



NEHRU GRAM BHARATI

(DEEMED TO BE UNIVERSITY)

Kotwa-Jamunipur-Dubawal, Prayagraj-221505, Uttar Pradesh (INDIA)

(Deemed to be University U/s-3 of UGC Act 1956)

Administrative Office :

Hanumanganj Campus,

G.T. Road, Hanumanganj, Prayagraj-221505,

Uttar Pradesh

Email : info.ngbu@gmail.com

Ref: NGB(DU)-I/GA-147OCA-055/ 9922

Date: 03.11.2023

NOTIFICATION

Subject – Notification of Ordinance XXXVIII for Ph.D. Programme.

In pursuance of the recommendation of the Board of Management (Resolution on the Agenda No. 2 of the meeting held on 22.07.2023) and the Academic Council (Resolution on the Agenda No. 07 of the meeting held on 14.07.2023) and approval dated 02.09.2023/03.11.2023 of the Hon'ble Vice Chancellor, the Research Ordinance for Nehru Gram Bharati (Deemed to be University), Prayagraj bearing no. XXXVIII is hereby notified.

This ordinance is in consonance with the UGC's Regulation of 2022 on the matter and supersedes any, and all Research Ordinance(s) enforced earlier.

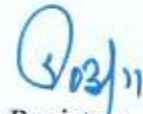
This comes into force from the date of its notification and covers the operation of Ph.D. Programme in the University.

Enclosure: PDF file of the above Ordinance.


(R. L. Vishwakarma)
Registrar

Copy to following for information/necessary action please:

1. P.A. to the VC for kind information of the Hon'ble Vice Chancellor.
2. P.A. to the Pro VC for kind information of the Hon'ble Pro Vice Chancellor.
3. Joint Registrar/Dy. Registrar (Finance), NGB(DU), Prayagraj.
4. All Deans/Directors/Heads, NGB (DU), Prayagraj.
5. Controller of Examination, NGB(DU), Prayagraj.
6. All the Supervisors, NGB(DU), Prayagraj.
7. Mr. Ashok Srivastava, Computer Superintendent for updation in website.
8. Guard File.


Registrar

Final
office copy

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03/11/2023

Appendix 1

Nehru Gram Bharati

(Deemed to be University)

Kotwa-Jamunipur, Dubawal, Prayagraj, [U.P.]-221505



Ordinance XXXVIII to XLII 2023

Updation of RDAC 3rd Meeting on April 12th, 2023

To enable our Ph.D. Ordinance Conform To

UGC Regulations Gazzeted Dated 7th Nov. 2022

ORDINANCE XXXVIII

Resinipathu
3-11-23

THE ORGANISATION AND CONDUCT OF RESEARCH ORDINANCE

1. (a) Subject to the provisions of sub-clause (b), Research Degree Programmes may be offered by the Departments under the Faculties and by such institutions maintained by the University and admitted to its privileges, and such Schools, as are eligible under the provisions of the Ordinances and Regulations governing them to conduct research degree programmes.
- (b) Such academic units, i.e., such Departments under the Faculties of the University, such institutions maintained by or admitted to the privileges of the University, and such Schools, eligible to offer research degree programmes under the provisions of sub-clause (a), as were conducting research degree programmes on the date immediately before the commencement of this Ordinance, shall continue to conduct the same, subject to the power of the Academic Council to regulate, and also in appropriate cases to discontinue, the conduct of such programmes by any such academic unit.
- (c) An academic unit, as specified in sub-clause (b), that was eligible to offer Research Degree Programmes but not conducting the same on the date immediately before the commencement of this Ordinance, *may* conduct such programmes, with the approval of the Academic Council *jointly with those already running the programme for interdisciplinary/trans disciplinary areas..*
- (d) approval of the Academic Council referred to in sub-clause (c) shall be granted in accordance with the provisions laid down by it by Regulations.

Research degree programmes shall be instituted and governed by Ordinances, and the detailed provisions, including inter alia, the qualifications for the admission of students to the same, the qualifications of the teachers entitled to guide the research work, as supervisor or co-supervisors, of such students, the standards of research work to be conducted by such students for the Research Degree Programmes to which they have been admitted, and other relevant matters and aspects in respect thereof, as may be specified by the Academic Council by Regulations from time to time.

IQAC Directorate will take a prior stock of maintenance status of Research faculty, journals, books etc of library, e – library, central Instrumentation Lab, Research collaborations, Lab & Facilities, cabins for research scholars duly equipped with Internet connectivity, IPR Applications Grants etc and recommend its findings to the Academic Council in its 1st yearly meeting and Administration for timely dress up. Academic Council will also record in its annual meeting (1st of the Academic year) that appropriate research infrastructures – faculty, central library/ e-library, central instrumentation or other experiment labs/ fields, research scholars Cell, equipped with computers and internet

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connectivity are duly available and maintained for ensuring ambience for research and development along with seed money & IPR protection to ensure innovations startup and entrepreneurship development. Not with standing anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct Ph.D. programme through distance education mode/online mode. Candidates in service shall be allowed to do Ph.D. provided all the eligibility conditions mentioned in the extant Ph.D. Regulations are met.

ORDINANCE XXXIX

THE DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAMME

(Amended in accordance with UGC Minimum Standards and Procedures for the Award of Ph.D. Degree Regulations 2016 and its sub-segment amendment dated 27.08.2018 (1st Amendment) and amendment dated 16.10.2018 (2nd Amendment). In Supersession of the UGC (Minimum standards and procedure for award of M.Phil/Ph.D. Degree regulation 2009) notified in the gazette of India vide no. 28, part-III section-4 for the week July- 11, July-17, 2009 AND ITS COMPLIANCE VIDE ITS CIRCULAR no. f.1-2/2009 (EC/PS) V(I) Vol. II- In exercise of the powers conferred by clause (f) and (g) of sub-section (1) of section 26 of the University Grants Commission Act, 1956 (3 of 1956). Nehru Gram Bharati (Deemed to be University) adopts the following revised regulations with immediate effect. So as to conform to the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations as Gazzetted Dated 7th November 2022. Abbreviations used in this document are defined as below. *It was noted noted that whereas NEP 2020 was announced by the Govt. in year 2020, UGC (Minimum Standard and Procedures for Award of Ph.D. Degree) Regulations were gazetted on 7th Nov. 2022 and thus latter has included major concerns of NEP 2020 in regard to award of Ph.D. Degree.*

DRC: Doctoral (*Departmental*) Research Committee – It is regulated by concerned Faculty Board, A Doctoral (*Departmental*) Research Committee will comprise of Head of the Department as a Chairman and all the Ph.D. Supervisors in the Department as its members. *It may also comprise of external expert(s) if concerned Department does not have any Ph.D. supervisor other than HoD. Minimum Four (4) Members shall constitute DRC.*

PSP: Pre-Thesis Submission Presentation – An event of presenting the draft thesis by a Ph.D. candidate to DRC and other interested Faculty members on invitation after the *in principle* acceptance of the draft thesis to conform basic standards of a thesis – content, getup and Plagiarism Report from the IPR Cell.

PSP Check-List: A Check-List used for obtaining the response of a Ph.D. candidate for his/her PSP to test whether Draft Thesis has acceptable getup and is free from Plagiarism as checked by IPR (Intellectual Property Rights) Cell of the Deemed to be University. This along with standard

"Declaration by the Candidate" and "Certificate of the Supervisor" to be included in the Draft Thesis are available on www.ngbv.ac.in for free access by the Ph.D. candidates.

Administrative Check-List: A Check-List maintained by the Deemed to be University as a Ph.D. Candidate's individual file for compliance of all the requirements for final Viva-Voce of the candidate in respect of his *profile*, Six Monthly Progress Reports, Research Publications, Fees, Tenure for completion of the Ph.D. work etc.

Adjunct Faculty: means a part-time or contingent instructor, but not full time faculty member hired to teach by Higher Educational Institution;

Cumulative Grade Point Average (CGPA) means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expected up to two decimal places.

"Course" means one of the specified units which go to comprise a programme of study.

"Course work" means courses of study prescribed by the School/ Department/ Centre to be undertaken by a student registered for the Ph.D. Degree.

Guide / Research Supervisor" means an academician / researcher recognized by Higher Educational Institution to supervise the Ph.D. Scholar for his / her research.

"Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines.

"Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. Programme.

RDC: Research Degree Committee / Research Advisory Committee – A committee as defined in Para 12 in this document responsible for overall functioning right from admission upto the grant of the Ph.D. *degree* to a candidate in accordance with this Ordinance. This will be regulated by the Academic Council.

Plagiarism: An act of stealing someone else's work and attempting to "pass it off" as your own without acknowledgement / referencing.

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ARIAC: Annual Research Integrity Assessment Committee—A Committee as notified by the Registrar to get in person presentation by each Ph.D. Scholar upto the stage of reaching PSP, once every year for recording on a duly notified Check-List filled in by the Candidate its remarks in regard to the *responsible conduct and integrity* of the Research work as *pursued* so far and to be corrected in future.

1. ELIGIBILITY FOR ADMISSION:

The following are eligible to seek admission to the Ph.D. programme:

(1) *Candidates who have completed:*

i. *1-year/2-semester master's degree programme in concerned subject or in a cognate or allied/interdisciplinary subject after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme in concerned subject or in a cognate or allied/interdisciplinary subject after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed*

or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled (Minimum 40% disability), Economically Weaker Section (EWS) and other categories of candidates as per the decision of the University Grants Commission from time to time. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying mark without including the grace marks procedure.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(ii) *Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of*

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candidates as per the decision of the Nehru Gram Bharati (Deemed to be University) from time to time.

- (i) *Provided that any question, as to whether the subject professed by the applicant is a cognate or an allied subject, shall be referred to the Academic Council for decision.*
- (ii) *An applicant in employment shall not be considered for admission to the Ph.D. programme, except upon submitting a 'No Objection' Certificate of his/her employer. In continuation, such students have to submit their "No Objection Certificate" from their employer not only for completion of the Pre Ph.D. course work, but also during the tenure period for completion of the Ph.D. after completing the Pre Ph.D. Course work.*
- (iii) *Has submitted an application, on the prescribed form approved by the academic council and according to the regulation laid down by it.*

Provided that an applicant in employment shall be subject to the provisions of sub- clause (iii).
- (iv) *Has qualified in a preliminary test of assessment (hereafter in this Ordinance referred to as "the eligibility test"), organized by the Deemed to be University for the purpose of admission to the Ph.D. programme.*
- (v) *The registration to the Ph.D. programme of NGB(DU) signifies that she/he has accepted the conditions and guidelines set out in the policies and that she/he commits her/himself to respect of all aspects of research throughout the programme on which she/he has registered.*

2. Procedure for admission. -

- (1) *The admission shall be based on the criteria notified by Nehru Gram Bharati (Deemed to be University), keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.*

Admission to the Ph.D. Programme through CRET notification with available vacancy in each subject given separately will be notified in local English & Hindi Dailies as well as in National Newspapers of the North India.

The Ph.D. Ordinance covering all aspects of Ph.D. Programme is available on the website of the Deemed to be University: www.ngbv.ac.in.

- (2) *Admission to the Ph.D. programme shall be made using the following methods:*
 - i. *Nehru Gram Bharati (Deemed to be University) will admit students through an Entrance Test conducted at the level of NGB (DU). The Entrance Test syllabus shall consist of 50% of Research Methodology and 50% shall be subject-specific.*

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- ii. Candidate will be admitted to Ph.D. programme through an Entrance Test. Provided that for the selection of candidates based on the entrance test conducted by the Nehru Gram Bharati (Deemed to be University), a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

Bonus Marks in the following categories may be awarded on total percentage score of the PG marks secured by the candidate:

- (a) A student having PG Degree from Nehru Gram Bharati (Deemed to be University) University will get 10% of percentage of marks of para (2) ii. above as bonus over the entrance examination score.
- (b) UGC-NET (LS) / UGC-CSIR (LS) / SLET / GATE / CEED qualified candidates will get 10% of marks of para (2) ii. above as bonus and, UGC-NET JRF / UGC-CSIR JRF / ICMR-JRF qualified candidates will get 20% of their marks of para (2) ii. as above as bonus.
- (c) Research fellow in an externally funded research project of two or more years duration will get additional 10% of their marks of para (2) ii. as above as bonus.
- (d) Candidates with M.Phil. Degree as per UGC regulations (Minimum Standard and procedure for award of M.Phil./Ph.D. Degrees, 2016 and its subsequent amendments) will get 10% of their coursework grade / percentage of marks as bonus.
- (e) SC/ST/OBC/EWS/Differently-abled (Min. 40% disability) Category candidates will get 5% marks as bonus.

A candidate may avail bonus marks from the above categories cumulatively up to maximum ceiling of 30%. These will be included at the time of preparation of Merit List.

- iii. Students who have secured 50 % marks in the entrance test as above are eligible to be called for the interview.
- v. Nehru Gram Bharati (Deemed to be University) may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- vi. The final Merit List will be prepared based on current Reservation Policy of the Government.
- viii. Fees applicable as per university norms per annum will be applicable right from the year of the Admission up to the year in which final thesis in five copies is deposited by the Ph.D. Scholar to the University. The date of the first fee receipt issued by the NGB (DU) shall be recall as the date of start of the Ph.D. Programme of a student.
3. **Duration of the Programme.-** (1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- (2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Nehru Gram Bharati (Deemed to be University); provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date

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of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- (3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme

4. PRE Ph.D. COURSE:

- (a) Course work of at least one semester shall be the pre-requisite for the Ph.D. Degree registration. This will include a course as approved for the subject concerned. The Research Scholar's 75% attendance is mandatory for the Course Work. However, a relaxation of 15% in the attendance may be granted by the Hon'ble Vice Chancellor for the justified reasons.
- (b) All applicants admitted to the Ph.D. programme shall fulfill the minimum requirement of residence of 30 months in the recognized center by the Deemed to be University after qualifying the Ph.D. coursework wef their registration in Ph.D. Programme i.e; the date of the first fee receipt after counseling.

COURSE WORK:

- (i) The Course work shall consist of the following four papers of 4 credits each for all the new entrants to the Ph.D. Programme.

<i>Ph.D. Course Work Profile</i>		
<i>S. No.</i>	<i>Course Name</i>	<i>No. of Credits</i>
1	Research Methodology	4
2.1	Research and Publication Ethics	2

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2.2	GRAM PRAWAS and Viva Vice	2
3	Computer Applications	4
4	Specific Subject Research Advancements / Research Thrust Presentation or Elective Paper – "Advanced Computer Applications" (AI, Neural Networks & Machine Learning)	4

4.1 Examination and Evaluation of the course-work:

- (a) Students shall compulsorily attend the course work, failing which they will not be allowed to appear in the end semester examination. *In case he/she has been totally absent in his/her 6 months course work or failed in more than 2 modules, he/she may be allowed to reregister in next batch of Coursework only once. Their score of attendance, Gram Pravas, assignment etc will carry forward as such. Others will be allowed to appear in upto 2 modules with rest of batch including students who could not attend the course work due to medical reason or under extraordinary circumstance or have less attendance in the crash course. For student sort of attendance on such grounds, a separate test may be conducted after their attending this one month intensive/crash course work with the permission of Hon'ble Vice Chancellor/Pro VC as recommended by Coordinator Coursework. A prescribed fee by the Deemed to be University will be charged from such students attending the crash course. If time permits, examination of crash course qualified students may be held alongwith those who already qualified for 75% attendance criteria. Thus the total fees for coursework once deposited by such a scholar will be valid for consecutive two examinations.*

This intensive coursework of 1 month duration will be also available to previous batch students failing in maximum 2 modules or allowed on medical grounds/maternity leave/extra ordinary reasons duly recorded and approved on his/her file. Others of previous batch will have to reregister and complete the coursework alongwith current batch. Their scores of attendance, Gram Pravas assignments etc will however carry forward in the current batch. The sessional

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marks obtained by *such* students shall be also carried over for declaring the result.

(b) There shall be one End semester examination at the end of the semester only. This will be of *1 (one)* hours duration for each *4 credit* course covering its entire syllabus prescribed for the course. The End semester examination shall be normally a written semester based examination. The End semester examination and evaluation shall be conducted by the Deemed to be University within 9 months from the date of commencement of the coursework.

(c) A candidate who has less than 75% attendance shall not be permitted to sit in examination. However, it shall be open to the V.C. to grant exemption to a candidate who has failed to obtain the prescribed 75% attendance for valid reasons on payment of prescribed fee and such exemptions shall not under any circumstances be granted for attendance below 60% *duly recording the grounds e.g. maternity leave, medical leave or extra ordinary leave.*

Concerned faculty may give due weightage in completion of the attendance for completion of assignments, submission of State of Art (SoA) Search Reports on given topic and successful completion of Mid Sem exam as approved by the Vice Chancellor/Pro Vice Chancellor.

(d) The Course Coordinator of the Ph.D. Course Work shall announce the names of all students who will not be eligible to take the examination. The list of successful candidates will be sent by him to Controller of Examinations for conducting the final examination of the Course Work under intimation to Dir. (Research Centre).

4.2 **Marks and Grading of the course-work:**

(a) A candidate has to secure a minimum of 55 percent of marks or Letter Grade "B" in six point scale in End semester Examination in the course to pass in that course. A candidate who has not secured a minimum of 55 percent of marks or Letter Grade "B" in six point scale in a course shall be deemed to have failed in that course. A failed student shall be allowed to repeat the semester examination for a maximum of one time and he/she has to pass the Pre Ph.D. course before being registered in the Ph.D. Programme.

(b) The percentage of marks obtained by a student in a course will be indicated by a grade point and a letter grade. A ten (10) point scale shall be used for the evaluation of the performance of the student as given below:

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MARKS out of 100	GRADE POINT	LETTER GRADE
80-100	6.00 or above	O
70-79	5.00-5.99	A+
65-69	4.50-4.99	A
60-64	4.00-4.49	B+
55-59	3.50-3.99	B
BELOW 55%	0.00-3.49	F

- (c) The system of evaluation shall be transparent and students shall have the right to examine their marked answer scripts *against payment of fees specified by the Deemed to be University.*
5. **QUALIFICATIONS AND APPOINTMENT OF THE SUPERVISOR AND CO-SUPERVISOR:**
- No person shall be recommended for appointment as the Supervisor of a candidate if he/she does not have the expertise in, or knowledge of, the relevant subject or area of research and holds a Ph.D./D.Phil. degree in the subject and has been teaching and doing research in the Deemed to be University.
 - The regularly appointed faculty members of the Deemed to be university may be appointed as Research Supervisor having knowledge in the concerned research domain.
 - Any regular Professor of the Deemed to be University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the Deemed to be University with a Ph.D. degree and at least three research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Deemed to be University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
Co-Supervisors within the same departments or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
Adjunct Faculty members shall not act as Research Supervisors and can only act as Co-Supervisors.
 - Co-Supervisors within the same departments or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.*
Adjunct Faculty members shall not act as Research Supervisors and can only act as Co-Supervisors.
 - In case of topics which are of inter-disciplinary nature where the Department concerned feels*

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that the expertise in the Department/Cognate 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/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

In case of interdisciplinary/ multidisciplinary Research work, if required, a Co-Supervisor from outside the Department / School / Centre / College / University may be appointed.

The Interview/Viva-voce, for deciding the topic and the supervisor (s), the departmental research committee (DRC) shall also consider the synopsis (es) of the candidate in regard to the following aspects:

- (a) Research Aptitude and
- (b) Orientation of the Candidate towards research.
- (c) *A presentation of the candidate will be organized by the DRC where in a candidate is required to discuss his/her research interest/area and synopsis through a presentation. The selection of final topic and the supervisor shall be based on his/her presentation and research area of interest.*
- (d) *The DRC shall also consider the following aspects, viz. whether:*
 - (1) *the candidate possesses the competence for the proposed research;*
 - (2) *the research work can be suitably undertaken at the Deemed to be Institution; The research topic is relevant;*
- f. The allocation of Research Supervisor for a selected research scholar shall be decided by the Doctoral (Departmental) Research Committee (DRC) of the concerned Department depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
- g. 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.

Normally in each academic session, two Research Scholars shall be allotted to a Research Supervisor but in special circumstances, more Research Scholars, up to the limit prescribed above may be allotted. Subject to vacancy of seats this will be executed with the approval of

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the DRC and the Vice Chancellor.

- h. In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent *Deemed to be University/supervisor* from any funding agency. The scholar, however, will have to give due credit *in the future* to the parent guide and the institution for the part of research already done.
- i. In case of Long leave/absence of more than six months-
- If the supervisor proceeds on a long leave/absence for more than six months:
- a. Where, there is a supervisor along with a co-supervisor, then the co-supervisor shall act as Supervisor for the remaining period.
 - b. In case of only supervisor, of the research scholar, a new supervisor may be appointed by the Vice Chancellor on the recommendation of the DRC.

In the above cases, sub-clause (a) & (b), the No – Objection – Certificate (NOC) of the existing supervisor shall not be mandatory.

In case a Research Supervisor, who has acquired substantive appointment at any other institution by way of confirmation on a substantive post, he/she shall cease to be a research supervisor in the Deemed to be University and subsequently forfeit all his/her claims.

- j. Change/Re-allocation of the Supervisor-
- a. In case the condition do not permit further to continue the further research work under the allotted Supervisor including the unwillingness or compulsion faced by the research scholar, in course, the whole matter will be judiciously reviewed by the DRC who shall recommend the re-allocation/change of supervisor or status quo.
 - b. In case the supervisor declines to supervise the research scholar, then a suitable supervisor may be appointed by the Vice Chancellor on recommendation of the Doctoral (Departmental) Research Committee (DRC).
 - c. In case the supervisor *resigns/undergoes* death, a new supervisor may be appointed by the

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Vice Chancellor on recommendation of the Departmental Research Committee (DRC).

- k. No person shall be allowed to supervise one's close relation. The term close relation includes one's spouse, children, sister, brother, grand children, nephew, niece, grand- niece, grandnephew, uncle, aunt, first cousin, son-in-law, daughter-in-law and nephew, niece, grand-nephew, grand-niece of supervisor's wife and parents of the supervisor.
- l. A Regular Faculty Member having less than three years to his/her retirement shall not be allotted any new research scholar unless, a co-supervisor has already been appointed. However, those already registered with such a supervisor/ co supervisor will continue till the date of superannuation, but not after attaining the age of 70 years.

6. WORK VISIT:

Provided that where the research of the applicant requires to visit and work in other Institutes/National/International Laboratories and research related geographical areas under some National/International Research Projects/Programmes/Libraries, he/she shall seek permission, duly recommended by the supervisor, and forwarded by the Head of the Department for this purpose and approved by the Deemed to be University Administration.

- a. If the time period requested for such outside work is for less than three months, the permission shall be granted by the Deemed to be University administration.
- b. For leave of absence for the requisite period in order to fulfill the requirement of residence, a teacher or a Non Teaching staff of the Deemed to be University shall be required to submit such 'No Objection Certificate', and his/her application shall require the endorsement of the Head of his/her Department/DRC and the application shall be sent through the proper channel.
- c. *The Deemed to be University shall maintain the list of all the registered Ph.D. scholars on its website on a year-wise basis. The list shall include the name and Roll number of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrolment/registration.*
- d. *All fresh Ph.D. entrants, irrespective of discipline, will be required to take credit-based courses in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral training period. Ph.D. scholars after completion of Pre Ph.D. course work may also have 3-4 hours*

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per week of actual teaching experience gathered through teaching assistantship or other forms of knowledge dissemination that are not repetitive. All dissemination activities including External presentation and posters, popular articles conveying scientific information (or scientific articles) to the general public, production of books, commissioned research and internal presentations must be approved by the Departmental Research Committee (DRC).

- e. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale) wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.

7. Completion of Ph.D. Work:

7.1 Process for Approval of Research Proposal:

- (a) After completion of Course Work, each research scholar shall submit his/her research proposal as approved by the allocated supervisors(s) to Head of the Department concerned for consideration of the Doctoral Research Committee (DRC)
- (b) The DRC shall examine the research proposal/synopsis and suggest suitable modification/alterations, if any. The student shall incorporate suggested changes and resubmit the research proposal to the satisfaction of the DRC.
- (c) The DRC shall submit the research proposal for the RDC approval.
- (d) If at any stage, the student wishes to modify the research plan and/or change the title of the thesis approved earlier, supervisor shall arrange the proposal to be put before the DRC and the student shall make a presentation before it with the details of the proposed modifications and justification. The DRC shall make appropriate recommendations for approval of this *and this* could be allowed within six months of registration.
- (e) *The Ph.D. scholar is expected to participate in and stay at other places with active research environments, including research institutions of National Importance/Central Govt funded, Central Research Facility Labs/Incubation, Start up and entrepreneurship development*

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centres for a part of the Ph.D. period study and this may be encouraged to them for the same.

To facilitate the international level of education, a lengthy stay of 1 to 6 months at a Foreign/Indian research institution in an organization academically relevant to the Ph.D. programme is envisaged. It is expected that residence in such cases may be for a minimum length of 3 consecutive weeks.

7.2 Performance Monitoring of Research Work:

- (a) Progress of the research work of all research scholars in the department shall be reviewed at the end of each semester by respective DRC/Faculty Board.
- (b) Each research scholar shall appear before the Research Advisory Committee/Research Degree Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. Six monthly progress reports shall be submitted by the Research Scholar to the Director (Research Centre) duly forwarded by the DRC. Annual Research Integrity Assessment Committee (ARIAC) comprising of DRC and an outside Subject Expert will ensure that research is carried out in a responsible way keeping away all types of misconducts.
- In case, the prescribed progress report (s) of specific period of a research scholar is not submitted on time and void is created, the head of the Department with commensurate authorization of the DRC may sign and forward the report(s) as a special case.

7.3 THESIS PRE SUBMISSION PRESENTATION (PSP):

- a. *Standard (1) "certificate of the supervisor" (2) "declaration of the Ph.D. candidate" (3) "A duly filled in PSP check list" except for its Para 10 on plagiarism and Para 25 final recommendation for organizing PSP as available in the University website- Ph.D. download will be included in draft thesis with these document draft thesis should have been forwarded by the HOD concerned responsible for organizing ARIAC mentioned in opening section of this document for timely correction of any ethical misconduct made by the scholars.*

DRC shall assess the work through a pre-thesis submission open presentation of the draft thesis

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as per *administrative check list and PSP Check-List*. The research scholar will submit the Draft Thesis after completing the Administrative Check-List maintained in his/her file by the Research Centre. Dir. (Research Centre) shall forward the draft thesis with duly filled in PSP Check-List to the *In-charge IPR Anti Plagiarism cell for Check-up of get-up etc. and latter will return it back to the Dir. (Research Centre) after getting the whole thesis, particularly the main work report chapter in thesis to be accepted from point of view of "originally"*.

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

The feedback and comments obtained from them may be suitably incorporated into draft thesis in consultation with the Research Advisory Committee. On its acceptance by DRC for being satisfied about the quality of the work for submission as a Ph.D. thesis and on successful PSP *made* by the candidate, the DRC Chairperson shall forward recommendations to RDC for final submission of thesis with a copy to Dir. (Research Centre).

- b. The thesis Pre Submission Presentation (PSP) event notice shall be adequately circulated by the Research Centre to the candidate, Supervisor, DRC so as to enable interested faculty members and students to attend it.

8. SUBMISSION OF THE THESIS:

- a. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum duration of six years from the date of admission to the Ph.D. Programme. *For such three years duration, special reasons will be recorded and approved by RDC.*
- b. *Normally* the candidate shall be required to complete his/her research work and can submit the thesis after the completion of 30 months from the date of registration *in Ph.D. programme after completing the course work.*

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- c. After the thesis Pre Submission Presentation (PSP), the research scholar has to submit his/her thesis within the period of 90 days from the date of PSP, to the Director Research Centre, failing which, the Pre Submission Presentation (PSP) would stand cancelled and the research scholar has to re-appear for the thesis Pre Submission Presentation (PSP), after duly depositing the PSP fees again.

Provided that, the fees levied for the second Pre Submission Presentation (PSP) could be waived-off, only after justifiable reasons in recording, by the Vice-Chancellor after considering the recommendation of the DRC.

- d. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

Provided that the Research Advisory Committee/Research Degree Committee may, after considering the recommendation of the DRC in a very special case and for reasons to be recorded, grant further extension, of not more than one year.

Total period for completion of Ph.D. Programme shall not exceed ten (10) years from the date of admission in the Ph.D. Programme.

Provided further that in case the candidate fails to submit the thesis within the period permitted for the submission of the thesis, including the periods of the extension there of his/her admission to the Ph.D. programme he/she shall be liable to be terminated and he/she shall, upon such termination, forfeit all the fees and other dues paid by him/her for and during such admission to the Ph.D. Programme.

However, looking into the work of the candidate and recommendations of the supervisor, the Research Advisory Committee/Research Degree Committee may consider the case of re-registration and shall forward such applications to the Vice-Chancellor through the Dean of the faculty for the decision. After getting the permission of re-registration the candidate, he/she shall have to pay admission and other fees as determined by the Deemed to be University and may submit the thesis within one year of re-registration. The research scholar shall have to pay the prescribed current yearly fees and the re-registration fee of Rs. 5000/-. The re-registration

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shall be initiated only within the three months from the end of seven years.

- e. After the research work of the candidate is complete, he/she shall submit, in conformity to this Ordinance, five copies of his/her thesis along with five copies of the summary in not more than 2500 words, and two soft copies of the thesis.
- f. The candidate shall indicate in the thesis as to how far it embodies the result of his/her own research of observations and in what respect his/her investigations appear to him/her to advance the knowledge through the study of his/her topic and subject.
- g. The candidate may also enclose with the thesis, the printed contribution to the advancement of his/her topic or related to the subject that he/she may have published independently or jointly. In general, at least one Research Paper in a Journal notified in CARE-LIST of UGC and one more either in a CARE-LIST Journal or in a refereed Journal and/or a Research Paper as published in any proceeding of an International Conference related to the topic of the Ph.D. thesis with due evidence by way of Certificate of Presentation issued by the organizers to the candidate are expected to be enclosed as appendices in the thesis. However, for any valid reason recorded on the file of the individual candidate, Vice Chancellor will have the discretion to relax any/all these conditions as a special case e.g. Publication/Grant of Patent(s) of the candidate.
- h. *For academic accountability, all the authors must make a genuine, identifiable contribution to the content of a research publication in experimental planning, experimentation, collection/analysis of data, software, and/or writing of the text. It is also important that all authors have agreed on the final version of the work to be published. Unless it has been explicitly stated otherwise, they all share responsibility for the published work.*
- i. The candidate shall submit all five copies of the thesis at the Research Centre and the same shall be forwarded with the endorsement of the concerned Head of the Department through the Dean of the Faculty to the Registrar, who shall dispatch one copy each of the thesis, synopsis/summary of the thesis to the three examiners who have consented to evaluate the same on the following points.
- j. Final check points for checking the quality of the thesis shall be:

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- (i) That it is a piece of research work characterized either by the discovery of facts or by a fresh approach towards interpretation of facts or theories arrived at so far.
- (ii) That it evinces the capacity of the candidate for critical examination and judgment;
- (iii) That it is satisfactory in terms of its literary presentation; and
- (iv) That it is suitable for publication.

9. PANEL OF EXAMINERS FOR THESIS EXAMINATION:

- a. A proposed panel of 5 examiners (out of which 02 Examiners shall be out of U.P. State) shall be submitted by the research supervisor and similar list of panel of experts shall be submitted by the HOD. Out of these lists, Hon'ble Vice Chancellor will tick two examiners – anyone within the State and anyone out of State whom the thesis will be sent for examination. The Supervisor will be the third examiner.
- b. *The examiner should be eminent academic expert in the subject area of the research of scholar's thesis with proven record.*
- c. *Out of the two external examiners, one must be from out of the U.P. state. Where possible, one of the external examiners may preferably be chosen as a distinguished academician, not below the rank of professor or equivalent, from outside U.P.*

10. APPOINTMENT OF EXAMINERS FOR VIVA-VOCE:

- a. The Vice-Chancellor shall appoint the examiner for viva-voce examination from amongst the examiners who will evaluate the thesis of the candidate. In exceptional cases the Vice-Chancellor may appoint another examiner on the recommendation of DRC which shall be reported to the RDC/RAC. In case of any dispute and subsequent unwillingness of the supervisor or examiner to participate/attend the final viva-voce, the Head of the concerned Department may proceed with the formalities for the thesis Presentation and viva-voce with prior approval of the Vice-Chancellor.

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- b. The viva voce examination shall be held by the External Examiner and the Supervisor after pursuing the reports of the other examiners of the thesis as received in form of enclosed "Form A". The viva voce examiners shall conduct the oral assessment of the candidate as per "Form B" in order to ascertain to the extent to which he/she is well acquainted with the literature on the subject, evinces a good understanding of the topic of his/her research as well as originality in his/her investigations and conclusions, and has an appropriate comprehension of the broad field of his/her study, and to address other issues relevant in that regard, make a clear recommendation in their report, on the specified form (Form B).
- c. *The viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation reports of the examiners on the thesis recommends acceptance.*
- d. *The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Deemed to be University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.*
- e. An open viva-voce test shall be held at the University Research Centre *duly facilitated by its Director*. The viva-voce shall be arranged by the Head of the Department with intimation to all concerned. The candidate shall present summary of his/her thesis and the work done by him/her before an audience consisting of the one External Examiner, Supervisor, teachers, research scholars and post- graduate students of the subject. However, only the examiners will question the candidate; fill up the Form B and submit *the same* to Dir. (Research Centre).
- f. After the completion of the successful viva-voce examination the result of the candidate shall be conveyed by the concerned Head of the Department to the Director (Research Centre), and will be forwarded to the Registrar, who shall notify the result of the candidate with effect from the date of viva-voce examination. A provisional certificate of the award of the degree may be given to the candidate on his/her written request to the Registrar/Dir. (Research Centre) after obtaining approval of the RDC.

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- g. *The Deemed to be University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.*

11. AWARD OF THE Ph.D. DEGREE:

- a. Following the successful completion of the evaluation process and announcement of the award of Ph.D., the Deemed to be University, shall submit a soft copy of the Ph.D. thesis to the UGC/Shodh Ganga within a period of thirty days, for hosting the same in INFLIBNET accessible to all Institutions/Universities.
- b. Along with the Degree, the Deemed to be University shall issue a certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for award of the Ph.D. Degree), Regulation, as prevalent.

**12. RESEARCH DEGREE COMMITTEE/ RESEARCH ADVISORY COMMITTEE
CONSTITUTION AND ITS FUNCTIONS:**

There shall be a Research Advisory Committee/Research Degree Committee, or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the Institution concerned, for each Ph.D. scholar. The constitution of the committee shall be as mentioned below:

- | | |
|--|----------------------|
| (i) Vice-Chancellor | – Chairperson |
| (ii) Pro-Vice Chancellor | –Vice
Chairperson |
| (iii) All concerned Deans of Deemed to be University | – Member |
| (iv) All concerned Head of respective Departments of Deemed to be University | – Member |
| (v) Director, IQAC | – Member |
| (vi) Member Convener, R&D Advisory Committee | – Member |
| (vii) Director, Research Centre | – Convener |

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This Committee shall have the following functions:

- (i) To review the research proposal and finalize the topic of research.
- (ii) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- (iii) To periodically review and assist in the progress of the research work of the research scholars including through meetings of "Annual Research Integrity Assessment Committee (ARIAC)". *Through this all complaints/allegation of misconduct in research will be handled. For this, there will be a clear definition of misconduct with a sufficient legal foundation that defines the circumstances constituting misconduct and prescribe procedural rules, along with measures to be taken if such allegations are upheld after following due process. It is important that the complainant and respondent, both are allowed to be heard at every stage of the process. It should be ensured that information relating to the person involved in the ongoing process and the findings of the investigation are treated in confidence until it is demonstrated that misconduct has occurred. If the occurrence of misconduct is established and the appropriate disciplinary proceeding is considered, the responsible bodies should also be included in deliberations. Deemed to be University shall also ensure the completion of the entire process as fast as possible and the necessary step should be promptly taken to complete every stage of the procedure within a given appropriate time frame.*
***Explanation:** It is emphasized that every breach of good research practice dose not constitutes misconduct and the same needs to be distinguished. Only when there is a deliberate or grossly negligent infringement as defined in a set of regulations should be considered scientific misconduct including fabrication or falsification of data, results and plagiarism using data from other authors' work etc.*
- (iv) To appoint a Co-Supervisor.
- (v) A research scholar apart from submitting six monthly progress reports to DRC shall appear before the ARIAC jointly with Research Degree Committee (RDC) once every year to make a presentation of the progress of his/her work for evaluation and further timely guidance. The six monthly progress reports and Check-List finalized by ARIAC shall be submitted by

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the Research Degree Committee (RDC) to the Head of the Department with a copy to the research scholar.

- (vi) In case the progress of the research scholar is unsatisfactory, the Research Degree Committee (RDC) shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Degree Committee, may recommend to the Department with specific reasons for cancellation of the registration of the research scholar.
- (vii) The Research Degree Committee (RDC) shall regulate and oversee the formulation and conduct of Doctoral & Post-Doctoral *works* and all research Programs of the University, in accordance with directions of the Academic Council.
- (viii) The Research Degree Committee (RDC) shall consider and may approve recommendations of the Board of Studies and Departmental Research Committee (DRC) on all academic matters.
- (ix) On behalf of the Research Degree Committee (RDC), the Chairperson may act on the recommendations given by examiner on Ph.D. thesis and take necessary decisions based on the relevant Ordinances or Regulations made under the Statutes.
- (x) The minutes of the meeting of the Research Degree Committee (RDC) shall be placed before the Academic Council for consideration.
- (xi) The Research Degree Committee (RDC) may make recommendations to the Academic Council on all matters within the scope of its functions.
- (xii) The quorum of the Research Degree Committee (RDC) shall be not less than two – third of its members.

13. DEPOSITORY WITH INFLIBNET:

- (i) Following the successful completion of the evaluation process and before the announcement of

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the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same on SHODH GANGA so as to make it accessible to all Institutions/Colleges.

- (ii) Prior to the actual award of the degree, the *Deemed to be University* shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, as prevalent.

(FORM -A)

NEHRU GRAM BHARATI (DEEMED TO BE UNIVERSITY)

REPORT OF THE EXAMINER OF THE THESIS OF THE CANDIDATE FOR THE Ph.D. DEGREE

1. Name of the Research Scholar

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2. Name of the Department under the School/Faculty of

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3. Title of the thesis submitted by the Research Scholar

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PART-I

I have examined the thesis for the degree of Doctor of Philosophy submitted by the candidate named above on the topic set out above, and have to report:

[Strike out two from amongst (A), (B), and (C)]

(A) That the thesis submitted by the candidate—

- (i) Is a piece of research work characterized by the discovery of facts or by a fresh approach towards interpretation of facts or theories;
- (ii) Evincesthecapacityofthecandidateforcriticalexaminationandjudgment;
- (iii) Is satisfactory so far as its literary presentation is concerned; and
- (iv) Is suitable for publication as a thesis approved for the degree of Doctor of Philosophy of the Nehru Gram Bharati (Deemed to be University).

(B) That the thesis submitted by the candidate deserves to be re-submitted in a revised form.

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(C) That the thesis submitted by the candidate deserves to be rejected without further assessment.

PART-II

Detailed report of the examiners to be enclosed separately.

PART-III

I recommend—

(a) That the thesis be approved for the award of the degree of Doctor of Philosophy.

OR

that the candidate be required to re-submit his/her thesis in a revised form, within the prescribed period, after the communication to him/her on the lines on which the revision of his/her thesis is recommended.

OR

(b) That the thesis be rejected without further assessment, and the degree of Doctor of Philosophy be not conferred on the candidate.

Signature of Examiner of the Thesis Name

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(FORM -B)

NEHRU GRAM BHARATI (DEEMED TO BE UNIVERSITY)

REPORT OF THE EXAMINER OF THE THESIS OF THE CANDIDATE FOR THE Ph.D. DEGREE

1. Name of the Research Scholar

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2. The Department of under the School/Faculty of

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3. Title of the thesis submitted by the Research Scholar

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PART-I

We have read the thesis for the degree of Doctor of Philosophy submitted by the candidate named above on the topic set out above and per used the reports of the other examiners of the said thesis, and have examined the said Research Scholar viva-voce, and have to report.

(A) That we are satisfied that the candidate-

- (i) Is well acquainted with literature on the subject;
- (ii) evinces a good understanding of the topic of his research and the thesis is genuinely his/her own work; and
- (iii) has an appropriate comprehension of the broad field of his/her study.

OR

(B) That the candidate has not satisfied us -

[Strike out which ever is in applicable from amongst (i), (ii), (iii), and (iv)]

- (i) That he/she is well acquainted with literature on the subject,
- (ii) in respect of the basis of one or more of the conclusions he/she has drawn from the investigations reported in the thesis.
- (iii) As to the originality of one or more part soft he thesis,
- (iv) [state any other ground that merits reporting].....

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We recommended-

PART-II

(Report of the examiners to been closed)

PART-III

- (c) That the degree of the Doctor of Philosophy be conferred on the candidate.
OR
(d) That the degree of the Doctor of Philosophy be not conferred on the research scholar for the time being, and he/she be required to re-appear at the viva-voce examination within the prescribed period.

Signature of the Viva Voce Examiners

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