

**GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY**  
**KASHMERE GATE, DELHI-110 403**

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No.GGSIPU/Registrar/2009/11375

August 7, 2009

**CIRCULAR**

With a view to upgrade the quality of the Doctoral Research being pursued in the University Schools of Studies and at Approved Research Centres, as also to brought at par the University's Ordinance 12 : Governing Programmes Leading to Degree of Doctor of Philosophy with the UGC's (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degree) Regulation, 2009, **the Existing Regulation in regard to Approved Research Centre and Approved Supervisor for pursuing studies/guiding research studies for Ph.D., Ordinance:12 and Fee Structure for Ph.D. Registration have been amended by the University's Board of Management in its 41<sup>st</sup> meeting held on 29.06.2009 vide Minutes of Agenda Item Nos.41.4, 41.5 and 41.6, respectively.**

The **Amended Regulation** in regard to Approved Research Centre and Approved Supervisor for pursuing studies/guiding research studies for Ph.D., **University's Ordinance 12 : Governing Programmes Leading to Degree of Doctor of Philosophy** and the **Fee Structure for Ph.D. Registration**, are hereby enclosed for your perusal, necessary record and use.

The above Amendments/Fee Structure shall be effective w.e.f. the academic session 2009-10.

Sd/-  
(Bhaskar P. Joshi)  
Registrar

**AMENDED ORDINANCE 12 : GOVERNING PROGRAMMES LEADING TO DEGREE OF DOCTOR OF PHILOSOPHY**  
*(Effective from the academic session 2009-10)*

**APPLICABILITY:** This Ordinance shall apply to all programmes leading to the degree of Doctor of Philosophy.

**1. DEFINITIONS**

(i)(a) **“Affiliated Institution”** shall mean an institution of higher learning **affiliated** by the University.

(i)(b) **Approved Research Centre/Institute** shall mean an **Approved Research Centre/Institute of the University offering Doctoral/Post Doctoral research work.**

(ii) **“BOS”** shall mean the Board of Studies of the School concerned.

(iii) **“Candidate”** shall mean a person registered for the Ph.D. degree who has got his research plan duly recommended by SRC and approved by BOS.

(iv) **“College/Institute”** shall mean an academic institution maintained or admitted by the University to its privileges and includes an affiliated college/institute.

(v) **“Caretaker Supervisor”** shall mean a member of the academic staff appointed to act as the candidate’s supervisor in the absence of the Supervisor before and/or after submission of the thesis.

(vi) **“COE”** shall mean Controller of Examinations of the University.

(vii) **“Degree”** shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.

(viii) **“Research Student/Candidate”** shall mean a person registered for the Ph.D and devoting adequate time for completing the requirements of this degree.

(ix) **“Joint Supervisor”** shall mean a member of the academic staff of the University/other outside staff, other than the Supervisor, and approved by BOS on the recommendation of the SRC to guide/supervise the research work of the student/candidate.

(x) **“Minimum Registration Period”** shall mean the minimum period for which a candidate must be registered, prior to the date of submission of the thesis.

(xi) **“Ph.D.”** shall mean the degree of Doctor of Philosophy.

(xii) **“RDC”** shall mean Research Degree Committee, and shall consist of Vice-Chancellor, Dean of the concerned School, Controller of Examinations, and two Professors of the University other than the Supervisor/Joint Supervisor of the candidate to be nominated by the

Vice-Chancellor. The Vice-Chancellor shall be the Chairman of the Committee.

(xiii)“**Registration Period**” shall mean the length of period commencing with the date of preliminary registration at the University and ending on the date of submission of the thesis, counting out any gaps.

(xiv)“**Sponsored Research Student/ Candidate**” shall mean a research student/ candidate except that he receives complete financial support from the sponsoring organization/ employer.

(xv) “**Student**” shall mean a person registered for the Ph.D. degree prior to becoming a candidate.

(xvi) “**Supervisor**” shall mean a member of the academic staff of the University/other recognized/outside staff approved by BOS on the recommendation of SRC to guide/supervise the research work of the student/candidate.

(xvii)“**SRC**” shall mean a School Research Committee consisting of Dean of the concerned School as Chairman, three Professors of the concerned School by rotation in order of seniority (for one year), one Reader and one Lecturer by rotation in order of seniority (for one year), and the proposed supervisor(s), or the approved supervisor(s). The School may have more than one SRC depending upon the spread of specialization. In case, the School has more than one SRC, the same shall be constituted by the Vice Chancellor in consultation with the Dean of the school (or his nominee) as Chairman, Supervisor(s) and remaining members from amongst senior teachers of the University/ Approved Research centers/ Affiliated colleges/ External experts in such a manner so that at least two members are common in all the SRC of the school.

(xviii)“**University**” shall mean Guru Gobind Singh Indraprastha University, Delhi.

**Note:** In this Ordinance where-ever ‘He’ and ‘His’ occurs, these shall mean to imply ‘he/she’ and ‘his/her’ respectively.

2. The University shall provide for studies and research leading to award of degree of Doctor of Philosophy.

**The programmes shall be conducted through the Schools of the University.**

Subject to the guidance of the Academic Council and control of the concerned School, research studies for Ph.D. shall be organised by the Board of Studies of the concerned School.

3. A Research Student/ Candidate shall be required to pursue his research work under the guidance of approved supervisor(s) **and the course work specified by the SRC/BOS at the University Schools /affiliated institutions/ University Approved Research Centers. If the Affiliated Colleges/ University Approved Research Centers can not conduct course work at their premises, students shall be required to complete the course work at the concerned University Schools.** The BOS may also permit a research student/ candidate to carry out a part **of the** research work outside the University at a Research Centre approved by

the **BOS**. Further, the BOS may permit the research student/candidate to work at his place of employment within **NCR** provided adequate research **facilities** are available there **upto the entire** satisfaction of BOS. In the absence of such facilities the student will have to work at the University.

#### **4. ADMISSION ELIGIBILITY**

(a) An applicant possessing any one of the following qualifications shall be eligible to apply for admission to a Ph.D. programme of the University.

(i) A Master's degree in Engineering/ Technology/Science/Architecture/ Humanities /**Social Sciences** /Commerce/Medicine/Law/ Education/Pharmacy/Management of a recognised Indian University, or a post graduate degree approved by Association of Indian Universities/**AICTE**, or any other equivalent qualification to the satisfaction of Academic Council of the University, in the relevant field, with not less than 60% marks in aggregate.

(ii) Applicants with a Bachelor's degree in engineering/ technology/ any other professional discipline, with either 75% or more marks in aggregate and a minimum of three years, or 60% or more marks in aggregate and a minimum of fifteen years, relevant experience in recognized Institute/University /Industry/ Government Organization, may be considered eligible for admission, on the recommendation of SRC and approval by BOS.

(iii) For applicants belonging to SC/ST category and/or physically handicapped applicants, a relaxation of 5% in marks shall be admissible under eligibility conditions prescribed under sub-clauses 4 (a) (i), (ii).

(iv) Teachers working in any University or its affiliated colleges and having a teaching/research/other relevant experience of not less than **3** years may be allowed a relaxation of 5% marks under clause 4 (a) (i).

Provided that out of the two relaxations stipulated under clauses 4 (a) (iii) and (iv), only one relaxation is permissible for an applicant.

**(v) Perspective Research Candidate generally shall not have completed an age of 50 years at the time of submission of application for registration for Ph.D. A relaxation in the prescribed age beyond 50 years can, however, be recommended by the SRC/BOS recording appropriate justification for the approval by the Vice-Chancellor.**

**(vi) Students having Fellowships / Scholarships instituted by the GGSIP University / Affiliated Colleges/Approved Research Centers/ National and International Agencies under schemes approved /recognized by the University, may be provisionally registered if they are selected through an interview by a Sub-Committee, comprising of atleast 5 members to be chosen from the concerned SRC/BOS, constituted by the Vice-Chancellor and the registration shall be confirmed after satisfactory completion of the course work and approval of the research plan on the basis of its presentation before the respective SRC/ BOS. The Research Scholars so registered will fall under the category of Full-Time Research Scholars. The respective schools shall determine the number of University Fellowships/ Scholarships annually with the approval of the Vice Chancellor.**

(vii) The students who are otherwise eligible for admission to the Ph.D. programme and do not have any financial assistance, may be provisionally registered if they are selected through an interview by a Sub-Committee, comprising of atleast 5 members to be chosen from the concerned SRC/BOS, constituted by the Vice-Chancellor and the registration shall be confirmed after satisfactory completion of course work and the approval of research plan on the basis of its presentation before the respective SRC and BOS. Such students, if they so desire, may be considered during their tenure of Ph.D work, for the GGSIP research fellowship, if available, or any other fellowship that may be launched by the national agencies. They will also fall in the category of full time Research Scholar.

(viii) Candidates sponsored by their employers shall be considered only if they fulfill the eligibility criteria for admission, selection criteria and are also granted study leave by the respective employer for a period required to fulfill residency requirements for the completion of the course work as may be prescribed by the concerned SRC/BOS of the different University Schools of Studies of the GGSIP University. They shall be provisionally registered, if they are selected through an interview by the concerned Sub-Committee, comprising of atleast 5 members to be chosen from the concerned SRC/BOS, constituted by the Vice-Chancellor and their registration shall be confirmed after satisfactory completion of the prescribed course work and approval of research plan on the basis of its presentation by the respective SRC and BOS. This category of research Scholars shall also be categorized as Full-Time Research Scholars.

(ix) Permanent teachers/ employees, who are in service in any other recognized University/ College /Research Institute and possess a minimum of three years teaching /research experience, can also be considered for registration for doing Ph.D. by the concerned SRC and BOS if they fulfill the eligibility criteria for admission, selection criteria and are granted study leave by the respective employer for a period required to fulfill residency requirements for the completion of course work as may be prescribed by the concerned SRC/BOS of the different University Schools of Studies of GGSIP University. These Scholars shall also be treated as Full-time Research Scholars.

Note: The minimum period of Residency requirement shall be twelve months.

(b) Applicants who are in employment within NCR in the organizations **such as approved research centre of GGSIP University or an employee working in a Government Department, Public Sector Undertaking, Research /Development Organization, or a Private Industry or an Educational Institution of repute, possessing a minimum of three years of relevant working experience can also be considered** for registration as Research Student/Candidate provided:

- i) they fulfill eligibility criteria for admission, laid down in Clause 4 above;
- ii) the applicant proves to the satisfaction of the SRC and BOS that his employment duties will permit him to devote sufficient time for research and prescribed course work. ; **in such cases the SRC/BOS are empowered to make appropriate recommendations for**

**exempting the residency requirement subject to approval by the Vice-Chancellor.**

**The research students registered under this category shall be “Part-Time Research Scholars.”**

## **5. PROVISIONAL REGISTRATION**

**Depending upon the requirement, the University/Affiliated Colleges/ Approved Research Centers shall advertise for Ph.D. admission twice in a year preferably in January & July.**

Applications for joining the Ph.D. programme shall be submitted on a prescribed Form with a tentative **topic for Doctoral Research and its research plan. Applicants from Approved Research Centers & Affiliated Colleges/Institutes shall be submitted to the Chairmen of respective SRC of the GGSIP University for further processing.**

The applicants who fulfill the eligibility criteria as laid down in clause 4 shall be interviewed by a Sub-Committee, comprising **of at least 5 members chosen from the concerned SRC/BOS, constituted by the Vice-Chancellor for selection and appropriate recommendations regarding such candidates to the concerned School.**

**For selection, if need arises, their may be an entrance test. If the candidate is selected** by the aforesaid Sub-Committee **and approved by SRC/BOS** the student shall be allowed provisional registration from the date of payment of prescribed fees to the University.

## **6. RESEARCH PLAN**

(a) Each student who has a provisional registration, **after the successful completion of the required course work** shall be required to make a presentation of his Research Plan before the SRC and **the SRC shall** test the comprehension of his broad field of research, academic preparation and potential to carry out the proposed research.

(b) On the basis of the content of the Research Plan and the presentation, the SRC shall either recommend the case for consideration and approval of Registration to the concerned BOS, or, may ask the student to make a fresh presentation of the Research Plan.

(c) A student will ordinarily be allowed only two attempts for presentation before the SRC. In case the Research Plan of a student is not approved within the limitations prescribed in this clause, the **provisional registration may** be cancelled. A third attempt may be allowed only with the approval of the Vice-Chancellor on the recommendation of the BOS.

(d) While recommending approval of the Research Plan, the SRC will also approve the thesis supervisor(s) or, in case it deems fit not to approve the proposed supervisor, or any of the joint supervisors, it may advise the student to propose alternate names for consideration of the SRC.

(e) A research student/candidate must get his Research Plan approved within **24** months of his provisional registration, failing which the same may be cancelled.

## **7. REGISTRATION AS A CANDIDATE**

(a) After the approval of the Research Plan and the names of Supervisor(s) of a research student/ candidate, the case shall be submitted **by the SRC** to the BOS for its consideration and approval within a maximum period of one month.

If an approval is not accorded by the BOS, then such a research student/candidate may submit his/her case for fresh approval, through the SRC, after presenting a fresh/modified Research Plan.

(b) After the approval of the BOS, and after the student has paid the fees prescribed by the University, a student shall be formally registered as a candidate with effect from the date on which the BOS accorded its approval, or, from any other date specified by the BOS.

(c) A candidate shall be required to renew his Registration in the manner prescribed, every year, and pay the fees as prescribed by the University.

## **8. THESIS SUPERVISORS**

(a) Each candidate shall have a supervisor, duly approved by the University, as provided in clause (b). **Joint Supervisor(s) may only be made under special circumstances to be recommended by the SRC. Special circumstances such as multi/inter disciplinary research work, retiring/leaving supervisor etc.**

(b) (i) Any regular teacher of the University or a recognized teacher working in an affiliated college of the University who holds a Ph.D. degree and has a teaching/research experience of not less than 3 years **(after obtaining Ph.D)** shall be eligible to be a supervisor or a joint supervisor. **The teacher has to have established track record of research work with minimum of 08 published research articles in referred national/ international journals and is continuously involved in demonstrated research activities/ consultancy assignments / technological advancement / carries to his /her credit registered patents.**

(ii) Any other scholar duly approved by the concerned BOS from GGS Indraprastha University **or** from its Approved Research Centre, another University, a public sector industry, or, other reputed established industry or institutions conducting research programmes shall also be eligible to be appointed either as a supervisor or a joint supervisor, **provided he/she holds a Ph.D Degree and has established record of research evinced through publications in standard referred journals with a minimum of 08 published research articles in referred national/ international journals and is continuously involved in demonstrated research activities/ consultancy assignments / technological advancement / carries to his /her credit registered patents. Decisions of BOS in**

**approving such type of Ph.D. Supervisors are to be approved by the Vice chancellor.**

**(iii) All the candidates should subsequently identify supervisor/and or joint supervisor from the University schools/Affiliated Colleges/Approved Research Centers (who must be a permanent staff member) who are willing to supervise the candidate and shall intimate the names to the concerned Dean of the School. It must be ensured that the supervisors have enough service in the organization and he/she will not attain superannuation within 3 years in the case of supervising Ph.D. candidate/ programme.**

(iv) The BOS, on the recommendation of the SRC, shall consider the names of the Supervisor/Joint Supervisor, and if it approves the same, these shall be appointed after obtaining approval of the Vice-Chancellor. If the names proposed by the applicant are not approved, the student may be asked to suggest other names, or, in exceptional circumstances assigned by the Dean, with the concurrence of the student and the supervisor, and approval of the Vice-Chancellor.

**(v) A research student may request during the course of his research work for the change of the supervisor(s) to the respective SRC/BOS. The SRC/BOS, under very special circumstances, may recommend for the change of supervisor(s) to the Vice Chancellor for approval.**

(vi) At any given time, a Professor shall not have more than **8** Ph.D. candidates, a Reader (Associate Professor) more than **6** candidates, and a Lecturer (Assistant Professor) more than **4** candidates registered under him, **however, in such cases where teachers are retiring or leaving, the SRC and the BOS can relax the norm. The School Research Committee can also appoint Supervisor/Joint Supervisor which will be reported to the Board of Studies (BOS) of that School.** Joint registration (registration under more than one supervisor) shall be counted as half. **For the Supervisors as mentioned in (ii) above, the number of research scholars shall be decided by the SRC and to be approved by the Vice Chancellor.**

**(vii) A seat shall deem to have been fallen vacant under any Supervisor only after the issuance of final notification by the Controller of Examination to the effect that a specific Research Scholar has been awarded the Ph.D. Degree.**

**(viii) In cases where the Supervisor has three or lesser number of years before retirement, a Joint Supervisor shall be mandatory.**

**(ix) A person who does not possess a Ph.D degree shall not be eligible for appointment as Supervisor/ Joint Supervisor.**

**(x) The University Schools shall prepare the list of refereed national / international journals to facilitate the research scholars and the faculty members/ Supervisors/ Joint Supervisors.**

## **9. CREDIT REQUIREMENT & PERFORMANCE MONITORING**

**(a) Candidates, who are provisionally registered for the Ph.D. degree will be required to take three courses equivalent to a minimum 9 credits ; however, the maximum number**

could be upto six courses equivalent to 18 credits as per the recommendations by the concerned SRC/ BOS. Each course will be of three hours instructions/studies per week. The courses may be prescribed from the existing M. Tech and /or pre-PhD. courses at the university. The course work should be completed in a period of two semesters not exceeding one academic year from the date of the provisional registration and the University shall conduct the examination. If a student is not able to pass a course with 50% marks, the student shall be allowed to reappear in the examination within 12 months as per the existing examination rules of the University. Candidates should be encouraged to take courses such as “Communication Skills”, “Research Methodology”, “Statistical methods for Analysis of Research/ Experimental Data”, “Philosophy of Science” etc. Ph.D. students may be permitted to take courses in related and allied subjects being offered by other Schools of the University. The students shall be evaluated at the end of each semester.

(b) The student may be permitted by the SRC, on the recommendation of the Supervisor(s), to be absent from university for ordinarily not more than 2 semesters on the ground that it is in the interest of her/his research.

(c) Students can be assigned participation in some academic work like assisting teaching of science practicals, checking assignments, etc. as per their fellowship scheme or as decided by the School Research Committee. This work should not be more than six hours a week. Those who are not getting any fellowship/scholarship may be paid as per the norms/rules on the subject as applicable from time to time in the University

(d) Absence from research work by Ph.D. students due to illness, maternity leave or other circumstances must be reported by the Supervisor(s) to the SRC through the Dean/Head of the School. Neglect of research work or any other acts of indiscipline must be recorded and reported by the supervisor to the Dean for placing before the concerned SRC and to the Vice-Chancellor.

(e) Every research student shall report on day to day basis to their respective supervisor. Cases of neglect of research work and indiscipline that include unethical practices such as plagiarism and misrepresentation of data and irregularity must be reported by the supervisor to the Dean for placing before the SRC, the BOS and the Vice-Chancellor for necessary action.

(f) No Ph.D. student who is holding Fellowship / scholarship shall undertake an employment during the period of his / her study. In case any Research Student is selected and joins some employment in between the period of his/ her fellowship then he/she shall not remain eligible for availing the fellowship. However, he/she would be permitted to complete his Ph.D. provided he/she has already completed the course work.

(g) No candidate shall, without the permission of the Supervisor(s) and the SRC enroll for any other course of study which is not stipulated as an essential requirement for the Ph.D. programme by the School.

(h) No candidate with fellowship/scholarship shall appear in any examination conducted by the University or a public body without prior permission of the Supervisor(s) and the

**Dean.**

**(i) The academic research progress of each student will be monitored by SRC/BOS or by its subcommittee. For this purpose, each candidate will be asked to submit a progress report at the end of each semester to his supervisor(s). On receipt of the progress report the supervisors shall arrange with SRC or its subcommittee for a review. “X” grade to be awarded during that semester if the progress is satisfactory. If the progress is unsatisfactory, then “U” grade is awarded and appropriate action taken. For obtaining “U” grade, a warning would be issued to the candidate. If there are two consecutive “U” grades then the registration may be cancelled /terminated.**

**(j) The SRC after having considered the progress report of each candidate shall recommend one of the following:**

(i) Continuation of registration

(ii) Continuation of registration and issuance of a warning to the candidate and making recommendation in consultation with the supervisor(s), of steps necessary to improve his performance.

(iii) Termination of registration. If the candidate is issued a warning, the minimum registration period for allowing a candidate to submit the thesis shall be increased by one semester, every time a warning has been issued.

**10. REGISTRATION PERIOD REQUIREMENTS**

(a) The minimum period of Registration after which a candidate can submit his thesis shall be two years from the date of final registration as a candidate. The period can be further increased as provided in clause 9(b).

(b) A research student/candidate shall normally be allowed to submit his thesis within a maximum period of 6 years. However, in exceptional cases, this limit may be extended by the Vice-Chancellor by a maximum period of two years.

**11. PRE-THESIS SUBMISSION PRESENTATION**

(a) A pre-thesis submission presentation by the candidate before the SRC is an essential requirement. On completion of the research work, the candidate shall submit to the SRC through his supervisor(s), 8 copies of the Summary of his research work including bibliography and make a presentation at which faculty members and other research students of the concerned school may be present.

(b) The candidate shall be required to submit his thesis within three months from the date of pre-thesis submission presentation by the candidate. However, in case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the Dean of the School may, on recommendations of SRC grant an extension of not more than three months i.e., the candidate may be allowed to submit his thesis within a period not

exceeding 6 months from the date of pre-thesis submission presentation.

(c) The candidate will be required to submit a certificate from his supervisor(s) in the prescribed format countersigned by the Dean that the work embodied in the thesis entitled “\_\_\_\_\_” is original and has been carried out by the author and that it has not been submitted in full or in part for any other diploma or degree of this or any other University.

## **12. APPOINTMENT OF EXAMINERS**

(a) (i) A panel of at least six experts in the subject area of research work with preferably at least two experts from outside India would be suggested by the supervisor(s) and placed before the SRC for its recommendations. The SRC may delete any of the name(s) proposed by the supervisor(s) and/or add any names.

(ii) A person from the same laboratory(ies)/institutions where the candidate is employed cannot be appointed as an external examiner. Further a person from a laboratory/institution/ approved research centre to which the Supervisor and/or joint Supervisor of the candidate belongs, cannot be appointed as an external examiner.

(b) On receipt of the title and synopsis of the thesis, the Dean shall send the panel of examiners as approved by the SRC to the Vice-Chancellor who will appoint the Board of Examiners for the thesis. The Board shall consist of one internal examiner from amongst the supervisor(s), and two external examiners preferably one from outside India. The examiners may normally be chosen from the panel of examiners recommended by the SRC. **The Vice Chancellor may add any other name(s) in the panel, if necessary.**

In case one or more examiners so appointed decline to examine the thesis, another examiner shall be appointed out of the panel. In case the panel gets exhausted, SRC shall recommend additional names.

## **13. THESIS SUBMISSION**

(a) The thesis shall be a piece of research work characterized either by discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. A thesis may be supplemented by published work if necessary. No part of the thesis or supplementary published work shall have been submitted for the award of any other diploma or degree.

(b) The thesis shall be written in English in specified format in accordance with the Instructions contained in **Annexure-A** to this Ordinance.

(c) A candidate may submit his thesis within the time period as stipulated in Clause 10 of this Ordinance, provided he has:

(i) Completed the minimum period of registration as provided in Clause 10.

(ii) Has published minimum of 2 research papers in international (referred) journals. However, wherever it has been not possible to do so then, apart from publishing two research papers in referred national journals, this fact must be brought to the notice of SRC along with sufficient reasons to justify as to why the thesis should be accepted in the absence of two published research papers in international journals? And, this justification may be acceptable to both the SRC and the Vice-Chancellor of the University.

(d) Three copies of the thesis in soft binding along with one copy on Electronic media for record must be submitted to the COE for evaluation. In case of a candidate being supervised by more than one supervisor, appropriate number of additional copies must be submitted.

## **14. EVALUATION**

### **(a) Evaluation of Thesis**

(i) Each examiner will be requested to submit to the COE, a detailed assessment report and his recommendations on a prescribed proforma within 3 months of the date of receiving the thesis.

(ii) In the event that the assessment report is not received from an examiner within 4 months, the Vice-Chancellor may appoint another examiner from the panel of examiners for evaluating the thesis.

(iii) The examiners shall be required to state categorically whether in their individual opinions, the thesis should be:

- a) accepted for the award of Ph.D. degree, or
- b) referred to the candidate for presentation in the revised form, or
- c) rejected.

The examiner shall state the reasons for recommending resubmission/rejection of the thesis. If resubmission is recommended, the examiner shall specifically indicate the modifications that need to be made in the thesis by the candidate.

(iv) On receipt of reports from all the examiners, these will be placed before the Research Degree Committee. The RDC shall peruse the reports and advise one of the following:

a) If the examiners are unanimous that the thesis be accepted for award of the degree, the candidate be required to appear for oral defence.

b) If the examiners are unanimous that the thesis be rejected or that the thesis be submitted in a revised form the result be declared accordingly, or the candidate be informed to submit the thesis in a revised form.

c) If there is no unanimity between examiners, an additional external expert shall be appointed as examiner to examine the thesis. The report of the additional examiner, along with all the earlier reports shall be considered by the RDC, and a recommendation made either to accept the thesis for award of degree or reject the same.

(v) In the event of the candidate being required to submit a revised thesis, he/she shall, submit the same within a period of one year from date of communication in this regard from the COE. However, in exceptional circumstances this period may be extended by BOS by one more year but the total revision time will not exceed two years. The revised thesis shall be sent for assessment to the original panel of examiners. In the event of one or more or original external examiners not being available, an additional external examiner may be appointed.

### **(b) Oral Defence**

(i) A candidate, whose thesis is recommended for acceptance in accordance with provision of clause 14(a)(iv) on the basis of thesis evaluation, shall be required to defend his work/thesis orally before a duly constituted committee, hereinafter referred to as Oral Defence Committee (ODC), during working hours of the University at the University premises. Any deviation from this should have prior permission of Vice-Chancellor.

(ii) ODC shall consist of the Dean of the concerned School, the supervisor(s), and one external examiner to be appointed out of the external examiners by Vice- Chancellor. If none of the external examiners is available for the conduct of the oral defence, an alternative external examiner shall be appointed by Vice- Chancellor for this purpose only. The external examiner invited for oral examination shall submit his report in the prescribed proforma to the COE.

(iii) On the completion of all the stages of examination, COE shall recommend to RDC to approve one of the following:

(a) that the degree be awarded,

(b) that the candidate be re-examined at a later specified time in a specified manner,

(c) that the degree not be awarded,

In case of 14(b)(iii), the COE in consultation with Dean shall also provide to the candidate a list of all corrections and modifications required in the thesis, including suggestions made by the examiners during the thesis evaluation. The candidate shall thereafter submit two hard-bound copies of the thesis, incorporating all necessary corrections/ modifications.

## **15. AWARD OF DEGREE**

(a) The Degree shall be awarded by the University provided that:

- i) RDC so approves,
  - ii) The candidate produces a “No Dues Certificate’ in the prescribed form,
  - iii) The candidate has submitted two hard bound copies of the thesis; one for the School Library and one for the Central Library. These should incorporate all necessary corrections/modifications.
- (b) Hard bound copies and CD ROM of the Ph.D. thesis, submitted after the oral defence examination, must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

**Guru Gobind Singh Indraprastha University, Kashmere Gate, Delhi-110 006**  
**All rights reserved**

## **16. LEAVE AND ATTENDANCE**

A student/candidate will be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Academic Council.

## **17 CANCELLATION OF REGISTRATION**

Registration of a student/candidate shall be cancelled in any one of the following eventualities, after due approval of Vice-Chancellor:

- (a) If he absents himself for a continuous period of six weeks without prior intimation/sanction of leave.
- (b) If he resigns from the Ph.D. programme and the resignation is duly recommended by SRC.
- (c) If he fails to renew his registration in any year subject to the provisions contained in these Ordinances.
- (d) If his academic progress is found unsatisfactory in terms of Clause 9 of this Ordinance.
- (e) If he is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the School Research Committee or any other authority authorised by the Academic Council.

**18.** Notwithstanding anything contained in these Ordinances, all categories of students/candidates shall be governed by the rules and procedures framed by the Academic

Council on this behalf, and in force from time to time.

**19.** Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, not covered by this Ordinance, or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining if necessary the opinion/advice of a Committee consisting of any or all the Deans of the Schools. The decision of the Vice-Chancellor shall be final.

**20. GGSIP University Doctoral & Post-Doctoral Fellowships.**

- ◆ **The remuneration/fellowship amount for Doctoral& Post-Doctoral fellowship would be as per CSIR/ UGC fellowship guidelines.**

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**Instructions for preparation of Ph.D. thesis**

1. Thesis should be type-written on good quality A-4 size paper in double space with sufficient margins.
2. Suitable reproduction of Indian-ink diagrams should be used. Photographs should be suitably mounted on the same quality paper as the thesis.
3. References should be given in a style in the text consistent with a standard journal in the field.
4. Three copies of the thesis in soft binding alongwith one copy on 3.5" floppy for record must be submitted to COE for evaluation. In case of a candidate being supervised by more than one supervisor, appropriate number of additional copies must be submitted.
5. The cover should have the following printed on it in block letters:

TITLE OF THESIS,  
BY NAME OF AUTHOR,  
NAME OF THE SCHOOL  
Guru Gobind Singh Indraprastha University  
Kashmere Gate, Delhi

6. After the viva-voce examination, two copies of the thesis in maroon colour hard cover binding must be submitted. The cover should have the material indicated in the item 5 above printed on it. Besides, the following should be printed on the spine of the thesis:  
(a) the year of publication at the top; (b) the author's last name in the middle; and  
(c) Ph.D. at the bottom.
7. The contents of the thesis should have the following format:  
(i) Inner cover page; (ii) Certificate of the Supervisor(s); (iii) Acknowledgements; (iv) Abstract; (v) Table of Contents; (vi) List of Figures/Tables; (vii) Body of the thesis; (viii) References; (ix) Appendices; and (x) Brief bio-data of the author.
8. The inner cover page should read as follows:

TITLE OF THESIS  
BY  
NAME OF AUTHOR,  
NAME OF THE SCHOOL  
Submitted

in fulfillment of the requirement of the degree of Doctor of Philosophy  
to the



Guru Gobind Singh Indraprastha University  
Kashmere Gate, Delhi.  
Month & Year



**GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY  
KASHMERE GATE, DELHI**

**APPLICATION FORM FOR PRELIMINARY REGISTRATION/REGISTRATION IN THE  
Ph.D. PROGRAMME**

1. Name of the Research Student/Candidate in Full  
(In Capital letters) : \_\_\_\_\_

2. Address of the Research Student/Candidate : \_\_\_\_\_

E.Mail

MTNL Number

Mobile/Cell Number

3. Name of the Parents:  
(a) Father : \_\_\_\_\_  
(b) Mother : \_\_\_\_\_

4. Date of Birth : \_\_\_\_\_

5. Details of the Academic Qualifications &  
Experience, if applicable, on the basis of which  
admission is being sought:

a) Academic Qualifications (Attach Documentary Evidence/s)

S.No	College/ University Attended	Examination Passed	Year of Passing	Division	Percentage of marks secured/ CGPA	Major subject/ specialization	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

b) Details of the Experience (Attach Documentary Evidence/s)

- (i) \_\_\_\_\_  
(ii) \_\_\_\_\_  
(iii) \_\_\_\_\_

[Attach extra sheet/s if required]

6. Whether this application is for Preliminary Registration/Registration? : \_\_\_\_\_
7. **If the application is for Preliminary Registration, then mention the Broad Field/Area in which the Doctoral Research is to be perused.** : \_\_\_\_\_  
\_\_\_\_\_
8. **If the application is for Registration, then mention the exact subject of research in capital letters** : \_\_\_\_\_  
\_\_\_\_\_
9. Name/s of the Supervisor and Joint Supervisor, if any (Fill it up if the same has/ have been identified) : \_\_\_\_\_  
\_\_\_\_\_
10. Recommendations of the Supervisor and Joint Supervisor, if any, alongwith signature/s (To be added if column 8 above has been filled; in case of need, additional sheets may be attached) : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
11. Research Plan/Synopsis on the subject of research (To be submitted if the application is for Registration as per Column 8 above.) Attach Eight Copies.

Place \_\_\_\_\_  
Date \_\_\_\_\_

(Signature of the Research Student/Candidate)

## RECOMMENDATIONS OF THE SRC

1. (a) Recommended/Not Recommended for Preliminary Registration for the Ph.D Programme \_\_\_\_\_  
(Mention the relevant decision alongwith the date of the SRC meeting)
- (b) Name/s of Supervisor and Joint Supervisor, if any : \_\_\_\_\_
- (c) Date of Preliminary Registration (To be filled in after the deposition of Fee by the Research Student/Candidate) : \_\_\_\_\_
- (d) Date by which the Research Plan/Synopsis is be submitted. : \_\_\_\_\_
- 2 Recommended/Not Recommended for consideration by the BOS : \_\_\_\_\_
- 3 Any other recommendation of the SRC : \_\_\_\_\_

Signature of the Chairman of SRC

**RECOMMENDATIONS OF BOS**

1. (a) The Registration of Mr./Ms. \_\_\_\_\_ for the  
Ph.D programme is Approved with effect from \_\_\_\_\_ by the  
BOS of the School \_\_\_\_\_ in its  
meeting held on \_\_\_\_\_
- (b) This Registration is subject to the : \_\_\_\_\_  
fulfillment of: (Mentioned \_\_\_\_\_  
condition/requirement, if any)
- (c) The Registration is Not Approved/may  
resubmit the case through SRC after  
necessary modification of the Resume : \_\_\_\_\_  
plan/synopsis.

Signature of the Chairman

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NOTING BY THE UNIVERSITY'S OFFICE

# GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY

## **FEE STRUCTURE FOR Ph.D. REGISTRATION**

*(Effective from the academic session 2009-10)*

Fee for the Ph.D. programme Fulltime/Part-Time/Employees of the GGSIP University, Affiliated Colleges, Employees of Private/Non-Governmental Organizations/Research Scholars getting Fellowships from AICTE, UGC, DST, CSIR, any State/Central Government Organizations/Institutions/Industry sponsored.

- |  |                    |
|--|--------------------|
| <b>1.</b> Registration / Provisional Registration Fee<br>(This includes the fee for the first year). | <b>Rs. 5,000/-</b> |
| 2. Annual fee payable by 1 <sup>st</sup> August during subsequent years.                             | Rs.1,000/-         |
| 3. Fee payable at the time of Ph.D thesis submission.  | <b>Rs.10,000/-</b> |
| <b>4.</b> Fee for course work, per <b>course</b> .   | <b>Rs.3,000/-</b>  |

With the approval of the Vice-Chancellor, Ph.D. candidate not receiving any financial assistance/fellowship/salary may be exempted **either fully or partially the 'Fee payable for Course Work'**.

**AMENDED REGULATION IN REGARD TO APPROVED RESEARCH CENTRE AND APPROVED SUPERVISOR FOR PURSUING STUDIES/GUIDING RESEARCH STUDIES FOR PH. D UNDER CLAUSE 1 (i) (b) OF THE UNIVERSITY'S ORDINANCE GOVERNING PROGRAMMES LEADING TO DEGREE OF DOCTOR OF PHILOSOPHY.**

*(Effective from the academic session 2009-10)*

**I. Approved Research Centre:**

1. In terms of Sub Clause (i) **(b)** of Clause (1) of the University's Ordinance Governing Programmes Leading to Degree of Doctor of Philosophy any institution that has been established and promoted by the Central/State Government/Registered Society/Trust for promoting the cause of higher education in any discipline can be considered by the Academic Council for designating them as "Approved Research Centre" for pursuing research leading to the award of the Degree of Doctor of Philosophy (Ph. D) of the Guru Gobind Singh Indraprastha University provided they meet the following conditions:
  - (i) The Institution whether belonging to Central / State Government or has come to be promoted by a private registered society/ trust should at least be in existence with an uninterrupted and continual functional status of 15 years or more and should have attained a position of national or international importance.**
  - (ii) The institution is involved either in conducting post-graduate programmes or promoting research with a proven track record of research carried out, demonstrated by research publications/articles/ monographs/reports etc. ; the minimum number of published research papers/ articles in standard referred national / international research journals shall in no case be less than 50 during the preceding period of five years to be counted from the date of the receipt of the request by the University.**
  - (iii) The institution must have adequate infrastructure in the shape of building, equipment, laboratories, library that may be considered necessary for carrying out research of the Doctoral level and it should provide an undertaking that the available facilities shall be made available to the Research Scholars that may be registered for Ph. D in the Guru Gobind Singh Indraprastha University on behalf of the institution.
  - (iv) The institution should also have regular and qualified staff to the satisfaction of the University.
  - (v) Of the teaching staff of the Institute those who meet the eligibility qualifications & experience shall be approved as "Supervisors" as per the procedure prescribed in **the PhD ordinance.**
  - (vi) The University shall not entertain any request for PhD work for which the University does not have SRC & BOS.**
  - (vii) Each of the Approved Research Centre which is owned and managed by the self-financing institutions and promoted by the **trust/society** shall have to pay an initial fee of Rs. 5 Lakh in the year it is approved. Thereafter, they shall be paying a Continuation Fee of Rs.50,000/- per annum.

- (viii) **The Approved Research Centre cannot charge any extra fee from the Research Scholars other than those prescribed from time to time by GGSIP University i.e., registration, annual fee, course fee, and thesis submission fee.**
- (ix) **On the lines of GGSIP fellowships, the Approved Research Centres should also offer Junior Research and Post Doctoral Research Fellowships to research students with a view to generate warranted research environment at their Centres.**

2. Each of the Research Scholar, so registered at any of these Approved Centre shall be required to pay fee etc to the University separately as may be prescribed by the University from time to time.
- 3 All such Approved Research Centres shall function in accordance with the overall superintendence of the concerned School Research Committee and the Board of Studies, and the University's Ordinance Governing Programmes Leading to Degree of Doctor of Philosophy shall be applicable on all the Research Scholars of these Centres in toto.

***P.S. : The existing Approved Research Centres shall continue to exist ; however, the status of Approved Research Supervisors in the Approved Research Centres shall be governed by the amended University's Ordinance 12: Governing Programmes Leading to Degree of Doctor of Philosophy.***

## **II. Approved Supervisor:**

1. Each Approved Research Centre shall forward to the Vice-Chancellor Curriculum Vitae of all of its regularly appointed faculty members alongwith the photocopy of all of the credentials in support of their qualifications and experience as soon as the University accords such a status but in no case later than one month from the date such an information is given to the concerned institution. Further such a Centre shall forward, latest by May 31 of each year, the Curriculum Vitae and details of experience etc. of all the new faculty members who might have been appointed on a regular basis & also who left.
2. (a) The Vice-Chancellor shall get these CVs of the faculty examined and verified by a Committee comprising of the following:
- Dean of the Concerned School.
  - One Member to be nominated by the Vice-Chancellor from the SRC/BOS of the Concerned School
  - One Professor, to be nominated by the Vice-Chancellor, from out of all the Professors of the University.
  - One expert, from outside the University Schools to be nominated by the Vice-Chancellor.
- (b) This Committee will examine and verify the qualifications and experience possessed by each faculty members vis-à-vis the eligibility conditions prescribed by the University for the different Cadres of teaching positions in the different disciplines as also with reference to Clause **8 (b)** (iii) and **8(b)(iv)** of the University's Ordinance Governing Programmes Leading to Degree of Doctor of Philosophy. In case of need, the Committee may also invite any of the faculty for seeking clarification/s

or having discussions in respect of their qualifications & experience. Thereafter, the list of all those faculty members who are found meeting the qualifications as referred to above for supervising Ph. D Scholars may be prepared also specifying the number of Research Scholars they can supervise. They will have no right to compare them with the University Schools/faculty members.

3. All the "Approved Supervisors" shall be entitled to supervise the Ph. D Research Scholars registered for pursuing research at their respective Approved Research Centres as per the recommendations made by the Committee referred to above in Clause **2(b)**.

**III.** Notwithstanding anything stated in this Regulation, for any unforeseen issues arising, and/or not covered by this Regulation, or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining, if necessary, the opinion / advice of Committee consisting of some Deans of the Schools. The decision of the Vice-Chancellor shall be final.