



ORDINANCE

GOVERNING PROGRAMS LEADING TO

THE AWARD OF THE DEGREE

OF

DOCTOR OF PHILOSOPHY

UPES
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1. Definitions

- (a) “**Act**” means the Uttarakhand Private University Act, 2023 (Act No. 02 of 2024), Uttarakhand, India read with the hitherto University of Petroleum and Energy Studies Act, 2003, [Act No. 15 of 2003] as amended vide Act No. 19 of 2022 of state Government of Uttarakhand).
- (b) “**University**” means UPES.
- (c) “**Ph.D.**” shall mean the degree of Doctor of Philosophy at UPES.
- (d) “**Applicant**” means an individual who applies on a prescribed application form for admission to Ph.D. Program of the University.
- (e) “**Candidate**” means a person registered for Ph.D. program.
- (f) “**Full-time Candidate**” means a candidate registered for a Ph.D. devoting full time for completing the requirements of the program.
- (g) “**Part-time Candidate**” means a candidate who is registered for the Ph.D. devoting only a part of his time towards the pursuit of Ph.D. program while discharging his official/employment obligations.
- (h) “**Registration**” shall mean formal enrolment of a candidate for Ph.D. Program.
- (i) “**Registration Period**” shall mean the length of time span commencing from the date specified by SRC after its approval of the research proposal of the candidate and ending on the date of submission of the thesis/dissertation.
- (j) “**Residency Period**” shall mean the minimum period for which a candidate must work at the Department/Constituent Unit on full time basis.
- (k) “**Minimum Registration Period**” means the minimum duration of time span prescribed for the PhD program.
- (l) “**SRE**” means ‘Student Record and Evaluation’ department of the University.
- (m) “**DRC**” means Departmental Research Committee.
- (n) “**SRC**”, means School Research Committee.
- (o) “**Supervisor**” shall mean a member of the academic staff of the University/Constituent Unit, approved by Vice Chancellor on the recommendations of DRC/SRC to guide/supervise the research work of the candidate.
- (p) “**Co-Supervisor**” means an additional Guide from the University Teaching Department/ Constituent Unit or an outside organization approved by SRC on the recommendations of DRC, to help in accomplishment of the research work of the candidate.
- (q) “**Course Work**” means course units prescribed by DRC to be completed by a candidate towards fulfillment of requirements of Ph.D. program.
- (r) “**Credit**” means a number indicating the weightage assigned to a course unit, project, research work or any other academic component, on the basis of contact hours per week for the learning activity.
- (s) “**Synopsis**” means a comprehensive examination required to be taken by each candidate to test comprehension of his broad field of research, academic preparation and potential to carry out the proposed research plan. It’s a 2-credit course.
- (t) “**Oral Defense Committee (ODC)**” means a committee constituted for the oral examination of a Ph.D. thesis.
- (u) “**Statutes**”, “**Rules**”, **Ordinances** and “**Regulations**” mean, respectively, the Statutes, Rules, **Ordinances** and Regulations of the University.
- (v) “**UGC**” means University Grants Commission established under University Grants Commission Act, 1956
- (w) “**Academic Council**” means the Academic Council of the University
- (x) “**Competent Authority**” means any authority in relation to the exercise of powers under these **Ordinances** to whom or to which the power has been conferred under the Act, Statutes and Rules.

Note:

*Definitions specified in the Act, the Statutes, and the **Ordinances** shall apply unless the context requires otherwise*

2. Management and Coordination

- (a) Academic Council shall coordinate and exercise general supervision over the academic policies for the Program leading to award of Ph.D., subject to the provisions of the Act, Statutes and UGC Regulations. However, SRC, DRC and any other Committee(s) constituted in this behalf by the Competent Authority shall organize and manage the Program.
- (b) The overall execution of the program shall be done by the Dean Research & Development (at university level).
- (c) Constitution, composition, functions and powers of these bodies will be as specified in the Act, Statutes, **Ordinances** and Regulations.

3. Organization of the Ph.D. Program:

- (a) Programs leading to the Degree of Doctor of Philosophy will be offered at the Departments/Constituent Units of the University.
- (b) Subject to the general guidance of the Academic Council, research studies in the University leading to the Degree of Doctor of Philosophy (Ph.D.) shall be overseen by the respective SRC (School Research Committee)
- (c) The Ph.D. Program shall be organized on full time and part time basis.

4. Minimum qualifications for admission:

(a) Candidates for admission to the PhD program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST, OBC (non-creamy layer), Differently-abled and other categories of candidates as per extant UGC Regulations from time to time; or for those who had obtained their Master's degree prior to 19th September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

- (b) An Equivalence Committee will be constituted by the Vice Chancellor to consider applications other than covered under Clause 4(a) who may propose other qualifications/requirements in specific areas, consistent with the norms of the UGC and other statutory bodies, as may be the case, to the SRC for its recommendation to the Academic Council for approval.
- (c) If considered necessary, SRC may propose other qualifications/requirements in specific areas, consistent with the norms of the UGC and other statutory bodies, as may be the case, to the Academic Council for approval.

5. Eligibility conditions for admission:

- (a) It is desirable that the applicants, who possess minimum prescribed qualifications for admission to Ph.D. program, should have an excellent academic/professional track record in the relevant discipline.
- (b) The applicant for Part-time Ph.D. should:
 - i. Prove to the satisfaction of SRC that his official duties permit him to devote sufficient time for research.
 - ii. Ensure that facilities for pursuing research are available at his place of work in the chosen field of research, wherever required.
- (c) The project fellows are selected through open calls advertised for externally funded projects, granted to UPES. They are encouraged to join PhD program. Special RET (Only Written Exam) may be conducted for them through a closed/open call to meet the Program admission requirements, as they could already qualify the interview conducted by the university, they will be allowed to join the PhD program after they qualify RET written test as well.

6. Procedure for Admissions:

- (a) Applications for admission to Ph.D. program shall be invited through an open advertisement. The intake for each program is approved by the VC and reported in AC considering the reservation policy of the Central/State Government from time to time.
- (b) The Office of the Research & Development at the University shall execute and oversee the entire admission process.
- (c) The Research Entrance Test (RET) is conducted by SRE and the interviews are conducted by interview panel approved by VC. The Entrance Test shall be qualifying with qualifying marks as 50%. [The syllabus of the Entrance Test shall consist of 50% of research aptitude and 50% shall be subject specific] The Entrance Test shall be conducted at the Centre(s), notified in advance.
- (d) Admission shall be subject to the criteria of minimum qualifications as mentioned in Clause 4 and performance in the Entrance Test and presentation, as mentioned under clause 6 (c), hereinabove.
- (e) A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- (f) Entrance Test may be exempted for the following cases:
 - i. Candidates with NET/GATE/SET/GPAT/National level exam qualification
 - ii. The scientists/researchers from government, semi-government or private institutions/labs of repute
 - iii. Candidates who were admitted previously to a Ph.D. Program at a recognized university through an Entrance Test and wish to transfer to the Ph.D. program at UPES.
 - iv. The candidates who received a gold medal or a silver medal in their qualifying degrees obtained from any institution with NIRF rank 1-100 / QS world university rank 1-500 /Academic Ranking of World Universities (Shanghai Ranking) 1-500/ Times Higher Education – World University Ranking 1-500 will be exempted from written exam of RET. They will be allowed to appear in interviews directly.

- v. Relaxation in 'Ph.D. Entrance Test' (written exam) for seeking admission to Ph.D. (Law) shall apply to the following categories with the experience set out below:
Judges at all levels, Partners of Top-Tier Law Firms, General Counsel of Corporate & MNCs, Designated Senior Advocates of the Supreme Court, and Civil Servants; all having a minimum of 15 years of experience.
- (g) In the case of international students, the Entrance Exam may be arranged online and subsequent presentation/interview be held through video conferencing. In addition, the students will normally be required to submit two letters of recommendation.
- (h) The University reserves the right to limit the number of scholars to be admitted to the University at any time. The resources and other facilities/fiscal constraints would guide this decision.
- (i) Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.
- (j) Dean R&D and Research Coordinator/Cluster head of the school shall constitute a Departmental Research Committee (DRC) for each candidate.
- (k) The following will be applicable to the candidates migrating to UPES from other institutions:
 - (a) If a candidate is from university NAAC grade "A" or better, he/she need not appear for RET again provided that the candidate has cleared the same at the time of taking admission to PhD program in the previous university. The proof of qualifying RET will be required. The student needs to clear the RET examination if he is from university from NAAC grade lower than A.
 - (b) The interview committee will judge whether the candidate deserves the fellowship. Recommendation of the interview committee, through Dean R&D will be forwarded to Vice Chancellor for approval.
- (l) There will be a fee waiver of 50% on fees for the scientists from government organizations. They may also be given an exemption from residency and written exam of RET.

7. **Registration:**

- (a) After submitting the fee, the Office of R&D shall approve the registration of the candidate. The list of the registered candidates will be conveyed to the Dean of the schools.
- (b) A summary report of the candidates registered for Ph.D. shall be duly sent to the SRE of the University for Enrolment of the candidate.

8. **Registration date:**

The date of regular registration of the candidates shall be the date of first time payment of the applicable fee(s).

9. **Renewal of Registration:**

Candidates will be required to renew their registration every semester by the specified date till the submission of their thesis. The renewal of registration by paying fee, shall be subject to completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by the DRC. Student who fails to fulfill the above conditions the registration will not be reviewed and the candidate will cease to be a student.

10. Time Period Requirement for submission of the Ph.D. Thesis:

Ph.D. program shall be for a minimum duration of three years, including course work, and a maximum of six years. Extension beyond the above limits for additional two (2) years may be permitted on the approval of the Vice Chancellor based on the recommendations of the Supervisor, research coordinator concerned and the Dean R&D office.

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

11. Re-Registration:

After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if the Vice-Chancellor approves an extension of registration. If the candidate fails to complete the PhD degree specially due to not publishing the research papers, even till the completion of the extension period, will get de-registered.

If the candidate applies for re-registration within two years of de-registration with the proof of publication of two research papers from his PhD thesis work, he may be allowed to re-register. He will have one year's time to present the abstract and thesis submission.

The PhD students who do not get their synopsis approved in second chance may be allowed for reregistration on the request of candidate and the recommendation by supervisor. The re registration will happen after submission of university fee. Such PhD students will be full time scholars without fellowship.

12. Residency Period

A full-time Ph.D. candidate is expected to devote his time in the Department/Constituent Unit during his entire period of study. However, this period in exceptional circumstances, can be reduced by the Vice Chancellor on the recommendations of DRC/SRC.

The minimum Residency Period for part-time Ph.D. candidates in the Department/ Constituent Unit shall ordinarily be one semester at the University Department/Constituent Units. A residency period of at least six weeks, during the first semester and thereafter at least one week per semester is mandatory. Summer/winter vacation period can also be utilized for this purpose.

13. (i). Leave policy for Ph.D. scholars:

Leave is not a matter of right, but a privilege given by the university to Ph.D. scholars to address genuine emergency, medical, or any other extraordinary conditions.

The full-time Ph.D. scholars may avail allocated number of leaves by following a set of rules and SoPs, as mentioned below:

- UPES allows full-time Ph.D. students to avail thirty leaves per year.
- Out of these thirty leaves, twenty leaves may be availed by the scholar as and when needed, after the prior approval of the supervisor. Before the allocation of the supervisor, prior approval from the reporting manager must be taken before availing these leaves.
- At the beginning of every semester ten leaves will be added to the scholar's account, making it twenty per year.
- Rest ten days of leaves will be allowed to be availed ONLY in form of two breaks of the duration of 5 days each i.e. during Diwali break, and winter break. No prior approval will be required to avail these leaves.
- The same leave policy will be applied to project fellows in funded projects.
- Any emergency situation must be immediately reported to the supervisor.
- Any leave in excess of the above-mentioned leaves will be considered as "leave without fellowship".

- Two leaves will be allowed to those part-time Ph.D. program students who will be completing the first semester's residency requirement of six weeks in a single slot.
- The absence in the campus without prior approval or absence in any activity suggested to attend by Dean R&D/Cluster Head; will be considered as leave without fellowship for that day.
- If a scholar is marked present and is not found in the campus, the fellowship for one week will be deducted. If the student repeats the same second time, his fellowship will be stopped.

(ii). Support for visits to other institutions:

If the scholar visits to the institutes/research lab abroad for PhD related work for at least one month, and receives financial support from host institution for accommodation, food and local travel, the fellowship will not be provided by UPES for the tenure of visit.

If travel support is not provided by the host institution, the scholar will be allowed to avail the contingency grant for this purpose. Also, the contingency of next year may also be given in advance with the approval by Dean R&D. The amount utilized from contingency grant for travel support will be recoverable if the scholar leaves PhD without completion.

14. Change of Registration:

A candidate may be allowed for valid reasons to change his status from part-time to full- time or vice-versa on the recommendations of Dean R&D and with the approval of the Vice Chancellor.

15. Course Credit Requirements and Registration for Courses:

- Departments/Constituent Units shall have a basket of course modules, which can be offered to Ph.D. candidates.
- The newly created course will be prepared by the supervisor in consultation of committee constituted by Head of the department consisting of supervisor/co-supervisor, a Professor and an external expert. The advice from external expert may be taken by e-mail. The department/Cluster will send it to the Dean R&D after the recommendation from the research coordinator of School / Cluster Head. Dean R&D will further recommend it to the Vice-Chancellor for his approval. The approved course will be the part of basket for elective PhD course work.
- Each registered student shall undertake course work as prescribed by the DRC for a minimum period of one semester. The course work will be treated as pre-PhD course.
- A minimum 12 credits course work and synopsis (2 credits) are mandatory for all the students provisionally admitted/registered in the PhD Program as per the following details:
 - Research Methodology – 4 Credits
 - Publication Ethics-2 credits
 - Domain specific courses (minimum 2 courses of 3 credit each) – 6 Credits
 - Synopsis followed by presentation in SRC – 2 Credits
- However, DRC may assign additional courses to be taken by the student based on his/her research intent and academic background subject to the maximum credit of 16.
- PhD course work will be conducted for all selected candidates. Class schedule & conduction of classes will be done by Academic Planning and Operations (APO) team with the help of school Research Coordinators and Associate Dean (PhD processes).
- The examination/evaluation scheme for the courses shall be as per the existing **Ordinances and or** regulations of the university on examinations.

- (h) A candidate will earn credits for a Course Unit only if he obtains a minimum of Grade B. Further, if a candidate fails to get qualifying Grade B will be given second opportunity to improve his minimum qualifying Grade B, failing which his registration will be liable to be terminated. Request for a third chance to write the exam for any course of the PhD coursework will not be accepted. The re-exam for the scholars who fail in the semester exam, should be conducted preferably within one month of the declaration of the result. The Candidates will be awarded Grades as per the following rules:

| Letter Grade | Grade Point | Pre-determined class interval for absolute grading |
|-------------------|-------------|--|
| O (Outstanding) | 10 | 95 and above |
| A+ (Excellent) | 9 | 85 and less than 95 |
| A (Very Good) | 8 | 75 and less than 85 |
| B+ (Good) | 7 | 65 and less than 75 |
| B (Above Average) | 6 | 55 and less than 65 |
| F (Fail) | 0 | Less than 55 |
| Ab (Absent) | 0 | Absent |

- (i) The candidates registered for Ph.D. Program in Departments/Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses.
- (j) Equivalent course credits may be transferred to UPES if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the candidate at a recognized university at the similar level.

16. Synopsis:

- (a) Each candidate, normally after one semester (after completion of the prescribed course work), shall be required to take a comprehensive examination, which will test his/her comprehension or knowledge in his broad field of research and his academic preparation and potentials to carry out the research work.
- (b) Synopsis document should have around 10-12 pages and contain (i) Title of the thesis (ii) Background and motivation of research problem (iii) Review of literature and research gap (iv) Objectives (v) Research methodology (vi) Tentative structure/ chapter outline of the thesis (vii) Bibliography.
- (c) The comprehensive examination may be written and/or oral examination shall be conducted by the SRE. Office of the R&D will coordinate this exam based on approved guidelines. The candidate should secure at least Grade B in comprehensive examination.
- (d) Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination. If a candidate is unsuccessful again, his Ph.D. registration shall be cancelled.

17. The eligibility criteria and recognition of PhD Supervisor(s)/Co-Supervisor(s)/External supervisor(s)

The eligibility for being PhD guide as per UGC rule is:

- (a) The Supervisor(s) shall be a regular/full-time faculty member of the University/ Constituent Unit with an earned Ph.D. degree.
- (b) The Professor must have at least seven publications in journals, Associate professors must have five publications in journals and Assistant professor must have three publications, out of which at least two should be published in the journals. The indexing criteria of journals should be as per UPES norms. In School of Design, the publication requirement for Assistant Professor, Associate Professor and Professor are two, three and five respectively.

- (c) An external person from industry / academia from India / abroad with an earned Ph.D. degree and proven track record in the subject area may be appointed as a Co- Supervisor.

The faculty fulfilling above criteria will be eligible to apply to become research supervisors. The Vice-Chancellor can relax the school-wise criteria in certain cases on the recommendation of the Associate Dean (PhD processes) / Dean of School. (Annexure-1)

- (d) At any given time, a Professor shall not have more than 8 PhD candidates, an Associate Professor more than 6 candidates, and an Assistant Professor more than 4 candidates registered under him/her. In case of co-supervisor, the number of PhD will be considered as half. However, in such cases where teachers are retiring or leaving, the Vice Chancellor may decide to relax the norm on recommendation of the Office of the R&D.
- (e) A faculty member who is due to retire within the next two years can be appointed as a supervisor and can continue to be the Supervisor even after his retirement provided the DRC is convinced of his availability for continued guidance to the candidate. In other cases, a faculty member on retirement may continue as a supervisor, if re- employed or appointed Emeritus Fellow; or, if the long abstract of the thesis has been submitted by the candidate. The appointment of another Supervisor, if necessary, will be as per provisions made in these **Ordinances**. If the supervisor leaves the university after abstract approval, there will be no need to allot a new supervisor for the scholar.
- (f) In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the Office of the R&D who with the approval of the Vice Chancellor will appoint a new Supervisor.
- (g) The outgoing PhD supervisors will not necessarily be appointed as external supervisors. Two below mentioned conditions must be satisfied before the outgoing faculty member puts forward the request to committee comprised of Associate Dean R&D (PhD Process) as chair, research coordinator of school and head of cluster, where the scholar is registered.
- (i) Faculty should have spent minimum two years guiding that PhD Scholar.
 - (ii) Faculty should have published at least two research papers with scholar.

18. Appointment of Supervisor(s)/Co- Supervisor(s):

- (a) The Vice Chancellor shall approve the allocation of Supervisor(s)/Co- Supervisor(s) on the basis of recommendations of the Office of the R&D. However, the Office of R&D will consult the concerned Research coordinator/Cluster head for allocation of the Supervisor(s)/Co supervisors.
Any faculty joining UPES will become recognized supervisor for PhD student at UPES, if he/she was already recognized guide for PhD student in the previous institution provided institution is graded as NAAC 'A' or above.
- (b) The Office of the R&D with approval of the Vice Chancellor may appoint more than one Supervisor/Co-Supervisor not exceeding a total of three to guide a candidate.
- (c) A faculty member appointed as a Ph.D. Supervisor/Co-Supervisor is normally expected to be available to a research candidate in the University Department/Research Center till the thesis is submitted. Co-supervisor can be from (i) a different department of the university (ii) from industry / institute / university having experience and infrastructure of research.

19. Performance Monitoring:

The academic/research progress of each candidate shall be monitored by DRC. For this purpose each candidate shall submit a progress report at the end of each Semester to

the Chairman, DRC through his/her Supervisor(s). DRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade.

- (a) If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning would be issued to the candidate.
- (b) If a candidate gets three “U’s” or two successive “U’s”, the registration will be liable to be terminated.

Yearly progress will be assessed (second, fourth and sixth semester) on the basis of predefined parameters/ milestones (Annexure-2). DRC will also identify the slow researchers and suggest the solutions (**Annexure-3**).

20. Publication:

The student before submission of his Ph.D. thesis/monograph must have published minimum of two research papers in refereed journal (list of journals to be published/endorsed by the Office of the R&D) for adjudication and produce evidence in the form of acceptance letter or the reprint.

The PhD scholars who are working as junior research fellow will be eligible to get promoted as senior research fellow if they publish at least two research papers in Q1/Q2 category journals within two years from the date of registration in PhD program. The scholar must be the first author in these publications and the content must be from scholar’s PhD thesis work. Additionally, the scholar must have cleared PhD coursework in 1st semester only.

21. Long Abstract:

- (a) On completion of research work, the candidate shall submit to DRC through Supervisor(s), eight copies of the long abstract of his thesis. The composition of abstract should be as follows (i) Introduction- background motivation and objective of thesis literature (ii) Experiment / Empirical work and methodology (iii) Research and discussion based on the published research papers (iv) Conclusion and future scope (v). Bibliography (vi) Published papers
- (b) DRC shall, in a meeting in which the candidate shall be required to be present, scrutinize the long abstract and recommend the title of the thesis after revision, if necessary.
- (c) The SRC will approve and forward the long abstract with its recommendations to the SRE for appointment of the thesis examiners.
- (d) If a candidate fails to submit his thesis within four months of the approval of long abstract, he shall be required to submit a fresh long abstract. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean R&D may, on the recommendations made by the DRC and on individual merits of each case, grant him an extension of not more than two months.

22. Panel of Examiners for Ph.D.:

- (a) A Ph.D. thesis shall be evaluated by two external examiners. At least one of the external experts will be from outside the country.
- (b) The external examiners should be Professor / Associate professor from institute / University of repute.
- (c) The scientist F/ Joint Director or higher education of Institute or from industry having a PhD degree can also be an external examiner.

23. Thesis Preparation and Submission:

- (a) Four spiral bound copies of thesis shall be prepared, written in English unless otherwise

- approved by the DRC.
- (b) No part of the thesis shall have been submitted for the award of any other degree or diploma.
 - (c) The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these.
 - (d) A long abstract as per the prescribed format will be submitted to R&D office by the student. Prior to the submission of the thesis, the student shall make a long abstract presentation in the SRC that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s).
 - (e) The DRC Chairperson/ Cluster head shall prepare the panel of six examiners (including two foreign examiners) and shall submit the list to the Dean R&D office. The Dean R&D will recommend four names out of it. The Vice Chancellor will accord his approval for two examiners on the recommendation of the Dean R&D.
 - (f) After clearing the viva-voce examination, two copies of the thesis in hard cover binding must be submitted. These hardbound copies shall include supplements if required in viva-voce examination, with a covering certificate of the Supervisor in prescribed proforma. For external examiner(s), the candidate shall provide additional copies of the supplement.

24. Thesis Evaluation:

- (a) PhD. Thesis evaluators should be from either of the following categories of the institutions:
 - (i) Central universities, National laboratories e.g. CSIR, DRDO, ONGC, ISRO, DAE, ICMR etc.
 - (ii) IITs, IISER, NIT, TIFR, IISc, IIL, IIM, IIIT, THSTI, ICGEB, IIMC.
 - (iii) Universities/Institution fulfilling either of the following criteria
 - (a). Among top 1000 QS ranking universities of world
 - (b). Among top 100 NIRF ranking in India (Overall category)
- (b) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed proforma within six weeks of the date of receiving the thesis.
- (c) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.
- (d) Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
 - i. the discovery of facts; or
 - ii. a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his opinion on the candidate's capacity for critical examination and sound judgment.
- (e) All examiners will submit the reports on the prescribed form clearly stating one of the following:
 - i. The thesis is recommended for the ODC or
 - ii. The thesis is recommended for the ODC subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or
 - iii. The candidate be allowed to resubmit his thesis in a revised form, or
 - iv. The thesis be rejected.
- (f) The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for oral defense only those comments and queries in the reports which

- require explanation and answers without disclosing the identities of the examiners.
- (g) Existing SRC/BOG/AC members will not be proposed as thesis evaluators.
 - (h) If both the reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense.
 - (i) In case one of the reports recommends revision of the thesis, Sub-Clause (d)(iii) of Clause 24 shall be applicable, and the candidate will have the option to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiners for their recommendations.
 - (j) If one of the reports recommends rejection, the comments and queries in the report shall be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate and his thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected. If the next examiner accepts thesis, the PhD viva will be conducted.
 - (k) If two reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.
 - (l) The reports of all the examiners will be sent to the new examiner who is a Professor / Director of renowned institute / University without revealing the identity of the examiners along with the response of the candidate, if any, to these. The thesis shall be deemed to be acceptable if the examiner recommends acceptance.
 - (m) Any doubt arising out of the procedure laid down in these **Ordinances** shall be referred to the Vice Chancellor for a decision.
 - (n) In case of ambiguous recommendations by the examiner, the Office of the R&D will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.

25. Re-submission of Thesis:

- (a) In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be payable by the candidate.
- (b) The revised thesis may be submitted normally in one year from the date of intimation for resubmission.

26. Oral Defense Examination (Viva-Voce):

- (1) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted Committee hereinafter referred to as the Oral Defence Committee (ODC). The date and time of the viva-voce shall be duly notified by SRE to enable the interested faculty members, staff members and students to attend it.
- (2) Composition of ODC:
 - (a) For the candidates who get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be
 - (i) Dean of School/ Nominee of the Dean of School - Chairperson
 - (ii) Dean R&D
 - (iii) Research coordinator of that school
 - (iv) Supervisor(s)/Co- Supervisor(s)
 - (v) External Examiner
 - (b) In case of non-availability of the External Examiner for conducting the Viva voce examination, the next person on the approved panel of examiners shall be appointed by the VC to be on ODC.
 - (c) All the internal members should be invited to ODC presentation.

- (3) SRE shall convene a meeting of ODC on an appropriate date. The date of viva - voce shall be communicated to the candidate at least fifteen days in advance.
- (4) In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present.
- (5) The ODC shall give its recommendations in the prescribed proforma. The ODC shall have the following options for its recommendations:
 - (i) Ph.D. degree be awarded. However, the candidate should prepare a supplement to be added to the thesis document as specified in the report of ODC and or textual corrections, if needed.
 - (ii) Ph.D. degree be not awarded for the reasons to be recorded in the report.
- (6) In case of difference of opinion among the members of ODC, separate reports shall be submitted.
- (7) SRE shall collect the report(s) of ODC in a folder, which will also contain,
 - (a) A copy of the thesis along with the Supplement, if required, and
 - (b) All the reports of the examiners of the thesis.
- (8) The recommendations of the ODC shall be submitted to the Vice- Chancellor for the approval of the award of degree.
- (9) VC will report all the ODCs in the academic council.

If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for his decision.

27. Attendance:

For Ph.D. students, the minimum requirement of attendance for completing the Course Units, prescribed by DRC, shall be the same as laid down in the Attendance Regulations or **Ordinances** for other students unless specified otherwise.

28. Passing Grades:

For Ph.D. students, the minimum passing grade in each Course Units is B.

29. Cancellation of Registration:

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

- (a) If the academic progress of a full time scholar is found unsatisfactory in two consecutive monitoring reports from DRC.
- (b) If the scholar remains absent for a continuous period of six weeks without sanction of leave.
- (c) If the candidate withdraws from the Ph.D. program and his/her request is duly forwarded by the Office of the R&D and accepted by the VC.

30. Discipline:

If a Ph.D. candidate is found to be involved in an act of misconduct, misbehavior and/or indiscipline, disciplinary action will be taken by the University as per **Ordinances**

relating to maintenance of Discipline by students.

31. Award of Ph.D. Degree:

- (a) A Ph.D. candidate shall be eligible for an award of Ph.D. degree at Convocation after approval of the Vice Chancellor.
- (b) On successful completion of the evaluation process announcements of the award of the Ph.D., the Office of the R&D shall submit a soft copy of the Ph.D. thesis to the University within a period of 30 days for onwards transmission to the UGC for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities/universities. Hard copy of the same will be placed in Central Library of the University.

32. Issuance of Provisional Certificates:

After approval of the Vice Chancellor, the candidate shall be issued a Provisional Certificate for having completed the requirement of the degree on the condition that the candidate has submitted two hardbound copies of the final version of his thesis and has cleared all the dues.

33. Composition of DRC and its Functions:

- (a) The DRC shall comprise concerned Cluster Head, supervisor(s) and two other faculty members in the related field (nominated by the Dean R&D on the recommendation of the research coordinator of the concerned School/Research Centers. An External faculty member from a different department / school of UPES will also be a member. Cluster head will be the chairman of DRC. Each member of DRC (except ex-officio member) must possess an earned PhD degree.
- (b) DRC shall perform the following functions:
 - (i) ascertain the availability of existing facilities required for the proposed research.
 - (ii) scrutinize research proposal of the candidate to ensure that the proposal is suitable and recommend it to SRC for evaluation.
 - (iii) prescribe the course(s) to be taken by the candidate.
 - (iv) periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.
 - (v) recommend the panel of examiners.
- (c) Special DRC may be convened for the migration candidate as they may join anytime in the semester and may be ready for the synopsis presentation in school research committee, which occurs once in every 3 months whereas DRC occurs once in 6 months.

34. Composition of SRC and its Functions:

- (a) The composition of the School Research Committee (SRC) will be as under:
 - (i) **Dean/Director of the School/Research Center/nominee of School Dean – Chairperson**
 - (ii) Dean R&D
 - (iii) Maximum three Professors nominated by VC
 - (iv) Two faculty members nominated by the Director/Dean
 - (v) Maximum three external experts from outside UPES as approved by the Vice Chancellor
 - (vi) For up to fifteen candidates, one expert; for 15-30 candidates, two experts will be called.
 - (vii) Nominee of Controller of Examinations
- (b) The functions of School Research Committee (SRC) shall be asunder:
 - (i) approve synopsis to finalize the proposed research plan of the candidate.

- (ii) perform such functions as are required for operationalization of the PhD program.
 - (iii) Approve the long abstract of the thesis on its completion and the final title of the thesis.
 - (iv) consider the recommendation of DRC for action as required.
- (c) SRC shall meet as and when necessary.
 - (d) Fifty percent of the membership shall form the quorum for the meeting.
 - (e) The tenure of members of the SRC other than the ex-officio members shall be two years. A member may be re-nominated for another term.

35. Residual Provisions

- (a) Any person who himself or any of his relatives, as defined below, is a candidate under consideration shall not participate at any level of the decision-making process: Spouse, son, daughter, brother, sister, spouse's brother/sister, brother's son/daughter, sister's son/ daughter, first cousin, grandson, grand daughter.
- (b) Notwithstanding anything contained in these Ordinances, all categories of candidates shall be governed by the applicable Regulations and or Ordinances and Guideline of the University.
- (c) The Vice Chancellor may grant exemption in exceptional cases, from the operation of any of the **Ordinances** and or Regulations, where necessary in special cases with valid reasons and without diluting academic standards.
- (d) Notwithstanding anything stated in these **Ordinances**, for any unforeseen issues arising, and not covered by these **Ordinances** or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining, if necessary, the opinion/advice of a committee consisting of any or all the Deans/Directors/other officers of the University. The decision of the Vice-Chancellor in this regard shall be final.

Annexure 1



Progress monitoring process of the PhD students

Purpose:

Progress monitoring of a PhD student is required to ensure that he/she is receiving sufficient training and supervision from his/her supervisor(s), and the university system. It also helps the university to identify the students making slow progress and suggest a corrective action, if required.

Tasks:

Assessment of the progress of the student on yearly basis (second, fourth and sixth semester)

Process:

After completing the course work successfully, the monitoring period for the student will start. It is expected that student will also do literature survey related to his research problem in the first semester. The scholar has to submit a detailed progress report, in the prescribed format, along with the recommendation of his/her supervisor(s) to DRC. The DRC will call him for presentation and evaluate the progress during last six months. The academic progress of the PhD student will be assessed yearly based on pre-defined criteria (as mentioned below)*. The student will present his work in front of DRC, which will put appropriate comments stating whether the progress made by the student during last year remained satisfactory / unsatisfactory.

The report will be submitted by Research coordinator of the school to Dean R&D for the approval and finally to record section for documentation.

Year-wise parameters for academic progression:

*The progress monitoring parameters for a PhD student have been summarized in the following table.

| S. No. | Year of progress | Parameters | | Remarks about a slow progress |
|--------|------------------|--|----------------------------|-------------------------------|
| 1. | First year | Literature survey completed First research paper/review paper communicated to SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-II journal as an outcome of literature review Methodology planned | Yes/No Yes/No Yes/No | |
| 2. | Second year | Experimental/ Empirical studies going on well Second research paper is communicated in SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-II or as recommended by R&D department Conference paper published/ Accepted | Yes/No Yes/No Yes/No | |
| 3. | Third year | Experimental studies going on well Third research paper is communicated in SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-II or as recommended by R&D department Abstract presentation is over and thesis is being written in parallel | Yes/No Yes/No Yes/No | |

If the targets are not met within the recommended time-lines, for the full time PhD students a special DRC will be conducted as per the policy for slow researchers.

Annexure 2



Identification process of slow progressing PhD scholars

Purpose:

Timely identification of slow progressing PhD scholars is important. It helps the university system to extend all the possible help and support to the PhD scholar and resolve the problems faced by him/her. It also helps the full time scholars to complete the PhD work within the standard time frame.

Tasks:

Identification of slow researchers
Suggesting the ways to improvements

Process:

The duration of two years will be considered for the monitoring of the progress made by the scholar. The progress monitoring parameters will be as follows:

1. The outcome of the first year work is a literature survey based review paper in a SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-II journal.
2. At the end of the second year, the student should have communicated another research paper to an SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-II journal.

If a full time PhD scholar fails to publish even a single research paper, he will be considered as a slow researcher. A special DRC, with one external expert from outside the UPES system, will be organized at the closing of second year to find out the areas where the student needs support. The student will deliver a presentation summarizing the PhD work progress made done till date. The DRC will recommend the following:

1. The reasons for the slow progress of the student.
2. Suggestions to achieve the predefined year-wise targets.

The DRC reports will be submitted by the research coordinator of the school to Dean R&D for the approval. The fortnightly progress review and follow-ups of the candidate's progress will be ensured by any of the supervisor(s). If the scholar do not make any progress within one year after this special DRC. A fulltime candidate may be suggested to change/modify the research topic.

If the full time PhD scholar, getting a fellowship from the university fails to achieve these targets, his/her fellowship may also be stopped. The relaxation in the above parameters can be given to genuine cases after the approval of Vice-Chancellor.