



## Ordinance Relating to the Award of Doctor of Philosophy (Ph.D.) Degree

*In accordance with the provisions of UGC (MINIMUM STANDARDS AND PROCEDURE FOR AWARD OF M.Phil./Ph.D. DEGREE), REGULATIONS, 2009*

### Overview

The programme offers highly qualified and intellectually outstanding students an opportunity to pursue their research work at an advanced level in a high challenging but academically conducive environment. In pursuance of the *UGC (Minimum standards and procedure for awards of M.Phil/Ph.D. degree) Regulation 2009*, the Ph.D., programme of the Glocal University, is intended for those who wish to pursue research work after completing their postgraduate degrees in technology, science, management, law etc. and to develop higher research aptitude, and considering an academic career. With a view to encouraging interdisciplinary studies the Glocal University, Saharanpur, Uttar Pradesh encourages candidates to register for interdisciplinary Ph.D. Work in various schools/departments of the Glocal University. A suitable candidate registered under PH.D. programme may be given teaching assignment on payment of consolidated amount per month as decided by the University Administration keeping in mind the University Grants Commission guidelines.

### 1. Interpretations

- 1.1 "Applicant" shall mean an individual who applies for admission to the Ph.D. Programme of the Glocal University, Saharanpur on a prescribed Application Form.
- 1.2 "Candidate" shall mean a person registered for the Ph.D. Degree and who has successfully completed the course work requirement, the comprehensive examination and submitted an approved research plan; as per. 7.3 of the Regulations.
- 1.3 "Course Advisor" shall mean a faculty member nominated by the Department/ School to chalk-out the programme of course work of a student registered for the Ph.D. and to advise him on the courses to be taken by him. If a Supervisor(s) has already been appointed, he/she shall be the Course Advisor for that student.
- 1.4 "Course Work" shall mean courses of study prescribed by the Department/Centre through the Course Advisor to be undertaken by a student registered for the Ph.D. Degree.
- 1.5 "Degree" shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Glocal University, Saharanpur, Uttar Pradesh.
- 1.6 "Faculty" means and includes the full-time teaching staff of Glocal University and members thereof, and may also include Guest and Visiting Faculty members and part-time teachers if the context so requires.
- 1.7 "Full-time Research Student/Candidate" shall mean a person registered for the Ph.D. Degree devoting full time for completing the degree requirements.





1.8 "Joint Supervisor or "Co-Supervisor" shall mean an additional supervisor approved by the University Research Council on the recommendation of Department/School to help the supervisor in the accomplishment of the research work of the student/candidate, as per. 8 of the Regulations.

1.9 "Part-time Research Student/Candidate" shall mean a person who is registered for the Ph.D. degree and will devote part of his time towards this pursuit and devote part of his time towards the discharge of his official obligations.

1.10 Programme refers to a course of study which leads to the award of the degree of Doctor of Philosophy.

1.11 "Supervisor" shall mean a member of the academic staff of the University approved by University Research Council on the recommendation of School/Department.

1.12 "University" means the Glocal University Saharanpur.

1.13 University Research Council shall mean a body constituted by the Vice-Chancellor which shall be the in-charge of Ph.D. Course in the University.

## **2. Eligibility for Admission to the Ph.D. Programme**

2.1 A Candidate shall be eligible for admission to a course of research leading to the Degree of Doctor of Philosophy(Ph.D.) if he/she had taken the Master's degree of the University *or*

A degree recognized by the University for this purpose as its equivalent securing not less than 55% marks or its equivalent in grade; *or*

2.2 Master's Degree from any recognized University with 50% marks or its equivalent in grade and have had at least five years full-time teaching/judicial/professional/administrative/industrial experience in the subject.

Provided, however, that the cases of students who have passed examination outside the Indian Universities system and who may not have obtained a Master's degree may be considered for admission to the course subject to the condition that each case shall be examined on its own merit by the Admission Committee and in accordance with the recommendations of the Equivalence Committee.

## **3. Procedure for Applying for Admission**

3.1 Eligible candidates may apply in any of the abovementioned categories in the prescribed form which can be downloaded from University website ([www.theglocaluniversity.in](http://www.theglocaluniversity.in)) and sent to the Registrar with a demand draft of Rs. 1000/- in favour of Registrar, Glocal University, payable at Saharanpur.

3.2 Along with the application, a candidate is required to submit the followings:

- 1) An outline of the scheme of research intended for the thesis;
- 2) A chapter-wise proposal of the work in about 2,000 words;
- 3) A Certificate from the institution concerned testifying length of service, wherever required;





- 4) An attested photocopy of M. Tech., M.B.A., M.C.A., M.Com., LL.M., M. Pharm., M.Phil., and M.A., M.Sc., Degrees whichever is applicable, along with the marks sheet ; and
- 5) One set of published papers, monographs, articles and books, if any.

#### 4. Admission Test

4.1 The University will hold a **RESEARCH ADMISSION TEST (GRAT)** twice in the year for admission to Ph. D. Degree.

4.2 The test shall be of 2 hours duration consisting of two papers:

- Paper I – Research Methodology
- Paper II – Core Discipline

4.3 Foreign nationals and candidates who have passed the NET or JRF examinations are exempted from appearing in the entrance examination. In subjects where NET examinations are not conducted, appearing for the admission examination is mandatory.

4.4 The candidates need to secure 50% Marks in order to qualify for the stage of presentation.

4.5 Successful and exempted candidates are required to appear before a panel of experts and present their research proposals.

5. Registration to the Ph.D. programme shall be based, *inter alia*, on the performance of the candidate in the entrance test and the presentation before the expert panel constituted by the Research Council for this purpose with the Chairman and two or more Faculty members of Glocal University or outside experts nominated by the Vice-Chancellor.

#### 6. Categories of Enrolment

##### A. Full-time enrolment

1. Enrolment for the Ph.D. Programme shall ordinarily be full-time.
2. The candidate shall put in residence in the University for at least a total period of 18 months spread over the three year period.<sup>1</sup>

Provided that the said period of 18 months, may be reduced or dispensed with by the Vice-Chancellor, with the approval/permission of the Academic Council.

3. Three years shall be the maximum period in which a full time candidate should complete the work and submit the thesis for evaluation.

##### B. Enrolment of a candidate, serving as a Teacher:

1. In Glocal University

<sup>1</sup> Not applicable to candidates, serving as faculty members in Glocal University Saharanpur, or in any University/College/Faculty, other than Glocal University, Saharanpur.





- i. There shall be a provision for enrolment of candidates, serving as Teachers at Glocal University, for the Ph. D Programme.
- ii. A Teacher-candidate, [referred to sub-clause (i) of Clause (1) of Part B], shall put in a minimum of 18 months of study in the University, from the date of registration/enrolment, before he/she can submit his/her thesis for evaluation and award of Degree.  
Provided that a Teacher-candidate [referred to sub-clause (i) of Clause (1) of Part B], may submit his/her thesis before the stipulated period of 18 months, but after completing a minimum of 12 months of study from the date of registration/enrolment, with the permission of the Academic Council.
- iii. Five years shall be the maximum period in which the Teacher-candidate, [referred to sub-clause (i) of Clause (1) of Part B], shall complete work and submit it for evaluation.

## 2. In a College/University, other than Glocal University Saharanpur

- There shall be a provision for enrolment of candidates serving as Teachers, in any other Faculty/College, other than Glocal University, for the Ph.D. programme.
- A Teacher-candidate [referred to sub-clause (i), of Clause (2) of Part B] shall put in a minimum of 18 months of study in the University, including the time spent for research at any other place, with the permission of the Supervisor.
- Five years shall be the maximum period in which the Teacher-candidate [referred to sub-clause (i), of Clause (2) of Part B] shall complete the work and submit it for evaluation.

## C. Part-Time Enrolment

1. There shall be provision for part-time enrolment for the Ph.D. programme.
2. A Part-time candidate shall put in a minimum of three years of part-time study in the University including time spent for research at any other place with the permission of the Supervisor.
3. A part-time candidate shall put in residence in the University for at least a total period of 12 months spread over the three year period.

Provided that the said period of 12 months, may be reduced or dispensed with by the Vice-Chancellor, with the approval/permission of the Academic Council.

4. Five years shall be the maximum period in which the part-time candidate shall complete work and submit it for evaluation.

Note: In case of candidates under Clauses (C) and (D) above, the Supervisor of the candidate shall ensure monitoring of the research work done by the candidate outside the University campus by insisting on production of adequate proof of work done.

## 7. Pre-Ph.D. Course Work

7.1 All full time and part time scholars shall be required to go through course work. The course work shall be treated as pre- Ph.D. Preparation. The course work consists of the following papers:

**Paper I:** Research Methodology (Research methods of concerned discipline and





**Paper II:** Background (special) Paper related to his / her Ph.D. Work. (Pertaining to the area of specialization chosen by the candidate under a guide).

7.2 The syllabi for Papers will be framed by the Research Council of Glocal University with the approval of the Academic Council.

7.3 Examination of the course work shall be held at the end of first term. One paper of 100 marks shall be drawn, 50 % shall be the minimum marks for qualifying requirement for allowing a student to proceed further with the writing of the dissertation.

## **8. Research Supervisor**

8.1 The University Research Council shall appoint one or more persons holding an appointment with the University to supervise programme of study of a candidate admitted to the Ph.D. Programme.

Provided that, when the programme of study so requires, an external supervisor possessing expertise and experience in the area of study may be appointed, in addition to at least one internal supervisor who shall be a full time academic staff member.

8.2 A Faculty of the University who holds a Ph.D. Degree and has a teaching/research experience of not less than five years shall be eligible to be Research Supervisor or a Co-Supervisor.

8.3 Any other person from this University/another University/or other reputed established international/national institution conducting research programmes shall be eligible to be appointed either as a Supervisor or Co-Supervisor provided he/she holds a Ph.D. Degree and has an established record of research evidenced through publications in standard referred journals and provided his/her name is approved by the Academic Council.

8.4 Candidates who propose to carry out research work in interdisciplinary areas shall be permitted to have a Co-Supervisor/guide on the recommendation of the University Research Council, if necessary.

8.5 At any given time, the maximum number of research students working with a Research Guide, shall not be more than 08 for a Professor, 05 for an Associate professor and 03 for the Assistant Professors.

## **9. Monitoring of Research Progress**

9.1 The University Research Council shall monitor the research progress of each candidate. The candidate shall submit Six Monthly (Bi-annual) Progress Reports. This report shall be submitted to the Office of Registrar through the Research Supervisor latest by 31st April/31st October each year for the work done during the year. After this date the candidate shall have to pay a late fee.

9.2 A candidate registered for the Ph.D. Degree shall be required to give a Bi-annual seminar each year before 31st March and 30<sup>th</sup> September. After this date, the candidate shall have to pay a late fee.

9.3 The University Research Council after review of the Progress Report may recommend:

- Continuation of the registration
- Continuation of the registration with suggestions to improve progress





→ Termination of the registration.

## 10. Submission of Thesis and Pre-Submission Requirements

10.1 The Ph.D. candidate shall publish a minimum of one research paper in a refereed journal before the submission of the thesis for adjudication and produce evidence for the same in the form of acceptance letter or the reprint.

10.2 Ph.D. candidates will also have to engage classes (as specified by the University) in the subject of their specialization.

10.3 At least three months before submission of the thesis, the candidate shall be required to present a Pre-Submission Seminar wherein he/she shall have to present and defend the findings of his/her research work. The Pre-Submission Seminar shall be attended by the Faculty members, the post-graduate students and other invited experts. In the light of the discussion at the seminar, the drafting of the thesis shall be finalized and submitted to the University with the approval of the Research Advisory Council.

10.4 While submitting his/her thesis in quadruplicate to the University for evaluation, the candidate shall also submit the thesis on the CD and shall comply with the following requirements:

1. A certificate from the Research Supervisor testifying for having satisfactorily completed the research work;
2. A declaration by the candidate and attested by the Supervisor to the effect that the research work is of original in nature and not submitted or published elsewhere;
3. Proof of publication of one research paper in a refereed journal; and
4. Fee receipt for having paid the requisite examination fee.

## 11. Evaluation of Thesis

11.1 The thesis submitted by the candidate shall be referred for evaluation to two external examiners selected by the Vice-Chancellor, out of a panel of ten external experts recommended by the supervisor and approved by the Vice-Chancellor on behalf of the Academic Council. The external examiners shall send their evaluation report in the prescribed form within a period of two months from the date of receiving the thesis.

11.2 The report of the external examiners shall be placed before the University Research Council. The majority opinion of examiners shall be taken into consideration for determining whether or not the thesis work has fulfilled the requirements of the Ph.D. Degree Programme.

## 12. Viva-Voce (Public Defense) of Ph.D. Thesis

12.1 If (at least) two of the examiners recommends the award of degree, there shall be a viva-voce examination of the candidate.

12.2 The viva-voce shall be held at the Glocal University with one of the external examiners, Dean/HOS of concerned subject and the members of the Research Advisory Council participating in it.

12.3 The quorum for holding the Viva-Voce Examination will be five members. On completion of the viva-voce examination, if viva-voce examiner confirms the decisions of the thesis examiners/majority of the examiners to award degrees to the candidate, the Research Advisory Council shall send a report to the Vice-Chancellor in the prescribed form with the signatures of





all the members present, including that of the external examiner indicating recommendation for the award of the Ph.D. Degree.

12.4 If the Viva-Voce Examiner is of the opinion that the candidate should not be considered for the award of the Ph.D. Degree, a report shall be sent to the University Research Council with reasons to be recorded in writing.

10.6 The University Research Council may allow one additional opportunity for the viva-voce to the candidate on his application. The candidate shall pay the prescribed fee for the second viva-voce.

11.7 At the re-viva-voce examination, the Vice-Chancellor may call other examiner to conduct the viva-voce and the decision of the Viva-Voce Examiner at this stage shall be final.

### **13. Rejection of Ph.D. Thesis**

13.1 When thesis fails to obtain approval of the majority (at least two) of the examiners or when after viva-voce examination the Viva-Voce Examiner does not recommend the award of Ph.D. Degree, the University Research Council may advise:

- That the thesis be rejected; or
- The thesis be submitted in a revised form within one year but not before six months from the date of communication in this regard.

13.2 The revised thesis shall be sent to the original panel of examiners. In case one or more of the original examiners are not available, additional examiners may be appointed from the list provided by the supervisor. The same evaluation procedure shall be followed as that of original submission. Only one re-submission shall be permissible on payment of re-enrolment fee and the re-submission fee.

13.3 If the re-submitted thesis again fails at the evaluation process, there shall be no further re-submission on any ground whatsoever.

### **14. Award of Ph.D. Degree**

14.1 If the two of the external examiners of the thesis have recommended the award of the Ph.D. degree and the Viva-Voce Examiner having satisfied himself/herself on the basis of performance of the candidate in the Viva-Voce Examination, that the candidate has written the thesis himself/herself may recommend the award of the Ph.D. Degree to the University Research Council (URC).

14.2 The University Research Council would consider the reports of the examiners of thesis and Viva-Voce Examination for arriving at a decision with regard to the award of the degree. The result of Ph.D. Degree of a candidate be deemed to have been declared on the date of meeting of University Research Council where he is declared eligible for the award of the degree.

14.3 The Controller of Examinations shall publish the result and issue the notification.

14.4 The Ph.D. Degree shall be awarded at the convocation of the University with the approval of the Academic Council. The candidate, however, may obtain provisional certificate on payment of requisite fees.

### **15. Expiry/Lapse of Enrolment**

Enrolment for the Ph.D. shall be deemed to have lapsed after three years from the date of





Enrolment in the case of full-time students and five years in the case of part-time students. In such cases, however the University Research Council, on the application by the concerned student, may give extension of time for a period of six months at a time but for a maximum period of not more than one year.

**Note:** A suitable candidate registered under PH.D. programme may be given teaching assignment on payment of consolidated sum per month as decided by the University Administration keeping in mind the University Grants Commission guidelines.

