

UNIVERSITY OF DELHI

No. CNC-II/093/2015-16/ 464  
Delhi, the 12<sup>th</sup> Feb, 2016

NOTIFICATION

Sub: Amendments to Ordinances

In supersession to the earlier Notification no. CNC-II/093/2015-16/ dated 5th Aug, 2015 the following Amendment to the Ordinances and Appendices to the Ordinances of the University passed by the Executive Council at its meeting held on 20<sup>th</sup> July, 2015 is re-notified for information of all concerned:

1. **Amendment to Ordinance VI-B of the Ordinances of the University related to Doctorate of Philosophy (Ph.D). (Page No. 302 of the University Calendar Volume I (2004) (E.C. 20.07.2015).**

*Replace the existing with the following:-*

**Ordinance VI-B  
Doctor of Philosophy (Ph.D.)**

1. Research programmes for award of Ph.D. degree may be conducted by Department of any Faculty/Centre/Institution of the University.
2. Subject to general guidance of the Academic Council, the research studies in the University leading to the degree of Doctor of Philosophy shall be organized by the Board of Research Studies (BRS) of the respective faculty.
3. The BRS shall be advised by the Research Council.
4. All academic matters related to the degree shall be supervised by the Departmental Research Committee (DRC).
5. The University of Delhi shall not conduct the Ph.D. programme through distance education mode.

**A. COMPOSITION OF THE RESEARCH COUNCIL, BOARD OF RESEARCH STUDIES AND DEPARTMENTAL RESEARCH COMMITTEE**

1. **RESEARCH COUNCIL-** The Research Council shall ensure uniform implementation of the Ordinance and advise on all matters related to research. The composition of the Research Council shall include a Chairperson and Deans of Research from all subject areas like Life Sciences, Physical & Mathematical Sciences and Humanities & Social Sciences.
2. **BOARD OF RESEARCH STUDIES -** Each Faculty and the Cluster Innovation Centre shall have a Board of Research Studies. The registration of students by each Department of the Faculty shall require ratification by the respective BRS. The records of registration

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and the progress of research work done by the Ph.D. students shall be maintained by the BRS.

All members of the BRS must be qualified to be Supervisors. The composition of BRS in a Faculty having more than one Department shall be as follows:

- a) Dean of the Faculty/Director /Chairperson (Ex-officio)
- b) Heads of all Departments under the Faculty (Ex-officio)
- c) One Professor from each Department
- d) One Associate Professor from each Department
- e) One Assistant Professor from each Department
- f) One Associate Professor from each subject amongst teachers from colleges, if applicable.
- g) One Professor (a nominee of the Vice Chancellor)

The selection under category(c),(d), (e) and (f) above shall be by rotation as per seniority.

The composition of the BRS for a single Department based faculty shall be as follows:

- a) The Dean of the Faculty/Director /Chairman (Ex-officio)
- b) Two Professors nominated by the Vice-Chancellor from an allied Department
- c) Three Professors
- d) Two Associate Professors
- e) Two Assistant Professors
- f) One Associate Professor amongst teachers from colleges, if applicable

The selection under category c), d), e) and f) above shall be by rotation as per seniority. The composition of BRS for the Faculty of Medical Sciences shall be as follows:

- a) Dean of the Faculty (Chairperson)
- b) All University appointed Heads of the Department under Faculty of Medical Sciences.
- c) All Heads of the Institutions/Colleges affiliated to the University for Ph.D. programme.
- d) One senior most Associate Professor nominated from each of the teaching Institutions (LHMC, MAMC, UCMS, VPCI & IHBAS).
- e) One Professor (a nominee of the Vice Chancellor)

The composition of the Board of Research Studies at the Cluster Innovation Centre will be as follows:

- a) The Director of the Centre- Chairperson (Ex-officio)
- b) The Coordinators of each programme (Ex-officio)
- c) Two Professors to be nominated by the Vice-Chancellor from an allied Department
- d) Three Professors

- e) Two Associate Professors
- f) Two Assistant Professors qualified to be Supervisor(s)

The selection under category (d), (e) and (f) above shall be by rotation as per seniority.

Five members of the Board shall form the quorum.

3. DEPARTMENTAL RESEARCH COMMITTEE- Each Department and the Cluster Innovation Centre shall have a Departmental Research Committee (DRC). All members of the DRC must be qualified to be Supervisors. The DRC shall comprise the following:

- a) Head of the Department/Director /Chairperson (Ex-officio)
- b) One Professor (a nominee of the Vice- Chancellor)
- c) Professors in the Department (maximum of four)
- d) Two Associate Professors
- e) Two Assistant Professors
- f) One Associate Professor and One Assistant Professor from the colleges except for those Departments that do not have an under-graduate programme in the respective discipline.

The members in category (c), (d), (e) and (f) above shall be chosen by rotation as per seniority.

The composition of DRC for the Faculty of Medical Sciences shall be as follows:

- a) Head of the Department (Chairperson)
- b) One Professor (a nominee of the Vice-Chancellor)
- c) Two Professors from the Department
- d) Three/Four Associate Professors

The selection under category c) and d) shall be by rotation as per seniority.

The Departmental Research Committee at the Cluster Innovation Centre will comprise of the following:

- a) The Director – Chairman (Ex-officio)
- b) One Professor (a nominee of the Vice- Chancellor)
- c) Professors at Centre subject to a maximum of four
- d) Two Associate Professors at the Centre
- e) Two Assistant Professors at the Centre qualified to be Supervisor(s)

The selection under category (c), (d) and (e) shall be by rotation as per seniority.

Provided that in the case of the Centre having strength of less than ten teachers, all teachers qualified to be Supervisor(s), shall be members of the Departmental Research Committee. Five members of the DRC or 50% of the total strength of the Committee shall form the quorum in the case of Cluster Innovation Centre.

The term of membership of all members of BRS and DRC, other than ex-officio members will be for a period of two years. Unless otherwise provided, one-third of the members of the BRS and DRC shall form the quorum.

The meetings of the DRC and the BRS shall be held at least once every three months. It may be held earlier, depending on urgency of individual cases.

## **B. ELIGIBILITY CRITERIA FOR Ph.D. SUPERVISOR**

1. Each faculty member from the University or College may be appointed as a Supervisor provided that he/she has a Ph.D. degree, evidence of research publications in peer reviewed journals after obtaining Ph.D. degree. The faculty member should have three years of teaching/research experience after the award of the Ph.D. degree, and demonstrated outstanding ability for research in the subject area.
2. The maximum strength of students allocated to a Supervisor shall be according to the designation of the Supervisor (Professor-8, Associate Professor-6 and Assistant Professor-4 students), excluding supernumerary allotment. In case of joint supervision, the number of students enrolled will be counted as one for each of the Joint Supervisors.
3. In a Department where teachers are retiring, leaving or are proceeding on long leave, on deputation or where unforeseen circumstances has necessitated redistribution/reallocation, the DRC shall appoint Supervisor(s)/Joint Supervisor(s) as supernumerary allotment. This shall be reported to the BRS.
4. In cases where the Supervisor has three or lesser number of years before retirement, a Joint Supervisor shall be mandatory. No one, either from University of Delhi or any other institution, shall be allowed to become Joint Supervisor after retirement. Those appointed as Joint Supervisors before retirement can continue to guide the particular student even after retirement.
5. Teachers on deputation/long leave of more than a year may not be included in the list of proposed Supervisors in a Department and in determining the maximum enrolment strength.
6. Allocation of the Supervisor for a selected student shall be decided by the DRC depending on the maximum permissible number of students per faculty member in mutual discussion with the Supervisor, the available specialization among the faculty supervisors, and the research interest of the student.
7. The DRC, on the recommendation of the Supervisor, may appoint scholars of eminence who may be residing in India or abroad, as Joint Supervisor(s).
8. Senior scientists of DRDO and other similar government funded research organizations of national importance with which University of Delhi has signed specific MoU for collaboration in research and development activities (Scientist 'E' and above), who have been recognized as adjunct faculty in various departments of University of Delhi may register limited number of students (Two for scientist 'E' and four for scientist 'F' and above) for Ph.D. supervision from University of Delhi, provided their names are duly forwarded by the Director of their parent institutions. Recognition of the scientists as Supervisors would be granted by the concerned DRC, University of Delhi, after due

evaluation on a case- to-case basis, taking publications in International Journals of repute and/or International/National patents as one of the main criteria.

9. The DRC shall report the appointment of the Supervisor(s) to the Board of Research Studies.
10. Each Supervisor is entitled to take a fresh student after submission of the thesis of his/her previously allotted student based on maximum permissible number for that faculty member.
11. In case of college teachers, the BRS may send a team to the college to inspect the facilities for research in the college department and satisfy itself before granting permission to take Ph.D. students. The college teacher must have a major research project of at least three years' duration and the prospective student must have a fellowship/scholarship for financial support for at least three years' duration. The DRC may decide on additional criteria for recognizing Supervisors in colleges.

### C. PROCEDURE FOR ADMISSION

1. The admission procedure shall be carried out after advertisement and all the Departments shall follow the academic calendar displayed on the website of the University.
2. The number of vacant seats for the Ph.D. admission in various sub-disciplines of a Department shall be decided in advance and notified on the University website/in the advertisement. The Head of the Department shall consult the faculty members regarding the number of vacant seats available with each in that academic year. Each prospective Supervisor may decide on the number of seats that he/she may like to fill in a particular year within his maximum permissible strength and inform the Head of Department accordingly.
3. The number of students to be admitted to the Ph.D. programme shall not exceed the predetermined maximum number for the Department.
4. The eligibility criteria for admission is minimum 55% marks in Master's degree/M.Phil./M.Tech./LL.M./M.D./M.S. Degree in the same or allied subject from a recognized University with 5% relaxation for OBC/SC/ST and Persons with Disability. The allied subjects for admission to Ph.D. in a particular Department shall be decided by the DRC of that respective Department.
5. No Candidate shall be eligible to register for the Ph.D. programme if he/she is already registered for any full time programme of study in any University/Institution.
6. Foreign nationals may be registered in a Department in a year over and above the maximum admissible strength provided they fulfill the eligibility criteria. However, at any given time, the total number of foreign students should not exceed 10% of the total admissible strength. Foreign nationals must provide evidence of language competence suited to the Department they wish to join.

Candidates shall be admitted to the Ph.D. programme under the following categories on the basis of their performance in the written test and/or interview:

### **Category I**

Candidates with Masters or equivalent degree must appear in a written entrance exam conducted by the Department in order to be eligible for interview. Based on the performance in the written test, which is the qualifying exam, the shortlisted candidates shall appear for an interview.

### **Category II**

Candidates who have cleared a national level examination like CSIR/UGC-NET-JRF, DBT-JRF, ICMR-JRF, DST-INSPIRE or equivalent valid fellowship may appear for interview without appearing in the departmental entrance test. Candidates who have appeared in the above examinations but await results may also apply. However, they shall be called for the interview only upon providing a valid documentary evidence of having qualified for the fellowship. Candidates who have already initiated their fellowships in some other institution and are interested to have the fellowship transferred to the University of Delhi may also apply, provided the period of available fellowship is at least 4 years. The candidates who have been awarded lectureship in the CSIR/UGC-NET (or equivalent examination) may also directly appear for interview.

For Faculty of Medical Sciences, non-medical stream candidates including JRF, SRF etc. must appear for an entrance test.

### **Category III**

Candidates who have obtained M.Phil. Degree or post-graduate degree in professional courses approved by the relevant statutory body such as LL.M., M.Tech. etc. with a minimum of 60% marks/equivalent grades or candidates having a Master's degree with at least two-year research experience in a reputed institution may appear for interview directly, if the candidate has national level fellowship. For obtaining Non-NET fellowships, such candidates have to appear in entrance examination.

### **Category IV**

Candidates holding fellowships/research positions in research projects (subject to selection by duly constituted committee as per the University norms for research projects) may appear directly for interview.

### **Category V**

Scientists/professionals working at defence and space institutions/organizations/R&D institutes of the Government of India/State Government and with whom the University has signed a Memorandum of Understanding may directly appear for interview.

### **Category VI**

Faculty members who are in service in the University of Delhi and who have a minimum of two years' teaching/research experience may directly appear for interview.

1. The syllabus for the entrance test shall be available on the website of the University/Department.

2. The entrance tests in various Departments within the Faculty shall be staggered to allow the candidates to appear in more than one written test if they so desire.
3. The entrance test shall be conducted once in a year and the eligibility of shortlisted candidates shall remain valid till the next entrance test is held or for one year, whichever is earlier. The interviews may be held twice in a year (in July and December), or more times in a year subject to availability of seats as determined by the DRC.
4. At the time of interview, if required, experts from allied/specialized areas may be invited.
5. The candidates shall present and discuss their research interest/area at the time of interview.
6. The merit list of the recommended candidates shall be displayed on the website after approval by the DRC. There will be a waiting list in the order of merit.
7. The DRC reserves the right not to select students for all the vacancies advertised.
8. The Department/DRC shall ensure that all University rules are followed in the admission process.
9. The registration of students in the Ph.D. programme may be confirmed by the BRS based on the recommendation of the DRC.
10. No student registered for the Ph.D. programme shall be permitted to undertake any full-time course during the pendency of the programme.

#### **D. RESIDENCY**

1. Every student shall pursue coursework and full-time research for not less than two calendar years from the date of registration. Employed students must obtain study leave for a period of two years to fulfill the residency requirement of the University. The clause shall be relaxable for faculty members of the University of Delhi provided their work in the department or college is related to their proposed research work during Ph.D. as recommended by the respective DRC and BRS.
2. In order to advance research in strategic areas of national concern, scientists/professionals working at defence and space institutions/organizations of the Government of India/State Government and with whom the University has signed a Memorandum of Understanding, shall be allowed to pursue Ph.D. while working in their organizations provided that the DRC recommends that their work in the parent organization is relevant to research in the concerned field. They may be exempted from residency and coursework requirements decided on a case-to-case basis by the DRC and approved by the BRS.

## **E. COURSE WORK**

1. Each student shall undertake course work for a minimum of one semester consisting of courses decided by his/her Supervisor. All doctoral students are required to do at least one compulsory course on Research Methodology based on literature survey, instrumentation, computer applications, data search, presentation skills, writing skills etc. The coursework shall be approved by the DRC and the BRS. Every Department shall notify the list and content of courses for Ph.D. programme on the University website. The nomenclature/content of these courses may be specifically designed for the doctoral programme and shall not be the same as the Masters/M.Phil. Courses.
2. The coursework shall be transferable between the departments of the University and inter-university subject to their acceptance by the DRC.
3. The DRC shall satisfy itself that each student has completed the requirement of course work. The BRS shall provide a certificate of completion of course-work to each student. If the result is unsatisfactory, the student may be allowed to reappear only once, within one year. If the result is still found unsatisfactory, the DRC may recommend cancellation of his/her registration and this may be reported to the Board of Research Studies.
4. After admission to Ph.D., the student in consultation with the Supervisor may propose a tentative title for Ph.D. thesis within one year. However, the final title for the Ph.D. thesis may be decided at the time of the pre-Ph.D. presentation.

## **F. FINANCIAL ASSISTANCE TO STUDENTS**

1. Students who have cleared National Level examinations with JRF or equivalent shall get financial assistance from the concerned funding agency.
2. Students who are working in projects as Project Fellow, Research Associate etc. shall get financial assistance from the designated projects.
3. Students, who do not have any financial assistance, may be awarded Non-NET UGC fellowships. The University, depending on the grant available from UGC, will determine the number of fellowships under this category annually.
4. Financial assistance shall not be provided where the student is availing paid study leave.
5. Foreign students must show proof of financial support for the duration of the Ph.D. enrolment.

## **G. LEAVE/ABSENCE**

1. Any leave or absence from research work would require prior intimation and approval of the DRC and the BRS. This period shall be counted in the total span period for submission of thesis.
2. The student may be permitted by the Board of Research Studies, on the recommendation of the Supervisor and the DRC, to be away from the University of Delhi to pursue research related to Ph.D. work for not more than two semesters.



3. The Supervisor must report absence from research work by students due to illness, maternity leave or other circumstances to the DRC and BRS. Negligence of research work or any other acts of indiscipline must be recorded and reported to the DRC and the concerned BRS. On receipt of a complaint, the Board of Research Studies may take appropriate action against the student, including cancellation of his/her registration.
4. Female students may be allowed maternity leave as per GOI rules during the registration period on the recommendation of the DRC and approved by the BRS. This period shall not be counted in the total span period required for submission of thesis.
5. Only in exceptional cases, a Ph.D. student may be allowed to de-register after successful completion of the course work on the recommendation of both the DRC and BRS and the consent of the Vice Chancellor. The student shall re-register within a period of three years. The Ph.D. thesis should be submitted within such a period that the span of initial registration and re-registration does not exceed the total span period for Ph.D.

#### H. EVALUATION AND ASSESSMENT

1. Progress report of the student must be submitted to the DRC and the BRS on an annual basis.
2. Prior to submission of the thesis, the student shall make a pre-Ph.D. presentation in the Department, open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated in the draft thesis.
3. In case of issues related to Intellectual Property Rights, necessary patents shall be filed before disclosure in seminar. The Supervisor and the student shall provide an undertaking that they will maintain the confidentiality of the research till patents are filed.
4. Students shall be eligible to submit their thesis after two years but within five years of registration. A six-month extension for submission can be granted by the BRS on a written request by the student and recommendation of the Supervisor and DRC. Any extension beyond this shall require a written justification for the delay by the student and the Supervisor. The justification provided by the student and the Supervisor, along with the recommendation of the DRC shall be forwarded to the BRS and the Research Council for recommending the extension as a special case to the Vice-Chancellor for approval. The total span period from initial registration shall be six and a half years. Only in exceptional cases, with specific recommendations and justification from the Supervisor, DRC and BRS, the Vice Chancellor may recommend the extension beyond the total span period specified.
5. A Ph.D. student shall publish at least one research paper in a refereed journal before submission of the thesis and produce evidence for the same in the form of an acceptance letter or a reprint.
6. The thesis must be a piece of original research work characterized either by the discovery of new facts, or by a fresh interpretation of facts or theories. In either case, it should show the student's capacity for critical examination and judgment. It must be satisfactory as far as its language and presentation are concerned.

7. The student may incorporate in the thesis the contents of any work published on the subject during the course of his/her Ph.D. and shall indicate the same in the thesis. However, the student shall not submit as his/her thesis any work for which a degree has been conferred on him/her by this or any other University.
8. The Supervisor of the student shall, eight weeks in advance of the submission of thesis, forward seven copies of abstract of the thesis including table of contents to the Head of the Department for consideration by the Departmental Research Committee. The Head of the Department shall convene a meeting of the DRC within one month of submission of the abstract with Supervisor of the thesis as an invitee to recommend a panel of a minimum of 6 external examiners who shall be eminent scholars and specialists in the area of the thesis. The concerned BRS shall review the recommendations of the DRC and forward them to the Examination Branch within one month of the submission of the thesis. The Vice-Chancellor shall appoint three examiners out of the panel so approved for evaluation of each thesis. At least one of the experts shall be from outside the State. It shall be up to the DRC to have at least one examiner from outside the country.
9. Each thesis will go through a Plagiarism Check before submission that will be verified by the University library. The certificate of verification given by the library has to be submitted along with the thesis at the time of thesis submission in the examination branch. The student shall attach a Certificate of Originality to the thesis certifying that the work is free of any kind of plagiarism and he/she shall be solely responsible for any dispute or plagiarism issue arising out of the doctoral work. The Supervisor shall certify that the thesis is worthy of submission and for the award of Ph.D. degree. The work for the thesis has been carried out at that place and has not been submitted elsewhere for another degree. The Head of the Department shall countersign the application for submission of the thesis. In case of resubmission, the same procedure may be followed. The student shall also attach a Student Approval Form in the format provided by the UGC for grant of non-exclusive worldwide license for hosting and distributing their thesis in digital format in 'Shodhganga' or any other server designated for this purpose by UGC.
10. The student shall submit four double-sided printed and typed softbound copies of the thesis to the Examination Branch of the University. The soft copy of the thesis must be submitted in specified media (CD/DVD) in specified formats (Open Office/MS office Document Format, Tex, LaTeX or other standard Format) that are convertible to pdf file.
11. The examiners may (i) recommend that the degree be awarded; (ii) recommend degree to be awarded subject to corrections to be made in consultation with the Supervisor before *viva*; (iii) ask for resubmission of the thesis or (iv) reject the thesis.
12. In the event that all the three examiners unanimously recommend the award of degree, the degree will be awarded subject to successful completion of *viva-voce*.
13. If the examiner(s) recommends minor corrections, the corrections may be incorporated before the *viva-voce* examination in consultation with the Supervisor. Once the corrections have been made, the Supervisor shall certify the same. This may be stated in the reports of the Ph.D. thesis to be sent to the Vice Chancellor for appointment of examiners for examination.

14. If the corrections are major and resubmission has been recommended, the student may resubmit the revised version in consultation with the Supervisor.
15. If two or more examiners reject the thesis, the thesis shall be rejected and registration of the students shall be closed.
16. If two of the three examiners recommend the award of degree and the third examiner recommends rejection, the thesis shall be referred to a fourth examiner to be selected by the Vice-Chancellor from the original panel of examiners.
17. The recommendation of the fourth examiner shall be final. Such a thesis, if rejected by the Fourth Examiner, shall not be resubmitted or marked to any further examiner and the registration of the student shall be closed.
18. The student shall undergo a *viva-voce* Examination after receiving a satisfactory evaluation report that shall be openly defended.
19. The Exam Branch may send all communications to the examiners viz. request for consent, sending of Ph.D. thesis for evaluation and receiving report electronically through e-mail also.
20. The open *viva voce* and the defence by the student may also be done through Skype/Video conferencing, if required.
21. Three CDs of the Ph.D. thesis must be submitted to the Exam branch with a copy of the result notification within thirty days of the notification, one of which has to be forwarded to the library. The Examination branch will check whether the CD of the Ph.D. thesis is operational and issue an accession code to each CD. In order to ensure that the soft copy is complete and exact replica of the print version accepted for award of Ph.D., the Department Supervisor/HOD must authenticate the CDs submitted by the student.
22. Following successful completion of the evaluation process and the announcement of the award of the Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET (or upload the same in INFLIBNET through the ETD lab of the University), accessible to all institutions/Universities.
23. The University shall issue a Provisional Certificate along with the Degree certifying to the effect that the Degree has been awarded in accordance with the provisions of UGC regulations.

Provided that the Ph.D. programmes in the Faculty of Medical Sciences, shall be governed by the relevant Regulations of the Medical Council of India, as amended from time to time. Provided, however, the matters or processes on which the Medical Council of India regulations are silent, the relevant provisions of the Ordinance VI-B shall apply.

  
**REGISTRAR**  
