

Ordinance OA-19A governing the Degree of Doctor of Philosophy (Ph.D.) (under Section 24(1) of the Goa University Act, 1984) (Applicable for candidates registering from the academic year 2017-18 onwards)

Preamble:

In order to regulate the minimum standards and procedures for the award of a Ph.D. Degree in conformity with the University Grants Commission Regulations dated 05 May 2016 and subsequent guidelines, the following Ordinance is promulgated to make provisions for Ph.D. Programme in different faculties of Goa University.

A Ph.D. Degree is awarded for original work and for academic attainment in a chosen field, on the basis of scientific investigations. The relevance of applied developmental/ interdisciplinary work of innovative nature is equally recognized. The University desires that the evaluation of a Thesis for the award of a Ph.D. Degree by the University is based on the quality of research work embodied in the Thesis submitted by the candidate.

OA-19A.1 Eligibility

- (i) A candidate who has obtained a Master's Degree or a professional Degree declared equivalent to the Master's Degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate, or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed), or an equivalent Degree 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible to register for the Ph.D. Degree.
- (ii) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be given for those belonging to SC/ST/OBC(non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's Degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace marks.
- (iii) Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completed the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated Programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, 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 Commission from time to time.
- (iv) The subject of research shall be that which relates to the main branch/ branches of knowledge chosen by the candidate for the post-graduate Degree. However, a candidate wishing to conduct research in a subject of an interdisciplinary character shall also be eligible for registration. The applications of such candidates shall be considered by following the procedure set out under OA-19A.2(ii).

- (v) Candidates of Goa University whose M.Phil Dissertation has been evaluated and Viva is pending, shall be eligible to apply for the Ph.D. Programme.
- (vi) Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. Programme.

OA-19A.2 Admission Procedure:

- (i) Admission to the Ph.D. Programme shall be through an Entrance Examination.
- (ii) **(Notified on 31st March, 2021)** A candidate desirous of seeking registration for a Ph.D. Degree of this University shall have to obtain a minimum of 50% marks (5% relaxation for SC/ST/OBC(non-creamy layer)/ Differently-abled candidates, or other categories of candidates as specified by the State Government) to qualify in the Entrance Test conducted for admission during the period July/August. The number of seats for the Ph.D. Programme in respective subject, along with the name of the Guides and area of research shall be notified by the University.
- (iii) **(Notified on 31st March, 2021)** The Entrance Test for admission to the Ph.D. Programme shall consist of two Papers: One general aptitude test (on lines with CSIR-UGC/UGC NET) and the other on the subject in which the candidate desires to take admission. The procedure for the tests and exemption shall be as provided in subsections below.
 - a. Paper I shall be a Research Aptitude Test on the lines of the CSIR-UGC NET examination and shall be different for students of the Faculties of Science and for students of Faculties of Languages and Humanities, Commerce, Management Studies, and Social Sciences. The Paper shall be of two hours duration having multiple choice questions (MCQ) and carry a total of 100 marks.
 - b. Paper II shall be subject specific, of two hours duration and shall carry a total of 100 marks. The Paper shall consist of multiple choice/ objective type questions for 50 marks and theoretical/ descriptive questions for 50 marks. However, in interdisciplinary Programmes such as Marine Science, Paper II shall be set in the respective subject specialization of the candidates. Each candidate is permitted to answer questions only from the respective specialisation.
 - c. **(Notified on 31st March, 2021)** Syllabi for the Papers shall be as per the syllabi of CSIR-UGC/UGC NET examinations in the respective subject.
 - d. **(Notified on 31st March, 2021)** In case of subjects which are not included under NET, such as those Subjects under Life Sciences, the concerned Department/School shall set the syllabus which shall be notified while announcing the admission.

- e. **(Notified on 31st March, 2021)** Admission to the Ph.D. Programme shall be Six times a year: In August through the Goa University Ph.D. Entrance Test (GUPET) and every two months thereafter for those candidates who are exempted from Entrance Test. However, the facility is also extended to those Candidates who are successful in the GUPET of August of the same academic year or the preceding academic year. Applications shall be invited for the admissions through a rolling advertisement notified on the University Website.
- f. **(Notified on 31st March, 2021)** The Entrance Test which shall be of 70 marks shall be followed by a personal interview in the concerned Department/School. The recognized Guides of the concerned Department/School of Goa University shall be the members of the Departmental Selection Committee. In case of Subjects not offered at the University Departments/Schools, the personal interview shall be conducted at the respective Research Centres. However, if the same subject is offered in more than one Centre, the personal interview shall be conducted jointly in one of the Centres. The number of vacancies shall depend on the number of existing students per faculty member, the available specialization among the Guides.
- g. **(Notified on 31st March, 2021)** While grading the candidates for admission to Ph.D. Programme, a weightage of 70% shall be given for the Entrance Test and 30% to the performance in the Interview/Viva-Voce. A Candidate shall be required to score a minimum of 50% marks at the Interview. (5% relaxation for SC/ST/OBC (non-creamy layer)/ Differently-abled Candidates, or other categories of Candidates as specified by the State Government).
- (i) **(Notified on 31st March, 2021)** The Candidates who have cleared any of the National or State Level Tests like NET, SET, GPAT, GATE etc. shall be admitted by normalizing their marks/score/ percentage in such tests with respect to 70% component of GUPET.

For normalizing the marks obtained in National Level and State Level Tests, the following formula shall be used.

$$\text{Normalized \%Marks} = 70 - [0.45 \times (100 - \text{Obtained \%Marks})]$$

Provided that in case of the Candidates who do not possess certificates of the National or State level tests / fellowships mentioned above showing the score earned by the Candidates, the percentage score obtained by them at Master's level shall be considered for normalizing.

In case of Candidates with GPAT score, obtained marks shall be calculated by dividing the GPAT score by 5 and then normalised using the above formula.

In case of Candidates with M. Phil. normalized marks shall be equal to percentage marks scored by the candidate times 0.7.

- (ii) **(Notified on 31st March, 2021)** The actual marks scored by candidates at the GUPET shall be treated as normalised marks.

(iii) **(Notified on 31st March, 2021)** There shall be two rounds of interviews; the first one for candidates who have qualified the JRF/ M.Phil/NET/SET/GATE/GPAT Examinations and the second one for those who have answered the GUPET and Senior Citizens.

(iv) **(Notified on 31st March, 2021)** Senior Citizens shall be deemed to have scored 50% marks in the GUPET.

(v) **(Notified on 31st March, 2021)** Candidates who have been selected for admission to the Ph.D. Programme shall be placed under category A.

(vi) **(Notified on 31st March, 2021)** Candidates who have not been selected for admission to the Ph.D. Programme shall be placed under category B.

(vii) **(Notified on 31st March, 2021)** The interview component shall consider the following aspects for marking:

Whether,

(a) the candidate has basic knowledge of the chosen field of study;

(b) the candidate possesses competence for the proposed research;

(c) the research work can be suitably undertaken in the Department/School concerned;

h. **(Notified on 31st March, 2021)** Subsequent to the interview, the Department/ School/ Research Centre shall forward the names of the candidates under Category A and B, the marks obtained by them and names of assigned guides and co-guide (if any) to the Academic Division of the University.

i. **(Notified on 31st March, 2021)** The Lists of selected candidates shall be placed before the University's Ph.D. Admission Committee for consideration. The recommendations of the Committee shall be approved by the Vice-Chancellor and thereafter the lists so approved shall be published on the University website.

(Notified on 31st March, 2021)

(iv) a. Exemption from the Entrance Test: Candidates who have qualified in the examinations of apex bodies such as CSIR-UGC/UGC NET JRF/ lectureship, DBT-JRF, SET/SLET examination of different Indian States/ GATE with a valid certificate, those having DST Inspire fellowship, or those awarded M.Phil. Degree as per the UGC guidelines shall be exempted from appearing for the Entrance Test.

b. **(Notified on 31st March, 2021)** Senior Citizens who are otherwise qualified shall also be exempted from appearing at the Ph.D. Entrance Test. Such candidates shall be eligible to appear for an interview in the concerned Department. However, they will not be issued an Equivalence Certificate.

c. **(Notified on 31st March, 2021)** deleted

- (v) **(Notified on 31st March, 2021)** Application for inter-disciplinary research and for change of Subject/ Faculty shall be considered on the basis of the candidate's proven ability and the results of the Entrance Test/qualifying CSIR-UGC/ UGC NET examination in any allied subjects, which shall be drawn up and notified by the University, followed by a personal interview in the Department, where the registration is sought.

(Notified on 31st March, 2021)

- (vi) The Department/School Selection Committee shall formally allocate a selected candidate to the respective Guide depending on the number of vacancies announced by the Guide. In case of a tie in scores, preference shall be given to those who have been awarded JRF in the CSIR-UGC/UGC NET examination, followed by DST Inspire, M. Phil degree holders, NET, SET, GPAT over GUPET qualified candidates in that order. If the tie still persists then interview performance will be used as a tiebreaker.
- (vii) Only the predetermined number of students declared by the University on its website, shall be admitted to the Ph.D. Programme in the respective Departments.
- (viii) The admission to the Ph.D. Programme shall be based on the State Reservation Policy.
- (ix) A candidate from another University seeking Ph.D. registration in this University shall obtain a provisional statement of eligibility from this University by applying for the same in the prescribed form and paying the prescribed fees.
- (x) A list of teachers/ scientists recognized by the University as Guides for the Ph.D. Programme in various Subjects together with the names of the University Departments/ Research Centres to which they are attached shall be available for reference in the University Office and on the University website.
- (xi) **(w.e.f. 15th June, 2018)** Every candidate shall have to reside within the territorial jurisdiction of Goa University during the first three years of the period of research leading to Ph.D. Degree. However, on the recommendation of the Departmental Research Committee (DRC), a confirmed candidate may be permitted by the Vice-Chancellor to reside outside the jurisdiction of Goa University for the conduct of research work.
- Candidates under FIP/Study Leave shall have to obtain prior permission of the Government before placing the matter for approval of the Vice-Chancellor.
- (xii) **(w.e.f. 15th June, 2018)** In special cases, the Academic Council may permit a confirmed candidate to reside outside the territorial jurisdiction of Goa University on the recommendation of the Departmental Research Committee (DRC), the HOD and the

Dean of the concerned faculty.

(Notified on 25th October, 2021)

(xiv) Transfer/Relocation

- (b) In case of relocation of a Ph.D. Research Scholar or Research Guide due to reasons such as marriage, change of job etc. The research data may be transferred to Goa University/Research Centre's provided all other conditions of the Ordinance are followed in letter and spirit, and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency.
In such a case, the Scholar shall have to give due credit to the Guide from the parent Institution for that part of the research completed.
 - (c) In the event of a Guide leaving Goa University, S/he may be permitted to transfer the Ph.D. Research Scholar to her/his new place of work provided the Ph.D. Research Scholar has no objection to the same.
 - (d) In case, a recognized Guide of Goa University affiliated to a Research Centre/ Cluster is appointed as a Faculty member of Goa University's School/ Department or vice versa, s/he shall be permitted to transfer the Ph.D. Research Scholar to her/his new place of work. If the destination location is not a recognized Research Centre then the Guide shall be permitted to continue to guide the scholar at the parent Institution.
- (xv) A list of students registered for the Ph.D. Programmes including the name of the registered candidate, topic of her/his research, name of her/his Guides, Co-Guide, if applicable, and date of registration shall be maintained on the university website on a year to year basis.

OA-19A.2A Admission Procedure for Foreign Students: (w.e.f.14th March 2018)

- (i) Each Department/Centre shall announce Ph.D seats for foreign students, based on subject areas, on a supernumerary basis, in January and July/August. The supernumerary seats will be about 15 percent of total seats offered, calculated as follows:

$$N=(t \times 0.15) - f$$

Where 'N' is number of supernumerary Ph.D. seats available to foreign students/ applicants,

't' is the total number of Ph.D. seats in the Department/Centre (calculated on the basis of 8 seats per Professor, 6 seats per Associate Professor and 4 seats per Assistant Professor), and

'f' is the number of supernumerary seats already filled.

- (ii) The foreign students may apply either through their Government/ICCR Scholarship or on a self-financing basis. In case they apply on a self-financing basis, they shall submit proof of having sufficient means of meeting the financial costs of their entire education (such as bank statement of the students or their parents/ guardians).
- (iii) The foreign students applying from their respective countries shall apply 'in absentia' and appearing for the Entrance Test and Personal Interview shall not be mandatory for them.
- (iv) The foreign students shall send the application to the Registrar, Goa University with

copies to the Head of the Concerned Department/Centre and the Director, International Office, Goa University giving full details of the subject/area applying for, a preliminary research proposal giving the Objectives, Scope, Hypothesis, Methodology and Tentative Chapterisation of about 1000 words and certified scanned copies of their School/College/Degree certificates.

- (v) In case the Department/Centre gives in principle approval for accepting the student, the Academic Section shall decide on the issue of a letter of Provisional Eligibility, which can be used by the student to initiate his/her visa formalities.
- (vi) After the admission to the Ph.D. programme, the foreign students shall be guided by the same Ordinance, rules and framework as applicable to other students of Goa University.

OA-19A.3 Registration.

- (i) The candidates whose admission procedure is completed as laid down in OA-19A.2, shall be provisionally registered, through a process as specified below.
- (ii) The candidate shall submit the application through the proposed Guide and Co-Guide, as the case may be, under whose supervision the candidate proposes to do research, to the Head of the Department /Research Centre.

In the case of Research Centre the application(s) shall be sent to the concerned Department of the University.

- (iii) Provisional registration shall be given to the candidate from the date of payment of fees.

OA-19A.4 Departmental Research Committee (DRC) and its Functions.

- (i) There shall be a Departmental Research Committee for each Ph.D. scholar. The composition of DRC will be as follows:

(a)	Guide	Chairperson
(b)	Co-Guide (if applicable)	Member
(c)	Two Subject Experts	Members

- (ii) The DRC shall have the following functions:

- (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 she/he may have to do.
- (c) To periodically review and assist in the progress of the research work of the Research Scholar.

- (iii) Each DRC shall be held in the concerned Departments of the University. However, for subjects not offered at the University Departments, the DRC shall be held in the respective Institution.

- (iv) A list of a minimum of four Subject Experts shall be submitted by the Guide through the Head of the respective Department to the Dean of the Faculty. Among them, two shall be from the concerned Department of Goa University. The list shall be forwarded to the Vice-Chancellor to select the subject experts, which shall include at least one

expert from the concerned Department. In case of non availability of experts from the concerned Department, the Guide may suggest experts from sister departments.

- (v) In case of interdisciplinary subjects, the expert can be from any related Department of the University having expertise in the subject.
- (vi) The proposal of the research work shall be finalized by the Research Scholar in consultation with the research Guide/s within six months of provisional registration, followed by an oral presentation before the DRC. A write-up of about 1000 words incorporating the following points shall be enclosed with the application.
 - 1. Area/Specialization of the research work.
 - 2. Title of the proposed research
 - 3. A thorough literature review and the relevance of the research in the present context
 - 4. Objectivities of the research work.
 - 5. Proposed Methodology and expected outcome
 - 6. Schedule of activity (Programme chart)
 - 7. Facilities available to carry out the research in the Department/ Research Centre/ Research Institution.
- (vii) The DRC shall assess the suitability of the research proposal for the Ph.D. Degree and assist in the finalization of the Research Topic.
- (viii) To confirm the registration, the Research Scholar shall be required to submit progress report of the first year and make a seminar of the work done on the basis of the objectives of the proposal with justification for the selection of the proposed topic/area of research, before the DRC and other interested faculty members/Research Scholars/students at the end of the first year.

(Amended on 24th June, 2022)

- (ix) a) The Research Scholar is required to undergo successfully the following three Theory Courses:
 - (i) Research Methodology (3 credits)
 - (ii) Advanced Theory related to the proposed research work in the chosen field of research (4 credits).
 - (iii) Research and Publication Ethics (RPE) (3 credits).
(1 Credit = 12 contact hours)
- b) Research Guides may prescribe one additional Course to their candidates if required.
- c) The syllabus for the Course on Research Methodology (a-(i) above) shall be prepared and recommended by the respective BoS for the approval of the Academic Council. The syllabus of Advanced Theory Course (a-(ii) above) shall be prepared by the Guide and approved by the DRC. The syllabus for the Course on Research and Publication Ethics (RPE) shall be based on UGC syllabus, recommended by the BoS in Interdisciplinary Courses and approved by the Academic Council.
- d) The Research Methodology Course shall be taught by one or more Research Guides as decided by the School/ Departmental Council/ Research Centre. The Course on Advanced Theory shall be taught by the concerned Guide. The Course on RPE shall be taught by the interdisciplinary faculty members having teaching experience of more than 10 years and Ph.D. in the relevant subject areas. The faculty member teaching the Course shall be Coordinator and if more than one faculty member is involved in

teaching a Course, one of them shall be appointed as the Coordinator of the Course.

- e) Evaluation shall consist of both Intra Semester Assessment (ISA) and End Assessment (SEA) for 60 and 40 marks respectively.
- f) The Question Paper shall be prepared by the Coordinator in consultation with other faculty members, if any, who are involved in teaching that Course.
- g) The mode of ISA may include among others, Written/Oral, Open/Closed book, Scheduled/ Surprise, Objective / Multiple-choice, Short-answer type, ESSBy type, Seminar, Assignment, Experimental work, Fieldwork, Viva-Voce, Peer group assessment, Class participation. The SEA shall be a Written Examination.
- h) Evaluation of these Courses shall be by the faculty members who taught the Course. The Coordinator shall be responsible for compiling ISA and SEA marks. Deans of Schools/ Heads of the Departments/ Concerned authorities of Research Centres shall forward the certified ISA and SEA marks to the Controller of examination within 10 days from the conduct of the last examination.
- i) The Notification for the registration of the Courses shall be done at the level of the School/Department. The Marks/Grades obtained shall be forwarded to Controller of Examinations who shall issue the Mark sheet to the Candidates.
- j) These Courses shall be completed within one year from the date of registration. The Candidate shall obtain a minimum of 55% of marks or its equivalent Grade in the 7-point scale (or an equivalent Grade/CGPA in a point scale wherever grading is followed) in the Course work to be eligible to continue the Programme. In case a Candidate is unsuccessful at the examinations in two successive attempts, the provisional registration stands cancelled.
- (x) A Research Scholar possessing M.Phil. or equivalent Degree, of this University or of any other recognized University shall be exempted from the three Courses specified under OA19A.4(ix) above. However, s/he shall be required to give a seminar, as in the case of other students.
- (xi) The Research Scholar's registration of the Ph.D. Programme shall be confirmed by the DRC from the date of provisional registration, only after the Research Scholar qualifies in the above courses and in the annual seminar presentation.
- (xii) Each Research Scholar shall appear before the DRC once in six months to make a presentation of the progress of her/his work for evaluation and further guidance starting from the time of confirmation of registration. The six monthly progress reports shall be submitted in the prescribed format by the DRC to the University through the Head of the Department. At the end of each year, based on the progress, the candidate shall present a seminar before the DRC, which shall be conducted at the University Department or Research Centre for Subjects not offered in the University Departments, and shall be open to all the teachers and students of the Department, affiliated Colleges and recognized Institutions. The DRC shall evaluate the progress of the student and advise on corrections/improvements. The DRC shall recommend continuation of registration or otherwise.
However, in exceptional cases, if the student is unable to be present for the seminar presentation, on the recommendation of the Guide, she/he shall be permitted to present

her/his annual seminar over Skype/video conference.

- (xiii) No Research Scholar shall join any course of study leading to a Degree other than connected with the Ph.D. Programme or appear for any other examination conducted by the Goa University or any other University during the entire period of Ph.D. registration or until the submission of Ph.D. Thesis.
- (xiv) Absence from research work by the Research Scholar due to illness, maternity leave or other circumstances must be communicated to the Guide along with supporting documents for placing before the DRC. The same will be sent through Head of the Department and the Dean of the concerned Faculty, to the Vice-Chancellor.
- (xv) Neglect of research work or any other acts of indiscipline must be recorded and reported to the DRC and to the Dean of the faculty through the Head of the concerned Department. Cases of neglect of research work and indiscipline that include unethical practices such as plagiarism and misrepresentation of data must be reported to the DRC, and through Head and the Dean of the concerned Faculty, to the Vice-Chancellor.
- (xvi) If a Research Scholar fails to submit two consecutive six-monthly progress reports /the reports are unsatisfactory and/or fails to make an annual seminar presentation, the DRC shall recommend cancellation of registration to the Vice-Chancellor.
- (xvii) No Research Scholar, who is full-time, shall undertake any employment during the period of research without the permission of the Guide(s) and the DRC. Such cases shall be reported to the Dean of the Faculty through the Head of the respective Department and the registration thereafter, shall be converted to part-time.
- (xviii) Before doctoral Thesis is submitted, the research findings will be discussed in the DRC. In case of issues related to Intellectual Property Rights, necessary patents shall be filed before its disclosure in the pre-synopsis presentation. The Guide(s) and the Research Scholar shall provide an undertaking at the beginning, or whenever deemed fit, that they will maintain the confidentiality of the research till the patent is filed and obtained.

OA-19A.5 Period.

- (i) **(Notified on 21st January, 2019)** Full-time Research Scholars shall have to conduct research for a minimum period of six terms (3 years). In exceptional cases, the minimum period of registration may be reduced on the recommendation of the DRC and approval of the Academic Council. The Research Scholar shall have to submit the Thesis within ten terms (5 years). However, a Research Scholar can apply for extension of registration, giving reasons, through the Guide(s) to the DRC, which may recommend the extension to the Vice- Chancellor for a period of two terms. The registration of a Research Scholar, who is not able to submit the Thesis within 12 terms (6 years) from the date of registration, shall stand terminated and the Research Scholar shall have to apply for registration afresh. However, under exceptional circumstances, the Vice-Chancellor on the recommendation of the DRC may grant a further extension of a maximum period of six months to submit the Thesis.

- (ii) **(Notified on 21st January, 2019)** Part-time Research Scholars shall have to conduct research for a minimum period of six terms (3 years). In exceptional cases, the minimum period of registration may be reduced on the recommendation of the DRC and approval of the Academic Council. The Research Scholar shall have to submit the Thesis in not more than twelve terms (6 years). However, the Research Scholar can apply for extension of registration giving reasons through the Guide(s) to the DRC, which may recommend the same to the Vice-Chancellor, for a maximum period of two terms. However, under exceptional circumstances, the Vice-Chancellor on the recommendation of the DRC may grant a further extension of a maximum period of six months to submit the Thesis.
- (iii) **(Notified on 21st January, 2019)** Women candidates and persons with Disability (more than 40%) shall be permitted a relaxation of two years in the maximum duration.
- (iv) **(Notified on 21st January, 2019)** Women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of the Programme for up to 240 days.
- (v) **(Notified on 21st January, 2019)** The registration of a Research Scholar, who is not able to submit the Thesis within the stipulated extension period, shall stand terminated. The Research Scholar shall have to apply for registration afresh, if s/he so desires.

OA-19A.6 Guides.

- (i) The Eligibility criteria for being a recognized Guide for the Ph.D. Degree shall be as specified under Ordinance OA – 2 relating to recognition of persons as teachers (Post Graduate, M.Phil and Ph.D. Degree) of the University. All recognized Guides of the University shall be eligible to guide Research Scholars in the subject/s in which they are recognized.
- (ii) A Research Guide, who is a Professor or of equivalent cadre in case of Research Institutions, shall guide not more than eight Ph.D. scholars at any given time; an Associate Professor, or equivalent cadre in case of Research Institutions, shall guide not more than six Ph.D. scholars at any given time, and an Assistant Professor or equivalent cadre in case of Research Institutions, shall guide not more than four Ph.D. scholars at any given time.
- (iii) In cases where the Ph.D. research topic is of an interdisciplinary nature, a Co-Guide in consultation with the Guide shall be appointed from other Departments of the same Institute or from other related recognized Centres. However, the administrative responsibility of the smooth conduct of the research work shall remain with the Guide. The final certification of the Thesis shall be done by both the Guide and the Co-Guide.
- (iv) **(w.e.f.14th March 2018)** A Guide who is to superannuate within a period of 3 years, shall be permitted to register upto a maximum of three research scholars, provided there is a Co-Guide, and that the superannuating Guide and the Co-Guide shall submit a joint undertaking at the time of admission of the candidate, stating that they shall abide by the following conditions :
 - (a) The responsibility of the Guide to supervise his/her students in such cases shall cease

on the day of his/her superannuation, and the Co-Guide shall assume full responsibility as the Guide of such student(s).

(b) The Co-Guide, at the time of registration, shall not include the number of such candidate(s) in his/her quota of research scholars permitted.

(v) A Guide may additionally supervise as Co-Guide, a maximum of eight Research Scholars for Ph.D. at a given time.

(Notified on 24th June, 2022)

(vi) Teachers who are recognized as Research Guides in more than one subject shall guide 'not less than 50%' of the students in the discipline in which they are appointed.

OA-19A.7 Fees.

- (i) All fees to be paid by the Research Scholar towards the Ph.D. Programme shall be as per the relevant Ordinances / Notification issued by the University from time to time.
- (ii) Research Scholar shall be required to pay the prescribed fees annually to continue their Registration for the Programme, including the period of leave/absence.
- (iii) The fees for the Programme shall be paid until the student submits her/his final Thesis. In such cases Research Scholar shall be permitted to pay fees on a pro rata basis for a period of three/six/nine months instead of the entire annual fees.
- (iv) **(w.e.f.15th March 2018)** Tuition fees for candidates who register for Ph.D. program after superannuation and for senior citizens shall be waived.

OA-19A.8 Thesis submission.

- (i) A Research Scholar shall publish the research findings of the Ph.D. work, with at least one research paper in a refereed journal, evidenced by an acceptance letter/pre-print/ re-print of the paper, and present two papers in conferences/seminars, evidenced by attendance/ participation certificate, before the pre-synopsis presentation.

It shall be mandatory for all Research Scholars from Research Centres, to include the name of Goa University, and the concerned Department of Goa University where applicable, in all publications from the Thesis.

- (ii) The Research Scholar shall give a pre-synopsis seminar before the DRC. The Guide shall invite members of the Departmental Council/Research Centre, Research Scholars/students for the seminar. If the DRC is satisfied that the work carried out is adequate for the award of Ph.D. Degree, the Research Scholar shall be permitted to submit the Synopsis. During the pre-synopsis presentation, the Research Scholar may be permitted to make minor changes in the title of the Thesis.
- (iii) The Research Scholar shall have to submit the Synopsis not later than two months from the date of the pre-synopsis presentation. She/he shall submit through the Guide, a statement giving the title and five copies of Synopsis which shall include bibliography and publications from the Thesis along with an electronic copy and the report of the

plagiarism test as indicated in OA-19A.8(vi) below along with the prescribed fee.

- (iv) **(Notified on 11th February, 2021)** A panel of six subject experts (which may include experts from outside the country) shall be submitted by the DRC, through the Head of the Department/Research Centre/Vice-Dean (Research)/Dean to the Vice-Chancellor. The Expert panel should have at least three Professor/Scientist G grade. Disciplines, where adequate numbers of Professors are not available, Professors may be replaced with Associate Professors having experience of guiding Ph.D. students.

The list submitted should include (a) names, (b) contact details (c) affiliation, and (d) brief description of their academic specialization.

The panel shall not include names of experts.

- Who are in employment of Goa University/ Research Centres/Affiliated Colleges.
- Who are working in the same institution as another expert on the panel.

Prior to forwarding the panel of experts, the Head of Department/Vice-Dean (Research)/Dean of the respective Faculty/School shall examine the suitability of the panel as per the above two clauses. In case the panel of experts is not as per the above two clauses, the same shall be reported to the guide for appropriate action and resubmission.

- (v) **(Notified on 11th February, 2021)** Within three weeks of receipt of the synopsis, the Vice-Chancellor on behalf of the Academic Council/ Executive Council shall appoint two external Examiners to evaluate the Thesis. The Research Guide shall be the internal Examiner. Subsequently, Controller of Examination shall forward digital and/or hard copy of synopsis to Examiners and obtain their consent within two weeks of the receipt of intimation from Goa University. In case the examiner fails to reply within two weeks, the synopsis shall be sent to another expert from the panel.

- (vi) **(Notified on 11th February, 2021)** Before submission of the Thesis the research scholar shall submit to the Academic PG Section, through her/his Guide, a statement giving the title of the Thesis and six printed copies and a digitalcopy of the Synopsis, including bibliography along with publications from the Thesis, the report of the similarity test and the Thesis submission fee receipt.

The Synopsis and Thesis submitted for the award of the Degree shall be subjected to a similarity test with suitable well developed software to discern plagiarism and other forms of academic dishonesty. The copy of the synopsis and Thesis submitted should have the, 'Certificate of similarity test for plagiarism' along with the report issued by the Librarian, Goa University. The Certificate format and first page of plagiarism report can be obtained from the University Library. In case of high similarity index of more than 15%, the same shall be reported to the Guide for appropriate action and resubmission.

- (vii) **(w.e.f.15th March 2018)** The Research Scholar shall submit four printed copies of Thesis and an electronic copy along with the report of the plagiarism test within six

months from the date of submission of the Synopsis, but not exceeding the overall registration period as specified under OA-19A.5. If a Research Scholar is unable to submit the Thesis within six months after submission of the Synopsis, s/he may apply for extension of a maximum of three months through the Guide to the Departmental Research Committee, which may recommend the extension to the Vice Chancellor. However, if the candidate fails to submit the thesis within the extended time s/he shall have to submit a fresh synopsis. The extended period however shall be within the overall registration period.

- (viii) The Thesis shall embody the result of the Research Scholar's research and shall state whether the work is based on the discovery of new facts, or of new relations of facts observed by others, and how the work contributes to the general advancement of knowledge. The Research Scholar shall forward a statement indicating the sources from which the information has been derived and the extent to which the findings are based on the work of others, and shall indicate the portion(s) of the Thesis that are claimed as original. Where a Research Scholar presents a joint work, individual contribution by the Research Scholar shall be clearly stated to distinguish from the portions contributed by other collaborator(s). The statement shall be certified by the Guide and the Co-Guide as the case may be.
- (ix) Each Research Scholar shall submit with the Thesis, a certificate from the Guide(s) that the Thesis submitted is a record of research work done by the Research Scholar during the period of study and that it has not previously formed the basis for the award to the candidate of any Degree, Diploma, or other similar titles. The certificate shall also include a statement from the Guide(s) indicating the extent to which the Thesis represents independent work on the part of the candidate.
- (x) The Research Scholar shall not be permitted to submit in the Thesis, any work for which a Degree or Diploma or other academic award has been conferred on her/him in this or in any other University or Body. She/he however, shall be permitted to incorporate work already submitted for a Degree or Diploma or other academic award in this or in any other University or Body, in a Thesis covering a wide field, provided that any such work that has been incorporated, shall be indicated in a written statement in the prescribed format, to be included in the Thesis.
- (xi) The Thesis shall be printed in English. If the subject matter of the Thesis relates to an Indian/ Foreign Language, it shall be printed in that language, with the prior permission of the DRC. Indian languages shall include languages given in the 8th schedule of the Constitution of India, and Foreign Languages shall include the language in which the research work has been carried out.
- (xii) **(Notified on 11th February, 2021)** Four copies of the Thesis fulfilling all the above said conditions shall be forwarded to the Academic PG Section, who then shall forward it to Controller of Examinations for the evaluation process. During the initial submission, the Thesis shall be in soft bound form and final hard bound copy of the Thesis shall be provided before the Viva-Voce Board. Changes if any, suggested by the examiners shall be incorporated in the Thesis before final binding. A Thesis Approval Sheet in the prescribed format shall be signed by the Board of Viva-Voce Examination and enclosed

along with the Thesis, before submitting the final hard bound copy to the Controller of Examinations.

OA-19A.9 Evaluation.

- (i) As soon as the Thesis is received from the Research Scholar after plagiarism check, the Controller of Examinations shall contact the external Examiners so appointed and after obtaining their consent, forward an electronic copy of the Thesis, if acceptable to them, or dispatch a hard copy, while maintaining strict confidentiality.
- (ii) **(Notified on 11th February, 2021)** The Guide and the two Examiners appointed to evaluate the Thesis as per OA-19A.8(v) shall send an evaluation report in the prescribed format (B-1), in a confidential cover/ password protected email, to the Controller of Examinations, within three months of receipt of the Thesis. Copy of the report shall be sent by the Controller of Examinations to the Guide who shall present the reports in the DRC and the relevant portion of the reports shall be communicated to the research scholar for compliance. Guide /Co-guide, as the case may be, shall be the Convenor of the Viva-Board of Examiners.
- (iii) The report shall include:
 - (a) A critical assessment of the work as embodied in the Thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
 - (b) List of questions to be asked or points to be clarified in the *Viva-Voce* Examination.
 - (c) A definite recommendation as to whether the Thesis attains or not, the required standards for the award of Ph.D. Degree.A checklist containing the overall recommendations on the Thesis, duly filled in.
- (iv) The *Viva-Voce* of the Research Scholar to defend the 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 conducting the *Viva-Voce* Examination.
- (v) If the evaluation report of one of the external examiner is unsatisfactory and does not recommend *Viva-Voce*, the Thesis shall be sent 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 third external examiner is satisfactory. If this report is also unsatisfactory, the Thesis shall be rejected and the Research Scholar shall be declared ineligible for the award of the Degree.
- (vi) **(Notified on 11th February, 2021)** If there is one positive report and the second report is conditional specifying definite recommendations by providing explicit suggestions/ suitable modifications in the Thesis, the student shall be asked to resubmit the Thesis after revising the same in the light of the suggestions made by the examiner and the same shall be sent to the same Examiner.
- (vii) **(Notified on 11th February, 2021)** If any examiner recommends the revision of the

Thesis, the Viva-Voce examination shall be held only after student revises and resubmits the Thesis and the same is evaluated and approved by the said examiner.

- (viii) **(Notified on 11th February, 2021)** The Research Scholar shall not be permitted to resubmit the same Thesis if it is rejected outright by both the external examiners.
- (ix) **(Notified on 11th February, 2021)** A meeting of the DRC shall be convened by the Guide, upon receiving the recommendations of the Examiners. The reports of the examiners shall be placed before the DRC for their perusal. The minutes of the meeting shall be forwarded to the Controller of Examinations.
- (x) **(Notified on 11th February, 2021)** The Reports from the examiners shall be assessed by the Departmental Research Committee. The Faculty Research Committee shall make available to the student through the Research Guide/s pertinent contents of the reports of examiners' for revision/ modification/ correction, if any. Minutes of DRC meeting shall be communicated to COE's office for information and further action, forwarded through the Vice-Dean (Research) and Dean of concerned School/Faculty.
- (xi) **(Notified on 11th February, 2021)** The contents of the two Examiner's Reports for revision/ modification/ correction if any, shall be communicated to the candidate by the Guide/s while maintaining the confidentiality of the Examiner's identity such as name and address, at least 15 days in advance of the *Viva-Voce* Examination.
- (xii) **(Notified on 11th February, 2021)** Four printed final copies of Thesis shall be bound in accordance with the format provided by the Academic PG Section and as per the following specifications:

Size of the paper Quarto 25 cm x 20 cm except for drawings, graphs and maps, on which no restriction is placed; a margin of 3 cm is to be left on the left hand side. The letter shall be of 12 font size and in Times New Roman, printed on extra white executive bond or equivalent. The Thesis shall be bound in a standard form using Art Vellum or cloth, lettered boldly in golden on the spine (approx. 6.35 mm to 1.27 cm), giving Degree, date, name of the candidate and full title printed neatly and legibly on the front cover. A Thesis which consists of collection of pamphlets shall be bound in a similar cover. The Thesis shall be printed with 1.5 line spacing on both sides of the page. The figures preferably could be incorporated into the running text.

In addition, a digital copy of the Thesis shall also be submitted to the Controller of Examinations.
- (xiii) **(Notified on 11th February, 2021)** The date of the Viva-Voce shall be finalized by the Chairperson of the DRC, in consultation with the External Expert nominated by the Vice-Chancellor and Chairperson of Board of Viva-Voce and same shall be informed to the office of COE.

OA-19A.10 Viva-Voce Examination.

- (i) The *Viva-Voce* examination shall be conducted after positive reports are received from both external and internal Examiners.
- (ii) The Vice-Chancellor shall appoint, on recommendation of Guide/Head of Department/Dean of the Faculty, a Chairperson of Board of *Viva-Voce* for the purpose of proper conduct of the *Viva-Voce* Examination. A senior Faculty Member of the concerned Department or allied discipline is eligible to be appointed as Chairperson of the Board. The Guide of the candidate shall function as the Convenor and coordinate the conduct of the *Viva-Voce* Examination.
- (iii) **(Notified on 11th February, 2021)** The Board for Viva-Voce examination shall consist of Chairperson appointed by the Vice Chancellor, the Guide/Co-Guide as the Convenor and one External Examiner.
- (iv) **(Notified on 11th February, 2021)** The Chairperson of Board of Viva-Voce shall inform the date and time of the Viva-Voce examination to all the members of the DRC, members of the Departmental Council, other faculty members of the University and to the extent possible, scientific and academic experts from other relevant fields working in different Institutions. The intimation of the Viva-Voce examination shall be given at least 7 working days in advance.
- (v) **(Notified on 11th February, 2021)** Notice regarding Viva-Voce Examination shall be displayed on the School/Faculty/Institution Notice Board, Library Notice Board and on the University website at least 7 days prior to Viva-Voce examination. Circular regarding the Viva-Voce examination will also be sent to the concerned School/Faculty/ Institution and a copy to the Office of Controller of Examinations.
- (vi) **(Notified on 11th February, 2021)** A copy of the Thesis shall be kept for perusal in the Library of Goa University at least 7 working days in advance.
- (vii) **(Notified on 11th February, 2021)** Copies of the synopsis/summary of main conclusions shall be made available for the participants of the Viva-Voce Examination.
- (viii) **(Notified on 11th February, 2021)** Viva-Voce Examination shall be conducted on a working day and during convenient hours to ensure large participation. Conduct of viva-voce examination of two Ph.D. candidates under the same guide shall not be scheduled on the same working day.
- (ix) **(Notified on 11th February, 2021)** The Viva-Voce examination shall be primarily designed to assess the understanding of the candidate on the subject matter of the Thesis including methodology employed and her/his competence in the general field of study. The points raised by the Examiners on the Thesis in their evaluation reports shall be clarified by the candidate during the Viva-Voce Examination.
- (x) **(Notified on 11th February, 2021)** However, in exceptional cases, if the examiner is unable to be present for the Viva-Voce Examination of the candidate, she/he may be

permitted with the approval of the Vice-Chancellor, to conduct the Viva-Voce Examination over Skype/video conference.

- (xi) **(Notified on 11th February, 2021)** The Board of Viva-Voce Examination shall report specifically on whether the Research Scholar's performance at the examination was satisfactory or not.
- (xii) **(Notified on 11th February, 2021)** A Research Scholar who is not successful at the Viva-Voce Examination may be permitted to undergo the Viva-Voce Examination a second time after a period of 3 - 6 months. No Research Scholar shall be permitted to take the Viva-Voce Examination for more than two attempts.
- (xiii) **(Notified on 11th February, 2021)** Satisfactory performance in the Viva-Voce Examination is compulsory to recommend the work of the candidate for the award of Ph.D. Degree. The Assistant Registrar (Examinations) shall assist the Chairperson towards the conduct of the *Viva-Voce* examination.
- (xiv) **(Notified on 11th February, 2021)** After successful performance of the Research Scholar in the *Viva-Voce* Examination, the Board shall consolidate the recommendations for the award of the Degree based on the Thesis reports of the Examiners and the evaluation of the Research Scholar's performance in the *Viva-Voce* Examination.
- (xv) **(Notified on 11th February, 2021)** The Board shall prepare the following reports/statements/ enclosures and forward the same to the Controller of the Examinations for further processing.
1. Final hard bound Thesis copy shall be as per the Ordinance.
 2. Summary of the Thesis examination reports.
 3. Reports of the *Viva-Voce* examination.
 4. Statements on the status of corrections or modifications in the Ph.D. Thesis as suggested by the Examiners.
 5. Final recommendation on the award of Ph. D. Degree.
 6. A certified abstract of the Thesis in about 500 words submitted by the candidate.
 7. A certificate stating revision/modification/correction if any suggested by examiners, incorporated in the Thesis. (Format B- 7)
 8. Format for consolidated recommendation for Ph.D. Degree as per Form B-3, duly certified by the Viva Board.
 9. Format for the Thesis of the Month, certified by the Viva-Board.
 10. Attendance sheet of viva-voce examination.
 11. No dues certificate to be submitted by the student from respective Department/School and Library and Hostel.
- (xvi) **(Notified on 11th February, 2021)** In addition to the above reports/ enclosures, the board shall also submit a certificate stating that the research scholar has incorporated all the revision/ modifications/ corrections, if any, suggested by the Examiners in final hard bound Thesis, for submission to the University Library along with a certified abstract of

the Thesis in about 500 words (Refer format B-7).

- (xvii) **(Notified on 11th February, 2021)** A Research Scholar shall submit to the Controller of Examinations a soft copy of the approved Thesis as well as a soft copy of research publications /reprint or the letter of acceptance of the paper from the publisher of the refereed journal.

OA-19A.11 Award of Doctorate Degree.

Viva Voce Examination (Notified on 18th May, 2020)

- i) Within ten days after the successful Viva-Voce examination, the Controller of Examinations shall forward the examiners' reports along with all relevant documents which are specified below, to the Dean of the concerned Faculty/Vice-Dean (Research) of the concerned School for verification and certification:
- (a) All the Reports of the Examiners
 - (b) Certified copy of the abstract submitted by the Research Scholar
 - (c) Final hard bound copy of the Thesis, duly certified by the Board of *Viva-Voce* Examination
 - (d) No dues certificate submitted by the student from respective Department/University/Library/Hostel.
 - (e) A Certificate of Equivalence to those who qualified NET/SET as per UGC Regulations 2009 or for those who passed the Entrance Test to the Ph.D., and are declared successful at the *Viva-Voce* Examination.
- (ii) **(Notified on 11th February, 2021)** After verification and certification, the Vice-Dean (Research) of concerned School, through the Dean of the School/Faculty shall forward the above documents to the Controller of Examinations who shall then declare the results.
- (iii) **(Notified on 11th February, 2021)** Following the successful completion of the evaluation process and announcement of the award of Ph. D., the Goa University Librarian shall upload the same in the Goa University Repository and shall submit the soft copy of the Thesis to the UGC within a period of 30 days for hosting the same by UGC in Shodhganga.
- (iv) Along with the notification of the award of the Ph.D. Degree, the University shall issue a provisional certificate certifying that the Degree has been awarded in accordance with the provisions of UGC regulation F.1.1/2002(PS) Exemp dated 01.06.2009. The date of award of Ph.D. Degree will be the date of *Viva-Voce* Examination subject to the approval of the Executive Council of Goa University.

Form B-1



GOA UNIVERSITY

Taleigao Plateau, Goa

Form B-1

Ph.D. Degree

EXAMINER'S CHECK SHEET FOR PH.D.

CONFIDENTIAL

Name of the Candidate :

Title of the Thesis :

Department / Institute :

The Examiner is requested to go through the check sheet and tick one ☒ of the following and return it along with the thesis report.

I. I recommend acceptance of the thesis in its present form.

☐

II. I recommend acceptance of the thesis with revision, however the revised thesis need not be sent back to me.

☐

III. I recommend the revision of the thesis and the revised thesis to be sent back to me after incorporating the corrections indicated in my report.

☐

IV. I do not recommend acceptance of this thesis for the reason stated in my report.

☐

Name of Examiner:

Signature: _____

Date: _____



GOA UNIVERSITY
Taleigao Plateau, Goa

PH.D. DEGREE EXAMINER'S REPORT

CONFIDENTIAL

Name of the Candidate :

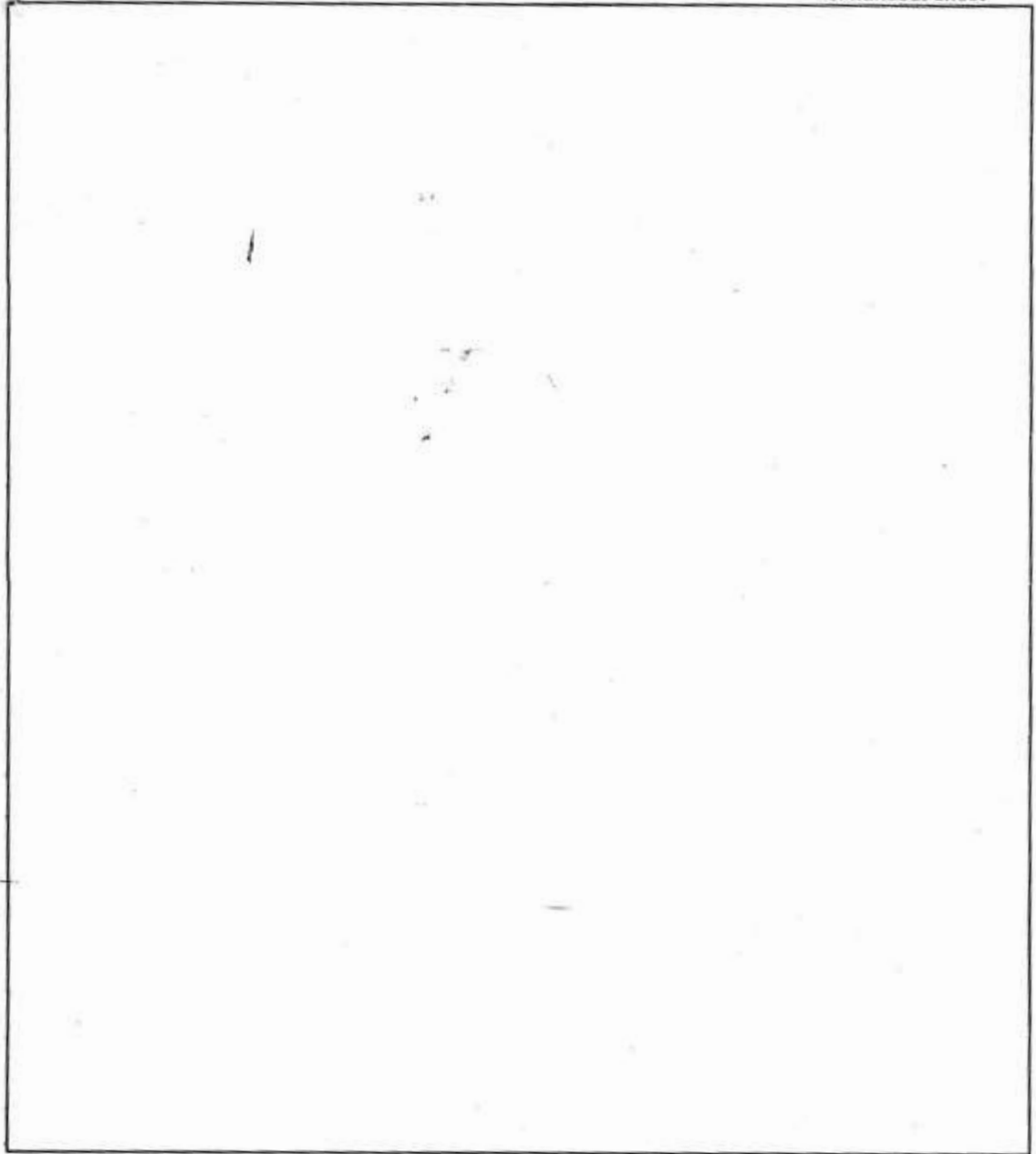
Title of the Thesis :

Department / Institute :

Name of Examiner:

Signature: _____

Date: _____



Name of Examiner:

Signature: _____

Date: _____

**FACULTY / SCHOOL
GOA UNIVERSITY**

CERTIFICATE

This is to certify that Ms./Mr. _____ Ph.D. student in _____ has incorporated all the corrections/modifications suggested by the external examiners in the final hard bound thesis titled, " _____ ".

Or

This is to certify that Ms./Mr. _____ Ph.D. student in _____ has submitted final hard bound thesis titled, " _____ ".

There were no corrections/modifications suggested by the external examiners.

Viva Voce Board has examined and recommended the thesis for the award of Ph.D. degree.

Chairperson of BOE

External Examiner

Research Guide