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GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY
Sector – 16C, Dwarka, New Delhi – 110078

NOTIFICATION

No.IPU/JR(C)/Ord.12/BM60/Revision/2015/-

In pursuance of the provisions of Section 27 of the Guru Gobind Singh Indraprastha University Act, 1998 (9 of 1998), the Board of Management of Guru Gobind Singh Indraprastha University in its 60th meeting held on 23rd February 2015 vide agenda item 60.12 has revised Ordinance 12- ‘Governing programmes leading to the Degree of Doctor of Philosophy’ notified vide No. IPV/JR(C)/BOM48/2011/531 dated 24.09.2012 as detailed below:

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

1.0 DEFINITIONS

- 1.1. “**Act**” shall mean the Guru Gobind Singh Indraprastha University Act, 1998, as amended from time to time.
- 1.2. “**Approved Research Centre**” shall mean an institution approved by the University for the purposes of doctoral or post-doctoral research in exercise of the powers vested in the University under section 5 (12) of the Act.
- 1.3. “**Board of Studies (BOS)**” shall have the same meaning as the Board of School of Studies defined under clause 2 of Ordinance 2 of the (USS) concerned.
- 1.4. “**Caretaker Supervisor**” shall mean an alternative “**supervisor**” (as defined below), assigned to a “**research scholar**” (as defined below) to act as his/her supervisor in the absence of the original supervisor under the provisions of this ordinance.
- 1.5. “**COE**” shall mean the Controller of Examinations of the University.
- 1.6. “**College/Institute**” shall mean an academic institution maintained or admitted by the University to its privileges and includes an affiliated college/institute as defined in section 2(i) of the Act and approved for Doctoral/Post Doctoral research work as per the provisions of this Ordinance.
- 1.7. “**Degree**” shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.
- 1.8. “**Discipline**” shall mean the discipline(s) in which the Ph.D. degree is awarded as mentioned in the Ph.D. degree certificate.
- 1.9. “**DRC**” shall mean the Director of Research and Consultancy of the University.

- 1.10. **“Foreign Research Scholar”** shall mean foreign nationals or persons of Indian origin from abroad registered for Ph.D. under the provisions of this ordinance.
- 1.11. **“Joint Supervisor”** shall mean an additional **“supervisor”** assigned to a **“research scholar”** as and when required under the provisions of this ordinance.
- 1.12. **“Minimum Registration Period”** shall mean the minimum period for which a candidate must maintain registered status, prior to the date of submission of the thesis.
- 1.13. **“Ph.D.”** shall mean the degree of Doctor of Philosophy. It shall normally be a full-time degree, unless specified as part-time.
- 1.14. **“Ph.D. Admission Committee”** shall mean a committee consisting of all prospective (recognized) **supervisors** with vacant slots in a School/discipline and intending to take research scholars in that admission session, subject to a minimum of 5 members, including the Dean and one member from the SC/ST category. The condition of being a recognized supervisor or having vacant slots for that year shall be relaxed, if needed, to ensure representation from the SC/ST category. If the total number of available members to constitute this committee is less than 5, then other recognized supervisors may be co-opted from within the School or from any other University School/ centre within the University campus offering programmes in an allied discipline, through a recorded decision of the SRC and approved by the Vice Chancellor. This committee shall be chaired by the Dean of the concerned School and shall be responsible for the interview and allotment of selected research scholars for Ph.D. in a particular academic session.
- 1.15. **“Registration Period”** shall mean the time period commencing with the date of admission into Ph.D. programme in the University and ending on the date of submission of the Ph.D. thesis.
- 1.16. **“Research Scholar”** shall mean a person registered for Ph.D. under the provisions of this ordinance.
- 1.17. **“School of Studies”**, also referred to as School or University School of Studies (USS) shall mean Schools of Studies established by the University as per clause 1.0 of Ordinance 2.
- 1.18. **“SRC”** shall mean a School Research Committee, consisting of the Dean of the concerned School as the Chairperson, and all recognized supervisors of the concerned School as members. The Schools that offer Master’s degree in multiple disciplines may have a separate SRC for each such discipline as needed, provided that each such SRC has no less than three members from the concerned discipline. In addition, there should be at least two common members in all such discipline-specific SRCs of the concerned School.
- 1.19. **“Supervisor”** shall mean a qualified and recognized faculty member of the University, affiliated **college** or approved research centre as stipulated in this ordinance.

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

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

2. Ph.D. SUPERVISOR

2.1 Any faculty member who has completed probation in a regular appointment in the USS or affiliated college or approved research centres of the University may become a supervisor provided that he/she meets the following requirements: a Ph.D. degree or equivalent and evidence of 03 authored research publications in peer reviewed journals indexed in international citation databases and/or patents granted; or in the case of Schools/disciplines other than sciences/ engineering/ technology/management, authored articles in peer reviewed journals (with ISSN) and /or authored books/chapters in books (with ISBN) from reputed publishers. In case of faculty belonging to University Schools of Studies (USS) or Centres within the University campus, those possessing the above minimum qualifications shall become recognized supervisors.

For University School of Medicine and Paramedical Health Sciences (USM&PMHS), any regular teacher of the University’s affiliated medical institute, working in that institute who holds an MD/MS/DM/M.Ch. degree or equivalent degree with five years teaching/research experience after obtaining MD/MS/DM/M.Ch. degree or equivalent degree, has ten published research articles in indexed peer reviewed journals and is continuously involved in research activities, shall be eligible to be recognized as a Ph.D. supervisor.

Such cases will be forwarded by the concerned SRC to the DRC for notification after the approval of the Vice Chancellor. For all others, including those from affiliated colleges, institutes or approved research centres of the University, the names of all eligible faculties who qualify under the above criteria may be sent by their employers to the DRC of the University for Formal Recognition as supervisors. The DRC shall forward them to the SRC of the relevant School/discipline for scrutiny in its earliest forthcoming meeting. If required, the SRC may recommend to the DRC to send an expert team to the institution of the prospective supervisor(s) to inspect the facilities for research in the institution before recognizing its supervisors. The SRC shall interact with the prospective supervisor(s) before his/her recognition as a supervisor. All the decisions of SRC in approving Ph.D. supervisors in any institution other than USS shall require the approval of the BOS and the Vice Chancellor. If a recognized supervisor changes from one discipline/department/institution to another, he/she shall apply again for a fresh recognition as a supervisor. The DRC shall notify the names of such recognized supervisors from time to time, with due intimation to them, specifying the validity of recognition in terms of the

discipline/department/institution. The DRC shall also put up the list of all recognized Ph.D. supervisors on the University website and update the list on time to time but at least once annually. The qualifications of the joint supervisor shall be the same as that of the supervisor, though it is not mandatory that such a person be a recognized supervisor of the University, if he/she belongs to an institution outside the University or its affiliated college or approved research centre.

- 2.2 The maximum permissible number of research scholars allotted to a supervisor shall depend on the designation of the supervisor (Professor-08, Associate Professor-06 and Assistant Professor-04 research scholars), excluding supernumerary allotment under conditions explained later in this ordinance. In case of joint supervision, the number of research scholars enrolled will be counted as one for each of the joint supervisors. If a supervisor of this University (or its affiliated colleges/research centres) is involved as a supervisor or joint supervisor of any other University/institution, it is mandatory that he/she informs the number of such research scholars to the SRC, as they shall be counted towards the calculation of the permissible/available slots for Ph.D., unless exempted by the Vice-Chancellor. Once a registered research scholar submits his/her Ph.D. thesis, that slot will be counted as available for admission of a fresh research scholar under that supervisor. A supervisor shall take no more than 03 research scholars per academic year, regardless of the number of vacant slots available.
- 2.3 In cases where a supervisor retires, resigns, proceeds on leave/deputation exceeding one year, expires, or any other unforeseen circumstances necessitate redistribution/re-allotment of a research scholar, the SRC shall allot supervisor(s)/joint supervisor(s)/caretaker supervisor, ideally from the same School/institution/discipline as supernumerary allotment. This shall require the approval of the BOS and the Vice Chancellor.
- 2.4 In cases where the supervisor has tenure of less than three years before retirement, he/she can act as joint supervisor with a supervisor who has at least five years of service, preferably from the same School of Studies or any other University School of Studies. No one, either from the University Schools or any other institution, shall be allowed to become supervisor/joint supervisor after retirement.
- 2.5 Recognized supervisors 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 allotted a research scholar in that academic session.
- 2.6 In case of interdisciplinary work, collaborative research projects, etc., the SRC may also approve/allot a joint supervisor either from the same School, any other School/institution under the University or even outside the University. However,

the justification for the same, and the consent of the joint supervisor 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.

- 2.7 A research scholar may request in writing for a change of the supervisor(s) with proper justification, through the Dean of the concerned School to the respective SRC and BOS. The SRC and BOS after considering the circumstances of such a request may recommend for the change of supervisor(s) through the DRC to the Vice Chancellor for approval.

3. PROCEDURE FOR ADMISSION

- 3.1 The discipline(s) for admission to Ph.D. programme will be decided by the concerned SRC and approved by the BOS and subsequently communication to the DRC and COE. 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. Accordingly, the discipline shall be reflected in the Ph.D. Degree certificate.
- 3.2 The Dean of each School shall issue a written circular asking all the recognized supervisors in that School to specify the number of vacant Ph.D. admission slots they wish to fill in that academic year (subject to a maximum of 03). The compiled list shall be forwarded to the office of DRC.
- 3.3 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 Schools/centres within the University. The advertisement shall clearly mention part-time and/or full-time Ph.D. programmes being run in the different School of Studies. The number of vacant seats for Ph.D. admission in University School/discipline should also be mentioned in the advertisement.
- 3.4 The prevalent UGC guidelines regarding reservations for SC/ST/PH/others may be followed, to specify the percentage and/or number of seats reserved for various categories in the advertisement for Ph.D. and for the subsequent admission process.
- 3.5 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 research scholars to be admitted to the Ph.D. programme shall not exceed the advertised number of vacant slots of that School by 10%. The vacant slots may be filled up in the order of emergence of these slots.
- 3.6 The minimum eligibility for admission shall be a Master's Degree (M.Sc./M.A./M.Tech./LL.M./M.Ed./MBA/MCA) OR a post graduate degree approved by Association of Indian Universities/AICTE/ UGC/ NCTE/ Bar

Council/ Pharmacy Council, or any other equivalent qualification in the relevant field with not less than 55% marks, with 5% relaxation for SC/ST and persons with disability, or as prescribed by UGC from time to time. For USM&PMHS, applicants with MD/MS degree or applicants holding an MBBS degree with 55% or more marks in aggregate and a minimum of three years experience in a recognized Govt. Hospital/Organization shall be eligible for admission on recommendation of SRC. The 'equivalent' qualifications and 'relevant' field for admission to Ph.D. in a particular School/discipline shall be verified and certified by the Ph.D. admission committee of the concerned School/discipline at the time of the interview.

- 3.7 Employed candidates including permanent faculty members of the University Schools or affiliated colleges/institutions or approved research centres, who wish to seek Ph.D. admission as full-time research 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.
- 3.8 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 eligibility criteria as detailed in 3.6 above. However, the total number of foreign research scholars shall not exceed 10% of the total admissible strength in that admission session. Foreign nationals must provide evidence for financial support and language competence to the admission committee of the School in which they wish to join.
- 3.9 Candidates shall be provisionally admitted to the Ph.D. programme under the following categories on the basis of their performance in the written test and/or interview:

Category I

Candidates with Master's or equivalent degree as detailed in 3.6 above must appear in a written entrance exam conducted by the University. Based on the performance in the written test, the list of 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/Lecturer-ship, DBT-JRF, ICMR-JRF, 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 the examination 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 GGSIP University may also apply, provided the period of available fellowship is atleast 4 years.

Category III

The need and modalities of the entrance test for admission to Ph.D. programmes for foreign nationals who possess the educational qualifications as detailed in 3.6 above shall be decided and executed by the Ph.D. admission committee prior to the date of the interview. 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 research scholars of all other categories. Once admitted, they shall be governed by the norms of Ph.D. applicable to all research scholars.

- 3.10 The syllabus for the entrance test shall be framed by the SRC of the concerned School/discipline and communicated to the DRC and COE by the respective Dean. The same may be displayed on the website of the University by Dean of the School.
- 3.11 The dates for entrance tests/interviews for admission to various University Schools/disciplines shall be staggered to allow candidates with interdisciplinary interests to try for admission in more than one School if they so desire.
- 3.12 The entrance test shall be conducted by the University's examinations division from the syllabus of the relevant discipline in which admission is being offered. The list of the qualified candidates will be prepared by the Examinations Division of the University and shall be communicated to the respective Schools through DRC. The Ph.D. admission committee of each School shall display the list of the candidates to be called for interview for vacant slots, subject to a minimum of 03 and a maximum of 08 candidates per slot. In case, where the criterion of 3 candidates per slots is not fulfilled the Dean of the concerned

School may get the approval of the Vice Chancellor for the number of candidates to be called for interview.

- 3.13 The entrance test shall be conducted atleast once and up to 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 up to twice in a year, subject to the availability of seats as determined by the SRC.
- 3.14 Prior to the interview, the dates for the interview shall be notified on the University website along with the list of shortlisted candidates, by the respective Schools. At the time of the interview, the candidates shall present and discuss their research interest/area.
- 3.15 The entrance test shall only be the qualifying criterion and final selection shall be on the basis of marks obtained in the interview, as judged by the admission committee of the concerned School. The final list of selected candidates and waiting list, if any, alongwith complete documentation shall be forwarded by the Dean of the concerned School to DRC for the approval of the Vice Chancellor. The approved final selection list and waiting list, if any, shall be displayed by the DRC on the University website in a School-wise manner. Separate selection lists shall be displayed for full-time and part-time Ph.D. programmes in the Schools that offer both options.
- 3.16 The candidates called for interview for Ph.D. admission will give their choice of supervisor in the order of preference in writing, considering all the prospective supervisors of the concerned School/discipline notified by the respective School in advance. The supervisor will be allotted by the admission committee on the basis of merit (rank), preference of the candidate and availability of slots with the supervisor.
- 3.17 The School reserves the right not to fill any or all the vacancies advertised.
- 3.18 The selected candidates shall be accorded provisional registration either as full-time or as part-time research scholar, as per the notified selection list. Their registration shall be confirmed subject to the successful completion of the course work and approval of the research plan by the respective SRC and BOS, 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 research scholar will have to pass in any of the courses worth at least 9 credits, including a compulsory 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 the discipline(s) in which Ph.D. is offered with the approval of the concerned SRC and BOS. Thus, all course work shall be conducted by the concerned University Schools with due intimation to the DRC as per the academic calendar of the University.
- 4.4 The courses may be offered either during the weekdays or weekends, for full-time or part-time research scholars, respectively. The list of courses being offered along with their syllabus, number of 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 weekdays 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/analysis, presentation skills, writing skills, etc.,
- 4.6 The course work should normally be completed within one to two semesters from the date of admission. The research scholar shall be evaluated in all courses through a mid-term (40 marks) to be conducted by the concerned School and an end-term examination (60 marks) to be conducted by Examinations Division. A candidate shall be considered to have passed a course if he/she secures an aggregate score of at least 50% in that course. The Dean of each School shall send the attendance record as well as the marks secured by the research scholars in the mid-term examination to the Examinations Division for the declaration of final results at the end of each semester on the University website. Research scholars who fail to secure the minimum 9 credits (including one compulsory course) shall be allowed to reappear with the next batch of research scholars taking examinations in the same course, or opt for some other relevant course available in the next semester in consultation with the supervisor, provided the course in which the research scholar has failed is not a compulsory course. If

he/she still fails in the examinations and thus fails to secure 9 credits in all courses combined in two years, his/her registration stands cancelled.

5. CONFIRMATION OF REGISTRATION

- 5.1 After successful completion of the required course work, every research scholar provisionally 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 for final registration.
- 5.2 Any research scholar who wishes to change from part-time to full-time and vice-versa may do so only after successful completion of the course work and prior to the approval of the research plan, by submitting a written application with proper justification through his/her supervisor to the SRC, along with an undertaking that he/she shall abide by all the terms and conditions applicable for the changed full/part-time mode as the case may be. Such conversion would be allowed only once during the tenure of Ph.D. programme.
- 5.3 The SRC shall assess the content and feasibility of the proposed research as well as the research 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 research scholar to submit a revised synopsis and make a fresh presentation within three months.
- 5.4 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 research scholars whose research plan is not approved by the SRC may be cancelled.
- 5.5 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 two months for the confirmation of the Ph.D. registration of the research scholar. If an approval is not accorded by the BOS for reasons to be explicitly recorded in writing, the registration of the research scholar will be cancelled, unless the Vice Chancellor grants the research scholar an opportunity for reconsideration by the SRC and BOS, after submission of a fresh/modified synopsis.
- 5.6 After approval of the BOS, the Ph.D. registration of the research 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. The list of research scholars whose registration is confirmed by the BOS, along with the name(s) of their supervisors, tentative title of the Ph.D. thesis and date of confirmation of registration shall be communicated to the DRC by the Dean of the School. The DRC shall then issue a registration letter to the research scholar, with a copy to the Ph.D. supervisor and Dean of the concerned School, after approval of the Vice Chancellor.

- 5.7 The title of the synopsis and research plan approved by the SRC and 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.
- 5.8 A research scholar admitted to the University shall have to pay the fee as prescribed by the University from time to time.

6. PERFORMANCE MONITORING

- 6.1 During the tenure of Ph.D. programme 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 research scholar and report to the School/Department/Centre as needed.
- 6.2 The academic research progress of each research scholar shall be monitored by the concerned SRC at a 6-monthly interval, based on the written progress report and oral presentation by the research scholar. Failure to submit timely progress report and/or make a presentation to the SRC shall be construed as indiscipline and treated accordingly. The Dean shall collect and place the progress reports of all registered research scholars before the SRC, duly forwarded by their supervisors with their comments on whether the progress of the research scholar was good/satisfactory/poor. The SRC, after having considered the progress report, comments of the supervisor and the oral presentation of each research scholar, shall recommend one of the following:
- (i) Continuation of registration.
 - (ii) Continuation of registration with a written warning to the research 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.

- (iii) Termination of registration, if the research scholar still fails to make progress to the satisfaction of the supervisor and the SRC despite the second and final warning, with the approval of the BOS and the Vice Chancellor.

7. REGISTRATION PERIOD REQUIREMENTS

- 7.1 The minimum period of registration after which a research scholar can submit his/her thesis shall be two years for full-time research scholars and four years for part-time research 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 research scholar and recommendation of the supervisor. Any extension beyond this shall require a written justification for the delay by the research scholar 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 research scholars. If the research scholar is not able to submit his/her thesis within this period, his/her registration will stand cancelled.
- 7.3 No research scholar 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. LEAVE/ABSENCE

- 8.1 Every registered research scholar shall report on a day to day basis to his/her supervisor, who shall decide whether the research 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 one month at one time shall require the prior written permission of the supervisor and due intimation to the Dean of the School, subject to the ratification in the next SRC meeting.

- 8.2 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.
- 8.3 The supervisor may grant leave of not more than 5 working days at one time out of the total leave due to the research scholar as defined by the fellowship-funding agency or the University (30 days in one calendar year) as applicable. Any leave beyond 5 working days would require prior written application by the research 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.
- 8.4 The supervisor must report absence from research work by research scholars due to illness, maternity leave or other circumstances to the SRC 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 of the School for placing before the SRC and BOS and the Vice Chancellor for necessary action. Upon confirmation of the charges, the BOS may recommend appropriate action against the research 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.
- 8.5 Female research 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.
- 8.6 All the leave records of the research scholars are to be maintained by the concerned supervisor.

9. TERMINATION

- 9.1 The registration of a research scholar may be terminated under the following circumstances:
- (i) If he/she remains absent 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.

- (iii) If he/she fails to renew his/her registration by not paying the requisite fees.
- (iv) If he/she is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the SRC and BOS, or any other statutory official/body authorized by the University.
- (v) If he/she fails in the course work as per the provisions of 4.6 above.
- (vi) If he/she fails to make research progress to the satisfaction of the SRC despite second warning as defined in 6.2 above.

9.2 Termination order of a research scholar for any reason as outlaid in 9.1 above shall be issued by the Dean of the concerned School after written approval of the Vice Chancellor and be notified to the DRC.

10. PRE-SUBMISSION PRESENTATION AND THESIS SUBMISSION

- 10.1 On completion of the research work, the research scholar shall submit 08 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 research scholar. It may be attended by other faculty members and research scholars.
- 10.2 The research 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 research 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 research scholar may be allowed to submit his thesis within 6 months from the date of SRC's approval of the pre-submission presentation. If a research scholar fails to submit his/her thesis within 6 months of his/her pre-submission presentation, he/she will have to make a fresh presentation before the SRC.
- 10.3 In case of issues related to intellectual property rights, the supervisor and the research scholar shall take necessary measures to ensure that the disclosures made in the pre-submission synopsis and presentation do not jeopardize their intellectual property rights.
- 10.4 Before submission of the Ph.D. thesis, a research scholar shall publish at least two authored research papers from the work in that thesis, including one first author research paper, in refereed journals indexed in international citation databases, and/or patents granted; or in the case of Schools/disciplines other than sciences/engineering/technology/management, authored articles in peer reviewed journals (with ISSN) and /or authored books/chapters in books (with ISBN) from reputed publishers. The research scholar shall produce evidence of publication in the form of an acceptance letter or a reprint along with the thesis.
- 10.5 The thesis shall be written in English as per the specified format and instructions.

- 10.6 The research 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 research scholar will be available on the University website. The research scholar will also be required to submit a certificate (available on the University website) duly signed by the research scholar, supervisor(s) and countersigned by the Dean of the School 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.
- 10.7 The research scholar shall also attach a research scholar 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.
- 10.8 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 research scholar's overall intellectual ability for research. It must also be satisfactory in terms of its language and presentation.
- 10.9 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 research scholar shall also submit a No Dues Certificate as prescribed by the University.

11. APPOINTMENT OF EXAMINERS

- 11.1 The thesis shall be evaluated by three examiners independently and anonymously. For this purpose, the supervisor shall submit a list of atleast six experts in the subject area of research work, not below the rank of Associate Professor, including atleast two experts from outside the State, for the approval of the SRC of the School/discipline. 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.
- 11.2 An examiner cannot be from the same laboratory/institution where the research scholar is employed, or from the laboratory/institution/approved research centre to which the supervisor and/or joint supervisor of the research scholar belongs. Further, a collaborator or co-author of the research scholar or his/her supervisor or joint supervisor during the tenure of the concerned Ph.D. research scholar cannot be an examiner.
- 11.3 On receipt of the final title and pre-submission synopsis of the thesis approved by the SRC, the Dean of the School shall send the panel of examiners as approved by the concerned SRC as described in 11.1, to the COE, within a

week. The Vice Chancellor shall choose three examiners from the above panel for evaluation of each thesis, including at least one from outside the State.

11.4 The examinations division will follow the modalities for the evaluation of the Ph.D. thesis as approved by the Vice Chancellor. The Examinations Division shall make all efforts for speedy evaluation of the Ph.D. thesis.

12. EVALUATION OF THE THESIS

12.1 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 division should 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.

12.2 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.

12.3 The examiner shall be required to state categorically whether in his opinion, the thesis should be:

12.4 accepted for the award of Ph.D. degree (subject to oral defence), or

12.5 referred to the research scholar for resubmission in the revised form, or

12.6 rejected

12.7 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 research scholar. The COE in consultation with the Dean of the School shall also provide to the research scholar and supervisor, a list of all corrections and modifications required in the thesis, as suggested by the examiners.

12.8 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.

12.9 If the examiner(s) recommends minor corrections in the thesis, the research 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.

12.10 If the corrections are major and resubmission/re-evaluation has been recommended, the research scholar 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 SRC and 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 examiner(s) 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.

- 12.11 In the event that two or more examiners reject the thesis, the thesis shall be rejected and registration of the candidate terminated.
- 12.12 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 approved panel of examiners. If atleast one of these two examiners recommend acceptance (with or without revision), the case may be processed as per the procedure in 12.4 to 12.7. However, if the thesis is rejected by both these new examiners, it shall not be resubmitted and sent to any further examiner and the registration of the research scholar shall be terminated.
- 12.13 If one examiner accepts, one rejects and one suggests major revisions, then the research scholar shall incorporate the revisions as prescribed in 12.6-12.7 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.

13. Oral Defence

- 13.1 A research scholar, after receiving a satisfactory thesis evaluation report, shall be required to defend his/her work/thesis orally before a duly constituted committee, herein after referred to as Oral Defence Committee (ODC), at the University premises. Any deviation from this should have prior permission of the Vice Chancellor.
- 13.2 ODC shall consist of the Dean of the concerned School, the supervisor(s), and one external examiner who evaluated the thesis to be appointed by the Vice Chancellor. If none of the examiners who evaluated the thesis is available for the conduct of the oral defence, an alternative examiner from the panel of approved examiners shall be appointed by Vice Chancellor.
- 13.3 The Open Viva Voce and the defence by the research scholar may also be done through Skype/Video conferencing, if required, with prior approval of the Vice Chancellor.
- 13.4 On completion of all the stages of examination culminating with the Viva Voce, the ODC shall submit its report in the prescribed proforma to the Vice Chancellor through the COE recommending any one of the following:

- (i) that the degree be awarded,

- (ii) that the research scholar be subjected to a fresh Oral Defence at a later date,
- (iii) that the degree be not awarded. In such a situation, the case be referred to the Vice Chancellor for a final decision.

13.5 The decision of the Vice Chancellor on the recommendations of the ODC shall be notified by the COE, mentioning the date of the decision of the Vice Chancellor, which shall be construed as the effective date of the award of the Ph.D. degree, subject to the formal award during the University convocation. Prior to this notification, the COE shall ensure that the research scholar has submitted a soft copy of the Ph.D. thesis and 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 certified by the supervisor and must contain the following copyright certificate in the beginning of the thesis, on a separate page:

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- 13.6 Following the notification of the award of the Ph.D., the COE shall send the final soft and hard copies of the awarded thesis to the central library and to the concerned School. The central library shall be the repository of all awarded Ph.D. theses of the University, and shall also be responsible to submit a soft copy of the thesis to the UGC within a period of thirty days.
- 13.7 The University may issue a Provisional Certificate of the completion of Ph.D. to the research scholar upon Ph.D. notification as per clause 13.5, followed by award of the final degree at the time of convocation, along with a certificate to the effect that the Ph.D. degree has been awarded in accordance with the UGC regulations. The certificate and the degree shall mention the School/discipline in which the Ph.D. degree is awarded.
14. Any revision to the provisions of this Ordinance shall be approved by the Academic Council from time to time and shall be notified on the University stated in this Ordinance, for any unforeseen issues arising, not covered by this Ordinance, or in the event of difference of interpretation, the Vice Chancellor may take a decision himself, or after obtaining, if necessary, the opinion/advice of a Committee constituted by the Vice Chancellor. The decision of the Vice Chancellor shall be final.

N.B. – Operational Guidelines for the implementation of the Ordinance will be framed separately and would be approved by the Vice Chancellor.
