



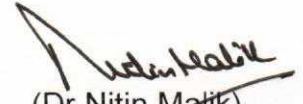
F. No. AUD/26-2(2)/Gov./2021

March 03, 2021

NOTIFICATION

The Board of Management in its 30th meeting held on 03.02.2021 vide Resolution No. 30.4 has resolved the Regulations concerning degrees of Doctor of Philosophy (PhD) and as approved by the Vice Chancellor, to be followed for all PhD programmes at Dr. B.R. Ambedkar University Delhi (AUD) with effect from Academic Session 2020-21.

2. The above Regulation is enclosed herewith as Annexure-1.


(Dr Nitin Malik)
Registrar

Encl: As above

Copy to:

- i. Office of the Vice Chancellor
- ii. All Deans of the Schools/Divisions and Directors of the Centres
- iii. Office of the Registrar/ Controller of Finance
- iv. All Deputy Registrars and Assistant Registrars
- v. Webmaster – for uploading this Notification on AUD's intranet.
- vi. Notification File/ Guard File

Regulations Relating to the Award of Degree of Doctor of Philosophy, 2021

1. These regulations confirm with University Grants Commission (Minimum Standards and Procedure for Awards of MPhil/PhD Degrees) Regulations, 2016 and its amendments thereto.
2. The regulations are framed under Ordinance ____ of the Dr. B. R. Ambedkar University Delhi, and are subject to change in case of amendment in the said ordinance, with due approval from competent authority.
3. The provisions of these regulations shall apply to all programmes leading to Degree of Doctor of Philosophy awarded by the University.
4. These regulations will come into force immediately from the date of notification on the University website.

5. Definitions

- 5.1. "Bulletin of Information" means a document recommended by the School RSC, the SCR and prepared by the Dean Student Services after approval by the Vice Chancellor for the purposes of public circulation for inviting applications to a PhD programme of the University. However the same will be placed before the Academic Council for ratification.
- 5.2. "Ordinance" means Ordinance ____ (Relating to the Award of Degree of Doctor of Philosophy) of the Dr. B.R. Ambedkar University Delhi.
- 5.3. "Programme Faculty" of a Ph.D. programme means all full time regular faculty members of the University who are engaged in academic work (teaching, supervision, etc.) related to that Ph.D. programme.
- 5.4. Words and expressions used and not defined in these regulations but defined in the Ordinance, shall have meanings respectively assigned to them in the Ordinance.

6. Composition and Functions of SCR and RSC

- 6.1. The members of the SCR shall include:
 - Chairperson appointed by the Vice Chancellor
 - Dean of Research and Consultancy, who will also be the Convenor of SCR
 - All Deans of Schools;
 - Dean of Student Services;
 - Dean of Assessment Evaluation and Student Progression;
 - Dean of International Affairs Division
 - All designated coordinators of Ph.D. programmes and convenors of the Research Studies Committees.

- ANNEXURE-1
- 6.2. The duration of the terms of SCR members is determined by their primary administrative roles (e.g., School Deans are usually appointed for three years). Special invitees may be identified by the Chair.
 - 6.3. The quorum for meeting of the SCR is one-half of the regular members, including the Chair, plus one member.
 - 6.4. The SCR shall formally minute its deliberations, recommendations and actions.
 - 6.5. An RSC shall include faculty representatives from every discipline/ knowledge area/ practice area of the School.
 - 6.6. Each RSC shall include at least five members, consisting of:
 - Dean of the School (Chair);
 - All Ph.D. programme coordinators of the School;
 - At least two faculty members of the School or faculty with concurrent appointment to the School, who are eligible to serve as doctoral supervisors, nominated by the RSC Chair;
 - One or two faculty members of other Schools, eligible to serve as doctoral supervisors, nominated by the SCR Chair and to be approved by the Vice Chancellor.
 - 6.7. If an RSC of at least five members cannot be constituted through the categories mentioned in Clause 6.6, the SCR shall nominate other members with domain expertise based on recommendations of the RSC Chair/ School Dean. Members nominated from this category must be regular faculty members of the University and be eligible to serve as doctoral supervisors.
 - 6.8. The Chair shall name one of the Ph.D. programme coordinators or one of the RSC members from the School as Convenor of RSC. All RSC members other than the Chair shall serve terms of two years.
 - 6.9. The RSC shall maintain the records of admission, registration and academic progress (including RAC reports) of Ph.D. scholars and shall provide them to SCR as required. A copy of the synopsis will be submitted by the RSC to the SCR after successful synopsis defense by the scholar.
 - 6.10. The RSC will formally minute its deliberations, recommendations and actions.
- 7. Duration of the Ph.D. Programme and De-Enrolment**
- 7.1. In case the Ph.D. scholar is unable to complete her/his research work within the registration period, he/she may apply to the RSC for an extension of six months from the date of completion of the registration period. The application for extension shall be given well in advance before the end of the registration period and shall follow the format recommended by the SCR. The application should carry a detailed report on the work already done and what is expected to be completed during the extension.

- 7.2. The supervisor and RAC should certify that the scholar has already completed as significant part of her/ his thesis work and will be able to complete the remaining work within six months.
- 7.3. The RSC shall deliberate upon the scholar's application for extension, as forwarded by the supervisor and RAC, and may recommend the same to the SCR.
- 7.4. The final approval for extension is incumbent upon SCR recommending the same. Further, the SCR shall not grant more than two such extensions under any circumstances.
- 7.5. If a thesis is not submitted within the registration period (excluding maternity leave and the period of temporary de-registration, and including the extension granted by SCR), the scholar shall be automatically de-enrolled from the Ph.D. programme.
- 7.6. Every candidate is expected to satisfy the criteria laid out in the Ordinance and the Regulations for academic progress. The supervisor and the RAC shall take note of the inability of a scholar to complete these criteria and report the same to the RSC (including multiple unfavourable progress reports of the RAC, inadequate performance in course work or scholar's inability to produce a viable thesis synopsis).
- 7.7. Based upon the recommendation of the RAC, the RSC may recommend to the SCR the cancellation of a scholar's enrolment before the end of the registration period. The RSC is required to report in writing to the candidate the particular reasons for which cancellation of enrollment is being recommended.
- 7.8. The SCR may deliberate upon the recommendation and recommend a course of action, subject to the approval of the Vice Chancellor and the Academic Council.

8. Procedure for admission

- 8.1. The University shall admit candidates by a two stage process through (i) an Entrance Test which will be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific; and (ii) an interview/viva-voce to be organized by the University as mentioned when the candidates are required to discuss their research interest/area through a presentation before the RSC.
- 8.2. At the beginning of every academic year, each school shall intimate the number of seats being offered in each PhD programme to SCR, after which seats will be reserved on the basis of total offering.
- 8.3. The 200-point roster shall be followed while allocating seats for reserved and unreserved categories for the Ph.D. programmes in the University.
- 8.4. Alphabetical rotation will be followed for reservation of seats school wise. The roster for every year will be prepared and maintained by Student Services

Division under the oversight of Equal opportunity Office as mandated in pursuance to Notification No. AUD/VCO/2019/EOO/1596 dated 18.09.2019.

- 8.5. The Persons with Disability shall be given preference in admission as per 100-point roster.
- 8.6. The supernumerary seats allotted for Foreign Students may be 15 percent over and above the total seats in the Ph.D. programme in one academic year.
- 8.7. For inviting applications to the Ph.D. programmes, the Student Services Division shall prepare a Bulletin of Information (BoI) with all relevant information including the number of available seats for the academic year, the thematic areas and specialisations that are offered by the School of Studies, the category-wise number of reserved seats, the eligibility criteria and the procedure and criteria for admission.
- 8.8. The BoI shall be published and/or printed in the public domain after the approval of the Vice Chancellor.
- 8.9. The Entrance Test and Interview will be conducted under the supervision of Student Services Division in consultation with RSC of the School in keeping with the following provisions for the Ph.D. programmes:
 - 8.9.1. The Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific.
 - 8.9.2. The Entrance Test shall be conducted at the Centre(s) notified in advance by the University (changes of Centres, if any, also to be notified well in advance).
 - 8.9.3. An interview will be organised for the qualified applicants. The applicants are required to discuss their research interest/area through a presentation before the Ph.D. Programme Faculty (RSC). Provided that for selection of candidates and preparation of merit, a weightage of 70% to the Entrance Test and 30% to the performance in the interview shall be given.
 - 8.9.4. The interview shall also consider the following aspects, viz. whether
 - The applicant possesses the competence for the proposed research;
 - The research work can be suitably undertaken in the School;
 - The proposed area of research can contribute to new/ additional knowledge.
- 8.10. Those applicants, who have qualified UGC-JRF/CSIR-JRF/DBT-JRF or equivalent as specified by UGC, may directly appear for the interview. The marks obtained by such candidates i.e., 30% weightage for the performance in the interview, will be scaled to 100% for determining the merit list.

- 8.11. Those applicants who are employed as Group A officers by the Central Government or the State Government or as Group A officers of AUD or as full-time/ regular Assistant Professors of AUD, may directly appear for the interview and the marks obtained i.e., 30% weightage for the performance in the interview, will be scaled to 100% for determining the merit list.
- 8.12. The applicants under the Foreign Students category shall appear for an online Entrance Test followed by an online or offline personal interview as specified and approved by the Academic Council.
- 8.13. The Ph.D. Programme Coordinator shall submit the results of the Entrance Test and the interview to the Chair RSC, concerned Dean of the School and the Dean will forward the list to Student Services for announcement of a single merit list and wait list of successful applicants for each Ph.D. programme following the reservation provisions given in the Ordinance and Regulations.
- 8.14. The Dean (SS) shall notify the result of the Entrance Test after approval of Vice Chancellor for each PhD programme. The list of students qualified for the interview for the PhD programme will also be issued by Dean (SS) and after obtaining the marks of the interview of each candidate, through Chair RSC, a single merit list and waitlist for each PhD programme following the reservations policies being followed in the other state universities established by Govt. of NCT of Delhi for admissions to PhD programme.
- 8.15. The Student Services Division shall admit the Ph.D. students upon payment of fees and satisfactory verification of marksheets, transcripts, certificates and other documents.
- 8.16. The admission and registration of Ph.D. scholars shall require reporting in the Academic Council.

9. Allocation of Research Supervisor

- 9.1. A Supervisor/Co-supervisor who is a professor, at any given point of time, cannot guide more than eight (8) Ph.D. scholars. An Associate Professor as supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as supervisor can guide up to a maximum of four (4) Ph.D. scholars or as notified by the UGC from time to time.
- 9.2. In cases where the supervisor of a scholar has three or fewer number of years before retirement, the RSC shall mandatorily appoint a co-supervisor from the same School. Such Co-supervisor(s) must be in active service at the time of submission of thesis. Those appointed as Supervisor shall continue to guide the particular research scholar as Co-supervisor after retirement and the Co-supervisor will become Supervisor in that particular case.
- 9.3. A co-supervisor can be appointed for a Ph.D. scholar from another School or from outside the University with approval by the Academic Council based on the recommendation of the SCR, the School's RSC and the scholar's RAC with the approval of competent authority.

- 9.4. A co-supervisor who is outside the University must possess a doctoral degree (Ph.D. or equivalent) and satisfy the eligibility criteria given in Clause 9.3 of the Ordinance.
- 9.5. A research scholar may be permitted by the RSC to conduct research or engage in academic work at the institution of the external co-supervisor (or fieldwork under her/his supervision) for a maximum period of twelve months. Any extension of the stipulated 'external' research situation shall require approval of the RSC and any dispute over such an extension shall be communicated to the SCR.
- 9.6. In case the supervisor is unable to supervise a scholar due to circumstances such as resignation, retirement or death, the Chair RSC shall appoint an alternate supervisor as per provisions of the Ordinance, in consultation with the RSC and the scholar's RAC with necessary approval of competent authority.
- 9.7. In case the supervisor proceeds on long leave for less than twelve (12) months, he/she can continue to be the supervisor, provided he/she is able to fulfill the necessary responsibilities. If he/she is unable to fulfill the responsibilities, the Chair RSC shall appoint a co-supervisor with the consent of the supervisor and approval of competent authority.
- 9.8. In case the supervisor proceeds on long leave for more than twelve (12) months and if the scholar does not have a co-supervisor, the RSC shall appoint a co-supervisor in consultation with the supervisor and the scholar's RAC and approval of competent authority.
- 9.9. The tenure of the co-supervisor appointed in such cases may be limited to the period of absence of the supervisor or may continue till the submission of the thesis, as decided by the School RSC and approval of competent authority.
- 9.10. Each Supervisor is entitled to take a fresh research scholar after submission of the thesis of his/her previously allotted research scholar, based on maximum permissible number for that faculty member.

10. Course Work

- 10.1. Course work shall include courses recommended by the SCR and duly approved and notified by the Academic Council for each Ph.D. programme, as well as courses notified by the University Grants Commission from time to time and adopted after due consideration by the SCR and Academic Council. All courses prescribed for Ph.D. course work shall specify content, instructional and assessment methods, learning objectives and outcomes including quantitative and qualitative.
- 10.2. A Ph.D. scholar has to obtain a minimum grade of 'B ONLY' in each course in order to be eligible to continue in the programme and submit the thesis.
- 10.3. A student who is unable to pass a course or is unable to achieve the prescribed minimum grade average in the course(s) shall be allowed to repeat

and pass the course(s) or equivalent assignment/ examinations of the course(s) within twelve months.

- 10.4. The RSC shall report the completion of prescribed course work of all Ph.D. students to the SCR for ratification.

11. Research Advisory Committees

- 11.1. There shall be a Research Advisory Committee (RAC) for each Ph.D. student and the supervisor of the scholar will be the convenor of this committee.

- 11.2. The rules of composition of the RAC are as follows:

- The RAC must have at least three (03) members;
- The thesis supervisor is the convenor of the RAC and the co-supervisor (if any) must be a member of the RAC.
- At least two (02) members shall be within the Ph.D. programme faculty
- At least one (01) member shall be from outside the Ph.D. programme faculty;
- At most two (02) members may be from outside the Ph.D. programme faculty;
- All RAC members should be eligible for Ph.D. supervision.

- 11.3. The RAC shall have the following responsibilities:

11.3.1. To identify the courses that the student may have to undertake;

11.3.2. To review the research proposal and finalise the topic of research;

11.3.3. To guide the student to develop the study design and methodology of research;

11.3.4. To periodically review and assist in the progress of the research work of the student.

- 11.4. A scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to the programme coordinator and to the SCR, with a copy to the research scholar.

- 11.5. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the RSC and the final grades shall be communicated to the Institution/College.

- 11.6. PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

- 11.7. In case the progress of the scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the scholar fails to

implement the corrective measures, the RAC may recommend cancellation of the registration of the scholar to the SCR and the Academic Council with specific reasons in a detailed report.

12. Synopsis Defense

- 12.1. The guidelines established by the RSC for the defense of a thesis synopsis shall include provisions for cancellation of registration if a candidate is unable to successfully defend the synopsis within three years of registration in the programme.
- 12.2. The RSC may recommend to the SCR to extend this time limit by six months for a Ph.D. scholar, with reasons recorded in writing.
- 12.3. Women candidates and Persons with Disability (more than 40% disability) shall be allowed to defend their synopsis within four years of registration in the programme, with a possible extension of six months on recommendation of the RSC to the SCR.
- 12.4. The RSC will record the successful defense of a synopsis and report it to the SCR.
- 12.5. Once the synopsis presentation has occurred, any significant departure from the defended synopsis in terms of basic definition of the research topic or the plan of research must be recommended by the RSC to the SCR and to be approved by the Academic Council.

13. Temporary De-Registration

- 13.1. The de-registered scholar may re-register no sooner than one year after the date of de-registration and may re-register no later than four years after the date of de-registration.
- 13.2. The Ph.D. scholar shall submit an application for re-registration to the RSC along with a clear statement of intent to submit a thesis for examination within the stipulated time frame.
- 13.3. The designated supervisor may concur in writing with the plan (statement of intent) submitted by the scholar. If the designated supervisor does not concur with the scholar's research plan, the RSC may appoint a new supervisor whose concurrence must be sought in writing.
- 13.4. The RSC shall recommend the re-registration of scholars to the SCR to be ratified by the Academic Council.

14. Evaluation and Assessment Methods and Minimum Standards for award of the Degree

- 14.1. The feedback and comments obtained in the Pre-submission Ph.D. Presentation may be suitably incorporated into the draft thesis by the Ph.D. scholar in consultation with the Research Advisory Committee.

- 14.2. Ph.D. scholars shall be required to submit their thesis within three months of the pre-submission presentation, failing which they will be required to make another pre-submission presentation as per Clause 13.2 of the Ordinance.
- 14.3. The research publication required as per Clause 13.3 of the Ordinance must be based on research work carried out by the Ph.D. scholar as part of the Ph.D. thesis.
- 14.4. A research scholar shall be permitted to submit a thesis for examination only after a written recommendation (on the prescribed format) of the supervisor(s) that the thesis is worthy of consideration for award of the degree.
- 14.5. The supervisor shall make such an assessment on the basis of her/his own expectations as well as the criteria established by the RSC pertaining to the word limit, organisation of material, contribution to knowledge etc.
- 14.6. The Chair of the RSC shall certify that the student has fulfilled all pre-submission requirements as laid down in the Ordinance and these Regulations, at the time of submission of thesis.
- 14.7. The doctoral thesis must be a research work characterised either by the discovery of new facts, or by fresh interpretation of facts or theories. In either case, it should demonstrate the scholar's capacity for critical examination and judgment. It must be satisfactory as far as its language and presentation are concerned.
- 14.8. The scholar may incorporate in her/his thesis the contents of any research work which she/he may have published (or publicly presented) and shall document the same in the thesis.
- 14.9. PhD scholars must make two paper presentations in conferences/ seminars and publish at least one (1) research paper related to their thesis area in a refereed journal that adhere to principles of academic integrity, prior to the submission of the thesis for adjudication. The School of studies with the approval of the Vice Chancellor must ensure that the principles of academic integrity are adhered, prior to the submission of the thesis for adjudication.
- 14.10. The SCR shall evolve a mechanism using well-developed software to detect plagiarism and other forms of academic dishonesty.
- 14.11. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may be from outside the country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be chaired by the Chair of RSC. The *viva-voce* examination committee will consist of Chair RSC, supervisor of the candidate and at least one of the two external examiners. The *viva-voce* examination shall be open to be attended by members of the RAC, all faculty members of the University, other research scholars and other interested experts/ researchers.

- 14.12. The public *viva-voce* of the research scholar to defend the thesis shall be conducted only if the evaluation reports of both the external examiners on the thesis are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If one of the evaluation reports of the external examiner is unsatisfactory and does not recommend *viva-voce*, the SCR shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 14.13. The AES Division shall develop appropriate methods so as to complete the entire process of evaluation of the PhD thesis within a period of six months from the date of its submission.
- 14.14. The Ph.D. scholar shall not submit any work as part of a thesis for which a degree has already been conferred to her/him by the University or any other institution.

15. Academic Integrity, Plagiarism and Research Ethics

- 15.1. The supervisor shall report cases of absence from research work by the scholar, beyond permissible leave, due to illness or other circumstances, to the RAC and the RSC.
- 15.2. The neglect of research work or acts of indiscipline such as plagiarism and misrepresentation of data shall be recorded and reported by the supervisor to the RAC and the RSC. In all such cases, the RSC should report the matter to the SCR and later SCR with the approval of Vice Chancellor, the matter will be referred to the Research Ethics Committee. The recommendations of Research Ethics Committee will be submitted to the Vice Chancellor, whose decision in the matter shall be final.
- 15.3. For purposes of eligibility of supervision (Clause 9.3 of Ordinance) and pre-submission requirement of the scholar (Clause 13.3 of Ordinance), the paper(s) in the refereed journal must fulfill the criteria for academic integrity as laid down by the University Grants Commission from time to time.
- 15.4. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the supervisor 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 University or any other institution.
- 15.5. Ph.D. scholars may be encourage participation in some academic work of the University as per the conditions of their fellowship schemes or under other conditions identified by the University (e.g. teaching/ research assistantships etc.).

- 15.6. A Ph.D. scholar in regular employment outside the University shall be required to produce a No objection certificate and permission from the employer permitting him/ her to pursue research.
- 15.7. Recipients of fellowships, whether from the University or from external agencies/ institutions, are not permitted to take up full-term employment outside the University.
- 15.8. No research scholar shall, without the permission of the supervisor(s), enroll in any other course/ programme of study, unless prescribed by the RSC as part of the Ph.D. programme.
- 15.9. No research scholar shall appear in any examination conducted by any other educational or public institution or apply to any other full-time academic or research programme without informing the supervisor and chair RSC.
- 15.10. Any violation of norms given in Clause 14.7 to 14.10 of Regulations shall be reported to the SCR.
16. Thesis Examination and Viva Voce shall be as per the Standard Operating Procedures following UGC guidelines and as duly approved by the Academic Council.
