

ACADEMIC REGULATIONS

Ph.D. Program
(School of Science)



GSFC
UNIVERSITY
EDUCATION RE-ENVISIONED

School of Science, GSFC University Vadodara - 391 750, Gujarat,
INDIA

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Procedure for Award Doctor of Philosophy (Ph.D.) Degree

The Academic Regulations are in conformity with University Grants Commission Gazette (Minimum Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2016.

- i. Award of degrees to candidates registered for the Ph.D. Program on or after July 11 2009 till the date of Notification of these Regulations by UGC shall be governed by the provisions or the UGC (Minimum Standards and procedure for Awards of Ph.D. Degree) Regulation, 2009.
- ii. The GSFC University shall not conduct the Ph.D. Program through distance education mode.
- iii. Part-time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met.

General Guidelines

- i. A School of the University can conduct research program for the award of Ph.D. degree.
- ii. The Board of Research Studies (BRS) of School of Science (SoS) shall organize the research studies leading to the degree of Doctor of Philosophy under the general guidance of the Academic Council.
- iii. The Academic Council will advise the BRS.
- iv. The BRS shall supervise all academic matters related to the Ph.D. degree.

A. Composition and Functions of the Board of Research Studies

- i. **Board of Research Studies** - Each School that offers Ph.D. Program shall have a Board of Research Studies. The registration of students by each School shall require ratification by the BRS. The records of registration and the progress of research work done by the Ph.D. students shall be maintained by the BRS.
- ii. All members of the BRS must be qualified to be Supervisors.
- iii. The composition of BRS in a School of Science (SoS) shall be as follows:
 - a. Provost - Chairperson
 - b. Dean, School of Science
 - c. One Professor/Associate Professor from SoS (nominated by the Academic Council)
 - d. One Associate Professors from SoS
 - e. Two Assistant Professors from SoS
 - f. Two Professors / Associate Professors from other Universities
 - g. One member from Industry

The selection under category (d) and (e) above shall be by rotation as per seniority.

The term of membership of all members of BRS members will be for a period of two years. The meetings of the BRS may be held at least once every three months. It may be held earlier, depending on the urgency of individual cases.

- iv. **Research Advisory Committee** - There shall be a Research Advisory Committee (RAC) for every research scholar, duly approved by the BRS. The Supervisor of the research scholar shall be the Convener of this Committee. The Committee will have at least three members, with at least one faculty member other than the Supervisor from SoS and one external expert form same subject.

This Committee shall have the following responsibilities:

- i. To review the research proposal and finalize the topic of research.
- ii. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- iii. To periodically review and assist in the progress of the research work of the research scholar.
- iv. The research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports with the comments of the RAC shall be submitted to the BRS with a copy to the research scholar.
- v. In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to comply with these corrective measures, the RAC may recommend to the BRS with specific reasons for cancellation of the registration of the research scholar.

B. Procedure for Admission

As per UGC Regulations 2016, the University shall admit Ph.D. students through an Entrance Test conducted at the level of the University. The University may decide separate terms and conditions for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/GATE/teacher fellowship holder or have passed M.Phil. Program.

- i. Candidates will be admitted in a two-stage process through (a) an Entrance Test (to be held twice a year), and (b) an interview that may be held twice in a year and more number of times, if required.
- ii. As per UGC Regulations 2016, the University will decide on an annual basis through the academic bodies, a predetermined and manageable number of

Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio, laboratory, library and such other facilities.

- iii. As per UGC Regulation 2016, the University shall notify well in advance on its website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
- iv. SoS will accordingly decide on an annual basis through BRS, a predetermined and manageable number of Ph.D. scholars to be admitted, and will notify well in advance on its University website and through advertisement, the number or seats for admission, subject/s discipline-wise distribution of available seats, criteria for admission, procedure for admission, syllabus for written test, Examination Centre(s), where entrance test(s) shall be conducted, selection criteria during interview and all other relevant information for the benefit or the Candidates.
- v. The Dean of SoS shall consult the faculty members, who are recognized to be Supervisor as per UGC Regulation 2016, regarding the number of vacant seats available with each member in that academic year. Each prospective Supervisor may decide on the number of seats that he/she may like to fill in a particular year, within his/her maximum permissible strength and inform the BRS accordingly.
- vi. In case of Departments that want to hold the interviews twice or more number of times in a year, they can notify their vacant seats at least 15 days before the schedule of interviews.

- vii. No research scholar registered for the Ph.D. Program shall be permitted to undertake any other full- time Program during the pendency of the Ph.D. Program.
- viii. The admission to Ph.D. Program will be according to the National Level Reservation Policy, as applicable from time to time, based on intake in a given academic year.

C. Eligibility Criteria

- i. Master's degree in the same or allied subjects with at least 55% marks in aggregate (or its equivalent grade 'B' in the UGC 7-point scale or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose or assessing, accrediting or assuring quality and standards of educational institutions shall be eligible to apply for admission to the Ph.D. Program in the University.
- ii. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / differently-abled and other categories or candidates as per the decision of the University Grants Commission from time to time, or for those who obtained their Master's degree prior to 19 September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- iii. Candidates with Masters or equivalent degree must appear in a written entrance exam conducted by the University in order to be eligible for interview. Based on the performance in the written test, which is the qualifying exam, the

- short-listed candidates shall appear for an interview.
- iv. Candidates who have qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ DBT-JRF. ICMR-JRF, DST-INSPIRE or equivalent national level examination/fellowship (as identified by BRC)/GATE/teacher fellowship holder may directly appear for interview.
 - v. Teachers, who are in service in the GSFC University, may directly appear for interview.
 - vi. Candidates holding Junior Research fellowships or equivalent research positions in projects, satisfying the minimum eligibility conditions subject to selection by duly constituted committee as per the University norms for research projects may also appear directly for interview.
 - vii. Scientists / Professionals with a minimum 5 Years of experience and at least one publication in referred journal with ISSN number or books with ISBN number OR with a minimum 10 years of experience working in Government of India / State Government / Corporate Bodies / Laboratories may directly appear for interview subject to fulfilling minimum eligibility criteria.
 - viii. The allied subjects for admission to Ph.D. Program shall be decided by the BRS in consultation with faculty members who have advertised for vacancies, based on their specific requirements. The list of allied subjects duly approved by the BRS may be submitted to the respective BRS for approval, after which it may be displayed on the University website.
 - ix. No candidate shall be eligible to register for the Ph.D. Program if he/she is already registered for any full-time Program of study in any University/Institution.
 - x. Foreign nationals fulfilling the eligibility criteria may be registered for Ph.D. over and above the maximum admissible strength. However, if any given time, the total number of foreign students shall not exceed 10% of the total admissible

strength of SoS. Foreign nationals must provide evidence of language competence suited to SoS they wish to join. Foreign nationals are exempted from entrance test and interview. They may be admitted based on their research proposal, subject to fulfilling the minimum eligibility criteria. The decision regarding the same rests with the BRS subject to approval from Academic Council for the Ph.D. Program.

- xi. A person working in reputed research organization, academic institutes and industries, can be admitted on part time basis provided:
- a) Candidate meets the requisite minimum qualification for admission to Ph.D. Program as mentioned in (i).
 - b) The candidate is working in an organization which encourages and facilitates research.
 - c) Candidate has minimum of three years' work experience in related field, and
 - d) Candidate furnishes a "consent & no objection certificate" from his /her parent organization.

C-2 Categories for admission to Ph.D. Program other than mentioned in 1.

Candidates who have been awarded or are pursuing M.Phil. Program under the following categories may directly appear for interview:

- i. Candidates who have cleared the M.Phil. coursework with at least 55% marks in aggregate (or its equivalent grade 'B' in the UGC 7-point scale or an equivalent grade in a point scale wherever grading system is followed and have successfully completed the M.Phil. degree with at least 55% marks shall be eligible for appearing directly for interview. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled.
- ii. A candidate whose M. Phil. dissertation has been evaluated and the viva voice is

pending may appear directly for interview to the Ph.D. Program.

- iii. Candidates possessing a degree considered equivalent to M.Phil. Degree of an Indian Institution with 55% marks or from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. Program.

All candidates appearing directly for interview have to register on the online admission portal.

D. Entrance Test and the Interview

There shall be an Entrance Test for Ph.D. Program to be conducted by the University, twice a year.

- i. The Entrance Test will be a qualifying examination with qualifying marks as 50%. The syllabus for the entrance test will consist of 50% questions on research aptitude/methodology and 50% subject-specified questions.
- ii. The Entrance Tests in various subjects shall be staggered to allow the candidates to appear in written test in more than one subject, if they so desire.
- iii. The Entrance Test for Ph.D. Program shall be conducted twice in a year and the eligibility of shortlisted candidates shall remain valid till the next entrance test. The interviews may also be held twice in a year or more, subject to availability of seats as determined by the BRS.
- iv. At the time of interview if required, experts/ prospective Supervisors from allied/specialized areas may be invited.
- v. At the time of interview, the candidates are required to discuss their research interest/area through a presentation before BRS / a committee constituted by

BRS comprising proposed supervisor and SoS faculty of concerned subject. The interview shall also consider the following aspects:

- a. the candidate possesses the competence to carry out the proposed research:
 - b. the research work can be suitably undertaken at the University
 - c. the proposed area of research can contribute to new/additional knowledge.
- vi. The merit list of the recommended candidates shall be displayed on the website after approval by the BRS. There will be a waiting list in the order of merit.
 - vii. BRS reserves the right not to select candidates for all the vacancies advertised.
 - viii. The BRS shall ensure that all University rules as well as reservation rules are followed in the admission process.
 - ix. The registration of candidates in the Ph.D. Program may be confirmed by the BRS based on the recommendation of the RAC after completion of coursework.
 - x. SoS shall maintain a list of all the Ph.D. registered research scholars on its website on year-wise basis. The list shall include the name of each of the registered candidates, topic of his/her research, name of his/her supervisor/co-supervisor and date of enrollment/registration.

E. Course work

The coursework for Ph.D. Program shall be, offered by SoS.

- i. As per UGC Regulations 2016 the credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications. research ethics and review of published research in the relevant field, training, field work. etc. Other courses shall be advanced level courses preparing the students for Ph.D.

degree.

- ii. All courses prescribed for Ph.D. Program coursework shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. These courses shall be duly approved by BRS.
- iii. SoS shall prescribe the course(s) to him/her based on the recommendations of the RAC of the research scholar.
- iv. All research scholars admitted to Ph.D. Program shall be required to complete the coursework within initial one or two semesters.
- v. Marks/Grades in the course work including Research Methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final marks/grades shall be communicated to the University.
- vi. The BRS shall satisfy itself that each research scholar has completed the requirement or coursework. BRS shall provide to the student a certificate of completion of coursework and names of courses opted by each student. If a research scholar fails to qualify the coursework, he/she may be allowed to reappear only once, within six months of the declaration of result. If the result is still found unsatisfactory, RAC may recommend cancellation of his/her registration. This may be reported to the BRS. Under special circumstances (e.g. medical reasons) a final decision may be taken by BRS on the recommendation of RAC.
- vii. The credits of the coursework shall be transferable between the Schools of the University and inter-university, subject to their acceptance by BRS.
- viii. The research scholars shall not be allowed to take up any assignment outside the University during the coursework.
- ix. Research scholars already holding M.Phil. Degree or equivalent M.Phil. Degree (equivalence to be determined by BRS) and admitted to the Ph.D. Program,

may be exempted by the BRS from the Ph.D. coursework. All other research scholars admitted to the Ph.D. Program shall be required to complete the Ph.D. coursework prescribed SoS.

- x. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is allowed) in the course work in order to be eligible to continue in the Program and submit the thesis.
- xi. Upon satisfactory completion of course work and obtaining the marks/grade prescribed as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within a reasonable time (mentioned in point K), as stipulated by the University based on UGC Regulations. 2016.
- xii. After admission to Ph.D. Program, the research scholar in consultation with the Supervisor, may propose a tentative title for Ph.D. thesis within one year. However, the final title for the Ph.D. thesis must be decided at the time of the pre-Ph.D. presentation. The final title will be subject to approval of the RAC and the BRS.

F. Attendance

Research scholars shall be required to attend lectures (coursework) and participate in seminars arranged in SoS during the Program. The minimum percentage of lectures to be attended during the coursework will be two-thirds of the lectures delivered in all courses, individually.

G. Eligibility Criteria for Supervisor

- i. Any regular Professor of the University with at least two research publications in refereed journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree with at least five research publications in refereed journals may be recognized as a Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals,

BRS may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- ii. Only a full-time regular teacher of SoS can act as a Supervisor. External supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other School of the University or other related institutions with the approval of the RAC and BRS.
- iii. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. This is excluding supernumerary allotment. In case of co-supervision, an enrolled research scholar will be counted as one each, for the Supervisor and the Co-Supervisors.
- iv. In addition to the above faculty who wish to guide Ph.D. student should also have any one of the following,
 - a) guided Ph.D. in the past or students registered under her / him for Ph.D. at any given time.
 - b) undertaken research project (Funded or Non - funded) at any University or Institution or Research Organization or industry funded research project.
- v. In special circumstances, a faculty having no publications but has a funded project with postdoctoral experience can be recognized as Ph.D. Supervisor.

H. Allocation of Supervisor

- i. The allocation of Supervisor for a selected research scholar shall be decided by the BRS depending on the number of research scholars per Supervisor, the available specialization among the Supervisors and research interests of the research scholar as indicated by them at the time of interview.

- ii. In case of topics which are of inter-disciplinary nature and where Dean feels that the expertise in SoS has to be supplemented from outside, BRS may appoint a Supervisor from SoS itself, who shall be known as the Supervisor, and a Co-Supervisor from outside the School.
- iii. In case of relocation of a Ph.D. woman research scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which she intends to relocate, provided all other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the SoS, GSFC/Supervisor from any funding agency. The research scholar will, however, give due credit to the parent guide and the part of research, already done. The transfer of research data is applicable only if it is an independent project of the research scholar. In cases where the work being carried out is supported by a project secured by the SoS, GSFC/ Supervisor the research data/ material will remain with the SoS, GSFC/Supervisor.
- iv. In cases where teachers are retiring, leaving or are proceeding on long leave on deputation or where unforeseen circumstances have necessitated change of Supervisor, the BRS shall appoint Supervisor(s)/Co-Supervisor(s) as supernumerary allotment subject to the approval of the BRS.
- v. In cases where the Supervisor has three or less years before retirement, a Co-Supervisor from within SoS shall be mandatory. Such Co-Supervisor(s) must be in active service at the time of submission of thesis. Those appointed as Supervisor shall continue to guide the particular research scholar as Co-supervisor after retirement and the Co-supervisor will become Supervisor in that particular case. Fresh Supervision/Co-Supervision is not permitted after retirement.
- vi. Faculty members on deputation/long leave for more than a year may not be included in the list of proposed Supervisors in SoS and in determining the

number of vacant seats.

- vii. BRS, on the recommendation of the Supervisor, may appoint scholars of eminence who may be residing in India or abroad, as Co-Supervisor(s).
- viii. The recommendation of the BRS regarding the appointment of Supervisor(s) shall be approved by the Academic Council.
- ix. Each Supervisor is entitled to take a fresh research scholar after submission of the thesis of his/her previously allotted research scholar, based on maximum permissible number for that faculty member.

I. Financial Assistance to Research Scholars (Not Applicable in Case of Part Time)

- i. Research scholars who have cleared national Level examinations with JRF or equivalent shall get financial assistance from the concerned funding agency.
- ii. Research scholars who are working in projects as JRF and SRF shall get financial assistance from the designated projects.
- iii. Research scholars who do not have any financial assistance, may be awarded Non-NET UGC fellowships. The University, depending on the grant available from UGC, will determine the number of fellowships under this category annually.
- iv. Financial assistance shall not be provided where the research scholar is availing paid study leave.
- v. Foreign research scholars must show proof of financial support for the duration of the Ph.D. Enrollment.

J. Leave

- i. Any leave of more than thirty days from research work would require prior intimation and approval of the RAC and the BRS. This period shall be counted in the total duration for submission of thesis.

- ii. On the recommendation of the Supervisor and the RAC, the BRS may permit the research scholar to be away from the University to pursue research related to Ph.D. work for not more than two semesters after completion of the coursework.
- iii. Women scholars may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days. This period shall not be counted in the total duration for submission of Ph.D. thesis.
- iv. The Supervisor must report absence from research work by research scholar due to illness, Maternity leave or other circumstances to the RAC and BRS. Negligence of research work or any other acts of indiscipline must be recorded and reported to the RAC and BRS. On receipt of a complaint, the BRS may take appropriate action against the research scholar, including cancellation of his/her registration.
- v. Only in exceptional cases a research scholar may be allowed to de-register from the Ph.D. Program after successful completion of minimum duration of three years on the recommendation of the RAC and the approval of the BRS. The research scholar shall re-register within a period of three years. The Ph.D. thesis should be submitted within such a period that the period of initial registration and re-registration does not exceed the duration of the Ph .D. Program.

K. Duration of Ph.D. Program

- i. As per UGC Regulations 2016, full time Ph.D. Program shall be for a minimum duration of three years, including coursework and a maximum of six years. Part time Ph.D. Program shall be for a minimum duration of three and half years including course work and a maximum of six and half years.
- ii. A full time Ph.D. candidate shall be allowed to submit his/her synopsis after putting a minimum of five terms / consecutive semesters / 2.5 years and a part

time candidate shall be allowed to submit synopsis after completing of six terms / consecutive semester / 3.0 years and submit the thesis within one year after submitting the synopsis.

- iii. Full time Ph.D. candidate with M.Phil. Degree with same research area shall be allowed to submit his/her synopsis after putting a minimum of four terms / semesters / two years and a part time candidate with M.Phil. Degree with same research area shall be allowed to submit synopsis after completion of five terms / semesters / two and half year and submit the thesis within one year after submitting the synopsis.
- iv. Women candidate and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration.
- v. As per UGC Regulations, 2016, extension beyond the above limits will be governed by relevant clauses as given below:
 - a. For Ph.D. scholars, beyond a period of six years, a six-month extension can be granted by the BRS on a written justification for the delay by the research scholar. The request of the research scholar has to be recommended by the Supervisor and RAC.
 - b. Only in exceptional cases, with specific recommendations and justification from the Supervisor, RAC and BRS, the Vice Chancellor may recommend extension beyond six and a half years.

L. Evaluation and Assessment

- i. Prior to submission of the thesis, the research scholar shall make a pre- Ph.D. presentation in the Department, before the Research Advisory Committee, wherever applicable, which shall also be open to all faculty members and other students. The feedback and comments obtained from them may be suitably incorporated in the draft thesis in consultation with the Research Advisory Committee.

- ii. The research scholar shall submit the thesis after pre- Ph.D. presentation within a period of six months.
- iii. In case of issues related to Intellectual Property Rights, necessary patents shall be filed before disclosure in seminar.
- iv. A Ph.D. research scholar shall publish at least one research paper in a refereed journal before submission of the thesis and produce evidence for the same in the form of an acceptance letter or a reprint. This has to be certified by the Supervisor and Dean of the SoS.
- v. The University shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic unethical practices. Each thesis will go through a Plagiarism Check that will be verified by the University Library before submission. The certificate of verification given by the library has to be submitted along with the thesis at the time of thesis submission in the Examination Department. The thesis has to be submitted within 30 days from the date of plagiarism check.
- vi. The thesis must be a piece of original research work characterized either by the discovery or new facts, or by a fresh interpretation of facts or theories. In either case, it should show the research scholar's capacity for critical examination and judgment. It must be satisfactory as far as its language and presentation are concerned.
- vii. The research scholar may incorporate in the thesis the contents of any work published by him/her on the subject during the course of his/her Ph.D. and shall indicate the same in the thesis. If any content of the published work has been incorporated in the thesis of one of the authors, then the same content cannot be included by any of the other authors for award or any degree or diploma.
- viii. For submission of Ph.D. thesis, the abstract of the thesis including Table of Contents must be forwarded by the Supervisor to the Dean, SoS for

consideration by the BRS. The Dean, SoS shall convene a meeting of the BRS within one month of submission of the abstract with Supervisor of the thesis as an invitee to recommend a panel of a minimum of six external examiners, who shall be eminent scholars and specialists in the area of the thesis, normally not more than one from the same school. The BRS shall review the recommendations of the RAC and forward them to the Examination Department within one month of the submission of the thesis. In order to avoid delay, the Chairman of the BRS may approve the panel of examiners duly recommended by the concerned RAC and report the same, in the next meeting or BRS.

- ix. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Supervisor and at least two external examiners, who are/were not in employment of the University. One examiner may be appointed from outside the state / country. The viva-voice examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners and shall be open to be attended by Members of the RAC, all faculty members of the School, other research scholars and other interested experts/researchers.
- x. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other institution. The Dean, SoS shall countersign these certificates for submission of the Ph.D. thesis. In case of re- submission, the same procedure may be followed. The research scholar shall also attach a Student Approval Form in the format provided by the UGC for hosting and distributing their thesis in digital format in 'Shodhganga', or any other server designated for this purpose by UGC.
- xi. The research scholar shall submit four double-sided typed and printed

softbound copies of the Ph.D. thesis to the Examination Department of the University. The soft copy of the Ph.D. thesis must be submitted in specified media (CD/DVD) in specified formats (Open Office/MS office Document Format, Tex. Latex or other standard Format) that are convertible to *pdf*. file. The *pdf*. file of the thesis may be sent to examiners via email.

- xii. The Examination Department may send all communication to the examiners viz. request for consent, sending of Ph.D. thesis for evaluation and receive report/s electronically through e-mail.
- xiii. The examiners may (a) recommend that the degree be awarded; (b) recommend that the degree be awarded subject to corrections/revision being made in consultation with the Supervisor before viva voice; (c) ask for re-submission of the thesis or (d) reject the thesis.
- xiv. The Supervisor will provide a general report and a technical report based on the comments of all the examiners duly signed by the Supervisor and the Dean, SoS to the Examination Department. Anonymous reports of the examiners should be shared with the research scholar only for the purpose of revision only.
- xv. As per UGC Regulations 2016, the public viva-voice of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the viva-voice examination. If the evaluation report of one of the external examiner, is unsatisfactory and does not recommend viva-voice, the University shall send the thesis to another external examiner out of the approved panel of examiners and the viva-voice examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

For Ph.D. thesis evaluation, the corresponding actions suggested in the following

table may be followed based on the comments/observations received from external examiners:

Recommendation	Examiner 1	Examiner 2	Examiner 3	Action Suggested
Event 1	Accept	Accept	Accept	Viva Voce
Event 2	Accept	Accept	Minor revision	Revise thesis in consultation with Supervisor followed by viva voce.
Event 3	Accept/ Re-submission	Accept/ Re-submission	Re-submission	Re-submission within one year after incorporating suggestions. Thesis to Be sent to all examiners again.
Event 4	Accept	Accept	Reject	Thesis to be sent to Fourth examiner whose recommendation be final and binding.
Event 5	Accept/ Re-submission	Reject	Reject	Reject and cancel registration.

xvi. For any cases that need special consideration, a Special Committee consisting of the Provost, **Chairperson of Academic Council**, Dean of SoS, Chairman of the concerned RAC, The Supervisor(s) of the candidate and three Professors/Associate Professors of the University nominated by the Provost may be referred to for a decision in the matter.

- xvii. The public viva voce of the research scholar to defend the Ph.D. thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specified recommendation for the conduct of the viva voce examination.
- xviii. The open viva voce by the research scholar may also be done through Skype/Video conferencing, if required.
- xix. If the thesis has undergone revision after external evaluation, the soft copies of the final version of the Ph.D. thesis, after revision, must be re-submitted to the Examination Department. In order to ensure that the soft copy is complete and exact replica of the print version accepted for award of Ph.D., the Supervisor(s)/Dean, SoS must authenticate the soft copy submitted by the scholar.
- xx. Following successful completion of the evaluation process and the announcement of the award of the Ph.D., the University shall submit an electronic copy of the Ph.D. thesis to the Examination Department to be submitted to INFLIBNET for hosting the same to make it accessible to all Institutions/Colleges.
- xxi. The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of Ph.D. thesis.
- xxii. Prior to the actual award or the degree in convocation, the University may issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations. 2016.
