

GLOCAL UNIVERSITY, SAHARANPUR

PH.D. ORDINANCES AND REGULATIONS

Amended in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022

(W. e. f. Academic Session 2023-24-Onwards)

1. TITLE & COMMENCEMENT

- 1.1 This regulation shall be called the Glocal University PhD Regulations 2022.
- 1.2 This regulation may be amended from time to time as per UGC notification.

2. DEFINITIONS

- 2.1 “**University**” (GU) means Glocal University.
- 2.2 “**Vice-Chancellor**” means the Vice-Chancellor of Glocal University.
- 2.3 “**Applicant**” means an applicant for admission to the Ph.D. Program of the University.
- 2.4 “**Attendance**” means the period for which a candidate must attend the University as per the University Ph.D. ordinance.
- 2.5 “**Supervisor**” means a member of the faculty of the University approved by the concerned schools/ colleges /departments (Dean/Principal/Head) and approved by the Director/Dean research of the university. A supervisor is responsible for providing guidance, supervision and executing of research, including monitoring half-yearly/six monthly progress report of a Ph.D. student.
- 2.6 “**Co-Supervisor**” means a member of the faculty of the University/ a competent person from outside the University, other than the Supervisor, approved by the respective Doctoral Research Committee (DRC) to supervise and monitor the research work of the Ph.D. student alongside the Supervisor.
- 2.7 “**Coursework**” means the courses to be undertaken by a candidate and completed minimum credits (12 credits) as defined in UGC PhD Regulation 2022 [9. (1) & (2)].
- 2.8 “**Dean**” means a Dean of a School of the University.
- 2.9 “**Principal**” means a principal of a College of the University.
- 2.10 “**Examinations Office**” means the Glocal University hereinafter (GU) Office of the Controller of Examinations (COE).
- 2.11 “**Ph.D. Student/ Research Scholar**” means a person enrolled in the Ph.D. Program devoting time to completing the requirements of the degree.
- 2.12 “**Minimum Registration Period**” means the minimum period for which a Ph.D. student must be registered, prior to the date of submission of the thesis.
- 2.13 “**Office of Dean/Director Research (ODR)**” means University level central PhD office, which handles the entire policy level administration of the PhD program across all the schools at GU and execute the decisions taken by the Doctoral

Research Committee (DRC) and Research Advisory Committee (RAC).

- 2.14 “Oral Defense” or “Viva Voce”** means an oral examination or oral defense of the thesis.
- 2.15 “Ph.D.”** means the Degree of Doctor of Philosophy. —Ph.D. Program means a study plan leading to the award of the Ph.D. Degree in a discipline of the University.
- 2.16 “Pre-Submission Seminar” or “Abstract Presentation”** means the forum for the presentation by the Research Scholar of the gist of her/ his research findings to the DRC and RAC before he/ she finally submits the Ph.D. thesis.
- 2.17 “Registration”** means the registration of a Ph.D. student at GU, who has paid the fees.
- 2.18 “Registration Period”** means the period commencing with the date of registration for the Ph.D. Program and ending on the date of submission of the thesis, counting out any gaps.
- 2.19 “School/ College/Faculty”** means a School/ College/ maintained or admitted by the University to its privileges. References to a —School include, as appropriate, references to a College of the University.
- 2.20 Constitution of Research Advisory Committee (RAC):** Since the University follows a centralized admission process for Ph.D. programs across all Schools, Colleges, Centers, and Departments, the Office of the Dean/Director Research (ODR) has been constituted at the University level to administer and monitor the program. Accordingly, the Research Advisory Committee (RAC) is constituted with the following members:

1. Vice- Chancellor	Chairperson
2. Registrar/Dy. Registrar (Academic)	Member
3. Principals/Deans of College/Schools	Member
4. Experts Nominated by the VC/ Director/Dean (R&D)	Member
5. Experts Nominated by the VC/ Director/Dean (R&D)	Member
6. Director/Dean (R&D)	Member Secretary

The Research Advisory Committee (RAC) at Glocal University serves as the apex body for doctoral research. It frames policies, monitors quality, ensures compliance with UGC regulations, and reviews the recommendations made by the Doctoral Research Committees. The RAC provides overall guidance, supervises progress, and maintains uniform standards of research across all Schools, Colleges, Centers, and Departments.

- 2.21 Constitution of Doctoral Research Committee (DRC):** The Doctoral Research Committee (DRC) functions at the Schools, Colleges, Centers, and Departments level and directly engages with research scholars. It consists of the following members:

1. Director/Dean (R&D):	Chairperson
2. Research Scholar Supervisor:	Convener
3. Dean/ One Professor from each School:	Member

- | | |
|-------------------------------|------------------|
| 4. External Subject Expert: 1 | Member |
| 5. External Subject Expert: 2 | Member |
| 6. Dean Academics: | Member Secretary |

The DRC approves the registration of scholars, their research topics, and coursework. It evaluates progress through seminars, presentations, and reports, and forwards recommendations to the RAC for review and approval. The committee ensures adherence to ethical norms, research quality, and timely completion of work.

3. OBJECTIVE

- 3.1 The Ph.D. program at GU shall adhere to the minimum standards and procedures prescribed by the University Grants Commission (UGC) from time to time, in accordance with the *University Grants Commission (Minimum Standards and Procedures for Award of M.Phil./Ph.D. Degrees) Regulations, 2022*, as amended from time to time.
- 3.2 A Ph.D. student shall be eligible for the award of a Ph.D. Degree after:
- Successfully completing the prescribed coursework requirements.
 - presenting the results of his/ her research in a thesis which demonstrates originality, intellectual depth, and rigor, and contributes to the advancement of knowledge in study concerned; and
 - Satisfying the examiners in an Oral Defense of the thesis in the research area concerned.

4. CATEGORIES OF ADMISSION

Applicants shall be admitted to the Ph.D. Program under one of the following categories:

- Full-time Ph.D. students with or without fellowship.
- Ph.D. students who are faculty members/ staff of the University.
Ph.D. students under the external registration program recognized by the University and sponsored by and employed in the organization/ industry/ university/ other institutions, who will normally carry out their research in the organization/ industry/ university/ other institutions of their employment.
- Overseas/ NRI Ph.D. students from partner universities/ institutions with which GU has MOUs or collaborative arrangements.
- Ph.D. students pursuing part-time Ph.D.

5. ELIGIBILITY CRITERIA

An applicant seeking admission to the Ph.D. Program must satisfy the following academic criteria set by different Schools/Colleges:

- 5.1 Candidates who have completed:
- 5.1.1 A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications

declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

- 5.1.2 or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.
- 5.1.3 A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 5.1.4 Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 5.2 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

6 DURATION OF THE PROGRAM

- 6.1 The Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 6.2 A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
 Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- 6.3 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.
- 6.4 Students shall be liable to pay the extension tuition fee up to the date of final thesis submission.

7 APPLICATION PROCEDURE

- 7.1 Admission to the Ph.D. programme shall normally be made annually as per the admission policy approved by the Academic Council of the University from time to time.
- 7.2 An applicant shall submit an online application through the Glocal University website or offline in the admission office.
- 7.3 A scanned copy of the relevant academic transcripts should be uploaded/ attached with the application form.
- 7.4 A short note on the professional background and experience of the applicant, if any.
- 7.5 A —**Statement of Purpose** explaining why the applicant wishes to pursue the Ph.D. Program, in around 1000-1500 words.
- 7.6 The names of two academic/ non-academic referees from whom the University may seek information on the research potential of the applicant.
- 7.7 An applicant is required to pay an application fee determined by the University.

8 SELECTION PROCEDURE

- 8.1 Applicants fulfilling minimum eligibility criteria as specified in these regulations shall be required to take a research entrance test followed by an Interview. In addition, a school/ institute may prescribe an additional selection test or a written examination.
 - a) The qualifying marks in the entrance test shall be at least 50%.
 - b) The syllabus of the entrance test shall consist of 50% of *research methodology* and 50% shall be subject-specific questions.
- 8.2 The following categories of applicants may be **exempted** from taking the entrance test:
 - a) Applicants who have qualified National Eligibility Test (NET)/ NET JRF/ SLET /CSIR/ GATE/ ICAR (ASRB) / GPAT / ICMR / DST or any other similar examination.
 - b) Holders of teacher fellowships from the UGC or any other Government funding agency.
 - c) Applicants, who have completed their Ph.D. coursework in another University / Organization, subject to approval by the RAC/ DRC.
- 8.3 Candidates shall be selected based on the academic record and the potential of the applicant demonstrated during the entrance test and interview.
- 8.4 Admissions to the Ph.D. Program must be recommended and approved by the

respective RAC/ DRC.

9 ADMISSION, REGISTRATION & FEES

- 9.1 An applicant whose selection is approved shall be granted admission to the Ph.D. Program and the set of courses recommended for the candidate.
- 9.2 Candidates shall be registered upon payment of university fees or award of the research fellowship.
- 921 A Ph.D. student shall re-new his/ her registration every semester in the manner prescribed and pay the fees determined by the University.
- 922 A Ph.D. student either or not holding a research fellowship shall pay the prescribed University fees at the beginning of each semester until the submission of his/ her thesis.
- 923 A Ph.D. student who is also a GU employee is eligible to get 50% concession in semester tuition fee, however upon leaving the institute such GU employee will not be eligible for this concession in tuition fees and must pay the full prescribed fees since inception and for the rest of the semester whichever is not completed.
- 9.3 Further details regarding registration fee details, please refer to: **Annexure A.**
- 9.4 Comprehensive fee details are available on the respective department pages of the University websites.

10 REGISTRATION PERIOD/PROGRAMME DURATION

- 10.1 The Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 10.2 An extension of one year may be granted by the Vice-Chancellor on the recommendation of the RAC/ DRC beyond the above limits.
- 10.3 A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- 10.4 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

11 MINIMUM ATTENDANCE REQUIREMENTS

- 11.1 It is mandatory for all the Ph.D. Students (Full- Time & Part-Time) to attend the

coursework classes as prescribed by the University/ GU school.

- 11.2 A part-time/ sponsored research scholar shall spend a minimum of 7 days during each semester to seek professional guidance from his/ her supervisor(s) and/ or avail the library/ laboratory facilities.
- 11.3 The ODR may allow an overseas candidate to meet the attendance requirements in his/ her place of residence provided the University has some form of collaboration with the university/ institute concerned.

12 SUPERVISOR

- 12.1 Each Ph.D. student shall have a Supervisor, duly approved by the RAC/ DRC. A student may, in addition, have one/two Co-Supervisor.
- 12.2 Any regular faculty member of the University who holds a Ph.D. Degree and has teaching/ research experience shall be eligible to be appointed as a Supervisor.
- 12.3 Any other faculty member of the University with a Ph.D. Degree with research experience shall be eligible for appointment as a Co-Supervisor.
- 12.4 A sponsored Ph.D. student shall have one Supervisor or Co-Supervisor from the University and one from the sponsoring university/ organization/ employer.
- 12.5 The Vice-Chancellor upon the recommendation of the RAC/ DRC may relax the conditions of experience if a faculty member with the required experience is not available.
- 12.6 A person of eminence with an established record of research evidenced through publications in reputed journals / acknowledged contributions in corporate/ public life may be appointed a Co-Supervisor.
- 12.7 In case a faculty member who has been appointed as the Supervisor or Co-Supervisor proceeds on leaves exceeding one year, an alternate faculty member may be appointed as the Co-Supervisor for the duration of absence of the regular incumbent upon the approval of the DRC.
- 12.8 A change of Supervisor(s) can be approved by the DRC for reasons to be recorded.
- 12.9 The number of Ph.D. students under a teacher, including Ph.D. students of other universities, shall not exceed at any time the following:
 - a) **Professor: Eight (8)**
 - b) **Associate Professor: Six (6)**
 - c) **Assistant Professor: Four (4)**
- 12.10 Scholar shall submit Supervisors/ Co-supervisor's peforma prescribed as per **Annexure B** for DRC approval.

13 CHANGE OF SUPERVISOR

- 13.1 If the existing Supervisor of a research scholar is unable to perform their duties including being on leave for a period exceeding twelve months, permanently leaving

the institution, unwillingness to continue supervision, or any other valid reason — the Doctoral Research Committee (DRC)/ Research Advisory Committee (RAC) shall appoint a new Supervisor.

13.2 In case a need arises, the DRC/RAC may also recommend a change of Supervisor by citing specific and valid reasons.

13.3 The format for Change of Supervisor is as follows: **Annexure C.**

14 COURSEWORK

14.1 The coursework shall be treated as a prerequisite for Ph.D. preparation. Course work may cover areas such as Research Methodology, Computer Application, Research and publication ethics, discipline specific paper as referred by concerned School/College in relevant field, field work or knowledge of the subject, credits of Course Work subjects are as follows:

Sr. No.	Title of Paper	Credits
1	Research Methodology (RM)	04
2	Research and Publication Ethics (RPE)	02
3	Recent Advances in ICT	02
4	Concern Subject as pre recommended by the School/College	04
Total Credits		12

14.2 75% attendance will be mandatory to appear in the coursework examination.

14.3 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

14.4 Ph.D. course work details shall be filled in the prescribed format as per **Annexure-D.**

15 CANCELLATION OF REGISTRATION

15.1 The registration of a Ph.D. student shall be canceled by the RAC/ DRC upon the recommendation of the RAC/ DRC in any of the following eventualities:

- Non-payment of fees due for two consecutive semesters.
- Non-completion of the coursework within the given time frame i.e., one and half year from the date of registration for full-time candidates and within two years from the date of registration for part-time candidates.
- Failure to present and defend a synopsis within the given time frame i.e., three months after completing all prescribed coursework in the case of a full-time candidate and within one semester in the case of a part-time candidate.
- Non-submission of progress reports, or two consecutive unsatisfactory progress report for the candidate.
- If a full-time research scholar absents himself/ herself for a continuous period of

four weeks without prior intimation/ sanction of leave.

- f) If the research scholar leaves the Ph.D. Program.
- g) If the research scholar's academic progress is found by the RAC/ DRC to be unsatisfactory.
- h) If the Research Scholar is found to be involved in an act of misconduct, plagiarism, dishonesty and/ or indiscipline.
- i) Ordinarily, a candidate shall not be eligible for re-registration once his/ her earlier registration has been canceled. The RAC/ DRC may, however, upon the recommendation of the DRC, permit re-registration based on the merits of the case, to be recorded in writing.

16 SYNOPSIS (RESEARCH PROPOSAL)

- 16.1 Upon successful completion of his/ her coursework, each candidate shall make a presentation before the DRC of a Synopsis of the research proposal and demonstrate her/ his preparedness to carry out the proposed research in a prescribed format given in **Annexure E**.
- 16.2 The Synopsis shall comprise the following:
 - i. Outline of the research proposal
 - ii. Rationale and significance of the proposed research
 - iii. Theme based literature review
 - iv. Research design /proposed methodology
 - v. Tentative Chapters
 - vi. The originality of the research and its contribution to the discipline.
 - vii. Names of academic/ industry experts with whom the candidate corresponded while developing the research proposal.
- 16.3 The RAC/ DRC shall either approve the synopsis or require the candidate to submit a revised synopsis.
- 16.4 A candidate shall ordinarily be allowed only two attempts for presentation before the RAC/ DRC. In case the synopsis is not approved within the limitations prescribed in this clause, the registration shall be canceled.

17 PERFORMANCE MONITORING/ PROGRESS REPORT

- 17.1 The academic progress of each Research Scholar shall be monitored by the DRC through the Supervisor(s) based on a progress report and further evaluated by the RAC. For details of the progress report please refer to **Annexure F**.
- 17.2 The Full-Time/ Part-Time Research Scholar shall submit a progress report to their supervisor(s) every at every 6 months in the prescribed format.
- 17.3 The DRC, after having considered the progress report of a research scholar, shall recommend one of the following:
 - a) Continuation of registration/ Satisfactory Progress.
 - b) Continuation of registration and issuance of a warning to the research scholar and/ or making recommendations in consultation with the supervisor(s) on the steps necessary to improve his/ her performance.

c) Cancellation of registration.

18 ABSTRACT PRESENTATION / PRE-SUBMISSION SEMINAR

- 18.1 Every research scholar upon completion of his/ her research work shall present the research work to the RAC/ DRC through his/ her Supervisor(s) in hard copy spiral bound Copy.
- 18.2 Thereafter, the Research Scholar will be required to make a 45-minute Power Point presentation before the RAC/ DRC, respective Supervisor(s), faculty members and other Research Scholars.
- 18.3 The RAC/ DRC shall either approve the presentation of the research work or require the Research Scholar to make a revised presentation.
- 18.4 Scholars Shall submit Pre-submission details in the prescribe format as per the **Annexure-G.**

19. SUBMISSION OF THESIS

- 19.1 The Research Scholar shall submit his/ her thesis within six months after the approval of the presentation of his/ her research work at the pre-submission seminar.
- 19.2 If he/ she fails to submit his/ her thesis within the stipulated time and has suitable justification for the same, the RAC/ DRC may grant an extension of not more than 6 months.
- 19.3 Prior to submitting the thesis, the Research Scholar may be arrange for the publication* of two (2) research paper in a refereed/UGC care/SCI/Web of Science/Scopus indexed journal and make at least two paper presentations in conferences/seminars based on his/her PhD work. Candidates are advised to produce evidence for the publication in the form of a certificate /letter of acceptance/copy of reprint.

****NOTE: Although Research Publication is Not Mandatory***

- 19.4 The thesis shall be a piece of research work characterized either by the discovery of new facts or enunciation of a new theory or theories or by a fresh interpretation of known facts. It shall bear evidence of the Research Scholar's capacity for analysis and judgment as well as his/ her ability to carry out independent investigation, design, or development.
- 19.5 The Research Scholar shall submit a certificate from his/ her Supervisor(s) in the prescribed format that the work embodied in the thesis is original and has been carried out by the author.
- 19.6 The thesis shall be prepared according to the format contained in **Annexure H.** Six copies of the thesis in soft binding along with one copy on Electronic media for record shall be submitted to the Examinations Office for evaluation. In case of a Research Scholar being supervised by more than one Supervisor/ Co-Supervisor, the appropriate number of additional copies shall be submitted.
- 19.7 The research scholar shall request for a plagiarism report for his/her thesis through the controller of examination (COE)/Office of Dean/Director Research / Central library. The similarity level must be 10% and shall be duly certificated by the

student and the supervisor(s). This certificate should meet the norms discussed in detail in **Annexure I**.

20. APPOINTMENT OF EXAMINERS

Along with the synopsis, the supervisor in consultation with RAC/ DRC must give a panel of at least six (6) names for Ph.D. thesis examination. The goal is to have the panel comprise of researchers who are working in the area of PhD thesis and who are appropriate for thesis evaluation. Guidelines for panel formation are:

- 20.1 The Supervisor(s) shall propose a panel of experts; however, the Doctoral Research Committee (DRC)/ Research Advisory Committee (RAC) reserves the right to delete any of the proposed names and/or add other experts as deemed appropriate. The panel shall consist of three (3) subject experts from within Uttar Pradesh (U.P.) and three (3) experts from outside Uttar Pradesh (U.P.). It is also advised that, if possible, at least one expert from outside India may be included in the panel.
- 20.2 Initially it is desirable to have more names in the panel (say six), and more from academia. It is suggested that at least four of the six names should be from academia.
- 20.3 Normally, only faculty from reputed university/department/Institutes like Central University/ IITs/ IISc/ NITs/ IIITH/ NLU/ or having NAAC/NIRF ranking in India (or similar ones abroad) should be proposed. If from industry, should normally be from some reputed research lab.
- 20.4 Proposed examiners should be at the rank of Associate Professor or above or should have an equivalent experience (6+ years after PhD).
- 20.5 Conflict of interest – the proposed (non-supervisor) examiners should not have co-authored any paper, with the PhD candidate. In the letter to be sent to the (non-supervisor) examiners for evaluation of thesis they may be requested to immediately inform if there is any Conflict of Interest with the student whose thesis is under evaluation.
- 20.6 A person from the same university/ institute/ organization where the Research Scholar is registered or employed shall not be appointed as an examiner. Furthermore, a person from a university/ institute/ organization to which the Supervisor(s) belongs shall not be appointed as an examiner.
- 20.7 Upon receipt of the abstract of the thesis, the Office of Dean/Director Research (ODR) shall send the names of the panel of examiners to the Vice-Chancellor who shall appoint examiners, one of whom must be from within Uttar Pradesh and one outside the Uttar Pradesh. It is also advised that, if possible, at least one expert from outside India may be included in the panel.
- 20.8 Note that the list of examiners should normally not be disclosed till the thesis review is complete; after that it is public information. In reviews, the name of the reviewer should not be disclosed even in the PhD defense. Only the Controller of examination/ Office of Dean/Director Research (ODR) (or his/her authorized representative) should interact with the examiners, once they have been selected, till the reviews have been submitted. The student should never contact the examiners, and the supervisors may do so only when requested/permitted by the Controller of

examination/ of office of Director Research.

- 20.9 In case an examiner so appointed declines to examine the thesis, other examiner(s) shall be appointed out of the panel. In case the panel gets exhausted, the supervisor in consultation with DRC shall propose additional names.
- 20.10 The particulars of External Examiners for Ph.D. thesis evaluation shall be provided as per **Annexure-J.**

21. EVALUATION OF THESIS

- 21.1 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners.
- 21.2 Each examiner shall submit a detailed assessment report to the Examinations Office on a prescribed proforma **Annexure K.** within a stipulated timeframe allocated by COE.
- 21.3 If the assessment report is not received from an examiner within 60 days, the Vice-Chancellor/ODR may appoint another examiner from the panel of examiners for evaluating the thesis.
- 21.4 The examiners shall be required to state categorically whether, in their individual opinions, the thesis shall be:

21.4.1 Accepted for the award of Ph.D. Degree,

21.4.2 Referred to the Research Scholar for revision and resubmission,

or

21.4.3 Rejected.

- 21.5 The examiners shall state the reasons for recommending the resubmission/rejection of the thesis. If a resubmission is recommended, the examiners shall indicate the modifications that shall be made in the thesis.
- 21.6 The reports from the examiners shall be placed before the Office Dean/Director Research (ODR) through the Controller of Examination (COE). The Office Dean/Director Research (ODR) in consultation with DRC shall peruse the reports and decide one of the following:
- 21.6.1 That the Research Scholar shall appear for an Oral Defense if the examiners have unanimously approved his/ her work.
- 21.6.2 That the Research Scholar shall revise the thesis and resubmit it if the examiners are unanimous that the thesis is submitted in a revised form.
- 21.6.3 That the thesis is rejected, and the research scholar shall be advised to re-register for a maximum duration of one year if the examiners are unanimous.
- 21.6.4 If the examiners are not unanimous, that a third examiner is appointed by the Vice-Chancellor to assess the thesis.

In the case of a decision that the thesis is re-assessed by a third examiner, the examiner shall be requested to submit to the Examinations Office a detailed assessment report on a prescribed proforma within 30 days. The examiner shall be required to state categorically whether the thesis shall be accepted for the award of a PhD degree, referred to the Research Scholar for revision and resubmission or rejected. The report will be considered by the ODR in consultation with DRC along with the reports of the other two examiners. The ODR in consultation with DRC shall decide:

(a) To approve the thesis for an Oral Defense.

Or

(b) that the thesis shall be revised and resubmitted:

Or

(c) That it shall be rejected.

- 21.7 In the case of a resubmission, the revised thesis shall be submitted within a period of six month from the date of communication by the Examinations Office of the decision of the DRC. However, in exceptional circumstances, the DRC in consultation with ODR may extend this period by up to one year. The revised thesis shall be sent to the original examiners for assessment. In the event of one or more of the original examiners not being available, other examiner(s) may be appointed by the Vice-Chancellor. If the examiners are not unanimous to approve the thesis for the Oral Defense, the thesis shall be rejected. Utmost confidentiality shall be maintained by the Office of Dean/Director Research (ODR) & Controller of Examinations (COE) office about the panel of name of the examiners.
- 21.8 In the event of acceptance of the thesis, the Examinations Office shall arrange for the Oral Defense.

22. ORAL DEFENCE/ VIVA-VOCE EXAMINATION AND AWARD OF DEGREE

- 22.1 Within one month from the decision of the ODR that the Research Scholar shall appear for an Oral Defense/ viva-voce examination, the Oral Defense shall be held by a Board of Examiners consisting of the Supervisor(s) and one of the examiners who evaluated the thesis, to be nominated by the Vice-Chancellor. In case neither/ none of the examiners who evaluated the thesis can conduct the Oral Defense, then Vice-Chancellor shall appoint another examiner from the panel of examiners to the Board of Examiners.

The Oral Defense shall, unless decided otherwise by the Vice-Chancellor, be held at the University in the School concerned. The date and time of the Oral Defense and the subject of the thesis shall be notified by the RAC/ DRC among the teachers and the Research Scholars of the concerned School, who may be permitted to be present at the time of the Oral Defense, but they shall have no right to put any question to the examinee. The Board of Examiners shall adopt a report indicating either that the

thesis is —Not Qualified or recommending that the Ph.D. degree be awarded.

- 22.2 Each thesis examiner shall be paid the remuneration of Rs. 5000/- for evaluation of the thesis and conducting viva-voce as honorarium. A foreign examiner shall be paid USD \$200 or an equivalent in Indian currency. However, these rates are subject to change as decided by the university from time to time.
- 22.3 In the case of a recommendation that the PhD degree is awarded, the reports of the examiners on the thesis and the Board of Examiners on the Oral Defense shall be placed before a meeting of the DRC/ODR, to be held within one month of the Oral Defense. The Research Scholar shall be invited to the DRC/ODR meeting. At least one week's notice shall be issued for the meeting. If the Principal Director/ Dean/ Vice Dean/ Associate Dean of the School/ Institute is not able to participate in the meeting, the Vice-Chancellor will co-opt any other senior faculty member of the School/ Institute in his/ her place. The DRC/ ODR shall decide on the approval of the award of the Ph.D. Degree.
- 22.4 Viva-voce Thesis submission must include the Verification Form as per **Annexure L**.
- 22.5 Upon the approval by the DRC/ ODR, the Examinations Office shall issue the notification of the award of the Ph.D. Degree.
- 22.6 Following the successful completion of the evaluation process and announcements of the award of the Ph.D. Degree, the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission (UGC) within a period of 30 days, for hosting on INFLIBNET which shall be accessible to all institutions/ universities.
- 22.7 Along with the Degree, the University shall issue a certificate certifying that the Degree has been awarded in accordance with the provisions of the Ph.D. regulations of Glocal University and the relevant UGC Ph.D. Regulations-2022.

23. AWARD OF DEGREE

- 23.1 The date of award of the Ph.D. degree shall be the date of notification issued by the Controller of Examinations (CoE). Ph.D. degrees, whether pursued in full-time or part-time mode, shall be treated as degrees awarded through Regular Mode.

Note: In the event of any unforeseen issues not covered by this regulation, the Vice-Chancellor of the University is the final authority to make decisions upon the advice of the RAC/ DRC.