Ph.D. REGULATIONS

(2023)

Adopted by the Academic Council vide Resolution No. AC/2023/01/02 dated 13/01/2023 and approved by the Board of Management in its meeting held on 13/01/2023

GIRIJANANDA CHOWDHURY UNIVERSITY (GCU), Assam

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Ph.D. Rules and Regulations (2023)

1. Introduction

Girijananda Chowdhury University (GCU), Assam shall offer programs leading to the award of Ph.D. degree through its wide range of areas in Engineering, Pharmacy, Applied Science, Management, Humanities and Social Sciences, with a special emphasis on maintaining inter-disciplinary research to support the major issues confronting the community, society, the entire North Eastern Regions, and the country as a whole. The award of Ph.D. degree shall be in recognition of high academic achievements, independent research and application of knowledge to the solution of social, managerial, technical and scientific problems. The degree of Doctor of Philosophy (Ph.D.) of the GCU shall be conferred on a scholar who fulfils all the requirements specified in these Ordinances and Regulations.

The procedure and requirements spelt out in these Ordinances and Regulations aims to ensure high standards of performance in research work at the University.

2. Frequently used Terminologies and definition

- **Doctor of Philosophy (Ph.D):** "Doctor of Philosophy (Ph.D.)" denotes that the degree holder has successfully completed the required course curriculum and conducted a significant amount of original research, which has been carried out and reported by the holder under proper academic supervision and in a research environment for a predetermined amount of time.
- **Research:** The term "research" refers to a methodical study or inquiry that aims to provide new information in the form of facts or patterns, fresh interpretations of concepts, or the development of novel technologies.
- **Supervisor/guide:** "Supervisor" means a regular faculty member of Girijananda Chowdhury University who meets the UGC basic qualifications to supervise the research work carried out by the student/candidate for Ph.D.
- **Co-supervisor/Co-guide:** "Co-supervisor" refers to a person authorized by GCU to oversee a student's research project alongside a designated GCU Supervisor. He/She may or may not be a member of the GCU faculty.
- **Research Scholar or Ph.D. Scholar: '**Research Scholar' means a post-graduate student who is admitted and enrolled into the Ph.D. program of Girijananda Chowdhury University (GCU) through the standard procedures adopted by the University. The candidate admitted by the University may be either under full time

mode or Part time mode for pursuing Doctoral Programme for the award of Ph.D degree.

- **Course Work:** 'Course work' means a theory or practical subject that may be prescribed by the Doctoral Committee for the candidate to undergo as a part of the programme requirement specified by UGC regulations.
- **GCU-RET:** 'GCU-RET' refers to Girijananda Chowdhury University-Research Entrance Test. It is a standard entrance test conducted by the University Academic Registrar for screening of candidates to be admitted to the Ph.D. programme under various courses under GCU.
- **External examiner: '**External Examiner' refers to the subject expert appointed by the University who shall be involved to evaluate and examine the Ph.D. thesis or dissertation of the candidate.
- **Counseling:** Any postgraduate department or Schools under the premises of GCU shall conduct an academic interview to select candidates for admission to Ph.D. programme. It is a crucial step that all potential Ph.D. scholars should go through. Failure to attend a Counseling Session may result in the candidacy being rejected.

3. Statutory Bodies and their responsibilities

3.1. THE RESEARCH COUNCIL

3.1.1. Constitution of the Research Councils: The Research Council administers the research programmes of the University. The Research Council shall consist of the following:

(a) The Vice Chancellor shall be the *ex-officio* Chairperson

(b) All Deans of the Schools of Studies and the dean R&D shall be the members

(c) Five Professors nominated by the Academic Council

(d) Two teachers nominated by the Vice Chancellor

(e) Three reputed academicians from other Universities/Higher Education Institutions

(f) The Controller of the Examinations shall be the *ex-officio* Member secretary

3.1.2. The Powers & functions of the Research Council: The Research Council shall be mainly responsible for the following functions:

a) Shall arrange for policy formulations for research in the different Schools of Studies.

b) Shall recommend guidelines on identification of the Thrust areas of research by the various department under the Schools of studies

c) Shall recommend the draft Ordinance and regulations for admission to the Ph.D. programmes consistent with the Guidelines and the Regulations of the Government.

d) Shall recommend guidelines for conduct of research leading to the award of the Ph.D. degree in various subjects consistent with the Guidelines and Regulations of the Government.

e) Consider recommendation of the Deans of the Schools on the formation of the Doctoral Committee (DC), and the Departmental Research Committee (*DRC) for the PhD students.

f) Shall consider the Progress Reports of the Ph.D. students as recommended by the DRCs.

g) Shall consider the Panels of the Examiners of the Ph.D. thesis as recommended by the DRCs and recommend to the Vice Chancellor for appointment of the Ph.D. Thesis Examiners from the recommended panels.

h) Shall consider the Reports of the Ph.D. Thesis examiners for recommendation to the Academic Council for recommendation of the award of the Ph.D. degree.

i) Shall examine all research work of the University for ensuring compliance of the guidelines, Regulations of the regulatory bodies to ensure the standard and quality of research.

j) Shall supervise and monitor the Student Research Projects, Field Studies and Internship projects of the graduate and post graduate students consistent with the requirement of the prescribed guidelines, Regulations, etc., of the University and the regulatory bodies of the Government.

3.2. THE DEPARTMENTAL RESEARCH COMMITTEE (DRC)

3.2.1. Composition of the Department Research Committee: Department Research Committee is the Research Committee of a teaching department of the University. There shall be a Departmental Research Committee (DRC) constituted as below in each Department –

a) Head of the Department - Chairperson*

b) All eligible Ph.D. Supervisors of the subject concerned - Members

c) Minimum two members outside of the department nominated by the Vice Chancellor as and when necessary. - Members

Regulations:

a) In case, the Head of the Department is not an eligible Ph.D. Supervisor, the Dean of the school concerned shall be the Chairperson of the DRC concerned. He/ She shall function until the Head of the Department acquires eligibility to be a Supervisor.

b) Provided that in the case of Departments where the Head of the Department being a single eligible recognized Supervisor, at least two members for the DRC of such Departments shall be nominated by the Dean of the School concerned from the allied Departments in consultation with the Chairperson, DRC.

c) Provided further that the Vice-Chancellor shall constitute appropriate DRCs for the subjects in which there is no Post Graduate teaching Department in the University.

3.2.2. Functions of the DRC: The DRC shall consider all matters related to the research works in the subject(s) concerned. The functions of the DRC are

a) It shall look after all activities related to entrance and admission to the Ph.D. Course Work as per the prescribed admission criteria and procedure.

b) It shall conduct and do the needful for evaluation of the Ph.D. Course Work.

c) It shall consider the recommendations of the Doctoral Committees related to the registration of the Ph.D. research Scholars. It shall recommend a Ph.D. proposal (synopsis) for registration only after its presentation before the DRC by the concerned Scholar.

d) It shall convene the end Semester presentations of the Ph.D. Scholars of the concerned department.

e) It shall scrutinize the progress reports of the Ph.D. research Scholars in regular interval and recommend the same to the Dean of the School concerned.

f) The DRC shall organize the Pre-submission seminars of the Ph.D. Scholars and receive the abstracts along with the panel of examiners from the Doctoral Committees and recommend to the Research Council concerned for further needful.

g) The DRC shall consider any other issues relevant to the Ph.D. works of the scholars.

3.3. THE DOCTORAL COMMITTEE (DC)

3.3.1. Composition of the Doctoral Committee (DC): The formation of the DC will be initiated by the supervisor(s) to monitor the progress of each of the research students. The DC shall consist of supervisor(s) and a minimum of two faculty members of the Department/Centre concerned in which the research student pursues his/her research work, with the supervisor as the chairperson. A maximum of two members may be from allied Department(s)/Centre(s) of the University to this Committee. The number of members of the DC shall not exceed 5 (five). The formation of the Doctoral Committee shall be notified by the Chairperson of the DRC concerned and the copies of it shall be sent to the Offices of the Dean of the School concerned, Dean, Research and Development and Joint Registrar (Academic).

3.3.2. Functions of the Doctoral Committee (DC): The Doctoral Committees shall be responsible for following functions

a) The Doctoral Committee shall examine the research proposals and recommend the same to the DRC concerned if found appropriate for Ph.D. registration.
b) It shall monitor the progress of research of the scholar and recommend the progress reports to the DRC concerned. The progress of the research scholar shall be regularly monitored by the DC. The six monthly progress reports shall be first presented before the DC. The DC shall forward the same subject to its recommendation to the DRC.
c) It shall monitor, suggest and guide the Ph.D. Scholar on her/his research as and when necessary.
d) It shall examine the abstracts of the Ph.D. Thesis prior to the pre-submission seminar and recommend the same to the DRC concerned.
e) It shall ensure the corrections and modifications in the thesis as per the recommendation of the examiners before the viva-voce examination.

4. Allocation/recognition/change of the Research Supervisor/Co-supervisor

Eligibility criteria to be a Research Supervisor, Co-Supervisor with Number of Ph.D. scholars permissible per Supervisor, supervisor's obligations, change of supervisors etc. were discussed as follows:

4.1. Any permanent Professor/Associate Professor of the University, with a Ph.D. and having at least five research publications in peer-reviewed or refereed journals and any permanent Assistant Professor of the university with a Ph.D. degree and at least three research publications in peer-reviewed/refereed journals/UGC-CARE Journals may be recognized as Research Supervisor.

4.2. For Ph.D. scholars working in Central government/State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors under GCU if they fulfill the above requirements (*clause 4.1*).

4.3. Research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors with prior approval of the Vice-Chancellor. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.

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

4.5. Only a full-time regular teacher of the University concerned can act as a Research Supervisor. Adjunct faculties are not permitted to be Research Supervisors except being Co-supervisor. However, Co-Supervisors from within the same department or outside the university may be permitted with the approval of the Research Council.

4.6. In the case of topics which are inter-disciplinary/multidisciplinary and where the Schools/Department concerned feels that the expert opinion in the research topics has to be supplemented from outside, the GCU on behalf of DRC may appoint a Research Co-supervisor from the outside the Department/ Schools/ Faculty/ College/ University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

4.7. The allocation of Research Supervisor under GCU for a selected research scholar shall be decided strictly as per UGC regulations (2022). This may be decided by the Departmental Research Committee concerned depending on the number of scholars per Research Supervisor, availability of specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.

4.8. A Research Supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars as per UGC regulations.

4.9. Each Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 4.8 above.

4.10. GCU may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

4.11. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 4.8 and clause 4.9.

4.12. In case of relocation of a woman Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding agency. The scholar shall, however, give due credit to the parent guide and the institution for the part of research already done.

4.13. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision as per UGC regulations. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

4.14. **The Supervisor's Obligations**

4.14.1. It is supervisor's responsibilities to ensure all formalities described in the PhD Regulations and also in the Ordinances of GCU are fulfilled. The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching skills and career guidance.

4.14.2. The supervisor's responsibilities include information and advice to scholars on all aspects related to the Ph.D. programme while focusing on guidance on academic aspects of research activities. This may include regular meetings with a scholar (typically once a week unless restricted due to reasons otherwise).

4.14.3. The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors were deemed appropriate, whether the proposed Ph.D. project is feasible within the given time frame, whether the project has the potential to lead to new results of significantly high standard of an international level Ph.D. thesis, and whether the scholar has sufficient time to enable him to have a realistic opportunity for submission of thesis. It is envisaged that an ideal Ph.D. programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D programme and they have reached an agreement on the demands and expectations from each other.

4.14.4. Other responsibilities of the supervisor include:

- Guiding the scholar about the choice of relevant courses and conferences related to the field.
- Advising the scholar for contacting relevant national and international organizations in the area of research.
- Assisting the scholar on incorporation of knowledge dissemination element in the course of study.
- Regular review and feedback on the Ph.D. project
- Preparation of the final statement from supervisor summarizing the overall Ph.D. programme at the time of Ph.D. thesis submission
- Active participation in the assessment and Ph.D. defense.

4.15. **Provision for change of supervisor/co-supervisor:**

4.15.1. For change of supervisor/co-supervisor within the Ph.D. tenure, a candidate may apply in the prescribed format with an undertaking letter (specifying valid reasons) to the Chairman (DRC) of the university. A candidate's request to switch supervisors may or may not be approved depending on the application's scrutiny and the DRC's recommendation.

4.15.2. In any circumstances, if the supervisor leaves the University permanently, and to maintain the smooth functioning of the Ph.D. research work, the DRC shall recommend him/her to act as Co-supervisor of his/her Ph.D. students and in the meanwhile may appoint a qualified faculty member (fulfilling the clause 4.1., 4.2., & 4.8) of the University to act as Supervisor.

4.15.3. In any circumstances, if the supervisor temporarily leaves the University on lien or voluntarily retires from service, he/she shall continue to supervise the student(s) till the project work is completed. However, with the supervisor's approval, the student(s) may submit an application to the DRC/CRC for a Co- or a different supervisor.

4.15.4. In any circumstances, on the death/serious illness of supervisor while guiding the Ph.D. student's, the DRC based on (a) the consent of the ill supervisor inability to guide further, and (b) student's concern, shall take necessary actions to appoint a new supervisor from the respective department/schools, while ensuring that the student's work and tenure in the Ph.D. programme are not jeopardised.

5. Eligibility criteria for admission to the Ph.D. programme

The following criteria are eligible for any candidate to seek admission to the Ph.D. programme to GCU (Assam):

5.1 Candidates for admission to the Ph.D. programme of GCU (Assam) shall have successfully completed the following criteria's:

5.1.1 A candidate successfully completing 1-year/2-semester Master's degree programme (after 4 year undergraduate degree) securing at least 55% marks in aggregate or its 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 to assess, accredit or assure quality and standards of educational institutions.

5.1.2 A candidate successfully completing 2-year/4-semester Master's degree programme, with the same conditions as specified above in the sub-clause 5.1.1;

5.1.3 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 cleared the M. Phil. course work with at least 55% marks in aggregate or an equivalent degree from a Foreign 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.

5.3 Reservation criteria: A relaxation of 5% of marks or an equivalent relaxation of 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.

Note: 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, if any.

6. Duration of the Programme

6.1. Ph.D. programme in GCU (Assam) including course work shall be for a minimum duration of three years and a maximum of six years as per specified in UGC regulations 2022.

6.2. For any extensions that go beyond the aforementioned parameters (Section 6.1) shall be subject to the pertinent provisions outlined in the ordinances of the University or specific Institution in question, but not for longer than two years and not exceeding eight (8) years from the date of admission.

6.3. Women candidates and candidates who are differently-abled (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration and not exceeding ten (10) years from the date of Ph.D. programme. In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.

6.4. The registration of a student stand cancelled in case failure of submission of thesis within the prescribed period including the extended period. Such students shall be allowed to re-register as a fresh candidate for continuation of his/her research. He/she shall be treated as fresh candidate however the minimum period for thesis submission shall be four (4) semesters.

7. Procedure of Admission

7.1. GCU shall admit Ph.D. Scholars through a research entrance test via the GCU-RET conducted at the university level. Provided that, any circular/notification/communication by the UGC/Ministry of Education, Govt. of India regarding the conduct of a common entrance test for this purpose shall be applicable and binding on the Universities concerned (and covered under such a circular/notification/communication) taking into account the reservation policy of the central/state government from time to time.

7.2. Ph.D. admission notification shall well in advance be published on the institutional website and through advertisement in the newspaper/news portal, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the prospective candidates. Admission to Ph.D. shall adhere to the National/State-level reservation policy, as applicable.

7.3. Admission to the Ph.D. programme shall be made using the following criteria:

7.3.1. Eligible candidates may download the application form available in the website of GCU. The application form must be completely filled up and the form along with the required documents (duly attested) shall be sent to the Academic registrar office on or before the deadline indicated for the purpose. No application shall be entertained beyond the specified date deadline.

7.3.2. Apart from regular candidate, selected candidates who fall under any of the categories viz (a) Sponsored, (b) Part-time, and (c) Project Fellow must include along with the application format, a No Objection Certificate (NOC) from their employer/Project Investigator in the prescribed format. Such candidates shall complete their course work within the specified period and shall be allowed to submit the Research proposal by the third semester only after obtaining necessary leave in the prescribed format from their employers.

7.3.3. Candidates who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/GPAT/CEED and similar National level tests shall be automatically selected for direct interview and shall be exempted from the GCU-RET written test. For review, a copy of the certificate proving passing the competitive national level test must be sent with the application. For general applicants who do not meet the requirements of the aforementioned National level assessments, a written test (GCU-RET) and interview will be required.

7.3.4. The panel of applicants suggested for admission by a committee chosen by the Chairperson, DRC, shall be forwarded to the Controller of Examination for further process of examination. The list of candidates qualifying in the entrance test shall be displayed in the University website for further progress to personal interview with specified dates.

7.3.5. GCU-RET syllabus shall consist of 50% of research methodology, and 50% shall be subject specific.

7.3.6. Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.

7.3.7. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.

7.3.8. GCU may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

7.3.9. Provided that for the selection of candidates based on the entrance test conducted by the GCU, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva-voce shall be given.

7.3.10. The Controller of Examination will notify final list of the selected candidates for admission to the Ph.D. programme via the university website and other channels.

7.4. An interview/viva-voce has to be organized at University level, wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC).

The interview/viva-voce shall also consider the following aspects, viz. whether:

7.4.1. The candidate possesses the competence for the proposed research;

7.4.2. The research work can be suitably undertaken at the University;

7.4.3. The research topic is relevant.

7.5. GCU shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of /registration.

8. Course work: Credit requirements, attendance, duration, syllabus, minimum standards for completion, etc.

8.1. For Ph.D coursework the Credit requirement shall be in a minimum of 12 credits, including a research methodology course and "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1- 1/2018 (Journal/CARE list) in 2019. The Ph.D curriculum based on the recommendation of the University Research Council can also implement UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

8.2. Any school or department that wishes to enroll Ph.D. candidates must first establish the DRC and create a course syllabus along with course curriculum with the appropriate permission of the relevant Committee(s) for the students' course work. No department or school should be permitted to enrol Ph.D. students without fully developing its own course syllabus.

8.3. All candidates admitted to the Ph.D. programmes shall be required to complete the coursework prescribed by the Schools/Department during the initial one or two semesters. In case of pandemic like situation, provision of blended mode should be made available.

8.4. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Research Committee (DRC).

8.5. All courses prescribed for Ph.D. course work shall conform to the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.

8.6. During course work, students must report to the department/center on a regular basis and attend courses or complete given assignments. For all categories of students, the proportion of attendance during course work must be 75%.

8.7. Once the DRC decides on the nature of course work a student shall register for the course(s), submitting the course registration form in the prescribed format.

8.8. Those who have completed course work of equivalent standard/credits at another university may be exempted from course work at GCU, and credits obtained by the student in other universities may be transferred to GCU for continuation process of the Ph.D. program. The DRC may take all necessary actions by recommending to the Chairperson (RC) for necessary approval. However, if the DRC believes it is necessary, it may recommend course work (credit or non-credit) for the benefit of such applicants.

8.9. During their doctoral term, all Ph.D. scholars regardless of their discipline are obliged to complete training in the teaching, education, pedagogy, and writing associated with the Ph.D. subject they have chosen. In order to carry out tutorial or laboratory work and evaluations, Ph.D. scholars may also be given a 4-6 hour per week teaching/research assistantship provided that their research work shall not be hampered.

8.10. 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. If a student does not achieve the required or desired percentage marks or CGPA, he/she will be given the opportunity to improve the CGPA, but only one time.

9. Registration process of a selected Ph.D candidate

The candidate who has completed the minimum requirement for completion of course work as prescribed in the UGC guidelines shall be eligible to register under the following clause.

9.1. The student after prior discussion with his supervisor/co-supervisor(s) shall submit a research proposal/synopsis to the DRC through his/her supervisor in the next semester after completion of the course work. The Chairperson of the DRC shall arrange for seminar of the students for presentation of the research proposal.

9.2. Proposed research proposal/synopsis areas must be socially relevant/locally need-based/nationally important/globally significant/create value for society or in cutting-edge areas or contribute to new/additional knowledge in areas of emerging concerns worldwide. The proposal must include the hypothesis/novelty, study technique, types of experiments/field work, and the predicted output and significance of the research proposal, all of which must be accompanied by authentic literature/references.

9.3. The DRC shall finally take necessary steps to assess the feasibility and novelty of the research proposal/synopsis and the final report shall be submitted to the RC for further progress based on the following criteria:

(a) If the study plan is appropriate and feasible and the student is qualified and prepared, the research project may be approved.

(b) If the research proposal is rejected or requires significant change by the DRC, the student may be required to submit an updated research proposal followed by presentations within the allotted time frame, incorporating the DRC's suggestions and criticisms.

10. Change of category of candidature

10.1. A Ph. D. student may change his/her category from full time to part time or vice versa exclusively once throughout the program's duration based on valid and genuine reasons viz. (a) Medical ground, (b) Employability, (c) Other valid reasons.

10.2. Change of category may be allowed in the prescribed format only after successful completion of the course work with valid documents (NOC/appointment letter) of proof for above reasons.

11. Evaluation/Continuous assessment methods of thesis and minimum standards/credits for award of the degree

11.1. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in sub-clause 8.10 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations. The DRC shall constitute a Doctoral Committee at respective Schools/Department level to monitor the continuous assessment and progress of the research work.

11.2. During the tenure of research work and with the consent of the supervisors, the Ph.D. candidate shall present a seminar on his/her progress report on every semester to the

DRC. For documentation purpose, a copy of the progress report and minutes of the meeting with attendance register shall be maintained by the Ph.D students (Ph.D file) through the supervisor and a copy shall be submitted to the DRC duly signed by the respective members. The DRC shall send the progress report to the Controller of Examination for appraisal one of the following recommendations:

10.2.1. Satisfactory reports wherein the Ph.D. candidate may be allowed to enroll in the next semester.

10.2.2. Satisfactory reports with minor/major revision, wherein the Ph.D. candidate may be allowed to enroll in the next semester (*provided changes/revision has been made*).

10.2.3. Unsatisfactory reports, wherein the Ph.D. candidate may be advised to discontinue.

11.3. **Submission of thesis**: The Ph.D. candidate shall strictly follow the guidelines of drafting the thesis as per the template specified in the university website. Before the submission of the thesis, the scholar shall make a presentation in the Department before the Department Research Committee (DRC) of the University concerned which shall also be open to all faculty members and other research scholars. The pre-submission seminar must be presented during the final semester, and the thesis must be submitted on or before the last date of the specified time, completing all thesis submission requirements.

11.4. The thesis/dissertation of the Ph.D. scholar shall be submitted together with an originality report produced by an anti-plagiarism software application officially approved by UGC. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission.

Note: An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for a re-investigation.

11.5. The Academic Council of GCU shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have (a) an undertaking from the research scholar claiming of plagiarism with permissible percentage (as per UGC) (b) 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 elsewhere for the award of any other degree/diploma of the same department/School where the work was carried out, or to any other Institution/Universities.

11.6. **Examination/evaluation of thesis**:

11.6.1. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least two external examiners, who are experts in the field and not in employment of the University. Examiner(s) should be academics/renowned professionals in the concerned discipline having a good record of scholarly publications in the field. Out of the two external examiners, one must be from out of the state in which the university is located. Where possible, one of the external examiners may preferably be chosen as a distinguished academician from outside India.

11.6.2. DRC of the concerned school/department shall form an internal committee (Board of Examiners for thesis evaluation) duly approved by the Academic Council to look into the entire process. The supervisor shall act as an internal examiner of the internal committee thereby certifying the thesis right from the process of submission, evaluation, receipt of comments of the external examiners and vice versa. He/she will be given the thesis as well as the remarks of the External Examiners without their identities. The Supervisor/Internal Examiner must examine not only the thesis but also the opinions of the External Examiners, which must be considered/incorporated by the concerned Ph. D. student in his/her thesis.

11.6.3. The external examiners appointed for evaluating the thesis shall submit the examination report to the examining authority in the format prescribed by the university which indicates whether the thesis is (a) accepted as such without modifications; (b) accepted with major/minor modifications; (c) Not satisfactory for further process to viva-voce, but re-submission may be permitted for re-evaluation, and (d) Fully rejected.

11.6.4. The viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the examiner(s) on the thesis recommends acceptance. If one of the evaluation reports of the examiner in case of a Ph.D. thesis, recommends rejection, the university shall send the thesis to an alternate examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the alternate examiner is satisfactory. If the report of the alternate examiner is also unsatisfactory, the thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree.

11.6.5. The time period allowed for the completion of the evaluation process by the external examiner shall be limited to four months from the date of submission with the provision of two months extension period. For any circumstances, that the report of thesis has not been within the desired period (six months), the thesis shall be automatically to another external examiner.

11.6.6. In the event of recommendations under Clause 11.6.3 (b and c), the student must submit the modified/corrected version of the thesis within six (6) months after making the requested changes. In the event of recommendations under Clause 11.6.3 (d) where both the external examiner completely rejected the thesis, the candidate may be allowed to re-register to the Ph.D. program taking into account that he/she may be exempted from the duration to complete the course work. For any instance, where one examiner accepts the thesis and the second examiner rejects the thesis, the third examiner duly approved by the concerned authority may be appointed for re-evaluation and if the third examiner rejects the same, then the thesis shall deemed remains rejected and the candidate may re-register to Ph.D program as specified above in this section.

11.6.7. For any comments and corrections to the revise thesis made by both the examiners, the same shall be intimate and sent to the supervisors from the Examination cell. The supervisor along with his/her candidate shall made necessary corrections/revisions/modifications to the thesis minimum within the period of four months or as decided by the university and the revised report shall be sent back to the examiner for review.

11.7. **Oral defense/viva-voce process**:

11.7.1. If the entire process of Ph.D. evaluation is successful, the viva-voce examination based, among other things, on the critiques given in the evaluation report, shall be conducted, wherein the controller of examination shall fix a date for open defense/viva-voce of the concerned Ph.D. candidate. The Research Supervisor and at least one of the two external examiners and shall be open to be attended by Members of the Research Council, DRC members, all faculty members of the Department, other research scholars and other interested experts/researchers.

11.7.2. On completion of all necessary formalities, the house shall recommend its opinion to the Chairperson, AC through the Controller of examination in the standard format prescribed by the university.

11.8. **Award of Ph.D degree**

11.8.1. The degree shall be entitled to the relevant candidate by the Board of Management, and the award shall be announced by the Controller of Examinations of GCU.

11.8.2. By ordinance, the Chairperson of Board of management is authorized to grant the provisional Degree Certificate before Convocation to a needy student upon receipt of a written request, a supporting document, and payment of any applicable fees.

11.9. If the research results of the thesis constitute new possible things for the protection of intellectual property rights (IPRs), the Ph.D. candidate and Supervisor shall inform the University or the Research Council about the matter. In this case, the Ph.D. candidate, with the consent of the Supervisor, may request that the submitted dissertation be treated discreetly before the thesis is submitted for assessment, until the defence/viva-voce. The IPR Cell or the competent body of the university designated for the purpose shall conduct the procedure for legal and commercial protection of research results, in accordance with the relevant Regulations. In this case, the public defense can be extended, in agreement with the Ph.D. candidate, at the latest for a year, starting on the day of the procedure of evaluation of the dissertation.

12. Ph.D. through Part-time Mode

12.1. GCU shall permit Ph.D. programmes through part-time mode, provided all the conditions stipulated in these Regulations are fulfilled.

12.2. A "No Objection Certificate" shall be obtained through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

12.2.1. The candidate is permitted to pursue studies on a part-time basis.

12.2.2. His/her official duties permit him/her to devote sufficient time for research.

12.2.3. If required, he/she will be relieved from the duty to complete the course work

12.3. Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

13. **Visits/ Stays at other relevant research institutions/ Industry (Ph.D. related to Technical subjects) :** The Ph.D. scholar is expected to participate in and stay at other places with active research environments, including research institutions for a part of the Ph.D. period study may be encouraged for the same. To facilitate the international level of education, a lengthy stay of one to six months at a foreign/Indian research institution in an organization academically relevant to the Ph.D. programme is envisaged. It is expected that residence may be for a minimum length of three consecutive weeks.

14. Depository with INFLIBNET/Institutional Electronic Archive:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Schools/Department concerned shall submit an

electronic copy of the Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for hosting the same so as to make it accessible to all Institutions.

15. Authorship

For academic accountability, all the authors must make a genuine, identifiable contribution to the content of a research publication in experimental planning, experimentation, collection/ analysis of data, software, and/or writing of the text. It is also important that all authors have agreed on the final version of the work to be published. Unless it has been explicitly stated otherwise, they all share responsibility for the published work.

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