research Advisory Committee (RAC).

(c) The PhD. Program shall be organized on full time and part time basis.

4. Categories of PhD Programme :

(a) Full Time (Ph.D Research Scholars):

Full Time (Ph.D Research scholars)are those who will be able to commit themselves full-time to carry out their research on the campus. Full Time(PhD Research scholars) may(if selected)receive a Teaching Assistance-ship from the Galgotias University Uttar Pradesh .A Teaching Assistance-ship will be given to full time(**Ph.D Research Scholars**) **after successful completion of course work for the maximum duration of 3 years**. Full time PhD Research scholars is eligible to receive a GU research Grant/UGC/AICTE/any other sponsoring institute/agency grant to cover expenditure on research and living expenses subject to approval from available fund. The partial scholarship will be provided to GATE qualified candidate Ph.D research scholars may also be non-stipendiary, sustaining on their own and carrying out research full-time on the campus.

(b) Part Time (Ph.D Candidates):

- i. Part Time (Ph.D Candidates) will be allowed provided all the conditions mentioned in the University Grants Commission (Minimum Standards and Procedure for Award of PhD. Degrees) Regulations, 2016 are complied with.
- ii. All the staff members of the Schools having the requisite minimum qualifications and actively involved in relevant area of teaching/research/Industry/development can join for Ph.D. programme as a Ph.D Candidate.

- iii. Candidates working in Industry involved in R&D activities, Colleges or Research Organizations, approved by this Institute, and who are sponsored for pursuing Ph.D. Programme in this Institute while continuing their job, shall belong to this category. While they shall pursue research in their place of employment and/or in this Institute, such candidates shall spend at least one semester in the first two years from the date of Registration in this Institute. There shall be a Research Supervisor recognized by this Institute and a Joint Supervisor as per point No.16 and 17, who is responsible to provide all necessary resources and guidance to complete the research work in a time bound manner.
- iv. Further, the employer must expressly undertake to relieve the candidate for minimum period of six month to enable him/her to complete the Course Work. Such candidates must submit a No Objection Certificate from his/her organization Ph.D. Programme through distance education mode shall not be allowed in any case.

5. Eligibility:

(a) Candidates for admission to the PhD program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or CGPA 6.0 or an equivalent degree 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.

(b) An Equivalence Committee will be constituted by Vice Chancellor to consider applications other than covered under Clause 4 recommended by SRC or otherwise who may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the RAC for its recommendation to the Academic Council for approval.

(c) It is desirable that the applicants, who possess minimum prescribed qualifications for admission to PhD. program, should have an excellent academic/professional track record in the relevant discipline.

(d) The applicant for Part-time PhD. should:

- (i) Prove to the satisfaction of SRC that his official duties permit him to devote sufficient time for research.
- (ii) Ensure that facilities for pursuing research are available at his place of work in the chosen field of research, wherever required.

6. DURATION OF THE PROGRAM:

(a) The duration of the PhD programme and the time limit for submission of thesis are counted from the date of pre-registration vide point No.6 (e). The minimum and maximum duration of time for submission of thesis is as follows:

Duration	Minimum (n)	Maximum (N)
Full Time(Ph.D. Research Scholar)/ Part Time(Ph.D Candidates)	Three Years	Five Years

(b) **Extension of time from the maximum duration:**

- (i) The maximum duration permitted for Research programme is (n +2 years) for all disciplines.
- (ii) Under exceptional circumstances the recommendations of the School Research Committee for extension of time will be considered by the Research advisory committee for a maximum period of one year in spells of six months at a time. Any further extension will be only at the sole discretion of the Director based on the recommendation of the Research advisory committee.
- (iii) Request for such extension (six months at a time) shall be applied to the Dean (PG &PhD), with the recommendation/s of the School Research Committee, at least one month prior to the end of the maximum period or expiry of the previous extension.
- (iv) The Scholar is eligible to apply for extension of time only if his/her registration is already confirmed.

(c)The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for PhD. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of PhD. for up to 240 days.

(d)Research outside the Institute: During the course of the PhD. Programme, for reasons approved by the Departmental Research Committee, a Scholar may be permitted by the Institute to spend up to one year in an Institution/Industry or on a project approved for the purpose, outside the Institute for carrying out research in areas related to the subject of investigation/s.

(e)Every approved Scholar shall register by paying the initial fees prescribed and then continue to pay the prescribed fees per year, in order to keep the PhD. Registration alive until the thesis is submitted.

(f)The Dean PG & PhD shall permit, if deemed fit for reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrants his/her absence to the programme. However, the break of study period shall not be counted for the minimum duration of the programme.

(g)Break of study to scholars shall be granted up to a maximum period of one year not exceeding six month at a time. Such request with the recommendation of the research supervisor should reach the Dean PG & PhD through SRC prior to availing break of study. Break of study shall be accounted for the counting of duration of the programme (point No.6a). The scholar should remit the semester fees during the break of study period also.

7. Procedure for Admissions:

(a)Applications for admission toPhD. program shall be invited through an open advertisement, for pre-determined intake for each program in the prescribed form as laid down by the University, twice in a year in December and May.

(b)The notification will apper on the University website and through advertisement. The notification includes admission process details and all other relevant information for the benefit of the candidates .

(c)The Office of the Dean PG & PhD at the University shall execute and oversee the entire admission process. Deans of respective Schools will convey number of seats available to the office of Dean PG & PhD which will be forwarded to Registrar office and displayed at University website along with call for admission for PhD Program.

(d) Admission to Ph. D. will be two stage process:

(i) Ph. D. Entrance Test (PET)

(ii) A Personal Interview (PI)

Written test shall be conducted by CoE office and Interview to be conducted under supervision of Dean PG & PhD by respective School Deans along with SRC. Interview marks will be sent to CoE office. The results will be declared by CoE office. The list of selected candidates will be sent to office of Dean (PG & Research)/Registrar.

(e) The Entrance Test shall be qualifying with qualifying marks as 50%. [The Entrance test will have 50% questions from research methodology and 50% questions from respective discipline.] The Entrance Test shall be conducted at the Centre(s), notified in advance (changes of Centre, if any, also shall be notified in advance).

(f) University reserves all the rights to set the cut off criteria to appear for the interview.

(g) Admission shall be subjected to the criteria of minimum qualifications as mentioned in Clause 5 and performance in the Entrance Test and presentation, as mentioned under clause 7 (c), hereinabove.

(h) Entrance Test may be exempted for the following cases:

(i) Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Program through an Entrance Test.

ii) Candidates who have qualified UGC-NET, GATE, UGC-CSIR NET, JRF, SLET, ICARI, GPAT

iii) Candidates who were admitted previously to a PhD. Program at a recognized university through an Entrance Test and wish to transfer to the PhD. program at GU.

iv) Candidates from the industry having 10 years of experience or above.

(i) In the case of international students, the Entrance Exam may be exempted and subsequent presentation / interview be held through video conferencing. In addition, the students will normally be required to submit three letters of recommendation.

(j) The University reserves the right to limit the number of scholars to be admitted to the University at any time. The resources and other facilities/fiscal constraints would guide this decision.

(k) Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.

(l) SRC shall for each applicant, recommend a Doctoral Committee (DC).

(m) A list of candidates qualifying the PET or exempted as per the rule shall be uploaded on the Institute website.

(n) An interview/viva-voce will be organized for the finally selected candidates where they are required to discuss their research interest/area through a presentation before a duly constituted University Research Committee.

(o) Ph.D. Transfer from other University/Institute

- a. All transfer cases will be put before Galgotias university RAC/Committee formed by Vice chancellor for approvals.
- b. Following NOC's are needed to be submitted
 - i. NOC from previous supervisor
 - ii. NOC from previous University/Institute Registrar/Director
 - iii. NOC from previous department where candidate is registered.

(p)The Doctoral Committee (DC) of each faculty shall have following members.

- (i) BOS Chairman-Chairperson (Dean of School ex-officio whosoever)
- (ii) VC Nominee–Member
- (iii) One internal Expert-Member (only Professor or Associate Professor)
- (iv) One external Experts-Member
- (v) Research Supervisor(Ex-officio) - Convener
- (vi) Joint Supervisor(if any)– Member
- (vii) Dean PG & PhD.
- (viii) School Research/PhD Coordinator- Member Secretary.

(q)The interview/viva voce shall also consider the following aspects, viz. whether:

- (i) The candidate possesses the competence for the proposed research;
- (ii)The research work can be suitably undertaken at the Institution/College;
- (iii) The proposed area of research can contribute to new/additional knowledge

(r)A candidate shall be recommended by the SRC of the faculty for pre-registration on the basis of the following:

- (a)Individual Performance: Aggregate Marks (100):
 - (i) Proposed research idea and interview performance – 80 marks
 - (ii) Academic achievements (Graduate and Post Graduate Level) – 20 marks
- (b)Availability of an Approved Research Supervisor.

(s)The final result of PhD Admission Process will be declared on the website of the Institute. Candidates shall be provisionally admitted to the Ph.D Programme on the basis of merit of the Personal Interview.

(t)The shortlisted candidate for pre-registration would be required to identify and consult research supervisor from the list of supervisors available on University website with vacancies in respective areas. The candidates are advised to contact supervisor and should submit a letter of consent signed by research supervisor to the institute.

(u)After the submission of consent letter from supervisor and verification of all eligibility documents along with the payment of prescribed fees, the provisional admission will be officially conveyed to the candidate by the University.

(v)If necessary, based on a written request from the Research Supervisor, a Joint Supervisor may be appointed by the Dean PG & PhD with approval from the members of the School Research Committee. The Joint Supervisor may be from within the same faculty or different faculty of the University or from outside University provided he/she is recognized supervisor as per the norms of the University.

(w)The Research Supervisor shall furnish, a panel of six experts well versed in the field of proposed research, from the faculty of the University (not below associate professor) and other organizations from which two (or more) will be approved by the RAC for the constitution of the School Research Committee. The Joint Supervisor, if any, shall also be a member of the School Research Committee.

(x) For approved candidates the date of pre-registration shall be the date on which the Research advisory committee has recommended the admission. Such dates shall be half-yearly viz., 15th January and 15th July, as the case may be, as per the University calendar.

(y) After the confirmation of provisional admission all communication about the work/progress/issues related to the Research scholar must happen through the Research supervisor and SRC only.

8. Registration:

The Office of Dean PG & PhD after considering the recommendations of SRC/COE shall approve or otherwise the registration of the candidate and convey the same to the Deans of the schools.

A summary report of the candidates registered for PhD shall be duly sent to the Exam Cell of the University for Enrolment of the candidate.

(a) Registration date:

The date of regular registration of the candidates shall be the date of first time payment of the applicable fee(s). Final registration will be only after the completion of course work before that provisional registration is to be done by the scholar but minimum duration for completion of Ph.D degree shall remain as 3 years

(b) Renewal of Registration:

Candidates will be required to renew their registration every semester by the specified date till the submission of their thesis. The renewal of registration shall be subject to completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by the DC/SRC. Student who fails to fulfill the above conditions will not be re-registered and will cease to be a research scholar.

(c) Time Period Requirement for submission of the Ph.D. Thesis:

Ph.D. program shall be for a minimum duration of three years, including course work, and a maximum of six years.

The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

(d) Re-Registration

After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if the Vice-Chancellor approves an extension of registration

(e) Galgotias Research Fellowship.

A full-time Ph.D. candidate is expected to devote his/her time in the School/Department during his/her entire period of study. However, this period in exceptional circumstances, can be reduced by VC on the recommendations of DC/SRC/Dean (PG & Ph.D).

The minimum Residency Period for part-time PhD. candidates in the Department/ Constituent Unit shall ordinarily be one semester at the University Department/Constituent Units. Summer Term can also be utilized for this purpose. Full time research scholars will be paid stipend of Rs 15000/p.m. provided they do teaching assignment of lab work or tutorial of 8 hours per week with 90% attendance in the campus. Full time research scholars getting stipend will have to pay fee as per university norms. No stipend will be paid to part time research scholars.

(f) Change of Registration:

A candidate may be allowed for valid reasons to change his status from part-time to full- time or vice-versa on the recommendations of SRC/Dean (Research) and with the approval of the Vice Chancellor.

(g) Course Credit Requirements and Registration for Courses:

(i) Schools/Constituent Units shall draw a list of postgraduate Course Units, which can be offered to Ph.D. candidates.

(ii) Each registered student shall undertake course work as prescribed by the DC for a minimum period of one year. The course work will be treated as pre-PhD course.

(iii) A minimum 18 credits course work is mandatory for all the students provisionally admitted/registered in the PhD Program as per the following details:

Course 1 :	Research Methodology: (Including Quantitative methods, Computer applications, research ethics and review of published research in the relevant field, training, field work, etc)	4 credits
Course 2 :	Writing of Research Proposal for obtaining Financial assistance from national funding agencies	1 credit
	Writing of Reviewpaper	1 credit
	Seminars	2 credits
Course3 :	Mathematics/Quantitative Methods/statistical methods/Computer Applications (Mathswork/Scilab)-	2 credits
Course 4:	NPTEL/subject specific courses recommended by SRC	6 credits
Course 5:	“Research and Publication Ethics (RPE)”	2 credits
TOTAL		18 Credits

(iv)The examination/evaluation scheme for the courses shall be as per the existing regulation of the university on examinations.

(v)All candidates admitted to the PhD. program shall be required to complete the course work, as approved by the Academic Council of the institute, during the initial one or two semesters only.

(vi)A candidate will earn credits for a Course Unit only if She/he obtains a minimum of Grade B. Further, if a candidate fails to get qualifying Grade B will be given second opportunity to improve his minimum qualifying Grade B, failing which his registration will be liable to be terminated. The Candidates will be awarded Grades as per the

following rules:

Letter Grade	Grade Point	Pre-determined class interval for absolute grading
O (Outstanding)	10	90 and above
A+ (Excellent)	9	80 and less than 90
A (Very Good)	8	70 and less than 80
B+ (Good)	7	60 and less than 70
B (Above Average)	6	50 and less than 60
F (Fail)	0	Less than 50
Ab (Absent)	0	Absent

(vii)The candidates registered for PhD. Program in Departments/Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses.

(viii)Equivalent course credits may be transferred to GU if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the candidate at a recognized university at the similar level.

(ix) Scholar not having a PG degree in the relevant stream of research and working in the industry in other domain is able to register in the stream in which he is working, provided he can take two more courses in addition to 18 credit course

9. Comprehensive Examination:

(a)Each candidate, after completion of the prescribed course work, shall be required to take a comprehensive examination. The comprehensive examination will be oral examination.

(b)The candidate will have to give a presentation about his/her research plan before members of DC. Passing of comprehensive examination is subjected to approval of research plan by DC.

(c)Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination. If a candidate is unsuccessful again, his PhD. registration may be cancelled. Maximum time period for clearing comprehensive examination for full time candidate is 6 months (extendable to 12 months with the permission of Vice Chancellor only).Maximum time period for clearing comprehensive examination for part time candidate is 12 months (extendable to 18 months with the permission of Vice Chancellor only).

10. Supervisor(s)/Co-Supervisor(s):

(a)The Supervisor(s) shall be a regular/full-time faculty member of the University/ Constituent Unit with an earned Ph.D. degree and with research publications in refereed journals (five research publications at level of Professor and two publications at level of Associate/Assistant Professor).

(b)An external/internal person with an earned PhD. degree and proven track record in the

subject area may be appointed as a Co-Supervisor.

(c) At any given time, a Professor shall not have more than 8 candidates, an Associate Professor more than 6 candidate, and an Assistant Professor more than 4 candidate registered under him/her the above mentioned condition also include the candidates from outside Galgotias University, however, in such cases where teachers are retiring or leaving, the Vice Chancellor may decide to relax the norm on recommendation of the Office of the Dean PG & PhD.

(d) A faculty member who is due to retire within the next two years or leaves the University in between can be appointed as a Supervisor and can continue to be the Co- Supervisor even after his retirement provided the SRC is convinced of his availability for continued guidance to the candidate. In other cases, a faculty member on retirement may continue as a Supervisor, if re-employed or appointed Emeritus Fellow; or, if the long abstract of the thesis has been submitted by the candidate. Appointment of another Supervisor, if necessary, will be as per provisions made in these regulations.

(e) In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the SRC who with the approval of the Dean PG & PhD will appoint a new Supervisor.

11. Appointment of Supervisor(s)/Co- Supervisor(s):

(a) The Dean PG & PhD shall approve the appointment of Supervisor(s)/Co- Supervisor(s) on the basis of recommendations of the SRC.

(b) A faculty member appointed as a PhD. Supervisor/Co-Supervisor is normally expected to be available to a research candidate in the University Department/Research Center till the thesis is submitted.

12. Performance Monitoring:

(a) The academic/research progress of each candidate shall be monitored by SRC. For this purpose each candidate shall present a progress presentation during PhD colloquium in front of SRC committee at the beginning of each Semester through his/her Supervisor(s). The six monthly progress reports shall be submitted by the School Research Committee to the RAC with a copy to the research scholar.

(b) SRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade. In case the progress of the research scholar is unsatisfactory, the School Research Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SRC may recommend to the RAC with specific reasons for cancellation of the registration of the research scholar.

(c) If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning would be issued to the candidate.

(d) If a candidate gets three “U’s” or two successive “U’s”, his registration will be liable to be terminated.

13. Publication:

The student before submission of his PhD. thesis/monograph must have published minimum of two research papers with Galgotias University Affiliation and as first author in Scopus/SCI journals Only . Patents published / product developed and commercialized under start up registered on the name of candidate during PhD may be considered in place of research papers with final approval of University Research Committee as recommended by SRC.

14. Pre-submission Seminar:

On completion of research work and on recommendation of DC , the candidate shall submit to SRC through Supervisor(s), 2 copies of the Draft copy thesis spiral bounded after due checking of plagiarism and getting certificate of plagiarism from Head Librarian.

(a)DC shall, in a open seminar before outside expert (from Institutes of National importance/ Premier institutions of the country NIRF ranked) in which the candidate shall be required to be present, scrutinize the long abstract and recommend the title of the thesis after revision, if necessary.

(b)The DC will approve and forward the long abstract with its recommendations to the Dean PG & PhD for appointment of the thesis examiners.

(c)If a candidate fails to submit his thesis within Two months of the approval of draft thesis , he shall be required to deliver fresh pre submission. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean PG & PhD may on the recommendations made by the SRC and on individual merits of each case, grant him an extension of not more than two months.

(d)Thesis will be submitted after completion of 6th DC along with all required documents

- (i) All reports of all DC,
- (ii) Plagiarism check report of draft thesis and papers
- (iii) Hard Copy of all research Papers published with plagiarism check reports
- (iv) Proof of submission resubmission seminar Fee of Rs 10,000
- (v) PPT of Long Abstract

15. Panel of Examiners for PhD.:

(a)A PhD. thesis shall be evaluated by three examiners minimum two from outside the country and one from outside Uttar Pradesh. External experts will be from inside/outside the country.

(b)The DC shall prepare the panel of examiners and shall submit the list to the COE. The Dean PG & PhD will accord his approval to the list of examiners on the recommendation of the COE; COE shall accord approval from Vice Chancellor. Recommended list of examiners will be sent to office of COE for processing for thesis evaluation.

16. Thesis Preparation and Submission:

(a)The thesis shall be written in English unless otherwise approved by the DRC.

(b) No part of the thesis shall have been submitted for the award of any other degree or diploma.

(c) The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these.

(d) Prior to the submission of the thesis, the student shall make a pre –PhD. presentation in the department that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s).

(e) After clearing the viva-voce examination, two copies of the thesis in hard cover binding must be submitted. These hardbound copies shall include supplements if required in viva-voce examination, with a covering certificate of the Supervisor in prescribed proforma. For external examiner(s), the candidate shall provide additional hard bound copies of the supplement.

17. Thesis Evaluation:

(a) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed Performa within six weeks of the date of receiving the thesis.

(b) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.

(c) Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:

(i) the discovery of facts; or

(ii) a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his opinion on the candidate's capacity for critical examination and sound judgment.

(d) All examiners will submit the reports on the prescribed form clearly stating one of the following:

(i) Recommended for the award of the degree of Doctor of Philosophy: Highly recommended.

(ii) The thesis is recommended for the Oral defense subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or

(iii) The candidate be allowed to resubmit his thesis in a revised form, or

(iv) Not recommended

(e)The Examiner shall enclose a detailed report of about 200 or 300 words (or if necessary a longer report) on the thesis, along with the evaluation form, in dictating the standard of Thesis attained in terms of Originality of work and Publications quality ; the nature and details of the revision to be made in the thesis, Suggestions / Queries from Examiners on the Thesis; Questions to be raised in the Final viva voce ; critical points and basis for rejection of the thesis.

(f)The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for oral defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.

(g)The reports of all examiners shall be counted as one report.

(h)If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense.

(i)In case one of the reports recommends revision of the thesis, Clause 18 shall be applicable, and the candidate will have the option to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiners for their recommendations.

(j)If two of the three reports recommend revision of the thesis, the candidate will be given opportunity to revise the thesis accordingly and resubmit it normally within a period of one year for the evaluation by the same set of examiners.

(k)If one of the reports recommends rejection, the comments and queries in the report, shall

be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate and his thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected.

(l)If two of the three reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.

(m)If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after three months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed. In case the fourth examiner recommends rejection or the candidate does not accept revision, the thesis shall be rejected.

(n)Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.

(o)In case of ambiguous recommendations by the examiner, the Office of Dean (PG & Ph.D.) will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.

18. Re-submission of Thesis:

(a) In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be payable by the candidate.

(b) The revised thesis may be submitted normally in one year from the date of intimation for resubmission.

19. Oral Defense Examination (Viva-Voce):

(a) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted Committee herein after referred to as the Oral Defense Committee (ODC). The date and time of the viva-voce shall be duly notified by COE to enable the interested faculty members, staff members and students to attend it.

(b) No examiner of viva-voce should be called for viva-voce at least for next Six Months

(c) Composition of ODC:

(i) For the candidates who get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be

(a) Dean of respective School - Chairperson

(b) Supervisor(s)/Co-Supervisor(s)

(c) External Examiner

(ii) In case of non-availability of the External Examiner for conducting the Viva voce examination, the next person on the approved panel of examiners shall be appointed by the Dean (Research) ODC.

(d) COE shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the candidate at least fifteen days in advance.

(e) In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present.

(f) Soft copy of thesis shall be uploaded on UGC portal.

(g) The ODC shall give its recommendations in the prescribed Performa. The ODC shall have the following options for its recommendations:

(i) PhD. degree be awarded for the reasons to be recorded

(ii) PhD. degree be awarded. However, the candidate should prepare a supplement to be added to the thesis document as specified in the report of ODC and or textual corrections, if needed.

(iii) PhD. degree be not awarded for the reasons to be recorded in the report.

(h) In case of difference of opinion among the members of ODC, separate reports shall be submitted.

(i) COE shall collect the report(s) of ODC in a folder, which will also contain,

(i) A copy of the thesis along with the Supplement, if required, and

(ii) All the reports of the examiners of the thesis.

(j) The recommendations of the ODC shall be submitted to the Vice-Chancellor through Dean (PG & Ph.D) for final decision, which shall be reported to RAC and the Academic Council.

(k) If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for his decision.

20. Attendance:

For PhD. students, the minimum requirement of attendance for completing the Course Units, prescribed by DC, shall be the same as laid down in the Attendance Regulations for other students unless specified otherwise.

21. Passing Grades:

For PhD. students, the minimum passing grade in each Course Units is B.

22. Cancellation of Registration:

Registration of a candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor:

(a) If his academic progress is found unsatisfactory in three consecutive monitoring reports.

(b) If he absents himself for a continuous period of six weeks without sanction of leave.

(c) If he withdraws from the PhD. program and his request is duly forwarded by the Dean of School/Registrar.

23. Disciplinary Regulations:

If a PhD. candidate is found to be involved in an act of misconduct, misbehavior and/or indiscipline, disciplinary action will be taken by the University as per Regulations relating to maintenance of Discipline by students.

24. Award of Ph.D. Degree:

(a) A Ph.D. candidate shall be eligible for award of Ph.D. degree at Convocation after approval of the Vice Chancellor.

(b) On successful completion of the evaluation process announcements of the award of the Ph.D. the Office of the Dean (PG & Ph.D) shall submit a soft copy of the Ph.D. thesis to the Chief Librarian within a period of 30 days for onwards transmission to the UGC for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities/universities. Hard copy of the same will be placed in Central Library of the University.

25. Issuance of Provisional Certificates:

After approval of the Vice Chancellor, the candidate shall be issued a Provisional Certificate for having completed the requirement of the degree on the condition that the candidate has submitted two hardbound copies of the final version of his thesis and has cleared all the dues.

26. Residual Clause:

Not with standing anything contained in these Regulations, all categories of candidates shall be governed by the applicable Regulations and Guideline of the University.

27. Composition of DC and Its Functions:

(a) The DC shall comprise Supervisor(s), two other faculty members in the related field (nominated by the Dean of the concerned School/Research Centers). Each member of DC (except ex-officio member) must possess an earned PhD degree. One member of DC will be nominated from other Institutions than University. The supervisor will be the convener of DC. Final approval for DC has to be taken from SRC.

(b) DC shall perform the following functions:

- (i) review the research proposal and finalize the topic of research
- (ii) propose the domain specific course work to be completed by the scholar
- (iii) periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.
- (iv) conduct comprehensive examination on completion of course work consider and approve the synopsis of the thesis when submitted and recommend a panel of the examiners for the evaluation of the thesis

28. Composition of SRC and Its Functions:

(a) The composition of the School Research Committee (SRC) will be as under:

- (i) Dean of the School - Chairperson
- (ii) Four faculty members nominated by the Dean of respective School All members must have PhD. degrees.

(b) The functions of School Research Committee (SRC) shall be as under:

- (i) scrutinize applications in executing the Ph.D admission process
- (ii) constitute DC for each candidate
- (iii) approve the proposed research plan of the candidate as approved by DC
- (iv) perform such functions as are required for operationalization of the Ph.D program subject to the overall supervision and guidance of the University Research Committee (RAC)
- (v) approve the long abstract of the thesis on its completion and the final title of the thesis.
- (vi) consider the recommendation of DC for action as required.

(c) SRC shall meet as and when necessary.

(d) Fifty percent of the membership shall form the quorum for the meeting.

- (e)The tenure of members of the SRC other than the ex-officio members shall be two years.
A member may be re-nominated for another term.

29. Research Advisory Committee (RAC)

- (a)The role of RAC is to formulate and lay down policy guidelines for the conduct of PhD. program and to ensure high standards of research work.

- (b)The composition of the Research Advisory Committee (RAC) shall be as follows:

- (i)Vice Chancellor – Chairperson
- (ii)Pro Vice Chancellor
- (iii)Dean (PG & PhD)
- (iv)Two external experts
- (v)Two Deans
- (vi)Two faculty members
- (vii)Controller of Examinations

- (c)The term of office of the members (other than ex-officio members) will be two years.

- (d)RAC will generally meet at least once in an academic year.

- (e)Fifty percent of the total membership shall form the quorum for any meeting.

- (f)The RAC shall perform the following functions:

- (i) formulate policies related to Ph.D. program.
- (ii) monitor research indicators for such evaluation.
- (iii) review and recommend areas/themes/topics for research.
- (iv) consider and approve the recommendations of SRC including waivers and exemptions from any of these regulations.
- (v) delegate any of its functions to the concerned SRC.
- (vi) perform work related to research and development in the University

30. The ACT of Plagiarism :

- (a)In the case of scholars who have committed the act of plagiarism, his/her Thesis/degree shall be forfeited and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other programme in the University.

- (b)For the abatement of above such action, the recognition of his/her Supervisor as a research supervisor shall be withdrawn for a period of five years.

31. Redressal of grievance

- (a)In case of any dispute between a candidate and his Research Supervisor, the Committee consisting of the following shall examine the matter and report to the VC of the University , whose decision shall be final.

- i. Dean of the Faculty concerned (Chairman);
- ii. Vice Chancellors Nominee

iii. Dean PG & PhD (If the complaint is against Head/the Dean, he shall not participate in the proceedings of the meeting. In that case, additional member/s may be appointed by the Director to replace them.)

(b)The report shall include, among other things, specific recommendations. The report shall be submitted to the Director of institute.

32. Residual Provisions

(a)Any person who himself or any of his relatives, as defined below, is a candidate under consideration shall not participate at any level of the decision-making process: Spouse, son, daughter, brother, sister, spouse's brother/sister, brother's son/daughter, sister's son/ daughter, first cousin, grandson, grand daughter.

(b)The Vice Chancellor may grant exemption in exceptional cases, from the operation of any of the Regulations, where necessary in special cases with valid reasons and without diluting academic standards.

(c)Notwithstanding anything stated in these Regulations, for any unforeseen issues arising, and not covered by these Regulations or in the event of differences of interpretation, the Vice- Chancellor may take a decision, after obtaining, if necessary the opinion/advice of a committee consisting of any or all the Deans/other officers of the University. The decision of the Vice-Chancellor shall be final.