

Version 7.0

REGULATIONS FOR RESEARCH DEGREE PROGRAMMES

Ph.D. & Post-Doctoral Programmes

March 2015

(Amended in August 2024)

**University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree)
Regulations, 2022**

**{In supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree)
Regulation, 2009, notified in The Gazette of India [No. 28, Part III- Section 4] for the week July 11-July
17, 2009 and 2016}**

REGULATIONS FOR DOCTOR OF PHILOSOPHY (Ph.D.) AND POST-DOCTORAL PROGRAMMES

1. DEFINITIONS

- (a) **"Act"** means the Haryana Private Universities Act, 2006
- (b) **"Academic Expert Committee"** shall mean the Committee constituted by DRC for the Post-Doctoral Research Degree Programmes.
- (c) **"Applicant"** shall mean an individual who applies on a prescribed application form for admission to M.Phil/Ph.D./Post-Doctoral Degree Programme of the University.
- (d) **"Candidate"** shall mean a person registered for M.Phil/Ph.D./Post-Doctoral Degree Programme.
- (e) **"CoE"** shall mean Controller of Examinations of the University.
- (f) **"Co-Guide"** shall mean an additional Guide from the University Teaching Department/Constituent Unit or an outside organization approved by URIC on the recommendations of DRC, to help in the accomplishment of the research work of the candidate.
- (g) **"Comprehensive Examination"** shall mean a comprehensive examination 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.
- (h) **"Course Work"** shall mean course units prescribed by DRC to be completed by a candidate towards fulfillment of requirements of M.Phil/Ph.D. degree programme.
- (i) **"Credit"** shall mean a number indicating the weightage 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.
- (j) **"Departmental Research Committee (DRC)"** shall mean a Research Committee of the Department/Constituent Unit of GD Goenka University.
- (k) **"Department"** shall mean a University Department (School/Research Centers) established by the University to carry out teaching and/or research.
- (l) **"Full-time Candidate"** shall mean a candidate registered for a M.Phil/Ph.D./Post-Doctoral degree programmes devoting full time for completing the requirements of the programme.
- (m) **"Guide"** shall mean a member of the academic staff of the University/Constituent Unit, approved by URIC on the recommendations of DRC to guide/supervise the research work of the candidate.
- (n) **"HOI"** shall mean the Head of Institution i.e. University Teaching Department (School)/Constituent Unit of the University.
- (o) **"Minimum Registration Period"** shall mean the minimum length of time span prescribed by the Academic Council required for research degree programmes.
- (p) **"M.Phil Degree"** shall mean Master of Philosophy degree of GD Goenka University.
- (q) **"Oral Defense Committee (ODC)"** shall mean a committee constituted for the oral examination of an M.Phil/Ph.D. thesis.
- (r) **"Part-time Candidate"** shall mean a candidate who is registered for the M.Phil/Ph.D./Post-Doctoral Degree devoting only a part of his time towards the pursuit of M.Phil/Ph.D./Post-Doctoral Programme while discharging his official/employment obligations.
- (s) **"Ph.D."** shall mean the degree of Doctor of Philosophy of GD Goenka University.
- (t) **"Post-Doctoral Degree"** shall mean the degree of Doctor of Letters (D.Litt.)/Doctor of Science (D.Sc.)/Doctor of Laws (LL.D.) or any other post Ph.D. degree offered by GD Goenka University.
- (u) **"Registration"** shall mean formal enrolment of a candidate for M.Phil/Ph.D./Post-Doctoral Degree Programme.
- (v) **"Registration Period"** shall mean the length of time span commencing from the date specified by DRC after its approval of the research proposal of the candidate and ending on the date of submission of the thesis/dissertation.
- (w) **"Residency Period"** shall mean the minimum period for which a candidate must work at the Department/Constituent Unit on full time basis.
- (x) **"Sponsored Candidate"** shall mean a full time/part time candidate who receives financial support from the sponsoring organization/employer for pursuing his M.Phil/Ph.D./Post-Doctoral programme.
- (y) **"Standing Committee"** shall mean a committee constituted and empowered by University Research and Innovation Council for considering the reports of Oral Defence Committee on behalf of the University Research and Innovation Council.
- (z) **"Scholar Research Advisory Committee (SRAC)"** shall mean a committee constituted by the DRC for each Ph.D. candidate to scrutinize the research proposal, monitor the progress and

perform other functions specified in these Regulations and in Guidelines framed under these Regulations.

- (aa) **"University"** shall mean GD Goenka University, Sohna Gurgaon Road, Gurgaon, Haryana
- (bb) **"URIC"** shall mean University Research and Innovation Council to formulate policies for research degree programmes ensuring highest standards of research.

Notes:

- (i) *Definitions specified in the Act, the Statutes, the Ordinances and the Regulations shall apply unless the context requires otherwise*
- (ii) *In these Regulations wherever the context 'He', and 'His, Him' arises shall mean to imply 'He'/'She' and 'His, Him/Her' respectively.*

2. MANAGEMENT AND COORDINATION

- (a) Academic Programmes leading to the award of /Ph.D./Post-Doctoral Degrees shall be organized and managed by the Academic Council, University Research and Innovation Council (URIC), Research Committee of the Department (School)/Constituent Unit i.e. Department Research Committee (DRC), SRAC and any other Committee(s) constituted by the authority empowered under the Statutes, Ordinances and Regulations.
- (b) The overall coordination of the research programmes shall be done by the Dean, Research & Development.
- (c) Constitution, composition, functions and powers of these bodies will be as specified in the Act, the Statutes, the Ordinances and the Regulations.

3. DOCTOR OF PHILOSOPHY (Ph.D.)

3.1 Organisation of the Ph D Programme:

- (a) Programmes leading to the Degree of Doctor of Philosophy will be offered at the Departments/Constituent Units 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 University Research and Innovation Council (URIC).
- (c) The Ph.D. Programme shall be organized on full time and part time basis.

3.2 Minimum qualifications for admission:

The following are eligible to seek admission to the Ph.D. programme:

a. (1) Candidates who have completed:

i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy

layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(2) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its 10 equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- (b) An Equivalence Committee will be constituted by the Vice Chancellor to consider applications other than covered under section 3.2(a) who may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the URIC for its recommendation to the Academic Council for approval.
- c) If considered necessary, DRC may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the URIC for its recommendation to the Academic Council for approval.

3.3 Eligibility conditions for admission:

- A. It is desirable that the applicants, who possess minimum prescribed qualifications for admission to Ph.D. programme, should have an excellent academic/professional track record in the relevant discipline.
- B. The applicant for Part-time Ph.D. should:
 - a) prove to the satisfaction of DRC that his official duties permit him to devote sufficient time to research.
 - b) ensure that facilities for pursuing research are available at his place of work in the chosen field of research, where required.
 - c) The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research. I
 - iii. If required, he/she will be relieved from the duty to complete the course work

3.4 Application for Admissions:

- A. Applications for admission to Ph.D. programmes shall be invited through an open advertisement, for pre-determined intake for each programme in the prescribed form as laid down by the University.
- B. An 'Admission Committee' for Research Programmes shall be constituted by the Vice Chancellor to execute and oversee the entire admission process.
 - The admission to PhD will be a two-step procedure
 - i) Entrance Test (based on 50% Research Aptitude and 50% Domain knowledge) followed by a presentation to the DRC on applicant's research intent/aptitude
 - ii) Subsequent Interview by the panel of experts headed by the Vice Chancellor or his/her nominee
 - iii) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time

- iv) Provided that for the selection of candidates based on the entrance test conducted by the HEL, the weightage the entrance test and the performance in the interview/viva- voce as prescribed by UGC shall be given
- C. The university will display the lists of short listed candidates to be called for interview. The applicants are expected to be aware of the literature and issues in the area of their research interest.
- D. Admission is based on satisfying the requirements of minimum qualifications as mentioned in section 4.2 and performance in the Entrance Test and presentation.
- E. Entrance Test may be exempted for the following cases:
 - a. Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Programme through an Entrance Test. They will need to pass the interview.
 - b. Candidates who were admitted previously to a Ph.D. Programme at a recognized university through an Entrance Test and wish to transfer to the Ph.D. programme at GDGU. They will need to pass the interview.
 - c. students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview. They will need to pass the interview.
 - d. Candidates who are declared eligible as per their UGC-NET scores in categories 1/2/3
- F. In the case of international students, the Entrance Exam may be arranged online and subsequent presentation/interview be held through video conferencing. In addition, the students will normally be required to submit three letters of recommendation.
- G. 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.
- H. Non Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the programme in accordance with the policy guidelines laid down by the Government of India.
- I. DRC shall for each applicant, constitute a Scholar Research Advisory Committee (SRAC)

3.5 Constitution & Functions of Scholar Research Advisory Committee(SRAC):

- I. The Student Research Committee shall comprise Guide(s), two other teachers in the related area and HOI as the Chairman. Each member of SRAC must possess an earned PhD degree. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee
- II. SRAC shall perform the following functions:
 - 1. ascertain the availability of facilities required for the proposed research
 - 2. scrutinizing the research proposal of the candidate to ensure that the proposal is suitable
 - 3. recommend to DRC about the suitability or otherwise of the candidate and his proposal along with relevant details and documents
 - 4. prescribe the Course Units to be taken by the candidate, recommend exemption from the requirement with justification
 - 5. periodically monitor the performance of the work of the candidate and provide advice to candidate, where necessary
 - 6. Approve the long abstract of the thesis on its completion and the final title of the thesis.
 - 7. Recommend the panel of examiners.

3.6 Registration:

- i. The University after considering the recommendations of DRC shall approve or otherwise the registration of the candidate.
- ii. The University shall convey the approval for registration of the candidate to the HOI who will convey the approval to the candidate as per the guidelines issued by the University.
- iii. A summary report of the candidates registered for Ph.D. shall be duly sent to the Registrar and Controller of Examinations of the University for Enrolment of the candidate.

3.7 Registration date:

The date of regular registration of the candidates shall be the date of payment of fee.

3.8 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 DRC. Student who fails to fulfill the above conditions will not be re-registered and will cease to be a student.

3.9 Time Period Requirement for submission of the Ph.D Thesis:

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

A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

a.) Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.

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

3.10 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

3.11 Residency Period:

A full-time Ph.D. candidate is expected to devote his time in the Department/Constituent Unit during his entire period of study. However this period, in exceptional circumstances, can be reduced by URIC on the recommendations of DRC.

The minimum Residency Period for part-time Ph.D. 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.

3.12 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 DRC and with the approval of the University.

3.13 Course Credit Requirements and Registration for Courses:

- I. Departments/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 SRAC for a minimum period of one semester. The course work shall be treated as pre-PhD preparation.
- III. A minimum 12 credits course work is mandatory for all the students provisionally admitted/registered in the M Phil/PhD Programs as per the following details:
 - i. Research Methodology – 5Credits

- ii. Secondary Research – 5Credits
- iii. Research & Publication Ethics-2 credits

IV.However, SRC may assign additional courses to be taken by the student based on his/her research intent and academic background.

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

VI.A candidate will earn credits for a Course Unit only if 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	95 and above
A+ (Excellent)	9	85 and less than 95
A (Very Good)	8	75 and less than 85
B+ (Good)	7	65 and less than 75
B (Above Average)	6	55 and less than 65
F (Fail)	0	Less than 55
Ab (Absent)	0	Absent

VII.The candidates registered for Ph.D. Programmes 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 GDGU 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.Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the prescribed Ph.D. course work.

X. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

3.14 Comprehensive Examination:

I.Each candidate, normally after one semester, shall be required to take a comprehensive examination, which will test his comprehension or knowledge in his broad field of research and his academic preparation and potentials to carry out the research work. The comprehensive examination shall be a combination of both written and oral examination and shall be conducted by the Department/Constituent Unit. The candidate should secure at least Grade B i.e. 55% marks in comprehensive examination.

II.Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination. If a candidate is unsuccessful again, his Ph.D. registration shall be cancelled.

3.15 Guide(s)/Co-Guide(s)

I. Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

- II. Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- III. An external person with an earned Ph.D. degree and proven track record in the subject area may be appointed as a Co-Guide.
- IV. No person who himself is registered for Ph.D. degree at the University or any other Institution would be eligible to act as a Guide.
- V. At any given time, a Professor shall not have more than 8 PhD candidates, an Associate Professor more than 6 candidate, and an Assistant Professor more than 4 candidate registered under him/her, however, in such cases where teachers are retiring or leaving, the Vice Chancellor may decide to relax the norm on recommendation of the HOI.
- VI. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years. In other cases, a faculty member on retirement may continue as a Guide, if re-employed or appointed Emeritus Fellow; or, if the long abstract of the thesis has been submitted by the candidate. Appointment of another Guide, if necessary, will be as per provisions made in these regulations.
- VII. In case the Guide proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the DRC with the approval of the Vice Chancellor will appoint a new Guide.
- VIII. In case the scholar is at terminal stage of research when the Guide leaves, the allocation may take place as per the University's policy on change of guide at late stage of research, post the Vice Chancellor's approval.
- IX. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars

3.16 Appointment of Guide(s) /Co-Guide(s):

- I. The Vice Chancellor will approve the appointment of Guide(s)/Co-Guide(s) on the basis of recommendations of the DRC.
- II. The DRC with the approval of the Vice Chancellor may appoint more than one Guide(s)/ Co- Guide(s) not exceeding a total of three to guide a candidate. Normally, there should not be more than two Guides from within the Department/Constituent Unit.
- III. In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- IV. A faculty member appointed as a Ph.D. Guide/Co-Guide is normally expected to be available to a research candidate in the University Department/Constituent Unit till the thesis is submitted.

3.17 Performance Monitoring:

The academic/research progress of each candidate shall be monitored by DRC. For this purpose each candidate shall submit a progress report at the end of each Semester to the Chairman, DRC through his Guide(s). DRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade.

- I. If the progress is "unsatisfactory", on the first appearance of "U" grade, a warning would be issued to the candidate.
- II. If a candidate gets three "U's" or two successive "U's", his registration will be liable to be terminated.

3.18 Publication:

The student before submission of his Ph.D thesis/monograph are encouraged to published minimum of two research papers in high quality refereed journal for adjudication and is

expected to make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates, acceptance letters and/or reprints

3.19 Long Abstract(Synopsis):

- I. On completion of research work, the candidate shall submit to DRC through Guide(s), eight copies of the long abstract of his thesis.
- II. DRC shall, in a meeting in which the candidate shall be required to be present, scrutinize the long abstract for approval and approve the title of the thesis after its revision, if necessary. The candidate shall then be excused and DRC shall prepare panel(s) of examiners as specified in the Guidelines for Research Degree Programmes.
- III. The DRC will forward the long abstract with its recommendations to the University Research and Innovation Council for appointment of the thesis examiners.
- IV. If a candidate fails to submit his thesis within four months of the approval of long abstract, he shall be required to submit a fresh abstract. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Head of Department/ Constituent Unit may, on the recommendations made by the DRC and on individual merits of each case, grant him an extension of not more than two months.

3.20 Panel of Examiners for Ph.D.:

- I. A Ph.D. thesis shall be evaluated by three examiners, two of whom shall be external experts and the third shall be guide or guides (to be counted as one examiner). Wherever possible, At least one of the External Experts should be from outside the state/country.
- II. The DRC shall prepare the panel of examiners and the HOD shall submit the panel of examiners to Controller of Examinations for seeking approval by the Vice Chancellor.

3.21 Thesis Preparation and Submission:

- I. The thesis shall be written in English or in any other language, format and style as approved by the DRC.
- II. No part of thesis shall have been submitted for the award of any other degree or diploma.
- III. 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.
- IV. Prior to the submission of the thesis, the student shall make a pre – Ph.D. presentation in the department that may be open to all the faculty members and research students for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the Guide(s).
- V. At the time of submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- VI. 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 guides in prescribed proforma. For external examiner (s), the candidate shall provide additional copies of the supplement.

3.22 Thesis Evaluation:

- I. 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.
- II. 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

- III. Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
 8. the discovery of facts; or
 9. 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.
- IV. All examiners will submit the reports on the prescribed form clearly stating one of the following:
 10. The thesis is recommended for the award of Ph.D., or
 11. The thesis is recommended for the award of Ph.D. Degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination ,or
 12. The candidate be allowed to resubmit his thesis in a revised form, or
 13. The thesis be rejected.
- V. The examiner's reports shall be forwarded to the Guide(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.
- VI. The reports of all internal examiners shall be counted as one report.
- VII. If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense.
- VIII. In case one of the reports recommends revision of the thesis, Sub-Clause (d)(iii) of Clause 4.22 shall be applicable, and the candidate will have the option to revise the thesis within six months. The revised version of the thesis would be sent to all the examiners for their recommendations. If the candidate does not agree for revision, he may ask for appointment of a fresh examiner, under the provision (j) below.
- IX. 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.
- X. 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.
- XI. 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.
- XII. The reports of all the examiners will be sent to the new examiner without revealing the identity of the examiners along with the response of the candidate, if any, to these. The thesis shall be deemed to be acceptable if three out of four examiners recommend acceptance.
- XIII. 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.
- XIV. Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.
- XV. In case of ambiguous recommendations by the examiner, the HOI 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.

3.23 Re-submission of Thesis:

- I. 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;
- II. The revised thesis may be submitted normally in one year from the date of intimation

for resubmission.

3.24 Oral Defense Examination (Viva-Voce):

- (1) 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 hereinafter referred to as the Oral Defense Committee (ODC). The date and time and mode of the viva-voce shall be duly notified by HOI to enable the interested faculty members, staff members and students to attend it.
- (2) Composition of ODC:
 - (a) For the candidates who get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be
 - (i) HOI - Chairman
 - (ii) Guide(s)
 - (iii) Two faculty members with specialization in the related area to be appointed by HOI with the approval of the Vice Chancellor.
 - (b) For candidates who do not get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be
 - (i) HOI - Chairman
 - (ii) Guide(s)
 - (iii) External Examiner
 - (c) 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 to be on ODC.
- (3) HOI 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.
- (4) 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 HOI, questions asked by others who are present.
- (5) The ODC shall give its recommendations in the prescribed Performa. The ODC shall have the following options for its recommendations:
 - (i) Ph.D. degree be awarded for the reasons to be recorded
 - (ii) Ph.D. 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 textural corrections, if needed.
 - (iii) Ph.D. degree be not awarded for the reasons to be recorded in the report.
- (6) In case of difference of opinion among the members of ODC, separate reports shall be submitted.
- (7) HOI shall forward the report(s) of ODC to COE in a folder, which shall also contain,
 - (a) A copy of the thesis along with the Supplement, if required, in the report of ODC and
 - (b) All the reports of the examiners of the thesis.
- (8) COE shall obtain the recommendations of the Standing Committee of URIC on the report of ODC and its accompanying documents.
- (9) The recommendations of the Standing Committee shall be submitted to the Vice-Chancellor for final decision, which shall be reported to URIC and the Academic Council.
- (10) 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.

3.25 Attendance:

For Ph.D. students, the minimum requirement of attendance for completing the Course Units, prescribed by Student Research Committee, shall be the same as laid down in the Attendance Regulations for other students.

3.26 Passing Grades:

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

3.27 Cancellation of Registration:

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

II. If his academic progress is found unsatisfactory in three consecutive monitoring reports.

III. If he absents himself for a continuous period of six weeks without sanction of leave.

IV. If he withdraws from the Ph.D. programme and his request is duly forwarded by HOI.

3.28 Disciplinary Regulations:

If a Ph.D. 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.

3.29 Award of Ph.D. Degree:

- I. A Ph.D. candidate shall be eligible for award of Ph.D. degree at Convocation, after the Vice Chancellor has, on the recommendations of the Standing Committee of URIC, approved that the degree be awarded and the Academic Council has subsequently endorsed the approval.
- II. On successful completion of the evaluation process announcements of the award of the Ph.D., the Head of the Institution shall submit a soft copy of the Ph.D. thesis to the University within a period of 30 days for onwards transmission to UGC for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities / University. Hard copy of the same will be placed in Central Library.

4 POST DOCTORAL PROGRAMMES

4.1 Preamble:

The Degrees of Doctor of Letters/ Doctor of Science/Doctor of Laws are the highest Post-Doctoral degrees of this University in respective disciplines, which are awarded to a candidate who has earlier acquired a Ph.D. degree. This Post-Doctoral degree is awarded on the basis of original and independent research in a particular discipline that has made distinct contributions to the advancement of knowledge, as evidenced by publications in reviewed journals and are recognized by peers. The research work of the candidate must have been characterized either by the discovery of facts or by a fresh approach towards interpretation of facts or theories, or formulating a new theory/hypothesis and evince his capacity for original thinking, critical examination and sound judgment.

4.2 Administration of the Programme:

- (a) Subject to the general guidance of the Academic Council, research work in the University leading to Post-Doctoral degrees shall be overseen by the University Research and Innovation Council;
- (b) The Programme shall be offered on full time and also on part-time basis

4.3 Duration of the Programme:

The duration of the Programme is three years from the date of enrolment. Provided, however, that the University Research and Innovation Council may on the recommendations of DRC, permit a Post-Doctoral degree thesis to be submitted in less than three years from the date of enrolment.

4.4 Eligibility Conditions:

The applicant for enrolment must have

- (a) A Doctoral degree from a recognized Indian or foreign University in the relevant discipline and
- (b) At least three years teaching/research experience after the award of the Ph.D. Degree and active engagement in research work.

4.5 Enrolment for the Programme:

- (a) An applicant for enrolment under this programme shall submit his application in the prescribed form to the concerned Institution/Constituent Unit. Non Resident Indians (NRI), Persons of Indian Origin (PIO) and Foreign Nationals will, however, apply for admission to the programme in accordance with the policy guidelines laid down by the Government of India.
- (b) The applicant for enrolment to Post-Doctoral Programme shall submit the following:
 - (i) a list of his publications in standard format;
 - (ii) reprints of his three best papers;
 - (iii) a copy of his Ph.D. thesis
 - (iv) The research proposal recording an outline of the proposed research work, why it is important, the methodology to be used and the expected outcome of the research, specifically highlighting in what respect the research will advance the knowledge in the particular field of his Post-Doctoral work.
- (c) The DRC concerned shall constitute for each candidate an Academic Expert Committee (AEC) of four members including the HOI who shall chair the Committee. The remaining three members shall be reputed scholars in the relevant area, at least one of whom shall be from outside. The Academic Expert Committee shall consider and recommend the suitability of the applicant.
- (d) The Academic Expert Committee, while considering the proposal shall invite the applicant for detailed discussion, and make a recommendation with a provisional date of registration for starting of the Post-Doctoral programme.
- (e) The HOI after considering the recommendations of the Academic Expert Committee shall recommend to the University Research and Innovation Council for approval of the applicant for registration to the Post-Doctoral Research Degree Programme.
- (f) The date of registration for the Programme will be finalized by the DRC after the approval of the candidature by the URIC.

4.6 Preparation & Submission of Thesis:

- (a) Post-Doctoral candidates will not have guides and will do research on self-guidance basis.
- (b) The candidate shall submit his thesis, which must be on one main theme and should not be derived from a series of unconnected papers of the candidate.
- (c) The thesis shall comprise a holistic document to include in a self-contained manner the research done for the award of the post-doctoral degree. Publication of papers in reviewed journals is essential. Reprints of published papers and manuscripts of the communicated papers shall be appended in the thesis volume. The thesis shall be submitted in a format as prescribed in the guidelines.
- (d) The thesis shall be accompanied by a declaration signed by the candidate that he has composed the thesis independently and a certificate that the contents of the thesis have not previously formed the basis for the award of any other Degree or Diploma or Fellowship or any other similar title.

4.7 Seminar:

The candidate, before submitting his thesis and its long abstract, will present his work in a Seminar in which DRC, members of Academic Expert Committee and other faculty members, Ph.D. Scholars and Post-graduate students are expected to be present.

4.8 Long Abstract:

- (a) On completion of research work, the candidate shall submit to DRC four copies of the long abstract normally within two months after the presentation in the Seminar and also suggest the title of the thesis.
- (b) The candidate shall prepare a critique on his thesis and submit four copies along with the long abstract. The critique is an assessment by the candidate of his post- doctoral work to present the high points of his research, their significance in terms of original contribution and advancement of knowledge, and new area, if any, the research has opened up.
- (c) The HOI will convene a meeting of the Academic Expert Committee in which the candidate shall be required to be present. The Academic Expert Committee will scrutinize the long abstract for approval, study the critique, and approve the title of the thesis after its revision, if necessary.
- (d) The Academic Expert Committee shall recommend a panel of at least six examiners of both Indian and foreign origin. The HOI shall forward the panel of Examiners to the CoE.
- (e) The CoE shall get the panel approved by the Vice Chancellor.

4.9 Evaluation of Thesis:

- (a) The candidate shall submit four copies of his thesis, which shall contain its long abstract.
- (b) The CoE shall obtain consent from three examiners from the approved panel one of whom may be a foreigner, for evaluation of the thesis. He shall send the thesis to the Examiners for evaluation.
- (c) If two or all the three examiners declare that the work submitted by the candidate is **not** a distinguished and significant contribution to knowledge and does not merit the award of the Degree of Doctor of Letters/Doctor of Science/Doctor of Laws, the thesis will be rejected.
- (d) In case one of the examiners out of the three, declares that the work submitted by the candidate is not a distinguished and significant contribution to knowledge, the CoE will appoint a fourth Examiner Indian or foreigner, as the case may be and will forward the thesis to the fourth Examiner for evaluation. The recommendation of the fourth examiner shall be treated as final for award of degree.
- (e) The CoE shall place the recommendations of all the examiners before the University Research and Innovation Council. The Council, after considering the reports of the examiners may recommend that the candidate is worthy of the award of the Post- Doctoral degree. If the University Research and Innovation Council recommends that the candidate be asked to improve the thesis, the candidate shall be permitted to resubmit his thesis not earlier than six months and not later than one year, from the date notified by the CoE
- (f) The recommendations of the University Research and Innovation Council shall be placed before the Academic Council for information.
- (g) The candidate shall, if he publishes the thesis, state on the title page that it was a thesis approved for the award of the concerned degree from GDGU.

5 GENERAL PROVISIONS FOR RESEARCH DEGREEPROGRAMMES:

5.1 Issuance of Provisional Certificates:

After the endorsement of the Academic Council for the award of Ph.D./Post-Doctoral degree, 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.

5.2 Residual Clause:

- (a) Notwithstanding anything contained in these Regulations, all categories of candidates shall be governed by the Regulations and Guidelines.

- (b) Notwithstanding anything stated in these Regulations, for any unforeseen issues arising and not covered by Act, Statutes and Ordinances, or in the event of differences of interpretation, the Vice-Chancellor shall take a decision. The decision of the Vice-Chancellor shall be final.

5.3 COMPOSITION OF COMMITTEES AND THEIR FUNCTIONS:

5.3.1. DEPARTMENTAL RESEARCH COMMITTEE(DRC)

- (a) The composition of the Departmental Research Committee will be as under:
- (i) The Head of the Institution/ Constituent Unit - Chairperson
 - (ii) Maximum three Professors and two other faculty members of the Department by rotation
 - (iii) Maximum three external experts including those from other Departments/Constituent Units, nominated by the Vice Chancellor.

Provided, however that the total number of internal and external members shall not exceed six.

- (b) The functions of Departmental Research Committee shall be as under:
- (i) Invite and scrutinize applications for admissions in Ph.D. Programmes
 - (ii) Constitute Student Research Advisory Committee for each candidate
 - (iii) Perform such functions as are required for operationalization of the research degree programmes subject to the overall supervision and guidance of the University Research and Innovation Council(URIC)
 - (iv) Consider the recommendation of SRAC for action as required.
- (c) The Departmental Research Committee 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 DRC other than the Head of Institution/ Constituent Units shall be two years. A member can be re-nominated for another term.

5.3.2 UNIVERSITY RESEARCH AND INNOVATION COUNCIL(URIC)

5.3.2.1 Role:

The role of URIC is to formulate and lay down policy guidelines for the conduct of Ph.D. and Post Doctoral degree programmes, and to ensure high standards of research work in such programmes.

5.3.2.2 Composition:

- (a) The composition of the University Research and Innovation Council shall be as follows:
- (i) The Vice Chancellor or his nominee - Chairperson
 - (ii) Two external experts nominated by the Vice Chancellor - Members
 - (iii) Three Deans/Heads of Institutions/Constituent Units to be nominated by the Vice Chancellor -Members
 - (iv) Two teachers of Institutions/Constituent Units to be nominated by the Vice Chancellor -Members
 - (vi) CoE -Member
 - (vi) Dean R&D - Member Secretary
- (b) The term of office of the members (other than ex-officio members) will be two years from the date of nomination.
- (c) The University Research and Innovation Council will generally meet at least once in an academic year.
- (d) Fifty percent of the total membership shall form the quorum for any meeting.

5.3.2.3 Functions:

Subject to the provisions of the Act and Statutes, the University Research and Innovation Council shall perform the following functions:

- (a) Formulate policies related to and oversee research for Ph.D. and post-doctoral degree programmes;
- (b) Formulation of guidelines for registration of students, thesis supervision, programme design, and thesis evaluation;
- (c) Monitoring of research indicators for such evaluation
- (d) Review and recommend areas/themes/topics for research
- (e) Consider evaluation reports of Examiners for award of Ph.D. and Post-Doctoral degrees.
- (f) To consider and approve the recommendations of DRCs including waivers of and exemptions from any of these Regulations.
- (g) Delegation of any of its functions to the concerned DRC.
- (h) Preparation of the consolidated reports on research efforts of the University
- (i) Any other work related to research development and coordination.

6 RESIDUAL PROVISIONS

- (1) 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
 - (2) The Academic Council 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.
 - (3) 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 Heads of Departments/Heads of constituent Units. The decision of the Vice-Chancellor shall be final.
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RESEARCH SCHOLAR'S PROGRESS REPORT FOR THE SEMESTER: From _____ to _____

PART – A**(To be submitted by the Research Scholar for each semester separately in Duplicate)**

Note: Research candidate shall prepare a short report stating the progress made (i) since registration, (ii) in the last six months and (iii) targets to be met in the next six months in the light of the 'End of the Prescribed Period' of registration and submit the report along with this form to the Guide(s) to be forwarded to the Head of Institution. Student should photocopy this form and submit it to the Guide(s) after filling in the relevant columns along with an envelop to be sent through registered post to the Head of Institution in duplicate, original copy to be retained by the Institution and duplicate copy to be sent to University.

1. Name of ResearchScholar_____
2. Father's/Mother'sName_____
3. InstitutionRollNo._____EnrolmentNo_____
4. Date ofcandidacy_____
5. Status(pleasetick) (a) Full Time (b) Part Time (c) Sponsored (d) Foreign /PIO
6. Topic of Research (**in CapitalLetters**)_____

7. Details of ResidencyPeriod

Place	From	To

8. Name of Guide &Co-Guide

S. No.	Name	Designation	Department/ Institution	Address with Phone No.
1				
2				
3				

9. Grade obtained in approved courseunits:

S. No.	Course Code	Course Title	Credits assigned	Grade obtained	Session/ Semester	Overall Grade
1						
2						
3						
4						

10. Date of comprehensive examinations _____
11. Date of Seminar presentation_____
12. Date of submission of long abstract_____

13. Date of Oral Defence Committee_____
14. Date of submission of Thesis._____
15. Any other Information regarding work_____

Date_____

Signature of Research Scholar

16. **Performance Report**(If the space is insufficient please attach separate sheet)

PART – B

(To be filled by the Institution)

17. Report of the Guide(s)/Co-Guide(s)
- (a) Performance(Satisfactory/Unsatisfactory)_____
- (b) Recommendations _____
- _____

Date_____

Signature of Guide(s)

18. Report of Chairman, DRC:
- (a) Performance(Satisfactory/Unsatisfactory)_____
- (b) Specific Recommendations of Chairman DRC _____
- _____

Date_____

Signature of Chairman, DRC

PART – C

(Approval by Vice-Chancellor)

Recommendations of the Institution are submitted for consideration and approval.

(i) Approved

(ii) Not Approved



Vice Chancellor