

KHALSA COLLEGE, AMRITSAR

(AUTONOMOUS COLLEGE)

Affiliated to Guru Nanak Dev University, Amritsar

Ph.D. Ordinances

(Subject of Modification)

The Ph.D. programmes are governed by Khalsa College, Amritsar (Autonomous), affiliated to the Guru Nanak Dev University, Amritsar (ordinance for the Degree of Doctor of Philosophy, Ph.D.), Regulations, and will award the Ph.D. Degrees in Faculty of Sciences (Chemistry, Physics, Zoology) and Agriculture, Arts & Social Sciences (Punjabi Studies) and other Faculties may come into existence.

The provisions of these regulations shall apply to every candidate applying for admission, registration, conduct leading to the conferment of the Degree of Doctor of Philosophy (Ph.D.) of this Institute.

The Degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate on the basis of original research work of merit incorporated in a thesis, recommended by a board of examiners and successfully defended by the candidate during a Viva-Voce.

The thesis shall demonstrate that the candidate has technical mastery of the chosen field of investigation and is capable of doing scholarly work. The result of research embodied in the thesis shall be a contribution to existing knowledge either by a discovery of new facts or by a discovery of some new relations between facts already known, or by a critical survey of facts/issues leading to a new interpretation.

1. Eligibility:

- i) Candidates who have completed 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme 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 or equivalent CGPA out of 10 or [50% marks or equivalent CGPA out of 10, 5% relaxation for SC/ST/OBC (non-creamy layer)/EWS and differently-abled candidates] of Guru Nanak Dev university or an equivalent degree of recognized Indian or Foreign University in the subject concerned or allied-field.
- ii) A person whose M.Phil. dissertation has been evaluated and the viva-voce is pending may be admitted to the Ph.D. programme of the same Institution.
- iii) Further that the eligibility of foreign candidates shall be determined on the basis of recognition of their degrees equivalent to (i) above by Association of Indian Universities, New Delhi.

2. Duration of the Programme:

- i) A Research Scholar may be eligible for submission of thesis after the expiry of three years duration including course work from the date of provisional registration. The Research Scholar shall have to submit the thesis normally within four years of provisional registration.
- ii) After four years, the Dean, Academic Affairs may, on the application of the **Male** candidate recommended by the Supervisor and forwarded by the Head of the department concerned,

extend this period by one year followed by another year. After a period of six years, from the date of provisional registration, on a request made by the Male candidate, the **Principal** of the college after considering the recommendations of the Dean, Academic Affairs may condone further delay in the submission of thesis up to one year in very special circumstances.

- iii) Similarly, after four years, the Dean, Academic Affairs may, on the application of the **Female** and person with disability (more than **40% disability**) candidate recommended by the Supervisor and forwarded by the Head of the department concerned, extend this period by three years (one by one). After a period of seven years after the date of provisional registration, on a request made by the female candidate and person with disability (more than 40% disability), the Principal of the college after considering the recommendations of the Dean, Academic Affairs may condone further delay in the submission of thesis up to one year in very special circumstances.
- iv) A fee will be charged as prescribed by the college from time to time for each extension in submission of thesis.

Further that the maximum time limit for submission of thesis after the date of provisional registration shall be seven years for **Male** Candidates and eight years for Female Candidates and person with disability (more than 40% disability), after which no extension shall be granted. If the candidate is unable to submit the thesis after the completion of the extended time period, the registration of the candidate will automatically stand cancelled after he/she has availed the extensions to be allowed by the **Dean, Academic Affairs/Principal** for submission of Ph.D. thesis.

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.

3. Admission:

The application for admission to the Doctor of Philosophy (Ph.D.) programme is made to the Principal, against an advertisement placed in national newspapers twice in a year (July and January)

- i) The **college** shall admit Ph.D. candidates through Ph.D. Eligibility test conducted at the level of the University.
- ii) The candidates who have qualified UGC (NET)/ UGC-CSIR (JRF) examination/ SLET/ GATE/ INSPIRE/ GPAT/ ICAR-SRF (PGS)/ Rajiv Gandhi Fellowship awardees/ Maulana Azad National Fellowship/ JEST/ teacher fellowship holder or have passed M.Phil. from Guru Nanak Dev University, Amritsar and foreign candidates sponsored by ICCR or any other department of Government of India will be exempted from Ph.D. eligibility test. Applications of other foreign candidates who wish to seek admission directly (without sponsorship) to Ph.D. programme shall be examined by the Board of **Study** of concerned department. The BOS shall give its recommendations and issue eligibility certificate for admission of such foreign candidates to the Ph.D. programme without Ph.D. eligibility test with the prior approval of the **Principal**.
- i) The UGC/ CSIR/ INSPIRE/ Rajiv Gandhi Fellowship awardees Maulana Azad National Fellowship or candidates who are awarded fellowships directly by their or other funding

agencies for the purpose of pursuing Ph.D. can be provisionally registered any time during the session. NET/ GATE qualified project fellows appointed against financed projects can also be provisionally registered for Ph.D. any time during the session.

- ii) Merely qualifying the Ph.D. eligibility test will not entitle the candidate for admission to Ph.D.
- iii) The number of candidates to be admitted to the Ph.D. programme will be notified by the **college**. The number of seats depending upon the number of projects and research facilities available may vary.
- iv) While granting admission to the candidates to Ph.D. Programme, the Department will pay due attention to State Reservation policy. The UGC / CSIR/ JRF/ INSPIRE/ Rajiv Gandhi Fellowship and other direct fellowship awardees will be admitted irrespective of reservation category. However, any one category will not have more than one seat at the cost of any other reserved category, if two or more seats are available by clubbing.
- v) The qualifying marks for Ph.D. eligibility test is 55%. The syllabus of the Eligibility Test shall be based on UGC-NET. The eligible candidates shall appear for an interview to be conducted by the **Board of control/Board of Studies (BOS)**. At the time of interview, the candidate has to prove that he/she possesses the competence for the proposed research, the research work can be suitably undertaken at the Institution and that the proposed area of research can contribute to new/additional knowledge. Further that if there is no **Board of control/ Board of Studies (BOS)** in the Department, then Dean Research, Dean of the Faculty, Head of the Department and Senior Most Teacher of the Department may convene a meeting and concerned candidate of that Department may appear in the interview for admission to provisional Ph.D. registration.
- vi) The college shall maintain the list of all the Ph.D. registered candidates on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of Registration.

4. Allocation of Research Supervisor:

- i) All permanent Professor/Associate Professor/Assistant Professor/Principal working in Post-graduate departments college holding Ph.D. degree along with five research publications in refereed journals and having minimum of five years post graduate teaching experience in the subject for which Ph.D. is to be offered are eligible to be appointed as Supervisors.
- ii) Only a full time regular teacher of the college can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the college with the approval of the Board of Studies /Research Degree Committee (if there is no BOS).
- iii) The allocation of Research Supervisor for a selected research scholar shall be decided by the Board of Studies of the Department concerned 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.
- iv) In case of topics which are of inter-disciplinary nature where the department concerned feels

that the expertise in the department has to be supplemented from outside, the department may appoint a Research Supervisor from the department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institution.

In addition, the department may appoint Research Supervisor from the discipline of allied field from outside the Department/ Faculty while ensuring Research Supervisor will possess the expertise in relevant discipline. The candidates who have completed their Post Graduation from Khalsa college, Amritsar will be allowed the option to register in their parent department/ faculty (from where he/she has completed Master's) or in the allied department/ faculty (from where the supervisor has been allocated). The degree will be awarded to such candidate under the subject/faculty in which he/she registers.

The names of such supervisors in inter-disciplinary areas from other departments of the same institute or from other related institutions will be recommended by the concerned Board of control/BOS / Research Degree Committee (if there is no BOC), where the candidate has registered.

- v) At any point of time, a Professor, an Associate Professor and an Assistant Professor will not register more than four, three and two candidates respectively, in the capacity of Supervisor/Co- Supervisor. For this purpose a candidate whose viva-voce exam is not over, will still be counted as registered candidate. Further that, those teachers who are sanctioned joint research projects by UGC/CSIR/DST/ICSSR, or other funding agencies, and are jointly supervising a Ph.D. candidate, will share half the load for each jointly supervised candidate (The joint scholar cannot be more than Four for Professor, Three for an Associate Professor and Two for an Assistant Professor) within prescribed quota given as above. Besides, a teacher may be allowed to supervise an additional number of Ph.D. candidates, not exceeding two for a Professor/Associate Professor, and one for a Assistant Professor each, to accommodate newly sanctioned projects, additional number of fellowships awarded by UGC/DST etc. to Departments under their research programmes, and the direct fellowship awardees and Foreign/ NRI Candidates.
- vi) However, if any teacher leaves/ resigns the job or leaves for any other reason from this college at any stage during the period of a candidate doing his/her Ph.D. with his/her Guidance, then the same candidate will be allotted to a new Supervisor/Co-Supervisor, to complete his/her Ph.D vice-versa. Further that if the candidate has not spent more than one year with the guidance of concerned supervisor and that supervisor joins another institution/ university, then he/she (Research Scholar) may be allotted to a New Supervisor for completing his/her research work.

In case the new Supervisor/Co-Supervisor in the concerned department has full quota of registered candidates, he/ she shall be allowed to guide such additional number of Candidates (Not more than Three for Professor, Two for Associate Professor and one for Assistant Professor) for this purpose, in addition to the number of candidates already Registered with him/her. Such cases will be approved by the Principal on the recommendations of the Board of Studies.

- vii) In case of relocation of a 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 institution/supervisor from any Funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- viii) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years. A new supervisor will be appointed after the superannuation of the concerned teacher.

5. Change of the Supervisor:

- i) The supervisor superannuates and is no more an employee of the university even on extension on regular basis.
- ii) The supervisor goes on Extra Ordinary Leave for extended period beyond one year;
- iii) The supervisor gets incapacitated and is unable to guide the student;
- iv) On the sad demise of the supervisor;
- v) In exceptional circumstances, by the speaking orders of the competent authority.

The department will send a speaking request for change of the supervisor in case of above mentioned conditions with documentary evidence for competent authority for taking decision in the case after the recommendation of Board of Studies. However, the earlier date of provisional registration/registration shall stand.

In all other cases, not covered under the above conditions and if the student wishes to change supervisor, he/she will enroll/register afresh, following the procedure of admission as mentioned in the UGC regulations of 2016 governing Ph.D.

In case the student has completed the Pre-Ph.D. course in college and cleared the course, the privilege of foregoing the Pre-Ph.D. course will be considered with the approval of the competent authority.

6. Allocation of Co-Supervisor:

The allocation of co-supervisor, in addition, during the Ph.D. provisional registration/registration can be made by the Board of Studies with valid reasons.

7. Course Work:

- i) A candidate admitted to Ph.D. shall be required to undertake course work for at least 18 credits and a mandatory Seminar as required for the degree of doctor of philosophy.
- ii) The course work shall be treated as prerequisite for Ph.D. preparation. Each Ph.D. candidate will have to undertake 1 course (4 credits) on Research Methodology in the subject of specialization, which will include quantitative methods, computer applications, Research Ethics and reviewing of latest published research work in relevant field, training, field work etc.

- iii) In addition, each Ph.D. candidate will be required to undertake courses for 12 credits (4 courses of three credits each) with the approval of his/her supervisor. These courses may be offered from the same department or in an allied field/s in other departments of the college, and that at least one of these courses should be from outside the Department.
- iv) The Candidate will also have to opt a mandatory course of foreign language of two credits out of the four foreign language courses i.e. Chinese, French, German and Russian; in addition to the existing stipulated Pre-Ph.D. courses to be studied by the candidate.

The candidate will have to clear courses in the first two semesters as per the programme of the Department. Direct fellowship awardees or candidates registered for Ph.D. during the middle of the semester will take up course work in the following semester. The Ph.D. course work will follow credit based system, the details of which are given in Annexure-I.

Further that, the Ph.D. candidates who have done course work in M.Phil./M.Tech./LL.M./ M.D/ M.S./ M.Pharma. shall be exempted from course work in Ph.D. to the extent of **maximum of seven credits**. A candidate having any other degree which requires a minimum of seven years of education after Senior Secondary (10+2), even if different from that offered in Ph.D. shall also be exempted from course work in Ph.D. to the extent of maximum of seven credits however, if a candidate has not done course on research methodology, he/she will have to clear this course in Ph.D. Furthermore, there is no need to mention credits of Pre-Ph.D. course work on the "Certificate of Compliance" as the credits of Pre-Ph.D. course work cannot be uniform in view of exemption to M.Phil. candidates. Accordingly, the 'Certificate of Compliance' may be issued without mentioning the credits for Pre-Ph.D. course work.

The syllabus for Pre-Ph.D. course work will be drawn by the Board of Studies or Research Degree Committee (if there is no BOS) subject to the approval by the Academic Council.

8. Board of Control/Board of Studies and its functions for Provisional Registration:

a) The constitution of the Board of Control/Board of Studies in each subject shall be as follows:-

- i) Head of the Department concerned (Chairperson).
 - ii) All faculty members of the Department.
 - iii) Two subject experts from outside the parent University are to be nominated by the Academic Council.
 - iv) One subject expert is to be nominated by the Vice-Chancellor.
 - v) One representative from industry/corporate sector/allied areas to be nominated by the Principal.
 - vi) One member of the College alumni to be nominated by the Principal.
 - vii) Experts from outside the Autonomous College, whenever special courses of studies are to be formulated, to be nominated by the Principal.
- b) A candidate who is eligible for admission as a research student for the degree of Ph.D. may, in the first instance be registered provisionally under the supervision of a supervisor duly recommended by the **Board of control/Board of Studies** and approved by the Principal. Further

that if there is no **Board of control/Board of Studies** in the Department, then Dean Research, Dean of the Faculty, Head of the Department and Senior Most Teacher of the Department may recommend the case for admission to Ph.D. registration provisionally. The application for registration recommended by the Supervisor and forwarded by the Head of the Department must include a statement of the area of research, and a tentative outline to review the research proposal.

- i) Summary of the research proposal in about 500 words. It should briefly cover tentative outline research proposal along with tentative topic.
- ii) The candidate is required to pay the Pre- Registration (One time) and semester fees as prescribed by the college from time to time.
- iii) Self-attested Photo Copies of Matriculation, Bachelor's Degree, DMCs of Master's and Master's Degree.
- iv) N.O.C. from the concerned deptt. /institution as prescribed in the registration forms (If the applicant is employed).
- v) After the approval of provisional registration of the candidate for Ph.D. by the Principal, the date on which the candidate deposits the registration fee, will be considered as the date of provisional registration.
- vi) A candidate will have to submit original certificates to the office immediately for issuance of provisional registration letter, failing which his/her admission to Ph.D. may be cancelled.
- vii) The six month progress reports is to be submitted by the Research Scholar duly signed by the supervisor and forward by the Head of the Department for consideration of the Board of control/ Studies (BOS).
- viii) The research candidate will deliver a departmental seminar after two years of his/her provisional registration, to apprise the teachers and research scholars of the Department of the progress of the research done by him/her.
- ix) The Ph.D. candidate will maintain a complete record of research data and draft of the thesis.

9. Cancellation of Provisional Registration/Registration:

The Provisional Registration/ Registration of the candidate will be cancelled, if he/she:-

- i) does not register for course work in the ongoing/ immediately following semester (if admitted mid semester) on his/her admission to Ph.D.
- ii) fails to maintain the required CGPA in the course work as per rules.
- iii) if the progress of the research scholar is found not satisfactory by the supervisor, the Board of Studies shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Board of Studies may recommend with specific reasons for cancellation of the provisional registration/registration of the research scholar.
- iv) does not pay the fee/dues in time.
- v) commits to plagiarism or unethical practices in research.
- vi) indulges in activities of indiscipline,
- vii) absents himself/herself from the Department without permission of the competent authority.
- viii) request by the candidate and his/her application recommended by the supervisor and forwarded by the Head of the Department.

10. Submission of Synopsis:

After a candidate has made reasonable progress, he/she will be eligible to submit the synopsis along with prescribed form recommended by the Supervisor and forwarded by the Head of the Department after one year from the date of provisional registration and within two years from

the date of provisional registration. However, If the candidate fails to submit his/her synopsis within limit period from the date of provisional registration, the Dean, Academic Affairs may grant extension of six months for submission of synopsis with a fine as prescribed by the college from time to time as late fee. Further that the maximum time limit for submission of synopsis after the date of provisional registration shall be two & half years, after which no extension shall be granted. If the candidate is unable to submit the synopsis after the completion of the extended time period, the provisional registration of the candidate will automatically stand cancelled.

The application must be accompanied by a appropriate number of copies of synopsis containing the following:

i) For Science and Engineering & Technology related subjects:

- The title of the synopsis.
- Review of the literature.
- Objectives
- Work Plan
- Result and discussion.
- Brief summary & future plan
- bibliography

ii) For other Subjects:

- Title of the synopsis.
- Review of the literature.
- Objectives
- Research Methodology
- Proposed Chapter Scheme.
- bibliography

iii) The candidate is required to pay the Fee along with synopsis as prescribed by the college from time to time.

11. Research Degree Committee:

- a. The constitution of the Research Degree Committee in each subject shall be as follows:-
 - i) The Dean of the Faculty Concerned-Chairman
 - ii) The Head of the Department
 - iii) Chairman of Board of Control of the concerned department of the university
 - iv) Senior professor/Nominee of the concerned department of the university
 - v) All Associate Professors of the Department and two Assistant Professors by rotation in order of seniority provided they hold a Ph.D. Degree.
 - vi) In case the number of internal members of RDC is less than five, the Principal may nominate one or two Associate Professors from allied disciplines from the College.
 - vii) Not more than three experts from the same or allied disciplines from outside the College may be appointed by the Principal on the recommendation of the Board of control of the Department concerned.
 - viii) If not already a member, Supervisor/Co-supervisor will be a special invitee when the case of his/her candidate is considered.
- b. Provided that in the case of a subject in which there is no teaching department of the college, the RDC shall be constituted by the Principal in consultation with the Dean Academic affair.

The meeting of the RDC may be fixed with at least 10 to 12 days notice to all the members including applicant. The synopsis of the Research Scholar will be duly considered by the RDC for approval. The committee may also suggest changes in synopsis and reconsider the modified version. The RDC shall also send its positive recommendations to the RDB.

12. Research Degree Board (RDB):

- a. The constitution of the RDB shall be as follows:-
 - i) Dean of Academic Affairs–Chairman
 - ii) Dean Research
 - iii) All Deans of the Faculties
 - iv) All Professor/Associate Professors of the Departments
 - v) All Heads of the Departments
 - vi) Two seniors most Associate Professors of the college by rotation according to seniority, provided that they hold a Ph.D. degree.
- b. The RDB may also recommend to the competent authority, from time to time, changes and modification in the existing ordinances.

RDB in its meeting shall approve the RDC recommendations to finalize the registration as well as approved title of the thesis. After approval of the final title by RDB, the registration letter shall be issued to the concerned candidate with the approved title. However, the date of registration shall be same as that of provisional registration letter.

13. Conversion from Full-Time to Part-Time & Vice-versa:

- i) If a full-time Ph.D. candidate wishes to join a job or for any other valid reason, he/she will have to apply for conversion of his/her provisional registration/registration from full-time to part-time upon recommendation of the supervisor and forwarded by the Head of the Department with the prior approval of the Dean, Academic Affairs. Further that the candidate may also apply for conversion of his/ her provisional registration/ registration from Part-time to Full-Time
- ii) The fee for conversion of provisional registration/ registration from full-time to part-time will be as under:

Time after getting relieved	Fee
Upto 1 month	Rs.5000/-
After 1 month upto 12 months	Rs.7500/-
After 1 year upto 2 years	Rs.15000/-
After 2 year upto 3 years	Rs.20,000/-
After 3 years	Rs.25000/-

- iii) The fee for conversion of provisional registration/ registration from part-time to full-time will be Rs. 5000/-

14. Evaluation and Assessment methods, minimum standards/ credits for awards of the Degree, etc:

- i) Upon satisfactory completion of course work, and obtaining the marks/grade as per college

rules, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft of thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.

- ii) The candidate will have to give an open seminar in the department under the Chairmanship of the Head of the Department concerned, faculty members and other research scholars of the department. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the Board of control/Studies.
- iii) The date for the seminar will be fixed by the supervisor in consultation with the Head of the Department with information to the Dean, Faculty concerned, with at least one week notice to the faculty and the candidate; and the presence of supervisor is mandatory at the time of presentation. After the seminar, the candidate will submit four copies of summary (about 1000 words) to Examination Branch within three months from the date of Open Seminar provided that the actual date of submission of the thesis [As per clause 2 (ii) & (iii)] is not over.

If any minor changes & other corrections in the topic at time of Open Seminar is recommended, these minor changes & other corrections (if any) can be made with the approval of the Chairman, Research Degree Board (Dean, Academic Affairs) on the recommendation of supervisor and Head of the Department.

The Head of the Department in consultation with the supervisor will submit a list of nine examiners (Professor level), so that the consent of three examiners can be obtained before the submission of the thesis. However, if a candidate fails to submit his/her thesis within three months from the date of submission of summary, the Dean Academic Affairs may grant extension of one month with a fine of Rs. 2500/- and the Principal may grant another extension of one month with a fine of Rs.5000/-as a late fee provided that the actual date of submission of the thesis [As per clause 2 (ii) & (iii)] is not over.

- iv) Ph.D scholars must publish at least one research paper in a refereed and reputed journal and make two paper presentations in conferences/seminars before the submission of summary of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/ or reprints. In Science, Life Sciences and Engineering &Technology, the publication of the research paper must be in a peer reviewed ISSN journal or journal with impact factor 1.0 or above.
- v) A thesis must be based on original research resulting in either a discovery of new facts or a fresh interpretation of known facts and theories in either case, it should give evidence of the research candidate's clear understanding of the subject and his/her critical judgment, and it should be well presented. Edited texts of unpublished manuscripts or critical editions of published texts accompanied by proper collation and scholarly annotation and critical interpretation may be considered for the award of the degree of Ph.D. A research candidate may incorporate in his/her thesis contents of any subject for which no degree other than M. Phil has been awarded by this or any other university. The Ph.D. thesis in the Faculty of languages be written in the concerned language ordinarily.

A Ph.D. candidate can submit thesis either in the form of a 'Monograph' or in the form of a series of a 'Research Publication' demonstrating the work done during the Ph.D. program (details attached at Annexure-III).

A Research Scholar may submit the pen drive containing chapter-wise files of thesis in the office of the Dean Research for further checking of plagiarism from Research Centre which

has latest software for plagiarism checking. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor countersigned by the Dean Research attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other Degree/diploma of the same institution where the work was carried out, or to any other institution.

- vi) On completion of the research work the candidate shall submit four copies of Ph.D. thesis in Compact Size typed in One and a half space in Times New Roman, Font size 12 with double side printing except for Photographs which can be on one side of the pages together with one pendrive to the Examination Branch, (Thesis section) along with examination fee as prescribed by the college at that time and a certificate from the supervisor, and co-supervisor if any, that the thesis is fit to be considered for evaluation for award of the degree of Ph.D. The candidate shall also submit a certificate attested by the supervisor that the thesis is entirely based on his/her own work, and that all ideas and references have been duly acknowledged.

15. Evaluation of Thesis:

- i) The thesis shall be referred to three examiners selected by the Vice-Chancellor of the affiliating university from a panel of at least nine (9) names of Professor level (six Indian and three foreign examiners in case of candidates from the faculties of Applied Sciences, Engineering & Technology, Life Sciences, Physical Planning & Architecture, Sciences, Sports Medicine & Physiotherapy and Department of Psychology; nine Indian examiners in case of other faculties), in the concerned specialization, submitted by the Head of the Department in consultation with the supervisor. The panel of Indian examiners should be so prepared that the renowned experts in the related field of specialization are included from all the four zones of the country. This should be applicable in the faculties where only Indian experts are to be appointed as well as in case where apart from three foreign experts, the six Indian experts are to be included in the panel. The panel shall be submitted within one week of the submission of summary of the thesis and shall include the following information for each examiner:
- a) Name
 - b) Academic Designation and status
 - c) Area of specialization
 - d) Contact details (postal address, mobile number, e-mail)
 - e) Affiliation University/Institute
 - f) Region (North/South/East/West)
- ii) The panel of examiners must be submitted by the respective Heads of the departments within one week of the submission of summary of the thesis. In case the panel of examiners is not received from the Head of the department within one week from the date of submission of the summary of the thesis, the Dean Academic Affairs will convene a meeting of the Head of the department and the supervisor of the candidate and submit the panel of examiners.
- iii) In case the supervisor, Dean of Faculty and Head of the Department is the same person, then the list of examiners will be jointly submitted by the Head of the Department and one other senior-most Associate Professor of the concerned department. In case, there is no other Associate

Professor in the concerned department, then the file will be put before the authorities to nominate any other Associate Professor of allied subject to recommend the list of examiners.

- iv) The Vice-Chancellor may tick all the examiners in the order of preference (by designating the order from 1 to N) from the panel of examiners. If no consent is received from an examiner within fifteen days or refusal to evaluate the thesis received from the examiner, another examiner on the list (in order of preference) will be contacted for evaluation of Ph.D. thesis. After receipt of the consent of examiner for evaluating Ph.D. thesis, the thesis be dispatched by e-mail within a week and hard copy be sent if the examiner wishes for the same.
- v) For evaluation of the thesis forty five days may be given to any examiner. After 30 days of the receipt of the thesis by the examiner, fortnightly reminders by email be sent to the examiner. If any examiner fails to send the report within forty five days, request by phone calls may be made in the order given below:-
 - i) After 30 days: COE
 - ii) After 15 Days from COE Call: Dean Research
 - iii) After 15 Days from Dean Research Call: Dean Academic Affairs

If the examiner fails to send the report after the expiry of 75 days, a new examiner be appointed. Log of calls will be maintained and log of emails to be part of the file.

16. Evaluation Report:

- i) The examiner shall submit his/her evaluation report as per Examiner's Recommendation and Report proforma which is attached at Annexure-II.
- ii) Controller of Examinations shall personally open the reports when all the three reports are received from the examiners. In the absence of Controller of Examinations, Dean Research or Dean, Academic Affairs will open the evaluation reports.
- iii) The examiners on evaluation of the thesis may recommend one of the following:
 - a) that the thesis be accepted for the award of the degree of Ph.D.

OR

 - b) that the thesis be revised (minor or major revisions) as suggested and resubmitted. OR
 - c) that the thesis be not accepted for the award of the degree of Ph.D.

In each case the examiners shall clearly submit to the University his/her critical evaluation, comments and suggestions on the Ph.D. thesis. Each examiner shall also send at least five questions to be asked from the candidate.

17. Revisions/Negative Report: In case of revisions/ negative report from any examiner/s, as per the

- b) And c) of Clause 16 above, the Dean Academic Affairs will convene the meeting of the standing Committee consisting of:
 - a) Dean Academic Affairs
 - b) Dean Research
 - c) Dean of the Faculty concerned
 - d) Head of Department
 - e) Supervisor of the Candidate

The committee will consider the report and give its specific recommendation as per the regulations mentioned below:

- i) In case of minor revision/s, major revision/s, negative report/s from examiner/s, the meeting of standing committee shall be convened to consider the report and give its specific recommendation in accordance with the regulations mentioned below:
 - a) If two or all examiners reject the thesis then the thesis shall be rejected for award of the Degree.
 - b) In case of minor revisions suggested by the examiner/s, the standing committee shall advise the candidate to incorporate those changes. The candidate shall resubmit the revised thesis within three months from the date of intimation of the revision of thesis for consideration by the Standing Committee.
 - c) In case of major revisions suggested by the examiner/s, the standing committee shall advise the candidate to incorporate those changes. The candidate shall resubmit the revised thesis within one year from the date of intimation of revision of the thesis and the revised thesis will be sent to the examiner/s who has/have suggested major changes, on the recommendation of the Standing Committee.
 - d) In case one examiner recommends the award of Degree, the second recommends major revisions and the third either rejects or recommends major revision, then the candidate shall be advised to re-submit the thesis after making necessary changes. The revised thesis must be re-submitted within one year from the date of intimation of the revision of thesis to the candidate. The revised thesis shall be resubmitted for evaluation to the same examiner/s who had recommended major revision/s and rejection. If the examiner/s recommend award of Degree after the incorporation of suggested changes, then the viva-voce examination may be held. In case any of the examiner/s again recommend/s major revision or rejection, the thesis shall be deemed as rejected.

Note: The evaluation process and reports of examiners must be kept confidential.

18. Viva-voce:

- i) In case, all the three reports are positive, the case will be put up to the Principal for appointing one of the examiners from India for conduct of viva-voce of the candidate. Viva-voce of the candidate will be conducted by a committee consisting of the Head of the Department, supervisor and an examiner of the candidate's thesis.
- ii) Video conferencing may be used for conducting viva-voce examination.
- iii) The examiner to be appointed for conducting Ph.D. viva-voce examination may be given an option for physical viva-voce examination or through video-conferencing.

In case the viva-voce examination is to be conducted **through video conferencing:-**

The viva-voce report shall be signed by the Dean of Faculty, Head of the Department and the Supervisor of the candidate.

In case Head of the Department/ Supervisor/ Dean of Faculty (any two) is the same person, then Dean, Academic Affairs will sign the report additionally.

Or

In case the Supervisor, Dean Faculty and the Head of the Department (all three) is the

same person, then Dean, Academic Affairs and Controller of Examination will sign the report additionally.

The reports of the other two external examiners may be sent to the third examiner (through e- mail) who is to conduct the viva-voce examination.

- iv) Reports of the thesis evaluated by the examiners will be seen by the Committee constituted by the Principal at the time of conducting viva-voce.
The viva-voce examination of the candidate for the Ph.D. shall be a public viva-voce where all the members and research fellows in the faculty will be invited to be present. At least four days' notice will be given to the faculty members to attend the viva-voce.
- v) The committee conducting the viva-voce of the candidate will consider the reports of all the examiners, ask questions raised in these reports and get the clarifications regarding the comments of the examiners and this fact be mentioned in the viva-voce report.
- vi) The Principal may relax the above procedure if, in his opinion, the special circumstances of the case so demand.

19. Approval:

- i) Along with the reports of the Ph.D., viva-voce of the candidate, the Head of the Department would send the following certificate duly signed by the Supervisor/ Co-Supervisor and countersigned by him, that
"All the corrections/ revisions if any, suggested by the external examiners have been incorporated in the thesis."
- ii) On the recommendation of the Dean of the Faculty (concerned), Dean Research and Dean, Academic Affairs, the Principal after his approval will place the report of the examiners and the reports of the viva-voce examination before the Academic Council for approval of the award of Ph.D. degree.
- iii) If recommended for the award of the Ph.D. Degree, the date of approval of Principal will be considered as the date of award of the Ph.D.degree.

20. Publication of Thesis: The work reported in an approved Ph.D. thesis may be published during or after the tenure of the Ph.D. degree.

21. Treatment of Ph.D through Full-Time/ Part-Time/ Distance Mode: There shall be two categories of candidates admitted to this programme:

- i) **Full-Time:** A person with scholarship/ fellowship /study leave from an organization/ or without fellowship who is neither employed nor is pursuing any other course of studies and whose supervisor is working in the jurisdiction of this College
- ii) **Part-Time:** Any person who opts for Part-Time in the registration form. The part-time candidates, however, will have to attend Pre-Ph.D. courses regularly as per the programmes of the respective departments. In case of science subjects the supervisor of the candidate will certify through Head of the department concerned that the candidate has pursued his/her research for at least one & half year including Course Work in the concerned department. This period may be completed either in one stretch or in parts which should not be less than two

months at a time.

- iii) **Distance Mode:** The College/university has not allowed Ph.D. programmes through distance education mode.

22. Award of Ph.D. Degree prior to Notification of these Regulations, or Degrees awarded by Foreign Universities:-

- i) Award of Degrees to candidates registered for the Ph.D programme on or after July 11, 2009 till the date of Notification of these Regulations (2016) shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D Degree) Regulation, 2009. However, to maintain quality and integrity of research ethics as per latest guidelines by the UGC, submission and evaluation procedure will be followed as per these updated regulations.
- ii) If the M.Phil./ Ph.D Degree is awarded by a Foreign University, the college considering such a Degree shall refer to Association of Indian Universities, New Delhi for the purpose of determining the equivalence of the Degree awarded by the foreign University.

23. Depository with INFLIBNET:

- i) Following the successful completion of the evaluation process and Viva-Voce examination of the Research Scholar, the Head of the Department concerned will send corrected CD of thesis to the Main Library of this college before the announcement of the award of the Ph.D. Degree, for further submission to the INFLIBNET, for hosting the same so as to make it accessible to all Institution/Colleges.
- ii) Prior to the actual award of the Degree, the Degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulation, 2016.

24. Relation with supervisor/co-supervisor: Provided that no relation of the supervisor/co-supervisor such as wife, husband, son, daughter, sister, brother, wife's or husband's brother/sister, brother's son and daughter's/sister's son/ daughter, first cousin, nephew, grand-son, grand-daughter, daughters in law and sons in law can be registered under his/her supervision.

Annexure I: Ph.D. Course Work

A candidate admitted to Ph.D. shall be required to undertake course work for at least 18 credits and a mandatory Seminar as required for the degree of doctor of philosophy. The course work shall comprise of:

1. Research Methodology in the concerned subject (4 credits): Each Ph.D. candidate will have to undertake one course (4 credits) on Research Methodology in the subject of specialization, which will include quantitative methods, computer applications, Research Ethics and reviewing of latest published research work in relevant field, training, field work etc.
2. In addition, each Ph.D. candidate will be required to undertake courses for 12credits (4 courses of three credits each) with the approval of his/ her supervisor. These courses may be offered from the same department or in an allied field/s in other departments of the university and that at least one of these courses should be from outside the Department.
3. The Candidate will also have to opt a mandatory course of foreign language of two credits out of the four foreign language courses i.e. Chinese, French, German and Russian; in addition to the existing stipulated Pre-Ph.D. courses to be studied by the candidate.

The candidate will have to clear courses in the first two semesters as per the programme of the Department. Further that, the Ph.D. candidates who have done course work in M.Phil./ M.Tech./ LL.M./ M.D./ M.S./ M.Pharma.or any other degree which requires a minimum of seven years of education after Senior Secondary (10+2), will be exempted from Pre-Ph.D. course work to the extent of maximum of seven credits. Candidates joining Ph.D. after these courses will have to clear at least three courses of three credits each, a foreign language course of two credits and the course on Research Methodology, if already not done in M.Phil.

The Ph.D. course work will follow credit based system, the details of which are given below: While undertaking the course work, the following terms are defined:

‘Course’ means a semester course

‘Credit’ means weightage assigned to a course in terms of contact hours (1 Credit theory= 1 contact hour per week/1 Credit practical or seminar or fieldwork/ thesis= 2 contact hours per week.

‘Grade’ means a letter grade assigned to a candidate on a 10 point scale. 'Grade' point means points assigned to a letter grade.

‘Semester Grade Point Average’ (SGPA) means weighted average of grades in a semester.

$$SGPA = \frac{\sum (G_i \times C_i)}{\sum C_i}$$

Where G_i are the grade points in the i th course and C_i are the credits registered for the i th course, for all the ‘ m ’ number of courses in a particular semester.

$\sum (G_i \times C_i)$ = Total grade points obtained by a student in a semester,

$\sum C_i$ = Total credits registered by the student in that semester.

Or

$$SGPA = \frac{(G_1 \times C_1) + (G_2 \times C_2) + (G_3 \times C_3) + \dots + (G_m \times C_m)}{(C_1 + C_2 + C_3 + \dots + C_m)}$$

‘Cumulative Grade Point Average’ (CGPA) means weighted average of grades in all the semesters, at the end of any semester or at the end of the course completion.

$$CGPA = \frac{\sum (G_i \times C_i)}{\sum C_i}$$

$$= \frac{[(G_1 \times C_1) + (G_2 \times C_2) + (G_3 \times C_3) + \dots + (G_n \times C_n)]}{(C_1 + C_2 + C_3 + \dots + C_n)}$$

Where G_i are the grade points in the i th course and C_i are the credits registered for the i th course, for all the ‘ n ’ number of courses in all the semesters.

SGPA and CGPA shall be calculated upto two decimal places, after rounding off the third decimal to the nearest second place integer decimal, hence 0.005 to be increased to 0.01

The student would be awarded a letter grade on a 10 point scale on the basis of his/her performance. Grades shall be awarded as per the following table:

Common Grading Table		
Percent Marks	Letter Grade	Grade Points
>90 and ≤100	O	10
>80 and ≤90	A+	9
>70 and ≤80	A	8
>60 and ≤70	B+	7
>50 and ≤60	B	6
>40 and ≤50	C	5
≥35 and ≤40	P	4
Below 35	F	0
Absent (Ab)	F	0

A Ph.D. candidate will be required to obtain at least 'B' grade in each course in order to be eligible to submit the thesis. A candidate getting 'C' grade or lower grade in any one of the course will have to repeat the same course or opt for another course in lieu thereof with the approval of supervisor and will have to obtain at least 'B' grade in this course within one year, failing which his/her provisional registration/ registration to the Ph.D. programme will be cancelled.

A candidate provisionally registered/ registered for Ph.D. will have to clear the courses within the first two years of his/her provisional registration, failing which his/her registration to Ph.D. will be cancelled. If a candidate undertakes courses for more than 18 credits, the SGPA or CGPA will be calculated on the basis of total number of credits. No division will be awarded in Ph.D. coursework. The back conversion from SGPA/CGPA to Percent score will be multiplication of SGPA or CGPA by a factor of 10. Whereas, the Ph.D. course work will be compulsory for candidates registered for Ph.D. after the date of notification of UGC (Minimum Standards and Procedure for Awards of M.Phil./ Ph.D. Degree) Regulations, 2016, published in the Gazette of India, May 05, 2016.

4. Seminar: Each candidate registered for Ph.D. will have to give one seminar in Ist or IInd semester of his/her provisional registration.

5. Thesis: A candidate registered for Ph.D. will have to work on the thesis spread over the entire period of registration of the Ph.D. The grade awarded for thesis work will be 'S' or 'U'. A candidate will start working on the topic of his/ her research right from the date of provisional registration/registration.
6. Audit Courses: In addition to Credit courses, a candidate on the approval of supervisor can take up audit course/s in any field in his/her department, or any other department or other university or Institute of higher education/ research. The grade awarded for this course will be Satisfactory ('S') or Unsatisfactory ('U'). A grade equivalent to 'B' or above will be treated as satisfactory for audit courses. The audit course/s cleared by a candidate will not be counted towards the SGPA/CGPA.
7. Fees: The candidate registered under the UGC regulations (2016) shall pay fee for course work as per the rules of the college.

Brief Summary of Ph.D. Rules & Regulations

Sr. no.	Status	Rules & Regulations for Ph.D.
1.	Eligibility	<p>Master's degree with at least 55% marks or equivalent CGPA out of 10 or [50% marks or equivalent CGPA out of 10, for SC/ST/OBC (non-creamy layer)/differently-abled candidates] of Guru Nanak Dev university or an equivalent degree of recognized Indian or Foreign University in the subject concerned or allied-field.</p> <p style="padding-left: 40px;">A person whose M.Phil. dissertation has been evaluated and the viva- voce is pending may be admitted to the Ph.D. programme of the same Institution.</p>
2.	Admission	<p>Based on Ph.D. Eligibility test or Qualified UGC(NET)/ UGC-CSIR (JRF) examination/SLET/ GATE/INSPIRE/GPAT/ICAR-SRF (PGS)/ Rajiv Gandhi Fellowship awardees/ Maulana Azad National Fellowship/ JEST/ teacher fellowship holder or have passed M.Phil. from Khalsa College Amritsar/Guru Nanak Dev University, Amritsar.</p>
3.	Course Work	<p>Course work mandatory, after admission as per rules. A Ph.D. candidate will be required to obtain at least 'B' grade in each course. However, a candidate will have to obtain a CGPA of 6 or above, in order to be eligible to submit the thesis.</p>
4.	Synopsis	<p>Synopsis may be submitted from one year and within two years from the date of provisional registration.</p>
5.	RDC	<p>The synopsis will be duly considered by the RDC for approval. The committee may also suggest changes in synopsis and reconsider the modified version. The RDC shall also send its positive recommendations to the RDB.</p>
6.	RDB	<p>RDB in its meeting shall approve the recommendations of RDC for finalize the registration as well as approved title of the thesis. After approval of the final title by RDB, the registration letter shall be issue to the concerned candidate with the approved title. However, the date of registration shall be same as that of Provisional registration letter.</p>
7.	Duration of Course	<p>i) Normal time limit of thesis submission is four years. ii) Eligible for submission of thesis after the expiry of three years including course work from the date of provisional registration. iii) Three extensions can be taken by the male candidate, after expiry of the normal time limit. Maximum time limit of seven years (including extensions) from date of provisional registration. iv) Maximum four extensions can be taken by the female candidate and person with disability (more than 40% disability) beyond the normal time limit. (Total time limit eight years including extensions from date of provisional registration)</p>
8.	Progress Reports	<p>The six month progress reports is to be submitted by the Research Scholar duly signed by the Supervisor and forward by the Head of the</p>

		Department for Consideration of the Board of control/Studies.
9.	Departmental seminar	The research candidate will deliver a departmental seminar after two years of his/her provisional registration, to apprise the teachers and research scholars of the Department of the progress of the research done by him/her.
10.	Open Seminar	Before submission of summary, the candidate will have to give an open seminar in the department under the Chairmanship of the Head of the Department concerned, faculty members and other research scholars of the department.
11.	Summary	Candidate will submit four copies of summary (about 1000 words) to the Examination Branch within three months from the date of Open Seminar provided that the actual date of submission of the thesis is not over.
12.	Thesis	Candidate will have to submit the thesis within three months from the date of submission of summary provided that the time limit of registration is not over.
13.	Publication before submission of thesis	Ph.D. scholars must publish at least one research paper in ISSN and referred indexed journal and make two paper presentations in conferences/seminars before the submission of summary of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints. In Science, Life Sciences and Engineering & Technology, the publication of the research paper must be in ISSN and referred indexed journal or Journal with impact factor 1.0 or above.

Annexure-II

Confidential

Guru Nanak Dev University, Amritsar (India)

Examiner's Recommendation and Report

Title of the thesis: _____

Submitted by _____, for the degree of the Ph.D. of the Guru Nanak Dev University, Amritsar (Punjab).

Date: _____

(Signature of the Examiner)

Name and Address _____

Recommendation by the Examiner

1. Kindly tick only ONE of the relevant boxes below and give your specific recommendation:-

Yes this thesis is accepted for the award of the degree of Ph.D.

No this thesis be not accepted for the award of the degree of Ph.D.

Revise this thesis after revision becomes acceptable for the award of the degree of Ph.D.

In case of revision, please fill the details below and suggest the lines on which the thesis may be revised under detailed report of evaluation:-

(i) Minor Revision
(the revision/ corrections incorporated by the candidate would be verified by the supervisor/ HOD and the revised thesis shall not be sent back to the examiner who has suggested changes)

(ii) Major Revision
(the revision/ corrections incorporated by the candidate would be verified by the supervisor/ HOD and the revised thesis to be sent back to the examiner for reassessment who has suggested the revision).

2. Detailed Report of Evaluation (please attach additional sheets, if necessary)

3. Please suggest atleast five questions, you will like to ask from the candidate during the viva-voce examination.

(Signature of the Examiner)

Annexure-III

Submission of Ph.D.Thesis by incorporating Monograph or Publication

‘Ph.D. by Publication’ is an alternative approach to conventional ‘*Ph.D. by Monograph*’. The student in a ‘*PhD by Monograph*’ extensively writes his/her research in a book form with typically defined chapters like introduction, review of literature, methodology, results and discussion with conclusions. Once the Ph.D thesis is completed, traditionally an attempt is being made to take out one or more research articles which are then submitted to academic journals.

Whereas ‘Ph.D. by Publication’ model is an option for those doctoral candidates who aspire to develop skills in writing articles out of their Ph.D. for submission to peer reviewed journals during their Ph.D. programme. It teaches the Ph.D. student the skills required for being able to write impactful and innovative research articles that are concise and clear, crisp and brief in writing.

A Ph.D. candidate can submit thesis either in the form of a ‘Monograph’ or in the form of a series of ‘Research Publications’ demonstrating the work done during the Ph.D. program.

Ph.D. by Publication

In a ‘Ph.D. by Publications’, the Ph.D. student, authors and co-authors, multiple articles, which are then joined together to constitute the Ph.D. thesis. The Ph.D. candidate has to present a thesis comprising typically of at least three research papers, which have been published in journals in UGC-CARE List.

The quality of the targeted publications outlets should be verifiable through, their impact factor and/ or their inclusion in citation indexes and/or the credibility they hold with in the field.

The research must have been conducted during the period of PhD candidature. Candidates cannot present material published prior to enrolment as part of the thesis.

The candidate, who has previously published the research work in a journal, the published material will be included only after the copyright permission by the journal. The copyright permission from the journal will be placed in the Library's electronic depository. The candidate should gain copyright clearance as early as possible.

The format will contain: An Introduction which includes introduction to the topic, the relevant background literature review leading to lacunae in knowledge there by justifying the need for study/topic. Further, this section typically will deal with the sections/ aims/ objectives/ and covering how each chapter/paper will address these issues.

The candidate must ensure that all methods used in the thesis work are clearly described in the thesis. It is noticed that very frequently published work does not include detailed appendices of questionnaires, other aspects of methods which are required. As such the thesis should ensure that wherever applicable, a separate chapter of methods may be added or the appendices should contain the relevant methods e.g., additional methods, derivations, questionnaires etc.

Wherever applicable a separate literature review and methods chapter may be added. This will be followed by chapters of Articles published/ accepted/ communicated or prepared for publication (between three to six) and Appendices and a final discussion/ summary section which unify all the publications to address the research topic.

The thesis should conclude with the overall conclusions across all the chapters.

Already enrolled candidates will have an option to submit Ph.D. either by Monograph or by Publication.

In case, they want inter-change between Ph.D. by Monograph or Ph.D. by Publication, it will be allowed with the consent of the supervisor.

(The Preliminaries of a Title page, Abstract, Preface and/or Acknowledgements, Table of contents, List of illustrations, Tables etc. remain common to both approaches).