

GUJARAT BIOTECHNOLOGY UNIVERSITY

PHD RULES AND REGULATIONS

The following regulations have been framed by the Board of Governors in the exercise of the powers and authority conferred under Section 38 of the Gujarat Biotechnology Act, 2018.

1. Short title and commencement

These regulations may be called the Gujarat Biotechnology University Ph.D. Regulations, 2023.

- i. These regulations shall apply to the Ph.D. programme conducted at the Gujarat Biotechnology University
- ii. These Regulations shall *inter alia* govern all matters pertaining to Ph.D. admissions, scholarships and incidental/ related matters thereto at the Gujarat Biotechnology University.
- iii. They shall come into force from the date of notification by the University.
- iv. The Regulations govern the conditions for imparting instructions for the courses, conduct of examinations and evaluation of scholars' performance leading to Ph.D. degree.
- v. These Regulations will be effective for the batches of scholars admitted from the academic year 2023-24 onwards.
- vi. Notwithstanding any provisions contained in these Regulations, on the recommendation of the Academic Council (AC) and the Board of Governors (BOG) shall exercise the powers to change/amend/interpret/ implement the decisions and actions concerned with academic matters, to change any or all parts of these Regulations at any time.

2. Definitions

In these Regulations, unless the context otherwise requires, the following words and expressions shall have the meanings hereby assigned to them. Words and expressions used but not defined herein shall have the meaning assigned to such words and expressions in the Act as amended from time to time.

- i. “**Academic Section**” shall mean the Section of the University Administration concerned with student admissions, enrolment, registration and related academic matters;
- ii. “**Academic Backlog**” shall mean failure in securing of the minimum requisite marks in

the evaluation of a subject;

- iii. **“Academic Council”** shall have the meaning as described in the Act.
- iv. **“Academic Staff”** shall mean Faculty and Support Staff involved in imparting education and conducting a course or subject in the University and appointed or recognized as such by the University from time to time.
- v. **“Academic Year”** shall mean the duration defined by the University from time to time.
- vi. **“Act”** shall mean the Gujarat Biotechnology University Act, 2018, as amended from time to time;
- vii. **“Attendance Backlog”** shall mean automatic failure in a particular subject due to inability to appear in an examination for such subject pursuant to lack of minimum requisite attendance as may be prescribed by the University, from time to time.
- viii. **“Board”** shall mean the Board of Governors of the University as constituted under the Act.
- ix. **“Dean”** shall mean a Faculty of the University appointed as Dean of Academic Sections of the University by the Director General with the approval of the Board pursuant to and in accordance with the Act.
- x. **“Director”** shall mean a faculty of the University appointed as Director of the University by the Director General with the approval of the Board pursuant to and in accordance with the Act.
- xi. **“Doctoral Advisory Committee (DAC)”** shall mean the committee established to conduct periodic review and evaluation of the doctoral research and progress of a Ph.D. student at the University.
- xii. **“Examination Committee”** shall mean the committee established to plan, execute and manage the examination and evaluation process and mechanism for all Courses/ Programmes as may be offered by the University from time to time.
- xiii. **“Faculty”** shall mean Professors, Associate Professors, Assistant Professors, imparting education and conducting a course or subject in the University and appointed or recognized as such by the University, from time to time.
- xiv. **“Board of Studies”** or **“BoS”** shall mean the committee constituted to frame the content of various courses, review and update of the content from time to time, introducing new courses of study among other academic and research activities.
- xv. **“Ph.D. Admission and Selection Committee”** shall mean the committee established to plan, manage and execute the admission process and other related aspects for Ph.D. The same committee will conduct the exam and interview of Ph.D. candidates and prepare and

submit a list of selected candidates to the Director-General for approval.

- xvi. **“Ph.D. Student”** shall mean a student enrolled in the Doctor of Philosophy programme in Biotechnology.
- xvii. **“Re-registration”** shall mean registration of a Ph.D. student post expiry of the maximum period of Ph.D. Degree requirements based on the recommendations of the DAC and approval of the Director-General by paying the requisite fees.
- xviii. **“Semester”** shall mean the 15 (fifteen) weeks duration beginning from July of every calendar year and ending in November/December of the same calendar year and subsequent half-year duration beginning from January of every calendar year and ending in May/June of the same calendar year; or as decided by the GBU.
- xix. **“Student Disciplinary Committee”** shall mean the committee established by the Director/Dean, to plan, execute, manage and recommend the measures in the disciplinary matters of all the students of the University, in accordance with these Regulations;
- xx. **“UGC”** shall mean University Grants Commission; and
- xxi. **“University”** shall have the meaning ascribed to it in the Act.

3. Ph.D. Committees

The following committee shall be constituted for the Admission, Registration and Administrative Governance of the Ph.D. students at the University:

I) Ph.D. Admissions and Selection Committee.

This committee will be constituted by Director General (DG) with a term of 3 years. Two Faculty representative from each department will be appointed as committee member by the DG. DG will also nominate one faculty member as a chairperson and another faculty member as a member secretary. At least 2 external experts will be nominated by the DG. As per need a department specific committee may also be formed by the DG.

This committee shall coordinate all the admission related work of the University.

The committee shall prepare a list of available seats, prepare an admission prospectus, application form/portal on the University’s website and conduct the primary screening for eligibility of the applicant for the Ph.D. programme.

- i. This committee shall conduct a written exam (CSIR/UGC/DBT/ICMR/INSPIRE are exempted from this exam) for the screened applicants and prepare a ranked list of applicants

- for further selection process. The Committee shall conduct the interview of selected candidates and prepare a merit list in accordance with the regulations prescribed.
- ii. All Supervisors who are eligible and willing to supervise PhD candidate shall be invited during the interview for PhD admission.
 - iii. The recommendations of the Ph.D. selection committee shall be referred to the Director General for perusal and approval.

II) Student Disciplinary Committee

- i. The Student Disciplinary Committee shall have the dual function of safeguarding the rights of students and maintaining a climate of integrity and safety for all members of the University.
- ii. The Committee shall consist of two (2) faculty members, one (1) professional staff member, one (1) support staff member and one (1) student. The Director/Dean shall serve as the chairperson for the Student Disciplinary Committee.
- iii. The Director/Dean shall appoint the Student Disciplinary Committee. The faculty and staff members shall serve a term of three years. A student shall be appointed annually to serve a term of one year on the Student Disciplinary Committee. Committee substitutions may be necessary if a conflict arises in scheduling hearings in a timely manner.
- iv. The Chairperson will preside over all hearings and serve as a non-voting member of the committee. Any Committee member who has any conflict of interest or special information concerning a particular case should recuse themselves from that case.
- v. The Committee shall maintain an adequate record of the history and disposition of each case. The Chairperson shall maintain the written record of the hearing and the decision. The record shall include summary of the evidence upon which the Committee based its decision. At the conclusion of each hearing the Chairperson will turn over notes and records from the proceeding to the Director General, to be retained for five years after the disposition of all cases.

4. Ph.D. Programme

The University offers Doctor of Philosophy (Ph.D.) Programme in Biotechnology. The University will admit students in the following categories:

i. Regular

A student in this category works full-time for his/her Ph.D. degree. He/she receives fellowship from CSIR/UGC/DBT/ICMR/INSPIRE or any other recognized funding agency. The full-time scholars are expected to work on regular basis for entire Ph.D. programme in their respective subject departments or place of assignment by their supervisors/University.

ii. Regular with University Fellowship

The University shall provide fellowship to a maximum of 10 students per year with a monthly stipend of Rs. 15,000 (Rupees Fifteen Thousand).

iii. Sponsored

A student in this category is sponsored by a recognized R&D organization, academic institution, government organization or industry for doing research in the University on a full-time basis. The student will have to clear the GBU Ph.D. entrance examination for admission into the program. The University does not provide any fellowship to such a student.

iv. Project-Staff

This category refers to a student who is working on a sponsored project in the University and is admitted to the Ph.D. Programme to work on a full-time basis. If the project gets completed before the student completes his/her Ph.D. Programme, the University will not be responsible for his/her fellowship.

Duration of the Programme

- i. Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- ii. A maximum of an additional two (2) years can be given through a process of re-registration provided. However, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- iii. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- iv. Female Ph.D. Scholars will be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

5. Eligibility

The following shall be considered eligible to apply for admission to the Ph.D. Programme:

(A) Candidates who have completed:

(i) A 1-year/2-semester master's degree programme after a 4-year/8-semester Bachelor's degree programme or a 2-year/4-semester Master's degree programme after a 3-year Bachelor's degree programme or qualifications declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55 % marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

(ii) A relaxation of 5% marks (from 55% to 50%) or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC Guidelines from time to time.

(iii) Provided that a candidate seeking admission after a 4-year/8-semester Bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC Guidelines from time to time.

(B) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country

to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the UGC Guidelines from time to time.

6. Procedure for Admission

- i. The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and/or other statutory/regulatory bodies concerned, and taking into account the reservation policy of the funding agency sponsoring fellowship.
- ii. The Ph.D. Admission Committee will finalize the number of available seats based on the request of the faculty members to the BoS.
- iii. The Ph.D. Admission Committee shall prepare a prospectus and publish the same on the University's website specifying the number, subject/discipline-wise distribution of available seats; criteria and procedure for admission; and other relevant information. The candidates seeking admission must fill the prescribed admission form as notified by the University within the dates specified in the admission announcement.
- iv. The University will admit Ph.D. students every semester. The University will conduct an Entrance Test followed by an interview to admit selected students. The Entrance Test shall consist of 50% of research methodology, and 50% shall be Biotechnology based questions. Students who have secured 50 % marks in the entrance test are eligible to be called for the interview. The University may use higher cut-off levels for shortlisting of candidates for the interview. Candidates with fellowship from any National funding agency will be exempted from the University entrance test and shall progress to the interview directly.
- v. The project staff working under recognized supervisors of the University shall be admitted through an entrance examination.
- vi. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the UGC from time to time.
- vii. The University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- viii. A weightage of 50 % for the entrance test and 50 % for the performance in the interview shall be given for the selection of a candidate.

- ix. International students eligible for Ph.D. Admission will be exempted from the entrance test. Eligible Candidates with scholarship from recognized institutions or agencies will be shortlisted on the basis of their academic record and shall be invited for an online interview. The interview shall assess the student for scientific aptitude and research interests. GBU will not be liable for providing any financial support to the international Ph.D. candidates.
- x. The waitlisted candidates may be offered admission in the event of vacant seats available. No candidates shall be admitted post the date of Semester registration.
- xi. The University through the Academic Sections section shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the discipline), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.

7. Enrolment and Registration

- i. Students of all categories will have to register in person every semester on the stipulated date till the submission of their theses.
- ii. Students are required to pay fees as prescribed by the university subject to change from time to time till the submission of their theses within stipulated dates.
- iii. A student may be exempted from the prescribed fees for the last semester if he/she submits thesis within 30 days from beginning of the semester.
- iv. A candidate admitted to the Ph.D. programme as per the procedure shall be registered as a Ph.D. scholar by the University. The period of registration shall start from the date of admission. The registration form will be notified by the University from time to time. The University shall notify the scholar about approval of the topic of the thesis.
- v. A registered Ph.D. scholar shall not be allowed to pursue any other course/programme from any University simultaneously. If any such violation is noticed, the registration shall be cancelled automatically.
- vi. The candidate who has cleared Ph.D. Entrance test but awaiting for Master degree results shall be provisionally admitted and registered immediately after getting the provisional/degree certificate from the previous Institution for his/her Ph.D. programme throughout the year.

8. Recognition of Ph.D. Supervisor

- i. Regular/permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five research publications in peer-reviewed or Scopus Index Journal or Web of Science journals and regular/permanent faculty members working as Assistant Professors in the University with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Ph.D. Supervisor in the University. The Director General on the recommendation of JBSR may approve such recognition as Ph.D. Supervisor.
- ii. Such recognized Ph.D. supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors with prior approval of the Director-General.
- iii. Adjunct Faculty members shall not act as Ph.D. Supervisors and can only act as co-supervisors.
- iv. A Co-Supervisor from outside the Department/University may be appointed after the approval of the Director-General.
- v. A Ph.D. Supervisor, in case of his/her shifting/transfer to some other University/superannuation may continue to guide the candidate(s) already registered under him/her. Such person/s shall cease to be approved Ph.D. supervisors of the University on successful completion of Ph.D. studies of the concerned candidate(s).

9. Norms for Supervision

- i. A recognized Ph.D. Supervisor at the level of Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time or as per prevailing guidelines of UGC/University
- ii. Co-Supervision: To accommodate interdisciplinary aspects in research, a Ph.D. supervisor can act as a co-supervisor after the approval of the Director-General. The number of scholars working under a co-supervisor shall not be taken into consideration while counting the permissible number of scholars registered under a particular Ph.D. supervisor.
- iii. Each Ph.D. supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified above.
- iv. The Ph.D. supervisor carries all the major responsibility of guiding/supervising the academic planning/progress/execution of the plan of research throughout the period of study. He/she counsels the scholar in academic matters and provides guidance on the

nature of course work and research, the standards expected, the adequacy of progress, and the quality of work.

- v. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision, unless specifically permitted by the Director General. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- vi. To ensure the successful and timely completion of the programme, it is essential that Ph.D. supervisors and their scholars maintain regular contacts. The supervisors must give their scholars advance notice, if they plan to be absent from the University for an extended period, i.e., 03 months or more, and make suitable arrangements for the continued guidance to the scholar during his/her absence.
- vii. In case of absence of the Ph.D. supervisor for more than one year or a supervisor is unable to complete the assignment of guiding a scholar - a substitute supervisor may be recommended by the DAC and approved by DG from the available supervisors in the university from the concerned subject. Mutual consent of both the student and the Supervisor(s) is taken for such cases.
- viii. In case of absence of the Ph.D. supervisor for more than one year on account of leave/deputation/suspension/VRS/ sad demise/ etc., the scholar may be permitted to change the supervisor on the recommendation of the DAC subject to the approval of the Director-General. Such students will be counted as supernumerary for the new Ph.D. supervisor.
- ix. In case of relocation of a female Ph.D. student due to marriage or otherwise, the research data shall be allowed to be transferred to the University/Institute to which the student relocates, provided the research work does not pertain to a project sanctioned to the University by any funding agency. Such student shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- x. The Director General may permit a student to change his/her Supervisor(s) for valid reasons. Mutual consent of the student and supervisor(s) and recommendations of the Head of the Department and Director/Dean are required. Such cases are reported to the JBSR.

10. Allocation of Research Supervisor

- i. The shortlisted candidates in the merit list shall not have any automatic right for allocation of supervisor(s) and enrolment for Ph.D. studies in the University. This shall be subject to availability of seats/consent of the supervisor etc. at the University.
- ii. The BoS shall appoint Supervisor(s) to a student after obtaining mutual consent of both the student and the Supervisor(s).
- iii. The BoS shall finalize and communicate the name of the supervisor and co-supervisor, if any, within a month of admission of the candidate.
- iv. Notwithstanding anything contained in this ordinance, no supervisor or co-supervisor shall be under any obligation to accept any candidate for Ph.D. studies.
- v. The workload of Ph.D. supervisor shall be determined based on the policy formulated by the University or UGC from time to time.
- vi. Faculty members with less than 3 years of service before superannuation shall not be allowed to take new research scholar under their supervision. However, such faculty members can continue to supervise PhD scholars who are already registered until superannuation and as a co-supervisor after superannuation but not after attaining the age of 70 years.

11. Course Work- Credit requirements, Number, Duration, Syllabus and Minimum Standards for Completion

- i. All Ph.D. candidates are mandatorily required to complete the coursework with a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course within the first year of registration. DAC may recommend reputed online courses recognized by national/international agencies as part of their credit requirements for the PhD programme.
- ii. The course work shall carry 12 credits (one credit=15 hours). The concerned department/school/institution shall decide the details of the course work, teaching schedule and evaluation within the broad framework given below:

- iii. 06 credits (90 hours) for “Research Skills” which includes research methodology, quantitative methods, basic computer application, tools and techniques for research and experimentation, instrumentation, etc.
- iv. 06 credits (90 hours) for subject specific course work which will include basic courses related to Biotechnology, seminar in different contemporary and development issues in the subject and review of research papers in the subject.
- v. (v) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- vi. (vi) A Ph.D. student must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.
- vii. (vii) Credits earned for completed coursework may be transferred from one institution to another through the academic bank of credits.

12. Doctoral Advisory Committee (DAC)

- i. There shall be a DAC for each Ph.D. student registered with the University. The research supervisor of the student shall be the Convener of DAC. The other members may include co-supervisor (if any), at least one faculty member of the Department/University and one external subject expert with the approval of the Director General. The external expert will be nominated by the Director General. The Convener shall communicate the names of DAC members and any subsequent changes in its composition, forwarded by the Director/Dean and approved by the Director General.
- ii. The DAC shall have the following responsibilities:
 - a) To review the research proposal and finalize the topic of research.
 - b) To guide the Ph.D. student in developing the study design and methodology of research, and
 - c) Identify the course(s) that the Ph.D. student may have to do.
- iii. Each semester, a Ph.D. student shall appear before the Doctoral Advisory Committee to make a presentation. The student will submit a brief report on the progress of his/her work for evaluation one week before the presentation. The Doctoral Advisory Committee shall submit its recommendations along with a copy of Ph.D. student's progress report,

forwarded by the Director/Dean to the Academic Sections. A copy of such recommendations shall also be provided to the Ph.D. student. The presence of one member in addition to the candidate's supervisor and/or co-supervisor shall constitute a sufficient quorum at any meeting of the DAC. The DAC may convene on more than one occasion in a year with the Ph.D. supervisor as the convener.

- iv. In case the progress of the Ph.D. student is unsatisfactory, the DAC shall record the reasons for the same and suggest corrective measures. If the Ph.D. student fails to implement these corrective measures, the DAC may recommend to the JBSR specific reasons for the cancellation of the registration of the Ph.D. Student from the University's Ph.D. program.

13. Change of Category, Topic, Title, and Objectives

- i. The change of category of the Ph.D. scholar, in case of request shall be considered by the Director General under compelling circumstances on the recommendation of the JBSR.
- ii. The Ph.D. scholar shall select and finalize the research title within a period of 06 months from the date of provisional registration, in consultation with the supervisor.
- iii. If a change of topic/title/objectives becomes necessary to address the desired research problem, the DAC may, on the recommendation of the guide, permit to change the topic/title/objective, prior to submission of the synopsis.

14. Progress Review and Research Process

- i. A student submits at-least two progress report for yearly evaluation to the DAC. The DAC schedules a meeting where the student presents his/her progress report.
- ii. All such presentations are open to all. However, the DAC may schedule more such meetings depending on the progress of the student. The DAC reviews the progress and submits a report to the Chairman after every such review.

15. Mandatory Publications, Conference Presentations and other Requirements

The mandatory publication and conference presentation requirements for thesis submission are as follows:

One first-author journal publication indexed in SCOPUS or Web of Science (JCR indexed), in the field of PhD research/two research paper or poster presentations in reputed national &

international conferences/One patent filed or awarded/published proof of concept of a product or process are mandatory for submitting the synopsis and thesis.

16. Submission of Synopsis

- i. A synopsis of the research thesis shall include the following:
 - a) state the objectives, nature and scope of the work done,
 - b) state the principal conclusions,
 - c) state the contribution made to the body of knowledge on the subject, and
 - d) bibliography
- ii. The synopsis shall contain introduction, chapter-wise brief account of the work done and overall conclusions. The synopsis shall be in English.
- iii. The scholar shall submit 2 copies of the synopsis of his/her thesis along with soft copies of the synopsis, through the guide and Head of the Department, to the Academic Sections Section.

17. Submission of Thesis

- i. Before submitting the thesis, a scholar has to produce Anti-Plagiarism clearance Certificate for the content of the thesis as per the Anti-plagiarism regulations of UGC or as notified by the University from time to time, using a University approved plagiarism checking software.
- ii. Every scholar shall submit with his/her thesis a certificate from the guide under whom he/she worked, that the thesis submitted is a record of original research work done by the scholar during the period of study under his/her Guidance/supervision and that the thesis has not previously formed the basis for the award to the candidate of any Degree, Diploma or other similar titles and that the thesis represents independent research work on the part of the scholar.
- iii. The process of the submission of thesis shall be as follows: Primary submission: 02 copies (loose /spiral bound): to be sent to the external examiners for evaluation Final Submission: 04 copies (04 hard bound + 01 Soft copy (CD - pdf version): With all necessary corrections and suggestions directed by the external examiners, academic information about the scholar, Registration and publication etc.
- iv. Prior to submission of the thesis, the scholar has to make a pre-Ph.D. presentation in the department/university/institute that may be open to all faculty members and

research scholars for feedback and comments which may be suitably incorporated, if necessary in the thesis under the supervision of the guide.

- v. The thesis shall be submitted to the University for Evaluation not later than 12 months after the submission of the synopsis, through the supervisor and forwarded by DAC and the Director/Dean.
- vi. If the scholar fails to submit the thesis within 12 months from the date of submission of the synopsis, a maximum of 02 extensions of 06 months each may be given by the Director General. If the scholar wants to submit the thesis thereafter, it can be done only with the approval of the JBSR. In that case, the scholar shall have to submit the synopsis afresh, and also required to pay the necessary fees.

18. Ph.D. Examiner

- i. The Ph.D. thesis submitted by a Ph.D. student shall be evaluated by at least two external examiners from within or outside India, who are experts in the field and not in employment of the University.
- ii. The Ph.D. examiners must be Ph.D. degree holder associated with an academic/industrial Institution with a minimum of three years post-Ph.D. experience with a proven record of scholarly publications in the field.
- iii. The viva-voce board shall consist of the Ph.D. Supervisor and at least one of the two external examiners and may be conducted online.
- iv. The viva-voce shall be open to the members of the Doctoral Advisory Committee/faculty members, and students.
- v. The thesis examiner will be paid honorarium as per GBU norms.

19. Thesis Evaluation

- i. As the scholar submits his/her synopsis, the procedure for the selection and appointment of examiners should start.
- ii. The Ph.D. supervisor should provide the list of 6 external examiners.
- iii. The thesis shall be evaluated by two external examiners.
- iv. DG shall nominate 02 examiners, as per the above norms, from the given list.
- v. The scholar should submit the thesis within 3 months to the academic section after synopsis approval.

- vi. The university shall complete the process of evaluation of the thesis including the Viva voce within the period of 3-6 months from the date of submission of the thesis, unless under exceptional/unfavourable conditions.
- vii. To expedite this process of evaluation, pdf version (in electronic form, soft-copy) of the Ph.D. thesis may be sent to the external examiners through e-mail from the account of academic section.
- viii. This responsibility is to be shared by the concern guide once appointments of the examiners are made. Research supervisor will do all interim correspondence to acquire the reports from the examiners as early as possible. For all these, electronic communication will be preferred.
- ix. The evaluation shall be done by 02 external examiners.
- x. The Examiners who evaluate the thesis shall report on the merit of the scholar's thesis for the Ph.D. degree by providing a grade.
 - a. The thesis is acceptable in the present form for the award of the Ph.D. degree.
 - b. The thesis is acceptable and the corrections, modifications and improvements suggested by examiner would be incorporated in the thesis to the satisfaction of the Oral Board
 - c. The thesis requires major improvement and may be revised and resubmitted for evaluation.
 - d. The thesis is rejected.

Opinion of examiners on evaluation of the thesis:

- a) If the thesis is commended by both the external examiners, each examiner may seek clarifications/questions, if any, to be answered at the time of Viva voce.
- b) In case, one of the external examiners has not commended the thesis, then the thesis shall be again referred to a third external examiner appointed. If the third examiner commends the thesis, the scholar shall be allowed to appear for the Viva voce. If the third examiner does not commend the thesis, it shall be rejected, and the registration be cancelled after proper evaluation by DAC.
- c) In case both the external examiners have not commended the thesis (not considered the thesis acceptable for Ph.D. degree), then the thesis shall be rejected, and the registration be cancelled. However, DG in coordination with DAC may reconsider the merits of the thesis for re-evaluation.

- d) If the examiner/examiners insist on any correction/revision to be made in the thesis, the same shall be made by the scholar before the open Viva voce and certified by the guide which is to be forwarded through Head of the Department.
- e) If the Examiner/Examiners explicitly suggest(s) the need for revision and re-submission of the thesis for further examination, then the revised thesis, duly certified by the guide, shall be sent to the same examiner/s for further evaluation. In the absence of such a statement or if the examiner concerned specifically instructs that the revised thesis need not be sent back to him/her, the revised thesis duly certified by the guide shall be examined by the DAC and accepted, if found in order, and the scholar shall be allowed to appear for open Viva voce.
- f) Where the scholar has been asked to revise/resubmit the thesis, the same shall be done within the shortest possible period and in any case not later than 01 year from the date of the communication regarding the same by the University.
- g) In case the candidate fails to submit the revised thesis within 01 year, the process of thesis evaluation gets cancelled. Then, the candidate shall submit the synopsis again, along with the necessary fees, to start the process of thesis evaluation afresh.
- h) The external examiners are expected to send the evaluation report within 01 month from the date of receipt of the thesis. In case of undue delay by the examiner to send the report, the University may, with the approval of Director General, send the thesis to another external examiner.

20. Viva Voce

- i. On receipt of satisfactory evaluation reports, either in hard copy/e-mail/fax/any e-resource, the Ph.D. scholar shall undergo for open Viva voce, where he/she shall defend the research work in the thesis at the University Department.
- ii. In cases where the thesis has been approved, and on receipt of communication from the University, the supervisor shall coordinate the conduct of open Viva voce for the scholar.
- iii. The supervisor shall fix the date and time of the Viva voce in consultation with the external examiner, who shall be recommended by the supervisor and approved by the Director General for conducting the open Viva voce. The supervisor shall give wide publicity for the same. The maximum time limit for conducting open Viva voce shall be 02 months from the date of receipt of evaluation reports from the examiners. If the scholar fails to take open Viva voce within 02 months on valid grounds, the Director General

may permit 02 months extensions on specific request/s from the guide through the Head of the Department concerned.

- iv. The open Viva voce shall be held on any working day of the University. In case the open Viva voce, Examiner is not able to travel to the University, the supervisor can arrange an open Viva voce with the participation of the external examiner through video conferencing or at a place convenient to the examiner, with the permission of the Director General.
- v. In the open Viva voce, the supervisor shall introduce the External examiner, who shall then conduct the open Viva voce at Department level. The scholar shall make a 30-minute presentation about the research work. After the presentation, the external examiner and the supervisor shall conduct the open viva voce at Departmental level.
- vi. If the scholar passes the open viva voce examination, the open viva voce examiner and the supervisor shall consolidate the recommendations and submit the same to the University, as per the format notified by the University, for the award of the degree based on:
 - a) the reports of the examiners who adjudicated the thesis and
 - b) the evaluation of the scholar's performance in the open viva voce examination.
- vii. The scholar who is successful in the open viva voce examination shall be declared to have qualified for the Ph.D. degree.
- viii. If a scholar does not satisfy the Examiners at the open viva voce examination, he/she shall be re-examined after a period of not less than three months. The scholar shall not be declared eligible for the degree unless all the Examiners unanimously declare him/her eligible for the degree.
- ix. In the event of both the external examiners being unavailable for the open viva voce, a third (external) examiner from within India shall be appointed by the Director General, in consultation with the JBSR to conduct the open viva voce.
- x. The thesis examiner visiting GBU for Viva Voce will be paid travel allowances as per actual along with honorarium as per GBU guidelines.

21. Cancellation of Ph.D. Registration

The Ph.D. registration is liable to be cancelled for any of the following reasons:

- i. Giving false information at the time of application/admission.
- ii. Not conforming to the regulations of the programme.
- iii. Failure in coursework requirement.

- iv. Violation of discipline and conduct rules of the Institute.
- v. Not enrolling for a semester within stipulated dates without prior approval.
- vi. Regular and Sponsored (Full-time) category students, remaining absent for more than 6 (six) weeks in a semester, without sanctioned leave.
- vii. Plagiarism/ academic dishonesty in any form

22. Period of Registration and Norms for Extension

- i. A full time Ph.D. scholar shall be registered for a maximum period of 06 years from the date of provisional registration. This period may be extended by 01 years based on the request of the scholar on valid grounds, by Director General, on the recommendation of DAC. However, under very special and compelling, circumstances Director General may grant a grace period of 90 days more to submit the thesis after the expiry of the extended period.
- ii. In case the scholar fails to submit the thesis within this stipulated period he/she shall have to get re-registered. For re-registration, the rules of registration applicable to a fresh applicant shall have to be followed, including submission of an updated PhD proposal reviewed by Doctoral Advisory Committee., The candidate shall be exempted from writing the Entrance Test.

23. General Rules Applicable

- (i) The scholars shall follow the rules and regulations prescribed by the University from time to time, even if they are not included in this policy. The University shall have the right to modify, change or add to the rules and regulations which shall be binding on the scholars.
- (ii) The Ph.D. scholars shall be entirely responsible for any duplication or plagiarism/academic dishonesty or piracy occurring in the thesis. In case any such acts are detected even after the award of the degree, the scholar shall be held accountable for the irregularity and this may even lead to cancellation of the degree. The decision of the University in this regard shall be final and binding on the scholar.
- (iii) If any differences of opinion/dispute develop between the scholar and the guide at any time during the course of the research work, the decision of JBSR/Academic Council in the matter shall be final and binding on the scholar and the guide.

24. Award of the Doctor of Philosophy Degree

A Ph.D. student must fulfil all the above criteria for the award of the Ph.D. degree.

25. Issuing a Provisional Certificate

Prior to the actual award of the Ph.D. degree, after successful completion of viva voce the University shall issue a provisional certificate to the effect that the Ph.D. degree is being awarded in accordance with the provisions of these Rules and Regulations.

26. Depository with INFLIBNET

Following the successful completion of the evaluation process and the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions. The University, however, reserves the right to withhold the submission of the thesis to INFLIBNET for a maximum period of 18 months from the date of award of degree for protection of University's Intellectual Property in cases where there are patent related issues.

27. Other Matters

1. All academic matters, not covered by the above, shall be referred to the Academic Council.
2. Any legal matter relating to Ph.D. Rules and Regulation shall be subjected to jurisdictions of Court(s) in Gandhinagar, Gujarat.

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