**10, INSTITUTIONAL AREA, VASANT KUNJ, NEW DELHI**

**MINUTES OF THE 47th MEETING OF THE ACADEMIC COUNCIL HELD ON DECEMBER 20, 2019**

The Forty Seventh meeting of the Academic Council was held on December 20, 2019 at 11.00 a.m. at the Conference Room.

**PRESENT**

The following were present:

Dr Manipadma Datta, Chairperson
Prof  T C Kandpal
Prof Anubha Kaushik
Assoc. Prof. Rakesh Mehrotra
Ms Ranu Kayastha Bhogal
Prof  Atul Kumar
Prof  Prateek Sharma
Prof  Ramakrishnan Sitaraman
Prof  Anandita Singh
Prof  Shaleen Singhal
Dr Smriti Das
Dr Shashi Bhushan Tripathi
Dr Vishnu Konoorayar
Dr Anu Rani Sharma
Dr Vinay S Prasad Sinha
Dr Sukanya Das
Dr Nithiyanandam Yogeswaran
Dr Akash Sondhi
Dr Seema Sangita

Dr Gopal Sarangi         On invitation
Mr Kamal Sharma       On invitation
Mr V Ganesh            On invitation
Mr.Devinder Kumar     On invitation

Capt Pradeep K Padhy (Retd.) Secretary

Dr Malathi Lakshmikumaran, Dr Vivek Suneja, Dr Arun Kansal and Dr Sapna A Narula were unable to attend the meeting.

Dr Manipadma Datta introduced and welcomed Ms Ranu Bhogal and Dr Atul Kumar, Dean Academic to their first meeting.

**ITEM NO.1. To confirm the minutes of the Forty Sixth Meeting of the Academic Council held on 26 July, 2019.** The Registrar informed that minutes of the Forty Sixth Meeting of the Academic Council, held on 26 July 2019, were circulated to the members and no comments have been received so far. He stated that the Academic Council might therefore, consider confirming the minutes, as circulated.

**TS/AC/47.1.1**.The Council discussed and confirmed the minutes of the Forty Sixth Meeting of AC as circulated.

## MATTERS FOR INFORMATION

**ITEM NO.2(a). Language Laboratory**. The Registrar informed that the AICTE while providing Extension of Approval (EOA) for AY. 2O19-20 for technical programmes had directed TERI SAS to provide additional facilities such as   Language Laboratory, Workshop-basic and Drawing Halls. He stated that the Vice Chancellor met the Chairperson, AICTE on 23 Sep 2019 and apprised him about the unique character of the institution and sought waiver from the new requirements, based on which AICTE had eased the requirements to language lab only. He stated that a language lab had been set up and the facility would be used by the University for language training of Indian and foreign students. Members suggested that a standard operating procedure for the utilization of the facility should be put in place to monitor its utility.

The Council noted the matter.

**ITEM NO.2(b). Discontinuation of Distance Education Programmes.** The Registrar informed that the new UGC rules stipulated institutions having NAAC score above of 3.26 to offer Distance Education Programmes and since TERI SAS NAAC score had fallen below this score hence it would not be able to offer such courses. He stated that registration for distance education programmes had been discontinued after last batch enrollment in July 2019. He stated that TERI SAS would be able to apply for a reaccreditation from NAAC

only after May 2020, hence, TERI the sponsoring society had been requested to offer these programmes as non UGC - professional development courses. The Chair informed that at working level TERI SAS would provide all assistance to TERI for offering the programmes as non UGC professional development courses and modalities of implementation would be specified under a MoU.

The Council noted the matter.

**ITEM NO.3. Academic audit**. Head of Department, Department of Policy Studies presented a brief on the academic audit carried out in the Department. She highlighted the academic achievements of the department through the three Masters' programs that attracted a good number of students and the PhD programme. In the backdrop of the NAAC assessment framework, she presented the Department data and the feedback shared by the experts during the audit. She highlighted the concerns shared by the experts on several aspects including:

(a) Basic understanding/interpretation of key parameters need to be streamlined as it affects how we measure these parameters and present the evidence to NAAC and other academic auditors. Suggestion by experts being that there must be university level discussion and common definition of key indicators used in the frame so that the data would be consistent for aggregation at a university level. This would also reflect the actual achievements and create right evidence to back achievements.

(b) Need to address student diversity and diverse needs cannot be met just through mentorship but required presence of professional counsellor on campus.

(c) Need to highlight and promote interdisciplinary research as part of the criteria on research, innovation and extension. Interdisciplinary research could also be highlighted as innovation-particularly for policy kind of work. Since this was a common focus of university and NAAC, this aspect should be addressed more carefully with adequate policy on research at university level. The experts were concerned with institutional mechanisms and incentives for promoting research and how good research could be rewarded.

Dr Kandpal expressed his concerns with respect to academic flexibility and that the departments need to think about ratio of core and elective courses. He suggested that more electives should be offered to students to reflect flexibility to opt for the same. Expressing concern over number of publications and PhD students graduating, he suggested that colleagues should be motivated to publish more papers in peer reviewed journals. Dr. Kandpal suggested that each PhD SRC committee should have one member from the other departments to help in promoting interdisciplinary research. He stated that for promoting research among faculty members, 10% of the research grant overhead received by the faculty concerned might be given to the faculty as professional development fund as is being done in IITs and the same fund could be used by faculty to attend conference, purchasing books and equipment as he/she might deem fit. The Chair assured that the advice of members would be considered for

formulating relevant rules and intimated that the TERI SAS Internal Grant Committee aided faculty members to participate in important conference including foreign travel for participation in workshops. The Registrar informed that a Counsellor had been appointed by the University for counselling the students and requested everyone to help spreading the information.

The Council noted the matter.

**ITEM NO 4:** **To record approval of Resolution on nomination of Co-opted member of Academic Council.** The Registrar stated that the as per UGC Regulations 2019 three co-opted members were required to be nominated by the Council for their specialized knowledge. He stated that one of the position of co-opted members had fallen vacant, and as per Council resolution TS/AC/ 46.3.1 dated 26th July 2019, an internal committee discussed and recommended the name of Ms Ranu Bhogal , Director – Policy , Research & Campaigns, OXFAM India, for the vacant position. He informed that the Council was accordingly requested through a resolution by circulation on 24th September 2019 to nominate the co-opted member for the vacant position and the Council had resolved to approve the name which is recorded as under: -

**TS/AC/47.4.1.** The Council resolved to approve the name of Ms Ranu Bhogal as the Co-opted member of the Academic Council of TERI School of Advanced Studies for a period of two years wef 10th October 2019.

**ITEM NO.5.** **To discuss and approve the list of experts for Faculty Selection Committee.** The Registrar placed the revised list of experts before the Council. Dr Kandpal raised a few concerns on the names provided for the Department of Energy and Environment and suggested that due diligence on each of the name provided be undertaken and presented in the next meeting as there are still some factual errors in the list.

**TS/AC/47.5.1** The Council resolved that the list of experts be revised as per its guidelines while ensuring that the names figuring in the list are current and relevant.

**ITEM NO.6:** **To discuss and approve TERI SAS PhD Rules 2019**. Dr Gopal Sarangi presented the draft of the TERI SAS PhD Rules 2019 to the Council. The Council discussed the draft circulated and suggested amendments as under: -

- In the Section 1 of the regulation, it was suggested include the legal studies along with present 'list of areas of studies'

- In the Section 2 of the regulation, it was suggested to remove the 'applicability to the faculty members'

- In the Section 3.3.2 'Self-employed candidates need to provide a documentary proof of being in self-employment'. It was suggested to moderate the above clause either by including a separate clause or by wording it properly.

- Under 'Admission' Section 4; following changes were suggested.

  a. It was suggested that 'GATE' is not a fellowship, hence, should be written as valid GATE score.

  b. Decision should be made about fixing the admission criteria for foreign students. No decision was arrived on this.

  c. It was suggested that for scholarship holders, admission criteria has to be revisited. They should be waived off the written test.

- In Section 6, the word 'accentuating' has to be removed. The sentence in the bracket 'based on the actual evidence produced by the candidate' has to be put without any bracket.

- In Section 8.5, the word 'any' may be inserted in the first sentence after 'PhD woman'.

- In Section 9.1, the word 'leaving' should be replaced by 'departure'.

In addition to the above, following suggestions were made to incorporate in the section 9.2.

- After comprehensive exam, no permission will be given to change the supervisor.

- In Section 15.2.1: One of the AC members suggested deleting the provision justifying its irrelevance of providing additional leaves beyond 30 days.

- In Section 15.6: It was agreed to include the following.

  "if the approval not taken on time and fees have been paid, fees will not be refunded"

- Under 16.6, it was suggested the University should develop a mechanism for registering attendance.

- In section 17.3. 4 It was suggested to change the language 'Review' and suitably replace it with words such as 'Ensure/monitor functioning of SRC'.

- In Section, 18.7, it was suggested that an additional word 'preferably' may be included.

- In section 19; It was suggested that the applicability should for the 'prospective students' and should not be applicable retrospectively.

**TS/AC/47.6.1.** The Council resolved to approved TERI SAS PhD Rules 2019 as amended and placed at Enclosure 1.

**ITEM NO 7.** **Grievance related to PhD Supervision**. The Registrar intimated that a five-stage evaluation process was followed for PhD Students in the University which involved; completion of PhD Course work, comprehensive examination, submission of synopsis, submission of Thesis followed by evaluation by examiners and finally oral defence. He stated that a student was formally registered/ admitted to a Ph.D programme only after s/he had cleared the comprehensive examination on completion of pre-Ph.D course work and after comprehensive exam the student was required to submit the synopsis of the thesis within 5 years and the thesis within 9 months from the date of submission of synopsis. He informed that the supervisor was appointed during the first 6 months and depending upon the case on the recommendations of SRC, co-supervisor(s) (not exceeding two) could also be appointed by the DRC.

He apprised members that as per the practice in the University, Supervisors who left before synopsis stage, had been made Co-supervisors and those who left after Thesis submission continued to remain as Supervisors. However, since the exact stage of departure at which one could be made co-supervisor had not been defined hence the DRC changed the status of Supervision in respect of Reg Nos 1229REB and 1212REA on the resignation of the supervisor from the institute. He informed that the re-designated Co-supervisor had put up a grievance requesting credit of Supervisor in both the cases and also an internal committee constituted by the Vice Chancellor examined the case and recommended that the former faculty might be given the credit of the Supervisor for both the cases. The Registrar submitted that since one of the student had been awarded the PhD on 14th Nov 2019 and all approval documents and the thesis submitted by the student recorded the name of another internal faculty as the Supervisor, hence the approval of Academic Council was being sought to carry out necessary amendment to the records and issue necessary notification in this regard.

The Council discussed the matter in detail. While accepting the fact that there could have been a few erroneous decisions in the past, members opined that in the present case the re-designated Co-supervisor could not be given the credit of the Supervisor as the faculty had already left the institution.

**TS/AC/47.7.1.** The Council resolved to approve that the concerned faculty be provided status of Co-supervisor in respect of Reg Nos 1229REB and 1212REA.

**ITEM NO 8**. **Amendment to eligibility criteria for MTech REEM.** The Registrar informed that the Admission Committee of the University had reviewed a proposal of Department of Energy and Engineering with respect to the eligibility criteria of candidates for admission to MTech (REEM) programme and had recommended an amendment to the existing resolution. The Council discussed and concurred the amendment.

**TS/AC/47.8.1**. The Council resolved to approve the following amendment to the AC resolution TS/AC/42.7.1 dated 02nd April 2018:-

*For MTech (REEM) : A Bachelor's Degree in any branch of engineering or MSc with a minimum CGPA of 6.2 on a 10-point scale or equivalent or 55% marks in aggregate.*

**ITEM NO 9.** **To discuss and revise Grade Sheet awarded to a student:** The Registrar informed that a student of the University who failed to achieve the minimum CGPA requirement had approached the Delhi High Court with a number of grievances and one of them being use of * symbol in the Grade Card indicating minimum CGPA requirements for the programme, which she had interpreted as discriminatory. The Registrar stated that the University lawyer while reviewing the case had suggested that Grade Cards could be issued by dropping the * sign to address this grievance stated in the lawsuit. The Dy Registrar presented that draft of the revised Grade Card for review by Council. On a query by members, the Registrar informed that the * sign was only used in cases where the students were not able to fulfill the minimum CGPA requirements. Members suggested that instead of putting a * in specific cases, a standard foot note denoting minimum Grade requirements in respect of promotions should be mentioned in all the Grade Cards.

**TS/AC/47.9.1.** The Council resolved to approve the format of the Grade Card placed at Enclosure 2 as amended.

**ITEM NO 10.** **Extension of maximum period for submission of Thesis.** The Registrar informed that as per PhD Regulations, a doctoral candidate was expected to submit his/her thesis within five years from the date of registration. He stated that this period might be extended by Academic Council as a special case to a maximum of seven years. He presented four cases recommended by the respective DRCs for extension. Dean (Academic) informed that he had received a request for an extension for submission of thesis for one year. He stated that the student needed the extension to publish a research paper in the peer review journal.

**TS/AC/47.10.1.** The Council resolved to approve the following extensions: -

> (a)    Ms Nidhi Gautam (Reg No.1236RPB)): an extension of two years wef 02 Jul 2019 for the submission of the thesis.
>
> (b)    Ms Swati Singh (Reg No.1312RNA): an extension of one-year wef 21 November 2019. for the submission of the thesis
>
> (c)    Mr Pradeep Vashisth (Reg No.1307RNA): an extension of one-year wef 18 January 2020 for submission of thesis
>
> (d)    Ms Sonia Grover (Reg No.1226RNB): an extension of one-year wef 18 December 2019 for submission of thesis.
>
> (e)    Mr Neeraj Dangi  (Reg No.1103RPA): an extension of one-year wef 15 July 2019 for submission of thesis.

**ITEM NO.11.** **To discuss and launch Evening & Part time programmes in TERI School of Advanced Studies.** The Chair informed that Council that the University could run evening programmes and two proposals namely, MBA for working managers and MAPPSD for open candidates had been received in this regard. He stated that the

University was also considering introduction of part time programmes which could be conducted on weekends and on any one day of the week. He sought in-principle approval of the Council to introduce evening as well as part time Programmes in allied fields and stated that the concurrence of the Council was necessary to initiate the process and obtain necessary approval of respective BoSs. The Council discussed the proposal and concurred with the proposal.

**TS/AC/47.11.1.** The Council resolved: -

(a)     To accord in-principle approval for conduct of Evening and Part time Programmes in allied fields at TERI SAS.

(b)     That the design of the Programmes to be conducted under Para (a) be placed before AC for approval.

**ITEM NO.12: To approve Courses for PhD Programmes.**  Dean (Academic) intimated that the PhD students were offered Courses approved for Masters programmes, though explicit approval of the AC for the same did not exist. He submitted that the approval of Council be accorded to offer courses approved for Masters programmes to PhD students to regularize the process.

**TS/AC/47.12.1**. The Council resolved to approve that Ph.D. students can register for courses approved for Masters Programmes towards their course work as agreed in the SRC.

Sd/
Capt Pradeep Kumar Padhy (retd.)
Registrar

**Enclosures: –**

1       Phd Rules 2019

2.      Grade Card format

**Distribution: -**

 Electronic Copy:

1. Vice Chancellor, TERI School of Advanced Studies

2. All members of Academic Council

3. Website

Printed Copy:

4. Registrar, TERI School of Advanced Studies

## TERI School of Advanced Studies PhD Rules 2019

**Preamble**
1. TERI School of Advanced Studies (TERI SAS) provides a refreshing environment to achieve academic excellence. The University offers Ph.D. programs in a wide range of globally relevant areas of study like Natural resources management, Energy and environment, Economics, Policy studies, Management, Biotechnology, Legal studies and Social sciences.

**Scope**
2. This policy will be called "TERI School of Advanced Studies Ph.D. Regulations-2019" and shall be applicable to Ph.D. students and Ph.D. supervisors of the university.

**A. Eligibility criteria for admission to Ph.D. programme**:
3. Subject to the conditions stipulated in these Regulations, the following category of persons are eligible to seek admission to the Ph.D. programme:
   3.1. Must have obtained a Master's degree in a relevant field or equivalent with at least 55% marks in aggregate or an equivalent grade in a point scale wherever grading system is followed. UGC recognised one year Post Graduate degrees may be accepted in exceptional cases.

   3.2. Requirements for full-time sponsored candidates

      3.2.1. Sponsored candidates are required to submit a sponsorship certificate from their employers on an official letter head clearly stating that for the period of his/her studies under the programme, the candidate would be treated on duty with usual salary and allowances and that he/she will be fully relieved for the full period of the study and admissible fee of the candidate will be paid by the sponsoring organization.
      3.2.2. Candidates seeking admissions to Ph.D. programmes on the basis of study leave must present a proof at the time of interview of the fact that they will be/have been granted study leave for a minimum period of three years.

   3.3. Requirements for the part-time candidates
      3.3.1. Such Candidates are required to submit a "No Objection Certificate" at the time of interview from their employer stating clearly that the candidate is permitted to pursue studies on a part-time basis and that:
         3.3.1.1. His/her official duties permit him/her to devote sufficient time for research;
         3.3.1.2. The candidate shall be provided full access to the facilities as may exist in the field of research;
         3.3.1.3. He/she shall be permitted to attend classes at the University as and when required;
      3.3.2. Self-employed candidates need to provide a documentary proof of being in self-employment.

**B. Admission:**

4. Applications to the Ph.D. programme must be necessarily made on the University prescribed form. Admission will be made on the basis of a written test followed by an interview conducted by the University. Candidates may however apply at any time throughout the year. Nonetheless, the applications are normally processed in two cycles for semesters commencing in July and January months each year. Candidates who may have qualified the national level tests including UGC-CSIR NET (JRF), and candidates with valid GATE score, etc., can appear directly in the interview. For such candidates their merit score will be based on 100 % weightage assigned to interview marks.

   4.1. Admission is subject to vacancies as available in the relevant areas of specializations.

   4.2. After the selection, the candidates will be formally admitted to the Ph.D. programme. The date of admission will be considered as the corresponding date of registration.

   4.3. Categories of admission:
      4.3.1. Full time with assistantship[1] /without assistantship
      4.3.2. Full time with UGC/CSIR/DBT/any another research scholarship scheme
      4.3.3. Sponsored
      4.3.4. Part-time

**C. Duration of the programme:**

5. Ph.D. programme shall be undertaken for a minimum duration of three years, including course work and for a maximum of six years. The date of thesis submission shall be considered as the relevant benchmark for assessing the duration of Ph.D. programme. The women candidates and persons with disability (more than 40% disability) may be allowed a maximum possible relaxation of 2 years in the maximum duration i.e. up to a total period of 8 years[2].

**D. Extension criteria:**

6. The maximum time limit for submission of Ph.D. thesis[3] may be extended by the Dean (Academic) based on a specific request by the Supervisor(s) concerned and duly recommended by the Student Research Committee (SRC) through Department Research Committee (DRC)/Centre Research Committee (CRC) as a special case for a period of one (1) year (on a maximum of two (2) occasions), following the acceptance of which the registration will automatically stand cancelled. While recommending to the Dean (Academic), the DRC/CRC may consider one or more of the following criteria:
   6.1. Medical exigency.

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[1]Subject to availability

[2] The request for relaxation by the candidate should reach the Supervisor prior to completion of 6 years. The Supervisor should forward the request to the Dean (Academic) through Head of the Department/Centre.

[3]Over and above to the duration mentioned in the section C.5

6.2. Forced break due to an unforeseen employment requirement (in case of part-time candidates only).

6.3. Discontinuity in supervision (due to non-availability of Supervisor).

6.4. Change in focal area of research due to possible emergence of any new/unforeseen challenges in conducting research.

**E. Conversion of Full time to Part time:**

7. Full time candidate may be allowed to convert his/her registration into a Part time on the specific recommendation of the SRC to the Dean (Academic) through Head of the Department/Centre. However, such a change will be allowed only once during the entire course of study.

**F. Allocation/Eligibility of Research supervisor[4]:**

8. Following are the eligibility criteria to be a research supervisor/co-supervisor:

8.1. Any regular Professor of the University with at least five (5) research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two (2) research publications in refereed journals may be recognized as a Research Supervisor.

8.2. Only a full-time regular faculty member of the University can act as a Supervisor. The external members cannot be allowed as Supervisors. However, Co-Supervisor can be allowed in inter-disciplinary areas and/or as warranted by the research area from other departments of the University or from other related institutions with due approval of the SRC.

8.3. The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC/CRC of the concerned Department/Centre while considering various factors which may include number of existing scholars per Research Supervisor, the available specialization amongst the Supervisors and importantly, the research interests of the scholars as indicated by them in the application form or at the time of interview.

8.4. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as a Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

8.5. In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred[5] to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the TERI SAS/faculty member from any funding agency. The scholar will however give due credit to the supervisor and TERI SAS for the part of research already done.

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[4] Adapted from Section 6 of UGC gazette notification F. No. 14-4/2016(PS) dated 5 May 2016
[5] In accordance with Institutional Intellectual Property Rights policy of TERI SAS

9. Re-allocation of Research Supervisor.

   9.1. In case a Research Supervisor leaves TERI SAS before successful oral defence of Ph.D., he/she may continue to supervise the scholar(s) in TERI SAS as external Co-Supervisor only. However, the out-going supervisor will be considered as Co-supervisor, only if S/he wishes so and upon approval from DRC/CRC and only if the student has cleared the 'Research Proposal Defense'. The outgoing Supervisor may recommend a new Supervisor in proper consultation with the SRC and the scholar for due approval from the DRC/CRC. If, this process has not been completed before leaving of the faculty, then the DRC/CRC Chairperson shall initiate the process of change of Supervisor in consultation with erstwhile SRC members and the scholar. The erstwhile SRC members may be given preference for appointment as a new Supervisor.

   9.2. A Supervisor under exceptional circumstances may place a request to relinquish a student to the DRC/CRC, in consultation with the SRC. The DRC/ CRC Chairperson shall initiate the process of change of Supervisor in consultation with SRC members.

   9.3. After research proposal defence, change of the supervisor will not be allowed.

   9.4. In all such matters, the final approving authority will be the DRC/CRC. However, in exceptional cases prior to final approval, the matter will be placed before the Doctoral Programme Advisory Committee (DPAC) of University for its specific views and recommendations.

## G.  Ph.D. coursework requirements[6]:

10. The Ph.D. coursework shall be treated as a pre-requisite for Ph.D.

    10.1.  In order to overcome any deficiency in the domain of fundamental training for advanced work, several courses are offered across disciplines taught at the University.

    10.2.  The credit assigned to the Ph.D. course work shall be a minimum of 8 credits and a maximum of 16 credits.

    10.3.  The course requirement will be prescribed by the DRC/CRC on the recommendations of the SRC. In order to fulfil the coursework requirement, a student will be required to take the following few courses:
       10.3.1. Research Methodology (Mandatory) – 3 credits
       10.3.2. Quantitative methods – (Minimum 2 credits is required)[7]
       10.3.3. Other advanced level courses may be prescribed by SRC after considering the student's background in relation to the proposed topic of research

    10.4.  After completion of the prescribed coursework, including the Research Methodology and quantitative method, a combined assessment of fulfilment of the requisite credit earned and

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[6]Adapted from section 7 of UGC gazette notification F. No. 14-4/2016(PS) dated 5 May 2016
[7] The acceptable list of quantitative methods courses under this category will be prepared by the respective Departments/Centres

grades thereof will be carried out and finalized by the SRC. The final grades shall be communicated to Registrar of the University.

10.5. The minimum Cumulative Grade Point Average (CGPA) requirement of 7.0 has to be obtained by a Ph.D. scholar in the course work failing which the student will be de-registered from the Ph.D. programme.

10.6. The Ph.D. course work must be completed within the first two semesters of joining the programme.

*Note - There are no exemptions to the above provisions*
**H.  Research proposal defence:**
11. A student will be permitted to appear for defending the research proposal only after he/she has completed the Ph.D. course work as decided by the SRC and defined in G.10.
    11.1.  As a part of the research proposal defence, a draft research proposal must be prepared by the student in consultation with the Supervisor(s).  The Supervisor will circulate the draft proposal to a panel comprising of the SRC members and other invited members, if any, and schedule the research proposal defence activity after keeping a gap of at least 10 days for their review.

    11.2.  The panel may recommend a repeat of research proposal defence in case of any failure.

    11.3.  After the satisfactory defence, the student will submit his/her final research proposal and related documents to the DRC/CRC with due approval from the Supervisor. The final research proposal must be submitted to the DRC/CRC within a period of 24 months from the date of registration in the Ph.D. programme[8] and not later than that under any circumstances.

12. The student's evaluation will be based on an oral presentation and the accompanying draft  research proposal that should broadly include its proposed title, introduction and literature review, rationale for research (through identification of gaps etc.),  research question(s)/hypotheses, objectives, /proposed methodology, expected outcomes and proposed timeline. The presentation should also list the Ph.D. courses completed, grades obtained, and any other research-related activities undertaken by the student

13. Changes in the Research Proposal approved in the research proposal defence:
    13.1. If, any major changes are suggested in the research proposal due to exceptional circumstances, as assessed by the SRC, including, but not limited to the topic, objectives and methodology, the SRC may recommend submission of a revised research proposal to be followed up by a fresh research proposal defence and same should be communicated to the DRC/CRC.

**I.   Attendance requirements for Ph D students:**
14. The attendance requirement for Ph.D. students shall be as follows:

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[8]To avoid unnecessary delay a pre-proposal defence may be planned at least 3 months prior to the deadline.

14.1. A Ph.D. student, whether full-time or part-time, is expected to attend all the classes in each course, in which he/she is registered. In case his/her attendance is less than 75%, he/she will be debarred from the test/examination for the course and will be awarded an Ab Grade.

14.2. A research scholar, after having completed the course work, must attend to his/her research work on all the working days and mark attendance except when s/he is on leave or any official work as approved by the Supervisor. University should develop a mechanism for registering attendance.

### J.  Grant of leave to Ph.D. students:

15. The leave regulations for Ph.D. students shall be as follows:

15.1. During the course work, a full-time Ph.D. student, during his/her stay at the University will be entitled to a leave for 30 days, including leave on medical grounds, per academic year. However, the leave will be granted subject to the approval of Supervisor.

15.2. After completing the course work a full-time Ph.D. student during his/her stay at the University, will be entitled to leave for 30 days per academic year. In addition, a Ph.D. scholar who has completed his/her course work may be granted leave on medical grounds up to 10 days per academic year.

15.3. The female Ph.D. scholars are entitled to maternity leave/childcare leave and male Ph.D. scholar to paternity leave once in the entire duration of the Ph.D. programme for up to 240 days and 15 days, respectively.

15.4. In exceptional circumstances, student may avail "zero semester", with approval by DRC/CRC on the recommendation of SRC and on concurrence of Dean (Academic).

15.5. In an approved zero semester, the candidate is not required to pay the admissible fees. A zero semester will not count towards the minimum/maximum duration of the Ph.D. programme. A zero semester can be approved for a maximum of two times, in a candidate's Ph.D. programme duration.

### K.  Research committees and their functions:

16. Student Research Committee (SRC)[9]:

16.1. A Student Research Committee (SRC) shall be formed for each Ph.D. student with Supervisor as convenor.

16.2. Students Research Committee (SRC) Composition
  16.2.1. Supervisor – Convenor and Co- Supervisor, if any
  16.2.2. At least two faculty members from the University, with at least one from the Department

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[9]The role and function of SRC is equivalent to the Research Advisory Committee as laid out in section 8 of UGC gazette notification F. No. 14-4/2016(PS) dated 5 May 2016.

16.2.3. The convenor may co-opt any other external expert as an SRC member or Co-Supervisor

16.3.  Following are the main roles and responsibilities of SRC:
    16.3.1. To review the research proposal and finalize the topic of research under consideration;
    16.3.2. To advise the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to undertake;
    16.3.3. To periodically review and assist in the progress of the research work of a research scholar;
    16.3.4. To advise and monitor the progress of the doctoral scholar periodically

16.4.  Ph.D. scholar shall appear before the SRC at least once in each semester so as to make a presentation of the progress of his/her work for evaluation and further guidance. The semester progress report shall be submitted by the SRC to the Dean (Academic) through DRC/CRC.

16.5.  An 'X' grade will be awarded along with the comments received for that semester if the progress is 'satisfactory'. In case the progress of the research scholar is unsatisfactory ('U'), the SRC shall record the underlying reasons for the same and suggest corrective measures. If, the research scholar fails to implement these corrective measures, the SRC may recommend a 'U' grade along with comments. When a 'U' grade is awarded for the first time, a warning will be issued to the student. If, his/her performance does not improve even after the warning, on receiving a total of three 'U' grades or two consecutive 'U' grades, the student will be de-registered from the Ph.D. programme. On receiving a total of three 'U' grades or two consecutive 'U' grades, the student will be deregistered from the Ph.D. programme.  Two 'U' grades with a zero semester in-between will be considered as two consecutive 'U' grades.

16.6.  An absent grade (Ab) would be awarded for not meeting the attendance requirement compliance as stipulated in the University attendance guidelines. On receiving a total of three 'Ab' grades or two consecutive 'Ab' grades, the student will be deregistered from the Ph.D. programme. Two 'Ab' grades with a zero semester in between will be considered as two consecutive 'Ab' grades.

16.7.  The progress of Ph.D. research work will be discussed in the DRC/ CRC as per the semester schedule.

16.8.  The above process will continue until thesis submission.

16.9.  In the event of the supervisor being unavailable for supervision, the SRC will recommend to the DRC/CRC another faculty member nomination as per the provisions given in F.9.1 and F.9.2.

17. Department/Centre Research Committee (DRC/CRC):
    17.1.  Department/Centre Research Committees are to be formed by each Department/Centre with the following composition and functions:

    17.2. Composition
        17.2.1. Head of Department/Centre – Chairperson
        17.2.2. Faculty members of the Department/Centre supervising Ph.D. scholars
        17.2.3. Secretary – To be nominated by Chairperson

    17.3. Roles and responsibilities
        17.3.1. The academic programme of all the Ph.D. students in a Department/Centre will be coordinated by the DRC/CRC as per the rules and regulations of the University upon recommendation of the SRC.
        17.3.2. Prepare and periodically review the research plans of the Department/Centre, such that these align with the overall vision of the University.
        17.3.3. Discuss and periodically review the research plans and objectives of each faculty member in the Department/Centre, such that they align with the overall vision of the Department/Centre/University.
        17.3.4. Ensure/monitor functioning of SRC.

**L. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

18. The procedure with respect to the above shall be as follows:
    18.1. The Ph.D. scholar may submit his/her thesis at any time provided that s/he has completed the minimum period of registration and S/he has completed the course work requirement as prescribed by the DRC/CRC on the recommendations of the SRC with a CGPA not below 7.0 and has also successfully defended his/her research proposal.

    18.2. Prior to the thesis submission, the scholar shall make a presentation in the Department before the SRC, which shall also be open to all the faculty members and other research scholars of the University. Relevant feedback and comments obtained from them may be suitably incorporated into the draft thesis in due consultation with SRC. The minutes and the action taken report (ATR) shall be submitted to the Dean (Academic) within six months of time from the presentation.

    18.3. In addition to the thesis the scholar is required to submit a synopsis document, duly approved by SRC. The synopsis document summarises the thesis, which essentially introduces the potential examiner(s) to the objectives, methodology, major findings along with an outlined structure of the thesis.

    18.4. Ph.D. scholars must have a published record or a proof of acceptance for publication of at least one (1) research paper in UGC-CARE Reference List of Quality Journals, which is a direct outcome of their Ph.D. research (review paper will not be counted for this purpose) and having made two paper presentations in conferences/seminars before submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

    18.5. The thesis will be scrutinized for plagiarism if any using appropriate scientific software for detection of similarity. While submitting for evaluation, the thesis shall have an undertaking

from the research scholar regarding the originality of the work presented, vouching that there is no plagiarism[10] and that the work has not been submitted for the award of any other degree/diploma of the TERI SAS where the work was carried out, or to any other Institution.

18.6. The thesis shall be written in English in the specified format and shall contain a critical account of the student's research. It should be characterized by discovery of facts or a fresh approach towards the interpretation of facts and theories or a significant contribution to the knowledge of design or development, or a combination of them. It should bear evidence of the student's capacity for analysis and judgment, and his/her ability to carry out independent investigation, design, or development. No part of the thesis, or supplementary published work, shall have been submitted for the award of any other degree. Three copies of thesis in a soft cover shall have to be submitted by scholar in a prescribed format. In case of joint supervision, additional copies of the thesis are required to be submitted. Additionally, a soft copy of the thesis shall be submitted.

18.7. The Ph.D. thesis submitted by the scholar shall be evaluated by an approved Board of Examiners. The supervisor(s) shall provide a list of at least eight potential examiners of international repute (at least four from India), who are not in employment of TERI SAS to the Dean (Academic). If required, Dean (Academic) may request for additional information about the potential examiners or an additional list of the potential examiners, to be forwarded to the Chairperson, Academic Council.

18.8. Subsequently, the Chairperson, Academic Council, will appoint a Board of Examiners for each student. The Board will consist of his or her research supervisor(s) (internal examiners) and at least two external examiners of whom one examiner may be from outside the country.

18.9. Each examiner will submit a detailed assessment report, preferably within two months but not exceeding three months, recommending to the Chairperson, Academic Council, one of the following courses of action:
18.9.1. That the thesis is deemed satisfactory and that the student may defend his/her thesis orally before a committee constituted for the purpose and any members of the faculty and research students who wish to be present.
18.9.2. That the student may submit a revised thesis.
18.9.2.1. In normal circumstances, s/he may submit the revised thesis within a period of one year from the date of communication in this regard from the Chairperson, Academic Council.
18.9.2.2. However, in exceptional circumstances, this period may be extended by the Chairperson, Academic Council by another one year; the total revision time, irrespective of the number of revisions allowed, will not exceed a period of two years.
18.9.3. The thesis may be out rightly rejected due to specific reasons as given in the detailed report.

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[10] Excluding part of the own Ph.D. work published in journals or conference proceedings

18.10. In the event of any disagreement arising between the external examiners, the Chairperson, Academic Council, may, as a special case, appoint yet another external examiner, if, the merit of the case so demands. The examiner thus appointed will report independently to the Chairperson, Academic Council.

18.11. The oral defence of the thesis shall be conducted by an Oral Defence Committee consisting of the internal examiner(s) and at least one external examiner. If, for some reasons, neither of the external examiners is not available for the conduct of the oral defence, an alternative external examiner shall be appointed by the Chairperson, Academic Council. Chairperson, DRC/CRC (or his/her nominee) shall be the non-member convenor of the Oral Defence Committee.

18.12. On completion of all stages of the examination, the Convenor, Oral Defence Committee shall recommend to the Chairperson, Academic Council, along with a report of the Oral Defence Committee duly signed by all its members, one of the following courses of action.
    18.12.1.     That the degree be awarded.
    18.12.2.     That the student should be examined further on another occasion in a manner that they shall prescribe.
    18.12.3.     That the degree shall not be awarded.

18.13. In case of (L.18.12.2), the Oral Defence Committee shall also provide the student a list of all the desired corrections and modifications, if any, suggested by the examiners.

18.14. The degree shall be awarded upon approval by the Board of Management, provided that:
    18.14.1.     The Oral Defence Committee, so recommends;
    18.14.2.     The student produces a 'no dues certificate' from all those concerned in the prescribed form and gets it forwarded by the supervisor; and
    18.14.3.     The student has submitted three hard-bound copies of the thesis, after incorporating all necessary corrections and modifications in the version submitted earlier and duly certified by the Supervisor(s), after the viva voce examination (one of the copies is to be kept at TERI SAS library.)

18.15. Candidates will be awarded Ph.D. degree with the title of thesis irrespective of the discipline or department of graduation.

18.16. Prior to the actual award of the degree, a provisional Certificate shall be issued by university upon successful completion of L.18.14.1-L.18.14.3.

**M. Award of Ph.D. degrees prior to notification of these regulations, or degrees awarded by foreign Universities:**

19. These regulations are applicable for the all those students registered after notification of this regulation. Award of degrees to the candidates registered for the Ph.D. programme on or before the date of notification of these regulations, shall be governed by the earlier regulations under which initial admission has been granted.

**N.  Depository with INFLIBNET:**

20. As mandated by UGC, the following norms shall be followed:

    20.1.  Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the Librarian, TERI SAS shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all the enlisted Universities/Institutions/Colleges.

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## **GRADE CARD**

Name _____        Registration No. _____

Department _____        Semester _____

Programme _____

### **G R A D E – S H E E T**

| Course Number | Course name | Credits | Grade |
|---|---|---|---|
| | | | |

**Total credits earned**
**Total credits required for award of degree**

S.G.P.A.
**C.G.P.A.**

*Sd/-*
*Controller of Examination*
Date

Grading System

| Grade | Grade points | Description & performance | Grade | Grade points | Description & performance |
|---|---|---|---|---|---|
| A+ | 10 | Outstanding | D | 4 | Marginal |
| A | 9 | Excellent | E | 2 | Poor |
| B+ | 8 | Very Good | F | 0 | Very Poor |
| B | 7 | Good | I | – | Incomplete |
| C+ | 6 | Average | NC (Pass) | – | Audit Course Pass |
| C | 5 | Below Average | NC (Fail) | – | Audit Course Fail |

CGPA/SGPA required for award of Degree

*a) The SGPA at the end of the first Semester should be no less than 5.0 for the continuation of registration for the next semester. b) The CGPA at the end of the second semester should be no less than 5.5 for the continuation of registration for the subsequent semester. c) The CGPA at the end of the third semester should be no less than 6.0 for the continuation of registration for the subsequent semester.d) Students are required to acquire a CGPA no less than 6.0 in a Programme to qualify for the award of the degree. In case CGPA is less than 6.0 at the end of meeting the ordinary credit requirements of given Programme, the student shall take additional courses /undertake an additional project, until the CGPA requirement is met.*

*For LLM Programme: a) The SGPA at the end of the first Semester should be no less than 5.5 for the continuation of registration for the next semester.b) Students are required to acquire a CGPA no less than 6.0 in LLM Programme to qualify for the award of the*

*degree. In case CGPA is less than 6.0 at the end of meeting the ordinary credit requirements of LLM Programme, the student shall take additional courses /undertake an additional project, until the CGPA requirement is met.*

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