



GLOCAL UNIVERSITY, SAHARANPUR

PH.D. ORDINANCES AND REGULATIONS

(Amended in accordance with the UGC (Minimum Standards and Procedure For Award of M.Phil. /Ph.D. Degree) Regulations, 2016)

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 2009/2016*, 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.

1. Eligibility criteria for admission to the M.Phil. programme:

- 1.1 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.
- 1.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an



equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

2. **Eligibility criteria for admission to Ph.D. programme:**

Following applicant are eligible to seek admission to the Ph.D. programme:

- 2.1 Master's Degree holders satisfying the criteria stipulated under Clause 1 above.
- 2.2 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 the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
- 2.3 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;
- 2.4 Candidates possessing 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.

3. **Duration of the Programme:**

- 3.1 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.
- 3.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.



- 3.3 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.
- 3.4 The women candidates and Persons with Disability (more than 40% disability) may 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 may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days.

4. **Procedure for admission:**

- a. Glocal University will admit M.Phil/Ph.D. students through an Entrance Test. Those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil programme shall be exempted from appearing in the written test but compulsory to appear before committee/Admission Counselling for the admission. Similar approach may be adopted in respect of Entrance Test for M.Phil programme.

5. **Allocation of Research Supervisor:** Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc.

- 5.1 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- 5.2 Co- Supervisor can be allowed in inter-disciplinary areas from other departments of the university or from other related institutions with the approval of the Research Advisory Committee.
- 5.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned 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.



- 5.4 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.
6. **Course Work:** 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).
- 6.1 The syllabi for Papers will be framed by the Research Council of Glocal University with the approval of the Academic Council.
- 6.2 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.
- 6.3 The minimum credit assigned to the Ph.D. course work are as follows:
- Paper I: 4 Credits
Paper II: 4 Credits
Total: 8 Credits
7. **University Research Committee and its functions:**
- 7.1 Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:
- 7.1.1 To review the research proposal and finalize the topic of research;
- 7.1.2 To guide the research scholar to develop the study design and methodology of research
- 7.1.3 To periodically review and assist in the progress of the research work of the research scholar.
- 7.2 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.
- 7.3 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 for cancellation of the registration of the research scholar.

8. Pre-Ph.D. Presentation

8.1. Full-time and part-time Ph.D. scholars shall have to attend and clear at least four (04) and six (06) Departmental Research Committee (DRC) meetings after successful completion of the course work, respectively.

8.2. Prior to the submission of the thesis, the scholar shall make an open Pre-PhD presentation in front of DRC along with the Research supervisor, Co-Supervisor, faculty members, and other research scholars. A draft thesis in the University prescribed format has to be presented during the Pre-PhD presentation. The feedback and comments obtained from them may be suitably incorporated into the draft thesis which shall be communicated through the Departmental Research Committee (DRC) meeting minutes.

8.3. Pre-Ph.D. permission shall not be normally given unless the scholar shows and certified by the supervisor that all the approved objectives have been achieved with at two Conference/Seminar Certificate(i.e paper presentation) and two research work related publications in UGC listed journal/referred journal /Scopus/Web of Science/Thomson Reuter/SCI-indexed journals etc. before the submission of the thesis for adjudication, and produce evidence for the same in the form of certificates, acceptance letters and/or reprints.

8.4. After a successful Pre-Ph.D. presentation, the scholar has to submit a six hard-bound thesis with Summary and a soft copy(04 CD and 01 Pen Drive) using the duly filled thesis submission form and other relevant documents/ forms/ certificates/ annual Ph.D. fee receipts.

8.5. The scholars shall have to take no dues(i.e Course Fee, Hostel Charge, Lab/Library fee, etc.) clearance certificate from all the concerned related department before the thesis submission.

9. Evaluation of Thesis:

9.1. Initial review of the submitted thesis will be conducted by the research cell, for plagiarism, any other forms of academic dishonesty, and correctness of the English /Hindi language. Further, the scholar has to give an undertaking and a certificate from the Research Supervisor(s) attesting to the originality of the work, vouching that there is no plagiarism. The accepted plagiarism shall be not above 10%.

9.2. A panel of external experts duly qualified to examine shall be prepared by supervisor and out of which at least two of the examiners in the panel shall be from outside the State of Uttar Pradesh, with preferably one from outside the country. The Hon'ble Vice-Chancellor will approve two external (At list one out of state) examiners from the panel.

9.3. The thesis shall be sent to the approved examiners for evaluation. A maximum of four months shall be given to the examiners for sending the evaluation report in the prescribed format, failing which the Hon'ble Vice Chancellor may appoint an additional examiner from the panel to complete



the entire evaluation process and viva-voce examination within a period of six months from the date of submission of thesis.

9.4. The examiners shall specifically report and recommend whether the thesis be:

9.4.1. *Approved as it is*

OR

9.4.2. *To be resubmitted after revision/ extension/ modification of work.*

OR

9.4.3. *Rejected*

9.5. The compiled reports shall be communicated to the Research Supervisor. The revised thesis along with the rebuttal of the comments/suggestions highlighting the text in the revised thesis where the revision took place shall be submitted to research Cell for review.

9.6. If one of the external examiners approves the thesis and the other examiner recommends revision and/or clarifications, the scholar's revised thesis will be communicated to the concerned examiner. A Viva voce examination may be conducted following a positive reply from the concerned examiner.

9.7. If the Ph.D. scholar is required to revise the thesis by both the examiners, the scholar shall revise the thesis within a maximum of one year from the date of the communication.

9.8. The modified thesis shall be examined by all the examiners. A copy of each of the previous evaluation reports shall be sent to the examiners. The examiners shall recommend whether the scholar has incorporated all the comments in the revised thesis which is to be approved or rejected.

9.9. The viva-voce examination shall be held only if the report of both the examiner is satisfactory.

9.10. If both external examiners reject the thesis in the first place, the thesis shall stand rejected.

9.11. The viva-voce examination shall be conducted by the Research Supervisor, and at least one of the two external examiners, appointed by the Vice Chancellor, who have evaluated the thesis and shall be open to all the students and staff of the University.

**In Some special Case (i.e. Depending upon the situation) the Hon'ble Vice chancellor may allow for Online final viva-voce presentation.*

9.12. The external examiners shall give a clear recommendation for the award of a Ph.D. degree based on the satisfactory performance of the scholar during the viva-voce examination. In case the scholar is required to re-appear for a viva-voce examination before the same Board of examiners, it shall not be earlier than two months from the date of the first viva-voce examination. If the performance of the Ph.D. scholar at the second viva voce examination is unsatisfactory, the thesis shall be rejected.



9.13. The entire process of thesis evaluation has to be completed within a period of six months from the date of submission of the revised thesis after an initial review by the research Cell.

10. Depository with INFLIBNET

10.1. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/ Universities/ Colleges.

