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Abbreviation:

URDC – University Research Degree Committee

RDC – Research Degree Committee

DRDC – Departmental Research Degree Committee

DRSC – Departmental Selection Research Committee

1. PREAMBLE

- A. Consistent with the availability of the required infrastructure, the GLA University, Mathura, established wide UP Act 21 of 2010, is approved by UGC under section 22 of the UGC act 1956 and is also inspected by UGC under section 2F, hereinafter referred to as the University shall provide facilities for research in several areas of Science & Technology, Engineering, Pharmacy, Management, Humanities and other interdisciplinary fields leading to the award of the Degree of Doctor of Philosophy, hereinafter abbreviated as Ph.D.
- B. The Regulations, hereinafter specified, lay down the procedure to be adopted for the research programme for the Ph.D. Degree of the University.
- C. Department, wherever mentioned in these Regulations refers to a Department of the University.
- D. Departmental Research Degree Committee (DRDC) wherever mentioned in these Regulations refers to the Research Degree Committee (RDC) of the Department of the University.
- E. Research Degree Committee (RDC) wherever mentioned in these Regulations refers to the Research Degree Committee (RDC) of the University.
- F. Academic Council, wherever mentioned in these regulations, refers to the Academic Council of the University.
- G. A scholar is any eligible person, who is registered at the University for any specific Ph.D. programme. Prior to registration, this person is referred to as an applicant.
- H. Supervisor/Co-Supervisor/Internal Supervisor/External Supervisor is a person approved by the RDC/Academic Council/DRDC for the guidance of the Scholar while pursuing the programme of research leading to Ph.D. degree of the University.

The objectives of the Research Programmes at the GLA University, Mathura are:

- To be a leading R & D Institution,
- To carry out research in the frontier areas of science, technology, pharmacy, biotechnology, humanities and management. To develop and transfer technologies to the industries.

- To develop the scientific, managerial and engineering manpower of the highest quality to cater the needs of the society,
- To be a role model of educational Universities in the country,
- To provide a broad grasp of the fundamental principles of the sciences and scientific and technological methods ,
- To provide a deep understanding of the area of specialization, To provide an innovative ability to solve new problems,
- To provide a capacity to learn continually and interact with multidisciplinary groups,
- To develop the students with a capacity for free and objective enquiry, confidence and integrity, awareness and sensitivity to the needs and aspirations of society and, to develop knowledge and create new Technology in the process of student learning.

With these goals in view, the Research Programmes are designed to include Courses of study, Seminars and Thesis through which a student may develop his/her concepts and intellectual skills.

The procedures and requirements stated in these Ordinances embody the philosophy of the Research Programme and ensure a high standard of performance at the University. Within this general framework, subject to the approval of the Research *Degree Committee* (RDC), the various Departments may impose such additional requirements as will serve their particular academic goals. The Department Research Degree Committee (DRDC) shall ensure that all the Rules and Procedures given in the Ordinance are adhered to and implemented without any change. While considering an issue if the Ordinance does not specifically mention something, the same shall be forwarded to Dean (R&D) through RDC for its consideration.

1.1 Reaserch Programme

Various Institutes/Departments of the University offer the Doctoral Programme. The Research Degree Committee (RDC), established according to the bylaws of the Dean (R&D) office, operates through the Department Research Degree Committees (DRDCs) to administer all aspects of the Programmes.

1.2 University Research Degree Committee (URDC or RDC)

The University Research Degree Committee (RDC) shall consist of one representative from each of the Academic Departments who shall be the Chairperson of DRDC and six additional members of whom one shall be the outgoing Chairperson RDC (if not otherwise a member), Dean (R&D), two Vice- Chancellor's nominees holding Ph.D. degree. Dean (R&D) will be the Chairperson of RDC. In case of no Dean R&D is appointed or nominated then the Vice-chancellor will nominate the Chairperson amongst the members of the RDC. The RDC shall meet two times in every semester

The Research Degree Committee shall have jurisdiction in the recommendation of the following matters concerning the Research Programme of the University:

- Introduction of new Course(s) of instruction, Desirable modification of Courses already approved, Modification of the credit value of Courses in consultation with Academic council.
- Modification of eligibility criteria for admission in consultation with admission committee, Modification of the Rules governing the form of presentation and disposal of Thesis, Conduct of oral and written Examinations in consultation with Controller of Examination.
- Award of Degrees, and Other related matters as may be referred to it by the Dean (R&D and Controller of Examination).

The functions of the RDC shall be of general policy determination, coordination and review, but the Dean (R&D) shall retain the power of final decision. In the discharge of its responsibilities the Committee shall make full use of the appraisals and recommendations of the various Academic Departments. This Committee shall be assisted by the Department Research Degree Committee (DRDC).

1.3 Department Research Degree Committee (DRDC)

Each Department shall have a Department Research Degree Committee (DRDC) consisting of Director / Head of the Department and four faculty Members (with earned Ph.D. Degree) to be chosen from the Department, including one Faculty Members from other Department and preferably one member from other Institute/ University within India. However, so far as the External Members (outside the university) are concerned depending on

requirement the department may opt for more members of different specialization keeping in view proper justification, proper guidance and planning for future work of research scholars. But this would require approval of Vice-chancellor and Dean R&D. Apart from the other Departmental Faculty Members at least two members from the Department should be Professor, if available; at least one each should be Associate Professor and Assistant Professor. The DRDC and its Chairperson shall be proposed by the Head of the Department in consultation with the Faculty of the Department in the departmental meeting for a term of two years. The duration of the Committee shall be two years starting from the month of July of the Academic Session. Chairperson of DRDC should be appointed by concerned Head of the Department for a time period of five (5) years. The proposed DRDC shall be approved by the Dean (R&D).

The DRDC shall be responsible for the following:

- (i) Monitoring of quality of instructions to students.
- (ii) Attending to the problems of Ph.D. students and advising them in academic matters.

The Chairperson DRDC shall hold its meeting regularly and keep record of its decisions.

1.4 Office of the Dean (R&D)

The Dean (R&D) shall be responsible for the implementation of the decisions taken on academic matters by the RDC. The office of the Dean (R&D) shall (i) receive, process and maintain all records related to the Research Programmes including Curricula, Courses offered, Academic Calendar, Registration, Semester Leave, Examinations, Grades and Award of Degrees and Medals/Prizes, (ii) disseminate information pertaining to all academic matters, (iii) issue necessary Memoranda/Orders, (iv) act as a channel of communication between the Students, Instructors/Supervisor(s), Institute/Departments and RDC. The Ph.D. and D.Sc. Section of the office of Dean (R&D) shall assist the RDC in its functioning.

2. ACADEMIC SESSION

The Academic Session of the University is divided into two Regular Semesters, termed as Odd and Even Semesters. The Odd Semester shall normally

commence from the third week of July, and the Even Semester from the last week of December (or first week of January) every year, respectively. Each regular Semester (Odd and Even) shall be normally of fourteen weeks duration for the purpose of instructions.

2.1 Academic Calendar

The exact dates of all the important events, such as orientation, registration, late registration, commencement of classes, adding and dropping of courses, submission of documents, examinations, submission of grades, vacation, mid-semester recess, official student activities etc., during the Academic Session shall be specified in the Academic Calendar of the University as approved by the Academic Council. The Dean (Academic) will notify the Academic Calendar of each Semester.

3. ADMISSION

3.1 Admission Committee

Each department shall have a Ph.D. admission committee duly approved by the academic Council/Vice-Chancellor with the following composition:

- (a) Chairperson (to be nominated and/or approved by Vice-Chancellor)
- (b) All professors or at least two teachers of the Department who are eligible to become Ph.D. guide - Members
- (c) Two teachers from allied department – Members

3.2 Admission Calendar

Admission shall normally be made in June-July for the odd Semester. However, Academic Council may decide to admit students in December-January for the Even Semester.

3.3 Eligibility for Admission

- a. The eligibility conditions given below shall be considered to be the absolute minimum. Departments shall reserve the right to prescribe any requirements over and above these, subject to the approval of the Chairperson Academic Council.
- b. The “specified minimum” marks/CPI (Cumulative Performance Index),

referred to in subsequent sections shall imply a minimum of 60% aggregate marks or CPI of 6.75 at qualifying Examination.

For SC/ST candidate's eligibility in specified minimum marks/CPI shall be relaxed as per the Government of India norms.

- c. Reservation in the Programme shall be done as per the Government of India Rules.
- d. A woman Ph.D. scholar registered in any UGC recognized University may take admission in Ph.D. at GLA University as per the guidelines laid by UGC dated 12th April, 2016.

3.2.1 *Ph. D. in Engineering*

Master Degree in relevant branch of Engineering/Technology with marks not below 60% or CPI 6.75

OR

Bachelor's Degree in Engineering or Master's Degree in Science/Applied biological sciences/Computer Application or any appropriate discipline with a minimum 75% marks or CPI 8.25.

3.2.2 *Ph. D. in Management*

Master's Degree in Management/Technology/ Engineering/ Economics/ Commerce/Science/Computer Applications/Social Science with a minimum 60% marks or equivalent CPI 6.75,

3.2.3 *Ph.D in Sciences, Humanities and Social Sciences (HSS)*

Master's Degree in the relevant subject with a minimum 60% Marks or CPI 6.75

3.2.4 *Ph. D. in Pharmacy*

Master's Degree in Pharmacy with a minimum marks 60% or CPI 6.75

Where the eligibility qualification is Master's Degree in Engineering/ Pharmacy Science/Computer application/Commerce /Economics/English or any subject of Humanities or Life Sciences or Management, GATE/GPAT/NET qualification is desirable.

3.3 Admission Categories of Ph.D. Research Scholars

All the Departments offer full-time and part-time Doctoral Programmes under following categories. The category code is also given in the table below:

SI. No.	Description	Category Code
I.	Institute Stipendiary Full-Time Research Scholar	01
II.	Self-financed Full-Time Research Scholar	02
III.	Sponsored Full-Time Research Scholar	03
IV.	Self-finance Part-Time Research Scholar	04
V.	Faculty/Staff/Sponsored Project Fellow of GLA University, Mathura: Part-Time Research Scholar sponsored by other Institute/ University	05

The student can change his/ her admission category only from Full-Time (01, 02 & 03) to Part-Time (04) only after completing minimum residential requirement and state of Art Seminar.

3.3.1 *Institute Stipendiary Full Time Research Scholars (Category Code-01):*

These scholars shall be eligible for financial assistance in the form of fellowship at the approved rates and guide lines as notified by office of Registrar, GLA University, from time to time. The fellowship shall be awarded to the students of this category on a Semester-to-Semester basis on the recommendation of DRDC through Head of the Institute (Form:RP-07). The renewal of the assistantship is dependent on the satisfactory academic performance of the scholar.

3.3.2 *Self-financed Full-Time Research Scholars (Category Code-02):*

Self-financed full-time research scholars are those who support themselves or receive fellowship from other agencies such as UGC, CSIR, DST, etc. They

shall not receive any financial support from the University in any form.

3.3.3 *Sponsored Full-Time Research Scholars (Category Code-03):*

- (a) Sponsored Full-Time Research Scholars are those who receive financial support from AICTE under QIP scheme OR from Government/Semi-Government Institutions/Private Organizations, under study leave. Such a candidate must be sponsored by his/her employer and must have been in employment with the sponsoring organization for at least two years at the time of admission. Candidates in service are to be released on study leave or extraordinary leave from the organization for full-time research work at the University and must furnish a sponsorship along with No-objection certificate (NOC) from the employer.
- (b) Foreign students shall be sponsored by their Government or awarded scholarship by Govt. of India, Indian Council for Culture Relations (ICCR) or other such agencies/organizations.

3.3.4 *Self finance Part-Time Research Scholar (Category Code - 04):*

Self-financed part-time research scholars are those who support themselves. They shall not receive any financial support from the University in any form and having one (01) year post qualification relevant working experience.

3.3.5 *Faculty/Staff/Sponsored Project Fellow of GLA University, Mathura: Part-Time Research Scholars (Category Code - 05):*

Candidates under this category shall be Faculty/Staff of the University/Project Fellow working in the various sponsored research projects undertaken by the University and having one (01) year post qualification relevant working experience.

Candidates in service are to be released on study leave or extraordinary leave from the organization for full-time course work at the University and must furnish a sponsorship along with No-objection certificate (NOC) from the employer.

3.4 Admission Procedure

1. Admission to the Ph.D. Programmes shall be based on interviews and/or written examination of the eligible/shortlisted candidates by the DRDC.

The University may decide separate terms and conditions for those students who qualify UGC/CSIR (JRF) Examination/SLET/GATE/teacher fellowship holder or have passed M.Phil. Programme for Ph.D. Entrance test.

2. All admissions shall be made only after approval of the Dean (R&D) on the recommendations of the duly constituted Department Research Selection Committee (DRSC) and Chairperson DRDC.
3. The DRSC shall be constituted every year in the month of July for admissions to Doctoral Programmes. The DRSC shall consist of at least four faculty members (all with earned Ph.D. Degree), one of whom shall be from another Department. The constitution of the Selection Committee shall be proposed by the Head of the Department and approved by Chairperson RDC.
4. Reservation for various categories shall be applicable as per GOI Rules.
5. On approval by the Dean (R&D), the Head of the Department shall issue the admission letter to the candidates, who shall be required to accept the offer of admission by depositing the prescribed fee before the specified date.
6. In case a candidate does not accept the offer by paying the prescribed fee by the specified date, the offer of admission shall stand automatically withdrawn, and the admission may be offered to the candidates in the waiting list, if any.
7. The offer of admission shall also stand withdrawn if the candidate fails to register by the last date of registration after accepting the offer of admission.
8. The selected candidate, who has completed all the pre-requisite Examinations including Project/Thesis Examination and the Viva-voce before the date of registration but is unable to produce the certificate of proof of having passed and secured the minimum specified qualifying marks, shall be considered for provisional admission. However, if admitted provisionally, he/she shall be required to produce the evidence of his/her having passed the qualifying degree examination within eight weeks from the last date of registration, failing which the admission shall automatically be cancelled.

3.4.1 Admission of Faculty/Staff of the Institute/Sponsored Project Fellow: Part-Time Research Scholar

1. Faculty/Staff and Sponsored Project Fellow of the University shall be admitted after screening to fulfill eligibility criteria as specified in clause 3.3, by DRSC. These candidates shall apply through proper channel and follow the admission procedure as mentioned in clause 3.4.
2. Project Fellow, if admitted, shall be required to pursue his/her Ph. D. research work in the area of research project and with Principal Investigator and/or Co- Principal Investigator only.

3.4.2 Admission of Non Residential Indian Abroad (NRI) and Foreign Nationals

1. NRI candidates must have been residing abroad continuously for at least five years at the time of applying for admission. Foreign/NRI applicants/ Applicants with Master's degree from a foreign university must apply with an equivalence certificate of AIU along with the Online Application Form. They shall apply for admission through Indian Embassy in their country. Their applications shall be processed by the DRSC as and when they are received or according to any schedule convenient to the Department. The applications shall be scrutinized to make sure that, both in terms of qualifications and attainment; they are comparable with the candidates admitted in the respective category. Such candidates may be exempted from written examination at the discretion of the Vice-Chancellor.
2. The applications of foreign nationals, who are sponsored by the Indian Council of Cultural Relations (ICCR) /MHRD, shall be scrutinized by the Department concerned to assess their suitability for admission to the programme. Foreign students under this category shall be admitted through Embassy of their countries after getting approval from the Ministry of Home Affairs and the Ministry of Human Resource Development, Government of India.

3.5 Cancellation of Admission

All students admitted to Ph.D. Programme shall submit copies of their mark-sheets, provisional certificates, etc. of the qualifying examination and other

documents by the last date specified for the purpose in the Academic Calendar. The Dean (Academic) in consultation with the Vice Chancellor may cancel the admission of any student who fails to submit the prescribed documents by the specified date or to meet other stipulated requirement(s). The Academic Council may also cancel the admission at any later stage if it is found that the student had supplied some false information or suppressed relevant information while seeking admission.

4. REGISTRATION

The office of the Dean (Academic) shall coordinate the registration process with the assistance of the Chairpersons of DRDC. A student shall register each Semester for the Courses/Mini-projects/Comprehensive Examination/State-of-the-Art Seminar/Thesis Performance Credits that he/she intends to pursue in that Semester.

1. The registration process shall involve payment of fees for that Semester and clearance of any outstanding dues of the previous Semester, and Signing the registration.
2. All the students including those who are on authorized leave shall continue to register in the following semesters till they submit their Thesis.
3. Those students who after registering the Semester have to avail leave for more than as admissible in the Ordinance must be either advised for Semester drop.
4. A student who has delivered his/her Open Seminar/submission Seminar successfully shall register with Semester fee in subsequent Semester(s) till the submission of the Thesis.
5. A student who has submitted his Ph.D. Thesis shall not be required to register in subsequent Semesters.

The sole responsibility of registration shall rest with the student concerned.

4.1 Late Registration

No registration shall be done after the notified last date of Registration in the Academic Calendar during the Semester except in special cases with the permission of the Vice Chancellor.

4.2 Academic Advising

A student shall be advised to submit the subject name& code for course work and the supervisor on the prescribed format (Form: RP-12).

4.3 Semester Load Requirements

A Student shall also deliver seminar at the end of each Semester for showing the progress made during that Semester. Chairperson DRDC shall announce such a date right at the beginning of each Semester. The progress shall be evaluated by DRDC. The progress report shall be submitted to office of Dean (R&D) in a prescribed format (Form: RP-03).

4.4 Adding/Dropping of Courses and Withdrawal from Courses

4.4.1 Adding and dropping of Courses after registration shall be permitted only if the student's request in a prescribed format (Form: RP-04), advised by the Supervisor(s) endorsed by the Coordinator of the Course with justification that he/she is adding or dropping a Course and is also routed through the Chairperson DRDC and HoD. The last date of applying for adding and dropping of Courses shall be notified by Dean (R&D) from time to time.

4.4.2 A student shall be required to drop a Course at any stage but prior to last date if it is found that he/she does not fulfill the prerequisites for the Course, or any Rule in the ordinance forbids him/her to take the Course(s) that he/she has registered for.

4.4.3 The Chairperson DRDC in consultation with the Course Coordinator and with the approval of the Chairperson RDC may allow a student at his/her request to withdraw from one or more Courses during the semester, if he/she has been sick for considerable time of three weeks, and has submitted a certificate to the satisfaction of the Chairperson DRDC, but the reduced load shall not be less than the minimum semester load (specified in Section 7.2).

4.5 Change of Registration from Full-Time (Code 01) to Part-Time (Code 04)

1. A student admitted to a full-time Ph.D. Programme may be permitted to change to a Part-time Ph.D. Programme. A student requesting such a

conversion must:

- (i) have completed the Coursework, passed the Comprehensive Examination, given the State-of-the- Art Seminar which is adjudged as satisfactory, and completed the residence requirements,
- (ii) Get the request endorsed by the Supervisor(s) and recommended by Chairperson
- (iii) DRDC in the prescribed format (Form: RP-05).

2. Such conversion, if approved by the Chairperson RDC, shall be subject to the following conditions:

- (i) The student must complete his/her Thesis within 6 years counted from the date of his/her first registration in the Programme,
- (ii) Provision of conversion from full-time to part-time status can be availed only once by the student during his/her Programme.

5. LEAVE RULES

Full-time students may be granted leave on submission of application to the Head of the Department concerned through the Supervisor and Chairperson DRDC. Application in the prescribed format (Form: RP-06) must be submitted well in advance of the date of commencement of the leave requested.

5.1 Leave

- 1. A Ph.D. student may be allowed maximum leave of 15 days in a Semester or 30 days in an Academic Calendar year.
- 2. The students going for prescribed training, or any academic work related to the Thesis work up to maximum of 15 days, assigned by the Supervisor, recommended by Chairperson DRDC and approved by the HoD shall be treated as On-duty. Any such assignment for more than this period shall require prior approval of the Chairperson Academic Council through Chairperson RDC.

5.2 Semester Leave

Semester leave for up to a maximum of two Semesters may be sanctioned for valid reasons. Except for medical reasons, such leave would not normally be sanctioned before a student has completed his/her residence requirements. Leave for more than one Semester at a time shall not be granted.

5.3 Absence without Sanctioned Leave

Absence without sanctioned leave shall entail loss of financial assistantship for the period of absence in case of stipendiary candidates, and may result in the termination of the student's Programme on the recommendation of the DRDC and approval of RDC. Head of the Department shall issue the termination letter.

6 PROGRAMME RESIDENTIAL REQUIREMENTS AND GRADING SYSTEM

6.1 Pre-Ph.D. Qualifying courses:

(a) All Ph.D. Scholars with master's degree or equivalent qualification will be required to complete the following courses after admission to the Ph.D. Programme.

(i) Theory courses related to the discipline/domain of research : 2 units
(minimum)

(ii) Theory courses on research methodology/imbibing- Computational Technique/Scientific Computing/Statistics Data analysis, etc. : 1 unit
(minimum)

(iii) Project based on Literature Review/ Research
Methodology, etc. related to the domain of research : S/U
(Including comprehensive examination)

(b) All Ph.D. Scholars with B.E./B.Tech. will be required to complete the following courses after admission to the Ph.D. Programme.

(i) Theory courses related to the discipline of research : 2 unit (minimum)

(ii) Theory courses on research methodology/imbibing- Computational Technique/Scientific Computing/Statistics Data analysis, etc.: 1 unit
(minimum)

- (iii) Theory courses related to the domain of research : 3 unit (minimum)
 - (iv) Theory/Laboratory courses related to discipline/domain of research,
comprehensive report on the domain of research : S/U
(Including comprehensive examination)
- (c) The maximum duration for completion of the Pre-Ph.D. qualifying courses will be 18 months for categories 6.2(a) and 24 months for category 6.2(b) including comprehensive examination from the date of admission to the doctoral programme of the University.
- (d) The theory courses shall be offered through class room instructions. A Ph.D. student pursuing the course work must attend at least 75% of classes in each course. However, the Director may condone the attendance requirement for a student depending upon the genuineness of the case.
- (e) Course work may be carried out by doctoral candidates in sister Departments/ Institutes either within or outside the University for which due credit will be given to them. In such case the candidate should take prior written approval from Chairman Academic Council through DRDC and Dean (R&D).
- (f) The student must clear the comprehensive examination. In case, the candidate is not able to clear the comprehensive examination as mentioned, he has given one more chance to clear his Comprehensive Examination. If he failed again then his/her admission/registration for Ph.D. programme will automatically stand cancelled.
- (g) The candidate can make an application to the DRDC, duly recommended by the Supervisor, for change of the title, prior to preparation of a draft thesis which will normally be accepted by the DRDC depending upon the nature of the research work carried out by the candidate.
- (h) A scholar of the Ph.D. Programme may be advised to take appropriate/audit courses at the postgraduate levels at the University, without payment of any fees, to make up for his deficiencies.
- 6.2. Time limit for the Ph.D. work**
- (a) The minimum period for submission of thesis by candidate holding Master's Degree in Engineering, Technology, Management, Computer Application, Arts

& Science shall be 3 years for full-time candidates and 4-years for part-time candidates from the date of registration/admission (deposition of first fee).

The minimum period for submission of thesis by candidate holding B.E./B.Tech. Degree shall be 4 years for full-time candidates and 5-years for part-time candidates from the date of registration/admission (deposition of first fee)

- (b) The maximum period for submission of thesis shall be 5-years for full-time candidates and 6-years for part-time candidates from the date of registration/admission (deposition of first fee). However, this period can be extended by another 2-years by the Vice-Chancellor, on the recommendations of the DRDC through the Supervisor/Dean R&D, on genuine grounds.
- (c) Women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two year. In addition, women candidates may be provided maternity leave/ child care leave once in the entire duration of Ph.D. for up to 240 days.
- (d) The student will have to register with proper registration fees in every semester until the submission of the thesis.

6.3 GRADING SYSTEM

Grading system is similar as UG and PG courses of the university ordinance.

6.4 Academic Performance Requirements

The minimum acceptable cumulative grade point average for the course work shall be 6.75 on 10 point scale or 60%.

6.5 Appeal Against Termination

A student, whose programme is terminated on account of inadequate Academic Performance or otherwise, may appeal to the Chairperson Academic Council for reconsideration through DRDC and RDC. While making the appeal against termination, he/she shall give reasons for his/her poor Academic Performance and/or to explain why his/her position merits reconsideration. The RDC shall take a final decision after considering all the available inputs. The RDC shall not entertain any further appeal for review unless substantial additional

information is brought to its notice. The RDC shall not entertain the appeal more than two times from the same student.

7.0 SEMESTER WISE EVALUATION AND ASSESSMENT

- The candidate has to submit the progress report of the semester in one-page approved by the Supervisor(s).
- The presentation to assess the progress of the candidate is to be preferably made at the end of semester (April-June/Oct-Dec), but in any case one week before the date of registration. Progress of the candidate assessed by his work in terms of publication.
- If the candidate has given (open Seminar/Pre-PhD Thesis Submission Seminar) then the presentation for assessing the progress is not required.

8.0 COMPREHENSIVE EXAMINATION

1. Students registered in the Ph.D. Programme must pass a Comprehensive Examination with 'S' grades designed to test the overall comprehension of the student in various subjects. A student can appear in the Comprehensive Examination only after he/she has completed the Course Work requirement satisfying the minimum specified CPI requirement.
2. Students after the completion of the Course Work shall appear in the Comprehensive Examination in the subsequent Semester.
3. In case a student fails to clear Comprehensive Examination within the specified period, extension of three months can be given by Chairperson DRDC.
4. The Examination shall be in oral form but may be supplemented with a written part if Department so desires as a policy with the approval of Chairperson RDC.
5. A student shall be considered to have passed the Comprehensive Examination if all members of the Board (Form: RP-08) are satisfied with student's performance in the Examination. The report of the Comprehensive Examination must be sent to the Chairperson RDC within two weeks of the date of Examination in the prescribed format (Form: RP-09).
6. If a student fails to clear the Comprehensive Examination in his/her first attempt, a second Comprehensive Examination shall be conducted. A student

shall not be allowed to appear in the Comprehensive Examination more than twice. In case the candidate fails to clear Comprehensive Examination in the second attempt, he/she shall be deemed to have been terminated from the Programme. The Head of the Department shall issue the letter in this regard. All such cases shall be brought to the notice of the Academic Council.

8.1 Candidacy for the Ph.D. Degree

A student enrolled in the Ph.D. Programme is formally admitted to the candidacy for the Ph.D. Degree after he/she has completed the Course requirements suggested for the Degree with at least the minimum required CPI, and has passed the Comprehensive Examination. Only such students who are admitted to the candidacy shall be allowed to submit Ph.D. theses in accordance with the guidelines.

9.0 STATE-OF-THE-ART SEMINAR

Every Ph. D. student admitted to the candidacy for the Ph.D. degree shall be required to give a general seminar in the Department covering the State-of-the-Art in the area of research. A detailed research plan (two copies) shall be submitted by the candidate at the time of delivering the State-of-the-Art Seminar. The State-of-the-Art Seminar shall be given within six month from the successful completion of the Comprehensive Examination by giving a prior notice. If a student fails to deliver State-of-the-Art Seminar satisfactorily within this period he/she may be given one time extension of maximum six months by Chairperson RDC on recommendation of DRDC with valid reasons, failing which the registration shall automatically stand cancelled. Head of the Department shall issue the termination letter. State-of-the-Art Seminar shall be evaluated by Departmental Research Degree Committee (DRDC). A report of satisfactory completion of this requirement shall be communicated to Chairperson RDC, along with the duly approved research plan, by the Thesis Supervisor through the Chairperson DRDC in the prescribed format (Form: RP-10).

10.0 OPEN SEMINAR/ PRE Ph.D. SUBMISSION SEMINAR

Before submission of the Thesis, a Ph.D. student shall deliver an Open Seminar

before the DRDC which shall be open to the Faculty and students. For open seminar supervisor get written approval from Dean R&D with the proof of publication requirement of the course through DRDC. The student shall present his/her research work to obtain comments and criticism, which shall be incorporated in his/her Thesis to the satisfaction of the Supervisor(s). A notice of the Seminar must be displayed at least five working days in advance. A Thesis can be submitted only after the satisfactory fulfillment of this requirement. The candidate shall inform the Chairperson DRDC through his Supervisor for his/her readiness to deliver the Open Seminar after the proof of two research paper published/ accepted in a referred Journal of Repute (DRDC approved listed Journal). Department Research Degree Committee (DRDC) shall evaluate and submit report of the Open Seminar in the prescribed format (Form: RP-11). In case candidate fails to deliver the Open Seminar satisfactorily, then he/she may be given another opportunity by Chairperson RDC on the recommendation of DRDC but candidate has to deliver the Open Seminar within next six months. The thesis (soft bound) cannot be shown to anybody except thesis supervisor before open seminar.

Thesis should be submitted within Six months after the date of Pre Ph.D Seminar.

However three months extension can be given with prior written approval from Dean(R & D) for the thesis submission.

If the candidate fails to submit the same within the extended period then he/she has to deliver Open Seminar again after the written approval of the Dean (R & D).

11. COMPLIANCE REPORT

Prior to the submission of the thesis, the scholar registered for the Ph.D. Programme at the University should have complied with the following requirements:

1. He/she must have carried out the research work for a minimum period, counted from the date on which the admission fee has been deposited as specified in section 6.3.

2. He/she should have satisfied the minimum residence requirement as section 6.1.
3. He/she should have taken and passed the prescribed qualifying examination and course work as provided as section 6.2.
4. He/she must have published at least two research papers in a referred journal of repute (DRDC approved listed Journal).
5. He/she must have made Pre-Ph.D. thesis submission seminar presentation of his/her thesis work in the concerned department of the University.
6. The candidate will be allowed to submit the thesis only after the permission of DRDC. The candidate should submit four copies of synopsis and the thesis in soft cover in the format prescribed by the University along with its soft copy along with form No. RP-20 and RP-21.

12. APPOINTMENT OF THESIS SUPERVISOR(S) AND CONSTITUTION OF VARIOUS COMMITTEES/BOARDS

12.1a Criteria for Approval of New Thesis Supervisor(s)

- a. A full time regular faculty Member of the concerned department having Ph.D. degree can only become Ph.D. Thesis Supervisor as per UGC letter no. D.O. No. F10-6/2011(PS) misc. dated on 06th July, 2015.
- b. In addition, every faculty member must have at least 1 year post Ph.D. experience of teaching/ Research OR a total teaching/Research experience of 10 years or above. Post graduate (PG) teaching will be preferred in those departments where PG courses run.
- c. Every faculty member must have publication in a referred Journal of Repute (DRDC approved listed Journal) to become Ph.D. supervisor.

12.2b Appointment of Thesis Supervisor(s)

- a. A student shall be provided Thesis Supervisor(s) prior to the first registration.
- b. A student shall not have more than two Supervisors, including external

Supervisor, at any time.

- c. The student shall propose the Supervisor(s) in the application form itself. The registered candidate shall submit the Form: RP-12 and the concerned Supervisor(s) shall submit the Form: RP-13
- d. A student can have a Co-Supervisor from outside the University (within or outside the country) in addition to a Supervisor from the University on the recommendation of the DRDC and the URDC and with approval of the Chairperson Academic Council.
- e. Any change/addition in the existing Supervisor, if desired, shall be routed through DRDC. Candidate shall fill up the prescribed form (Form: RP-14) to propose the new Supervisor(s), with no objection certificate from existing Supervisor(s) and consent of the proposed Supervisor(s) routed through Chairperson DRDC and HoD. The change/addition shall be decided by the Chairperson Academic Council on the recommendation of the Chairperson DRDC.
- f. In case of change/addition of Supervisor(s), the Open Seminar can be held only after one year from the date of approval of such change.
- g. The Supervisor shall cease to be a Supervisor if he/she proceeds on leave for more than one year. The HoD in consultation with the Supervisor(s) and the student shall appoint another Thesis Supervisor before the Supervisor proceeds on leave. Further, if all research work and related analysis are complete except writing of the Thesis, and the Supervisor proceeds on leave, the Chairperson DRDC shall take care of the formalities, such as providing the list of Examiners , conducting the Oral Examination, etc in consultation with the Thesis Supervisor.
- h. In case a Supervisor resigns/retires or otherwise ceases to be a Faculty Member of the Institute and if the student has delivered Open Seminar, then HoD shall appoint a Thesis Coordinator in consultation with the student.
- i. In case a Supervisor retires, he remains as supervisor up to 3 years from the date of retirement.
- j. A Professor/Associate Professor shall not supervise more than **eight** Scholars, in single or joint supervision, at any time, and for Assistant Professor the maximum limit shall be four. Part-time research scholar working in the sponsored Institute project as project fellow shall be over

and above this limit.

- k. Faculty Member having less than two years' service left before retirement shall not be allotted new Ph.D. student.
- l. In case a Faculty Member is suspended/debarred for indulging in lowering the prestige of the Institute, in any manner, he or she shall cease to be a Thesis Supervisor.

12.2 Constitution and Appointment of Departmental Research Degree Committee (DRDC) or SRC (Student Research Committee for individual student)

A Research Committee is formed on Department basis. If this committee is formed for individual student then it is known as SRC if one committee is formed for entire department then it is known as DRDC. Departmental Research Degree Committee (DRDC) or SRC (preferable) shall be formed immediately after the first registration of each student and it will be proposed by Supervisor in the prescribed format (Form: RP-02). It shall consist of Supervisor(s), one Faculty of the Department of the same specialization and one Faculty Member of other Department. Supervisor shall be the Chairperson of the Committee. In case any member of DRDC is not available, another Faculty Member shall be substituted for a particular examination with the approval of Dean (R&D).

12.3 Constitution and Appointment of Comprehensive Examination Board

The Comprehensive Examination Board shall consist of at least three but not more than four Faculty Members (all having earned Ph.D. Degree) from the Department plus one Faculty Member from other Department including Supervisor(s). Constitution of the Board shall be proposed by the Thesis Supervisor(s) and forwarded by the Convener DRDC and the Head of the Department, to the Chairperson RDC in a prescribed format (Form: RP-08), for approval. The Thesis Supervisor of the student shall be the Chairman of the Board. In case the Thesis Supervisor is on long leave, the Convener-DRDC shall be the Chairman of the Board.

12.4 Constitution of Thesis Evaluation Board

The Thesis Evaluation Board shall consist of two Examiners from outside the

Institute, of which at least one must be from India in addition to the Thesis Supervisor(s). The Board shall be approved by the Chairperson Academic Council.

1. The Thesis Supervisor(s) shall propose a list of Examiners consisting of at least six experts within and outside the country in prescribed format (Form: RP-15). This list along with synopsis (hard copy and soft copy in CD prepared according to the prescribed guidelines GL-1 in Specification and Information Regarding the Preparation of Thesis) shall be forwarded by the Chairperson DRDC and HoD to Chairperson Academic Council at the time of submission of the Thesis.
2. The Chairperson Academic Council in consultation with the Chairperson RDC shall select the members of the Thesis Evaluation Board from this list. If considered necessary, the Chairperson Academic Council may ask for additional names of experts to be submitted or add additional names of experts in consultation with Chairperson RDC. In case Chairperson RDC is the Supervisor of the student concerned, Chairperson Academic Council may consult Dean (Academic) for the selection of the Thesis Evaluation Board. If Chairperson Academic Council is the Thesis Supervisor then Dean (Academic) shall approve the Thesis evaluation board in consultation with Dean (R&D).
3. The names of the members of the Thesis Evaluation Board shall be kept confidential till successful completion of the Thesis Evaluation. On completion of Ph.D. Thesis evaluation, the Chairperson RDC shall send to the Thesis Supervisor(s), the names of the member who are from outside the University but are from within the country so that one of these names can be included in the proposed list of the Members of the Oral Board.

12.5 Constitution of Ph.D. Oral Board

1. The oral board shall consist of three members in addition to the Thesis Supervisor(s),
 - (i) One Faculty from the Department, preferably from DRDC.

- (ii) One Faculty from outside the Department preferably from DRDC.
- (iii) One shall be from among the members of the Thesis Evaluation Board within the country but outside the University.

2. The Thesis Supervisor(s) shall propose the constitution of the Oral Board in prescribed format (Form: RP-16), and Chairperson DRDC and HoD shall forward the same to the Chairperson RDC, who shall recommend it to the Chairperson Academic Council for approval.

13. THESIS SUBMISSION, EVALUATION AND EXAMINATION

13.1 *Ph.D Thesis Submission after Pre-PhD seminar/Open Seminar*

Ph. D. Thesis can be submitted only after satisfactory completion of the Open Seminar and submission of no dues certificate (RP-20). Soft bound copies (in spiral) of the Ph.D. Thesis (prepared according to the prescribed guidelines: GL-1) one for each Examiner of the Thesis Evaluation Board shall be submitted. The student shall submit soft copy of the entire Thesis document in CD along with the hard copy of the same. The student shall submit the Thesis within six months from the date of Open Seminar. If the candidate fails to submit the Thesis within the specified period, then an extension of three months can be given by Dean (R&D) on the recommendation of DRDC. If the candidate fails to submit the same within the extended period then he/she has to deliver Open Seminar again after the written approval of the Dean (R & D). Ph.D. student and Supervisor(s) will not handover their soft/ hard thesis copy of their work to anyone except DRDC till the final Viva is held.

13.2 *Ph.D. Thesis Submission after Oral Examination (Viva-Voce)*

Four copies of hard bound Ph.D. thesis (prepared according to the prescribed guidelines: GL-1) after incorporating the comments of the Oral Board Should be submitted in the Office of Dean (R&D) within 15 days of Oral Examination along with (RP-20 and RP-21). The student shall submit soft copy of the entire Thesis document in CD along with the hard copy of the same thesis.

Plagiarism

Plagiarism is a serious offence and at any stage if it is found that a part of the

Thesis is plagiarized, the Thesis shall be withdrawn and the Programme shall be terminated. A certificate will be issued from the Librarian of the GLA University after submission of Thesis in Dean (R&D) office in prescribed format (Form: RP-19).

13.2 *Ph. D. Thesis Evaluation*

1. After submission of the thesis and constitution of Thesis Evaluation Board, Dean (R&D) shall process the Evaluation of thesis. Dean (R&D) shall be responsible for seeking consent of the approved *Examiners. In case the Examiner refuses or no response is received from the Examiner within four weeks (with a reminder being sent after two weeks), steps shall be taken to appoint another Examiner. Thesis supervisor(s) is advised to not interfere in the correspondence between Dean (R&D) and examiners.

*The examiner name should not be repeated twice in one academic year for evaluation of the submitted thesis.

2. After receiving the consent of Examiners, the Dean (R&D) shall send the Thesis for evaluation to the Examiners.
3. Examiners shall place their report in any of the following categories in the prescribed format (Form: RP-17):

Category I: The Thesis is acceptable in the present form for the award of the Ph.D. Degree.

Category II: The Thesis is acceptable and the corrections, modifications and improvements suggested by me would be incorporated in the Thesis to the satisfaction of the Oral Board.

Category III: The Thesis needs technical improvement/modifications, which must be carried out to my satisfaction before I recommend the Thesis for acceptance.

Category IV: The Thesis is rejected.

4. After receiving the reports of all the Examiners, copies of the categorized reports (without the identity of the Examiners) shall be sent to the Thesis Supervisor(s) and the Head of the Department, by the Dean (R&D). The

Supervisor(s) shall ensure and certify that all the suggestions (if any) have been incorporated.

5. If the reports are either in Category I or Category II then Dean (R&D) shall intimate the Supervisor about the name(s) of Indian Examiner(s) and also request to constitute the Oral Board as per Para 12.5. The Supervisor shall send the list of suggested Examiners for Ph.D. Oral Board along with the responses of student against the comments of Examiner(s), if any, to Dean (R&D) who shall recommend it to the Chairperson Academic Council for approval.
6. If an Examiner gives his report in Category III then clarification/modifications suggested by the Examiner shall be done by the candidate in consultation with Supervisor(s). Then Supervisor shall send the corrected Thesis along with the responses and explanatory notes to Dean (R&D) to send the corrected Thesis along with the responses and explanatory notes to the same Examiner with a request to respond within six weeks. If no response from the Examiner is received within six week's time or the Examiner gives his report again in Category III then the matter shall be referred to Chairperson Academic Council for further course of action.
7. If more than one Examiner gives their report in Category III then clarification/ modifications suggested by the Examiners shall be done by the candidate in consultation with Supervisor(s). Then Supervisor shall send the corrected Thesis along with the responses and explanatory notes to Dean (R&D) to send the corrected Thesis along with the responses and explanatory notes to all the external Examiners. If no response from the Examiners is received within six week's time or the Examiners give their report again in Category III then the matter shall be referred to Chairperson Academic Council for further course of action.
8. If one of the Examiner places his report in Category IV the matter shall be referred to Chairperson Academic Council for deciding the further course of action. If the reports received from more than one Examiner are in Category IV the Thesis shall be rejected and the candidature of the student shall stand

automatically terminated.

9. In case, Dean (R&D) is the Supervisor, then the processing to be done by Dean (R&D) shall be done by Dean (Academic).
10. In case, Dean (R&D) and Dean (Academic) both are the Thesis Supervisors, then the processing to be done by them shall be done by the Controller of Examination.

13.3 Ph. D. Oral Examinations

1. The candidate shall submit the requisite number of hard bound copies of the revised Thesis after incorporating all the modifications suggested by the Examiner(s) to the Supervisor, and as laid down in GL-1.
2. The Supervisor shall be the Chairperson of the Oral Board and shall fix the date of the Oral Examination in consultation with the members of the Oral Board and intimate the date to the Academic Section for official communication to all the Examiners.
3. If the external Examiner of the oral board communicates his/her inability to be present in advance or fails to be present on the specified date and time, the Chairperson Academic Council shall decide the further course of action.
4. Each internal member of the oral board shall be given a copy of the Thesis before the date of the Oral Examination.
5. The Oral Board shall
 - (i) Examine if necessary modifications, if any, suggested by the Thesis Examiner have been incorporated,
 - (ii) Elicit the candidate's replies to the questions raised by the Thesis Examiner,
 - (iii) Judge if the presentation of the work by the student and the answers to the questions asked have been satisfactorily replied, and
 - (iv) Submit a report of the Oral Examination in a prescribed format (Form: RP-18), which shall be communicated by the Supervisor(s)/Thesis Coordinator to the Dean (R&D) through the Chairperson DRDC.
6. On receipt of the report that the student has passed the Oral

examination, the Dean (R&D) shall recommend the same to the Chairperson Academic Council for approval after checking all the relevant documents of the student. The approval accorded by the Chairperson Academic Council shall be reported to Academic Council for the award of Ph.D. Degree to the candidate in forthcoming Convocation

14. DEGREE REQUIREMENTS

A student shall be deemed to have completed the requirements, if the student has

1. Passed all the prescribed Courses,
2. Attained the minimum required CPI with no Course having E or F grade,
3. Satisfied the minimum academic and residence requirements,
4. Satisfied all the requirements specified by the Academic Council and the Ordinances.
5. Has earned at least minimum credits of 6.75 CPI.
6. Paid all the dues of the Institute and has no pending case of indiscipline.

15. CONDUCT AND DISCIPLINE

15.1 Code of Conduct

Each student shall conduct himself/herself in a manner befitting his/her association with University of national importance. He/she shall not indulge in any activity, which is likely to bring down the prestige of the Institute. He/She shall show due respect and courtesy to the Faculty Members, Administrators, Officers and Employees of the Institute, and good neighborly behavior to fellow students. Due attention and courtesy shall be paid to visitors to the University and residents of the Campus.

Lack of courtesy and decorum, unbecoming conduct (both within and outside

the Institute), willful damage and/or removal of Institute property or belongings of fellow students, disturbing others in their studies, adoption of unfair means during examinations, breach of rules and regulations of the Institute, noisy and unseemly behavior and similar other undesirable activities shall constitute violation of the Code of Conduct for students.

Ragging in any form is strictly prohibited and considered a serious criminal offence and violation of the code of conduct. Involvement of a student in ragging shall lead to his/ her expulsion from the Institute.

15.2 Disciplinary Actions and Related Matter

Violation of the Code of Conduct shall invite disciplinary action which may include punishment such as Reprimand, Disciplinary Probation, Fine, and Debarring from Examinations, Withdrawal of Scholarship and / or Placement Services, With holding of Grades and/or Degrees, Cancellation of Registration and even expulsion from the Institute.

Violation of the Code of Conduct by an individual or by a group of students shall be referred to Proctorial Board. A student, Faculty or other functionary of the Institution may refer a case to this committee for consideration. Further, the Chairperson Academic Council may appoint a special committee to investigate and/or recommend appropriate action for any act of gross indiscipline involving an individual or a number of students, which, in his/her view, may tarnish the image of the University.

The recommendation for any action, including expulsion of a student from the Institute, shall be referred to the Academic Council for its final decision.

The Academic Council may not recommend a student, who is found guilty of some major offence, to the Board of Governors for the award of a degree/diploma/certificate even if he/she has satisfactorily completed all the academic requirements.