

GUJARAT UNIVERSITY

AHMEDABAD



Ph.D. Programme

Rules, Regulations and Ph.D. Ordinances

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**GUJARAT UNIVERSITY
AHMEDABAD**

Doctor of Philosophy (Ph.D.) Ordinances

*(These rules will be applicable to all those who have registered
for Ph.D. on or after November 30, 2009)*

O. Ph.D.1 Short title, application and commencement:

- 1.1 This Ordinance shall be called “Gujarat University Ph.D. Ordinance 2010”. It shall come into force from the date notified by the Gujarat University.
- 1.2 This Ordinance shall apply to the Ph.D. studies conducted in different disciplines in the University Post Graduate (PG) Departments/Schools, selected affiliated colleges, recognised institutions and/or centres approved by the Gujarat University or affiliated to the Gujarat University for the purpose of Ph.D. studies.
- 1.3 The Regulations govern the conditions for imparting instructions for the courses, conduct of examinations and evaluation of students' performance leading to Ph.D. degree. These Regulations will be effective for the batches of students admitted from the academic session 2010-11 onwards.
- 1.4 Doctoral Programme leading to the degree of Ph.D. shall be offered in the following Faculties/Subjects and inter-disciplinary Faculties/Subjects of the University:

Arts
Commerce and Management
Education
Journalism and Communication
Law
Medicine, Dental and other paramedical subjects such as Physiotherapy, etc.
Physical Education
Science, including Computer Science
- 1.5 The provisions of these Regulations shall be applicable to any new disciplines that are introduced from time to time and added to the above list.
- 1.6 Notwithstanding any provisions contained in these Regulations, on the recommendation of the Academic Council (AC), the Executive Council (EC) shall exercise its powers to change/amend/interpret/implement the decisions and

actions concerned with academic matters, to change any or all parts of these Regulations at any time.

O. Ph.D.2 Constitution of Ph.D. Committees:

For the smooth conduct of Ph.D. studies there shall be several committees such as Admission Committee at the department/school level and Research Development Committee (RDC) at the University level for each subject. The Board of University Teaching and Research (BUTR) shall be the apex body as provided in the University statute/s for all the decisions relating to research and Ph.D. studies.

2.1 Admission Committee

- a. An Admission Committee for each department shall be constituted consisting of all the faculty members who are recognised Ph.D. guides in that Department and a Vice-Chancellor (VC)'s nominee. This committee shall handle all the admission related work of the department/school. The Head/Director of the Department/School shall convene the meetings of the Admission Committee.
- b. For affiliated colleges and institutions where Ph.D. programme is offered, an Admission Committee shall be constituted by the Principal/Head of the institution with a VC's nominee, to coordinate the activities relating to Ph.D.
- c. The Committee shall scrutinise the academic, professional and research potential of the candidates. Based on the performance in the written test (entrance test) and Group Discussion/Interview/Seminar, the Committee shall prepare the list of eligible candidates for provisional registration for Ph.D. programme.

2.2 Formation of Research and Development Committee (RDC)

For each subject in a faculty there shall be a Research and Development Committee (RDC). The members of the committee shall hold office for a period of three years from the date of constitution of the committee. The functions of the (RDC) will be to monitor the Ph.D. programme and to take decisions relating to the programme. The members of the committee shall be as under:

1. Dean of the concerned faculty.
2. Chairman of the Board of Studies of the concerned subject.
3. Two experts on the subjects from different Universities/two outside experts to be nominated by the VC.
4. Concerned Guide/s (invitee).
5. Head of concerned department and/or School (invitee/s)

The recommendations of the Research and Development Committee (RDC) shall be placed before the BUTR and their recommendations would be placed before

AC/ EC for final approval. The governing rules and regulation shall be approved by the EC of the Gujarat University on the recommendation of BUTR.

O.Ph.D.3 Types of Ph.D.

There shall be three types of students in the Ph.D. programme:

- I. Regular (Full Time)
- II. Part Time
- III. Independent Research

3.1 Regular (Full Time)

The regular (full time) students are expected to work full time for their Ph.D. In addition, the students who are receiving assistantship/scholarship/fellowship from UGC/ICSSR or any other agency and/or from industry sponsored projects shall be regular (full time) students. In the case of regular (full time) students, the Guide shall be from the same institution where the student is doing the research work.

3.2 Part Time students

This category refers to employed persons who are admitted to the Ph.D. studies. A “No objection certificate” from the Head of the institution where the person is employed should be submitted along with the application of such applicants. No fellowship or assistantship of any kind shall be awarded to such candidates.

3.3 Independent Research

On the recommendation of the RDC, the VC may permit a candidate fulfilling the eligibility conditions and having at least 10 years of teaching experience in a University Department or college affiliated to a University or an institution recognised/approved by the University and having adequate publications, to apply for pursuing his/her Ph.D. research programme independently. While seeking permission from the VC, the candidate shall have to submit certificates from two members of the concerned faculty of this University having experience in guiding research testifying the fitness of the candidate to pursue independent research. All other provisions and conditions of these rules shall be applicable to all such students working independently. A student having registered once under a guide shall not be permitted to submit his/her thesis independently.

O. Ph.D. 4. Eligibility:

- 4.1. A candidate shall be registered for the Ph.D. degree only in the Faculty in which he/she has obtained Master's Degree with at least 55% (SC/ST 50%) or equivalent grade in the subject from Gujarat University or any other University recognised by the University Grants Commission (UGC).

- 4.2 A candidate in the Faculty of Arts who has taken a Master's Degree in Mathematics may be registered for Ph.D. degree in Science Faculty in the subject of Mathematical Science.
- 4.3 A candidate in the Faculty of Arts, or Commerce who has taken his/her Master's degree in Economics or Statistics may be registered for Ph.D. degree, in any one of these faculties.
- 4.4 A candidate who has obtained the degree of Master of Engineering with Electronics and Telecommunication, Computer and Information Technology, and Instrumentation and Control, as one of the subjects of this University or of any other University, recognised as equivalent thereto, may be registered for the Ph.D. degree in Science Faculty in the subject of Computer Science.
- 4.5 The fellow members of the Institute of Chartered Accountants and/or Institute of Cost and Works Accounts and/or a qualified Company Secretary shall be considered eligible for registration for Ph.D. in the subject in the concerned Board of Studies in the Faculty of Commerce, provided that they possess a Bachelor's Degree of any statutory University. Such candidates shall have at least five years of professional experience.
- 4.6 A person having a second class Master's Degree secured prior to 19th September 1991 from any recognised university with at least 10 years' teaching experience in an educational institution or professional experience in industry may be considered eligible for registration for Ph.D. degree by the BUTR on the recommendation of RDC.
- 4.7 **Interdisciplinary Research:**
- i. Interdisciplinary research and admissions like Chemistry/Physics to Bio-Physics, Bio-Chemistry, Materials Science, etc., and *vice versa* and similarly in Arts/Humanities/Social Sciences shall be encouraged.
 - ii. In many emerging areas that are interdisciplinary in nature, opportunities shall be provided for doing Ph.D. studies. A candidate applying for registration shall do so, specifying the broad field or an interdisciplinary field in which he/she intends to pursue research, the subject of research being wholly or partly related to the main branch of knowledge chosen for the post-graduate degree in which the candidate has qualified. Five years' work experience in a related field is necessary for such candidates. Applications for research in interdisciplinary areas shall be considered on the basis of proven ability and aptitude of the candidate for such kind of research. The decisions in this regard shall be taken by the RDC.

- iii. Candidates who propose to carry out research work in interdisciplinary areas shall be permitted to have a Co-guide on the recommendation of the RDC, if necessary. The Co-guide could be chosen from the same or a different department/centre of Gujarat University or from any other University/institution in India or abroad, who is recognised by Gujarat University.
 - iv. Provided further that the VC may approve, based on the recommendation of RDC, change to another faculty/subject other than the one in which the candidate has obtained his/her master's degree, and granting registration to such a student for the Ph.D. degree in an allied/different subject on a case to case basis.
- 4.8 For foreign candidates (those who have not obtained Master's degree or equivalent degree from Indian Universities), the minimum percentage of marks shall be 55% or equivalent grade in the Master's Degree or equivalent qualification.

O. Ph.D. 5. Recognition of Ph.D. Guides in the faculties of Arts, Commerce and Management, Science, Education, Journalism and Communication, Law, Medicine, Dental and other paramedical subjects such as Physiotherapy, etc.

- 5.1 Professors, including Professors (CAS)/Associate Professors, including Associate Professor under CAS, of Gujarat University departments/schools holding Ph.D. degree shall be considered to be recognised Ph.D. guides of Gujarat University.
- 5.2 Assistant Professors of Gujarat University departments/schools, appointed as regular faculty, holding Ph.D. degree with at least five years of teaching experience with three publications published after award of their Ph.D. in peer reviewed journals, can apply for recognition as Ph.D. guides. On the recommendation of RDC, such Assistant Professors shall be approved by the VC as Ph.D. Guides.
- 5.3 Teaching faculty working in affiliated colleges/institutions, appointed as regular faculty, holding a Ph.D. degree with at least five years of post graduate teaching experience with three publications in peer reviewed journals published after award of their Ph.D. can apply for recognition as Ph.D. Guides. On the recommendation of RDC, such faculty may be approved by the VC as Ph.D. Guides.
- 5.4 In the Faculty of Medicine/Dental, paramedical subjects, etc., a person holding post-graduate qualifications with five years of teaching and research experience after acquiring the post-graduate qualification and with not less than five years of teaching experience at post-graduate level and at least three publications in reputed peer reviewed journals shall be eligible to apply for recognition as Ph.D. guide.

On the recommendation of RDC, such a person may be approved by the VC as Ph.D. Guide.

- 5.5 In the Faculty of Law, a person holding a Ph.D. degree with five years of teaching experience and research experience after acquiring the post-graduate qualifications in the faculty and with not less than two years of teaching and research experience at post-graduate level after obtaining the Ph.D. degree and at least two publications in reputed peer reviewed journals shall be eligible to apply for recognition as Ph.D. guide. On the recommendation of RDC, such a person shall be approved by the VC as Ph.D. Guide.
- 5.6 The VC, on the recommendation of RDC and BUTR, may recognise any scientist/professional associated with a recognised/approved institution by Gujarat University, within the territorial jurisdiction of Gujarat University and faculty members from Nationally Renowned Institutions/other universities as Ph.D. guides. The following are the qualifications required for such candidates:
- (i) Ph.D. Degree in the subject or in a related discipline of recognised University,
- and**
- (ii) At least five years of P.G. teaching/research/industrial research experience or professional experience.
- and**
- (iii) Five research papers in the subject published in a refereed/indexed/ISBN /ISSN numbered journal of national/and/or international standing or refereed e-journal, out of which at least three should be after getting the Ph.D. degree.
- or**
- (iii) Where publications are not applicable in disciplines like Drama/fine arts, etc., the person should have certificates of at least five national level performances/exhibitions, as the case may be.
- 5.7 In interdisciplinary/multi-disciplinary subjects, a person who has qualification/s or experience/expertise in some other or related discipline/s can apply for recognition as Guide in an additional/different/allied subject and where the RDC is satisfied about the person's merit, give its recommendations to the VC for approval of such a person as Ph.D. guide.
- 5.8 VC, on the recommendations of RDC and BUTR, may recognise as Ph.D. guide any eminent scholar or eminent educationalist who has given his/her valuable contribution in the field.

- 5.9 A recognised Ph.D. guide must have guided at least one successful Ph.D. student during the first five years of his/her recognition, failing which his/her recognition as Ph.D. guide may be cancelled and in that case he/she will have to get re-recognition for Ph.D. guideship.
- 5.10 **Co-guide :** To accommodate interdisciplinary aspects of research, a Ph.D. guide can act as a co-guide on the recommendation of RDC and with the approval of the VC. The number of students working under a co-guide shall not be taken into consideration while counting the permissible number of students registered under a particular Ph.D. guide.
- 5.11 The University shall prepare a panel of external Ph.D. guides chosen from amongst the leading and well-known researchers in various fields. This panel shall be prepared by invitation of expression of interest from National Laboratories, National Research institutions and overseas Universities.
- 5.12 A teacher who is recognised as a Ph.D. guide by the University, in case of his/her shifting to some other University, may continue to guide the candidate/s already registered under him/her. Such person/s shall cease to be approved Ph.D. guides of the University on successful completion of Ph.D. studies of the concerned candidates.

O.Ph.D.6. Norms for supervision

6.1 Intake

(i) No. of students per guide:

(a) A Ph.D. guide shall not have at any given point of time more than the following number of Ph.D. students (including students from all universities).

Professor	:	8
Associate Professor	:	7
Assistant Professor	:	6

(b) The students who are JRF scholars/any other fellowship holders, students who are working in interdisciplinary areas and from foreign countries shall be in addition to the above numbers, i.e., they will be considered as supernumerary.

(c) Newly recognised Ph.D. guides shall have maximum number of Ph.D. students as stated below for the first four years and thereafter the maximum number of students mentioned above shall be applicable:

Professor	:	5
Associate Professor	:	4
Assistant Professor	:	3

(d) In case of paucity/absence of approved Ph.D. guides in multidisciplinary areas, the candidates may be permitted to register in an allied area with an available Ph.D. guide within the University jurisdiction and have a co-guide from any other neighbouring approved research institution by Gujarat University at the discretion of the VC, provided he/she fulfils the applicable criteria.

6.2 Responsibilities of Guides

- i. The Ph.D. guide carries the major responsibility of guiding the academic progress of the student throughout the period of study. He/she counsels the student in academic matters, and provides guidance on the nature of course work and research, the standards expected, the adequacy of progress, and the quality of work.
- ii. A guide, who will be superannuating in less than two years' period, may not take a new Ph.D. student, unless specifically permitted by the VC, on the recommendation of the RDC, for a period not exceeding one year. However, he/she can co-guide new students up to the age of 65 years.
- iii. To ensure the successful and timely completion of the programme, it is essential that Ph.D. guides and their students maintain regular contacts. The guides must give their students advance notice if they plan to be absent from the University for an extended period of time, i.e., three months or more, and make suitable arrangements for the continued guidance of the student during his/her absence.

6.3 Change of Guides

- i. In the case of absence of the Ph.D. guide for more than six months and up to one year, a guide-in-charge may be allotted from the same Department or related Department with the approval of RDC, if the student so desires.
- ii. In case the Ph.D. guide leaves the University permanently or goes on deputation elsewhere or otherwise for a period of more than one year, the student may be permitted to change the guide, if he/she so desires on the recommendation of RDC. However, change of topic/title of research will not be permitted.
- iii. Under exceptional circumstances, a change of guide may be allowed by the VC, on the recommendation of RDC.

O.Ph.D.7. Procedure for admission

- 7.1 The number of seats for Ph.D. shall be decided well in advance and notified on the university website and by an advertisement, along with the date for the entrance test.
- 7.2 The candidates seeking admission shall have to fill up the prescribed admission form given in Form I and submit the same within the prescribed date specified in the admission announcement.
- 7.3 There shall be a common entrance test for all eligible candidates who are interested in pursuing Ph.D. as full time, part time or independent research students.
- 7.4 Those who qualify in the entrance test shall have to appear for Group Discussions and Personal Interviews (GDPI) at the specified University Department/School/institution based on the subject.
- 7.5 Candidates desirous of taking admission in recognised/approved institutions/affiliated colleges of Gujarat University other than Gujarat University departments/schools shall also have to appear for the entrance test.
- 7.6 A copy of the Ph.D. Ordinance, rules and regulations, details of entrance test, etc., and other details related to the Ph.D. programme shall be provided to the candidates along with the admission form.
- 7.7 Only the stipulated number of students shall be admitted to the Ph.D. programme based on the merit position of the eligible candidates. Merit position shall be decided after completion of the entire process of entrance test, group discussion (GD), personal interview (PI) and/or seminar.
- 7.8 The University shall adopt the reservation policy of state government for admission to Ph.D. However, the reservation shall be done on a rotation basis within and among the departments, maintaining the overall percentage of the total number of seats.
- 7.9 The admission process, i.e., entrance test/GD/PI/seminar shall be conducted once a year. However, admission shall be granted twice a year. The first term/semester admission process shall be completed by 31st August and the second term admission process by 31st January in every academic year.
- 7.10 An eligible candidate shall be admitted as a Ph.D. student through an entrance test conducted by the University. After the entrance test, group discussion and/or personal interview shall be organised by the university for those who qualify in the entrance test.

7.11 Exemption from Entrance Test

The candidates fulfilling one of the following conditions shall be exempted from the entrance test:

- i. Qualified in SET/NET/JRF examinations of bodies such as CSIR/UGC/ICAR/ICMR/DBT, etc.
- ii. M.Phil. degree from Gujarat University.
- iii. M.Phil. degree candidates from another statutory University whose admission at M.Phil. has been done through an entrance test.
- iv. Those students who have cleared any fellowship/scholarship examinations and are eligible to receive fellowship from national bodies.
- v. Candidates who appeared in the latest GATE/CAT and have scored more than 75 percentile or 75 per cent score.

7.12 Candidates eligible for direct admission to the Ph.D. programme without entrance test, group discussion/personal interview:

- i. The candidates who are awarded junior research fellowships (JRF/TRF) or any other prestigious fellowship from UGC, CSIR, DBT, ICMR, ICAR, etc., shall be eligible for direct admission to the Ph.D. programme any time of the year. Such candidates should, however, discuss their topic, etc., with the RDC, prior to the admission.
- ii. The following types of candidates shall also be admitted to the Ph.D. programme on the recommendation of the Admission Committee with the approval of the RDC, provided they fulfil the requirements regarding eligibility, qualification, etc. However, such candidates shall have to give a seminar and discuss the broad area of research before the RDC. Such admissions shall not be automatic and shall be done on a case to case basis by RDC.
 - a. Candidates sponsored under an MoU between Gujarat University and a University/Institution in India or abroad where specific clause(s) exist for registration of candidates for Ph.D. degree by the university and/or those selected under international cultural/educational exchange schemes of Government of India/UN bodies.
 - b. Non-resident Indians and foreigners residing/working abroad, who have the required qualifications and working in academics/research/industry for at least five years.

- c. Teachers working in government/aided/unaided institutions having at least three years of continuous teaching experience at degree and/or post-graduate level in the subject concerned and granted leave for pursuing Ph.D. programme and are awarded fellowship under Quality Improvement Programme or equivalent programme to do full-time Ph.D.
- d. In case a teacher/researcher, who is a recognised guide of Gujarat University, receives funding for a major research project with the approval of Gujarat University, the fellows selected for the project as per the guidelines of the funding agency will also be exempted from entrance test and GDPI.

All the other requirements for admission to Ph.D. will remain the same for these applicants.

7.13 Procedure for conduct of Entrance Test

(a) Structure of the Test

All those who are not exempted from the entrance test will be required to take the entrance test. The format of the entrance test will be similar to that of National Eligibility Test of UGC or CSIR and Gujarat State Level Eligibility Test (SLET). The contents of the test will be as follows:

- i. General analytical skill/mental ability, including reasoning.
- ii. English communication skill (up to 12th standard level)
- iii. Foundation of the relevant subjects in multiple choice questions (MCQ) and descriptive type questions on the relevant subject up to PG level.

The first part of the test will consist of objective type of questions covering:

- i. General analytical skill/mental ability, including reasoning.
- ii. English communication skill (up to 12th standard level)

This part will have 60 questions and will be for a duration of 45 minutes. The second part of the test will consist of objective type of questions in the relevant subject for a duration of 30 minutes and will have 40 questions. There shall be negative marking of 0.25 mark for each wrong answer.

The third part will be descriptive type of questions on the subject, which will be of one hour duration. This part will be evaluated only if the candidate secures more than 50% marks in the aggregate in the first two parts and individually 40% marks in each part. Those who secured more than these desired level have to obtain more than 50% marks in the third part. In the entrance test, relaxation of

5% will be given to the students of reserved categories (SC/ST) as per UGC norms.

If enough number of candidates do not qualify in the entrance test, the University may, if deemed fit, relax these conditions on a year-to-year basis.

(b) Group Discussion/Interview/Seminar

Group discussions and personal interviews (GDPI) shall be conducted separately for each subject by a committee consisting of the head of the department/school, one or two research guides, an outside subject expert. Other than the head of the department, the other committee members shall be nominated by the VC. Alternatively the admission process, group discussion and personal interviews may also be conducted by the admission committee of the department, with the approval of the RDC.

The candidates who clear the entrance test shall be required to appear for GDPI. The candidates who have cleared NET/SLET and those who are exempted from the entrance test shall also have to appear for GDPI. At the time of GDPI the candidates are expected to discuss their research interest/area with tentative area of research.

(c) Preparation of merit list

The University shall bring out merit lists of candidates for each subject, based on the performance in the GDPI, for each category. Validity of the merit list shall be only for the concerned academic year.

Admissions shall be given based on the above merit lists. The admitted candidates shall have to pay the prescribed fees within seven days from the date of offer of admission, failing which the seat shall be allotted to the next candidate on the merit list.

If vacancies arise in the second term, the same shall be filled from the merit list/s of candidates who could not be granted admission in the first term for want of vacant seats.

O.Ph.D.8. Course work – Credit, Content and Evaluation

- 8.1 The admitted students shall be required to undertake course work organised by the University/Research Centre/institution as the case may be. Full-time, part-time and independent Ph.D. students shall be required to go through the course work for one semester. The course work shall be treated as pre-Ph.D. preparation.
- 8.2 The students who have completed M.Phil. shall be exempted from the course work. However, if some such students are interested in taking the course they can

- do so. For all other students, including JRF, and those who are getting direct admission to the Ph.D. programme, course work is compulsory. The students who are admitted to the Ph.D. programme in the second term shall do the course work in that term itself. The department/school/institution shall arrange for the course work of such students.
- 8.3 The course work shall carry 10 credits (one credit equal to 15 hours). The concerned department/school/institution shall decide the details of the course work, teaching schedule and evaluation within the broad framework given below:
- i. Five credits (75 hours) for “Research Skills” which includes research methodology, quantitative methods, computer application, tools and techniques for research and experimentation, instrumentation, communications skills, review of published research, report writing, seminar presentation, etc.
 - ii. Four credits (60 hours) for subject specific course work. Out of the 60 hours, 25 hours shall be devoted to review of the subject/lab work, 25 hours for seminar in different contemporary and development issues in the subject/lab work and 10 hours shall be for review of research papers in the subject.
 - iii. One credit (15 hours) for field work, seminar/lab work and other academic activities including teaching in the Department/School.
 - iv. The details of the specific subject shall be decided by the department/school.
- 8.4 The course on “Research Skill” shall be common for all Ph.D. students within the same faculty and shall be conducted at a central place, faculty-wise.
- 8.5 The evaluation of the course work shall be continuous, internal and external. Field work, seminar, review of research papers, etc., shall form part of continuous and internal evaluation. However, the detailed norms shall be decided by the department/school/institution. At the end of the course work all the students shall have to appear for external examinations in the above two papers. The examination may be conducted online or any other method as decided by the department/school/institution. The passing criteria for each subject/paper shall be 45% marks with an aggregate of 50% in both the papers. Those who fail to get the minimum pass marks shall have to reappear in both the papers or a single paper as the case may be.
- 8.6 The course work may also be carried out by the students in a sister department/institutions either within or outside the University, with the approval of the RDC, for which due credit shall be given to them, if found necessary.

- 8.7 Regular (full-time) students shall attend their respective departments and/or laboratories according to the pre-arranged time-table and the records of their attendance shall be maintained by the concerned Guide/s.
- 8.9 Part-time/independent students shall be required to take at least six months' leave from their duty to complete the course work or adjust their course work during the weekends if it is feasible at the University level.
- 8.10 After the successful completion of the course, a certificate regarding course completion shall be given to the student.

O. Ph. D.9. Allocation of Research Guide

- 9.1 The candidates figuring in the merit lists shall not have any automatic right for allocation of guide and enrolment for Ph.D. studies in the University. This shall be subject to availability of seats/guides/resources.
- 9.2 The allotment/allocation of guide shall not be left to the individual student or guide. The RDC shall have the sole authority to decide the allocation of guide to a student subject to availability of academic resources including the availability and acceptance by the concerned guide, the number of students per faculty, required infrastructure, research interest of the student as indicated in the interview. The RDC may, however, consider the choice indicated by the student in the application, if found feasible.
- 9.3 The RDC shall finalise and communicate the name of the guide and co-guide wherever applicable within a month of admission of the student.
- 9.4 Notwithstanding anything contained in this ordinance, no guide or co-guide shall be under an obligation to accept any student for Ph.D. studies.
- 9.5 The workload of Ph.D. guide shall be determined on the basis of the policy formulated by UGC or any other competent body from time to time.
- 9.6 A candidate shall be allowed to conduct research study for Ph.D. degree in an interdisciplinary subject/approach provided that his/her guide is qualified with the required specialization(s) for the purpose.
- 9.7 In order to promote interdisciplinary research, the guide and the co-guide can be chosen from allied subject/s from the same Department/School or other institutions.

O.Ph.D.10. Duration of the programme

- 10.1 Minimum duration of the programme after which the thesis can be submitted:

1. Full time : Four semesters/terms (two years)
2. Part time : Six semesters/terms (three years)
3. Independent : Six semesters/terms (three years)

The duration of the programme shall be from the date of provisional registration, i.e., when the candidate is admitted to the Ph.D. programme after payment of fees.

O.Ph.D.11. Language of the thesis

- 11.1 The candidate should submit the Ph.D. thesis in English except when it is related to an Indian language or a modern European/Asian language, where the thesis should be in the language concerned.
- 11.2 Exceptional cases may be considered by RDC for writing the thesis in Gujarati language. Where such permission is given by RDC, the student shall have to get the entire thesis translated into English at his/her cost and submit two sets of the same, as also in the electronic format.
- 11.3 Before submitting the final thesis, the student should submit a synopsis in English, even in the case of languages.

O.Ph.D.12. Procedure for Registration

- 12.1 As soon as the students are admitted to the Ph.D. programme, they shall be provisionally registered for the programme. After the title clearance by RDC, their Ph.D. registration shall be confirmed. This process shall be completed within the first term/semester of provisional registration.
- 12.2 A student admitted to the Ph.D. programme as per the procedure described earlier shall be registered as a Ph.D. student by the University. The period of registration shall start from the date of admission.
- 12.3 The student shall be required to finalise and submit a brief research proposal of about 1000 words containing the title, significance and scope of the topic, theory and research methods/techniques proposed, references, bibliography, place of research, etc., through the guide. The RDC shall either confirm the acceptance of the research proposal or ask the student to make changes. (Guidelines given in Appendix I).
- 12.4 Once the topic and the guide are finalised, the student will be required to fill up the registration form with the required fees. The registration form is given as Form III.
- 12.5 After the title clearance of the research proposal, the University shall notify the student about approval of the topic of the thesis. (Format given in Appendix II).

12.6 A registered Ph.D. student shall not be allowed to pursue any other course/programme from any University simultaneously. If any such violation is noticed, the registration of the student shall be cancelled.

12.7 A student shall not be permitted to submit a thesis for which a degree has been conferred on him/her in this or in any other University. But a student shall not be precluded from incorporating any work which he/she has already submitted for a degree in this or any other university, in a thesis covering a wider field, provided that he/she shall indicate in a written statement accompanying the thesis any work which has been so incorporated.

O. Ph. D.13. Fees Payable by the Ph.D. student

(1) Admission Form & Processing fees: Rs.750/-.

(2) Registration fee to be paid (once):

Regular Students Rs.500/- and Foreign Students Rs.2,500/-.

(Re-registration for Regular Students Rs.500/- and Foreign Students Rs.2,500/-wherever applicable.)

(3) Other fees:

Sr. No.	Details of Fees (Per Semester/Term)	Regular Students (Fees in Rs.)	Foreign Students (Fees in Rs.)
1	Tuition Fees	1,500	7,500
2	Term Fee including lab & Computer fee	3,000	5,000
3	Library Fee	500	500
4	Gymkhana Fee	20	20
5	WDC Fee	10	10
6	Youth Welfare Fee	30	30
7	Union Fee	10	10
8	Sports Fee	20	20
	Total	5,090	13,090

(4) Synopsis Fee (To be paid at the time of submission): Regular Students Rs.5,000/- and Foreign Students Rs.10,000/-.

13.1 The students to be admitted to the Ph.D. programme shall have to pay the prescribed fees as stated above or as modified by the Executive Council from time to time. The fees once paid shall neither be adjusted nor refunded even if the student withdraws from the programme. Any future revision of fees payable by the Ph.D. students shall also be applicable to the existing Ph.D. students.

13.2 All Ph.D. students shall have to pay the prescribed fee in two semesters/terms every year till the date of submission of the Ph.D. thesis.

O. Ph. D.14. Institutions where research can be done:

A candidate may be permitted to pursue research for the Ph.D. degree in any of the following institutions:

- (i) All the Schools/Departments/recognised and approved centres of Gujarat University.
- (ii) Colleges affiliated to the University/or any other institution and having necessary facilities to carry out Ph.D. research may be recognised for doctoral research by the Executive Council based on the recommendation of an Expert Committee/Local Inquiry Committee appointed by BUTR in the branch of study/subject concerned. The recognition for conducting research shall be valid for ten years and the Expert Committee may renew it after due inspection.
- (iii) Regional Research Institutes recognised by the University.
- (iv) National Research Institutes under ICMR, CSIR, ICSSR, IIA, NGRI, DRDO, DAE, etc., and all Government of India Research Institutes of National importance deemed to have been recognised as Research Centres.
- (v) R & D labs of public and private sector undertakings, centres of research for Social Sciences, Humanities, Management, etc., duly recognised by the University as having necessary facilities after due inspection by a Committee.
- (vi) Foreign Universities and R&D Labs duly recognised by the University or with which MOU exists.
- (vii) With regard to the Ph.D. programme under part time and independent registrations, candidates may be permitted to pursue research from their place of work/residence in respect of Humanities, Social Sciences and Mathematics. In respect of Scientific and Technical Research, candidates may conduct their Research at R&D labs/institutions recognised by this University but not necessarily located in the territorial jurisdiction of the University.

O.Ph.D.15. Cancellation of Registration:

The Ph.D. registration of a student is liable to be cancelled for any of the following reasons:

- (a) Consistent lack of progress in research.
- (b) Violation of discipline and conduct rules of the Institute/Department/School/University.
- (c) Non-submission of the thesis within the stipulated period.

- (d) Non-conformity with the regulations of the programme.
- (e) Giving false information at the time of application/admission.
- (f) Registration may also be cancelled on the recommendations of the RDC on account of lack of progress as reported by the guide and also after giving due opportunity to the student for defending his/her case.
- (g) Registration of the candidate shall be automatically cancelled if he/she fails to submit the Ph.D. thesis within five years from the date of provisional registration in the case of full-time candidates and six years from the date of provisional registration in the case of part-time/independent students.

O.Ph.D.16. Period of registration – norms for extension

- 16.1 A full time Ph.D. student shall be registered for a maximum period of five years and part time/independent students for a maximum period of six years from the date of provisional registration. This period may be extended by two years based on the request of the student on valid grounds, by the VC, on the recommendation of RDC. However, under very special and compelling, circumstances the VC may grant a student a grace period of 90 days to submit the thesis after the expiry of the extended period.
- 16.2 In case the student fails to submit the thesis within this period he/she shall have to get re-registered. For re-registration, the rules of registration applicable to a fresh applicant shall have to be followed, including course work, submission of proposal, title clearance, synopsis, thesis, etc., but the person shall be exempted from writing the entrance test and GDPI/seminar.

O.Ph.D.17. Change in the type of Ph.D.:

In the case of request for interchange from regular student to part time/or part time to regular student, BUTR shall consider such requests under compelling circumstances on the recommendation of RDC.

O.Ph.D.18. Change of Topic and Title:

A student shall select and finalise the research title within a period of six months from the date of provisional registration, in consultation with the guide. If a change of topic/title becomes necessary, the RDC may, on the recommendation of the guide, permit to change the topic/title already given within a period of one year from the date of registration. When such a change is permitted, the thesis shall be submitted only after two (for regular students) or three years (part time and independent) from the date of approval of such change of topic/title.

O.Ph.D.19. Progress Review:

- 19.1 **Submission of Progress Report:** The registered research students have to submit progress reports after every six months. The report shall include an elaborate description of the reading, writing, data collection or any other work done in relation to the research. The student can also mention difficulties encountered, if any.
- 19.2 The guide is expected to certify the report and mention in unambiguous terms whether the progress is satisfactory or not and whether the work done during the period under consideration is relevant and adequate or not. Only after the guide's approval regarding the satisfactory progress of the work, the student shall be allowed to continue his/her research in the next term/semester.
- 19.3 The RDC shall meet to review the progress of the Research Programme of the student at the end of every term/semester.

O.Ph.D.20. Research Process

- 20.1 After completion of research work to the satisfaction of the guide, the Ph.D. student shall produce a thesis within a reasonable time as stipulated by the university.
- 20.2 The Ph.D. programme culminates with the submission of a thesis of a substantial work of original research carried out by the student under the guidance of the guide. It is expected to be potentially fit for publication and should stand peer review.
- 20.3 The student shall state generally in the preface and specifically in notes, the sources from which the information is derived, the animal and human ethical approvals, obtained, if any, the extent to which the work of others has been made use of, and the portion of the work the researcher claims as original.
- 20.4 The Ph.D. student shall publish a minimum of one research paper in a refereed journal before the submission of the thesis for adjudication and produce evidence for the same in the form of acceptance letter from the publisher or the reprint/copies of the publication.
- 20.5 The Ph.D. student shall have attended and presented at least one paper on his/her research work in a national/international seminar/conference, before the submission of the thesis.
- 20.6 All the relevant documents shall be submitted at the time of submission of the thesis.

O. Ph. D. 21. Submission of Synopsis:

- 21.1 A synopsis is viewed as a mini version of the thesis. It shall provide a clear idea about what the thesis is. It shall (a) state the objectives, nature and scope of the work done, (b) state the principal conclusions, (c) state the contribution made to the body of knowledge on the subject, and (d) bibliography. The expected length of the synopsis is ten double-spaced A-4 size pages. The synopsis shall be placed on the University website.
- 21.2 The synopsis shall contain introduction, chapter-wise brief account of the work done and overall conclusions. The synopsis shall be in English.
- 21.3 The student shall submit 18 copies of the synopsis of his/her thesis with a fee of Rs.5,000/-(Foreign Students Rs.10,000/-), along with soft copies of the synopsis, through the guide and head of the department, to the university.
- 21.4 A full time Ph.D. student may submit the synopsis after a minimum of three semesters of admission and the thesis after a minimum four semesters.
- 21.5 A part time/independent Ph.D. student may submit the synopsis after a minimum five semesters of admission and the thesis after a minimum of six semesters.

O.Ph.D.22 Format of the thesis

- 22.1 The Ph.D. student shall submit all the necessary research work stated above and produce evidence for the same in the form of acceptance letters from the publishers or reprints/copies of the publication.
- 22.2 Every student shall submit with his/her thesis a certificate from the guide under whom he/she worked, that the thesis submitted is a record of original research work done by the student during the period of study under his/her supervision and that the thesis has not previously formed the basis for the award to the candidate of any Degree, Diploma, Associateship, Fellowship or other similar titles and that the thesis represents independent research work on the part of the student.
- 22.3 The thesis shall be submitted in a compact bound form along with a soft copy. Along with the thesis five copies of the abstract should be submitted.
- 22.4 The final thesis shall be presented in accordance with the following specifications:
- a. The paper used for printing shall be of A4 size.
 - b. The printing shall be in a standardized form on one side of the paper and in one and-a half spacing.
 - c. A margin of one-and-a half inches shall be on the left hand side.

- d. The title of the thesis, name of the student, degree, name of the guide, place of research and the month and year of submission shall be printed on the title page and the front cover.
- 22.5 The colour of the cover should be preferably dark. Side cover should mention “Ph.D. thesis” on the top, name of the student, month and year.
- 22.6 The thesis shall also contain certificates as per the proforma given in Appendix III.

O.Ph.D. 23. Submission of the thesis

- 23.1 Prior to submission of the thesis, the student may, if she/he chooses, make a pre-Ph.D. presentation in the department/university that may be open to all faculty members and research students for getting feed back and comments which may be suitably incorporated in the thesis under the advice of the guide. This is optional and shall be done only with the permission of the guide.
- 23.2 The thesis shall be submitted to the University for evaluation not later than six months after the submission of the synopsis, through the guide and the Head of the University Department/Head of the Institution.
- 23.3 If the student fails to submit the thesis within six months from the date of submission of the synopsis, a maximum of two extensions of three months each may be given by the VC on the recommendation of RDC. If the student wants to submit the thesis thereafter, it can be done only with the approval of the RDC. In that case, the student shall have to submit the synopsis afresh, as also pay the required fees again.
- 23.4 The student shall submit four copies of the thesis along with soft copies in read only format to the University through the guide.
- 23.5 Supplementary papers to the thesis, printed copies of any contributions to the knowledge of the subject or of any cognate branch of science that may have been published in journals or periodicals may also be included along with the thesis or given as bibliography.

O. Ph. D.24 Appointment of Examiners

- 24.1 The procedure for the appointment of examiners shall be undertaken soon after the candidate submits his/her synopsis.
- 24.2 The thesis shall be evaluated by two external examiners for the respective faculty as shown below:

i. For Commerce and Management, Medical and Science Faculties:

Ideally, one examiner from India and one from outside India or both the examiners from outside the State of Gujarat.

ii. For other faculties :

One examiner from the State and one from outside the state.

- 24.3 The RDC shall prepare a list of 10 external examiners, five from India/and or five from abroad. The VC shall appoint two examiners, as per the above norms, from the above list. In the case of independent Ph.D. students, the VC shall nominate a third examiner, based on the recommendation of RDC, who shall be a Ph.D. guide from any concerned department of the University.

O.Ph.D.25. Evaluation of the Thesis:

- 25.1 The university shall complete the process of evaluation of the thesis within a period of one year from the date of submission the final thesis.
- 25.2 The evaluation shall be done by two external examiners and the guide. Where there is a co-guide, the guide and co-guide may either prepare a joint report or separate reports.
- 25.3 The Examiners who evaluate the thesis shall report on the merit of the student's thesis for the Ph.D. degree in one of the following terms:
- The thesis to be accepted for the award of Ph.D. degree in the present form.
 - The thesis to be accepted for the award of Ph.D. degree after minor corrections/revisions.
 - The thesis can be passed after obtaining clarifications at the time of *viva voce*.
 - The thesis be revised and resubmitted for evaluation.
 - The thesis is rejected.
- 25.4 The format of the examiner's adjudication report is given in Appendix IV, which shall be sent to every examiner while sending the thesis.
- 25.5 **Opinion of examiners on evaluation of the thesis:**
- i. If the thesis is commended (approved) by both the external examiners, each examiner may seek clarifications/questions, if any, to be answered at the time of *viva voce*.
 - ii. In case both the external examiners have not commended the thesis (not considered the thesis acceptable for Ph.D. degree), then the thesis shall be rejected and the registration cancelled.

- iii. In case, one of the external examiners has not commended the thesis, then the thesis shall be again referred to a third external examiner appointed by the VC, either in India or abroad as the case may be. If the third examiner commends the thesis, the student shall be allowed to appear for the *viva voce* examination. If the third examiner does not commend the thesis, it shall be rejected and the registration cancelled.
- 25.6 If the examiner/examiners insist/s on any correction/revision to be made in the thesis, the same shall be made by the student before the *viva voce* examination and certified by the guide.
- 25.7 If the Examiner/Examiners explicitly suggest/s the need for revision and re-submission of the thesis for further examination, then the revised thesis, duly certified by the guide, shall be sent to the same examiner/s for further evaluation. In the absence of such a statement or if the examiner concerned specifically instructs that the revised thesis need not be sent back to him/her, the revised thesis duly certified by the guide shall be examined by the RDC and accepted, if found in order, and the student shall be allowed to appear for *viva voce*.
- 25.8 Where the student has been asked to revise/resubmit the thesis, the same shall be done within the shortest possible period and in any case not later than one year from the date of the communication regarding the same by the University.
- 25.9 In case the candidate fails to submit the revised thesis within one year, the process of thesis evaluation gets cancelled. Then, the candidate shall submit the synopsis again, along with the fees, to start the process of thesis evaluation afresh.
- 25.10 The external examiners are expected to send the evaluation report within two months from the date of receipt of the thesis. In case of undue delay by the examiner to send the report, the University may, with the approval of RDC, send the thesis to another external examiner from the panel prepared by the University.

O.Ph.D.26. *Viva Voce*:

- 26.1 On receipt of satisfactory evaluation reports, either in hard copy or through authenticated e-mail or fax, the Ph.D. student shall undergo a *viva voce* (oral examination) where he/she shall defend the research work in the thesis.
- 26.2 In cases where the thesis has been approved, and on receipt of communication from the University, the guide shall coordinate the conduct of *viva voce* for the candidate.
- 26.3 The guide shall fix the date and time of the *viva voce* in consultation with the external examiner, who shall be appointed by the VC for conducting the *viva voce* examination. The guide shall give wide publicity and at least 10 working days'

- notice for scheduling of the examination. The maximum time limit for conducting *viva voce* shall be three months from the date of receipt of evaluation reports from the examiners. If the student fails to take *viva voce* within three months on valid grounds, the VC may permit two three-month extensions on specific request/s from the guide through the RDC. If the student fails to take the *viva voce* even after the extension/s, the Ph.D. registration shall stand cancelled.
- 26.4 The *viva voce* shall be held on any working day of the University. In case the *viva voce* Examiner is not in a position to travel to the University, the guide can arrange a *viva voce* with the participation of the external examiner through video-conferencing or at a place convenient to the examiner, with the permission of the VC on the recommendation of RDC.
- 26.5 In the *viva voce*, the guide shall introduce the External examiner, who shall then conduct the *viva voce* (closed door). The student shall make a 30-minute presentation about the research work. After the presentation, the external examiner and the guide shall conduct the *viva voce*.
- 26.6 If the student passes the *viva voce* examination, the *viva voce* examiner and the guide shall consolidate the recommendations and submit the same to the University, as per the format given in Appendix V, for the award of the degree based on
- a. the reports of the examiners who adjudicated the thesis and
 - b. the evaluation of the student's performance in the *viva voce* examination.
- 26.7 The student who is successful in the *viva voce* examination shall be declared to have qualified for the Ph.D. degree.
- 26.8 The student shall, thereafter, give a public presentation of the thesis in the University on the same day, wherein teachers and students and research scholars in the related fields shall be invited. The guide shall notify about the presentation well in advance.
- 26.9 If a student does not satisfy the Examiners at the *viva voce* examination, he/she shall be re-examined after a period of not less than three months. The student shall not be declared eligible for the degree unless all the Examiners unanimously declare him/her eligible for the degree.
- 26.10 In the event of both the external examiners being unavailable for the *viva voce*, a third (external) examiner from within India shall be appointed by the VC, in consultation with the RDC to conduct the *viva voce*.

O.Ph.D.27. Award of degree

- 27.1 A candidate becomes eligible for the award of the Ph.D. degree after fulfilling all the academic requirements prescribed by the University.
- 27.2 The Ph.D. degree shall be awarded in the discipline of the Faculty in which the student is registered for the Ph.D. programme. The title of the Ph.D. thesis and subject/faculty shall be mentioned in the Notification.
- 27.3 If the thesis is recommended for award of the Ph. D. degree after the *viva voce*, the Registrar, with the approval of the VC, shall declare the result. A certificate to this effect shall be issued by the Registrar to the successful student.

O. Ph.D.28. Deposit of thesis with the UGC and the Commissioner of Higher Education

- 28.1 Following the successful completion of the evaluation process and announcement of the award of the Ph.D. the University, the student shall submit, through the University, a hard and soft copy each of the Ph.D. thesis to the UGC and the Commissioner for Higher Education, Government of Gujarat, within a period of 30 days, for record and for hosting the same in INFLIBNET accessible to all Institutions/Universities. In the case of a thesis written in a regional language, a translated version of the same into English shall be submitted as above.
- 28.2 One copy of the thesis shall be placed in the University Library and one copy shall be sent to National Library. The student' name, title of the thesis and an extended abstract shall be placed on the University website by the University.

O.Ph.D. 29 General Rules applicable

- 29.1 The students shall follow the rules and regulations prescribed by the University from time to time, even if they are not included in these Ordinances. The University shall have the right to modify, change or add to the rules and regulations which shall be binding on the students.
- 29.2 The Ph.D. students shall be entirely responsible for any duplication or plagiarism or piracy occurring in the thesis. In case any such acts are detected even after the award of the degree, the student shall be held accountable for the irregularity and this may even lead to cancellation of the degree. The decision of the University in this regard shall be final and binding on the student.
- 29.3 If any differences of opinion/dispute develop between the student and the guide at any time during the course of the research work, the decision of BUTR in the matter shall be final and binding on the student and the guide.

**O. Ph.D.30. Rules for recognition of an Institute/College/Centre/
Laboratory/Library/Museum for Ph.D. research.**

30.1 The Institute/College/Centre/Laboratory/Library/Museum, etc., which require recognition to conduct Ph.D. research shall apply to the Registrar in triplicate with application fee at the prescribed rate, which is non-refundable, before the 30th July every year, together with three copies of a report containing various information required.

30.2 The BUTR may also consider applications from outside the territorial jurisdiction of the University. In such cases the applicant institution shall have to bear the total cost of T.A./D.A., etc., of the visiting team from the University in connection with the inspection, in addition to the application fee.

30.3 A team consisting of at least two experts shall visit the Institute/College/Centre/Laboratory/Library/Museum, etc., and shall inspect the availability/adequacy of the following facilities, wherever applicable:

(a) Library Facility

(i) A library with adequate number of books (about 2,000) and journals (about 10) of national and international standard on the subject and allied fields of study.

(ii) A full time qualified Librarian with supporting staff.

(iii) Adequate reading room facilities.

(iv) Digitalisation facilities

(b) Lab Facility

(i) A Laboratory with adequate equipment and space.

(ii) Adequate staff for fabrication of specialised equipment needed for research.

(iii) Adequate staff for running and maintenance of the range of equipment needed for research.

(c) Details of Manpower

(i) A full time executive-in-charge of administration of the Institute/College/Centre/ Laboratory/Library/Museum, etc.

(ii) At least one person who has been recognised as guide in the subject/discipline in which Ph.D. recognition is sought.

(d) Details regarding land and building:

- (i) Areas of the land, whether owned/leased along with their details.
- (ii) Nature and type of building/s.
- (iii) Details of class rooms, office space, infrastructure facilities, etc., of the institution.

(e) Details of financial resources

- (i) Recurring grant received during the year previous to the visit and in the visit year (if available)
- (ii) Non-recurring grant/grants received during the year previous to the visit and in the visit year (if available.)
- (iii) Any other financial sources (with details of magnitude and, nature) including interest from fixed deposits, if any.

- 30.4 The committee shall submit its report to the University with full details covering the above aspects along with its critical observations and recommendations, which shall be submitted to the BUTR for further course of action. The recommendation of the BUTR shall be placed before the Executive Council through the Academic Council for approval.
- 30.5 The recognition of the institution shall be subject to renewal on the basis of a report submitted by a team consisting of at least two experts who shall visit the Institute/College/Centre/Laboratory/Library/Museum, for the purpose. Periodical inspection of such centres shall be arranged by the University on a case to case basis to ensure the quality of infrastructure for research available with the institution.
- 30.6 Recognition shall be accorded for a period of 10 years, subject to renewal on the basis of a report on the activities of the institution to be submitted along with a non-refundable renewal fee at the prescribed rate.
- 30.7 It should be noted that even though the University may recognise an affiliated college, centre, laboratory, institution, library/museum for research work for the award of Ph.D., their faculty members shall not be automatically considered as approved Ph.D. guides, but each eligible faculty/professional member from such institutions may get himself/herself recognised as approved guide by the University as per the procedure for recognition of Ph.D. guides.