



**O.P. Jindal Global University**

*A Private University Promoting Public Service*

**NAAC Accreditation - 'A' Grade**

# **O.P. JINDAL GLOBAL UNIVERSITY**

## **Ph.D. Regulations**

**22 September 2016**

### **1. TITLE & COMMENCEMENT**

- These regulations shall be called the O.P. Jindal Global University Regulations for the Doctoral Degree Programme.
- These regulations amend the existing Ph.D. Regulations with immediate effect.

### **2. DEFINITIONS**

- **“Applicant”** means an applicant for admission to the Ph.D. Programme of the University.
- **“Approved Institution”** means an institution of higher learning approved by the University.
- **“Attendance”** means the period for which a candidate must attend the University on a full-time basis.
- **“Candidate”** means a Ph.D. student who has been granted admission, has paid the fees and has been registered in a Ph.D. Programme, until such time as he/ she is approved as a Research Scholar.
- **“Co-Supervisor”** means a member of the faculty of the University/ a competent person from outside the University, other than the Supervisor, approved by the respective School Doctoral Committee (SDC) to supervise and monitor the research work of the Ph.D. student alongside the Supervisor.
- **“Coursework”** means the courses to be undertaken by a candidate in the first year in the case of a full-time candidate or in the first two years in the case of a part-time candidate. It comprises both credit and audit courses.
- **“Dean”** means a Dean of a School of the University and includes, as appropriate, a Principal Director of an Institute of the University.
- **“Examinations Office”** means the JGU Office of the Controller of Examinations.
- **“External Co-Supervisor”** means a person from the industry or academia outside JGU approved by the respective SDC to provide guidance to a Ph.D. student and supervise and monitor her/ his research work, alongside the internal Supervisor or Co-Supervisor.
- **“Full-time Ph.D. Student/ Candidate/ Research Scholar”** means a person enrolled in the Ph.D. Programme devoting full-time to completing the requirements of the degree.

- **“Managerial Experience”** means experience that relates to planning, organizing, leading and controlling human or organizational resources to achieve organizational goals in Government/ Private sector/ PPPs/ NGOs.
- **“Minimum Registration Period”** means the minimum period for which a Ph.D. student must be registered, prior to the date of submission of the thesis.
- **“Oral Defence”** or **“Viva Voce”** means an oral examination or oral defence of the thesis.
- **“Part-Time Ph.D. Student/ Candidate/ Research Scholar”** means a person who is registered in the Ph.D. Programme devoting part of his/ her time for completing the requirements of the degree while discharging other employment obligations.
- **“Ph.D.”** means the Degree of Doctor of Philosophy. **“Ph.D. Programme”** means a study plan leading to the award of the Ph.D. Degree in a discipline of the University.
- **“Pre-Submission Seminar”** means the forum for the presentation by the Research Scholar of the gist of her/ his research findings to the SDC before he/ she finally submits the Ph.D. thesis.
- **“Professional Experience”** means work experience that relates to the relevant area of research in government, legal and judicial institutions/ civil society organizations/ NGOs/ Private Ltd. companies/ PPPs etc.
- **“Registration”** means the registration of a Ph.D. student who has paid the fees.
- **“Registration Period”** means the period commencing with the date of registration for the Ph.D. Programme and ending on the date of submission of the thesis, counting out any gaps.
- **“Research Scholar”** means a Ph.D. student who has completed the coursework and whose Synopsis has been approved by the SDC.
- **“School/ Institute”** means a School/ Institute maintained or admitted by the University to its privileges. References to a “School” include, as appropriate, references to an Institute of the University.
- **“School Doctoral Committee” (SDC)** means a School/ Institute - level Committee of a School/ Institute of the University, consisting of the Principal Director/ Dean/ Vice Dean/ Associate Dean of the respective School/ Institute, who shall be its Chairperson, the Member Secretary and three other nominees who may include faculty members from other Schools (quorum at its meetings shall be one half of the members, including the Member Secretary). In addition, the proposed/ approved Supervisor(s) of the candidate shall also be present during its meetings.
- **“Self-Financed Ph.D. Student/ Candidate/ Research Scholar”** means a student/ candidate/ Research Scholar who supports/ finances the Ph.D. Programme himself/ herself.
- **“Sponsored Ph.D. Student/ Candidate/ Research Scholar”** means a full-time student/ candidate/ Research Scholar who is sponsored by an external university/ organization/ employer.
- **“Supervisor”** means a member of the faculty of the University approved by the respective SDC to be responsible for providing guidance and executing supervision, including monitoring quarterly/ half-yearly progress for the continuance of research work of a Ph.D. student.
- **“Synopsis”** means a document submitted by a candidate, after having completed the coursework, which defines the blueprint of the proposed research study.

- **“University” (JGU)** means O.P. Jindal Global University.
- **“University Doctoral Committee” (UDC)** means a University-level Committee constituted by the Vice Chancellor, the Principal Director/ Dean/ Vice Dean/ Associate Dean of the respective School/ Institute, the Member Secretary and the Supervisor(s) (quorum at its meetings shall be one half of the members, including the Member Secretary).
- **“Vice Chancellor”** means the Vice Chancellor of O.P. Jindal Global University.

### 3. OBJECTIVE

- The University shall provide for studies and research leading to the award of a Ph.D. Degree. The Ph.D. Programme shall be conducted at and through the Schools/ Institutes of the University.
- The JGU Ph.D. Programme conforms to the minimum standards and procedures set by the University Grants Commission (UGC) (Minimum standards and procedures for award of M.Phil./ Ph.D. Degree), Regulations 2009.
- A Ph.D. student shall be eligible for the award of a Ph.D. Degree after:
  - successfully completing the prescribed coursework requirements;
  - presenting the results of his/ her research in a thesis which demonstrates originality, intellectual depth and rigour, and contributes to the advancement of knowledge in the area of study concerned; and
  - satisfying the examiners in an Oral Defence of the thesis in the research area concerned.

### 4. RESEARCH PROGRAMME REQUIREMENTS

- A full-time Ph.D. student shall be required to pursue his/ her research and the prescribed coursework at the University under the guidance of an approved Supervisor(s).
- The SDC may permit a full-time Ph.D. student to carry out a part of his/ her research work outside the University at an Organization/ Research Centre/ R&D Centre approved by the University.

### 5. CATEGORIES OF ADMISSION

Applicants shall be admitted to the Ph.D. Programme under one of the following categories:

- Full-time Ph.D. students with or without fellowship.
- Ph.D. students who are faculty members/ staff of the University.
- Ph.D. students under the external registration programme recognized by the University and sponsored by and employed in the organization/ industry/ university/ other institutions, who will normally carry out their research in the organization/ industry/ university/ other institutions of their employment.
- Ph.D. students from partner universities/ institutions with which JGU has MOUs or collaborative arrangements.
- Ph.D. students pursuing part-time Ph.D.

## 6. ELIGIBILITY CRITERIA

An applicant seeking admission to the Ph.D. Programme must satisfy the following academic criteria:

### *For Ph.D. in Law*

- LL.M. with at least 55% marks or an equivalent grade. Applicants with more than 3 years industry/ teaching/ practising/ managerial/ professional experience will be given preference.
- Master's Degree in a discipline relevant to the proposed research with at least 55% marks or equivalent grade having minimum of 3 years managerial/ professional experience.

### *For Ph.D. in Management*

- Master's Degree or any other degree recognized equivalent thereto in (a) Business Administration or Economics or Commerce or in allied subjects with at least 55% marks OR (b) Post Graduate Diploma in Management recognized as equivalent to MBA by AICTE with at least 55% marks or equivalent grade. Applicants with more than 3 years industry/ teaching/ practicing/ managerial/ professional experience will be given preference.
- Professional qualification such as CA/ ICWA/ CFA/ CS (both 5 years integrated or 3 years after graduation) with at least 55% marks. Applicants with more than 3 years industry/ teaching/ practising/ managerial/ professional experience will be given preference.
- Master's Degree in Engineering/ Technology with at least 55% marks in aggregate and 3 years industry/ teaching/ practising/ managerial/ professional experience will be given preference.

### *For Ph.D. in Behavioural Sciences / International Affairs / Government and Public Policy*

- Master's Degree in a discipline relevant to the proposed research with at least 55% marks or equivalent grade. Applicants with more than 3 years industry/ teaching/ practising/ managerial/ professional experience will be given preference.

## 7. APPLICATION PROCEDURE

- The Ph.D. Programme begins twice each year - in the fall semester (on 1 August) and the spring semester (on 1 February).
- Applications for admission shall be accepted continuously over the year on a rolling basis.
- An applicant shall submit:
  - An online/ offline application through the JGU website/ office;
  - A scanned copy of the relevant academic transcripts;
  - A short note on the professional background and experience of the applicant, if any;
  - A "Statement of Purpose" explaining why the applicant wishes to pursue the Ph.D. Programme, in around 1500 words; and

- The names of two academic/ non-academic referees from whom the University may seek information on the research potential of the applicant.
- An applicant is required to pay an application fee determined by the University.

## **8. UPGRADE OF REGISTRATION FROM LL.M./ M.B.A./ M.A. TO Ph.D.**

- Students registered for LL.M./ M.B.A./ M.A. shall be eligible for admission to the Ph.D. Programme in any of the disciplines in any of the Schools/ Institutes of JGU provided they meet the eligibility criteria noted above.
- Research Associates/ Fellows, faculty members and staff currently working in JGU may apply for admission to the Ph.D. Programme subject to the eligibility criteria noted above. Applicants admitted under this clause may be given part exemption from teaching duties during the first semester of their Ph.D. studies.

## **9. SELECTION PROCEDURE**

- Applicants fulfilling minimum eligibility criteria as specified in these regulations shall be required to take an Entrance Test followed by an Interview. In addition, a School/ Institute may prescribe an additional selection test or a written examination.
- The following categories of applicants may be exempted from taking the Entrance Test:
  - Applicants who have qualified UGC/ CSIR/ JRF/ NET/ SLET (Haryana State) or any other similar examination.
  - Holders of Teacher Fellowships from the UGC or any other Government funding agency.
  - Applicants who have completed their Ph.D. coursework/ M.Phil. in another University/ Organization, subject to approval by the SDC.
- Candidates shall be selected on the basis of the academic record and the potential of the applicant demonstrated during the Entrance Test and Interview. Admissions to the Ph.D. Programme must be approved by the respective SDC.

## **10. ADMISSION, REGISTRATION & FEES**

- An applicant whose selection is approved shall be granted admission to the Ph.D. Programme and the set of courses recommended for the candidate (existing courses/ specially devised courses).
- Candidates shall be registered upon payment of University fees or award of research fellowship.
- A Ph.D. student shall renew his/ her registration every semester in the manner prescribed and pay the fees determined by the University.
- A Ph.D. student not holding a research fellowship shall pay the prescribed University fees at the beginning of each semester, until the submission of his/ her thesis.

## **11. CANCELLATION OF REGISTRATION**

- The registration of a Ph.D. student shall be cancelled by the UDC upon the recommendation of the SDC in any of the following eventualities:



- Non-payment of fees due for two consecutive semesters.
- Non-completion of the coursework within one year from the date of registration for full-time candidates and within two years from the date of registration for part-time candidates.
- Failure to present and defend a Synopsis within one semester after completing all prescribed coursework in the case of a full-time candidate and within two semesters in the case of a part-time candidate.
- Non-submission of progress reports, as prescribed.
- If a full-time Research Scholar absents himself/ herself for a continuous period of four weeks without prior intimation/ sanction of leave.
- If the Research Scholar leaves the Ph.D. Programme.
- If the Research Scholar's academic progress is found by the SDC to be unsatisfactory.
- If the Research Scholar is found to be involved in an act of misconduct, plagiarism, dishonesty and/ or indiscipline.
- Ordinarily, a candidate shall not be eligible for re-registration once his/ her earlier registration has been cancelled. The UDC may, however, upon the recommendation of the SDC, permit re-registration based on the merits of the case, to be recorded in writing.

## **12. SUPERVISOR**

- Each Ph.D. student shall have a Supervisor, duly approved by the SDC. A student may in addition have one Co-Supervisor.
- Any regular faculty member of the University (Associate Professor and above) who holds a Ph.D. Degree and has teaching/ research experience of not less than 3 years shall be eligible to be appointed as a Supervisor.
- Any other faculty member of the University with a Ph.D. Degree and not less than 3 years of teaching/ industry/ research experience in JGU/ another university/ industry/ reputed institution shall be eligible for appointment as a Co-Supervisor.
- A sponsored Ph.D. student shall have one Supervisor or Co-Supervisor from the University and one from the sponsoring university/ organization/ employer.
- The Vice Chancellor upon the recommendation of the SDC may relax the conditions of experience if a faculty member with the required experience is not available.
- A person of eminence with an established record of research evidenced through publications in refereed journals/ acknowledged contributions in corporate/ public life may be appointed a Co-Supervisor.
- In case a faculty member who has been appointed as the Supervisor or Co-Supervisor proceeds on leave exceeding one year, an alternate faculty member may be appointed as the Co-Supervisor for the duration of absence of the regular incumbent upon the approval of the SDC.
- A change of Supervisor(s) can be approved by the SDC for reasons to be recorded.

- The number of Ph.D. students under a teacher, including Ph.D. students of other universities, shall not exceed at any time the following:
  - Professor: 8
  - Associate Professor: 4
  - Assistant Professor: 2 (only as a Co-Supervisor)
 Co-Supervision by a Professor or Associate Professor will be treated as one half of a unit.
- The eligibility, roles and responsibilities of Supervisors/Co-Supervisors are set out in Annexure B.

### **13. MINIMUM ATTENDANCE REQUIREMENTS**

- A full-time candidate shall attend classes for a minimum period of one semester.
- However, Research/ Teaching Assistants appointed on a full-time basis by the University for teaching/ research and having registered for the Ph.D. Programme in the same area may be exempted from attending classes as per discretion of the SDC.
- A part-time/ sponsored Research Scholar shall spend a minimum of 7 days during a semester to seek professional guidance from his/ her Supervisor(s) and/ or avail the library/ laboratory facilities.
- The SDC may allow an overseas candidate to meet the attendance requirements in his/ her place of residence provided the University has some form of collaboration with the university/ institute concerned.

### **14. REGISTRATION PERIOD**

The minimum and maximum period of study and research shall be 3 years and 7 years respectively from the date of registration of the student. However, in case the performance of a Research Scholar has been exceptionally good, the minimum period can be reduced by six months upon approval by the SDC.

### **15. COURSEWORK**

- The coursework approved by the SDC shall be offered to the candidate who will be required to complete the prescribed courses.
- The candidates may be recommended additional courses or given credit for coursework already completed in the University or any other university provided the coursework meets the requirements.
- The candidate shall obtain at least 50% marks or equivalent in each individual course and at least 55% marks in aggregate across all the courses or an equivalent grade to successfully complete the coursework.
- A candidate who has already completed his/ her Ph.D. coursework/ M.Phil. from another university/ organization may be exempted from the coursework upon approval by the SDC.
- A full-time candidate must complete the coursework within one year from the date of registration. A part-time candidate must complete the coursework within two years from the date of registration.

## **16. SYNOPSIS**

- Upon successful completion of his/ her coursework, each candidate shall make a presentation before the SDC of a Synopsis of the research proposal and demonstrate her/ his preparedness to carry out the proposed research.
- The candidate shall present and defend the Synopsis within one semester after completing all prescribed coursework in the case of a full-time candidate and within two semesters in the case of a part-time candidate.
- The Synopsis shall comprise the following:
  - Outline of research proposal
  - Summary of the current developments in the area of research
  - Methodology
  - Originality of the research and its contribution to the discipline
  - Names of academic/ industry experts with whom the candidate corresponded while developing the research proposal
- The SDC shall either approve the Synopsis or require the candidate to submit a revised Synopsis.
- A candidate shall ordinarily be allowed only two attempts for presentation before the SDC. In case the Synopsis is not approved within the limitations prescribed in this clause, the registration shall be cancelled.

## **17. THE MEMBER SECRETARY, SDC AND UDC**

The roles and responsibilities of the Member Secretary, SDC and UDC are set out in Annexure A.

## **18. PERFORMANCE MONITORING/ PROGRESS REPORT**

- The academic progress of each Research Scholar shall be monitored by the SDC through the Supervisor(s) on the basis of a Progress Report at the end of each semester. For this purpose, each Research Scholar shall submit a Progress Report to his/ her Supervisor(s) at the end of each semester.
- The SDC, after having considered the Progress Report of a Research Scholar, shall recommend one of the following:
  - Continuation of registration.
  - Continuation of registration and issuance of a warning to the Research Scholar and/ or making recommendations in consultation with the Supervisor(s) on the steps necessary to improve his/ her performance.
  - Cancellation of registration.

## **19. PRE-SUBMISSION SEMINAR**

- Every Research Scholar upon completion of his/ her research work shall present the research work to the SDC through his/ her Supervisor(s) in hard copy spiral bound, consisting of:
  - Introduction, including background context and motivation
  - A detailed literature review



- Gaps in the literature surveyed
- Research Questions and Research Objectives
- Research Design & Methodology
- Tools & Data analysis
- Results and Discussion
- Conclusions/ Findings
- Further scope of research and Limitations
- Bibliography
- Thereafter, the Research Scholar will be required to make a 45-minute power point presentation before the SDC, respective Supervisor(s), faculty members and other Research Scholars.
- The SDC shall either approve the presentation of the research work or require the Research Scholar to make a revised presentation.

## **20. SUBMISSION OF THESIS**

- The Research Scholar shall submit his/ her thesis within six months after the approval of the presentation of his/ her research work at the pre-submission seminar.
- If he/ she fails to submit his/ her thesis within the stipulated time and has suitable justification for the same, the SDC may grant an extension of not more than 6 months.
- Prior to submitting the thesis, the Research Scholar shall arrange for the publication of one research paper in a refereed journal and provide either a reprint of the article or a letter of acceptance.
- The thesis shall be a piece of research work characterized either by discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts. It shall bear evidence of the Research Scholar's capacity for analysis and judgment as well as his/ her ability to carry out independent investigation, design or development.
- The Research Scholar shall submit a certificate from his/ her Supervisor(s) in the prescribed format that the work embodied in the thesis is original and has been carried out by the author.
- The thesis shall be prepared according to the format contained at Annexure D.
- Three copies of the thesis in soft binding along with one copy on Electronic media for record shall be submitted to the Examinations Office for evaluation. In case of a Research Scholar being supervised by more than one Supervisor/ Co-Supervisor, the appropriate number of additional copies shall be submitted.
- The Research Scholar shall submit the thesis along with printouts of the Plagiarism checking software generated certificates. These printed certificates must be duly signed by both the student and the Supervisor(s) provided pre-set norms are met.

## **21. APPOINTMENT OF EXAMINERS**

- A panel of at least six experts in the subject area of the research work shall be prepared by the SDC with at least one expert from outside Haryana and at least two experts from outside India. The Supervisor(s) shall propose experts to form the panel but the SDC may delete any of the names proposed and/or add other experts.

- A person from the same university/ institute/ organization where the Research Scholar is registered or employed shall not be appointed as an examiner. Furthermore, a person from a university/ institute/ organization to which the Supervisor(s) belongs shall not be appointed as an examiner.
- Upon receipt of the abstract of the thesis, the SDC shall send the names of the panel of examiners to the Vice Chancellor who shall appoint two examiners, one of whom must be from outside Haryana and one of whom may be from outside India.
- In case an examiner so appointed declines to examine the thesis, another examiner(s) shall be appointed out of the panel. In case the panel gets exhausted, the SDC shall propose additional names.

## **22. EVALUATION OF THESIS**

- Each examiner shall be requested to submit to the Examinations Office a detailed assessment report on a prescribed proforma within 60 days of receiving the thesis.
- In the event that the assessment report is not received from an examiner within 60 days, the Vice Chancellor may appoint another examiner from the panel of examiners for evaluating the thesis.
- The examiners shall be required to state categorically whether, in their individual opinions, the thesis shall be:
  - Accepted for the award of Ph.D. Degree,
  - Referred to the Research Scholar for revision and resubmission, or
  - Rejected.
- The examiners shall state the reasons for recommending resubmission/rejection of the thesis. If resubmission is recommended, the examiners shall indicate the modifications that shall be made in the thesis.
- The reports from the examiners shall be placed before the SDC. The SDC shall peruse the reports and decide one of the following:
  - That the Research Scholar shall appear for an Oral Defence, if the examiners have unanimously approved his/ her work.
  - That the Research Scholar shall revise the thesis and resubmit it, if the examiners are unanimous that the thesis be submitted in a revised form.
  - That the thesis be rejected, if the examiners are unanimous that it be rejected.
  - If the examiners are not unanimous, that a third examiner be appointed by the Vice Chancellor to assess the thesis.
- The Examinations Office shall inform the Research Scholar of the decision of the SDC.
- In the event of acceptance of the thesis, the Examinations Office shall arrange for the Oral Defence.
- In the case of rejection, the Research Scholar shall be advised to re-register for a minimum duration of one year and a maximum duration of two years.
- In the case of resubmission, the revised thesis shall be submitted within a period of one year from the date of communication by the Examinations Office of the decision of the SDC. However, in exceptional circumstances the SDC may extend this period by up to one more year. The revised thesis shall be sent to the original examiners for assessment. In the event of one or more of the original examiners not being available, another examiner(s) may be appointed by the Vice Chancellor. If the examiners are not unanimous to approve the thesis for the Oral Defence, the thesis shall be rejected.

- In the case of a decision that the thesis be re-assessed by a third examiner, the examiner shall be requested to submit to the Examinations Office a detailed assessment report on a prescribed proforma within 30 days. The examiner shall be required to state categorically whether the thesis shall be accepted for the award of Ph.D. degree, referred to the Research Scholar for revision and resubmission or rejected. The report will be considered by the SDC along with the reports of the other two examiners. The SDC shall decide: (a) to approve the thesis for an Oral Defence; (b) that the thesis shall be revised and resubmitted; or (c) that it shall be rejected.
- Each examiner shall be paid an honorarium decided by the University for evaluating the thesis.

### **23. ORAL DEFENCE/ VIVA VOCE EXAMINATION AND AWARD OF DEGREE**

- Within one month from the decision of the SDC that the Research Scholar shall appear for an Oral Defence/ vive voce examination, the Oral Defence shall be held by a Board of Examiners consisting of the Supervisor(s) and one of the examiners who evaluated the thesis, to be nominated by the Vice Chancellor. In case neither/ none of the examiners who evaluated the thesis is able to conduct the Oral Defence, the Vice Chancellor shall appoint another examiner from the panel of examiners to the Board of Examiners.
- The Oral Defence shall, unless decided otherwise by the Vice Chancellor, be held at the University in the School concerned. The date and time of the Oral Defence and the subject of the thesis shall be notified by the SDC among the teachers and the Research Scholars of the concerned School, who may be permitted to be present at the time of the Oral Defence, but they shall have no right to put any question to the examinee. The Board of Examiners shall adopt a report indicating either that the thesis is “Not Qualified” or recommending that the Ph.D. Degree be awarded.
- The examiner shall be paid an honorarium decided by the University for conducting the Oral Defence.
- In the case of the “Not Qualified” indication, the Research Scholar shall be advised to re-register and write a fresh thesis, thus repeating the entire process after the completion of the coursework.
- In the case of a recommendation that the Ph.D. Degree be awarded, the reports of the examiners on the thesis and the Board of Examiners on the Oral Defence shall be placed before a meeting of the UDC, to be held within one month of the Oral Defence. The Research Scholar shall be invited to the UDC meeting. At least one week's notice shall be issued for the meeting. If the Principal Director/ Dean/ Vice Dean/ Associate Dean of the School/ Institute is not able to participate in the meeting, the Vice Chancellor will co-opt any other senior faculty member of the School/ Institute in his/ her place. The UDC shall decide on the approval of the award of the Ph.D. Degree.
- Upon the approval by the UDC, the Examinations Office shall issue the notification of the award of the Ph.D. Degree.
- Following the successful completion of the evaluation process and announcements of the award of the Ph.D. Degree, the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission (UGC) within a period of 30 days, for hosting on INFLIBNET which shall be accessible to all institutions/ universities.
- Along with the Degree, the University shall issue a certificate certifying that the Degree has been awarded in accordance with the provisions of the Ph.D. regulations of O.P. Jindal Global University and the relevant UGC Regulations.

## **24. PUBLICATION OF THESIS**

- The permission for publication of the thesis if applied for by the concerned Research Scholar may be given by the Vice Chancellor if the examiners have recommended that the thesis is suitable/ fit for publication. If there is difference of opinion between the examiners regarding the publication of the thesis, the case shall be referred to a committee consisting of the following for consideration and recommendations:
  - Dean/ Vice Dean of the School - Chairman
  - Supervisor of the Research Scholar - Member
  - Co-Supervisor of the Research Scholar - Member
- Where the Dean of the School is the Supervisor, the Vice Chancellor would nominate some other expert on the committee.
- The recommendations of the committee shall be referred to the Vice Chancellor for consideration and approval.

## **25. UNFORESEEN ISSUES**

In the event of any unforeseen issues not covered by these regulations, the Vice Chancellor is the final authority to take decisions upon the advice of the UDC.

## **ANNEXURES**

### **ANNEXURE A**

#### **ROLE & RESPONSIBILITIES OF THE MEMBER SECRETARY, SDC AND UDC**

- The Programme Director, Ph.D. Programmes, at the respective School shall be the “Member Secretary” of the School Doctoral Committee (SDC) as a permanent member at all SDC meetings.
- The Member Secretary shall have a vote.
- The Member Secretary shall convene the SDC in accordance with approved procedures.
- The Member Secretary shall prepare the draft minutes of each meeting of the SDC and submit it to the Chairperson, SDC, who shall distribute it to the members of the SDC.
- If no unanimity appears to exist in respect of decisions of the SDC, the Member Secretary shall facilitate a discussion between the SDC members.
- If the members do not unanimously agree on a decision of the SDC, the Member Secretary will call for a vote of the members present. In case of a tie, the Chairperson, SDC shall cast his vote to arrive at a final decision.
- The Member Secretary shall also have the right to make recommendations regarding codes of conduct of the SDC and the resolution of disputes.
- The quorum at meetings of the SDC shall be one half of the members, including the Member Secretary.
- The Member Secretary of the respective School shall act as Member Secretary of the UDC when it convenes and takes decisions relating to a Ph.D. student of the School.

## ANNEXURE B

### ELIGIBILITY, ROLES & RESPONSIBILITIES OF SUPERVISORS/ CO-SUPERVISORS

- Each Ph.D. student shall have a Supervisor, duly approved by the SDC. A student may in addition have one Co-Supervisor.
- Normally, a student shall be required to complete his/ her doctoral work under the guidance of the same Supervisor(s). However, the SDC may allow a change of Supervisor(s) upon the production of a “No Objection” notice from the first Supervisor(s) and an acceptance letter from the new Supervisor(s). In case of such a change, the student shall work for a minimum period of one semester under the new Supervisor(s) before he/ she submits the thesis. A “No Objection” notice will not be required if the student substantiates the non-availability of Supervisor(s), as endorsed by the SDC.

#### Eligibility of Supervisors/ Co-Supervisors

- Any regular faculty member of the University (Associate Professor and above) who holds a Ph.D. Degree and has teaching/ research experience of not less than 3 years shall be eligible to be appointed as a Supervisor.
- Any other faculty member of the University with a Ph.D. Degree and not less than 3 years of teaching/ industry/ research experience in JGU/ another university/ industry/ reputed institution shall be eligible for appointment as a Co-Supervisor.
- A sponsored Ph.D. student shall have one Supervisor or Co-Supervisor from the University and one from the sponsoring university/ organization/ employer.
- The Vice Chancellor upon the recommendation of the SDC may relax the conditions of experience if a faculty member with the required experience is not available.
- A person of eminence with an established record of research evidenced through publications in refereed journals/ acknowledged contributions in corporate/ public life may be appointed a Co-Supervisor.
- In case a faculty member who has been appointed as the Supervisor or Co-Supervisor proceeds on leave exceeding one year, an alternate faculty member may be appointed as the Co-Supervisor for the duration of absence of the regular incumbent upon the approval of the SDC.
- The number of Ph.D. students under a teacher, including Ph.D. students of other universities, shall not exceed at any time the following: Professor: 8; Associate Professor: 4; Assistant Professor: 2 (only as a Co-Supervisor). Co-Supervision by a Professor or Associate Professor will be treated as one half of a unit.

#### Role and Responsibilities of Supervisors & Co-Supervisors

- The Supervisor/ Co-Supervisor have the primary academic responsibility for the organization and the implementation of the Ph.D. Programme and to ensure that the Ph.D. student acquires the desired skill and competence for effective conclusion of the research embarked on.
- The Supervisor/ Co-Supervisor must attend to the following specific roles:
  - Provide research guidance and supervision in respect of all components of the specified Ph.D. course of study, including coursework, Synopsis preparation, presentation to the SDC of the research work and the thesis.



- Advise and provide references for the prescribed course of study for periods of six months, in consultation with the SDC, in order to equip the candidates for relevant research.
- Conduct and monitor the progress of the course of study and report its progress to the SDC.
- Conduct and monitor the progress and quality of the Synopsis as a pre-requisite for presentation to the SDC.
- Suggest and guide the student for participation in conferences, seminars and other colloquia of relevance and for paper presentations.
- Regularly follow up and monitor the progress made on the research in consonance with the study plan, and for the purpose call periodic meetings/ discussions with the student either in person or through net/ media with such frequency as may be needed, but not less than one personal meeting at the University campus every six months and not less than seven days' duration each semester.
- Interact and discuss the requirements and progress of the student with his/ her External Co-Supervisor, as applicable.
- Connect the student to active research groups or networks of relevance within the contacts of the Supervisor(s), for research enhancement.
- Suggest modifications/ changes, if any, required in the scope of the research study warranted by external factors in order to make the study meaningful and relevant.
- Submit progress reports to the SDC in the prescribed format for its review and feedback.
- Consult, cooperate and collaborate with the SDC in the best possible manner to ensure quality compliance with reference to its objectives in general and the Ph.D. Programme in particular.

### **Progress**

- The academic progress of each Research Scholar shall be monitored by the SDC through the Supervisor(s) on the basis of a Progress Report at the end of each semester. For this purpose, each Research Scholar shall submit a Progress Report to his/ her Supervisor(s) at the end of each semester.
- The SDC, after having considered the Progress Report of a Research Scholar, shall recommend one of the following:
  - Continuation of registration.
  - Continuation of registration and issuance of a warning to the Research Scholar and/ or making recommendations in consultation with the Supervisor(s) on the steps necessary to improve his/ her performance.
  - Cancellation of registration.

### **Disputes**

- In case of a dispute between a student candidate and his Supervisor(s), a Panel consisting of the following shall examine the matter: a nominee of the respective SDC appointed by its Chairperson; the Principal Director/ Dean/ Vice Dean/ Associate Dean of the respective School/ Institute; a nominee of the UDC.
- The Panel shall report to the Vice Chancellor with its recommendations. The decision of the Vice Chancellor shall be final.

## ANNEXURE C

### INSTRUCTIONS FOR PREPARATION OF Ph.D. THESIS

- The thesis shall be type-written on good quality A-4 size paper in double space in English with sufficient margins.
- Suitable reproduction of Indian-ink diagrams shall be used. Photographs shall be suitably mounted on the same quality paper as the thesis.
- References shall be given in a style in the text consistent with established practices in the field.
- Three copies of the thesis in soft binding along with one copy on Electronic media for record shall be submitted to the Examinations Office for evaluation. In case of a Research Scholar being supervised by more than one Supervisor/ Co-Supervisor, the appropriate number of additional copies shall be submitted. The outer and inner covers shall be prepared according to the format given at Annexure D.
- After the successful completion of the Oral Defence, two copies of the thesis in maroon colour hard cover binding along with one copy on Electronic media shall be submitted. The outer and inner covers shall be prepared according to the format given at Annexure D. The following shall be printed on the spine of the thesis:
  - The year of publication at the top
  - The author's last name in the centre
  - “Ph.D.” at the bottom.
- The contents of the thesis shall have the following format:
  - Inner cover page
  - Certificate from the Supervisor(s)
  - Acknowledgements, if any
  - Abstract
  - Table of Contents
  - List of Figures/ Tables
  - Body of the thesis
  - Bibliography
  - Appendices
  - Brief bio-data of the author.

**ANNEXURE D**



**O.P. Jindal Global University**

*A Private University Promoting Public Service*

**NAAC Accreditation - 'A' Grade**

<NAME OF SCHOOL/ INSTITUTE>

<TITLE OF THESIS>

**BY**

<NAME OF SCHOLAR>

**SUBMITTED  
IN PARTIAL FULFILMENT OF THE REQUIREMENTS OF  
THE DEGREE OF DOCTOR OF PHILOSOPHY**

**TO**

**O.P. JINDAL GLOBAL UNIVERSITY  
SONIPAT, HARYANA**

<MONTH & YEAR>