



# Guru Gobind Singh Indraprastha University

Sector 16-C, Dwarka, New Delhi- 110078 Website: [www.ipu.ac.in](http://www.ipu.ac.in)

## VICE CHANCELLOR'S SECRETARIAT

GGSIU/VCO/2015

12/05/2015

The draft regulation under Ordinance 12 for programmes leading to the Degree of Doctor of Philosophy (Ph.D.) is enclosed for persual. It is requested to please go through the draft regulation and send suggestion, if any, to the Vice Chancellor Secretariat, latest by 19<sup>th</sup> May, 2015.

This issues with the approval of the competent authority.

(Alok Sharma)

Asstt. Registrar (VC Sectt.)

1. All Deans
2. All Directors
3. All Centre Heads
4. Faculty Incharge, USE
5. Pro -Vice Chancellor for information
6. Registrar for information
7. Incharge Server Room with the request to upload this regulation and notification on University Website.

With the request to please circulate the draft regulation amongst all the faculty members of the school for their suggestions and a receiving of all the faculty members of respective school(s) be kept for record.

# **DRAFT REGULATIONS UNDER ORDINANCE 12 FOR PROGRAMMES LEADING TO THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D)**

## **1. Short title, Application and Commencement**

- (i) These regulations shall be called Guru Gobind Singh Indraprastha University regulations for programmes leading to the degree of Doctor of Philosophy(Ph.D).
- (ii) These regulations are only meant to clarify and supplement the provisions of the ordinance 12 (henceforth referred to as the Ph.D ordinance) to facilitate its uniform interpretation and implementation.
- (iii) They shall apply to all the University Schools of Studies(USS) and Centres, Affiliated Colleges, Constituent Colleges and University Approved Research Centres, and will be displayed on the University website.
- (iv) The Ph.D. programme in each available discipline shall be run by the concerned USS, with the help of its School Research Committee (SRC) and Board of School of Studies (BOS) in compliance with clause 1 of the Ph.D. ordinance. The minutes of all meetings of SRC and BOS must be circulated to all members of SRC within one week of the meeting.
- (v) These regulations will come into force immediately from the date of notification on the University website.

## **2. Ph.D Supervisor**

- (i) A faculty member assigned as a Ph.D. supervisor to research scholar(s) in compliance with clauses 2 and 3 of the Ph.D ordinance, is normally expected to be available in the University, affiliated/constituent college, or approved research centre as applicable, to guide the research work of the scholar till the thesis is submitted. However, under unavoidable circumstances such as long leave, resignation, retirement or death, assignment of alternative supervisor(s) may be made under the provisions of clause 2 of the Ph.D ordinance as explained below:
- (ii) If the supervisor proceeds on long leave for less than 12 months, he/she can continue to be a supervisor. However, on his/her recommendation, the SRC may appoint a caretaker/joint supervisor.
- (iii) If the supervisor proceeds on long leave for more than 12 months, he/she can continue to be a supervisor, provided, a joint supervisor was assigned along with the Supervisor at the time of confirmation of registration for Ph.D. Otherwise, the SRC shall assign a caretaker/joint supervisor in consultation with the supervisor.
- (iv) If the thesis or the synopsis of the thesis of a research scholar has been submitted before the supervisor proceeds on leave, he/she shall continue to be the supervisor and only a caretaker supervisor shall be assigned by the SRC.
- (v) If the thesis is returned for major revisions and the sole supervisor is on leave, he/she shall be asked to specifically state whether he/she can effectively help the research scholar in carrying out the major revisions within a reasonable time. In case the sole supervisor fails to respond, or expresses his/her inability for any

reason, the caretaker supervisor, if he/she provides the requisite guidance in carrying out the major revisions, shall automatically be treated as the joint-supervisor of the research scholar.

- (vi) The authorship of a supervisor, joint supervisor or caretaker supervisor in a publication arising out of the doctoral work of a research scholar shall depend on his/her academic/research contribution and not administrative or other roles.
- (vii) Registration of any candidate under the supervision of his/her relative is prohibited.

### **3. Procedure for Admission**

- (i) The disciplines in which Ph.D admission is offered in any School shall be approved by the Academic Council of GGSIPU based on the recommendations of the SRC and BOS of that School/Centre.
- (ii) As detailed in clause 3 of the Ph.D ordinance, the Dean of the concerned School shall send the number of available vacant slots in the School along with the areas of research of prospective supervisors to the DRC. In addition, the Dean of the concerned School shall also send to the DRC the available vacant slots in the Affiliated Colleges, Constituent College and University Approved Research Centres in the concerned discipline(s) relevant to the USS.
- (iii) Advertisement shall be made in all the leading newspapers and on the University website by the office of the DRC in compliance with clause 3 of the Ph.D ordinance, along with a copy of the application form.
- (iv) Application forms shall be received by the office of DRC till the last date, which shall also classify and count them in a School-wise manner and sent to the Controller of Examinations (COE). The OMR for the application form shall be designed by the COE of the University in coordination with the DRC.
- (v) The admit cards for the Ph.D entrance test shall be generated and sent to all the applicants by the Examination branch.
- (vi) Research scholars shall be admitted through an entrance examination conducted by the University. It shall consist of a general aptitude-testing component (part A) common to various schools and a School/Centre/discipline-specific component (part B). It shall be a qualifying test and Examination branch shall conduct it for all the applicants in compliance with clause 3 of the Ph.D ordinance.
- (vii) The Ph.D admission committee of the concerned School shall be responsible for deciding the structure of the question paper, setting of the question paper in the School/Centre/discipline and evaluation of answer scripts, if required.
- (viii) A merit list shall be prepared on the basis of the marks scored in the entrance test subject to a minimum cut off of 40 percentile, and will be displayed on the University website by the Dean of the concerned School.
- (ix) The criteria for final selection of candidates shall be determined in advance by the SRC of the concerned School/discipline and shall be approved by the Vice Chancellor.
- (x) The number of candidates to be called for interview in each School shall be specified as per clause 3 of the Ph.D ordinance. The notification of the candidates

shortlisted for the interview in each School shall be displayed on the University website by the concerned School. It shall be accompanied by the list of prospective supervisors, along with their areas of specialization and hyperlinks to their profile pages on the University website.

- (xi) The candidates may interact with the prospective supervisors and shall give their choice of supervisors in their order of preference in writing at the time of the Ph.D interview for the allotment of supervisor by the Ph.D admission committee in compliance with clause 3 of the Ph.D ordinance.
- (xii) The Dean of the concerned School shall forward the list of research scholars admitted into the Ph.D programme along with the names of their allotted supervisors to the DRC to obtain the approval of the Vice Chancellor and to notify the list as per clause 3 of the Ph.D ordinance.
- (xiii) The research scholars who have been accorded provisional registration will have to fill the provisional registration form (available on the University website) and get it signed by their respective Ph.D supervisor and the Dean of the concerned School. The research scholars shall submit the completed signed original form to the office of the Dean of the concerned School, and use a copy of it to pay the fees.
- (xiv) The Dean of the concerned School shall send all the provisional registration forms as well as the fee slips of the selected research scholars to the DRC for the issue of enrollment number and identity cards.

#### **4.Course Work and Credit Requirement**

- (i) The DRC and Deans of USS shall make all efforts to ensure that the coursework for full-time research scholars is normally offered during weekdays and for part-time research scholars on weekends.
- (ii) As the operationalization of courses depends on the choice of research scholars, each School shall design courses in such a manner that they attract the choice of multiple research scholars within and across Schools/Centres/disciplines to promote interdisciplinarity.
- (iii) The courses that are run by each School in any given semester shall be limited only to such courses where at least 5 research scholars have opted. Schools that admit less than 5 research scholars in an academic year may pool their research scholars based on course compatibility. Under extraordinary circumstances, Schools may seek partial relaxation of this limit from the Vice Chancellor to not less than 2 research scholars per course for that particular semester only.
- (iv) Research scholars with M.Phil degree in Sciences or Humanities may be exempted by the SRC from the prescribed coursework for Ph.D. in GGSIPU, if the contents of the M.Phil degree are related to the proposed field of research for Ph.D. However, the research scholar shall have to pass the compulsory course in Research Methodology as specified in the UGC norms and in the Ph.D. ordinance of GGSIPU, unless the research scholar has already passed such a course during M.Phil. Similarly, any research scholar who has passed pre-Ph.D. coursework from any other University with at least 9 credits or equivalent, including the

compulsory course in Research Methodology as per the requirements under clause 4 of the Ph.D. ordinance of GGSIPU, may be fully or partly exempted from coursework in GGSIPU. However, such coursework should have been done in a UGC-recognized Ph.D. programme of a Government University/institute and in full compliance with UGC Ph.D. norms in force at the time of admission in GGSIPU. Further, such courses should be compatible with the discipline of Ph.D. for which admission was granted in GGSIPU, to the satisfaction of the SRC.

- (v) A research scholar shall be required to have a minimum attendance of 75% or more in all the courses taken together in a semester, out of which a shortage of attendance upto 5% may be condoned by the Dean of the concerned School for individual research scholars, for reasons to be recorded.
- (vi) A research scholar who has shortage of attendance shall be detained from appearing in the end-semester examination of the courses in which there was shortage of attendance. Such scholar shall have to repeat such courses with the next batch of research scholars. The Dean of each School shall send the complete attendance record along with the names of all research scholars who are short of attendance to the COE, atleast 4 calendar days before the start of the end-semester examination, for necessary action by the COE.
- (vii) The affiliated colleges and approved research centres that experience a mismatch between the coursework defined by the USS and their own research needs may develop their own courses with the approval of the concerned SRC and BOS, and eventually Academic Council through the DRC and the Controller of Examinations.
- (viii) If the affiliated colleges/ approved research centres cannot conduct course work at their premises, research scholars may be allowed by the concerned SRC to complete the course work at the respective University Schools/Centres as a temporary measure. Eventually, all such institutions that admit research scholars for Ph.D are expected to develop in-house capabilities for conducting course work as stipulated by the University.

## **5. Performance monitoring**

- (i) In compliance with clause 6 of the Ph.D ordinance, commencing from the date of confirmation of registration, every research scholar shall submit progress reports every six months in the prescribed format through the Supervisor to the Dean of the concerned School to be placed before the SRC. The SRC shall review the progress of the research scholar and the feedback and comments received during the presentation by the research scholar in the SRC meeting may be suitably incorporated in the work to be carried out by the research scholar in the future, in consultation with his/her Supervisor.
- (ii) The Dean of the concerned School shall send the minutes of the SRC meeting and progress report of all research scholars to the DRC, within one week of the meeting, with a copy of the minutes to the concerned supervisor(s).

## **6. Interdisciplinary Research**

In case of interdisciplinary Ph.D programmes involving multiple disciplines and supervisors within or across the University Schools of Study, both the disciplines shall be reflected side by side in the Ph.D certificate, with the first discipline being the one in which the research scholar was enrolled. For example, if a research scholar is registered for Ph.D in University School of Biotechnology and works on management of biotechnology with the help of a joint supervisor and possibly joint course work in the University School of Management, his/her Ph.D degree certificate shall mention the disciplines as “Biotechnology and Management”.

## **7. Financial Assistance to research scholars**

- (i) Research scholars who have cleared National/State Level examinations with JRF or equivalent shall get financial assistance from the concerned funding agency. The university shall pool the fellowship claims/utilization statements of all such research scholars on periodic basis as required and facilitate timely disbursement of fellowships to the research scholars. The university may pay the fellowships in advance from its own funds, pending release of the grants from the concerned agencies, provided the sanction orders for the concerned research scholars have been received from the agencies.
- (ii) Research scholars who are working in projects as Project Fellow, JRF, SRF, etc. shall get financial assistance from the designated projects.
- (iii) Research scholars, who do not have any financial assistance, may be supported by Non-NET UGC fellowships by the University. The University, depending on the grant available from UGC and the relevant regulations, if any, may determine the rate and number of fellowships under this category from time to time.
- (iv) Indraprastha University research fellowships shall be awarded by the University for selected research scholars in every School as per the norms notified from time to time.
- (v) The University shall provide a consolidated monthly assistance (“Short Term Research Fellowship”) to all full-time Ph.D research scholars who do not have a fellowship from any source for a period of one year only. No contingency grant to the research scholar shall be admissible during this period.
- (vi) University financial assistance shall not be provided where the research scholar is an employee availing paid study leave or is pursuing part-time Ph.D.
- (vii) Foreign research scholars must show proof of financial support for the entire duration of their Ph.D. Fellowships from their respective governments or any other national/international agencies that fund foreign research scholars shall be administered and disbursed by the University as per its own rules and regulations, unless specified otherwise by the concerned funding agency.

## **8. Pre-submission presentation and thesis submission**

- (i) A checklist of all the documents including their formats as applicable, and formalities to be completed at the time of submission of synopsis, Ph.D thesis

for evaluation and final thesis, shall be made available on the University web site.

- (ii) The contents of the thesis should be organized in the following manner:
  - (a) Inner cover page
  - (b) Certificate of the supervisor in the prescribed format
  - (c) Declaration against falsification/fabrication/plagiarism in the prescribed format
  - (d) Acknowledgements
  - (e) Abstract
  - (f) Table of contents
  - (g) List of figures/tables
  - (h) Body of the thesis
  - (i) References
  - (j) Appendices
  - (k) Reprints of the papers published
  - (l) Brief bio-data of the author
- (iii) The certificate of the supervisor shall contain “This is to certify that the work embodied in this thesis titled (full title of the thesis) is original and has been carried out by (name of the research scholar) under the supervision of (name of the supervisor/s). The work has not been submitted, in part or in full, for any other degree or diploma of this or any other University”. This certificate shall be signed by the research scholar, supervisor(s) and countersigned by the Dean of the School.
- (iv) The signed declaration by the research scholar shall contain “This is to certify that the work embodied in this thesis titled (full title of the thesis) is original and free from any form of falsification, fabrication and plagiarism. I shall be solely responsible for any such dispute arising out of my doctoral work”.
- (v) Thesis should be type-written on good quality A-4 size paper with line-spacing of 1.5 and margins of 1.5-2 inches on the left side for binding and 1 inch for the remaining sides.
- (vi) Suitable reproduction of Indian-ink diagrams should be used. Photographs should be suitably mounted on the same quality paper as the thesis.
- (vii) References should be given in a style in the text and in bibliography consistent with a standard journal in the field. Ideally, research scholars from each School should follow the same format.
- (viii) The outer cover and the inner cover page of the thesis should contain the following:

Title of the thesis  
Submitted in partial fulfilment of the requirement for the award of the degree of  
Doctor of Philosophy

By  
Student Name  
Enrollment Number



Name of the School  
Guru Gobind Singh Indraprastha University  
Delhi.  
(Year of Award)

- (ix) After the conduct of open viva-voce examination, two copies of the final thesis in maroon colour hard cover binding must be submitted to COE, along with the no dues certificate in the prescribed format. The outer cover of the hardbound thesis should contain the content indicated in (viii) above. Besides, the following should be printed on the spine of the thesis:
- (a) Year of award at the top
  - (b) The author's name in the middle (last name followed by initials)
  - (c) Ph.D. at the bottom

#### **9. Measures against plagiarism, falsification and fabrication**

- (i) Any research is only as good as its documentation, and authenticity as well as accuracy of documentation is of paramount importance, whether in a pre-registration proposal, progress report, pre-submission synopsis, final thesis, publications, presentations or any other form of claims made to the academia, government, industry, media, or public at large. Violation of authenticity and accuracy can take many forms, including plagiarism, falsification and fabrication of results/data/claims, impersonation/inappropriate authorship, etc.
- (ii) This university is committed to ensure the authenticity and accuracy of the research record and expects the same from every research scholar in all communications of his/her research, especially in written form. For this purpose, the guidelines followed widely across the world may be adopted, such as those issued by the Committee of Publishing Ethics



(publishingethics.org), or on the websites of publishers such as Springer, Elsevier, Macmillan etc., or even of the sellers of anti-plagiarism software such as Turnitin, iThenticate etc.

- (iii) The DRC shall ensure that research scholars and faculty members are trained in best practices of research documentation/publishing/communication, including how to avoid unethical publishing practices and in the usage of anti-plagiarism software as frequently as needed, but at least once every academic year.
- (iv) All written submissions of the research scholars must be provided in both electronic (word/pdf) and hard copy forms. The electronic file shall be scanned using anti-plagiarism software in the text and also critically examine non-text contents such as tables, figures, images, drawings, flow-charts etc., to ensure that the submission is free from any unethical content/practice, prior to final submission/approval/publication.
- (v) This university is also committed to make electronic versions of all thesis/dissertations/publications available online in public domain, in addition to providing public access to the hard copies in the library.
- (vi) The research scholar shall submit the anti-plagiarism scanning report of the complete thesis at the time of submission of the thesis for evaluation.
- (vii) The author(s)/research scholar(s) shall be held responsible for any such document found to have unethical content/practices including, but not limited to plagiarism, falsification and fabrication of results/data/claims, during or even after the award of Ph.D. Such publications/theses/dissertations shall be withdrawn by the university, regardless of their consequences to their authors, including termination of Ph.D. registration or withdrawal of their Ph.D. degrees, if awarded. Such scholars may also be debarred from admission to the same or any other programme in the university.

#### **10. Appointment of Examiners**

- (i) The examination branch will contact the examiners appointed by the Vice Chancellor within two weeks and take their consent for examining the thesis at the earliest. If the examination branch does not receive the consent from the appointed examiner within two weeks despite reminders, or if one or more examiners so appointed declines to examine the thesis, alternative examiner(s) shall be appointed by the Vice Chancellor out of the approved panel. In case the panel gets exhausted, the SRC of the School/discipline shall recommend additional names.
- (ii) The Examination Branch may send all communications to the examiners, viz. request for consent, as well as subsequent sending of Ph.D thesis for evaluation and receiving report, electronically through email/fax and/or through post as appropriate and follow-up telephonically.

#### **11. Oral Defence**

The oral defence and open viva voce shall be held during working hours at the University premises with a prior circular atleast 5 days in advance, to facilitate the participation of all the faculty, research scholars, students and others.

**12. Power to modify regulations**

Notwithstanding anything contained in the above said regulations, Vice Chancellor reserves the right to modify any of the above said regulations.

## CHECKLIST FOR SUBMISSION OF Ph.D. SYNOPSIS

1. Name of Research Scholar:
2. Enrolment Number:
3. Contact number and Email of the Research Scholar:
4. Category of registration: Full-Time/Part-time
5. Date of Provisional registration:
6. Date of confirmation of Ph.D. registration:
7. Discipline of Study:
8. Name of School:
9. Name and contact information of Supervisor(s)/Joint Supervisor (if any):
  - (i) Name : (ii) Name :
  - School: School:.
  - Address: Address:
  - Phone: Phone:
  - Email: Email:
10. Date of approval of pre-submission by SRC:
11. SRC minutes of pre-submission attached: YES
12. 8 copies of pre-submission synopsis attached: YES
13. Panel of examiners attached (in sealed cover): YES
14. Copy of fee slip for submission of Ph.D thesis attached: YES

Date: Signature of Research Scholar

Date: Signature of Supervisor

Date: Signature of Dean of the School

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**For Office use only (Examination):**

**Date of Receipt of Synopsis:**

**Dealing by-**

**Signature:**

## **CHECKLIST FOR SUBMISSION OF Ph.D. THESIS FOR EVALUATION**

1. Name of Research Scholar:
2. Enrolment Number:
3. Contact number and Email of the Research Scholar:
4. Category of registration: Full-Time/Part-time
5. Date of Provisional registration:
6. Date of confirmation of Ph.D. registration:
7. Discipline of Study:
8. Name of School:
9. Name and contact information of Supervisor(s)/Joint Supervisor (if any):

(i) Name :	(ii) Name :
School:	School:.
Address:	Address:
Phone:	Phone:
Email:	Email:
10. Date of approval of pre-submission by SRC:
11. Date of submission of soft-bound thesis to COE:
12. 3 copies of thesis in soft-binding along with one copy on electronic media in MS word/PDF format as per University guidelines.
13. Copy of minutes of the SRC meeting if time for thesis submission beyond 3 months after the date of approval of pre-submission presentation by SRC.
14. Approval of the competent authority if time for thesis submission beyond 6 months after the date of approval of pre-submission presentation by SRC.
15. Anti-plagiarism scanning report of the complete thesis.

Date:

Signature of Research Scholar

Date:

Signature of Supervisor

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**For Office use only (Examination):**

**Date of Receipt of thesis:**

**Dealing by-**

**Signature:**

**CHECKLIST FOR SUBMISSION OF FINAL Ph.D. THESIS AFTER ORAL  
DEFENCE**

1. Name of Research Scholar:
2. Enrolment Number:
3. Contact number and Email of the Research Scholar:
4. Category of registration: Full-Time/Part-time
5. Date of Provisional registration:
6. Date of confirmation of Ph.D. registration:
7. Discipline of Study:
8. Name of School:
9. Name and contact information of Supervisor(s)/Joint Supervisor (if any):
  - (i) Name : (ii) Name :
  - School: School:
  - Address: Address:
  - Phone: Phone:
  - Email: Email:
10. 2 hard-bound copies of the thesis along with one copy on electronic media in MS word/PDF format as per University guidelines.
11. Certificate of incorporation of corrections/or suggestions, as suggested by examiners in the thesis evaluation report and/or oral defence.
12. Key word(s) for thesis for indexing purposes (minimum of 5 keywords)
13. No dues certificate in the prescribed format as available on the University website.

Date:

Signature of Research Scholar

Date:

Signature of Supervisor

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**For Office use only (Examination):**

**Date of Receipt of thesis:**

**Dealing by-**

**Signature:**