

Draft for amended ORDINANCE 12: GOVERNING PROGRAMMES LEADING TO DEGREE OF DOCTOR OF PHILOSOPHY

APPLICABILITY: This Ordinance shall apply to all programmes leading to the degree of Doctor of Philosophy.

1.0 DEFINITIONS

1.1 “**USS**” shall mean University Schools of Study, as specified in Ordinance 2.

1.1 “**Affiliated Colleges/ Institution**” shall mean an institution of higher learning affiliated by the University as per Ordinance 1 and approved for research work.

1.2 “**Approved Research Centre/Institute**” shall mean a Research Centre/Institute approved by the University for Doctoral/Post Doctoral research work.

1.3 “**BOS**” shall mean the Board of Studies of the School (USS) concerned, as defined in Ordinance 2.

1.4 “**College/Institute**” shall mean an academic institution maintained or admitted by the University to its privileges and includes an affiliated college/institute.

1.5 “**Caretaker supervisor**” shall mean a member of the academic staff appointed to act as the candidate’s supervisor in the absence of the supervisor before and/or after submission of the thesis.

1.6 “**COE**” shall mean Controller of Examinations of the University.

1.7 “**Degree**” shall mean the degree of Doctor of Philosophy (Ph.D) of the University.

1.8 “**Research Scholar**” shall mean a person registered for Ph.D and devoting adequate time for completing the requirements of this degree.

1.9 “**Joint supervisor**” shall mean a member of the academic staff of the University/any other outside staff, other than the supervisor, and approved by BOS on the recommendation of the SRC to guide/supervise the research work of the scholar and duly approved by Vice Chancellor.

1.10 “**Minimum Registration Period**” shall mean the minimum period for which a candidate must be registered, prior to the date of submission of the thesis.

1.11 “**Ph.D**” shall mean the degree of Doctor of Philosophy. It shall normally be a full-time degree, unless specified as part-time.

1.12 “**Registration Period**” shall mean the length of period commencing with the date of preliminary registration at the University and ending on the date of submission of the thesis, counting out any gaps.

1.14 “**supervisor**” shall mean a qualified/recognized faculty member / academic staff of the University, affiliated institution/approved research centre as stipulated in this ordinance.

1.15 “**SRC**” shall mean a School Research Committee consisting of Dean of the concerned School as Chairman, three Professors of the concerned School by rotation in order of seniority, one Associate Professor and one Assistant Professor by rotation in order of seniority. The term of all members will be one year. Proposed supervisor(s) and existing supervisor(s) may be invited members. All members of the SRC must be approved supervisor(s). The School may have more than one SRC depending upon the area of specialization, provided it is constituted by the Vice Chancellor in the same manner as above, with at least two common members in all such SRCs of the concerned school.

1.16 “**Ph.D Admission Committee**” of each school shall consist of four prospective supervisors with vacant slots for that admission session, including at least one from each cadre (i.e Assistant/Associate/Professor if available), preferably on a rotation basis and chaired by the Dean of the concerned school. The committee shall be approved by the Vice Chancellor. Other potential supervisors should also be called to participate in the interview by the Dean of the concerned school. This committee shall be responsible for the interview and allotment of selected Ph.D scholars in a particular academic session.

1.16 “**University**” shall mean Guru Gobind Singh Indraprastha University, New Delhi.

1.17 “**DRC**” shall mean Director of Research & Consultancy of the University.

1.18 “**Foreign Research Scholar**” shall mean Foreign Nationals or persons of Indian origin from abroad registered for Ph.D and willing to fulfill all the requirements for the award of Ph.D.

Note: In this Ordinance where-ever ‘He’ and ‘His’ occurs, these shall mean to imply ‘he/she’ and ‘his/her’ respectively.

2. Ph.D SUPERVISOR

2.1 Any faculty member holding a regular position in the USS or affiliating College or approved research centres of the university may become a supervisor provided that he/she has a Ph.D degree and evidence of 03 authored research publications/chapters in peer reviewed journals/books (with ISSN/ISBN) and/or patents granted. In case of faculty belonging to University Schools of Studies (USS) or Centres within the University campus, those possessing the above minimum qualifications shall automatically become supervisors. For all others, including affiliated colleges or approved research centres of the university etc., the names of all eligible faculty who qualify under the above criteria may be sent by their employers to the DRC of the University. The DRC shall forward them for consideration in the earliest forthcoming BOS meeting of the concerned discipline for scrutiny. If required, the BOS may recommend to the DRC to send an expert team to the institution of the prospective supervisor to inspect the facilities for research in the institution before recognizing its supervisors. The BOS shall allow a hearing to the prospective supervisor in every meeting in which his/her case is discussed. All the decisions of BOS in approving Ph.D supervisors in any institution other than USS shall require the approval of the Vice Chancellor. If an approved supervisor changes from one department/institution to another, he/she shall need a fresh approval as a supervisor. The DRC shall notify the names of such recognized supervisors from time to time, with due intimation to them, specifying the department/institution in which it is valid. The DRC shall also put up the list of all approved Ph.D supervisors on the university website and update the list regularly.

2.2 The maximum strength of students allocated to a supervisor shall depend on the designation of the supervisor (Professor-8, Associate Professor-6 and Assistant Professor-4 students), excluding supernumerary allotment. In case of joint supervision, the number of students enrolled will be counted as one for each of the joint supervisors. Once a registered student submits his/her Ph.D thesis, that slot will be counted as available for admission of a fresh student under that supervisor. A supervisor may fill no more than half the maximum permissible slots for Ph.D per academic year. For example, an Assistant Professor may take only upto 2 students/year, and Associate Professor may take only upto 3 students/year and Professor may take only upto 4 students/year, even if higher number of vacant slots are available with them.

2.3 In cases where a supervisor(s) retires, resigns, proceeds on leave/deputation exceeding one year, or where unforeseen circumstances necessitate redistribution/reallocation of a research scholar, the SRC shall appoint supervisor(s)/Joint supervisor(s)/caretaker supervisor as supernumerary allotment. This shall require the approval of the Vice Chancellor through the BOS. 2.5 In cases where the supervisor has a tenure of three years (or less) before retirement, a Joint supervisor with five years (or more) of service shall be mandatory for Ph.D registration. No one, either from the University Schools or any other institution, shall be allowed to become supervisor/joint supervisor after retirement. Those appointed as

supervisors before retirement can continue to guide the existing student(s) even after retirement, in the lab of the Joint supervisor.

2.6 Faculty members who have been sanctioned or have proceeded on deputation/lien/long leave of a year (or more) (at the time of the interview for Ph.D admission or allotment of supervisor) may not be included in the list of available supervisors in a School in that academic session..

2.7 Allocation of the supervisor for a selected student shall be decided by the Ph.D admission committee depending on the maximum permissible number of students per faculty member in mutual discussion with the prospective supervisor, research specialization and the research interest of the student. In case of interdisciplinary work, collaborative research projects, etc., the SRC may also approve a joint supervisor either from the same school, any other school/institution under the university or even outside the university. But the justification for the same will have to be recorded by the SRC at the time of confirmation of the Ph,D registration of the research scholar, and approved by the BOS. The same may be reported to the DRC.

2.8 The choice of the field of study, merit and the choice of the student, supervisor will be the basis of allotment of the supervisor by the Ph.D admission committee. The student may interact with the prospective supervisors and may give his/her choice of three supervisors in the order of preference in writing for the consideration of the Ph.D admission The Dean/Chairman of the Ph.D admission committee shall forward the list of admitted students and their allotted supervisor(s) to DRC for the final approval of the Vice Chancellor.

2.9 A research scholar may request in writing for a change of the supervisor(s), through the Dean of the concerned School to the respective SRC/BOS. The SRC/BOS, after considering the circumstances of such a request, may recommend for the change of supervisor(s) to the Vice Chancellor for approval.

3. PROCEDURE FOR ADMISSION

3.1 The admission shall be either on a full-time or part-time basis, to be offered as separate programmes as decided in advance by the concerned SRC and approved by the BOS of the concerned school. The Dean of each school shall seek an endorsement from all the faculty members through a circular regarding the number of vacant seats available with each of them in that academic year and forward the list to the office of DRC. Each prospective supervisor may decide on the number of seats that he/she may like to fill in a particular year within half of the maximum permissible strength and inform the Dean accordingly. For example, an Assistant Professor may take only upto 2 students/year, and Associate Professor may take only upto 3 students/year and Professor may take only upto 4 students/year.

3.2 The advertisement for admission shall be issued at least once and upto twice a year by the office of the DRC after seeking all the above details from the various University Schools/centres. The advertisement may clearly mention part-time and/or full-time Ph.D programmes as well as the number of vacant seats for Ph.D admission in various sub-disciplines in each of the University Schools.

3.3 If additional vacant slots arise after the advertisement and before the interview for Ph.D admission, they may also be filled up, provided that the total number of additional students to

be admitted to the Ph.D programme shall not exceed the advertised number of vacant slots for the school by 10%. The vacant slots may be filled up in the order of emergence of these slots.

3.4 The minimum eligibility for admission shall be Master's Degree (M.Sc./M.A./M.Phil./M.Tech./LL.M./M.D./M.S.) OR a post graduate degree approved by Association of Indian Universities/AICTE/ UGC/ MCI/ Bar Council/ Pharmacy Council etc., or any other equivalent qualification in the relevant field, to the satisfaction of Academic Council of the University, with not less than 60% marks OR B.Tech degree with 75% aggregate or equivalent grade point in the advertised or allied discipline from a recognized University, with 5% relaxation for SC/ST and persons with disability. The allied disciplines for admission to Ph.D in a particular School will be decided by the SRC of the respective School.

3.5 Employed candidates including permanent faculty members of the University Schools or affiliated institutions or approved research centres, who wish to seek Ph.D admission as full-time scholars, must obtain leave for a period of at least three years to fulfill the minimum registration period of the University. Candidates who need proof of selection to obtain leave from their employers may use the selection/admission list displayed on the university website for this purpose, but admission shall only be granted upon submission of the leave sanction letter in original.

3.6 Foreign nationals can also be considered for admission into the Ph.D programmes of the University Schools, over and above the maximum admissible strength for the admission session, provided they fulfill the above eligibility criteria. However, the total number of foreign students should not exceed 10% of the total admissible strength in that admission session. Foreign nationals must provide evidence for financial support and language competence suited to the School they wish to join.

3.7 Candidates shall be admitted to the Ph.D programme under following categories on the basis of their performance in the written test and/or interview:

Category I

Candidates with B.Tech, Masters or equivalent degree must appear in a written entrance exam conducted by the University. Based on the performance in the written test, the candidates shortlisted by the Ph.D admission committee to appear in the interview for admission to Ph.D shall be displayed on the university website by the Dean of the concerned school.

Category II

Candidates who have cleared a national level examination like CSIR/UGC-NET-JRF, DBT-JRF, ICMR-JRF, DST-INSPIRE or equivalent fellowship shall be deemed to have qualified the university's written test and can appear directly for interview. Candidates who have appeared in the above examinations but are awaiting results may also apply. However, they shall be required to produce a valid documentary evidence of having qualified for the fellowship during the interview for Ph.D admission. Candidates who have already initiated their fellowships in some other institutions and are interested to have their fellowships transferred to GGSIPU may also apply, provided the period of available fellowship is at least 4 years.

Category III

Experienced candidates of this category with at least one peer-reviewed publication may directly appear in the interview for Ph.D admission. They must also have a Master's degree with at least 55% aggregate marks or a B.Tech degree with at least 70% aggregate marks (or equivalent grade point), and at least two-years research experience in a reputed institution. Candidates with M.Phil degree with a minimum of 60% marks/equivalent grades and publication are also eligible under this category.

Category IV

Candidates holding research positions in sponsored projects for which grants have been received by GGSIP university (subject to selection by duly constituted committee as per the University norms for research projects) may directly appear in the interview for Ph.D admission, provided their project position is valid for at least 2 years.

Category V

Permanent faculty members who are in service in the University or any of its affiliated institutions and who have a minimum of three years' teaching/research experience may directly appear in the interview for Ph.D admission.

Category VI

Foreign nationals who possess the educational qualifications prescribed in 3.4 above are exempted from the entrance test for Ph.D admission. Their applications must be submitted to the Director of International Affairs on a prescribed proforma, along with the application fee, translated and attested copies of certificates, passport and a statement of purpose. Candidates will be shortlisted based on the criteria decided by the SRC of the concerned school, that may include the curriculum and marks obtained in the qualifying exam, statement of purpose, research compatibility, financial support, language competency, etc. The names of candidates shortlisted for interview shall be displayed on the university website. They shall be interviewed by the Ph.D admission committee of the concerned University school, along with the shortlisted students of all other categories. Their interviews may be held electronically, if they cannot appear in person. Once admitted, they shall be governed by the norms of Ph.D applicable to all students.

3.6 The syllabus for the entrance test shall be available on the website of the University.

3.7 The dates for entrance tests/interviews for admission to various University Schools shall be staggered to allow candidates with interdisciplinary interests to try for admission in more than one school if they so desire.

3.8 The entrance test shall be conducted by the university's examination branch from the syllabus of the relevant discipline in which admission is being sought. A merit list will be prepared on the basis of the marks scored in the entrance test and will be displayed on the university website by the examination branch of the university. The Ph.D admission committee of each school shall specify the number of students to be called for interview for each vacant slot, subject to a minimum of 3 and maximum of 8 students per slot.

3.9 The entrance test shall be conducted at least once and upto twice in a year and the eligibility of shortlisted candidates shall remain valid till the next entrance test is held or for

one year, whichever is earlier. The interviews may be held upto twice in a year, subject to the availability of seats as determined by the SRC, preferably within a month after the entrance exam.

3.10 Prior to the interview, the dates for the interview shall be notified on the university website along with the list of candidates in alphabetical order, by the respective schools. At the time of the interview, the candidates shall present and discuss their research interest/area.

3.11 The final merit list of the candidates along with complete documentation of their performance shall be forwarded by the Dean of the concerned school to the DRC for approval by the Vice Chancellor and expeditious display of the final selection list on the university website in a school-wise manner. There may also be a waiting list in the order of merit, if so decided by the Ph.D admission committee of the concerned school. Separate admission lists shall be displayed for full-time and part-time Ph.D programmes in the schools that offer both options.

3.12 The School reserves the right not to select students for all the vacancies advertised.

3.13 The selected/admitted students shall be accorded registration either as Full Time or Part-Time research scholar, as decided/notified by the Ph.D admission committee. Their registration shall be confirmed subject to the completion of the course work with requisite marks/grade and approval of the research plan by the respective SRC, as detailed below.

4. COURSE WORK AND CREDIT REQUIREMENT

4.1 The DRC shall be responsible to ensure that the Ph.D coursework and examinations are synchronized with the academic calendar of the university. The DRC shall also coordinate with the various schools offering the courses in this regard.

4.2 Research scholars registered for the Ph.D programme will be required to take four courses equivalent to 12 credits. Out of these, the scholar will have to pass in any of the courses worth at least 9 credits, including a course on research methodology, for confirmation of their Ph.D registration.

4.3 Each University School offering Ph.D admission may formulate its own courses and their contents as per the needs of their discipline with the approval of the concerned SRC and BOS. The affiliating institutions 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, subject to the approval of the Academic Council, through the DRC and the Controller of Examinations. Thus, all course work shall be conducted by the concerned schools/affiliated institutions/approved research centres with due intimation to the DRC as per the academic calendar of the university.

4.4 The courses may be offered either during the week or weekends, for full-time or part-time scholars, respectively. The list of courses being offered along with their syllabus, credits, whether offered during weekdays or weekends, name of the school offering the said course, name of the teaching faculty, classroom and other relevant details may be notified/displayed on the university website by the Dean of the concerned school offering the course, before the

start of the academic session/semester, with a copy to DRC. The DRC shall be responsible for notifying the consolidated list of courses being offered across the university ahead of the academic session/semester.

4.5 The research scholars, in consultation with their supervisors, can choose any course from those offered during the week or weekend, within or across schools, according to the need of their research work. All research scholars are required to do at least one compulsory course on research methodology based on research methods, instrumentation, computer applications, data search, presentation skills, writing skills etc.

4.6 If the Affiliated Colleges/ University Approved Research Centers cannot conduct course work at their premises, research scholars may be allowed by the concerned SRCs to complete the course work at the respective University Schools 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.

4.7 The course work should be normally completed within one to two semesters from the date of registration. The scholar shall be evaluated in all courses through a mid-term and an end-term examination (each of 50 marks) to be conducted by the concerned school offering the course. If a scholar is not able to pass a course with 50% marks, the student shall be allowed to reappear in the examination within the next 12 months as per the prevailing examination rules of the University. If he/she still fails in the examination, his/her registration stands cancelled.

5. CONFIRMATION OF REGISTRATION

5.1 After successful completion of the required course work, every research scholar registered for Ph.D shall be required to submit a synopsis of the proposed research and make a presentation of his/her research plan before the SRC.

5.2 The SRC shall assess the content and feasibility of the proposed research as well as the scholar's academic preparation and potential to carry out the proposed work and provide constructive comments and suggestions. Accordingly, the SRC shall either recommend the case as such to the concerned BOS for confirmation of registration, or, may ask the scholar to submit a revised synopsis and make a fresh presentation.

5.3 If the research scholar is asked to make a fresh presentation, he/she will ordinarily be allowed only one more attempt, unless the Vice Chancellor grants another attempt on the recommendation of the SRC and BOS. The registration of scholars whose research plan is not approved by the SRC may be cancelled.

5.4 After the approval of the synopsis and research plan of a research scholar, the case shall be submitted by the SRC to the BOS within a maximum period of one month for the confirmation of the Ph.D registration of the scholar. If an approval is not accorded by the BOS for reasons to be explicitly recorded in writing, the registration of the scholar will be cancelled, unless the Vice Chancellor grants the student an opportunity for reconsideration by the SRC and BOS, after submission of a fresh/modified synopsis.

5.5 After approval of the BOS, the Ph.D registration of the scholar shall be confirmed with effect from the date on which the BOS accorded its approval, or, from the date specified by

the BOS, whichever is earlier. A research scholar, whose Ph.D registration is not confirmed as described above within 24 months of his/her admission, his/her registration stands cancelled

5.6 The title of the synopsis and research plan approved by the SRC/BOS shall be the tentative title of the Ph.D thesis. However, the SRC may consider proposals for changes in the title with proper justification forwarded by the supervisor at the time of the pre-Ph.D presentation prior to thesis submission, and approve the final title of the Ph.D thesis.

5.7 A research scholar admitted to the university shall have to pay the fees as prescribed by the University.

6. PERFORMANCE MONITORING

6.1 During the tenure of Ph.D, full-time research scholars must spend at least 40 hours per week (20 hours per week for part time research scholars) on Ph.D research work. Most of this period should be in the school/university/field or as allowed by the supervisor. The concerned supervisor shall record the attendance of the scholar and report to the School/Department/Centre as needed.

6.2 The academic research progress of each scholar will be monitored by the concerned SRC at a 6-monthly interval, based on the progress report and oral presentation by the research scholar. The Dean shall collect and place the progress reports of all registered scholars before the SRC, duly forwarded by their supervisors with their comments on whether the progress of the scholar was good/satisfactory/poor. The SRC after having considered the progress report and oral presentation of each scholar shall recommend one of the following:

(i) Continuation of registration

(ii) Continuation of registration with a written warning to the scholar, which may include the steps necessary to improve his/her performance, identified in consultation with the supervisor(s). The second and final warning shall include the extension of minimum registration period for thesis submission by one year. If the scholar still fails to make progress to the satisfaction of the supervisor and SRC, the registration of the scholar may be terminated by a decision of the BOS based on the recommendation of the SRC, subject to the approval of the Vice Chancellor.

7. REGISTRATION PERIOD REQUIREMENTS

7.1 The minimum period of registration after which a scholar can submit his/her thesis shall be two years for full-time scholars and four years for part-time scholars, with effect from the date when his/her registration was confirmed as a Ph.D scholar.

7.2 The maximum period within which a research scholar must normally submit his/her thesis shall be 4 years from the date of confirmation of registration for full-time research scholars and 5 years for part-time research scholars. An extension of one year for submission can be granted by the SRC and BOS of the concerned school on a written request by the student and recommendation of the supervisor. Any extension beyond this shall require a written justification for the delay by the student and the supervisor. This justification, along with the recommendation of the SRC and BOS shall be forwarded as a special case to the Vice Chancellor for approval. In any case, the total period from the date of admission to the Ph.D

programme shall be no more than seven years for full time and eight years for part-time scholars. If the scholar is not able to submit his/her thesis within this period, his/her registration stands cancelled.

7.3 No student shall enroll for any other course of study that is not stipulated as an essential requirement for the Ph.D programme during the registration period.

7.4 Full time research scholars shall not undertake any employment or activity that amounts to violation of clause 6.1 above.

8. TERMINATION

The registration of a research scholar may be terminated under the following circumstances with the approval of the Vice Chancellor:

- (i) If he/she absents himself for a continuous period of six weeks without prior intimation/sanction of leave with the recommendation of the supervisor.
- (ii) If he/she resigns from the Ph.D programme and the resignation is duly recommended by the supervisor and accepted by the SRC/BOS.
- (iii) If he/she fails to renew his registration in terms of submission of fees/ successful completion of course work/ progress to the satisfaction of the SRC as defined in 6.2.
- (iv) If he/she is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the SRC, or any other statutory official/body authorized by the university.

9. FINANCIAL ASSISTANCE TO RESEARCH SCHOLARS

9.1 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 scholars on periodic basis as required and facilitate timely disbursement of fellowships to the 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 scholars have been received from the agencies.

9.2 Scholars who are working in projects as Project Fellow, Research Associate etc. shall get financial assistance from the designated projects.

9.3 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.

9.4 Indraprastha University research fellowships shall be awarded by the university for selected scholars in every school as per the norms appended to this ordinance.

9.5 University shall provide a consolidated monthly assistance (“Short Term Research Fellowship”) to all full-time Ph.D scholars who do not have a fellowship from any source for a period of one year only. No contingency grant to the scholar shall be admissible during this period.

9.6 University financial assistance shall not be provided where the scholar is an employee availing paid study leave or is pursuing part-time Ph.D

9.7 Foreign scholars must show proof of financial support for entire duration of their Ph.D Fellowships from their respective governments or any other national/international agencies that fund foreign scholars shall be administered and disbursed by the university as per its own rules and regulations, unless specified otherwise by the concerned funding agency.

10. LEAVE/ABSENCE

10.1 Every registered scholar shall report on a day to day basis to his/her supervisor, who shall decide whether the scholar needs to work within or outside the school/university or undertake outstation field work as needed. Such period of absence, including participation in seminars/workshops/conferences/symposia etc., shall be regarded as 'on duty' and not on leave. However, research 'on duty' outside the university for periods exceeding 1 month at a time shall require the prior written permission of the Supervisor and due intimation to the Dean of the School, subject to the ratification of the SRC and BOS.

10.2 During the entire tenure of a Ph.D, research work 'on duty' outside the university shall have an overall limit of 24 months for field work and 12 months for working at the institution of the Joint supervisor or collaborator or any other place assigned by the supervisor. Any further extension shall require prior approval of the Vice Chancellor based on the recommendation of the SRC and BOS.

10.3 The supervisor may grant leave of not more than 5 working days at a time out of the total leave due to the scholar as defined by the fellowship-funding agency or the University as applicable. Any leave beyond 5 working days would require prior written application by the Scholar, duly forwarded/recommended by the supervisor, to the Dean of the school for approval. All such cases will be subsequently reported to the SRC. The leave period shall be counted in the total period required for submission of the thesis stipulated in clause 7.2.

10.4 The Supervisor must report absence from research work by students due to illness, maternity leave or other circumstances to the SRC and BOS through the Dean of the school. Cases of neglect of research work and indiscipline that include unethical practices such as unauthorized absence, plagiarism and misrepresentation of data and irregularity must be recorded and reported by the supervisor to the Dean for placing before the SRC, the BOS and the Vice Chancellor for necessary action. Upon confirmation of the charges, the BOS may recommend appropriate action against the scholar to the Vice Chancellor, including cancellation of his/her admission or debarring him/her from taking admission in any course of study in the University.

10.5 Female scholars may be allowed maternity leave as per the prevailing UGC rules on the recommendation of the supervisor and approval by the Dean of the school. This period shall be counted in the total period required for submission of thesis as well as for fellowship purposes.

11. PRE-SUBMISSION PRESENTATION AND THESIS SUBMISSION

11.1 On completion of the research work, the scholar shall submit 8 copies of the pre-submission synopsis of his/her Ph.D thesis through the supervisor and make a presentation before the SRC. The Dean of the concerned school shall convene a meeting of the SRC

within one month of submission of the pre-submission synopsis and facilitate the presentation by the scholar. It may be attended by other faculty members and research scholars. Their feedback and comments may be suitably incorporated in the Ph.D thesis, in consultation with the supervisor.

11.2 The scholar shall submit his/her thesis within three months from the date of approval of pre-submission presentation by the SRC. However, in case a scholar fails to submit his/her thesis within the stipulated time and has suitable justification for the same, the Dean of the School may, on the recommendations of the SRC (or subject to SRC approval, as appropriate), grant an extension of not more than three months. In other words, the scholar may be allowed to submit his thesis within 6 months from the date of SRC's approval of the pre-submission presentation.

11.3 In case of issues related to intellectual property rights, the supervisor and the scholar shall take the necessary measures to ensure that the disclosures made in the pre-submission synopsis and presentation do not jeopardize their intellectual property rights.

11.4 A Ph.D scholar shall publish at least one first author research paper from the work carried out in his/her thesis in a refereed, indexed journal before submission of the thesis and produce evidence for the same in the form of an acceptance letter or a reprint.

11.5 The thesis shall be written in English as per the specified format and instructions.

11.6 The scholar shall certify that the work is free of any form of data falsification, fabrication and plagiarism and he/she shall be solely responsible for any such dispute, or plagiarism issue arising out of the doctoral work. The certificate for such a declaration by the student will be available on the university website. The scholar will also be required to submit a certificate (available on the university website) duly signed by the Scholar, Supervisor(s) and countersigned by the Dean in the prescribed format that the work embodied in the thesis is original and has been carried out by the author and that it has not been submitted in full or in part for any other Diploma or Degree of this or any other University.

11.7 The scholar shall also attach a Student Approval Form in the format obtained from the UGC for the grant of non-exclusive worldwide license for hosting and distributing their thesis in digital format in 'Shodhganga' or any other database designated for this purpose by the UGC.

11.8 The thesis must be a piece of original research work characterized either by the discovery of new facts, or by a fresh analysis/interpretation of known facts or theories. In any case, it should depict the scholar's overall intellectual ability for research. It must also be satisfactory in terms of its language and presentation.

11.9 Three copies of the thesis in soft binding along with one copy on Electronic media in MS word /PDF format must be submitted to the COE for evaluation. The scholar shall also submit a No Dues Certificate as prescribed by the university.

11.20 A checklist of all the documents to be readied by the student prior to the submission of Ph.D thesis shall be made available on the university web site:

12 APPOINTMENT OF EXAMINERS

12.1. The thesis shall be evaluated by three examiners independently and anonymously. For this purpose, the supervisor shall submit at least six experts in the subject area of research work, including at least two experts from outside State, for the approval of the SRC. The SRC may add or delete any of the name(s) proposed by the supervisor(s). The supervisor shall be responsible to provide the full contact details of each of the examiners, including postal address, email, phone, fax etc.

12.2 An examiner cannot be from the same laboratory/institution where the scholar is employed, or from the laboratory/institution/approved research centre to which the Supervisor and/or joint Supervisor of the scholar belongs. Further, a collaborator or co-author of the scholar or his/her supervisor or joint supervisor during the tenure of the concerned Ph.D scholar cannot be an examiner.

12.3 On receipt of the final title and pre-submission synopsis of the thesis approved by the SRC, the Dean shall send the panel of examiners as approved by the concerned SRC as described in 12.1, to the COE. The Vice Chancellor shall choose three examiners from the above panel for evaluation of each thesis, including at least one from outside the State.

12.4 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 one to two weeks, the next examiner may be contacted. In case one or more examiners so appointed declines to examine the thesis, another examiner shall be appointed by the Vice Chancellor out of the approved panel. In case the panel gets exhausted, the SRC shall recommend additional names.

12.5 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. The examination branch shall make all efforts for speedy evaluation of the Ph.D thesis.

13. EVALUATION

13.1 Evaluation of thesis

(i) Each examiner will be requested to submit to the COE, a detailed assessment report and his/her recommendations on a prescribed proforma within 4 weeks from the date of receipt of the thesis. The examination branch may send reminders after 1 month from the date of dispatch of the thesis, every 10 days, by email/ fax and/or through post, as well as follow up telephonically.

(ii) In the event that the assessment report is not received from an examiner within 3 months from the date of dispatch of the thesis, the Vice Chancellor may appoint another examiner from the approved panel of examiners for evaluating the thesis.

(iii) The examiners shall be required to state categorically whether in their individual opinion, the thesis should be:

- a) accepted for the award of Ph.D degree (subject to oral defence), or
- b) referred to the scholar for resubmission in the revised form, or
- c) rejected.

The examiner shall state the reasons for recommending resubmission/rejection of the thesis. If resubmission is recommended, the examiner shall specifically indicate the modifications that need to be made in the thesis by the scholar. The COE in consultation with Dean shall also provide to the scholar and supervisor, a list of all corrections and modifications required in the thesis, as suggested by the examiners.

(iv) In the event that all the three examiners unanimously recommend award of degree, the same shall be done after a satisfactory open viva voce test (oral defence) by one of the examiners.

(v) If the examiner(s) recommends minor corrections in the thesis, the scholar may incorporate them in consultation with the Supervisor before the viva-voce examination. The Supervisor shall certify that the corrections have been made in the thesis. This may be included with the reports of the Ph.D thesis to be sent to the Vice Chancellor for appointment of the examiner for viva-voce examination.

(vi) If the corrections are major and resubmission/re-evaluation has been recommended, the student may resubmit the revised version in consultation with the Supervisor, within a period of one year from the date of communication in this regard from the COE. However, in exceptional circumstances, this period may be extended by BOS by one more year but the total revision time shall not exceed two years. The revised thesis shall be sent for assessment to the same examiners who recommended revision. In the event of any of them declining to examine the revised thesis, additional examiner may be appointed from the approved panel, and provided with the comments of the previous examiner(s) to facilitate the evaluation of the revised thesis.

(vii) In the event that two or more examiners reject the thesis, the thesis shall be rejected and registration of the candidate terminated.

(viii) If two of the three examiners recommend the award of degree and the third examiner recommends rejection, the thesis shall be referred to two new examiners to be selected by the Vice Chancellor from the original panel of examiners. If at least one of these two examiners recommend acceptance (may be with revision), the case may be processed as per the procedure in (iv) to (vi). However, , if the thesis is rejected by both these new examiners, it shall not be resubmitted or marked to any further examiner and the registration of the student shall be terminated.

(ix). If one examiner accepts, one rejects and one suggests major revisions, then the scholar shall incorporate the revisions as prescribed in (vi) above, and the thesis shall be sent to the examiner who recommended revision, as well as to a fourth examiner to be selected by the Vice Chancellor from the approved panel of examiners . At least one of these two must accept the thesis to award the degree.

14. Oral Defence

14.1 A scholar, after receiving a satisfactory thesis evaluation report, shall be required to defend his work/thesis orally before a duly constituted committee, hereinafter referred to as

Oral Defence Committee (ODC), during working hours of the University at the University premises. Any deviation from this should have prior permission of the Vice Chancellor.

14.2 ODC shall consist of the Dean of the concerned School, the supervisor(s), and one external examiner to be appointed by the Vice Chancellor out of the panel of approved examiners. If none of the examiners is available for the conduct of the oral defence, an alternative examiner shall be appointed by Vice Chancellor, who shall submit his report in the prescribed proforma to the COE.

14.3 The Open *Viva Voce* and the defence by the student may also be done through Skype/Video conferencing, if required, with prior approval of the Vice Chancellor.

14.4 On the completion of all the stages of examination, COE shall recommend one of the following:

- a) that the degree be awarded,
- b) that the scholar be re-examined later to satisfy the examiner's comments
- (c) that the degree not be awarded

14.5 On successful completion of the oral defence examination, the scholar will submit to the COE a soft copy of the Ph.D thesis and at least two hard bound copies; one for the library of the concerned school and one for the central library of the university. These should incorporate all necessary corrections/modifications and must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

©Guru Gobind Singh Indraprastha University, Dwarka, New Delhi-110078.

All rights reserved

14.6 Following the successful completion of the evaluation process and announcement of the award of the Ph.D, the University shall submit a soft copy of the thesis to the UGC within a period of thirty days.

14.7 The University may issue a Provisional Certificate of the completion of Ph.D to the scholar upon successful viva-voce examination, followed by award of the final degree at the time of convocation, along with a certificate to the effect that the Degree has been awarded in accordance with the UGC regulations.

15. Notwithstanding anything contained in this Ordinance, all categories of scholars shall be governed by the rules and procedures framed by the Academic Council on this behalf, and in force from time to time.

16. Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, not covered by this Ordinance, 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 of the Schools and at least two professors from the concerned school. The decision of the Vice Chancellor shall be final.