

ORDINANCE

for the award of Degree of

DOCTOR OF PHILOSOPHY
(Ph.D.)



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ORDINANCE FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

The following regulations are based on the University Grants Commission (UGC) Regulations (2022) and the Integral University (hereinafter called as the University) Statutory Acts 2006. Any updates in the guidelines by UGC or any other regulatory bodies from time to time shall overtake the existing regulations in this Ordinance.

1. Eligibility:

A candidate seeking admission to the Doctor of Philosophy (Ph.D.) program of the University must hold at least one of the following qualifications:

- 1.1. Candidates for admission to the Ph.D. 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. In addition, first division or 60% marks in aggregate or its equivalent grade 'A' in the UGC 7-point scale in M.Tech., MBA, MCA, M. Pharm, M. Arch., MD, MS, DM, MCH, M. PTh, M.Sc.(Nursing), Diplomate/ Fellow of NBE or equivalent qualification in a relevant field shall be considered as a minimum qualification for admission to Ph.D. Programme in respective disciplines.
- 1.3. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for the candidates belonging to SC/ST/OBC (non-creamy layers)/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 the 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.
- 1.4. 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 the Ph.D. programme.
- 1.5. In addition, for admission in the Departments of Bioengineering, Civil Engineering, Computer Science & Engineering, Electrical Engineering, Electronics & Communication Engineering & Mechanical Engineering, the candidate with a B. Tech Degree with minimum 75% marks or 7.5 G.P.A on 10 point scale along with two (2) years of professional experience in relevant field are also eligible to apply.

2. Duration of the Programme

- 2.1. The duration of the programme for a candidate shall be counted from the date of his/her admission.
- 2.2. Ph.D. programme shall be for a minimum duration of three years, including course work, and a maximum of six years for full-time candidates. The corresponding period for part-time candidates shall be four and six years, respectively.
- 2.3. In exceptional cases, depending upon the merits and recommendation of the Research Development Committee (RDC) (Clause 8), the Vice Chancellor may extend the maximum duration as mentioned above, by a further period of two year for special and valid reasons. Extension of duration may be granted a maximum of two times. If the candidate is unable to submit the thesis even within the extended duration, he/she shall cease to be a student of the University and the registration shall stand canceled automatically.

- 2.4. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for a 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 their Ph.D. for up to 240 days.
- 2.5. The registered full-time internal candidates as per Clause 3.5 below are required to reside for a minimum of three years inside the University to carry out the proposed research work. However, under special circumstances, a candidate may be allowed by the RDC to be outside the campus for the collection of samples and/or analysis for a certain period not more than six months. Attendance certificate by the supervisor is required at the time of Pre-Ph D presentation.

3. Procedure for Admission and Registration

- 3.1. The number of seats available for admission, Subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and examiner center where the entrance test shall be conducted, shall be advertised on the University website and through advertisements in national newspapers. A candidate seeking admission in the Ph.D. programme must apply to the university in the prescribed application form. The duly filled application forms and the pertinent documents will be scrutinized prior to issuing the admit card for the entrance exam.
- 3.2. The admission shall be made on the basis of the Entrance Test (max. 140 marks) followed by an interview (max. 60 marks). The candidates who qualify UGC-NET (including JRF)/UGC-CSIRNET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil (Regular) programme shall be exempted from the written entrance test. These candidates shall be admitted on the interview-only based merit.
- 3.3. Students will be admitted through an Entrance Test, having qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% Research Methodology including Research & Publication Ethics and 50% shall be subject specific. (Clause No.2(ii) of UGC Ph.D Regulation, Nov, 2022).
- 3.3.1. A relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/ Differently-Abled, and other categories in the entrance examination conducted by the University.
- 3.4. All candidates qualified in the written entrance test as well as the exempted candidates shall appear in the interview before Research and Development Sub-Committee (RDSC) (**Clause 9**). The Candidate must give a presentation for his proposed topic and also submit a synopsis for the same at the time of the interview. The interview criteria shall cover the subject knowledge, research skill, research temperament, communication/presentation skills, and significance of the proposed research. The candidate has to secure minimum 50% marks in aggregates from both entrance and interview to be eligible for admission in the Ph.D. programme. The candidates shall be admitted strictly on the basis of the combined merit list. The vacant seats may be filled by the wait-listed candidates with the merit from approval of Vice Chancellor.
- 3.5. The qualified candidates shall be registered as full-time regular Ph.D. scholars whose research workplace is within the University campus (full-time internal) or a reputed and accredited institution/organization with all the necessary research facilities to carry out the proposed research (full-time external). Full-time external candidates generally are on the fellowships or in the funded projects as project fellows and will be required to submit a "No Objection Certificate (NOC)" from the competent authorities of their institution/organization.
- 3.6. All other candidates may be allowed to register as part-time internal (University employees) or part-time external (who are employed outside the Integral University having required infrastructure for the proposed research) Ph.D. scholars. The part-time external candidates will be required to submit a NOC from the competent authorities of the university/college/institution/employer. The overall number of candidates being registered as part-time Ph.D. scholars shall not exceed 30% of the total intake in the particular Department in that academic session.

- 3.7. If a registered Ph.D. scholar gets a full-time/part-time job or project fellowship during Ph.D. program at any time before Pre-Ph.D. permission, he/she has to obtain a NOC from both the University and the organization offering the said job/fellowship. The scholar's status shall be changed accordingly by the RDC or RDSC and subsequently shall be governed by the prescribed respective category rules in terms of duration and number of RDCs required for Pre-PhD permission or thesis submission.
- 3.8. A candidate shall be registered for a Ph.D. programme in the same subject in which he/she has passed his/her qualifying examination. However, based on merit and requirement, interdisciplinary research may also be allowed but the candidate will still be registered in the qualifying discipline and not in the associated discipline.
- 3.9. The University through the office of the Dean, Doctoral Studies shall maintain and publish the list of all the Ph.D. registered students on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrollment/registration.

4. Integral Research Fellowship:

- 4.1 The university has introduced an Integral Research Fellowship (IRF) for the Ph.D. Entrance Test rank holders. Integral Research Fellowship to the tune of Rs. 6000/- per month will be awarded to a meritorious student on top of the merit list in Ph.D. Entrance Test of Integral University in each discipline for a maximum period of three years after successful completion of course work in 1st attempt and subject to fulfillment of the condition specified in Clause 4.3.
- 4.2 Fellowship will be awarded only to full-time (Internal) research scholars who are not getting any other fellowship.
- 4.3 Fellowship shall be renewed every year based on the following:
 - (i) Application for extension of fellowship with a satisfactory work performance report duly recommended by Ph.D. Supervisor and signed by HoD.
 - (ii) Minimum 80% attendance.
 - (iii) Published at least one research article in Scopus/Thomson Reuters/SCI listed journals every year during his Program of study.

5. Allocation of Research Supervisor:

- 5.1. A Research Supervisor who is a Professor, at any given point in time, cannot guide more than eight (08) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (06) Ph.D. scholars while an Assistant Professor as Research Supervisor can guide up to a maximum of four (04) Ph.D. scholars. In addition, maximum 03 Ph.D. scholars can be allocated to a Research Supervisor to act as Co-Supervisor. The above is to be implemented in line with directions issued by regulatory authority i.e. UGC in this case.
- 5.2. The regular full-time physicians with MD/MS qualifications having a minimum 8 years of teaching experience and fulfilling the above conditions for the research publications may also be considered as Research Supervisors.
- 5.3. The external Supervisors from outside the University are not allowed, however, a Co-Supervisor from the interdisciplinary department of the University or any other recognized institution may be allowed with approval from the RDC.
- 5.4. The allocation of a Research Supervisor for a selected Ph.D. scholar shall be decided by the RDC or RDSC taking into consideration the research interest of the scholar, the available specialization among the Supervisors, the number of scholars per Supervisor and the consent of the supervisor. Further, RDC is authorized to take the decision with respect to the allocation of supervisors/co-supervisors. In case, of any conflict/issue, the matter may be referred to the Hon'ble Vice Chancellor for final decision.
- 5.5. In case of the Research Supervisor leaving the University on account of resignation, retirement, termination, death, being unapproachable, unwilling to continue to supervise the scholar, scholar unwilling to continue with the assigned supervisor, or in any other circumstances necessitating such as change, the Head of the Department shall recommend a change of Research Supervisor to the RDC. For the interim period normally not exceeding 6 months, RDC may ask the HoD concerned to discharge the duties of the Research Supervisor

as an administrative supervisor or assign the scholar to any other eligible Research Supervisor.

- 5.6. After thesis submission, the supervisor will be deemed as disengaged from that particular scholar and will be entitled to take a fresh Ph.D. scholar.

6. Course Work:

- 6.1. All the registered Ph.D. scholars shall normally be required to complete the prescribed coursework during the initial two semesters. The details of the coursework are according to the prevailing UGC guidelines (i.e. Research Methodology, Research & Publication Ethics and Subject paper of 4 credits each -Total 12 credits). The maximum mark for each paper will be 100. The course work shall be assigned by the RDC or RDSC after the registration in coordination with the department and research interest shown by the Ph.D. scholars. (Clause No. 9(1) of UGC Ph.D Regulations, Nov, 2022)
- 6.2. Grades in the course work, including the Research Methodology shall be finalized after the combined assessment as per the approved evaluation scheme having 80% theoretical written examination and 20% internal evaluation (5% attendance and 15% for assigned presentation). The Ph.D. scholar has to obtain a minimum of 55% of marks in each paper or its equivalent grade in the UGC 7-point scale or an equivalent grade/CGPA in a point scale grading system.
- 6.3. All Ph.D. scholars are expected to pass the coursework in the first semester in order to start their research work after title and synopsis approval by the subsequent RDC. In case, for any valid reasons, if the candidate is unable to appear in course work exam in the 1st semester, he/she may be given the chance to appear in 2nd and 3rd semesters. Further, if the scholar fails to pass on the first attempt, one more attempt may be given to clear the coursework, failing which his/her Ph.D. registration may be canceled. In extraordinary circumstances Vice Chancellor may permit for a final attempt to clear the course work paper(s), however, till then the Ph.D. scholar shall not be allowed to undertake any research work.
- 6.4. Candidates with B.Tech degree and two years experience in relevant field are required to complete 6 courses of a minimum of 4 credit each and total of 24 credits. This includes course work as clause mentioned in 6.1.
- 6.5. Offline /Online/Hybrid Mode are permissible for course work completion. Online courses such as NPTEL/MOOCs/SWAYAM or through ILI-LMS are permitted with prior permission as part of the above-mentioned credit requirement.

7. Grades and Credit Points:

The total minimum Credit of the Ph.D. program is 100 where 12 credits are of the course work and 88 credits are for research work, to be earned through the presentations/performance evaluation in the RDCs.

At the end of the semester, a student is awarded a relative letter grade in each course / RDC based on the performance in all assessments (written examination, oral presentation, progress of research work and attendance) during the PhD program. Seven regular letter grades, namely, O, A, B, C, D, P and F shall be awarded in each course and in each RDC. Each letter grade is associated with a numerical equivalent on a 7-point scale (called *Credit Point*) shown in Table 1.

Total minimum credits of the PhD program: 100 (Minimum Course work Credit=12; Minimum research work, RDCs Credit=88)

The letter grades and their equivalent grade point applicable for **course work** are given below:

Table 1:

Percentage of Marks Obtained	Letter Grade	Credit points	Performance
90.00 and above	O	10	Excellent
83.00-89.99	A	9	Very good
76.00-82.99	B	8	Good
69.00-75.99	C	7	Fair
62.00-68.99	D	6	Average

55.00-61.99	P	5	Pass
<55.00	F	0	Fail
-	AB	0	Absent

The letter grades and their equivalent credits applicable for **Ph D program** are given below. Grades will be awarded during each activity of assessment.

Table: 2
For Full time students:

Year	Activities during the PhD program	Total Credits	Attributes of assessments	Credit points	Letter Grades	Credit Points for letter Grades	Comments
1	Course work	12	Course 1: Research Methodology	4	Letter Grades will be O/A/B/C/D/P/X=Unacceptable/I=Absent	O=10 A=9 B=8 C=7 D=6 P=5 X=0 I=0	If a student earns three X grades consecutively in three RDCs or I grade in two consecutive RDCs, the Ph.D. Program of the student shall be terminated.
			Course 2: Research publication ethics	4			
			Course 3: Departmental Paper)	4			
	First RDC	8	Topic/Plan/Clarity	4			
			Level/Confidence/Communication /Presentation	4			
2	Second RDC	20	Synopsis/Objective assessment	5			
			Literature review/ Publication preparation/Publication	5			
			Work Progress	5			
			Presentation	5			
	Third RDC	20	Objective assessment/Methodology	5			
			Literature review/ Publication preparation/Publication	5			
			Work Progress	5			
			Presentation	5			
3	Fourth RDC	20	Objective assessment	5			
			Literature review/ Publication preparation/Publication	5			
			Work Progress	5			
			Presentation	5			
	Fifth RDC	20	Student learning outcome	5			
			Data collection, analysis & conclusion	5			
			Publication	5			
			Presentation	5			

Note:

- If a student could not complete the research work in FIVE RDCs then any additional RDCs he/she may attend will be of 'ZERO' credit.
- For B.Tech entrants, 3 additional courses of 12 credits (4 credits each) are to be cleared for ensuring 24 Credits of Course Work.(Total credit of Ph.D programme : 112)

Table: 3
For Part time students:

Year	Activities during the PhD program	Total Credits	Attributes of assessments	Credit points	Letter Grades	Credit Points for letter Grades	Comments
1	Course work	12	Course 1: Research Methodology	4	Letter Grades will be O/A/B/C /D/P X=Unacceptable I=Absent	O=10 A=9 B=8 C=7 D=6 P=5 X=0 I=0	If a student earns three X grades consecutively in three RDCs or I grade in two consecutive RDCs, the Ph.D. Program of the student shall be terminated.
			Course 2: Research publication ethics	4			
			Course 3: Departmental Paper)	4			
	First RDC	8	Topic/Plan/Clarity	4			
			Level/Confidence/Communication /Presentation	4			
2	Second RDC	10	Synopsis/Objective assessment	5			
			Literature review/ Publication preparation/Publication				
			Work Progress	5			
			Presentation				
	Third RDC	10	Objective assessment/Methodology	5			
			Literature review/ Publication preparation/Publication				
			Work Progress	5			
			Presentation				
3	Fourth RDC	15	Objective assessment/Methodology	5			
			Literature review/ Publication preparation/Publication	5			
			Presentation & Work Progress	5			
	Fifth RDC	15	Objective assessment	5			
			Publication preparation/Publication	5			
			Presentation & Work Progress	5			
4	Sixth RDC	15	Objective assessment	5			
			Publication preparation/Publication	5			
			Presentation & Work Progress	5			
	Seventh RDC	15	Student learning outcome	5			
			Data collection, analysis & conclusion	5			
			Presentation & Publication	5			

Note:

- If a student could not complete the research work in SEVEN RDCs then further RDCs he/she will attend will be of 'ZERO' credit.
- **For B.Tech entrants, 3 additional courses of 12 credits (4 credits each) are to be cleared for ensuring 24 Credits of Course Work. (Total credit of Ph.D programme : 112)**

(b) SGPI/ CGPI Calculation:

i. Semester Grade Performance Index (SGPI):

The performance of a learner in a semester is indicated by a number called Semester Grade Performance Index (SGPI). The SGPI is the weighted average of the grade points obtained in all the courses by the learner during the semester. For example, if a learner passes three courses (Theory/labs./Projects/Seminar etc.) in a semester with credits C1, C2 and C3 and learners grade points in these courses are G1, G2, and G3 respectively, then learners' SGPI is equal to:

$$SGPI = (C1G1 + C2G2 + C3G3) / (C1 + C2 + C3)$$

The SGPI is calculated to two decimal places. The SGPI for any semester will take into consideration the "F" grade awarded in that semester. For example if a learner has failed in course 2, the SGPI will then be computed as:

$$SGPI = (C1G1 + C2 \times Zero + C3G3) / (C1 + C2 + C3)$$

8. Research and Development Committee (RDC) and its functions:

8.1. There shall be a separate RDC for each department.

8.2. RDC shall comprise:

1	Dean of the Faculty	Chairman
2	Head of the Department	Convener
3	One Internal Expert from the University (to be nominated by the Dean, Doctoral Studies on the recommendation of the Chairman)	Member
4	One External Expert (not below the rank of Associate Professor to be nominated by the Vice-Chancellor on the recommendation of the Chairman.)	Member
5	Special Invitee(s) by the Chairman	Invited Member(s)
6	Concerned Supervisor / Subject Expert	Invited Member
7	Ph D coordinator of the Department	Member

8.3. RDC shall meet twice, preferably in January and July in each academic year and half of the members shall form the quorum for a meeting with the essential presence of an external expert. The Dean, Doctoral Research is authorized to attend and actively participate in the RDC of any of the Department(s), at a given time, subject to his preference and availability, over and above the composition prescribed at the subclause 8.2. The RDC minutes should be placed before the Dean, Doctoral Studies for consideration and approval. All the records related to Ph.D program shall be maintained in the office of the Dean, Doctoral Studies.

8.4. The approved minutes shall be forwarded to the HoD for dissemination to the supervisor and/or scholar as per the decision recorded in the meeting minutes. The RDC should take place concurrently across all the departments, twice a year preferably in January and July as per the notified dates and conclude within a period of 15 days.

8.5. Functions and Duties of RDC:

8.5.1. To approve research supervisors, review and approve the research proposal and the research topic based on the availability of the expertise and infrastructure.

8.5.2. To periodically examine and review the progress of Ph.D. scholar's research work for Evaluation and guidance.

8.5.3. To permit pre-PhD presentation to the Ph.D. scholar which may be conducted as an open presentation before the RDSC.

8.5.4. RDC may assign or approve certain functions/duties to the RDSC.

8.6. The Ph.D. scholar has to submit the duly filled and signed Progress Report form at least two weeks before the scheduled RDC meeting to the Departmental Ph.D. Coordinator who in turn will submit them collectively to the Office of Doctoral Studies a week prior to the RDC meeting for review.

8.7. The scholar has to present his/her progress before the RDC. Continuation of the registration of a Ph.D. scholar in the Ph.D. programme will depend on his/her satisfactory progress and conduct.

8.8. In case the progress of the Ph.D. scholar is unsatisfactory, the RDC shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures and again the progress is unsatisfactory, the RDC may recommend specific reasons for cancellation of the registration of that Ph.D. scholar. If a registered Ph.D. scholar fails to appear in two successive RDCs then his/her registration is liable to be canceled. However, he may be permitted to continue by the Vice Chancellor, based on special and valid reasons. In case of permission, the research scholar has to deposit all balance fee. His request for continuation is to be duly forwarded and recommended by the concerned HoD, Dean and Chairperson RDC within one month of 2nd RDC of absence.

8.9. A Ph.D. scholar may be normally permitted by the RDC to modify his/her topic of the research and/ or synopsis on the recommendation of the supervisor within the first two RDCs.

- 8.10. All Ph.D. scholars have to be in regular contact with their Research Supervisor(s) for research guidance and the attendance of the scholars has to be duly recorded and furnished by the Research Supervisor(s) in the Progress Report Form. The poor attendance shall be considered as “Unsatisfactory progress” unless certified by the Research Supervisor or Co-Supervisor and HoD with justifiable evidence.

9. Research & Development Sub-Committee (RDSC):

9.1. Each RDSC shall comprise:

1	Dean, Doctoral Research	Chairman
2	Dean of the Faculty	Member
3	Head of the Department	Convener
4	One Internal Expert from the University (to be nominated by the Dean, Doctoral Studies on the recommendation of Dean of the Faculty)	Member
5	Special Invitee(s) by the Chairman	Invited Member(s)
6	Concerned Supervisor / Subject Expert	Invited Member
7	Ph D coordinator of the Department	Member

9.2. RDSC shall meet as and when required and 2/3rd of the members shall form the quorum for a meeting.

9.3. RDSC functions and duties:

9.3.1. To conduct the admission interviews as per clause 3.4

9.3.2. **To allocate research supervisors, review the research proposal and finalize the research topic based on the availability of the expertise and infrastructure.**

9.3.3. To conduct the Pre-PhD presentations permitted by the RDC.

9.3.4. To evaluate the progress of the Ph.D. scholar as a special case.

9.3.5. To perform any other task assigned by the RDC.

9.3.6. To redress the special cases which shall be approved by the forthcoming RDC or the Vice Chancellor.

10. Submission of Thesis and Pre-Ph.D. Presentation.

- 10.1. Full-time and part-time Ph.D. scholars shall have to attend and clear at least five (05) and seven (07) RDC meetings after successful completion of the course work, respectively.
- 10.2. Under the CBCS, a minimum of 100 credits including 12 credits for course work and 88 credits for research work have to be earned in order to be eligible for pre-PhD permission.
- 10.3. Prior to the submission of the thesis, the scholar shall make an open Pre-PhD presentation in front of RDC or RDSC in the presence of Dean, Doctoral Studies_along with the Research supervisor, Co-Supervisor, faculty members, and other research scholars. A draft thesis in the University prescribed format must 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 RDC or RDSC meeting minutes.
- 10.4. Pre-PhD permission shall not be normally given unless certified by the supervisor that all the approved objectives have been achieved by the scholar with at least two research work-related publications in Scopus/Web of Science/Thomson Reuter/SCI-indexed journals before the submission of the thesis for adjudication and produce evidence for the same in the form of certificates, acceptance letters and/or reprints. The same requirements for the Faculties of Humanities and Social Sciences and Education, including two publications out of which one should be in UGC Care and other should be in Science/Thomson Reuter/SCI-indexed journals.
- 10.5. After a successful Pre-Ph.D. presentation, the scholar has to submit hard-bound thesis (four copies) and a soft copy using the duly filled thesis submission form and other relevant documents/ forms/ certificates/ annual Ph.D. fee receipts within TWO months from the date of the Pre-Ph.D. presentation. In case, a Ph.D. scholar fails to submit within the stipulated time, he/she may need to take fresh permission from RDC or RDSC to submit it within four months

which will be the final permission. Failure to submit his/ her thesis again, the registration is liable to be canceled.

- 10.6. The scholar shall have to deposit the annual Ph.D. fee and any other fee on the due date until the thesis is submitted even if granted an extension to submit the thesis. In addition, the scholar has to deposit the prescribed thesis submission and plagiarism check fee prior to submitting his/her thesis.

11. Evaluation of Thesis:

- 11.1. Initial review of the submitted thesis will be conducted by the Office of the Dean, Doctoral Studies for plagiarism, any other forms of academic dishonesty, and correctness of the English language. Further, the scholar has to give an undertaking and a certificate from the Research Supervisor(s) attesting to the originality of the work. The accepted plagiarism shall be below 15%.
- 11.2. A panel of six external subject experts (Professor or equivalent positions of Scientists) to examine the thesis shall be prepared and out of which at least four of the examiners in the panel shall be from outside the State of Uttar Pradesh, with preferably one from outside the country. The Vice-Chancellor shall approve three external examiners from the panel. The Research Supervisor(s) shall act as an internal examiner(s).
- 11.3. The thesis shall be sent to the approved three examiners for evaluation. A maximum of one month shall be given to the examiners for sending the evaluation report in the prescribed format, failing which the Vice Chancellor may appoint an alternate 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.
- 11.4. The examiners shall specifically report and recommend whether the thesis be:
- 11.4.1. Approved as it is for Viva Voce
OR
- 11.4.2. To be resubmitted after revision/ extension/ modification of work.
OR
- 11.4.3. Rejected

Accordingly

- a. If, two external examiner reports suggest '*Approval of thesis work*', then the Viva-Voce may be conducted irrespective of the report of the third expert.
- b. If one of the external examiners approves the thesis while the two external examiners recommend revision/ extension/ modification, then
- i. Minor revision: Supervisor and scholar's responses will be communicated to the concerned examiners and if any of these two concerned examiners approve the recommended revision, viva voce of the candidate may be conducted.
- ii. Major revision: If the Ph.D. scholar is required to carry out a major revision of the thesis by two of the examiners, the scholar shall make necessary modifications to the work within a maximum of one year from the date of the communication. The Ph.D. scholar shall have to pay an additional examination and other pertinent fee as prescribed by the University from time to time for resubmission of his/her thesis.
- c. In case of rejection of the thesis work by two of the three experts, the thesis shall stand rejected. The RDSC, however, may consider appeal and with the approval of the Hon'ble Vice Chancellor may suggest major revisions to the work and objectives and allow the scholar to continue the work on major revisions and to submit the thesis within the prescribed/permissible time period for Ph.D program. The scholar may reappear before the special RDC with prior approval of the Vice Chancellor for progress review and Pre Ph.D. approval.
- 11.5. 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 the Office of Dean, Doctoral Studies for

review. The scholar and the Research Supervisor have to provide a certificate in writing that all the modifications/ suggestions in the thesis by the examiner have been appropriately incorporated. The thesis after major revision shall be again sent to any two external experts from the approved panel for evaluation following the procedure as per clause 11.3 and 11.4. However, this will be considered as the final cycle of major revision and no more chance shall be provided. The total time for Ph.D submission shall not exceed the prescribed limits as per the sub-clause 2.2 and 2.3.

- 11.6. The Viva-Voce is to be conducted by the concerned department, including communication with the external examiner (As approved by the Hon'ble Vice Chancellor) and other modalities to be carried out at Department level by the Head of the Department
- 11.7. The open viva voce examination shall be conducted in the presence of Dean, Doctoral Studies, the Dean, Faculty of studies, HoD, Research Supervisor, and the external examiner approved by the Vice Chancellor, and shall be open to all the students and staff of the University. In case of the inability of the external examiner to attend the viva voce examination of the Ph.D. scholar in the subsequent one month, the Vice Chancellor may appoint another external examiner for conducting the viva voce examination who will be given suitable time to go through the thesis.
- 11.8. The external and internal 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.
- 11.9. Every effort shall be made to complete the entire process of thesis evaluation within a period of six months from the date of submission of the revised thesis after an initial review by the Office of Dean, Doctoral Studies.

12. Award of Ph.D. Degree:

- 12.1. After the successful viva voce examination, the Ph.D. scholar shall submit hard-bound copies with corrections, if any, and soft copy of the thesis to the Office of Dean, Doctoral Studies.
- 12.2. The Ph.D. scholar shall be eligible for the award of a Provisional Certificate, provided the Examination sub-committee recommends and the Vice-Chancellor approves the same.
- 12.3. The Ph.D. degree will be awarded in the Convocation. The date of the eligibility of the scholar for the Ph.D. degree shall be the date of approval of the examination sub-committee's recommendation by the Vice Chancellor.
- 12.4. The award of a Ph.D. degree can be withdrawn at any time in case the thesis submitted by the scholar is found to be an act of plagiarism or any other academic misconduct. In such a case, the examination sub-committee recommends the withdrawal of the Ph.D. degree for approval of the Academic Council and the Executive Council.

13. Depository with INFLIBNET

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

14. Admission and Assessment Process for International Ph.D. Scholars:

14.1 Selection Process and Eligibility:

- i. All International scholars (regular/part-time) shall be exempt from the Ph.D. Entrance Test. For regular scholars, admission is contingent upon a valid Research Visa issued in favor of a specific University, in adherence to the guidelines issued by the Government of India.

- ii. The university-issued admission letter will facilitate the application for a Research Visa at the Indian embassy/high commission abroad, ensuring endorsement in favor of the university for the entire Ph.D. program duration, particularly for those intending to pursue the program as regular students while residing on campus.
- iii. This provision for admission applies to all international students, including those with foreign passports, NRI status, or OCI cardholders who hold a qualifying Master's degree or a professional degree equivalent to the Master's degree from a foreign educational Institution/reputed foreign University or a foreign university campus in India.

14.2. Allocation of Ph.D. Guides for International Scholars:

A recognized Ph.D. Guide in the subject-discipline applied by an International Scholar may accept two scholars on a supernumerary basis, exceeding the prescribed scholar limit specified in Clause 5.1 (Clause No.7(1) of UGC Ph.D. Regulations, 2022).

14.3 Part-time Enrollment for International Scholars:

An International Ph.D Scholar (Foreign National/NRI/OCI) admitted and registered as a part-time scholar shall attend the course work offline or online during the first two years of admission and shall clear the course work examinations online or offline or in blended mode within the prescribed time limits.

14.4 Coursework for International Ph.D. Scholars:

All registered International Ph.D. scholars are required to complete the prescribed coursework during the initial 2 to 3 semesters, as per the ordinances. The coursework includes Research Methodology, Research and publication Ethics, and Subject papers, each carrying 4 credits (Total 12 credits). The coursework will be assigned by the RDC or RDSC in coordination with the department and keep in view the research interests of the Ph.D. scholars as per UGC Ph.D. Regulations, 2022.

14.5 Credit Requirements Under CBCS:

Under the CBCS, a minimum of 100 credits, comprising 12 credits for coursework and 88 credits for research work, must be earned to qualify for pre-PhD permission.

14.6 RDC Meetings and Pre-Ph.D. Presentation:

- i. After Ph.D registration, the scholars must attend the prescribed RDC meetings online for assessment to mandatorily earn 88 research work credits. However, for adequate evaluation and guidance, the scholar should preferably attend the first RDC physically (offline) after completing the coursework, and the last RDC/RDSC for Pre-Ph.D presentation.
- ii. Prior to thesis submission, the scholar will conduct an open Pre-PhD presentation before the RDC or RDSC, in the presence of the Dean, Doctoral Studies, the Research supervisor, Co-Supervisor, faculty members, and fellow research scholars. A draft thesis in the University-prescribed format (spiral bound) must be presented, with feedback incorporated into the draft thesis based on RDC or RDSC meeting minutes.

14.7 Ph.D submission:

- i. After a successful Pre-Ph.D. presentation, the scholar has to submit hard-bound thesis (four copies) and a soft copy using the duly filled thesis submission form and other relevant documents/ forms/ certificates/ annual Ph.D. fee receipts within TWO months from the date of the Pre-Ph.D. presentation. In case, a Ph.D. scholar fails to submit within the stipulated time, he/she may need to take fresh permission from RDC or RDSC to submit it within four months which will be the final permission. Failure to submit his/ her thesis again, the registration is liable to be canceled.

- ii. The scholar shall have to deposit the annual Ph.D. fee and any other fee on the due date until the thesis is submitted even if granted an extension to submit the thesis. In addition, the scholar must deposit the prescribed thesis submission and plagiarism check fee prior to submitting his/her thesis.
- iii. The thesis shall be evaluated as per the prescribed rules and all other procedures as prescribed in the university ordinances shall be observed.
- iv. The open viva-voce examination in the offline/online mode shall be conducted in the presence of the Dean, Doctoral Studies, the Dean, Faculty of studies, HoD, Research Supervisor, and the external examiner approved by the Vice Chancellor, and shall be open to all the students and staff of the University.

14.8 Guidance and Progress Monitoring:

The research supervisor shall offer all necessary guidance to the part-time International scholars through regular online sessions, maintaining a record of the scholar's attendance and progress toward achieving approved objectives and mandatory publications.

14.9 General Thesis Regulations:

All other relevant clauses pertaining to thesis submission, evaluation, and award shall be applied as prescribed in the Ph.D. ordinances.
