



# GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY

Sector – 16C Dwarka, New Delhi – 110078

Website: <http://ipu.ac.in>

(Coordination Branch)

## Notification

No.IPU/JR(C)/BM65/Ord.12 Rev.2017/322

Dated.17/07/2017

In pursuance of the provisions of Section 28 of the Guru Gobind Singh Indraprastha University Act, 1998 (9 of 1998), the Board of Management of Guru Gobind Singh Indraprastha University vide Agenda Item No.(BM65.12), revised the Ph.D. Ordinance 12 – Governing Programmes leading to the Degree of Master of Philosophy (M.Phil.) and Doctor of Philosophy (Ph.D.) of the University to incorporate the relevant provisions of the UGC notification 2016:

### 1.Short title, Application and Commencement

- (i) The revised Ordinance shall be called Guru Gobind Singh Indraprastha University Ph.D. Ordinance 12 – Governing Programmes leading to the Degree of Master of Philosophy (M.Phil.) and Doctor of Philosophy (Ph.D.) of the University.
- (ii) The Ordinance shall apply to all the University Schools of Studies (USS) and Centres, Affiliated Colleges /Institutions, Constituent Colleges and University approved Research Centres.
- (iii) The Ordinance will come into force immediately from the date of approval in the 65<sup>th</sup> Board of Management i.e.15<sup>th</sup> June,2017. The regulations will also be displayed on the University website.




( Registrar)

No.IPU/JR(C)/BM65/Ord.12 Rev.2017/322

Dated.17/07/2017

1. All Deans/Directors of the GGSIP University
2. Head/Incharges( Affiliation/Examination/Academic branches)
3. AR to Vice Chancellor for kind information of Hon'ble Vice Chancellor, GGSIP University
4. SO to Pro Vice Chancellor for kind information of Pro Vice Chancellor, GGSIP University
5. AR to Registrar, for kind information of the Registrar, GGSIP University

  
Section Officer (Coordination)

Approved in 65<sup>th</sup> Board of Management Meeting (15<sup>th</sup> June, 2017)

**ORDINANCE 12: Governing Programmes leading to the Degree of Master of Philosophy (M.Phil.) and Doctor of Philosophy (Ph.D.)**

**Applicability:** This Ordinance shall apply to all programmes leading to the degree of Master of Philosophy (applicable from academic session 2018-19) and Doctor of Philosophy (applicable from the academic session 2017-18). The Ordinance shall come into force from the date of approval of the BOM.

**1.0 Definitions**

- 1.1. **"Act"** shall mean the Guru Gobind Singh Indraprastha University Act, 1998, as amended from time to time.
- 1.2. **"University"** shall mean Guru Gobind Singh Indraprastha University, New Delhi.
- 1.3. **"School of Studies"**, also referred to as School or University School of Studies (USS) shall mean Schools of Studies established by the University as per clause 1.0 of Ordinance 2.
- 1.4. **"College/Institute"** shall mean an academic institution maintained or admitted by the University to its privileges and includes an affiliated college/institute as defined in section 2(i) of the Act and approved for M.Phil / Ph.D. programme as per the provisions of this Ordinance.
- 1.5. **"Board of Studies (BOS)"** shall have the same meaning as the Board of School of Studies defined under clause 2 of Ordinance 2 of the (USS) concerned.
- 1.6. **"DRC"** shall mean the Director of Research and Consultancy of the University.
- 1.7. **"COE"** shall mean the Controller of Examinations of the University.
- 1.8. **"Discipline"** shall mean the discipline(s) in which the Ph.D. / M.Phil. degree is awarded as mentioned in the Ph.D./M.Phil. degree certificate. The SRC shall recommend and BOS of the concerned School shall approve the discipline(s) in which Ph.D. / M.Phil. Degree shall be offered through the School. The Dean of the concerned School shall communicate the discipline(s) in which Ph.D./ M.Phil. Programme is offered in the School, after approval of the BOS, to the DRC for notification.
- 1.9. **"Academic Session"** shall be of one year duration apportioned into two semesters of six months. The Academic Session shall ordinarily commence from the first working day of the month of August every year. The DRC shall notify the detailed academic calendar for the conduction of the coursework part of the M.Phil. / Ph.D. programme while the academic calendar for the review of M.Phil. / Ph.D. dissertation / thesis work shall be notified by the concerned SRC.
- 1.10. **"Research Scholar"** shall mean a person registered for Ph.D. or M.Phil. under the provisions of this ordinance, also called "scholar".
- 1.11. **"Foreign Research Scholar"** shall mean foreign nationals or persons of Indian origin registered for M.Phil. or Ph.D. as a research scholar, under the provisions of this ordinance.
- 1.12. **"Supervisor"** shall mean a qualified and recognized faculty member of the University or affiliated college as stipulated in this ordinance.
- 1.13. **"Co-Supervisor"** shall mean an additional **"supervisor"** assigned to a **"research scholar"** under the provisions of this ordinance.



- 1.14. **"Caretaker Supervisor"** shall mean an alternative **"supervisor"** assigned to a **"research scholar"** to act as his/her supervisor in the absence of the original supervisor under the provisions of this ordinance.
- 1.15. **"SRC"** shall mean the School Research Committee, consisting of the Dean of the concerned School as the Chairperson, and all recognized supervisors of the university in the discipline(s) in which the M.Phil./Ph.D. programme is offered through the School. The Schools that offer Ph.D. degree in multiple disciplines may have a separate SRC for each such discipline as needed, provided that each such SRC has no less than three members from the concerned discipline. In addition, there should be at least two common members in all such discipline-specific SRCs of the concerned School.
- 1.16. **"Admission Committee"** shall mean a committee consisting of all prospective (recognized) supervisors with vacant slots in a School/discipline and intending to take research scholars in that admission session, subject to a minimum of 5 members, including the Dean and one member from the SC/ST category. The SRC shall constitute the admission committee. The condition of being a recognized supervisor or having vacant slots for that year or belonging to the same school/disciplineshall be relaxed, if needed, to ensure representation from the SC/ST category, through a recorded decision of the SRC. If the total number of available members to constitute this committee is less than 5, then other recognized supervisors may be co-opted from within the School or from any other University School/ centre within the University campus offering programmes in an allied discipline, through a recorded decision of the SRC. This committee shall be chaired by the Dean of the concerned School and shall be responsible for the interview and allotment of selected research scholars for Ph.D. in a particular academic session.

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

## **2.0 Eligibility criteria for admission to the M.Phil. Programme**

- 2.1 Candidates for admission to the M.Phil. programme shall have a Master's Degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, 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 of assessing accrediting or assuring quality and standards of educational institutions.
- 2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to SC/ST/Differently-Abled (PWD) categories.



### **3.0 Eligibility criteria for admission to Ph.D. Programme**

- 3.1 Master's Degree holders satisfying the criteria stipulated under Clause 2.0 above.
- 3.2 Candidates who have cleared the M.Phil. course work 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 successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in an integrated programme.
- 3.3 A person, whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution.
- 3.4 Candidates possessing a M.Phil. degree or a degree considered equivalent to M.Phil. Degree of an Indian Institution.
- 3.5 A degree considered equivalent to M.Phil. Degree of an Indian Institution, 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. programme.

### **4.0 Procedure for Admission**

- 4.1 Admission to the M.Phil. or Ph.D. programme of studies shall be through an Entrance Test conducted by the University in the relevant disciplines of study, one time in an academic year.
- 4.2 For those students who qualify UGC-NET (including JRF) / UGC-CSIR NET (including JRF) / GATE / DBT-JRF / ICMR-JRF / Teacher fellowship holder or have passed M.Phil. programme, such candidates for admission to Ph.D. programme shall be exempt from the entrance test conducted by the University. However, they shall have to apply for admission to the University, as and when, the University invites application for admission to the Ph.D. programme.
- 4.3 For those students who qualify UGC-NET (including JRF) / UGC-CSIR NET (including JRF) / GATE / DBT-JRF / ICMR-JRF / Teacher fellowship holder, such candidates for admission to M.Phil. programme shall be exempt from the entrance test conducted by the University. But, they shall have to apply for admission to the University, as and when, the University invites application for admission to the M.Phil. programme.
- 4.4 The number of seats available in a particular discipline for M.Phil. or Ph.D. shall be a part of the admission brochure issued for admissions to the M.Phil, or Ph.D. programmes. The SRC of the concerned discipline shall decide on an annual basis a predetermined and manageable number of M.Phil. and / or Ph.D. scholars to be admitted in an academic session, depending on the number of available Research Supervisors and other academic and physical facilities available.



- 4.5 The advertisement for M.Phil. or Ph.D. programmes' admission shall be in at least two national newspaper out of which at least one shall be in Hindi language.
- 4.6 The admission brochure for M.Phil. or Ph.D. programmes shall specify 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.
- 4.7 Reservation shall be as per the State Reservation Policy, notified by the University from time to time.
- 4.8 The advertisement and the brochure for M.Phil. or Ph.D. programmes shall be proposed by the DRC and after approval of the Vice-Chancellor of the University, shall be put in public domain.
- 4.9 The written entrance test shall be qualifying for admission to M.Phil. / Ph. D. programme with 50% as qualifying cut off. The syllabus of the written entrance test shall consist of 50% of research methodology and 50% shall be subject specific. The detailed syllabus for the written entrance test shall be approved by the SRC of the concerned discipline, and forwarded to the DRC for incorporation in the admission brochure.
- 4.10 An interview / vice-voce shall be organized where the candidates are required to discuss their research interest / area through a presentation before a duly constituted Admission Committee.
- 4.11 The admission shall be based on the performance / merit of the candidate in the interview/viva-voce. The interview/viva-voce shall consider the following aspects, viz. whether:
- (a) The candidate possesses the basic knowledge and aptitude for the proposed research work;
  - (b) the candidate possesses the competence for the proposed research work;
  - (c) the proposed plan of research can contribute to new/additional knowledge in the area of research.

For written entrance test qualified candidates, the merit list (out of 100 marks), for admissions will be prepared as per following criteria:

- (i) 50% weightage will be given to the marks obtained in written entrance test;
- (ii) 25% weightage will be given on the above three criteria listed in clause 4.11 a, b & c;
- (iii) 25% weightage will be given to interview/Viva-voce.

For candidates, exempted from written entrance test, the merit list will be prepared on the basis of points listed at clause 4.11 (ii) & (iii) above, scaled up to 100 marks.



- 4.12 The interview / viva-voce shall be conducted by the Admission Committee of the concerned school.
- 4.13 Every school's SRC shall define the detailed eligibility criterion through the BOS, which minimally should be in consonance with the specification of this Ordinance and the same after approval of the Vice-Chancellor shall be communicated to the DRC for incorporation in the admission brochure.
- 4.14 Every school's SRC shall specify the disciplines in which M.Phil. / Ph.D. programmes are offered through the school through the BOS, and the same after approval of the Vice-Chancellor shall be communicated to the DRC for incorporation in the admission brochure. A discipline of study (M.Phil./ Ph.D.) shall be offered by only one school. If multiple schools desire to offer the same discipline of study, then the Vice-Chancellor shall allocate the discipline to a particular school, the decision of the Vice-Chancellor shall be final.
- 4.15 The DRC of the University shall maintain the list of all the M.Phil. / Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, area of his / her research, name of his / her supervisor / co-supervisor, date of enrolment / registration.
- 4.16 Employed candidates including permanent faculty members of the University Schools or affiliated colleges/institutions, who wish to seek Ph.D. admission as full-time research scholars, must obtain leave for a period of at least three years to fulfill the minimum registration period of the University. Candidates who need proof of selection to obtain leave from their employers may use the selection/admission list displayed on the University website for this purpose, but admission shall only be granted upon submission of the leave sanction letter in original. All employed candidates (full-time / part-time), in regular employment must obtain a "No Objection Certificate" for the purpose of pursuing Ph.D. programme, the same must be submitted at the time of interview for admission.

## **5.0 Duration (Registration Period) of the Programme**

- 5.1 M.Phil programme shall be for a minimum duration of two (2) consecutive semesters / one year and a maximum of four (4) consecutive semesters / two years.
- 5.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 5.3 The women candidate and Persons with Disability (more than 40% disability) shall be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration. In addition, the women candidates shall be provided Maternity Leave / Child Care Leave once in the entire duration of M.Phil. / Ph.D. for upto 240 days, this period of leave shall not be counted for the purpose of calculation duration of M.Phil. or Ph.D.
- 5.4 An extension beyond the period specified for M.Phil. (as per clause 5.1 above, in consonance with clause 5.3 above) or Ph.D. (as per clause 5.2 above, in consonance with clause 5.3 above) upto one year in the maximum duration may be granted by the SRC of the concerned school on a written request by the



research scholar and recommendation of the Research Advisory Committee (Constitution of the RAC shall be as per clause 8.1 of this Ordinance). Further extension, if any, not exceeding a period of one year shall require a written justification for the delay by the research scholar and the supervisor for the consideration of the SRC; the SRC for reasons recorded in writing may consider and approve the extension. In no case, extension of maximum duration of completion of M.Phil. (as per clause 5.1 above, in consonance with clause 5.3 above) or Ph.D. (as per clause 5.2 above, in consonance with clause 5.3 above) can exceed two years.

5.5 If the research scholar is not able to submit his / her thesis within the stipulated period, his / her registration / admission shall stand cancelled.

**5.6 Leave / Absence for Full time Scholars**

5.6.1 Every registered research scholar shall report on a day to day basis to his/her supervisor, who shall decide whether the research scholar is required to work within or outside the School/University or undertake outstation field work as needed. Such period of absence, including participation in seminars/workshops/conferences/symposia etc., shall be regarded as 'on duty' and not on leave. However, research 'on duty' outside the University for periods exceeding one month at one time shall require the prior written recommendation of the supervisor, approval of the RAC, and due intimation to the Dean of the School, subject to the ratification in the next SRC meeting.

5.6.2 During the entire tenure of a Ph.D., research work 'on duty' outside the University shall ordinarily be limited to a period of 24 months for field work and 12 months for working at the institution of the joint supervisor or any other place assigned by the RAC. Any further extension may be considered for approval by the SRC on the recommendation of the RAC (with justification for extension).

5.6.3 The supervisor may grant leave of not more than 5 working days at one time out of the total leave due to the research scholar as defined by the fellowship-funding agency or the University (30 days in one calendar year) as applicable. Any leave beyond 5 working days would require prior written application by the research scholar, duly forwarded/recommended by the supervisor, to the Dean of the School for approval. All such cases will be subsequently reported to the RAC and SRC. The leave period shall be counted in the total period required for submission of the thesis as stipulated in this Ordinance.

5.6.4 The supervisor must report absence from research work by research scholars due to illness, maternity leave or other circumstances to the SRC through RAC and the Dean of the School. Cases of neglect of research work and indiscipline that include unethical practices such as unauthorized absence, plagiarism and misrepresentation of data and irregularity must be recorded and reported by the supervisor to the RAC. RAC shall consider make appropriate recommendations to the SRC for its consideration. The SRC shall consider the recommendations of the RAC and any other relevant factor, may take appropriate action, including



cancellation of his/her admission, however, no decision shall be made without giving reasonable opportunity to the scholar to present his/her case.

5.6.5 All the leave records of the research scholars are to be maintained by the concerned supervisor.

## 5.7 Cancellation / Termination of Registration

5.7.1 The registration of a research scholar may be cancelled / terminated under the following circumstances:

- (i) If he/she remains absent for a continuous period of six weeks without prior intimation/sanction of leave with the recommendation of the supervisor, applicable to fulltime scholars.
- (ii) If he/she resigns from the Ph.D. programme and the resignation is duly recommended by the supervisor and accepted by the SRC.
- (iii) If he/she fails to renew his/her registration by not paying the requisite fee.
- (iv) If he/she is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the RAC and approved by the SRC, or any other statutory official/body authorized by the University.
- (v) If he/she fails in the course work as per the provisions of this Ordinance within the stipulated period.
- (vi) If he/she fails to make research progress to the satisfaction of the RAC despite second warning as defined in clause 8 below.
- (vii) If he/she fails to complete the requirement for the award of the degree in the stipulated period.
- (vii) If he / she fails to submit two consecutive six monthly report to the Research Advisory Committee.
- (x) As per clauses specified elsewhere in this Ordinance.

5.7.2 Termination order of a research scholar for any reason as outlaid in 5.7.1 above shall be issued by the Dean of the concerned School and forwarded to the DRC for record purpose.

6.0 **Supervisors:** Eligibility criteria to be a Supervisor, Co-Supervisor, Number of M.Phil. / Ph.D. Scholars permissible per Supervisor, etc.

6.1 Any regular Professor of the USS / Affiliated College allowed to offer M.Phil. or Ph.D. Programme of the University with a Ph.D. degree and at least five research publications in referred journals and any regular Associate / Assistant Professor of the USS / Affiliated College allowed to offer M.Phil. or Ph.D. Programme of the University with a Ph.D. degree and at least two research publication in referred journals shall be recognized as Research Supervisor.

A recognized supervisor can become the sole supervisor of a scholar if at least 03 years are remaining till superannuation of the supervisor. For the last 03 years of service till superannuation, an additional recognized Co-supervisor with adequate service left shall be necessary.



For the University School of Medicine & Para-Medical Health Sciences, any recognized teacher of the University Affiliated Medical Colleges who holds an MD / MS / DM / M.Ch. or equivalent degree (and not holding a Ph.D. degree) with 15 years teaching and research experience after obtaining MD / MS / DM / M.Ch. or equivalent degree, including PG teaching experience of 10 years as faculty member and 10 published research articles in indexed peer review journals, and is continuously involved in research activities, shall be eligible to be recognized as a Ph.D. Supervisor, subject to the fulfillment of other conditions specified in this Ordinance.

- 6.2 Only a full time regular teacher of the USS / Affiliated College of the University can act as a supervisor. External supervisors are not allowed. However, Co-supervisor can be allowed in inter-disciplinary areas from other schools of the University / affiliated college / State / other central/state Universities, provided such persons fulfill the academic requirement for being recognized as supervisor as per this Ordinance. The terms and conditions for the appointment of Co-supervisors shall be specified by the Research Advisory Committee and to be approved by the concerned SRC and further be communicated to DRC.
- 6.3 A supervisor may be recognized in more than one discipline. A recognized supervisor, irrespective of the fact that he/she belongs to USS/Affiliated College allowed to offer M.Phil. / Ph.D. programme, shall be the member of the SRC governing the said discipline.
- 6.4 The allocation of Research Supervisor for a selected research scholar shall be decided by the SRC depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview / viva-voce, on the recommendation of the Admission Committee.
- 6.5 A Research Supervisor / Co-Supervisor who is a Professor, at any given point of time, cannot guide more than three (03) M.Phil. and Eight (08) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (02) M.Phil. and six (06) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide upto a maximum of one (01) M.Phil. and four (04) Ph.D. scholars. In case of joint supervision, the number of research scholars enrolled will be counted as one for each of the joint supervisors. If a co-supervisor is allotted from out of this University (or its affiliated colleges), is involved as a supervisor of any other University/institution, it is mandatory that he/she informs the number of such research scholars to the SRC, as they shall be counted towards the calculation of the permissible/available slots for Ph.D. as per this ordinance. Any failure in intimating this to the concerned SRC, may lead to misconduct and suitable action may be recommended. Once a registered research scholar submits his/her Ph.D. thesis, that slot will be counted as available for admission of a fresh research scholar under that supervisor.
- 6.6 A full time regular teacher, on fulfilling the requirements to be recognized as a Supervisor, at a particular level, shall apply to the concerned SRC. The DRC on the recommendation of the SRC and after obtaining approval from the Vice-Chancellor, shall issue the notification regarding the recognition of teacher as a Supervisor. The form for such recognition shall be made available on University



website by the DRC. The list of recognized supervisors shall be displayed on the University Website by the DRC.

- 6.7 In case(s), where a supervisor retires, resigns, proceeds on leave/deputation exceeding one year, expires, or any other unforeseen circumstances necessitate redistribution/re-allotment of a research scholar, the SRC shall allot supervisor(s)/joint supervisor(s)/caretaker supervisor, ideally from the same School/institution/discipline as supernumerary allotment, and inform the DRC.

In case(s) wherein SRC is unable to identify a supervisor in the discipline recognized by the University, the scholar shall be allowed to choose any person satisfying the academic criterion required to be recognized as a supervisor, subject to the approval of the SRC through DRC and the Vice-Chancellor.

- 6.8 Recognized supervisors who have been sanctioned or have proceeded on deputation/lien/long leave of a year (or more) (at the time of the interview for Ph.D. admission or allotment of supervisor) may not be allotted a research scholar in that academic session.
- 6.9 A research scholar may request in writing for a change of the supervisor(s) with proper justification, through the Dean of the concerned School to the respective SRC within period of 2 years from registration. The SRC after considering the circumstances of such a request may approve change of supervisor(s) under intimation to the DRC for record.
- 7.0 **Course Work:** Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.
- 7.1 The credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 7.2 In the course work, 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 M.Phil./Ph.D. degree.
- 7.3 The detailed course work for Ph.D. shall be designed and recommended by the concerned SRC and approved by the concerned BOS.
- 7.4 The detailed course work for M.Phil. shall be designed and recommended by the concerned SRC and approved by the BOS of the concerned discipline.
- 7.5 All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods.
- 7.6 The SRC governing the discipline in which the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar.



- 7.7 All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the coursework prescribed by the SRC during the initial one or two semesters. The maximum period for completion of the course work shall be two years from the academic session in which the scholar is admitted. If a scholar fails in any course/paper, the scholar shall reappear as and when the course/paper examination is scheduled subsequently.
- 7.8 Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the SRC from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the SRC. The course work already completed by the scholar, seeking exemption from course work of the Ph.D. programme, must be in consonance with the course work guidelines specified in this Ordinance.
- 7.9 For the M.Phil. programme on completion of the requirement for the award of the M.Phil. Degree, as specified in the scheme of study and the syllabi of the programme, the degree shall be awarded.
- 7.10 The grading system and divisions for the course work shall be as specified in the Ordinance 11 of the University. Each paper / course of the course work shall be of maximum 100 marks. The Teacher's Continuous Evaluation component shall be of 25 marks and End-Term Semester Examination component shall be of 75 marks. Attendance requirement in the course work shall be of minimum 75% of the classes held, the SRC may condone upto 5% of the attendance in specific instances, with reasons recorded in writing. Under no circumstances, a scholar with less than 70% attendance in the course shall be allowed to appear in the End-Term Semester Examination by the SRC. The list of detained (not allowed to appear in examinations) scholars shall be notified at least 5 working days before the commencement of end-term examinations, by the chairperson of the SRC with a copy to the Controller of Examinations for non-issuance of admit card.
- 7.11 The teacher's continuation evaluation of 25 marks, for every course shall be conducted by the concerned faculty who is allocated the responsibility of teaching the course by the SRC. The concerned faculty shall communicate their marks to the Controller of Examinations through the Dean, within a week of the completion of the semester.
- For the rest 75 marks, the Controller of Examinations shall conduct the examination. The panel of paper setter, as approved by the BOS shall be communicated to the Controller of Examinations. The Controller of Examinations shall declare the result combining the teacher's continuation evaluation and the end-term semester examination. The duration of the semester shall be of 15 weeks.
- 7.12 A M.Phil./Ph.D. scholar has to obtain a minimum of B+ grade in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis. If, a scholar does not obtain the minimum grade, the scholar may reappear in one or more course work paper/courses to improve the grade. The reappear fee applicable shall be as notified for other examinations of the



University. If the minimum grade required is not obtained in the maximum of duration for the course work as specified, the registration / admission of the scholar shall be automatically cancelled.

## 8.0 Research Advisory Committee and its functions

8.1 There shall be a Research Advisory Committee (RAC), constituted by the concerned SRC for every scholar admitted in the School. The minimum composition of RAC shall be as follows:

- (a) One Professor of the School who is also a member of the SRC shall be the *Chairperson*
- (b) Two recognized supervisors other than the supervisor of the scholar, recognized as supervisors preferably in the same SRC – *members*
- (c) Co-Supervisor (if any) of the scholar – *member*
- (d) Supervisor of the scholar – *member and convener*

The members of the RAC shall be proposed by the supervisor for consideration and approval of the SRC. External subject experts from outside the University may be co-opted if needed with the approval of the SRC. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- 8.1.1 To review the research proposal and finalize the topic of research. The synopsis of the research work of the scholar shall be finalized within 06 months for M.Phil. Programme and within 12 months of Ph.D. Programme from the date of admission in the programme. The finalized synopsis shall be forwarded for the approval of the SRC and sent to DRC for records. Nonfinalization of the synopsis in the stipulated period will lead to the cancellation of the admission of the scholar.
- 8.1.2 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 from among the courses prescribed under clause 7.2.
- 8.1.3 To periodically review and assist in the progress of the research work of the research scholar. The assessment / recommendation of the RAC shall be submitted to the concerned SRC for further necessary action.
- 8.1.4 The academic research progress of each research scholar shall be monitored by the concerned RAC at a 6-monthly interval, based on the written progress report and oral presentation by the research scholar. Failure to submit timely progress report and/or make a presentation to the RAC shall be construed as indiscipline and treated accordingly. The Dean shall collect and place the progress reports of all registered research scholars before the SRC, duly forwarded by their supervisors after the meeting of the RAC, with the RAC's comments on whether the progress of the research scholar was good/satisfactory/poor. The SRC, after having considered the progress report and the comments of the RAC, shall recommend one of the following:
  - (i) Continuation of registration.
  - (ii) Continuation of registration with a written warning to the research scholar, which may include the steps necessary to improve his/her performance, identified in consultation with the supervisor(s). The



second and final warning shall include the extension of minimum registration period for thesis submission by one year.

(iii) Termination of registration, if the research scholar still fails to make progress to the satisfaction of the RAC and the SRC despite the second and final warning.

- 8.2 A research scholar shall appear before the Research Advisory Committee 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 shall be submitted by the Research Advisory Committee to the concerned SRC with a copy to the research scholar. The SRC shall send a consolidated summary report to the DRC for all the scholars registered in the School for information and records, concerning, the progress of the scholars.
- 8.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the concerned SRC with specific reasons for cancellation of the registration of the research scholar.
- 9.0 **Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.**
- 9.1 The overall minimum credit requirement, including credit for the course work, for the award of M.Phil. degree shall not be less than 24 credits. The same shall be defined in the Scheme of Examination and Syllabi of the programme.
- 9.2 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 7.12 above, as the case may be, the M.Phil. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated in this Scheme of Examination and Syllabi of the M.Phil. programme and in consonance with clause 4 above.
- 9.3 M.Phil. scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. SRC of the concerned school governing the M.Phil. / Ph.D. programme in a particular discipline, shall certify that the journal is a refereed one.
- 9.4 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 7.12 above, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a prescribed time, as stipulated in this Ordinance under clause 4 above.



- 9.5 Prior to the submission of the M.Phil. dissertation/ Ph.D. thesis, the scholar shall make a presentation to the Research Advisory Committee. On the recommendation of the RAC, the scholar shall make a presentation before the SRC of the concerned school which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee. The presentation before the SRC shall be called the pre-submission presentation.
- 9.5.1 The research scholar shall submit his/her thesis within three months from the date of approval of pre-submission presentation by the SRC. However, in case a research scholar fails to submit his/her thesis within the stipulated time and has suitable justification for the same, the Dean of the School may, on the recommendations of the SRC (or subject to SRC approval, as appropriate), grant an extension of not more than three months. In other words, the research scholar may be allowed to submit his thesis within 06 months from the date of SRC's approval of the pre-submission presentation. If a research scholar fails to submit his/her thesis within 06 months of his/her pre-submission presentation, he/she will have to make a fresh presentation before the SRC.
- 9.5.2 If the pre-submission presentation is not approved by the SRC, the scholar's case shall be returned to the RAC for consideration in its next meeting.
- 9.5.3 The final title of the thesis shall be approved by the SRC in the pre-submission presentation of the scholar.
- 9.5.4 The thesis shall be written in English unless approved otherwise for reasons recorded in writing by the concerned SRC at the time of admission / registration, as per the specified format and instructions. The format of the thesis shall be specified by the DRC with the approval of the Vice-Chancellor.
- 9.6 The SRC shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/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.
- 9.7 The M.Phil. Dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the University or any of its Affiliated Institutions. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the School, all recognized supervisors of the University, other research scholars and other interested experts/ researchers.



- 9.8 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University or any of its Affiliated Institutions, of whom one examiner may be from outside the country. The viva-voce 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 Research Advisory Committee, all faculty members of the School, all recognized supervisors of the University, other research scholars and other interested experts/ researchers.
- 9.9 The public viva-voce of the research scholar to defend the M.Phil. dissertation / Ph.D. thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. In case, the Ph. D. thesis is rejected by both the external examiners, then the thesis shall stand rejected without any further action and the research scholar shall be declared ineligible for the award of the degree. If the evaluation report of the external examiner in case of M.Phil.dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the Institution shall send the dissertation/thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the later examiner is satisfactory. If the report of the later examiner is also unsatisfactory, the dissertation/thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 9.10 Appointment of Examiners for M.Phil. Dissertation / Ph.D. Thesis**
- 9.10.1 For the purpose of evaluation of M.Phil. dissertation / Ph.D. thesis, the supervisor shall submit a list of at least eight experts in the subject area of research work, who possess requisite qualification equivalent to the requirement for recognition of a supervisor, for the approval of the SRC of the discipline. The SRC may add or delete any of the name(s) proposed by the supervisor(s). The supervisor shall be responsible to provide the full contact details of each of the examiners, including postal address, email, phone, fax, etc.
- 9.10.2 An examiner cannot be from the same institution where the research scholar is employed, or from the institution to which the supervisor and/or joint supervisor of the research scholar belongs. Further, a collaborator or co-author of the research scholar or his/her supervisor or joint supervisor during the tenure of the concerned Ph.D. research scholar cannot be an examiner. The responsibility for ensuring this shall lie on the Supervisor / Co-Supervisor of the scholar. In case, it is found the supervisor / co-supervisors have not maintained this standard of academic ethics, the SRC may recommend for debarment of concerned supervisor / co-supervisor for further registration of scholars for a minimum period of three years to the Vice-Chancellor. The decision of the Vice-Chancellor shall be final.



9.10.3 On receipt of the final title and pre-submission synopsis of the thesis approved by the SRC, the Chairperson of the SRC shall send the panel of examiners as approved by the concerned SRC, to the COE, within a week. The Vice Chancellor shall appoint the external thesis evaluator(s) from the above panel for evaluation of the thesis. The Vice-Chancellor may add names to the panel of examiners.

9.10.4 The Examination Division will follow the modalities for the evaluation of the Ph.D. thesis as approved by the Vice Chancellor.

#### **9.11 Evaluation of the M.Phil. Dissertation / Ph.D. thesis**

9.11.1 Each examiner will be requested to submit to the COE, a detailed assessment report and his/her recommendations on a prescribed proforma (designed by the Examinations Division and approved by the Controller of Examinations) within 06 weeks from the date of receipt of the thesis.

9.11.2 In the event that the assessment report is not received from an examiner within 3 months from the date of dispatch of the thesis, the Vice Chancellor may appoint another examiner from the approved panel of examiners for evaluating the M.Phil. dissertation / Ph.D. thesis.

9.11.3 The examiner shall be required to state categorically whether in his opinion, the M.Phil. dissertation / Ph.D. thesis should be:

- (a) accepted for the award of M.Phil. / Ph.D. degree (after oral defence), or
- (b) accepted for the award of Ph.D. degree (subject to incorporation of changes suggested and after oral defence), or
- (c) resubmission in the revised form, or
- (d) rejected

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

9.11.5 If the corrections are major and resubmission/re-evaluation has been recommended, the research scholar may resubmit the revised version in consultation with the supervisor, within a period of one year from the date of communication in this regard from the COE. However, in exceptional circumstances, this period may be extended by SRC by one more year but the total revision time shall not exceed two years. The revised M.Phil.dissertation/ Ph.D. thesis shall be sent for assessment to the same



examiner(s) who recommended revision. In the event of any of them declining to examine the revised thesis, additional examiner may be appointed from the approved panel, and provided with the comments of the previous examiner(s) to facilitate the evaluation of the revised thesis.

#### **9.12 Oral Defence / Viva-Voce**

9.12.1 A research scholar, after receiving a satisfactory M.Phil. dissertation/ Ph.D. thesis evaluation report, shall be required to defend his/her work/thesis orally before a duly constituted committee, herein after referred to as Oral Defence Committee (ODC).

9.12.2 ODC shall consist of the supervisor(s) (at least one must be present), and one external examiner who evaluated the thesis to be appointed by the Vice Chancellor. If none of the examiners who evaluated the thesis is available for the conduct of the oral defence, an alternative examiner from the panel of approved examiners shall be appointed by Vice Chancellor.

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

9.12.4 On completion of all the stages of examination culminating with the Viva Voce, the ODC shall submit its report in the prescribed proforma (designed by the Examinations Division and approved by the Controller of Examinations) to the Vice Chancellor through the COE recommending any one of the following:

- (i) that the degree be awarded,
- (ii) that the research scholar be subjected to a fresh Oral Defence at a later date,
- (iii) that the degree be not awarded.

9.12.5 The decision of the Vice Chancellor on the recommendations of the ODC shall be notified by the COE, mentioning the date of the decision of the Vice Chancellor, which shall be construed as the effective date of the award of the M.Phil / Ph.D. degree, subject to the formal award during the University convocation. Prior to this notification, the COE shall ensure that the research scholar has submitted a soft copy of the M.Phil. / Ph.D. thesis and two hard bound copies, one for the library of the concerned School and one for the central library of the University. These should incorporate all necessary corrections/modifications certified by the supervisor and must contain the following copyright certificate in the beginning of the thesis, on a separate page:

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9.12.6 The University may issue a Provisional Certificate of the completion of M.Phil / Ph.D. to the research scholar upon M.Phil / Ph.D. notification, followed by award of the final degree at the time of convocation, along with a certificate to the effect that the M.Phil / Ph.D. degree has been



awarded in accordance with the UGC regulations. The certificate and the degree shall mention the School, the Institution of Study and the discipline in which the M.Phil. / Ph.D. degree is awarded.

- 10.0 Academic, administrative and infrastructure requirement to be fulfilled by Affiliated Colleges for getting recognition for offering M.Phil./Ph.D. programmes**
- 10.1 Affiliated Colleges may be considered eligible to offer M.Phil./Ph.D. programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per this Ordinance.
- 10.2 The Affiliated College should at least be in existence with an uninterrupted and continual functional status of 5 years or more and should be offering Post Graduate Programmes. Post-graduate Departments of such Affiliated Colleges, with at least two Ph.D. qualified teachers/other academic staff in the discipline concerned along with required infrastructure, supporting administrative and research promotion facilities as per this Ordinance, stipulated under sub-clause 10.3, shall be considered eligible to offer M.Phil./Ph.D. programmes only in the disciplines having PG programmes. Affiliated Colleges should obtain the necessary recognition by the University to offer M.Phil./Ph.D. programme.
- 10.3 Post-graduate Departments of Affiliated Colleges with adequate facilities for research as mentioned below, shall be allowed to offer M.Phil./Ph. D. programmes:
- 10.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 10.3.2 Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;
- 10.3.3 Colleges shall apply to the DRC for the purpose of recognition to offer M.Phil. / Ph.D. programmes in specific disciplines.
- 10.3.4 The concerned SRC for specific discipline shall specify detailed requirement as per clause 10.3.1 and 10.3.2, for consideration of the application of any college to be considered for offering M.Phil. / Ph.D. programme and fulfilment of other requirements as specified in this Ordinance.
- 10.3.5 The DRC with the approval of the Vice-Chancellor shall notify the application form and other requisite criteria for colleges.
- 10.3.6 The application format for application by any college for consideration to offer M.Phil. / Ph.D. programme shall be proposed by the DRC and approved by the Vice-Chancellor.



- 10.4 The Affiliated college should also have regular and qualified staff to the satisfaction of the University. Of the teaching staff of the Institute, those who meet the eligibility qualifications and experience shall be approved as "Supervisors" as per the procedure prescribed in the clause 6 of this ordinance.
- 10.5 The University shall not entertain any request for M.Phil / Ph. D. programme for which the University does not have SRC.
- 10.6 There shall be no application / continuation fee for the Affiliated Colleges. The Colleges thus recognized cannot charge any extra fee from the Research Scholars other than those prescribed from time to time by GGSIP University i.e., registration, annual fee, course fee and thesis submission fee.
- 10.7 Such Affiliated Colleges shall be permitted to offer M.Phil / Ph.D. programmes only after receiving a satisfactory report from an experts committee, constituted by Vice Chancellor, for the purpose of visiting the Affiliated College and to evaluate the infrastructure and other facilities needed to start M.Phil / Ph.D. programme.
- 10.8 On the lines of GGSIP fellowships, the Affiliated Colleges may also offer their own Research Fellowships to research students with a view to generate warranted research environment at their Colleges.
- 10.9 Each of the Research Scholar, so registered at any of these Affiliated Colleges shall be required to pay fee etc. to the University separately as may be prescribed by the University from time to time.
- 10.10 All such Affiliated Colleges shall function in accordance with the overall superintendence of the concerned School Research Committee, and the University's Ordinance Governing Programmes Leading to Degree of M.Phil / Doctor of Philosophy shall be applicable on all the Research Scholars of these Centres in toto.
- 11.0 Treatment of Ph.D / M.Phil. as Part-time Registration**
- 11.1 M.Phil. and Ph.D. Programmes shall not be offered through distance education mode.
- 11.2 Part-time Ph.D. shall be allowed only for employed candidates provided all the conditions mentioned in this Ordinance are met. Conversion of full time registration to part time registration shall be permitted after approval of the concerned SRC, with reasons recorded in writing by the SRC.
- 11.3 The course work shall be offered to the Part-time scholars along with the Full-time scholars.
- 12.0 Depository with INFLIBNET**
- 12.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the Examination Division shall provide an electronic copy of the M.Phil. Dissertation / Ph.D. Thesis



to the library of the University. The Librarian of the University Library shall ensure the submission of the said copy to the INFLIBNET.

- 12.2 Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

**13.0 Consideration of already registered scholars who have not submitted their thesis**

The Ordinance applicable at the time of admission of the already registered scholar shall apply.

- 14.0 The eligibility of the supervisors recognised by the University before the enactment of this ordinance shall be reviewed by the concerned SRC.

- 15.0 For supervisors belonging to affiliated colleges, first the affiliated college have to be approved as institutions offering Ph.D. programmes as per the clauses of this Ordinance. Pending the same, the supervisors of the affiliated colleges shall not be allowed to register new scholars under their supervision, this shall have no effect on their supervision of scholars registered before the enactment of this Ordinance. Operational guidelines for recognition of supervisors shall be issued by the DRC after approval of the Vice-Chancellor.

- 16.0 The admission fee, the annual continuation fee, and the thesis submission fee shall be proposed by the DRC for the approval of the Vice-Chancellor. The same after approval shall be notified by the DRC for admission in a particular academic session. The annual fee submission schedule shall be notified by the DRC.

- 17.0 Provisions for financial assistance (if any) to research scholars, shall be proposed by the DRC for the approval by the Vice-Chancellor. The same after approval shall be notified by the DRC for admission in a particular academic session.

- 18.0 Operational guidelines for preparation of the admission brochure and its issuance shall be proposed by the DRC and implemented after approval of the Vice-Chancellor.

- 19.0 Operational guidelines for evaluation of the M.Phil. dissertation and Ph.D. thesis shall be proposed by the Controller of Examinations and implemented after approval of the Vice-Chancellor.

- 20.0 Notwithstanding anything stated in this Ordinance, if the Statutory Bodies regulating the M.Phil./Ph.D. programme, define any condition / specification at variance with this Ordinance, the same shall be applicable with the approval of the Vice-Chancellor, till necessary amendments are made in this Ordinance, incorporating the said new conditions / specifications. The concerned SRC shall propose the incorporation of the same.

- 21.0 Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by this Ordinance, or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining the opinion / advice of a Committee consisting of the DRC, and any or all the Deans of the Schools. The decision of the Vice-Chancellor shall be final.