



O.P. JINDAL GLOBAL  
Institution of Eminence Deemed to be  
UNIVERSITY  
*A Private University Promoting Public Service*

# O.P. JINDAL GLOBAL UNIVERSITY

## Ph.D. REGULATIONS

01 August 2021

### 1. TITLE & COMMENCEMENT

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

### 2. DEFINITIONS

- 2.1 “**Applicant**” means an applicant for admission to the Ph.D. Program of the University.
- 2.2 “**Approved Institution**” means an institution of higher learning approved by the University.
- 2.3 “**Attendance**” means the period for which a candidate must attend the University on a full-time basis.
- 2.4 “**Candidate**” means a Ph.D. student who has been granted admission, has paid the fees and has been registered in a Ph.D. Program, until such time as he/ she is approved as a Research Scholar.
- 2.5 “**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.
- 2.6 “**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.

- 2.7       **“Dean”** means a Dean of a School of the University and includes, as appropriate, a Principal Director of an Institute of the University.
- 2.8       **“Examinations Office”** means the JGU Office of the Controller of Examinations (COE).
- 2.9       **“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.
- 2.10      **“Full-time Ph.D. Student/ Candidate/ Research Scholar”** means a person enrolled in the Ph.D. Program devoting full-time to completing the requirements of the degree.
- 2.11      **“Managerial Experience”** means an experience that relates to planning, organizing, leading, and controlling human or organizational resources to achieve organizational goals in Government/ Private sector/ PPPs/ NGOs.
- 2.12      **“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.
- 2.13      **“Office of Doctoral Studies”** means University level central PhD office, which handles the entire policy level administration of the PhD program across all the schools at JGU and execute the decisions taken by the University Doctoral Committee (UDC).
- 2.14      **“Oral Defense”** or **“Viva Voce”** means an oral examination or oral defense of the thesis.
- 2.15      **“Part-Time Ph.D. Student/ Candidate/ Research Scholar”** means a person who is registered in the Ph.D. Program devoting part of his/ her time for completing the requirements of the degree while discharging other employment obligations.
- 2.16      **“Ph.D.”** means the Degree of Doctor of Philosophy. **“Ph.D. Program”** means a study plan leading to the award of the Ph.D. Degree in a discipline of the University.
- 2.17      **“Pre-Submission Seminar”** or **“Abstract Presentation”** 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.
- 2.18      **“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.

- 2.19 **“Registration”** means the registration of a Ph.D. student who has paid the fees.
- 2.20 **“Registration Period”** means the period commencing with the date of registration for the Ph.D. Program and ending on the date of submission of the thesis, counting out any gaps.
- 2.21 **“Research Scholar”** means a Ph.D. student who has completed the coursework and whose Synopsis has been approved by the SDC.
- 2.22 **“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.
- 2.23 **“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.
- 2.24 **“Self-Financed Ph.D. Student/ Candidate/ Research Scholar”** means a student/ candidate/ Research Scholar who supports/ finances the Ph.D. Program himself/ herself.
- 2.25 **“Sponsored Ph.D. Student/ Candidate/ Research Scholar”** means a full-time student/ candidate/ Research Scholar who is sponsored by an external university/ organization/ employer.
- 2.26 **“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.
- 2.27 **“Synopsis”** means a document submitted by a candidate, after having completed the coursework, which defines the blueprint of the proposed research study.
- 2.28 **“University” (JGU)** means O.P. Jindal Global University.
- 2.29 **“University Doctoral Committee” (UDC)** means a University-level Committee constituted by the Vice-Chancellor, who shall be its Chairperson, 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).

2.30 “**Vice-Chancellor**” means the Vice-Chancellor of O.P. Jindal Global University.

### **3. OBJECTIVE**

3.1 The University shall provide for studies and research leading to the award of a PhD Degree. The PhD program shall be conducted at and through the Schools/ Institutes of the University.

3.2 The JGU PhD program conforms to the minimum standards and procedures set by the University Grants Commission (UGC) (Minimum standards and procedures for the award of M.Phil./ Ph.D. Degree), Regulations 2009.

3.3 A Ph.D. student shall be eligible for the award of a Ph.D. Degree after:

- a) Successfully completing the prescribed coursework requirements.
- b) presenting the results of his/ her research in a thesis which demonstrates originality, intellectual depth, and rigor, and contributes to the advancement of knowledge in study concerned; and
- c) Satisfying the examiners in an Oral Open Defense of the thesis in the research area concerned.

### **4. RESEARCH PROGRAMME REQUIREMENTS**

4.1 A Ph.D. student registered in JGU shall be required to pursue his/ her research and the prescribed coursework at the University under the guidance of an approved Supervisor(s).

4.2 The SDC may propose to Office of Doctoral Studies (ODS) for permitting a 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. Program under one of the following categories:

- (i) Full-time Ph.D. students with or without fellowship.
- (ii) Ph.D. students who are faculty members/ staff of the University.
- (iii) Ph.D. students under the external registration program 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.

- (iv) Overseas/ NRI Ph.D. students from partner universities/ institutions with which JGU has MOUs or collaborative arrangements.
- (v) Ph.D. students pursuing part-time Ph.D.

## **6. ELIGIBILITY CRITERIA**

6.1 An applicant seeking admission to the Ph.D. Program must satisfy the following academic criteria set by different Schools/Institutes:

### ***I. FOR Ph.D. IN LAW***

- LL.M. degree or any other UGC recognized equivalent degree with at least 55% marks or an equivalent grade. Applicants with more than 3 years of industry/ teaching/ practicing/ 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 a minimum of 3 years of managerial/ professional experience.

### ***II. 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.
- Master's Degree in Engineering/ Technology with at least 55% marks in aggregate and 3 (three) years industry/ teaching/ practicing/ managerial/ professional experience will be given preference.

### ***III. FOR Ph.D. IN BEHAVIOURAL SCIENCES/ INTERNATIONAL AFFAIRS/ PUBLIC POLICY/ ART & ARCHITECTURE/ BANKING & FINANCE/ PUBLIC HEALTH***

- 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

of industry/ teaching/ practicing/ managerial/ professional experience will be given preference.

- 6.2 As per the official circular of UGC dated 15th March 2021, Professional qualifications such as Chartered Accountant (CA), Company Secretary (CS) and Cost and Works Accountants (ICWA) will be considered equivalent to PG Degree. Hence, CA/ CS / ICWA with at least 50% marks are eligible to apply for JGU PhD program. Applicants with more than 3 (three) years of industry/ teaching/ practicing/ managerial/ professional experience will be given preference.
- 6.3 Applications for research in the interdisciplinary area should have an interface with law, business/ management, public policy, international affairs, behavioral sciences, higher education, banking and finance, public health etc., shall be considered based on proven ability and aptitude of the candidate for such kind of research.
- 6.4 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade across all the Schools/Institutes, may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / differently abled and other categories of candidates as per the decision of the UGC from time to time, or for those who had obtained their master's degree prior to 19th September 1991.
- 6.5 In rounding off the eligibility marks percentage in numbers, if the digit after decimal is greater or equal to 5 then the two digits before the decimal point will be rounded off to the next number. For example, 54.52% will be construed as 55%.
- 6.6 These eligibility criteria are applicable to all candidates applying across the globe.

## **7 UPGRADE OF REGISTRATION FROM LLM/ MBA/ MA/ M.Phil. / M. Tech. to Ph.D.**

- 7.1 Students registered for LLM / MBA. / MA /M.Phil. / M. Tech., shall be eligible for admission to the Ph.D. Program in any of the disciplines in any of the Schools/ Institutes of JGU provided they meet the eligibility criteria noted above.
- 7.2 Research Associates/ Fellows, faculty members and staff currently working in JGU may apply for admission to the Ph.D. Program 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.

## 8 APPLICATION PROCEDURE

- 8.1 The Ph.D. Program begins twice each year - in the fall semester (on 1 August) and the spring semester (on 1 February).
- 8.2 Applications for admission shall be accepted continuously over the year on a rolling basis.
- 8.3 An applicant shall submit an online application through the JGU website link <https://admissions.jgu.edu.in/>
- 8.4 A scanned copy of the relevant academic transcripts.
- 8.5 A Statement of Purpose (SOP) explaining the reason for planning to pursue Ph.D. degree from Jindal Global University & a short note on the professional background and experience of the applicant (around 1000-1500 words).
- 8.6 A concise & coherent copy initial draft of research proposal from the proposed area of research, including central research question/s, context, motivation and objective of research that researcher intend to address through his/her research. It should highlight the current state of knowledge and recent debates on the topic generally known as review of literature (around 1500-2500 words).
- 8.7 In case of the candidate is a working professional at any organization/ University /Institute of/or government or private body, then the candidate has to submit a No Objection Certificate (NOC) from the side of employer at the time of admission in JGU PhD program ([NOC Templet](#)).
- 8.8 The names of two academic/ non-academic referees from whom the University may seek information on the research potential of the applicant.
- 8.9 An applicant is required to pay an application fee determined by the University.

## 9 SELECTION PROCEDURE

- 9.1 Applicants fulfilling minimum eligibility criteria as specified in these regulations shall be required to take a research entrance test followed by an Interview. In addition, a school/ institute may prescribe an additional selection test or a written examination.
  - a) The qualifying marks in the entrance test shall be at least 50%.
  - b) The syllabus of the entrance test shall consist of 50% of research aptitude/ methods and 50% shall be subject-specific skill related questions.
- 9.2 The following categories of applicants may be exempted from taking the entrance test:
  - a) Applicants who have qualified National Eligibility Test (NET)/ NET JRF/ SLET (Haryana State)/GATE or any other similar examination.

- b) Holders of teacher fellowships from the UGC or any other Government funding agency.
  - c) Applicants who have completed their Ph.D. coursework/ M.Phil. in another University/ Organization, subject to approval by the SDC.
- 9.3** Candidates shall be selected and final merit will be based on the academic record and the potential of the applicant demonstrated during the entrance test and interview.
- 9.4** Admissions to the Ph.D. Program must be approved by the respective SDC.

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

- 10.1** An applicant whose selection is approved shall be granted admission to the Ph.D. Program and the set of courses recommended for the candidate (existing courses/ specially devised courses).
- 10.2** Selected candidates must join the course on the prescribed date as indicated in their admission letter. The selection of those who fail to join by the specified date shall automatically stand cancelled.
- 10.3** Candidates shall be registered upon payment of university fees or award of the research fellowship.
- 10.4** A Ph.D. student shall renew his/ her registration every semester in the manner prescribed and pay the fees determined by the University.
- 10.5** A Ph.D. student either or not holding a research fellowship shall pay the prescribed University fees at the beginning of each semester until the submission of his/ her thesis.
- 10.6** A Ph.D. Student who is also a JGU employee is eligible for 33% concession in semester tuition fee however upon leaving the institute the JGU employee will not be eligible for this concession in tuition fees and must pay the full prescribed fees for the rest of the semester whichever is not completed.
- 10.7** The Ph.D. students who have been exempted or waived from JGU fees payment (for any reason), leaves the Ph.D. program in between shall no longer be considered for any exemption or benefit and has to comply with JGU PhD regulation, fee structure of Part-Time PhD program.
- 10.8** Further details regarding fee details, please refer to [Annexure A](#).

## **11 REGISTRATION AS Ph.D. CANDIDATE**

Admission or enrolment to the Ph.D. program does not entitle a candidate to be a registered Ph.D. candidate. The registration of candidates enrolled in JGU for the Ph.D.



program shall be confirmed only after completing the coursework as conveyed by the concerned JGU School to the candidates at the beginning of the Ph.D. coursework.

## **12 REGISTRATION PERIOD/PROGRAMME DURATION**

The minimum and maximum period of study and research shall be three (3) years and six (6) 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 of the Ph.D. program can be reduced by six months upon approval by the UDC.

## **13 FELLOWSHIP ASSISTANCE**

**13.1** Each school / Institute at JGU has two fellowship based full time PhD positions available per academic year.

**13.2** JGU fellowship will be awarded on merit basis to those candidates who are able to score top position in entrance exam and interview conducted by JGU.

**13.3** The Ph.D. scholar who is admitted under the JGU fellowship scheme will be given a monthly fellowship amount as per JGU Norms based on their monthly performance. For details regarding the fellowship amount please refer to [Annexure A](#).

**13.4** The JGU Fellowship will be given to those candidates who are not getting fellowship or financial support from any other funding agency/University/Institute.

**13.5** It is essential for all scholars to availing JGU fellowship to comply with the policy of attendance of the university during the tenure of their Ph.D. program. If the scholar fails to do so, his/her stipend may be deducted as per the pro-rata basis. Students are responsible for submitting their monthly stipend/fellowship form forwarded by their supervisors/ Thesis Advisory Committee (TAC)/SDC to the ODS for further processing in collaboration with the JGU finance office latest by the 25<sup>th</sup> calendar date of every month.

**13.6** A JGU Fellowship scholar is required to provide details regarding the work in progress of the research work monthly to their respective supervisors/ Thesis Advisory Committee (TAC)/SDC at JGU School and quarterly with the Office of Doctoral Studies (ODS).

**13.7** The stipend / fellowship amount received is not liable for any kind of benefits like gratuity, pension, PF, etc.

**13.8** The tenure for fellowship under the JGU fellowship scheme is only for three (3) years. Upon expiry of this period, the work of the scholar will be evaluated by

experts/ SDC. If the research work is found satisfactory his/her tenure may be extended for a further period of six (6) months only after special approval by the Vice-Chancellor of JGU.

**13.9** The tenure for fellowship under the JGU fellowship scheme for MPhil scholar is two (2) years. Upon expiry of this period, the work of the scholar will be evaluated by experts/ SDC. If the research work is found satisfactory his/her tenure may be extended for a further period of six (6) months only after special approval by the Vice-Chancellor of JGU.

**13.10** If a candidate who is on JGU fellowship fails in any course work exam during the course work time of his/her Phd journey, then it will be considered unsatisfactory progress and fellowship will be stop with immediate effect.

**13.11** If a PhD candidate who is registered under JGU doctoral fellowship scheme leaves the Ph.D. program or change the status of registration from full time to part time in between, then the university shall not issue any NOC until unless the Ph.D. candidate complies with the condition given below;

- a) repay the total amount of fellowship paid during their period of fellowship served with JGU upon release
- b) Publish 2 (two) Scopus-indexed journal research papers as a JGU Student.

## **14 MINIMUM ATTENDANCE REQUIREMENTS**

**14.1** It is mandatory for all the Ph.D. Students (Full- Time & Part-Time) to attend the coursework classes as prescribed by the University/ JGU School.

**14.2** A part-time/ sponsored research scholar shall spend a minimum of 7 days during each semester to seek professional guidance from his/ her supervisor(s) and/ or avail the library/ laboratory facilities.

**14.3** The UDC / ODS 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.

## **15 CANCELLATION OF REGISTRATION**

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

- a) Non-payment of fees due for two consecutive semesters.
- b) Non-completion of the coursework within the given time frame i.e., within one year from the date of registration for full-time candidates and within one and half years from the date of registration for part-time candidates.
- c) Failure to present and defend a synopsis within the given time frame i.e.,

three months after completing all prescribed coursework in the case of a full-time candidate and within one semester in the case of a part-time candidate.

- d) Non-submission of progress reports, or two consecutive unsatisfactory progress report for the candidate.
- e) If a full-time research scholar absents himself/ herself for a continuous period of four weeks without prior intimation/ sanction of leave.
- f) If the research scholar leaves the Ph.D. Program.
- g) If the research scholar's academic progress is found by the SDC to be unsatisfactory.
- h) If the Research Scholar is found to be involved in an act of misconduct, plagiarism, dishonesty and/ or indiscipline.
- i) Ordinarily, a candidate shall not be eligible for re-registration once his/ her earlier registration has been canceled. 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.

## **16 ACCOMMODATION & FOOD FACILITIES**

A PhD student (Full-Time/ Part-Time) registered at JGU can avail lodging and boarding facility within the university premises during their Ph.D. residential visit /requirement on a paid basis. This facility depends on the availability of accommodation at university premises.

## **17 COURSEWORK**

**17.1** All the candidates admitted to the Ph.D. program are required to complete a Ph.D. course work comprises both credit and audit courses. The minimum credit load is of 11 credits and the maximum credit load may go up to 18 to 22 depending upon the schools' requirements.

**17.2** The compulsory coursework consists of academic /research writing, Research & Publication Ethics (RPE) and two courses on research methodology. These courses are offered to the candidate at the university level by the Office of Doctoral Studies (ODS).

**17.3** The elective coursework shall be offered to the candidate to complete the prescribed courses will be school-specific approved by the SDC.

**17.4** 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.

**17.5** The candidate shall obtain at least 50% marks or equivalent grade / CGPA in each individual course and at least 55% marks in aggregate across all the courses or an equivalent grade / CGPA to successfully complete the coursework.

**17.6** 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 one and half years from the date of registration.

## **18 CREDIT TRANSFER & COURSE WORK EXEMPTION**

**18.1** If any student enrolled for the program is permitted to go to any other institute/ university of national or international repute within the country or abroad (under some exchange Program or otherwise), then all credits earned at that Institute/ University shall be transferred under credit earned. If the evaluation of course/ research work done has not been completed at other Institute, then the same shall be evaluated at JGU for its equivalent credit and earned credit shall be credited to the student's academic record.

**18.2** In case, the candidate fails to clear the course work within the given time frame of enrolment, the SDC may review the performance of the candidate and may be recommended a change of course work or else.

**18.3** A candidate who has already completed his/ her Ph. D coursework/ M.Phil. from another university/organization of national or international repute may be exempted from the coursework after SDC recommendation and UDC approval.

**18.4** School doctoral committee (SDC) at JGU must evaluate the equivalent credits and other details before recommendation of either no exemption or partial exemption or complete exemption from a PhD level course work at JGU, in consultation with University Doctoral Committee (UDC). The same set of information related to any kind of course work exemption details must be shared with JGU Examination head for synchronizing the student academic record.

**18.5** In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Institute to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institute/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institute for the part of research already done.

## **19 SYNOPSIS (RESEARCH PROPOSAL)**

**19.1** Upon successful completion of 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 in a prescribed format given in [Annexure B](#).

**19.2** The candidate shall present & defend the synopsis maximum within three months of time after completing all prescribed coursework in the case of a full-time candidate and within one semester in the case of a part-time candidate.

**19.3** The Synopsis shall comprise the following: (Maximum in 15000 words)

- (i) **Title /working title of the proposed research**
- (ii) **Introduction:** *Covering the context and background of the research topic /issue, as well as the rationale and significance of the proposed research. Reference to key literature should be included to strengthen the rationale for conducting the research. Focus on what and why of the proposed research.*
- (iii) **Theme based literature review:** *This should expand on the key literature referred to in the introduction. The review of the literature will need to go further than listing individual studies or theories. Researcher should demonstrate an awareness of the current state of knowledge and an understanding of key lines of argument and debates on the topic / issue.*

*The literature will need to be critically analysed and evaluated rather than just described. This means demonstrating how studies, arguments and debates are linked and how the existing body of research links to your own research area / issue.*

- (iv) **Research Aim & Questions:** *The aims of the research relate to the purpose of conducting the research and what you specifically want to achieve. The research questions should be formulated to show how you will achieve the aims of the research and what you want to find out.*

*The research aims and questions can either be stated at the end of the introduction (before the outline of the proposal) or after the literature review - guidance from your department /funding body may specify this.*

- (i) **Theoretical premises of proposed research:** *A Theoretical premise highlights the basic theory or a plot directly or indirectly related to research area, which help the researcher to frame the theoretical contribution of his /her research. At later stage it will also help researcher to showcase the originality of the research and its contribution to the discipline.*
- (v) **Research design /proposed methodology:** *The methodology section of the research proposal should outline how the research will be conducted. This should generally include objective wise description and justification of: sample / participants, methods, data collection and analysis, and ethical considerations.*

*To justify the chosen methodology, you can refer to recommended reading for research methods as well as previous studies conducted on your chosen topic.*

- (vi) **Time scale /Time Line chart:** *Researcher should include a schedule or*

*plan of how you intend to conduct the research within a specified timeframe. This can be presented in a variety of ways but should generally include specific milestones (e.g. collection of data, analysis of findings) and intended completion dates.*

- (vii) **Reference:** *The reference list should include all sources cited in the research proposal. Departmental guidelines for referencing should be followed for in-text citations and the reference list.*

**19.4** The SDC may either approve, conditional approve or reject the synopsis presented by the candidate. In case of conditional approval, the candidate shall submit the revised copy of synopsis after including all the suggestion given by the members to the SDC in the given time frame ([synopsis evaluation template](#)).

**19.5** The revised submitted synopsis and its compliance shall be subjected to review either by a member of SDC or an independent reviewer, if found necessary by the SDC. The decision of the reviewer will be bound on the scholar for further compliance.

**19.6** Failing to submit the revised version of synopsis as suggested by SDC, in the given time frame will resulting in the rejection of synopsis.

**19.7** 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 canceled.

## **20 PERFORMANCE MONITORING/ PROGRESS REPORT**

**20.1** The academic progress of each Research Scholar shall be monitored by the SDC through the Supervisor(s) based on a progress report. For details of the progress report please refer to [Annexure C](#).

**20.2** The Full-Time Research Scholar shall submit a progress report to their supervisor(s) bi-monthly and the Part-Time Research Scholar at every quarter in the prescribed format.

**20.3** The SDC, after having considered the progress report of a research scholar, shall recommend one of the following:

- a) Continuation of registration.
- b) 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.
- c) Cancellation of registration.

## **21 ABSTRACT PRESENTATION / PRE-SUBMISSION SEMINAR**

**21.1** 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: ([Abstract evaluation template](#))

- (i) Introduction, including background context, motivation, and problem statement/business problem.
- (ii) A consolidated theme-based literature review
- (iii) Gaps in the literature surveyed
- (iv) Research Questions and Research Objectives
- (v) Underpinning Theoretical Premises of the research
- (vi) Research Problem
- (vii) Research Design & Methodology
- (viii) Tools & Data analysis
- (ix) Results, Discussion and Findings
- (x) Contribution to Theory
- (xi) Conclusions
- (xii) Further scope of research and Limitations

**21.2** Thereafter, the Research Scholar will be required to make a 45-minute PowerPoint presentation before the SDC, respective Supervisor(s), faculty members and other Research Scholars.

**21.3** The SDC shall either approve the presentation of the research work or require the Research Scholar to make a revised presentation.

## **22 SUBMISSION OF THESIS**

**22.1** 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.

**22.2** 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.

**22.3** Prior to submitting the thesis, the Research Scholar shall arrange for the publication of two (2) research paper in a Scopus indexed journal and make at least two paper presentations in conferences/seminars based on his/her PhD work. The candidate must be the first author of the publications. Candidates are advised to produce evidence for the publication in the form of a certificate /letter of acceptance/copy of reprint in a prescribed format given in [Annexure D](#).

**22.4** The thesis shall be a piece of research work characterized either by the discovery of new facts or enunciation of a new theory or theories or by a 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.

- 22.5** 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 in [Annexure E](#).
- 22.6** The thesis shall be prepared according to the format contained in [Annexure F](#).
- 22.7** Five 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.
- 22.8** The research scholar shall request for a plagiarism report for his/her thesis through the controller of examination (COE)/Office of Doctoral Studies/ Central library. The similarity level must not exceed 10% and shall be duly certificated by the student and the supervisor(s). This certificate should meet the norms discussed in detail in [Annexure G](#).

**23 APPOINTMENT OF EXAMINERS:** Along with the synopsis, the supervisor/ TAC members in consultation with SDC, must give a panel of at least six (6) names for Ph.D. thesis examination. The goal is to have the panel comprise of researchers who are working in the area of PhD thesis and who are appropriate for thesis evaluation. Guidelines for panel formation are:

- 23.1** 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. This list shall consist of 3 subject experts from India and 3 experts from outside of India.
- 23.2** Initially it is desirable to have more names in the panel (say six), and more from academia. It is suggested that at least four of the six names should be from academia.
- 23.3** Normally, only faculty from reputed university/department/Institutes like IITs/IISc/IIITH/NLU in India (or similar ones abroad) should be proposed. If from industry, should normally be from some reputed research lab.
- 23.4** Proposed examiners should be at the rank of Associate Professor or above or should have an equivalent experience (6+ years after PhD).
- 23.5** Conflict of interest – the proposed (non-supervisor) examiners should not have



coauthored any paper, with the PhD candidate. In the letter to be sent to the (non-supervisor) examiners for evaluation of thesis they may be requested to immediately inform if there is any Conflict of Interest with the student whose thesis is under evaluation.

**23.6** 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.

**23.7** Upon receipt of the abstract of the thesis, the Office of Doctoral Studies (ODS) shall send the names of the panel of examiners to the Vice-Chancellor who shall appoint three examiners, two of whom must be from India and one shall be from outside India.

**23.8** Note that the list of examiners should normally not be disclosed till the thesis review is complete; after that it is public information. In reviews, the name of the reviewer should not be disclosed even in the PhD defense. Only the Controller of examination/Dean of office of Doctoral Studies (or his/her authorized representative) should interact with the examiners, once they have been selected, till the reviews have been submitted. The student should never contact the examiners, and the supervisors may do so only when requested/permitted by the Controller of examination/Dean of office of Doctoral Studies.

**23.9** In case an examiner so appointed declines to examine the thesis, other examiner(s) shall be appointed out of the panel. In case the panel gets exhausted, the supervisor/ TAC members in consultation with SDC shall propose additional names.

## **24 EVALUATION OF THESIS**

**24.1** Each examiner shall submit a detailed assessment report to the Examinations Office on a prescribed proforma ([Annexure H](#)) within a stipulated timeframe allocated by COE.

**24.2** If the assessment report is not received from an examiner within 60 days, the Vice-Chancellor/ODS may appoint another examiner from the panel of examiners for evaluating the thesis.

**24.3** The examiners shall be required to state categorically whether, in their individual opinions, the thesis shall be:

- a) Accepted for the award of Ph.D. Degree,
- b) Referred to the Research Scholar for revision and resubmission, or

c) Rejected.

**24.4** The examiners shall state the reasons for recommending the resubmission/rejection of the thesis. If a resubmission is recommended, the examiners shall indicate the modifications that shall be made in the thesis.

**24.5** The reports from the examiners shall be placed before the Office Doctoral Studies (ODS) through the Controller of Examination (COE). The Office Doctoral Studies (ODS) in consultation with SDC shall peruse the reports and decide one of the following:

a) That the Research Scholar shall appear for an Oral Defense if the examiners have unanimously approved his/ her work.

b) That the Research Scholar shall revise the thesis and resubmit it if the examiners are unanimous that the thesis is submitted in a revised form.

c) That the thesis is rejected, and the research scholar shall be advised to re-register for a maximum duration of one year if the examiners are unanimous.

d) If the examiners are not unanimous, that a third examiner is appointed by the Vice-Chancellor to assess the thesis.

**24.6** In the case of a decision that the thesis is 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 a PhD degree, referred to the Research Scholar for revision and resubmission or rejected. The report will be considered by the ODS in consultation with SDC along with the reports of the other two examiners. The ODS in consultation with SDC shall decide:

(a) to approve the thesis for an Oral Defense.

(b) that the thesis shall be revised and resubmitted: or

(c) that it shall be rejected.

**24.7** In the case of a resubmission, the revised thesis shall be submitted within a period of six months from the date of communication by the Examinations Office of the decision of the SDC. However, in exceptional circumstances, the SDC in consultation with ODS may extend this period by up to one 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, other examiner(s) may be appointed by the Vice-Chancellor. If the examiners are not unanimous to approve the thesis for the Oral Defense, the thesis shall be rejected. Utmost

confidentiality shall be maintained by the Office of Doctoral Studies (ODS) & Controller of Examinations (COE) office about the panel of name of the examiners.

- 24.8** In the event of acceptance of the thesis, the Examinations Office shall arrange for the Oral Defense.

## **25 ORAL DEFENCE/ VIVA-VOCE EXAMINATION AND AWARD OF DEGREE**

- 25.1** Within one month from the decision of the ODS that the Research Scholar shall appear for an Oral Defense/ viva-voce examination, the Oral Defense 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 can conduct the Oral Defense, then Vice-Chancellor shall appoint another examiner from the panel of examiners to the Board of Examiners.
- 25.2** The Oral Defense shall, unless decided otherwise by the Vice-Chancellor, be held at the University in the School concerned. The date and time of the Oral Defense 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 Defense, 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.
- 25.3** Each thesis examiner shall be paid the remuneration of Rs. 5000/- for evaluation of the thesis and conducting viva-voce as honorarium. A foreign examiner shall be paid USD \$200 or an equivalent in Indian currency. However, these rates are subject to change as decided by the university from time to time.
- 25.4** 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.
- 25.5** In the case of a recommendation that the PhD degree is awarded, the reports of the examiners on the thesis and the Board of Examiners on the Oral Defense shall be placed before a meeting of the UDC/ODS, to be held within one month of the Oral Defense. The Research Scholar shall be invited to the UDC/ODS 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/ ODS shall decide on the approval of the award of the Ph.D. Degree.

- 25.6** Upon the approval by the UDC/ ODS, the Examinations Office shall issue the notification of the award of the Ph.D. Degree.
- 25.7** 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.
- 25.8** 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.

## **26 PUBLICATION OF THESIS**

- 26.1** 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 a 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:
- a) Dean/ Vice Dean of the School - Chairman
  - b) Supervisor of the Research Scholar - Member
  - c) Co-Supervisor of the Research Scholar - Member
- 26.2** Where the Dean of the School is the Supervisor, the Vice-Chancellor would nominate some other expert on the committee.
- 26.3** The recommendations of the committee shall be referred to the Vice-Chancellor for consideration and approval.

## **27 RESEARCH AND ETHICAL REVIEW BOARD**

The Research and Ethical Review Board (RERB) of JGU shall review all the research projects and publication of Ph.D. students. The board will also ensure that the ethical standard and scientific merit of research involving human subjects. A Ph.D. candidate must obtain a 'No Objection Certificate' from the RERB before proceeding for research fieldwork.

## 28 LEAVE RULES

- 28.1** The record of leave and attendance shall be maintained by the School/Institute for each candidate and shall be made available to SDC/UDC as and when required along with the candidate's annual progress report.
- 28.2** Leave of any kind may be subject to the approval of the SDC chair of their respective School/Institute on the recommendation of the Supervisor.
- 28.3** The Ph. D. candidates shall not be entitled to avail semester break, summer, and winter vacations.
- 28.4** A Research Scholar under any category may be permitted to be on leave from School/Institute for a limited number of days per year of stay in addition to public holidays, as below;

<b>For incidental purpose</b>	<b>CASUAL LEAVE →</b>	<b>12 days</b>
<b>For treatment on illness</b>	<b>MEDICAL LEAVE →</b>	<b>7 days</b>

The leave will be granted by the SDC chair of their respective School/Institute on the recommendation of the Supervisor and any leave not availed of in a year shall not accumulate.

- 28.5** Every full time Ph.D Scholar at JGU will be given a complimentary health insurance coverage as per JGU policy. No separate/ fixed medical assistance is provided. However, the candidate may avail of the medical facilities at the University.
- 28.6** The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of a Ph.D. for up to 240 days.
- 28.7** Married Research Scholar admitted to the JGU PhD Program, shall in addition to casual leave and medical leave prescribed by foregoing sub- para, be entitled to maternity/ paternity leave as per Govt. of India rules if the request for the leave is supported by a medical certificate from a registered medical practitioner.
- 28.8** In case of extensive fieldwork, data collection, library consultation, experimentation, etc., absence from the Institute may be allowed only one time up to a period of 12 weeks during the entire duration of the PhD registration. This will be considered on duty, based on the certificate of the Supervisor and approval of the SDC chair of their respective School/Institute. Also, no DA/TA

will be provided for the same.

- 28.9** The Ph.D. student may be allowed to leave station for visiting other places (in addition to the collaborating Organizations / Institutes / Industries) preferably after completion of their course work or during vacations when there is no teaching work scheduled if recommended by Supervisor and approved by SDC Chair of their respective School/ Institute well in advance.
- 28.10** A PhD student may be granted on-duty leave for attending seminars, conferences, traveling on project work, etc. For this leave, the candidate must take approval from his/her supervisor as well as SDC and ODS.
- 28.11** Absence of a student without any sanctioned leave will result in the loss of financial assistance and may result in the termination of the student's program.
- 28.12** Other categories (scheme research fellows/ JRF sponsored by MHRD etc.) leave rules will be applicable as per their respective sponsors or UGC norms.

## **29 ALLOCATION OF RESEARCH SUPERVISOR**

- 29.1** Each Ph.D. student shall have a Supervisor, duly approved by the SDC. A student may, in addition, have one/two Co-Supervisor.
- 29.2** Any full time regular faculty member of the University (Associate Professor and above) who holds a Ph.D. Degree with minimum 3-years of teaching/ research experience and at least four research publications in Scopus listed/UGC approved journals shall be eligible to be appointed as a Supervisor.
- 29.3** Any other faculty member of JGU/ other institute or University of International repute, who holds a Ph.D. Degree with minimum 3-years of teaching/ research/industry experience with at least three research publications in Scopus listed/UGC approved journals shall be eligible to be appointed as a Co-Supervisor.
- 29.4** The main supervisor should be from the school/ Institute itself, while a co-supervisor can be allowed in inter-disciplinary areas from other schools/Institute/ other institute or University of International repute, with the approval of the SDC.
- 29.5** Scholar can choose their supervisor/co-supervisors as per JGU PhD regulation but the final allocation of supervisor/ co-supervisor for a selected research scholar shall be approved by the SDC depending on the number of scholars per research supervisor, the available specialization among the supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

- 29.6** A sponsored Ph.D. student shall have one Supervisor or Co-Supervisor from the University and one from the sponsoring university/ organization/ employer.
- 29.7** 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.
- 29.8** A person of eminence with an established record of research evidenced through publications in Scopus index journals / acknowledged contributions in corporate/ public life may be appointed a co-supervisor.
- 29.9** 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.
- 29.10** Only in exceptional cases a change of supervisor(s) can be considered by the SDC for reasons to be recorded.
- 29.11** The number of Ph.D. students under a teacher, including Ph.D. students of other universities, as a supervisor or co-supervisor shall not exceed at any time the following: (Co-Supervision will be treated as one half of a unit)
- a) Professor: Eight (8)
  - b) Associate Professor: Six (6)
  - c) Assistant Professor: Four (4) (only as a Co-Supervisor)
- 29.12** Eligibility, roles & responsibilities of supervisors/co-supervisors - [Annexure I.](#)

## **30 THE MEMBER SECRETARY, SDC AND UDC**

The roles and responsibilities of the member secretary, SDC and UDC are set out in

[Annexure J.](#)

## **31 CONTINGENCY EXPENSES & OTHER ASSIGNMENTS**

**31.1 Mode of The Contingency Expenses:** Purchase of stationery/ Xeroxing/ Typing/ Printing/Conference registration fee/Books shall be as per JGU norms.

**31.2 Visit other places:** For attending Conference/ Seminar – Permission to attend conference/ seminar will be granted once in a year. The presentation paper and substantial supporting proof/documents shall be presented in front of the Supervisor or SDC Chair of the concerned School/Institute for approval.

**31.3 Termination of Enrolment:** Based on reports received from the School Doctoral Committee (SDC), the enrolment may be terminated at any time for reasons of

unsatisfactory performance and the school/Institute's/University decision in this regard shall be final.

**31.4 Other Assignments:** No PhD student shall accept or hold any appointment, paid or otherwise or receive any emoluments, salary, stipend, etc. from any other source during the tenure of the PhD degree period.

**31.5** An Institute Research Scholar without stipend may be entitled to receiving honorarium against specific work done for projects (mainly consultancy)/teaching a full course from time to time with the prior permission of the Supervisors (s) and the SDC Chair of their respective School/ Institute.

**31.6** All financial transactions are needed to settle down within the same financial year.

**31.7** Other categories (scheme research fellows/ JRF sponsored by MHRD etc.): principle will be applicable as per their respective sponsors or UGC norms.

## **32 RULES REGARDING CONDUCT AND DISCIPLINE**

Following rules shall be applicable to all students and research scholars in the matters of conduct and discipline.

**32.1** Research Scholars shall show due respect to the teachers at the institute, the Care-takers of the accommodation, the Sports officer and the Officers of the Facilities Management Office, Proper courtesy and consideration should be extended to the employees of the Institute and accommodation. They shall also pay due attention and courtesy to visitors.

**32.2** Research Scholars are required to develop a friendly camaraderie with fellow students. In particular, they are expected to show kindness and consideration to the new students admitted to the Institute every year, ragging/misbehavior with any of the newcomers in any form is banned by law. The acts of ragging will be considered as gross indiscipline and will be severely dealt with.

**32.3** O.P. Jindal Global University observes a policy of 'Zero Tolerance' with respect to Clauses 3, 4, 5(a), 18(a), and 18(b) of Section 5, and Clause 2 of Section 6 of the O.P. Jindal Global University Code of conduct for Students ("**Code of Conduct**"). Any student or research scholar found violating the said provisions of the Code of Conduct shall attract a strict sanction/ penalty under the Code of Conduct, as may be reasonable depending upon the facts and circumstances of the case.

**32.4** The following acts omission and/ or commission shall constitute a gross violation of the code of conduct and are liable to invoke appropriate disciplinary measures:



- (i) Lack of courtesy and decorum, indecent behavior anywhere within or outside the campus
- (ii) Willful damage or stealthy removal of any property/ belongings of the Institute/Hall or of students.
- (iii) Adoption of unfair means in the examinations.
- (iv) Mutilation or unauthorized possession of library books.
- (v) Noisy and unseemly behavior, disturbing studies of fellow students  
Commensurate with the gravity of the offense, the punishment may be awarded, fine expulsion from the accommodation, debarment from an examination, rustication for a specified period or even outright expulsion from the Institute.

**32.5** For an offense committed in (a) Accommodation, (b) the Department or in a classroom and (c) elsewhere, the SDC chair of their respective School/Institute shall have the authority to impose fine or take other suitable measures.

**32.6** All cases involving punishment other than reprimand shall be reported to the Disciplinary Committee of the respective School/Institute.

### **33 UNFORESEEN ISSUES**

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

***Note:** To download Annexures of the PhD Regulation, please click on the below link*

<https://jgu.edu.in/phd-toolkit/>