



**GOKHALE INSTITUTE OF POLITICS AND ECONOMICS**  
(Deemed to be University u/s 3 of the UGC Act, 1956)

**Rules and Regulations governing the  
Ph. D. Programme**

Incorporating provisions of UGC (Minimum Standards and Procedure for Award of M.Phil/Ph. D Degrees) Regulations, 2016  
(Approved by the Board of Studies, 22-2-2017\_13-11-2017\_21-08-2018)

<b>Subjects</b>	1.	The Institute shall offer the Degree of Doctor of Philosophy (Ph.D.) in Economics, Population Studies, Agricultural Economics, Law & Economics, Public Policy and Sociology
<b>Eligibility</b>	2.	Master's Degree in Economics/Agricultural Economics/Population Studies/Law and Economics/Public Policy/Sociology with at least 55 percent marks (50 percent for reserved category candidates i.e. SC/ST/OBC/VJNT/DTNT) from a recognized University/Institute.
<b>Number of Seats</b>	3.	The number of candidates to be admitted for the Ph.D. programme shall depend upon the availability of eligible faculty/guides in the Institute. The number of candidates to be admitted to the Ph.D. programme shall be notified on the website of the Institute and through advertisement in at least two national newspapers, of which at least one shall be in the regional language.
<b>How to Apply</b>	4.	A candidate seeking admission to the Ph.D. programme after notification shall download the application form from the Institute's website <a href="http://www.gipe.ac.in">www.gipe.ac.in</a> and submit the same to the Ph.D. section at the Institute along with the prescribed application fee.
<b>Entrance Examination</b>	5.	Admission to the Ph.D. programme of the Institute shall be through an Entrance Examination to be conducted on annual basis as per the schedule recommended by the Internal Ph.D. Committee.  The Entrance Examination shall comprise Written Test and Interview.
<b>Written Test</b>	6.	The Institute shall conduct a Written Test, the schedule and structure of which shall be duly notified in advance.
<b>Exemption from the Written Test</b>	7.	The following candidates shall be eligible for exemption from the Written Test and shall be eligible to appear for Interview: i. Candidates who have obtained M.Phil Degree of a recognised University through regular and not distance mode ii. Candidates who have qualified at the UGC-NET (including JRF)/SLET/teacher fellowship holders
<b>Interview</b>	8.	Candidates who pass the Written Test and candidates who are exempted from the Written Test shall be required to appear for an interview to present/discuss their

		research proposal/area of interest.
<b>Registration</b>	9.	<p><b>a) Provision Registration:</b> Candidates admitted to the Ph. D. programme shall be granted Provisional Registration. The date of Provisional Registration of a candidate shall be the date on which the candidate joins the Ph.D. programme in the Institute. The date of the Provisional Registration of a foreign candidate shall be the date of joining after obtaining valid student/study visa.</p> <p><b>b) Confirmation of Registration:</b> The Provisional Registration shall be confirmed upon successful completion of the prescribed pre-Ph.D. course work.</p>
<b>Ph. D. Committee</b>	10.	<p>There shall be a Ph.D. Committee constituted for a period of two years, comprising the following:</p> <ul style="list-style-type: none"> <li>i) The Director (ex-officio Chairperson)</li> <li>ii) Coordinator of the Ph.D. programme</li> <li>iii) Two faculty members of the Institute to be nominated by the Director, for a period of two years</li> <li>iv) Two subject experts from outside the Institute, to be nominated by the Director from the list of experts approved by the Academic Council, for a period of two years.</li> </ul> <p>The powers and duties of the Ph.D. Committee shall be:</p> <ul style="list-style-type: none"> <li>i) To recommend admission to the Ph.D. programme of the Institute</li> <li>ii) To recommend the subjects/topics of research for Ph.D. scholars</li> <li>iii) To recommend the award of fellowships, if any.</li> </ul> <p>The Ph.D. Committee shall ordinarily meet two times a year. The Chairperson of the Committee may convene extra meetings, if required.</p>
<b>Internal Ph. D. Committee</b>	11.	<p>There shall be an Internal Ph.D. Committee comprising:</p> <ul style="list-style-type: none"> <li>i) The Director (ex-officio Chairperson)</li> <li>ii) Coordinator of the Ph.D. programme</li> <li>iii) Two Research Guides of the Institute nominated by the Director for a period of two years.</li> </ul> <p>The powers and duties of the Internal Ph.D. Committee shall be:</p> <ul style="list-style-type: none"> <li>i) To recommend the Research Committee for students admitted to the Ph.D. programme</li> <li>ii) To recommend change of Principal Research Guide, if required</li> <li>iii) To recommend change of Research Committee, if required</li> <li>iv) To recommend change of research topic on the advice of the Principal Research Guide/Research Committee.</li> <li>v) To evaluate the progress of the Ph.D. thesis work based on the half yearly presentation of the students. For this purpose Internal Ph.D. Committee may co-opt experts.</li> <li>vi) To recommend extension of the period of Ph.D. registration on the advice of the Principal Research Guide/Research Committee.</li> <li>vii) To recommend submission of the thesis before completion of the stipulated period.</li> </ul>

<b>Research Committee</b>	12.	<p>A candidate shall be required to complete his/her doctoral research under the supervision of a Research Committee appointed by the Internal Ph.D. Committee. The Research Committee shall comprise the following:</p> <p>(a) Principal Research Guide who shall be a faculty member of the Institute</p> <p>(b) Two members, of which one shall be a faculty member of the Institute, and the other from academia/research or industry.</p> <p>Though all members of the Research Committee are expected to give their comments and suggestions to the Ph.D. student at the time of submission of the Ph.D. thesis, approval shall be required only from the Principal Research Guide.</p>
<b>Allocation of Guide</b>	13.	All faculty members of the Institute holding a Ph.D. degree shall be eligible to be research guides. However, the allocation of research guides will be made by the Internal Ph.D. Committee after taking into account (i) number of students per faculty member, (ii) available specialization among the faculty members, (iii) research interest indicated by the student during the interview, and (iv) inclination of both, the student and the research guide.
	14.	As Principal Research Guide a Professor shall not have at any given point of time more than eight Ph.D. scholars; Associate Professor not more than six Ph. D. scholars, and Assistant Professor not more than four Ph. D. scholars.
<b>Duration</b>	15.	The Ph.D. programme shall be for a minimum duration of three years including course work and a maximum of six years.
	16.	If a candidate's thesis is not ready after the lapse of six years she/he may be allowed to submit his/her thesis within a grace period of up to two years by re-registration and payment of the prescribed fees for re-registration.
<b>Coursework</b>	17.	All students admitted to the Ph.D. programme are required to undertake coursework for one year which will be treated as pre-Ph.D. preparation. The coursework shall comprise Research Methodology, Literature Review and other preliminary courses as may be recommended by the Internal Ph.D. Committee. Students shall be required to score minimum of 55 percent marks or its equivalent grade in UGC 7-point scale in the course work to be eligible to proceed further to write the dissertation.
<b>Progress Report</b>	18.	Each candidate shall be required to submit to the Director, through the Principal Research Guide, his/her half-yearly progress report, in the prescribed format, which will be evaluated by the Internal Ph.D. committee of the Institute.
	19.	<p>Each candidate shall be also required to present every six months his/her research work to the Internal Ph.D. Committee of the Institute, including the Principal Research Guide. It is compulsory for all Ph.D. scholars registered for the Ph.D. programme to attend these presentations.</p> <p>The Internal Ph.D. Committee shall recommend continuation of the candidate in the programme on the basis of (i) Report of the Principal Research Guide and (ii) progress shown in the half yearly presentation of the thesis work. In this regard, the decision of the Internal Ph.D. Committee will be final. The date and time of the half yearly presentation will be communicated to the candidates in advance. The Ph.D. registration of candidate will be liable to be cancelled, who</p> <ol style="list-style-type: none"> <li>i) do not submit the six-monthly progress report</li> <li>ii) remains absent for six monthly presentations for consecutive three times</li> <li>iii) the progress is not satisfactory</li> </ol>

		<p>At the time of presentation, Assessment Committee will assess his/her progress and based on his/her presentation; candidate would be given these following remarks:</p> <ul style="list-style-type: none"> <li>i) Green- Satisfactory</li> <li>ii) Amber- Needs to improve- if candidate gets amber remark in three consecutive presentations his/her registration will be liable to be cancelled.</li> <li>iii) Red- Not satisfactory- if candidate gets red remark in two consecutive presentations his/her registration will be liable to be cancelled.</li> </ul> <p>Any combination of above (ii to iii) will also be lead to cancellation of registration of the candidate. For example: i) Two amber and one absent or; one absent and one red etc. ii) Decision of Internal PhD Committee will be final on above mentioned combinations.</p> <p>All the PhD guides, while forwarding the half yearly progress report, are requested to put Green, Amber and Red remark at appropriate space given in the prescribed format of progress report.</p>
	20.	A candidate for the Ph.D. degree must have worked for his/her thesis for a minimum of three years, including course work and, in the normal course, he/she shall not be allowed to submit his/her thesis before completion of three years from the date of his/her registration for the Ph.D. programme.
	21.	However, as a very special case, the Internal Ph.D. Committee may, on the recommendation of all members of the candidate's Research Committee, permit him/her to submit his/her thesis before completion of three years.
	22.	Upon satisfactory completion of coursework, the Ph.D. scholar shall undertake research work and produce a draft thesis within the stipulated time.
	23.	Prior to submission of the draft thesis, the student shall make a pre-Ph.D. presentation which shall be open to all faculty members and research students for their comments and feedback. The comments obtained may be suitably incorporated into the draft thesis under the advice of the guide.
	24.	Ph.D. candidate shall publish one research paper in a refereed journal and present his/her research work in two national/international conference/seminar before the submission of draft thesis for adjudication, and produce evidence of acceptance letter or the reprint.
	25.	The Academic Council of the Institute shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Principal Research Guide 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.
	26.	In case of relocation of a woman Ph. D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided that all other conditions stipulated in these Rules and Regulations are followed in letter and spirit and the research work does not pertain to a project secured by the Institute or the Principal Research Guide from any funding agency. The scholar shall, however, give due credit to the Principal Guide and the Institute for the part of research already conducted.

<b>Presentation of Thesis</b>	27.	Before submitting the draft thesis, the candidate shall forward to the Registrar of the Institute, through his/her Principal Research Guide, five copies of a statement giving the title and the synopsis of the thesis. The draft Ph.D. thesis shall be submitted within six months of the date of submission of the synopsis of the thesis, failing which the candidate shall submit a revised synopsis and shall again pay his/her examination fees.
	28.	A candidate for the Ph.D. degree shall submit to the Registrar of the Institute four copies of his/her draft thesis in spiral bound form. All copies of the draft thesis shall be presented in a permanent and legible form in print or photocopy.
	29.	A significant extension of research work done by the student for a previous degree can be submitted as a Ph.D. thesis; however such thesis shall not be a reproduction of the earlier work.
	30.	Along with four copies of the draft thesis to be submitted by the candidate in the manner prescribed above, the candidate shall also submit two copies (or more if required) of a summary of the thesis highlighting the findings and original contributions of the research.
<b>Appointment of Examiners</b>	31.	The synopsis of the thesis submitted by the candidate shall be forwarded to the Board of Studies, which shall recommend to the Academic Council a panel of external examiners for evaluation of the thesis. The Principal Research Guide of the candidate shall be the internal examiner. The Director shall select two external

		examiners from the panel approved by the Academic Council. Of the two external examiners, at least one should be outside the state/country.
<b>Defense of Thesis</b>	32.	After the candidate submits the draft thesis and the Director appoints two external examiners, the Director/Registrar shall invite the examiners to evaluate the draft thesis. A copy of the summary of the thesis shall be sent to the examiners along with the letter of invitation. When an examiner accepts the invitation to evaluate the thesis, the Director/Registrar shall forward the thesis to him/her within two weeks of the receipt of the letter of acceptance.
	33.	The draft thesis produced by the Ph.D. scholar and submitted to the Institute shall be evaluated by at least two experts, out of which one shall be from outside the state/country.
	34.	Upon receipt of satisfactory evaluation reports, the Ph.D. student shall undergo a viva voce examination which shall also be openly defended.
	35.	The examiners shall report on the acceptability of the draft thesis or otherwise within a period of 90 days from the date of receipt of the thesis. If both the external examiners report that the draft thesis is acceptable, the candidate will be invited for the open defence of his/her thesis. If both the external examiners report that the thesis is not acceptable, there will be no defence of the thesis and the candidate will be declared to have failed. In case of difference of opinion between the two external examiners about the acceptability of the thesis, the Director shall appoint a third external examiner out of the Panel approved by the Academic Council. The decision about the acceptability of the thesis shall be based on the majority opinion of the three external examiners' opinion. If the majority finds the thesis to be acceptable then the candidate will be asked to undertake the defence of his/her thesis.
	36.	The date and the time when the candidate will defend his/her thesis shall be duly notified by the Director. The candidate shall be provided with the copies of the reports of the external examiners at least seven days prior to defence of the thesis.
<b>Ph. D. Defense Committee</b>	37.	The Ph. D. Defense Committee shall comprise the following members: Director of the Institute or his nominee (Chairperson) Ph. D. Coordinator Principal Research Guide One external examiner The presence of one internal examiner and one external examiner shall be mandatory at the viva voce.
	38.	The defense of the thesis shall be open to faculty/students of the Institute. The Chairperson shall exercise his/her discretion to allow or not to allow a question. However, the members of the audience at the defense shall have no say in the final decision regarding the award of the Ph.D. degree.
	39.	The examiners present for the defence shall submit to the Director/Registrar their final consolidated report about the award of the Ph.D. degree immediately after the defence is over. Their recommendations shall be specific and they shall recommend either that the Ph.D. degree be awarded to the candidate OR that candidate re-submit his/her thesis after due revision as suggested and undertake a fresh defence OR that the candidate be not awarded the Ph.D. degree. A work that has been rejected may be re-submitted after due revision subject to the payment of the prescribed fees.

<b>Depository of the Thesis with the Institute and the UGC</b>	40.	Upon successful completion of the evaluation process and announcements of the award of Ph.D., the candidate shall submit six copies of the final hardbound thesis to the Institute within a period of 30 days. The first copy of the thesis will be deposited in the library of the Institute, the second copy will be returned to the candidate, the third copy will be retained by the Principal Research Guide, fourth copy will be retained by the examination section of the Institute and fifth and sixth copies will be sent to the external examiners.
	41.	Along with a final hardbound copy of the thesis, the candidate shall also submit a soft copy of the thesis to be forwarded to the UGC, for hosting the same in INFLIBNET, which is accessible to all Institutions/Universities.
	42.	Along with the Degree, the Institute shall issue a Certificate certifying that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedures for Award of M.Phil./Ph.D. Degree) Regulations, 2016.
<b>Part-time Ph. D. programme</b>	43.	The part-time Ph. D. programme shall be open to candidates working in academia/ industry / research organizations, who are unable to pursue the doctoral programme in full-time mode.
	44.	For candidates admitted to the Ph. D. programme under part-time mode, the pre-Ph. D. coursework shall be prescribed by the Internal Ph. D. Committee.
	45.	Candidates admitted to the Ph. D. programme under part-time mode shall be governed by all other rules and regulations governing the Ph. D. programme.