



# **REGULATIONS GOVERNING THE AWARD OF DOCTOR OF PHILOSOPHY 2017**

**As per the University Grants Commission**

(Minimum Standards and Procedures for Award of Ph.D. Degrees) Regulations 2016



**Approved by the Academic Council in the first  
AC meeting held on 28th June 2017.**

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## 1. PREAMBLE

The Doctor of Philosophy (Ph.D.) is one of the highest academic degrees awarded by the university which demands extensive study and intellectual effort. The degree is awarded to a candidate who, as per these regulations, has submitted a thesis or dissertation, based on original and independent research in any particular subject/discipline, or more than one discipline (inter-disciplinary), and which contributes to the advancement of knowledge in Science, Technology and Humanities & Social Sciences. These Regulations shall come into force from the date of assent of the Chancellor.

## 2. DEFINITIONS

In these Regulations, unless the context otherwise requires

<b>University</b> stands for the Garden City University, in short GCU.
<b>Research</b> is the systematic study / investigation to discover new knowledge in the form of facts/patterns / a new interpretation of ideas or inventions of new devices / exploration of a unified theory to explain diverse facts.
<b>Doctor of Philosophy (Ph.D.)</b> signifies that the awardees of the Degree has undertaken a substantial piece of original research, which has been conducted and reported by the scholar under proper academic supervision, and in a research environment for a prescribed period.
<b>Research Scholar</b> is a candidate who is admitted to Ph.D. Program of the Garden City University (GCU) through the procedures adopted by the University
<b>Research Supervisor</b> is a member of the faculty of GCU or a person recognized by GCU and authorized to be a guide who supervises the research work carried out by the research scholar for the award of Ph.D. Degree.
<b>Co-Supervisor</b> is the one who may or may not be a member of the faculty of GCU, is recognized and approved by the GCU to supervise the research work of a scholar jointly with a Research Supervisor.
<b>Doctoral Committee</b> is the committee constituted by the University to oversee the research work of a research scholar.
<b>Course Work</b> is the compulsory preparatory study to be undertaken by a research scholar as prescribed by the Doctoral Committee.
<b>Research and Innovation Council (RIC)</b> is the apex policy-making body for Research, Innovation, Incubation, Consultancy & Entrepreneurship activities of the University.

## 3. ADMINISTRATION AND MONITORING

The academic research in the University is administered through three levels of hierarchy, Research and Innovation Council (RIC), Research Monitoring Committee, and the Doctoral Committee. The Composition of each committee is given below,

### a. Research and Innovation Council (RIC)

Vice-Chancellor	Chairman
Two Senior Professors from Premier academic institutions	Members
Two scientists from R&D organizations/industry	Members
Controller of Examinations	Member
Dean-R&D	Convener

The period of appointment shall be for two years. The Vice-Chancellor makes the nomination of the same.

### b. Research Monitoring Committee (RMC):

RMC has to monitor and implement the policies and decisions recommended by the RIC. In addition, RMC monitors the progress in R&D projects, Ph.D. Scholars performance and makes recommendations for realizing immediate and long term goals.



Dean (R&D)	Chairman
RMC	Secretary
All Deans of the respective schools	Members
Chairperson of the respective departments	Members

The RMC shall meet as and when required.

- c. Doctoral Committee (DC):** DC is the body that recommends the course work, monitors, and steers the progress of the research scholar.

The concerned Chairperson of the respective departments shall take care of the formation of the committee for each scholar in consultation with respective supervisors. The same is forwarded to the Dean (R&D) for approval and further action.

The constitution of the committee is as follows:

Chairperson of the respective department	Chairman
Research Supervisor & Co-Supervisor	Convener
Doctoral committee member- Internal	Member
Doctoral committee member-External	Member

The Chairperson of the respective Departments /Research Supervisors should ensure the presence of internal experts from GCU and external experts from outside GCU in all the meetings.

## 1.1. Functions of the Doctoral Committee

- a) Newly admitted research scholars shall appear before the Doctoral Committee to make a presentation of his/her proposed research work. The Doctoral Committee shall assess the presentation and recommend for the provisional Ph.D. registration to Dean-R&D in the prescribed DC meeting format along with minutes of the meeting.
- b) Shall recommend the course work for the research scholars, and the same shall be submitted in the prescribed form to the Controller of Examinations (COE) through Dean-R&D for conducting the course work examination.
- c) After successful completion of course work, the Doctoral Committee shall conduct the comprehensive examination and recommend to the Registrar through Dean-R&D for the issue of the confirmation of Ph.D. registration certificate to the research scholars.
- d) Shall approve the research title after the successful completion of the course work.
- e) Shall draw the Research Calendar for the scholar.
- f) Shall periodically review the progress of all research scholars based on the report in the standard format and presentation. The Chairperson of the respective Departments should retain the Research performance assessment report of each scholar, and a copy of the same should be forwarded to the Dean (R&D) for records or further action.
- g) The concerned department/school shall develop the course work syllabus if the course work is not part of the existing courses offered by the department/school. Protocol for course work syllabus development and approval shall be followed as per GCU regulations. The course work should be discipline-specific, resulting in developing the knowledge and skills required for the scholar to take up the proposed research.
- h) The progress of the research scholar will be categorized as 'Excellent/ Very Good/Good/ Satisfactory/ Not Satisfactory' based on the performance of the scholar in the presentation, quality of the research work, and performance of the scholar during the DC meeting. A set of parameters with quantitative scores shall be followed for the evaluation.

- i) The DC Suggests suitable remedial action if the scholar's progress is 'Not Satisfactory.' If the progress of a scholar is observed to be 'Not Satisfactory' for a consecutive period of two years, the matter shall be referred to RMC for termination/cancellation of the registration based on the recommendation of the DC.
- j) Shall decide and approve the change of title for the research based on the request raised by the research scholar.
- k) Shall decide and approve the change of registration status.
- l) Shall receive the synopsis of the thesis after `due verification of the compliance requirements, approve the names of external examiners for the evaluation of the thesis, and shall forward to the Dean (R&D) for further necessary action.
- m) Shall review the comments/recommendations of the external examiners of the thesis and shall submit the Committee's recommendations to the Dean (R&D) for further necessary action.
- n) Shall ensure that the work done by the scholar is authentic and not copied from any other source and does not fall into the category, which could be considered as plagiarism. The research scholar and the guide (s) are required to submit a certificate in this regard.

## 4. ADMISSION REQUIREMENTS

### 4.1 Eligibility

- a) A candidate who wishes to get admitted for the Ph.D. program under full -time/part-time should apply in the prescribed format either by post or online on or before the due date fixed for the same.
- b) Candidates employed in reputed Research and Development Organizations/National Laboratories/ Industries having research and development facilities recognized by the Department of Science and Technology or by the GCU can apply for a part-time Ph.D. Programme. They should have research facilities and qualified guides at their workplace. Vice-Chancellor (VC) shall constitute a committee to visit the place of their parent institution to ascertain the quality of research facilities. Only based on the recommendations of the committee, VC shall permit the registration of the candidates as per regulations.
- c) Faculty members and research staff of GCU who wish to work on a part-time basis for a Ph.D. Degree should also apply in the prescribed form on or before the due date.
- d) Part-time candidates from outside GCU must be a regular faculty of UGC/AICTE approved Degree/ PG level engineering institutes or Scientists/Engineers/ Professionals employed in reputed research organizations/industries/ institutions.
- e) The part-time scholar must complete his/ her residential requirement by attending/completing the course work specified by the DC. Following this, he/she should spend every weekend at GCU to carry out research and to discuss with the research supervisor.

### 4.2 Qualifications

For various schools: School of Sciences/Commerce and Management /Computational Sciences and IT/ Professional Studies/Indian and Foreign Languages/Social Sciences/ Media Studies/Health Sciences:

- a) The applicant holding a Master's Degree or equivalent in the concerned field with not less than 55% of marks or equivalent grade is eligible. However, deserving/exceptional cases may be referred to RIC through RMC.
- b) SC/ST/OBC (non-creamy layer), differently-abled candidates are eligible for a 5% exemption from the prescribed minimum marks.

### 4.3 Residential Requirements

- a) The residential requirement (availability/presence of the scholars in the campus/Department) is essential to build the research atmosphere in the University and completion of the prescribed course work. The fulfillment of the residential requirement has to be certified by DC at the time of submission of his/her synopsis.

- b) The full-time scholar for the Ph.D. program should normally carry out his/her research work at the University. In special cases, depending on the merit of each case, the DC may permit a scholar to do part of his/her work in another institution/organization.
- c) Part-time scholar, as indicated in 4.1(b), shall continue the research at the respective research laboratory and follow the research calendar to conduct the DC meetings.

#### 4.4. Duration of the Program

Ph.D. full -time Programme is for a minimum of 3 years and Part-time for a minimum of 4 years.

##### 4.4.1. Maximum Duration

- a) The maximum period of research shall not exceed five years for full-time candidates and six years for part-time candidates from the date of provisional registration.
- b) However, the RMC may extend the period of submission of the thesis by another one and a half years on valid reasons and the recommendation of the DC. Application for extension beyond the maximum duration of the Ph.D. Programme shall be forwarded to Dean-R&D in the prescribed format along with the recommendation of the DC committee.
- c) The decision of RIC will govern extension beyond the above limits
- d) Research Scholars with Disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

**4.4.2 Early Submission:** If a research scholar desires to submit the thesis prior to the completion of minimum duration, he/she should have:

- a) Completed a minimum of two-and-half/ three-and-half years (for FT/ PT scholars, respectively)
- b) Completed the prescribed coursework as per the requirements successfully
- c) Published two research papers in a journal indexed in (SCI/ SSCI/ESCI/ Scopus ) and at least two research papers in National/International Conferences emanating from the doctoral research work
- d) Outstanding contributions such as grant of patents etc.
- e) Recommendation and approval of DC and RMC

## 5. ADMISSION PROCESS

### 5.1. Initiation

- a) The Dean (R&D) shall collect the information one month before the end of every academic year from all the Chairpersons of the Departments regarding the number of Ph.D. vacancies to be filled up. Once the total number is known, the same is communicated by Dean (R&D) to the Registrar for further action
- b) The Registrar shall create a circular for Ph.D. admissions and notification in two national newspapers. After the due date, all the applications received by the Registrar, will be sent to the Chairperson of the respective departments for scrutiny. The departments shall shortlist the candidates based on the eligibility of the candidates and the requirements at that particular time. The Shortlisted candidates list will be sent to the Registrar, who in turn, will inform them the details of the selection procedure.

### 5.2. Written Test/Interview

- a) Every candidate has to appear for the GCU Research Entrance Examination, interaction with the research supervisor, proposed research presentation, and personal interview at the date and time mentioned in the email sent by the Registrar, GCU
- b) The list of shortlisted/ selected candidates after the selection process is sent to the Registrar. The selected candidates are expected to report to the Registrar's office before the due date for completing the formalities such as verification of the certificates, payment of fee, submission of the

provisional registration form and no objection certificate, etc. The Registrar shall send the list of candidates who have reported to the Dean (R&D) for information. The candidates, after completing the formalities with the Dean (R&D) office, are to report to the concerned Chairperson of the respective Departments. The finalized list of candidates, along with the names of the Research Supervisors and the Doctoral Committee members in the prescribed format, will be sent to the Dean (R&D) for further action by the Chairperson of the respective departments.

- c) The Registrar shall issue provisional registration letters to the research scholars, which contains a provisional registration date and their respective supervisor information.
- d) Immediately after the admission of all the Ph.D. scholars, the Research Supervisor initiates the Conduct of first DC meeting for each candidate as per the 'Rules and Regulations of GCU' using the prescribed format.
- e) A 'Research Calendar' is drawn as described in section 5.5 for each scholar once the Chairperson receives the DC panel of the respective scholar.
- f) The Dean (R&D) shall maintain 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, and the name of his /her supervisor/co-supervisor and date of registration.

### **5.3 Allocation of Research Supervisors**

- a) After the interviews and the selection of candidates, tentative allotment of research scholars to Research Supervisors will be made by the Chairperson of the respective departments and the Dean (R&D), taking into consideration of the preferences of the research scholars and research supervisor with their mutual consent. The list of selected candidates, along with their Research Supervisors, shall be forwarded to the Registrar, who, in turn, forwards the same to the Dean (R&D), after completing all the admission procedures.
- b) If any candidate did not find a suitable Research Supervisor within the Department, he/she could seek for Research Supervisor from within the University. If not, the Chairperson of the respective departments in consultation with the candidate can appoint a Co-Supervisor inside or outside Garden City University. In such cases, an internal Research Supervisor will also be allotted for such candidates by the Chairperson of the respective Departments.
- c) A Research advisor will be allowed to the candidate to seek expertise outside GCU based on the request of the scholar in the prescribed format.

### **5.4. Research Supervisors and their Eligibility Requirements**

- a) Any regular Professor of the Garden City University with Ph.D. and at least five research publications in referred (SCI/ SSCI/ESCI/ Scopus indexed journals / journals listed in UGC CARE list and any regular Associate/Assistant Professor of the University with a Ph.D. Degree and at least two research publications in referred (SCI/ SSCI/ESCI/ Scopus indexed journals / journals listed in UGC CARE list may be recognized as a Research Supervisor.
- b) Provided that in areas/disciplines where there is no or only a limited number of referred journals, the University may relax the above condition for recognition of a faculty member as a Research Supervisor with reasons recorded in writing.
- c) Only full- time regular teachers of the university can be Supervisors. The external supervisors are not allowed. However, Co-supervisor can be allowed in inter-disciplinary areas from other departments or other related institutions with the approval of DC.
- d) The Chairperson of the department shall decide the allocation of Research Supervisor for a selected research scholar and Dean (R&D) depending on the eligible number of scholars per Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview.
- e) In case of topics which are inter-disciplinary where the department concerned feels that the expertise in the Department has to be supplemented from outside, the department may appoint a



Research Supervisor from the department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/University . This will be on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Industry.

- f) A Research Supervisor/Co-supervisor, who is a Professor at any given point of time, cannot guide more than Eight (8) Ph.D. Scholars. 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.
- g) In case of relocation of Ph.D. woman scholar due to personal reasons like marriage or related reasons, 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 will, however, give due credit to the parent guide and the institution for the part of research already done.
- h) Any change of Research Supervisor (s) under appropriate request, either from the Research Supervisor or from the scholar, the DC will evaluate the merit of the case and may recommend the same to the RMC for approval.
- i) Research Advisor shall be allocated to a scholar based on the nature of guidance required for the scholar to complete the research. The Research advisor requisition shall be forwarded to Dean-R&D through proper channel.
- j) The unsatisfactory performance of the scholar shall be reported to the Dean-R&D using the prescribed format.

## **5.5. Research Calendar**

The Research Calendar specifies for a scholar regarding his/ her course work schedules, timelines for finishing the course work, stages of research work, monthly progress report submissions, research performance assessment report submissions, research/review seminars, pre-synopsis submission colloquium, submission of synopsis and submission of the final thesis. The DC will keep track of the progress of the scholar based on his/her Research Calendar and suggest suitable remedial actions as and when required. In addition, research scholar communications shall be maintained by the respective supervisors in the prescribed format.

## **5.6. Fees**

### **Particulars**

On selection for admission, candidates shall be required to pay the prescribed fee as determined by the University from time to time. The fee and caution deposits have to be paid on or before the stipulated dates regularly every semester, till the successful completion of the program and submission of thesis or cancellation of the admission as is the case maybe. If the fee is not paid by the stipulated date, a late fee will be levied. Nonpayment of the prescribed fee beyond the extended due date will lead to the cancellation of registration without any notice.

## **6. REGISTRATION**

### **6.1. Mode of Registration**

The GCU shall admit students to the research program to award Ph.D. Degree under the following modes/categories.

#### **6.1.1 Full-time**

Students under this category shall work full time for Ph.D. course work and may receive assistantship from the University or fellowship from external agencies like CSIR/ UGC or any other recognized funding agency or maybe self-financed. The candidate is expected to carry out his/her research at least 08 (eight) hours/ per day in the University campus only. The department shall maintain the attendance of the research scholars.

## 6.1.2 Part-time

Candidates employed (full time) in Academic Institutions/Universities (including GCU)/R&D organizations recognized by a Regulatory Body or Industries that have facilities for research (approved by GCU) may be considered for admission into the Ph.D. program of the University, under the supervision of a Research Supervisor from GCU, through the normal admission procedure. They shall fulfill the stipulated eligibility and other requirements for Ph.D. admission. The research scholars are expected to meet their Research Supervisors during weekends or the time specified by the research supervisor for guidance.

## 6.2 Change of Registration Mode

- a) A student admitted to a part-time registration program may be allowed to change his/her registration to full time on the recommendation of the DC and with the approval of the RMC. However, for such cases, the maximum duration of the program will be decided by the RMC case by case.
- b) Similarly, a student admitted to a full-time Ph.D. program may be permitted to change his/her registration to part-time based on a request from him/her, provided:
  - I. He/she has completed the prescribed course works.
  - II. The request is endorsed by the Research Supervisors and the DC.
  - III. 'No Objection Certificate (NOC)' is obtained from the Chairperson/ Dean of the Institution/ University/ Organization, which he/ she propose to join.

## 6.3 Confirmation of Registration

The Registrar shall issue the 'Provisional Registration confirmation letter' to each research scholar after successful clearance of the comprehensive examination based on the recommendation of DC and Dean (R&D). The 'Provisional Registration confirmation letter' shall contain Ph.D. registration number, Ph.D. registration date, date of the provisional registration confirmation, the title of the research, and mode of the research (Part-Time/Full Time) along with research scholar and respective research supervisor information.

## 6.4 Cancellation of Registration

The registration of a research scholar shall be cancelled by the RMC, under any one of the following conditions, based on the recommendation of the DC:

- I. The progress is not satisfactory for one years consecutively
- II. He/She has not duly registered for any semester / fails to submit the progress report
- III. He/she has not submitted the thesis by the end of the extended period as per prescribed norms
- IV. Fails to clear the prescribed course with a minimum of 60% marks in two attempts

## 6.5 Change of Title/Research Supervisor

- a) A candidate desiring to change the title of the thesis shall apply to the Dean-(R&D) as per the standard format through the Research Supervisor after paying the prescribed fee.
- b) The Dean-R&D shall seek the opinion of the Doctoral Committee for the change of title. Such a change can be permitted any time before the Pre-synopsis Submission Colloquium
- c) If a candidate decides to change the topic/theme of research, his / her registration stands cancelled, and the candidate has to undergo the Provisional Registration process again.
- d) Generally, the change of the Research Supervisor is not permissible. It may be permitted only under exceptional circumstances such as death/disability / other medical conditions of the Research

Supervisor or legal actions on the Research Supervisor by the University. However, if there is any written complaint about the conflict between the Research Supervisor and the candidate, the Dean-R&D shall refer the matter to a Committee constituted by the University whose decision has to be placed before the Vice-Chancellor / Registrar for the final decision

## 7. COURSE WORK

The Ph.D. Programme is aimed at giving a broad-based training in the concerned field in addition to specialization in a particular area. As part of the requirements of the Ph.D. Programme, the scholar has to undertake the course work. The course work consists of studying three discipline-specific courses that are prescribed by the DC.

The course work matrix details are given below:

Course	Credits	Hours	CIA	ESE	Total Marks
Course-I	4	60	40	60	100
Course-II	4	60	40	60	100
Course-III	4	60	40	60	100
Total	12				300

The credit assigned to the Ph.D. course work shall be a minimum of 12 credits and a maximum of 16 credits. All candidates admitted to the Ph.D. Programme shall be required to complete the course work successfully as prescribed by the Doctoral committee during the initial one or two semesters.

## 8. PROGRESS OF THE RESEARCH SCHOLAR

- a) Every research scholar shall appear before the Doctoral Committee once a year once to make a presentation of the progress of his/her work for evaluation and further guidance.
- b) The Research Performance Assessment Report in the prescribed format shall be submitted to the Doctoral Committee by the research scholar for evaluation, comments, and guidance during the meeting.
- c) Along with the Research Performance Assessment Report submitted by the scholar, appropriate suggestions made by the Doctoral Committee shall be included and duly signed and submitted to the Dean (R&D) for the record. A copy of the same shall be retained in the concerned department for reference.
- d) Every research scholar shall appear before the Ph.D. Research Performance Evaluation committee once in six months to make a presentation of the progress of his/her research work for evaluation. The RMC Secretary will form the evaluation committee in consultation with the Dean (R&D)
- e) The Scholars shall follow a formal leave application process for availing any leave. Leave without approval shall be liable for disciplinary action and in severe cases, may lead to cancellation of the registration.
- f) The Scholars shall submit the monthly progress report in the prescribed format on or before the 3<sup>rd</sup> of every month.
- g) The Scholars shall submit the Ph.D. Registration renewal and registration declaration form after paying the fees every semester.
- h) The Scholars shall submit the Provisional Registration confirmation details in the prescribed formats to Dean (R&D) to process the issue of the confirmation letter.
- i) The Scholars shall register for the courses prescribed by the Doctoral committee panel in the prescribed course work registration format.
- j) The Scholars shall apply for approval of the journal for publication if the research paper is a part of the eligibility requirement to submit a synopsis.

## **9. PRE- SYNOPSIS SUBMISSION COLLOQUIUM**

It is mandatory for every scholar, prior to the submission of the synopsis, to make a pre- synopsis submission colloquium in the department before the Doctoral Committee, which shall also be open to all faculty members, research scholars and other interested stakeholders. The colloquium announcement shall be circulated well in advance. The attendance list of the participants and review report shall be submitted to the Dean (R&D). The feedback/suggestions and comments obtained during the pre- synopsis submission colloquium may be suitably incorporated in the synopsis/thesis in consultation with the Research Supervisor. After a successful presentation in the pre-synopsis submission colloquium and incorporating all the suggestions made, the research scholar may be allowed for the submission of the synopsis of the thesis with the approval of the Research Supervisor through the Chairperson of the respective Departments concerned to the Dean (R&D).

During the pre- synopsis submission colloquium, the presentation must cover the following aspects.

- a) Objectives and scope of the study
- b) Literature review
- c) Identification of the research gaps based on literature review.
- d) Problem formulation
- e) Conceptual Model and Research methodology
- f) Experimentation/ Data collection/Analysis
- g) General conclusions
- h) Specific contributions and conclusions
- i) Details of publications in journals and conferences
- j) Further scope of research
- k) References

## **10. SYNOPSIS OF THE THESIS**

- a) After successful completion of all the prescribed courses, pre- synopsis submission colloquium and on satisfactory completion of the research work carried out, the candidate shall submit ten copies of the synopsis of the Ph.D. thesis in the prescribed formats to the Dean - R&D through the Research Supervisor and Chairperson of the respective Departments. A copy of the fees paid for the thesis evaluation shall be submitted along with all the forms prescribed for synopsis submission.
- b) The synopsis shall be accepted only when the research scholar has at least two papers published in a (SCI/ SSCI/ESCI/ Scopus indexed journals / journals listed in UGC CARE list and at least two papers published in the International/National conference proceedings.

## **11. PREPARATION AND SUBMISSION OF Ph.D. THESIS**

- a) The thesis shall be prepared in an organized and scholarly fashion with an account of the original research work of the candidate leading to new techniques or correlation of facts already known (analytical, experimental, etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge. It should as well exhibit the candidate's ability to undertake independent research and appropriately present the findings with actual accomplishments of the work, plainly stated and honestly appraised.
- b) Five copies of the thesis shall be submitted to the Dean-R&D through the Research Supervisor and the Chairperson of the respective department in accordance with the format and specifications prescribed. The thesis shall be submitted within two months from the date of approval of the synopsis by DC.
- c) The thesis shall include a certificate from the concerned research supervisor (and co-supervisor, if any) to the effect that the thesis is a record of bonafide research work carried out by the

candidate under his/her/their supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a Degree or a diploma.

- d) The candidate shall submit a no dues certificate from all concerned and other prescribed formats during the submission of the thesis.

## 12. ADJUDICATION OF THE THESIS

- a) For the adjudication of the Ph.D. thesis, there shall be a Board of Adjudicators consisting of the Research Supervisor as Chairperson and two external members to be chosen by the Vice-Chancellor from the panel of eight examiners (four from India and four from abroad) which is approved and forwarded by the DC through Dean-R&D
- b) The thesis shall be forwarded by the Dean - R&D to the two examiners (One Indian external examiner, and one foreign examiner), selected by the Vice-Chancellor from the suggested panel of examiners.
- c) The Dean - R&D shall take the necessary steps to get the reports from the examiners as quickly as possible. The examiners are expected to send their reports in the prescribed format within two months from the date of receipt of the thesis. If not, the Dean (R&D) shall inform the concerned examiner and can send the thesis to alternate examiner approved/ appointed by Vice-Chancellor.
- d) The examiner shall include in his/her report an overall assessment, in the prescribed format, placing the thesis in one of the following categories:
- I. Recommended for the award of the Degree of Doctor of Philosophy: Highly recommended/ recommended
  - II. Revision required (need not be resubmitted)
  - III. Revised thesis be resubmitted
  - IV. Rejected
- e) If both the examiners recommended for the award of the Degree, the thesis shall be provisionally accepted. Any minor revisions, modifications, etc., suggested by the examiners shall be addressed/ answered by the candidate in the 'action taken report' (ATR) and shall be presented through the Research Supervisor during the public viva-voce examination. The same shall be appropriately included in the final copy of the thesis.
- f) If both the examiners recommends rejection, the thesis shall be rejected, and the registration of the research scholar shall be cancelled.
- g) The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of the external examiner in the case of the Ph.D. thesis is unsatisfactory and does not recommend viva-voce, the Dean (R&D) shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners as recommended by the Vice-Chancellor. The viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the Degree.
- h) The comments of the external examiners of the thesis shall be sent to the Research Supervisor as soon as they are received, for necessary action, and to prepare an Action Taken Report (ATR). The ATR is prepared by the research scholar for the comments/ queries made by the external thesis examiners and are presented to the Chairperson of the Board of Adjudicators Committee and the external examiner during the public viva-voce examination for their approval. The same shall be incorporated in the thesis, and the research scholar shall submit the revised copies of the thesis with the approval of the Doctoral Committee to the Chairperson of the respective Departments, Library, and Dean (R&D) for records.
- i) Individual cases not covered by the above clauses shall be referred to the RMC. On deemed fit reasons, the RMC, in turn, shall refer to the DC, if necessary.



## 13. PUBLIC VIVA-VOCE EXAMINATION

- a) After the receipt of the Evaluation as mentioned above and Consolidated Reports from the Board of Adjudicators of the thesis, the Dean-R&D shall ask the Chairperson of the Doctoral Committee of the concerned scholar to conduct an open (public) viva-voce examination in the presence of the members of the Viva Voce examiner, members of the concerned Faculty, research scholars and students by giving wide publicity through a viva voce notification.
- b) The proceedings of this meeting and the original evaluation and consolidated reports shall be sent to the Dean-R&D within three days, and the Dean-R&D has to notify the declaration of the results within two weeks after getting approval from the Vice-Chancellor.
- c) In case of the death/disability / non-availability of the Research Supervisor, the Vice-Chancellor may nominate a member from the Panel of Examiners / Chairperson of respective DC to act as the Chairperson, Board of Adjudicators of the thesis to adjudicate the thesis and to conduct the viva-voce Examination.

## 14. Ph.D. RESULT NOTIFICATION AND AWARD

Prior to the actual award of the degree during the annual convocation, the University shall issue a Provisional Certificate to the effect that the degree has been awarded in accordance with the provisions of UGC Regulations, 2016.

The Ph.D. Declaration Notification by the Dean-R&D after getting approval from the Vice-Chancellor and shall be on the Official Letter Head and shall contain

- a) The name of the research scholar
- b) The Discipline / Subject of the Ph.D.
- c) The names of Research Supervisor/ Co- Supervisor, if any
- d) The name of the School and the Department where the research work was carried out
- e) The title of the Thesis

## 15. PUBLICATION OF THESIS

- a) A copy of the thesis and e-copy shall be sent to the library reference section.
- b) Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. Degree(s), the University concerned shall submit an electronic copy of the Ph.D. /thesis to the INFLIBNET, for hosting the same to make it accessible to all Institutions/ colleges/ universities.
- c) The Scholars desiring to publish the thesis shall send the application to Dean (R&D) to get formal approval in the prescribed format.

## 16. ETHICAL POLICY

### 16.1 Academic Integrity in Research

#### 16.1.1 Code of Practice

The University expects all members of the University, including staff and students, and those who are not members of the University but conducting research on the university premises to conduct themselves in tune with the set ethical framework of the University. In pursuance of such high standards, they must:

- a) Be honest in proposing, performing, and reporting research. They should strive to ensure the accuracy of research data results and acknowledge the contributions of others.
- b) Acquaint themselves with guidance as to best research practice and standards of integrity;
- c) Comply with ethical and legal obligations as required by statutory and regulatory authorities,

including seeking ethical review and approval for research as appropriate. They should ensure that any research undertaken complies with the agreements, terms, and conditions relating to the project, and allows for proper governance and transparency.

- d) Seek to ensure the safety, dignity, wellbeing, and rights of those associated with the research.
- e) Effectively and transparently manage any conflicts of interest, whether actual or potential, reporting these to the appropriate authority as necessary.
- f) The ethics committee shall approve all the proposed research in the prescribed 'Research Ethical Clearance Application' after complete scrutiny. The ethics committee shall issue a research ethical clearance certificate. The research ethical clearance review form shall be submitted to Dean-R&D. It is mandatory for all the Ph.D. Research Scholars to get ethical clearance certificate before the actual study, if applicable.

### **16.1.2 Misconduct in Research**

Misconduct in Research is the actual or attempted acts of fabrication, falsification, plagiarism or deception when proposing, conducting or reporting results of research, or deliberate, dangerous, reckless or negligent deviations from accepted practices in carrying out research. It includes the failure to follow established protocols that leads to unreasonable risk or harm to humans, other vertebrates or the environment, or the misconduct in research by collusion in, or concealment of, such actions by others.

### **16.1.3 Responsibility**

All members of the University and individuals permitted to work on University premises or use University facilities have a responsibility to report any well-founded allegations of misconduct in research, whether this has been witnessed, or is suspected. Suspicions reported in confidence and in good faith will not lead to disciplinary proceedings against the person making the complaint.

## **16.2. Intellectual Property Rights & Support**

Scholars desiring to know about patenting opportunities and process of patenting shall contact Coordinator-GCU IPR Cell.

### **16.3 Plagiarism Check**

In case of any malpractice such as plagiarism are reported/ observed and proved, the DC shall recommend that the thesis submitted for the award of Ph.D. Degree shall be forfeited, and his/her research registration shall be terminated. He/ She shall be debarred to register for any other program in GCU. All the research publications, which are pre-requisites for synopsis submission, synopsis and thesis shall include plagiarism check report before the formal submission. Scholar shall contact COE, Garden City University to generate the through the research supervisor.

## **17. Power to Modify**

Notwithstanding anything mentioned in the above-said rules and regulations, the Research and Innovation Council (RIC) reserves the right to modify any part or all of the above-said regulations from time to time, and necessary approval from the Board of Management will be taken. Any situations which are not part of the regulations will be discussed in (RIC) meeting, and the decision of the (RIC) will be final. The Scholars are expected to follow all the instructions and communications issued by the competent authority at any given point of the time. No excuse will be entertained if the scholar has not adhered to the regulations prevailing at any point of the time.



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