



# दिल्ली विश्वविद्यालय

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## University of Delhi



**GUIDELINES FOR M.PHIL./PH.D. RESEARCH SCHOLARS  
REGISTERED ON OR AFTER JULY 05 2016:  
FROM REGISTRATION TO AWARD OF DEGREE**

*Research Council, University of Delhi*

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### **1. Statement**

These Guidelines are based on Ordinance VI which conforms with UGC Gazette (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016.

### **2. Fees and Registration**

- The duly constituted M.Phil. Committee as per Ordinance VI will select the candidates for M.Phil. Programme.
- For Ph.D. Programme, on the basis of the recommendation of the duly constituted DRC as per Ordinance VI, a memorandum for provisional registration and payment of fees will be issued to the selected Ph.D. candidates after due approval by the duly constituted BRS as per Ordinance VI.
- The selected applicants have to pay admission fee on or before a specified date decided by the BRS/University through online admission portal.
- The date of fee submission (after the approval from BRS for Ph.D. and M.Phil. Committee for M.Phil. Research Scholars) will be designated as the date of registration.
- The registration of candidates in the Ph.D. programme may be confirmed by the BRS based on the recommendation of the DRC after completion of coursework. The registration of candidates in the M.Phil. programme may be confirmed by the M.Phil. Committee after completion of coursework.

### **3. Research Advisory Committee for Research Scholars**

- There shall be a Research Advisory Committee (RAC) for every research scholar, duly approved by the M.Phil. Committee/ DRC. The Supervisor of the research scholar shall be the Convener of this Committee. The Committee will have at least three members, with at least one faculty member other than the Supervisor from the Department. This Committee shall have the following responsibilities:
  - (a) To review the research proposal and finalize the topic of research.
  - (b) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
  - (c) To periodically review and assist in the progress of the research work of the research scholar.
- The research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports with the comments of the RAC shall be submitted to the M.Phil. Committee/DRC with a copy to the research scholar.
- In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to comply with these corrective measures, the RAC may recommend to the M.Phil. Committee DRC with specific reasons for cancellation of the registration of the research scholar.

#### **4. Financial Assistance to Research Scholars**

##### **4.1 Research scholars with Financial Assistance**

- Research scholars who have cleared National Level Examinations with JRF or equivalent shall get financial assistance from the concerned funding agency.
- Research scholars who are working in projects as JRF and SRF shall get financial assistance from the designated projects.

##### **4.2 Research scholars without Financial Assistance**

- Research scholars, who do not have any financial assistance, may be awarded Non-NET UGC fellowships. The University, depending on the grant available from UGC, will determine the number of fellowships under this category annually.
- Financial assistance shall not be provided where the research scholar is availing paid study leave.

##### **4.3 Foreign Research scholars**

- Foreign research scholars must show proof of financial support for the duration of the M.Phil./Ph.D. enrolment.

#### **5. Coursework**

Each M.Phil./Ph.D. research Scholar must complete the coursework prescribed by the concerned department.

##### **5.1 Assignment Outside University**

The research scholars shall not be allowed to take up any assignment outside the University during the coursework.

##### **5.2 Credit Requirement**

- As per UGC Regulations 2016, the credit assigned to the M.Phil./Ph.D. coursework shall be a minimum of 08 credits and a maximum of 16 credits. The coursework shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and safety and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- The credits of the coursework shall be transferable between the Departments of the University and inter-university, subject to their acceptance by the M.Phil. Committee/DRC.
- A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the coursework in order to be eligible to continue in the programme and submit the dissertation/thesis.
- The M.Phil. dissertation will have a total of 300 marks (12 credits), including marks for viva-voce examination.
- All research scholars admitted to M.Phil./Ph.D. Programme shall be required to complete the coursework within initial one or two semesters.

### **5.3 Role of RAC in the Coursework**

- The Department where the research scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the RAC of the research scholar.
- Marks/Grades in the coursework, including Research Methodology courses shall be finalized after a combined assessment by the RAC and the Department and the final marks/grades shall be communicated to the BRS through DRC.

### **5.4 Attendance**

- Research scholars shall be required to attend lectures (coursework) and participate in seminars arranged in the Department during the programme. The minimum percentage of lectures to be attended during the coursework will be two-thirds of the lectures delivered in all courses, individually.

### **5.5 Certificate of Completion of Coursework**

- The M.Phil. Committee/DRC shall satisfy itself that each research scholar has completed the requirement of coursework. The Head of the Department (HOD) shall provide to the student a certificate of completion of coursework and names of courses opted by each student. If a research scholar fails to qualify the coursework, he/she may be allowed to reappear only once, within six months of the declaration of result. If the result is still found unsatisfactory, the M.Phil. Committee/DRC may recommend cancellation of his/her registration. This may be reported to the BRS in case of Ph.D. scholars. Under special circumstances (e.g. medical reasons), a final decision may be taken by BRS on the recommendation of the DRC for Ph.D. scholars and M.Phil. Committee in case of M.Phil. scholars.

### **5.6 Exemption from Ph.D. Coursework**

- Research scholars already holding M.Phil. Degree or equivalent M.Phil. Degree (equivalence to be determined by DRC) and admitted to the Ph.D. programme, or those who have already completed the coursework in M.Phil. of University of Delhi and have been permitted to proceed to the Ph.D. programme, may be exempted by the DRC from the Ph.D. coursework. All other research scholars admitted to the Ph.D. programme shall be required to complete the Ph.D. coursework prescribed by the Department.

## **6. Duration of M.Phil./Ph.D. Programme**

### **6.1 Title and draft of M.Phil. Dissertation/Ph.D. Thesis**

- After admission to Ph.D. programme, the research scholar in consultation with the Supervisor, may propose a tentative title for Ph.D. thesis within one year. However, the final title for the Ph.D. thesis must be decided at the time of the Pre-Ph.D. presentation. The final title will be subject to approval of the DRC and the BRS.
- Upon satisfactory completion of coursework, and obtaining the marks/grade prescribed as the case may be, the M.Phil./Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the University based on UGC Regulations, 2016.
- The thesis must be a piece of original research work characterized either by the discovery or new facts, or by a fresh interpretation of facts or theories. In either case, it should show

the research scholar's capacity for critical examination and judgment. It must be satisfactory as far as its language and presentation are concerned.

## **6.2 Span period**

- M.Phil. Programme shall be for a minimum duration of two (2) consecutive semesters/one year and a maximum of four (4) consecutive semesters/two years.
- Ph.D. programme shall be for a minimum duration of three years from the date of registration, including coursework and up to a maximum of six years.

## **6.3 Extension beyond Span Period**

- The M.Phil. Committee may grant an extension of up to one year, on the recommendation of the Supervisor and the RAC.
- For Ph.D. scholars, beyond a period of six years, a six-month extension can be granted by the BRS on written justification for the delay by the research scholar. The request of the research scholar must be recommended by the Supervisor and DRC of the respective Department.
- Only in exceptional cases, with specific recommendations and justification from the Supervisor, DRC and BRS, the Vice Chancellor may recommend extension beyond six and a half years in case of Ph.D. scholars.

## **6.4 Relaxation to Women candidate and Persons With Disability**

- Women candidates and Persons With Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration.

## **7. Pre-M.Phil./Pre-Ph.D. Presentation**

- Prior to submission of the thesis, the research scholar shall make a Pre-M.Phil./Pre-Ph.D. presentation in the Department, before the RAC, wherever applicable, which shall also be open to all faculty members and other students. The feedback and comments obtained from them may be suitably incorporated in the draft dissertation/thesis in consultation with the RAC.
- The final title for the Ph.D. thesis must be decided at the time of the Pre-Ph.D. presentation.
- The research scholar shall submit the thesis after pre-Ph.D. presentation within a period of six months.

## **8. Submission of M.Phil. Dissertation/Ph.D. Thesis**

### **8.1 Requirement of Research Publication and Presentation in Conference/Seminar**

- A Ph.D. research scholar shall publish at least one research paper in a refereed journal before submission of the thesis and produce evidence for the same in the form of an acceptance letter or a reprint. This has to be certified by the Supervisor and the HOD.
- M.Phil. scholars shall present at least one paper (oral or poster) in conference/seminar before the submission of dissertation.
- Ph.D. scholars shall make two paper presentations (oral or poster) in conference/seminars before the submission of the thesis and produce evidence for the same in the form of a presentation certificate. This has to be certified by the Supervisor and the HOD.

### **8.2 Content of Ph.D. Thesis**

- The research scholar may incorporate in the thesis the contents of any work published by him/her on the subject during the course of his/her Ph.D. and shall indicate the same in the thesis. If any content of the published work has been incorporated in the thesis of one of the authors, then the same content cannot be included by any of the other authors for award of any degree or diploma.

### **8.3 Request for Submission of M.Phil. Dissertation/Ph.D. Thesis**

- Request for submission of Ph.D. thesis shall be forwarded by the Supervisor to the HOD for consideration by the DRC. The following documents are required to be submitted:
  - (a) Approval of the final Ph.D. thesis title from the DRC and BRS.
  - (b) Certificate from the HOD regarding pre-Ph.D. presentation.
  - (c) Abstract of the thesis including Table of Contents.
  - (d) Notice of submission in the prescribed form.

### **8.4 Action by HOD, DRC and BRS**

- The HOD shall convene a meeting of the DRC within one month of submission of the abstract with Supervisor of the thesis as an invitee.
- The DRC in the meeting shall recommend a panel of a minimum of six external examiners, who shall be eminent scholars and specialists in the area of the thesis, normally not more than one from the same Department of a particular University/Institute.
- The concerned BRS shall review the recommendations of the DRC and forward them to the Examination Branch within one month of the submission of the thesis.
- In order to avoid delay, the Chairman of the respective BRS may approve the panel of examiners duly recommended by the concerned DRC and report the same, in the next meeting of BRS.

### **8.5 Plagiarism Check for M.Phil. Dissertation/Ph.D. Thesis**

University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 will be applicable for M.Phil. and Ph.D. Research Scholars.

- Each thesis will go through a Plagiarism Check that will be verified by the University Library before submission. The certificate of verification given by the library has to be submitted along with the thesis at the time of thesis submission in the Examination Branch. The thesis has to be submitted within 30 days from the date of plagiarism check.
- While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. The HOD shall countersign these certificates for submission of the M.Phil. dissertation/Ph.D. thesis.
- In case of resubmission, the same procedure may be followed.

### **8.6 Requirement of Shodhganga**

The research scholar shall also attach a Student Approval Form in the format provided by the UGC for hosting and distributing their thesis in digital format in 'Shodhganga', or any other server designated for this purpose by UGC.

### **8.7 Number of Copies of M.Phil. Dissertation and Ph.D. Thesis**

- The Ph.D. research scholar shall submit four double sided typed and printed (03 softbound & 01 hardbound) copies of the Ph.D. thesis to the Examination Branch of the University.
- The M.Phil. research scholar shall submit four double sided typed and printed (03 softbound & 01 hardbound) copies of the M.Phil. Dissertation to the concerned Department.
- The softcopy of the Ph.D. thesis must be submitted in specified media (CD/DVD) in specified formats (Open Office/MS office Document Format, Tex. Latex, PDF or another standard Format) that are convertible to PDF file and along with corresponding PDF file. This must indicate name of Research Scholar, Department and Signature of Supervisor.

### **8.8 List of documents required at the time of submission of the Ph.D. thesis.**

A comprehensive list and required forms/templates are given in the examination portal (can also be collected from Exam-IV) for submission of Ph.D. Thesis. Kindly check the examination branch portal for any changes from time to time.

List of documents required at the time of submission is as follows:

- (a) Thesis Submission form
- (b) Registration Letter from BRS (BRS memorandum of Ph.D. registration)
- (c) Joining Report
- (d) Registration Confirmation Letter from BRS (after completion of coursework)
- (e) Extension Letter (if any)
- (f) Supervisor Change letter (if required)
- (g) Copy of the approval of the final Ph.D. thesis title from the DRC/BRS.
- (h) Certificate from the HOD regarding successful completion of Pre-Ph.D. presentation along with date of presentation
- (i) Soft and hard copy of abstract along with the table of content of the thesis duly signed by Research Scholar, Supervisor and HOD
- (j) No dues certificates from the Library, Health Centre and Computer Centre, etc.
- (k) Certificate of Originality to be incorporated in Thesis (Duly signed by the Research Scholar, Supervisor and HOD)
- (l) Student Approval Form to be incorporated in Thesis (Duly signed by Supervisor with Seal)
- (m) Plagiarism Verification Report Duly Signed by Supervisor/Head and Librarian with Seal
- (n) One research paper in refereed journal should be published/ accepted at the time of thesis submission. Attach Hard Copy of Published Paper/Acceptance Letter (with copy of accepted paper with ISSN No). This has to be certified by the Supervisor and the HOD. The Student Name in the publication should be same as that registered in University of Delhi.



- (o) Evidence of two paper presentations (oral or poster) in conference/seminars before the submission of the thesis in the form of a presentation certificate. This has to be certified by the Supervisor and the HOD.
- (p) Supervisor Certificate for Exclusion of Self Published Work, With Sign & Seal of Supervisor/HOD.

### **8.9 List of documents required at the time of submission of the M.Phil. dissertation.**

- (a) Extension Letter (if any)
- (b) Supervisor Change letter (if required)
- (c) No dues certificates from the Library, Health Centre, Computer Centre etc.
- (d) Plagiarism Verification Report Duly Signed by Supervisor/Head and Librarian with Seal
- (e) Evidence of at least one paper presentation (oral or poster) in conference/seminar before the submission of dissertation and produce evidence for the same in the form of a presentation certificate. This has to be certified by the Supervisor and the HOD.
- (f) 01 CD's (Chapter wise in PDF) Write Name, Department & Supervisor Sign on CD.

## **9. M.Phil. Dissertation/Ph.D. Thesis Evaluation and Viva-voce Examination**

In case of issues related to Intellectual Property Rights, necessary patents shall be filed before disclosure in seminar.

### **9.1. M.Phil.**

- The M.Phil. dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the University.
- The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by Research Supervisor and at least one external examiner who is not in the employment of the University together, and shall be open to be attended by Members of the RAC, all faculty members of the Department, other research scholars and other interested experts/researchers.
- If the evaluation report of the external examiner in case of M.Phil. dissertation is unsatisfactory and does not recommend viva-voce, the Department shall send the dissertation to another external examiner and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- An open viva-voce by the M.Phil. Scholar may also be done through Skype/Videoconferencing, if required.

### **9.2. Ph.D.**

- The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Supervisor and at least two external examiners, who are/were not in employment of the University, of whom one examiner may be from outside the country. Those who have retired from the University of Delhi, may not be appointed as external examiners.
- The examiners may (i) recommend that the degree be awarded; (ii) recommend that the degree be awarded subject to corrections/revision being made in consultation with the Supervisor before viva-voce; (iii) ask for resubmission of the thesis or (iv) reject the thesis.

- The Supervisor will provide a general report and a technical report based on the comments of all the examiners duly signed by the Supervisor and the HOD to the Examination Branch. Anonymous reports of the examiners should be shared with the research scholar only for the purpose of revision.
- The public viva-voce of the research scholar to defend the Ph.D. thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for the conduct of the viva voce examination.
- If the evaluation report of the external examiner in case of Ph.D. thesis is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree. Communication with external examiners will be coordinated only by the Examination Branch.
- The viva- voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the RAC, all faculty members of the Department, other research scholars and other interested experts/researchers.
- The open viva-voce by the research scholar may also be done through Skype/Videoconferencing, if required.
- If the thesis has undergone revision after external evaluation, the soft copies of the final version of the Ph.D. thesis, after revision, must be re-submitted to the Examination Branch. In order to ensure that the soft copy is complete and exact replica of the print version accepted for award of Ph.D., the Department Supervisor/Head must authenticate the softcopy submitted by the scholar.
- Following successful completion of the evaluation process and the announcement of the award of the M.Phil./Ph.D. degree, the University shall submit an electronic copy of the M.Phil. dissertation/Ph.D. thesis to the Examination Branch to be submitted to INFLIBNET for hosting the same to make it accessible to all Institutions/Colleges.
- Prior to the actual award of the degree in convocation, the University may issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

## **10. Leave Permissible to Research Scholars**

### **10.1 General leave and permission to pursue research related to Ph.D. work away from the University of Delhi**

- Any leave of more than thirty days from research work would require prior intimation and approval of the DRC and the BRS or the M.Phil. Committee. This period shall be counted in the total duration for submission of thesis.
- On the recommendation of the Supervisor and the DRC, the BRS may permit the research scholar to be away from the University of Delhi to pursue research related to Ph.D. work for not more than two semesters after completion of the coursework.
- The Supervisor must report absence from research work by research scholar due to illness, maternity leave or other circumstances to the M.Phil. Committee or DRC and BRS. Negligence of research work or any other acts of indiscipline must be recorded and reported to the DRC and the concerned BRS. On receipt of a complaint, the M.Phil.

Committee/BRS may take appropriate action against the research scholar, including cancellation of his/her registration.

### **10.2 Maternity Leave/Child Care Leave**

- Women scholars may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil./Ph.D. for up to 240 days. This period shall not be counted in the total duration for submission of M.Phil. dissertation/Ph.D. thesis.

### **10.3 De-registration**

- Only in exceptional cases, a research scholar may be allowed to de-register from the Ph.D. programme after successful completion of minimum duration of three years on the recommendation of the DRC and the approval of the BRS. The research scholar shall re-register within a period of three years. The Ph.D. thesis should be submitted within such period that the period of initial registration and re-registration does not exceed the duration of the Ph.D. programme.

**For details and clarifications kindly refer to Ordinance VI. For all matters related to M.Phil./Ph.D. Programme, the Ordinance VI and any of its amendments thereof will prevail.**