

SGT University, Gurugram

**(Minimum Standards and Procedure for Award of
M.Phil./Ph.D. Degrees), Regulations 2020**



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SGT University (Minimum Standards and Procedure for the Award of PhD Degrees) Regulations, 2020-21

1. APPLICABILITY OF THE REGULATIONS

- 1.1 These “SGT University (Minimum Standards and Procedure for Award of PhD Degrees) Regulations, 2020” (after this referred as ‘the Regulations’), as presented herein, will be applicable to all the Faculties/Departments of SGT University (from now on called ‘the University’) with immediate effect.
- 1.2 These Regulations are framed under Section 32, titled ‘First Ordinance’ of Haryana Private Universities Act 2006 as amended from time to time and Chapter 12 of the First Ordinances notified by Higher Education Department, Government of Haryana vide notification no. KW/20/36-2011 UNP (5) dated 31st December, 2013 inconsonant with University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. /PhD Degrees) Regulations, 2016. Chapter 12 of the First Ordinance of the University stands amended to the extent as given in these Regulations.
- 1.3 The Degree awarded by the University, conferred upon a candidate after satisfactory completion of the prescribed course of study and meeting with other conditions laid down by the University qualifies for the award of Doctor of Philosophy, abbreviated as PhD.

2. ELIGIBILITY CRITERIA FOR ADMISSION TO THE M.PHIL. PROGRAMME

- 2.1 The current M.Phil. programme shall be continued based upon the approval of the Rehabilitation Council of India as a special case. It will abide by the ordinance laid down by the council.

3. ELIGIBILITY CRITERIA FOR ADMISSION TO PhD PROGRAMME

- 3.1 Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the PhD programme:
- 3.2 Candidates for admission to the PhD programme shall have 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.

- 3.3 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 completing 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%, shall be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently able and other categories of candidates as per the decision of the UGC from time to time.
- 3.4 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 PhD programme.
- 3.5 In case a National fellowship (JRF/ SRF) is granted by any Government Agency (ICMR/ ICAR/ DST/ CSIR/ UGC) to MBBS / BDS or any other students bearing a professional degree of 4 years or higher duration, that shall be considered eligible for getting registered for PhD without appearing in the entrance test. These candidates may submit their applications for admission at any time.
- 3.6 In special cases, direct admission to PhD programme may be given based on the candidate's previous research experience (made evident by his/her research publications in reputed peer-reviewed journals) from a recognized University/ Research institution comparable to M. Phil / M. Tech/MPH standard.

4. DURATION OF THE PROGRAMME

- 4.1 PhD programme shall be for a minimum duration of three years, including Pre- PhD coursework and a maximum of six years. One-year extension after the stipulated period may be granted by the Vice Chancellor.
- 4.2 Part time PhD will be allowed provided all the conditions mentioned in the PhD ordinance of SGT University are met. Scholars pursuing services in private / government sectors should be considered as part time PhD scholars.
- 4.3 PhD scholar has to pay PhD fee for the period till the submission of his / her thesis. After this period, their registration will be cancelled, and further they will be allowed

for re-registration on the recommendation of RAC/DRC and approval by the Vice Chancellor.

- 4.4 The women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for PhD in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of PhD for up to 240 days.
- 4.5 Extension beyond the above limits will be governed based on progress and interest intent of the candidate, and if found otherwise, the candidate will be deregistered from the PhD program. These provisions should be documented through proper channels.
- 4.6 A minimum of 5 Six-Monthly reports submitted to DRC will serve as the minimum criteria for final thesis submission.

5. PROCEDURE FOR ADMISSION

- 5.1 SGT University shall admit PhD students through an Entrance Test conducted at its Campus / Centre(s) in online/physical mode.
- 5.2 SGT University shall:
 - 5.2.1 Decide on an annual basis through its Department Research Committee (DRC) a predetermined and manageable number of PhD scholars to be admitted in an Academic Year depending on the number of available Research Supervisors, availability of seats with them and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in Clause 6.6), laboratory, library, and such other facilities
 - 5.2.2 Notify well in advance in the University website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
 - 5.2.3 Once the admission is given in PhD courses, the admission fee will not be returned on cancellation of those admissions.
 - 5.2.4 Adhere to the State-level reservation policy, as applicable.
- 5.3 An entrance test shall be conducted to decide the merit in the following manner:
 - 5.3.1 The merit list for admission to PhD shall be prepared on the basis of marks obtained by the candidate out of 70 marks of the entrance test and 30 marks of

interview. The qualifying marks of the Entrance Test shall be 50%. The question paper of the Entrance Test shall consist of 50% questions of Research Methodology and 50% from the specific subject having 70 questions of one mark each. The Entrance Test shall be conducted at the Centre(s) notified in advance (any change of Centre(s) shall be notified well in advance). GATE with minimum 70 percentile / NET / JRF/ SLET qualified candidates will be exempted from appearing in the Entrance Test, and their merit will be determined based on weight ages as under: -

Description	Weightage
Percentage of Marks Obtained in Senior Secondary Examination of CBSE or Equivalent	10
Percentage of Marks Obtained in Under Graduate Degree	20
Percentage of Marks Obtained in Post Graduate Degree	20
NET / GATE Qualified or JRF Qualified	20
Maximum Marks	70

5.3.2 An Interview, consisting of 30 marks, shall be conducted where the candidates shall be required to discuss their research interest/area through a presentation before a duly constituted DRC.

5.3.3 The Interview shall also consider the following aspects, viz. whether: (i) the candidate possesses the competence for the proposed research; (ii) the research work can be suitably undertaken at the University / Department; (iii) the proposed area of research can contribute to new/additional knowledge and (iv) the possible scope of interdisciplinary or external collaboration.

5.3.4 The Merit List of the applicants shall be prepared for each Department separately along with the list of test exempted candidates and notified on the University website. The selected candidates shall be notified through their registered email ID and shall be allowed to deposit the fees within six working days from the date of notification of the Merit List. If a candidate fails to deposit the fees, the seat(s) shall be offered to the next candidate(s) on merit allowing six working days to deposit the fees.

5.3.5 The date of start of Course Work shall be notified in advance on the University website and intimated to the Candidates who have deposited fees through their registered email ID.

6. REGISTRATION OF SCHOLAR & ALLOCATION OF RESEARCH SUPERVISOR: ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, CO-SUPERVISOR, NUMBER OF PhD SCHOLARS PERMISSIBLE PER SUPERVISOR ETC.

- 6.1 Any regular Professor of the SGT University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the SGT University with a PhD degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

It is further provided that, if any Statutory Council prescribes a different qualification for appointment as Research Supervisor / Co-Supervisor for PhD Programmes under its domain, the same shall be applicable.

- 6.2 A full-time regular teacher of SGT University can act as a Supervisor. External Supervisors are not allowed. However, Co-Supervisor can be permitted in interdisciplinary areas from other Departments of SGT University or other recognized Universities / Laboratories / Institutions of National repute with the recommendations of the DRC.
- 6.3 Adjunct Faculty / Professor Emeritus appointed in the Department can also act as a Research Supervisor.
- 6.4 The admitted Research Scholars shall submit a Research Plan as per format (Annexure A) to the Chairperson DRC concerned within 90 days from the deposit of fee (Those who are exempted from the course work). However, the scholars who have to complete their coursework can submit their final proposal within 1 month after successful completion of their course work. The allocation of Research Supervisor for a selected Research Scholar shall be recommended by the DRC concerned within 15 days from the submission of Research Plan. If an admitted Research Scholar fails to submit the Research Plan within the stipulated time/period, she/he might be given one more opportunity for further 30 days by the Chairperson DRC based on a written request from the Research Scholar explaining the reasons for the delay failing which her/his admission will be cancelled. However, it will be subjected to reconsideration by Vice Chancellor under special circumstances.
- 6.5 The Date of Registration for the Research Scholar shall be the same as the Date of recommendation by the DRC for her / his Research Area / Topic and Research Supervisor. Student Section of the Registrar Office will issue a Registration Certificate to the Research Scholar mentioning the Research Area / Topic, Name and Designation of the Research Supervisor, Co-Supervisor, if any, and Date of Registration.

- 6.6 In case of topics which are of inter-disciplinary nature where the DRC concerned feels that the expertise in the Department has to be supplemented from outside, the DRC at the level of the Dean of Faculty, as Chairperson may be constituted with appropriate subject experts as members. This DRC may appoint a Research Supervisor from the University itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty of SGT University or any other recognised University on such terms and conditions as may be specified and agreed upon by the consenting Co-Supervisor(s).
- 6.7 If DRC is not satisfied with the topic of a PhD thesis of scholar, it will refer back to the Research Advisory Committee (RAC) to redesign the same and put it in the next DRC meeting within a month.
- 6.8 If a change of supervisor is required, then the DRC on the recommendation of a name (new supervisor) from RAC will consider it for approval.
- 6.9 If a Supervisor left the University before completion of PhD work of a scholar and the scholar under his guidance has submitted at least three six-monthly reports than the said supervisor shall continue as co-supervisor on the recommendation of DRC which would assign a new supervisor to the candidate for his /her further research work. In case the candidate has submitted less than three six-monthly reports under the guidance of leaving supervisor, then DRC may appoint a new supervisor without considering the old one who may continue as a Co-supervisor.
- 6.10 A Research Supervisor/Co-supervisor who is a Professor at any given point of time cannot guide more than Eight (8) PhD scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) PhD scholars, and an Assistant Professor as Research Supervisor can supervise up to a maximum of four (4) PhD scholars.
- 6.11 In case of relocation of a PhD woman 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 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 SGT University / Supervisor from any external/internal funding agency. However, such Research Scholar will give due credit to the SGT University and its Supervisor/ Co-Supervisor(s) for the part of research already done in SGT University.
- 6.12 The recommendations of the DRC shall be placed before the Academic Council in its next meeting for notification of the Research Supervisor and area/topic of Research for each Research Scholar. After approval of the Academic Council, Registration Branch of SGT University shall notify the name of Research Supervisor and Co-Supervisor, if any, and area/topic of Research for each

Research Scholar with a copy each to the Research Scholar, Supervisor/Co-Supervisor(s), Chairperson DRC, PhD Cell and Dean (Research & Development).

- 6.13 Approval of the Institutional Ethical Committee concerned of SGT University must be taken if the Research Work involves any human, animal, and drug trials before placing the matter to the Academic Council for its approval.
- 6.14 If there is a use of any human/animal subject or drug trials in PhD work, the RAC will recommend such cases to the ethical committee. Further, if the ethical committee is not satisfied with the submitted proposal, based upon its suggestions, the DRC will revise the submitted research proposal.
- 6.15 The PhD Cell shall maintain the list of all the PhD registered students on University website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, the name of his/her supervisor/co-supervisor, and the date of enrolment/registration.

7. COURSE WORK

- 7.1 The credit assigned to the PhD coursework shall be a minimum of 12 credits and a maximum of 16 credits.
- 7.2 The course work shall be treated as a pre-requisite for PhD preparation and shall be for a minimum period of one semester. The distribution of credits in the Course Work shall be as under:

S. No.	Name of the Course	No. of Credits	Periods per Week	No. of Hours in one Semester
1.	Research Methodology	3	L:T:P::3:0:0	45
2.	Advance Computer Application	3	L:T:P::2:2:0	30
3.	Research and Publication Ethics	2	L:T:P::2:0:0	30
4.	Minimum one Specialised Course relevant to the area of research as decided by DRC to be prepared by the Research Scholar through Departmental Classes / MOOCS / Self Study under the guidance of Research Supervisor	4	L:T:P::4:0:0	30

- 7.3 The Research Methodology course may be centrally conducted. However, the subject-oriented part of syllabi of the pre-PhD course shall be covered by the concerned Faculties / Department.
- 7.4 All courses prescribed for PhD course work shall be in conformity with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods.
- 7.5 The DRC of the Department where the scholar pursues his/her research shall prescribe the Specialised Course to him/her based on the recommendations of the Research Advisory Committee (RAC), as stipulated under sub-Clause 8.1 below, of the research scholar.
- 7.6 All candidates admitted to the PhD programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.7 Candidates already holding M. Phil. degree and admitted to the PhD programme, or those who have already completed the course work in M.Phil. as per UGC Regulations 2016 or as amended from time to time and have been permitted to proceed to the PhD in the integrated course, may be exempted by the Department from the PhD course work. All other candidates admitted to the PhD programme shall be required to complete the PhD coursework prescribed by the Department.
- 7.8 Grades in the course work for Specialised Course(s) shall be finalized after a combined assessment by the RAC and countersigned by Chairperson DRC. The final grades shall be communicated to the Controller of Examination. Evaluation and assessment for other courses shall be done by the Controller of Examination from Internal / External Experts.
- 7.9 A PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work to be eligible to continue in the programme and submit the dissertation/thesis.

8. COMMITTEES AND ITS FUNCTIONS

8.1 Departmental Research Committee (DRC) and its Functions

Each Department shall have a DRC consisting of all Regular and full-time Faculty members eligible to supervise a Research Scholar enrolled in a Doctoral Programme leading to PhD Degree. The Dean of the faculty shall be the Chairperson and Head of the department will be the convenor of DRC. In addition, DRC should have one external subject expert from outside the university. If a Department has less than 3 members eligible to become Research Supervisor, a common DRC of such similar Departments can be constituted till

there are minimum of 3 eligible regular full-time Faculty Members to become Research Supervisors. In case the Faculty/Department is having some adjunct faculty/Professor Emeritus involved in the supervision of scholars for their PhD work, they may be called as a special invitee in respective DRC.

For Inter-disciplinary research proposals, Dean of Faculty to which the Guide belongs to shall act as the Chairperson. Head of the department of the Guide shall act as the Convenor. Other members of the DRC shall include appropriate subject experts with the approval of the Vice Chancellor.

The DRC shall be notified by the Registrar with the approval of the Vice Chancellor.

Two Third members of the DRC shall constitute the quorum for the meeting.

The functions, roles, and responsibilities of the DRC shall be as under: -

- 8.1.1 Creation of environment for quality research in the department and identification of areas of research focus.
- 8.1.2 Approve the Research Plan as per format (Annexure B) of the Research Scholar and make appropriate recommendations.
- 8.1.3 Allocation of Supervisor and Co-Supervisor keeping in mind the specialization of the eligible Research Supervisor in the Department / Faculty / University and availability of seats with the Research Supervisor.
- 8.1.4 Maintaining a personal file of each Research Scholar at the departmental level, which should include a copy of application form, admission process data, six-monthly progress reports as per format (Annexure C), leave applications, minutes of relevant DRC / RAC meetings etc., or any other matter related to the Research Scholar. A copy of the same shall be kept in the PhD section.
- 8.1.5 Review of the progress of the ongoing PhD and research projects shall be done in the Department on a quarterly basis through RAC. The RAC report should be submitted to DRC on half-yearly basis along with its presentation by a research scholar.
- 8.1.6 If a Scholar has elapsed more than five years' time after the date of registration and his/her progress is not satisfactory as well as he/she does not report to the concerned supervisor then on the recommendation of the supervisor, three notices shall be issued to him/her at an interval of twenty days.

If the scholar is not responding to these notices, then the matter would be brought to the notice of DRC, and the same may give an additional one-month time to such scholars to reply. If DRC is not receiving any reply from the scholar through his/her supervisor, the DRC may recommend to the Vice-Chancellor to cancel his / her PhD registration.

- 8.1.7 To review and approve presentation of Pre- PhD Seminar and Synopsis of the Research work of Scholar as per format (Annexure D & E)
- 8.1.8 Make recommendations to the Registrar on continuation or cancellation of registration of a Research Scholar based on the performance or request by Research Scholar. The cancellation of registration of the Research Scholar shall be made only with the approval of the Academic Council.
- 8.1.9 To assess Pre-PhD Dissertation Seminar & Synopsis of the completed research work of a research scholar and approve submission of Dissertation as per format (Annexure F, G&H) within six months from Pre-PhD Dissertation Seminar.
- 8.1.10 To recommend a panel of examiners as per format (Annexure I) for the Dissertation of a Research Scholar as proposed by the Research Supervisor with / without amendment, if felt necessary, to the Controller of the Examination in a sealed and confidential cover.
- 8.1.11 The DRC should meet at least once in six months, and the minutes of meeting should be sent to Dean (Research & Development) through the Registrar.

8.2 Research Advisory Committee (RAC) and its Functions

There shall be a RAC for each PhD scholar consisting of Research Supervisor of the scholar as Convener of this Committee and one more Subject Expert from the Department / Faculty in the same area of Research. One Inter-Faculty Member as VC or PVC nominee who will be common for all Research Scholars will be a member of RAC. Co-Supervisor, if any, shall also be the additional member of the Committee. Research Advisory Committee shall be appointed by the Departmental Research Committee within 1 month from the date of registration of the Research Scholar. One Interfaculty member as VC/PVC nominee will also be part of RAC. Research Scholar may take guidance from any eligible Research Supervisor to prepare her / his Research Plan. The scholars may propose the choice of supervisors for their PhD work to DRC with the mutual consent of the respective supervisors. However, in case where scholars not having any choice of supervisors, DRC shall allot the Research Supervisor / Co-Supervisor based upon the specialization of the eligible Research Supervisors available in the Department. In case if the area/topic of research happens to be inter-disciplinary or multi-disciplinary, the Research Supervisor / Co-Supervisor may be taken from another Department, who will be the

special invitee in the DRC. The choice of the Research Scholar for allotment of Research Supervisor shall not be taken, and the decision for allotment of Research Supervisor shall be taken by the DRC on merit.

RAC shall have the following responsibilities:

- 8.2.1 To review the research proposal and finalize the topic of research.
- 8.2.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 8.2.3 To periodically review and assist in the progress of the research work of the research scholar.
- 8.2.4 To review and approve presentation of Pre- PhD Seminar and Synopsis of the Research work of Scholar as per format (Annexure D& E)

A research scholar shall submit the progress report of his/her work for evaluation and further guidance as per Annexure C to chairman RAC and Dean (Research & Development) of the University.

In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the DRC with specific reasons for cancellation of the registration with no refund of fee of the research scholar or extending the minimum tenure for submission of dissertation.

9. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS / CREDITS FOR AWARD OF THE DEGREE, ETC.

- 9.1 The overall minimum credit requirement, including credit for the course work, for the award of PhD degree, shall not be less than 12 credits.
- 9.2 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in sub-clauses 7.8 above, as the case may be, the PhD scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, not earlier than the three years from the date of registration and not more than six years from the date of registration.
- 9.3 Prior to the submission of the dissertation/thesis by the scholar as per format (Annexure H), on the recommendation of RAC he/she shall present a Pre-PhD Seminar as per the format given in Annexure D before the DRC of the respective Department, which shall also be open to all faculty members and other research

scholars. The final draft of the PhD thesis/dissertation shall be corrected in the light of feedback and comments suggested by DRC in consultation with the RAC. Upon the approval of Pre-PhD Seminar, the scholar shall submit Synopsis as per format (Annexure E).

- 9.4 PhD scholars must have at least two (2) research papers (Published/Accepted for publication) in referred Journals indexed in SCOPUS/ Web of Science/ PubMed/ UGC-CARE list and one (1) national/international conference presentation before the submission of the dissertation/thesis for adjudication as evidence. Scholars have to submit the same in the form of presentation certificates and reprints. A letter of acceptance from the Journal shall be considered sufficient evidence for this purpose.
- 9.5 The Academic Council of the University shall review, if needed the already functioning mechanism being used to detect plagiarism and other forms of academic dishonesty. This mechanism will be driven as per *Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018*, notified on 31st July 2018 by University Grants Commission or as amended from time to time. While submitting for evaluation the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- 9.6 The PhD thesis submitted by a research scholar as per format (Annexure H) shall be evaluated as per format (Annexure J) by his/her Research Supervisor and at least two external examiners who are not in employment of the University. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor as per format (Annexure K & L) and in the presence of at least one of the two external examiners and shall be open to be attended by Members of the RAC, all faculty members of the Department and other research scholars.
- 9.7 The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of one or both of the external examiners of PhD thesis is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/ thesis to another external examiner(s) out of the approved panel of examiners, and the viva-voce examination shall be held only if the report of the latest examiner(s) is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis

shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

Provided that if one or both the External Examiners recommend acceptance of dissertation / thesis with modification(s), the recommendations of the External Examiner(s) shall be conveyed by COE to the Research Supervisor, who will share the same with the Research Scholar. The revised Dissertation / Thesis by the Research Scholar, duly recommended by the Research Supervisor / Co-Supervisor and approved by DRC shall be submitted again to the COE not before one month but not later than six months except in case where revision requires additional experimental / survey work. However, the revised Dissertation / Thesis must be submitted before the maximum permissible duration of six years from the date of registration.

Provided further that if one of the External Examiner rejects the thesis and the other recommends with modification or accepts for conducting viva voce, the Dissertation / Thesis may be sent to a third examiner for evaluation and assessment. Viva-voce shall be conducted only if minimum two External Examiners have accepted the Dissertation / Thesis and recommend conduct of Viva-voce for the award of degree.

- 9.8 The University shall develop appropriate methods so as to complete the entire process of evaluation of PhD thesis within a period of six months from the date of submission of the thesis.
- 9.9 The Result of the scholar will be declared as presented by the Controller of Examination to the Academic Council.

10. RULES/STANDARD OPERATING PROCEDURE FOR GOVERNING PhD PROGRAMMES BY THE UNIVERSITY

- 10.1 University shall follow Anti - Plagiarism Policy (<https://sgtuniversity.ac.in/wp-content/uploads/2020/05/Guidelines-for-Anti-Plagiarism-Policy.pdf>) framed as per Rules for promotion of Academic Integrity and Prevention of Plagiarism in its Research and Academic activities / outputs as defined by University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 or as amended from time to time. This will be undertaken by Plagiarism and Publication Database Committee (PPDC) at the University Level.
- 10.2 The Academic Council of the University shall be authorised to make additional Rules / Standard Operating Procedures within the provisions of these Regulations, as and when required keeping in view the (Minimum Standards and procedure for

Awards of M.Phil. / Ph.D. Degree) Regulation, 2016 and / or as amended from time to time by the UGC.

11. AWARD OF PhD DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS, OR DEGREES AWARDED BY FOREIGN UNIVERSITIES

11.1 University shall not award any PhD degree in contravention with the provisions of UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2016 and / or as amended from time to time by UGC.

11.2 If the PhD degree is awarded by a Foreign University, the University considering such a degree shall refer the issue to its Standing Committee constituted for the purpose of determining the equivalence of the degree awarded by the foreign University.

12. DEPOSITORY WITH INFLIBNET

12.1 Following the successful completion of the evaluation process and before the announcement of the award of the PhD degree(s), the University shall submit an electronic copy of the PhD thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

12.2 Prior to the actual award of the degree, University shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./PhD Degrees) Regulations, 2016.

13. RULES / STANDARD OPERATING PROCEDURES FOR CONDUCTING DOCTORAL PROGRAMMES LEADING TO PhD

13.1 Rules / Standard Operating Procedures for conducting Doctoral Programmes leading to PhD shall be as per ANNEXURES A to L, which may be modified by the Academic Council as per requirement from time to time.

14. DISCIPLINE

14.1 Every research scholar is required to observe decorum and disciplined behaviour both inside and outside the campus and should not indulge in any activity, which will lead to bring down the prestige of Shree Guru Gobind Singh Tricentenary University. Any act of indiscipline of a research scholar shall be dealt with in accordance with prevailing rules on indiscipline of Shree Guru Gobind Singh Tricentenary University.

15. DISPUTE REDRESSAL

15.1 In case of any dispute, the decision of the Vice Chancellor shall be final.

ANNEXURE-A
Format for Research Plan

Section 1: Scholar's Basic Information

1. Name of the Candidate (In Block Letter)
2. Father's Name
3. Mother's Name:
4. Registration No.:
5. Date of Birth (dd/mm/yyyy):
6. Permanent Address:
7. Address for Correspondence:
8. Email:
9. Mobile Number:
10. PG Degree Title:
Percentage of Marks / CGPA Obtained:
11. Title of the Research Plan:
.....
.....

Date:

Signature of the Candidate

Section 2: Format for Research Plan

1. Title of the Research Plan
2. Relevant Certificates
3. Introduction
4. Literature Review
5. Justification for Selection of Research Area / Topic
6. Research Objectives (3-5)
7. Research Methodology
8. Expected Outcome / Hypothesis
9. Work Plan / Time Lines

Sample Research Plan of Minimum TimeLine

Research Activity	6	12	18	24	30	36	*
1. Course Work							
2. Literature Survey							
3. Methodology Steps							
4. Quarterly Reports							
5. Communication of Papers							
6. Preparation of Final Thesis							
7. Submission of Thesis							

* As approved Extension

10. References
11. Bibliography/Webliography

Note: Research Plan may normally be limited to 15-20 pages

ANNEXURE-B

Format for Minutes of Meeting of Department Research Committee for Allotment of Research Area / Topic and Research Supervisor(s)

A meeting of The Department Research Committee of the Department....., under Faculty..... was held on (Date) at (Time).

Following were present: -

- 1.Prof., Chairperson DRC
- 2.Prof., Outside Subject Expert DRC
- 3.Prof., Member DRC

(Note: All eligible Research Supervisor are required to attend the meeting of DRC. If a case of Interdisciplinary Research is being presented as per Research Plans under consideration, special invitee from the relevant area may be included).

(a). Research Plan titled submitted by the Research Scholar (Name), Registration No. was considered by the DRC on merit based upon the presentation made by the Research Scholar and queries raised by the members of DRC. It was decided unanimously to recommend the area / topic of research and Research Supervisor(s) to the Academic Council for final notification as under: -

- 1)Topic / Area of Research
- 2) Name of the Research Supervisor & Designation
- 3) Name of the Research Co-Supervisor, if any along with Designation and Department /Faculty/ Institution
- 4) Justification for allotment of Research Co-Supervisor.
- 5) Constitution of Research Advisory Committee of the Research Scholar
 - i)Prof., Designation, Research Supervisor-Convenor
 - ii)Prof., Designation, Research Co-Supervisor, If any-Member
 - iii)Prof., Designation-Member
 - iv)Prof., Designation-Member

6) Approval of Institutional Ethical Committee concerned of SGT University is **not required / required** as the Research Work does not involves any human / animal / drug trial(s) before placing the matter to the Academic Council for its notification.

(b). Research Plan titled
.....

Signature.....
Name
(Chairperson DRC)

Signature.....
Name
(Outside Subject Expert DRC)

Signature.....
Name
(Member DRC)

Signature.....
Name
(Member DRC)

Note: Research Co-Supervisor(s) may be recommended with full justification.

ANNEXURE-C

Format for the Quarterly Progress Report of the Research Scholar to be considered by Research Advisory Committee

- 1. Name of the Research Scholar:
- 2. Registration No.
- 3. Date of Registration
- 4. Name(s) of the Supervisor and Co-Supervisor(s):.....
- 3. Topic of Research:
-
-

4. Quarterly Progress Report for the period, from: (Month, Year) to (Month, Year)

5. Literature Survey

- (i) No. of books referred (during the period):(Cumulative).....
- (ii) No. of relevant research paper referred (during the period) and (Cumulative)
 - (a)International Journals (during the period):(Cumulative).....
 - (b)International Conference Proceedings (during the period):(Cumulative)
 - (c) National Journals (during the period)(Cumulative).....
 - (d)National Conference Proceedings (during the period):(Cumulative).....

6. Quantum of PhD work completed: (Please tick the appropriate box)

- (a) 0 – 10% (b) 11 – 20% (c) 21 - 30%
- (d) 31 - 50% (e) 51 - 75% (f) 76 - 100%

7. Status of Course Work Completion: Completed / Not Completed

If completed, Mention the Grade for each Course

- i) Name of the Course Grade
- ii) Name of the Course Grade
- iii) Name of the Course Grade
- iv) Name of the Course Grade

If not completed, give the reason(s) :.....
.....

8. Specify the number of publications in SCOPUS / Web of Science Index Journals / Conference Presentations with publication status i.e. Submitted, Accepted, Published

- No. of Research Papers Published (during the period)(Cumulative)
- No. of Research Papers Accepted (during the period)(Cumulative)
- No. of Research Papers Submitted (during the period)(Cumulative)
- No. of Conference Presentations (during the period)(Cumulative)

(Attach the Bibliographic details of the above paper(s)/presentation(s) in separate sheet as Annexure)

9. Please submit a descriptive Progress Report separately as Annexure in terms of work done, survey conducted, places visited, interviews conducted etc.

(Signature & Name of the Research Scholar)

10. Remarks of the Co-Supervisor(s)/ External Mentors (if any):
.....
.....

Name & Signature of Co-Supervisor(s)

11. Remarks of the VC/PVC nominee.....
.....
.....
.....

Name & Signature of VC/PVC nominee

12. Recommendation of RAC.....
.....
.....
.....

Signature of the Convener, RAC

13. Approval of Dean (Research & Development)

.....
.....
.....

Signature of the Dean (Research & Development)

ANNEXURE-D

Format for seeking approval from Research Advisory Committee for presenting Pre-Ph.D Seminar

- 1. Name of the Research Scholar:
- 2. Registration No.
- 3. Date of Registration
- 4. Name(s) of the Supervisor and Co-Supervisor (s):.....
- 5. Topic of Research:

6. Check-list for presenting Pre-PhD Seminar

a) Minimum two and half years completed from the date of registration: Yes/No

b) Minimum five Six Monthly Progress Reports submitted and found satisfactory by RAC:

Yes/No

c) Fees deposited as due till date:

Yes/No

(attach proofs)

d) Minimum three Research Papers Published / Accepted for publication in SCOPUS / Web of Science/PubMed/UGC-CARE list Index Journals. (Note: Thesis will not be accepted till minimum three Research Papers have been published / accepted):

Yes/No

(attach proofs)

Signature & Name of Research Scholar

Signature

Signature

Name of Research Supervisor

Name of Research Co-Supervisor(s)

Designation

Designation

ANNEXURE-E

Format for Submission of Synopsis after seeking Pre-Ph.D. Seminar approval from Research Advisory Committee

After the course work is completed the synopsis shall be finalized and approved through RAC. Initially a general synopsis is to be submitted in the beginning at the time of approval of topic and research plan/summary/abstract of the work done in thesis is to be submitted along with the Thesis.

The Synopsis should broadly indicate the work done, objectives proposed and achieved, methodology adopted and outcomes in chapter wise description. In general, the following should be the sequence of Synopsis: -

1. Cover Page
2. Certificate by Supervisor
3. Content Page
4. Summary/Introduction
5. Research Objectives and Methodology
6. Organization of thesis (Chapter wise with brief description for each Chapter)
7. Conclusion of Research Work
8. Scope for further work

The Synopsis should typically be 30 to 40 pages (excluding title pages). It should be neatly typed on both sides in Times New Roman Font of size 12 with 1.5 spacing.

The general guidelines are as follows:

1. Synopsis must be unambiguous. Title of the Synopsis must be as approved by Academic Council.
2. The objectives and methodology of the research should be started in bullet form/itemized.
3. The entire text should be grammatically correct and must be at a reasonable understandable language level.
4. The Synopsis must clearly mention the expected outcomes of the research.

Synopsis must be accompanied with a Certificate duly signed by Supervisor and countersigned by Dean Concerned testifying therein that the entire text of the Synopsis has been read thoroughly and it is as per the guidelines and grammatically correct.

ANNEXURE-F

Format for Minutes of the Meeting of Department Research Committee for approval to submit Thesis

A meeting of Department Research Committee of the Department....., under Faculty..... was held on (Date) at (Time).

Following were present: -

1. Prof., Chairperson DRC
2. Prof., Member DRC
3. Prof., Member DRC

(a). Synopsis titled
..... submitted by the Research Scholar (Name.....), Registration No.

was considered by the DRC on merit based upon the presentation made by the Research Scholar and queries raised by the members of DRC. It was decided unanimously to allow the Research Scholar to submit Thesis within six months from the date of this DRC meeting with following clarifications:-

- 1) Topic / Area of Research is as notified by the Academic Council
- 2) Name of the Research Supervisor & Designation
- 3) Name of the Research Co-Supervisor, if any along with Designation and Department / Faculty/ Institution.....
- 4) The Research Scholar has completed her / his research work satisfactorily covering all objectives as approved in the Research Plan by DRC.

Or

The Research Scholar has not completed his / her research work satisfactorily related to Research Objective no. titled,“.....”

but her / his research work justifies the overall spirit of the Research Plan approved by DRC.

5)The Research Scholar has further done additional Research Work related to Objective titled,
“.....”

as per the demand of the Research Plan and new developments during the course of Research.

6)The Research Scholar while completing her / his Research Work encountered new developments and the Scope of Research has further increased necessitating modification of the Research Area / Topic as “

.....”
subject to the approval of Academic Council.

7)The Research Supervisor and the HOD have submitted a panel of external examiners two international and six from outside the State of Haryana, to evaluate the Thesis of the Research Scholar, which has been accepted without / with modification and kept in a sealed cover. Research Supervisor shall seek the consent of the panel members in advance by sharing the Synopsis of the Research Scholar with the panel members. She / he shall forward the panel of external examiners at least three international and three from outside the State of Haryana to the Controller of Examination through Chairperson DRC along with the Thesis, as and when submitted.

It is certified that the Research Work done by the Research Scholar is her / his original work and the same has not been used by her / him or any other person for award of any Research Degree.

Signature & Name of Research Scholar

Signature
Name
Designation
Research Supervisor

Signature
Name
Designation
Chairperson DRC

Signature
Name
Designation
Member DRC

Signature
Name
Designation
Member DRC

Note: Minimum two third of the total members of Department Research Committee shall constitute the quorum including Research Supervisor.

ANNEXURE-G

Performa for Submission of Thesis

Name of the Scholar: Address:		Registration No: Department: Contact No.& Email-ID:	
Research Supervisor's Name: Designation: Department: Contact No.& Email-ID:		Research Co-Supervisor's Name: Designation: Department: Institution: Contact No.& Email-ID:	
Title of the thesis:			
Category at the time Of Registration	Full Time	Change of category if Any	
Date of Registration		Period of break of study Granted If any	
Date of completion of Minimum period		Date of completion Of maximum period	

Extension of period Approved(mention date)	Up to:	Date of submission of Synopsis	
Date of DRC meeting For approval of Synopsis		Date of approval of Research Plan by Ethical Committee	

Signature of the Research Scholar Supervisor

(Date:)

Signature of the Research

(Date:)

Signature of the Research Co-Supervisor Signature of the Head of the Department

(Date:)

(Date:)

Signature of Chairperson DRC

(If other than HOD)

(Date:)

Note: Research Scholar shall submit a draft copy of the Thesis to the Research Supervisor and Research Co-Supervisor, if any. Once final signal is given by them to submit the Thesis, six bound copies of the Thesis shall be submitted by the Research Scholar, firstly to the Research Supervisor and Research Co-Supervisor for their signature. Research Supervisor shall send all copies of the Thesis to other authorities for their counter signatures. Once all copies are signed by all the relevant persons, Research Supervisor shall forward the six copies of Thesis to The Controller of Examination along with the list of recommended panel of external Examiners as approved by the Department Research Committee.

ANNEXURE-H

Guidelines for PhD Thesis Writing

1. Cover page with SGT University logo.
2. Thesis must contain following certificates in the beginning
 - a. Certificates by the supervisor and co-supervisor (if any) counter signed by Chairperson DRC.
 - b. Declaration by the Research Scholar in terms of originality of Research Work.
 - c. Acknowledgement
3. Research Supervisor and Co-Supervisor allotment letter, if change is made after the initial allotment as per Registration Certificate.
4. Ethical committee approval letter (wherever applicable)
5. Plagiarism check certificate
6. Table of Content
7. List of Abbreviations
8. List of Tables
9. List of Figures
10. List of Graphs/Diagrams
11. List of Annexure

Thesis is to be written in the following format

1. Introduction
2. Aims and Objectives
3. Review of Literature
4. Chapters preferably one for each objective
5. Statistical Analysis along with results, if required
6. Discussion on findings, if required.
7. Conclusion and Future Scope of Study
8. Social Relevance (If any)
9. References/Bibliography (Vancouver Style)

Guidelines for the Text and Page Format

1. Times New Roman 12 size font
2. 1.5 spacing between the text lines
3. 2-inch space for the binding side and 1-inch space on above, below and non-binding side
4. Page number in centre below
5. Tables/figure/graphs/diagrams on the left page preferable on photo sheet
6. Leather Binding Colour:
Health Sciences: Bottle Green Colour with Golden Embossing
Other disciplines: Maroon Colour with Golden Embossing

ANNEXURE-I

Format for Sending the Panel of External Experts for Evaluation of Thesis in a Confidential Cover

Particulars to be filled by the Research Supervisor (after the approval of the Pre-PhD open seminar in front of DRC and other invited members)

1. Name of the Research Scholar:
2. Registration Number
3. I am/We are satisfied that the student has completed his research work towards his PhD degree under my / our guidance and is ready to submit her / his Thesis within six months of submission of the Synopsis.

4. Title of the Thesis:

.....
.....

5. Name of the External Examiners Suggested for the Evaluation of the Thesis from Outside The State of Haryana

Name of the examiner	Designation, Affiliation and complete postal address	Email ID	Mobile number
1			
2			
3			
4			
5			
6			

6. Name of the External Examiners Suggested for the Evaluation of the Thesis from The State of Haryana

Name of the examiner	Designation, Affiliation and complete postal address	Email ID	Mobile number
1			
2			

3			
4			
5			
6			

7. Certified that the above mentioned suggested External Experts are currently active in research in the field of specialization of the Research Scholar and their pre-consent has already been taken.
8. Certified that none of the External Experts is a near relation (parents, brother/sister or son/daughter) of the supervisor(s) / Co-supervisor(s) or the Research Scholar or their spouses. Further certified that the Research Scholar has neither worked nor studied in the Institutions / Organisations from which the names of the external examiners have been recommended.

Name and Signature of the Supervisor (with date and time)

SUPERVISOR

CO-SUPERVISOR (S)

ANNEXURE-J

Thesis Examiner's Evaluation Report

Dear Sir/ Madam,

Kindly Examine the Thesis sent to you along with, and give your specific Comments Chapter wise with Recommendation as per the format given below

External Examiners

A. Name of the Examiner :

B. Designation :

C. Institute :

Title of Thesis :

.....

Name of the Candidate :

Name of the Department/Faculty:

PLEASE USE EXTRA SHEET WHEREVER NEEDED

S. No.	Chapter	Specific Comments	Assessment
1	Introduction		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
2	Review of Literature		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
3	Materials and Method		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
4	Observations		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average

5	Discussion		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
6	Summary & Conclusion		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
7	Recommendations suggested in the thesis		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
8	Bibliography		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
9	Contribution of this work to the existing knowledge		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average
10	Overall comments on the Thesis based on merits and demerits of the contents		<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Below Average

Questions (if any) suggested to be asked by examiners at the time of defence of thesis (specify):

- 1.
- 2.
- 3.
- 4.
- 5.

Recommendation on Ph.D Thesis

The thesis be accepted for the award of the Ph. D. degree []

OR

The thesis is acceptable for the award of the Ph. D. degree subject to the clarification of certain points at the time of Viva-Voce. []

(Please enclose the points) OR

The thesis is not acceptable in the present form but may be accepted []
subject to modification/clarification/revision.

(Please enclose your suggestions for modification etc. desired)

After modification the thesis need not be referred back to me. OR

The thesis is not acceptable in the present form but may be accepted []
subject to modification/clarification/revision.

(Please enclose your suggestions for modification etc. desired)

After modification the thesis should be referred back to me for
final assessment. OR

The thesis be rejected. (Please enclose your comments).* []

*In case the thesis is rejected kindly give your detailed report in a separate sheet

Place

Signature of the Examiner.....

Date

Name and Address of the Examiner

.....
.....
.....

ANNEXURE-K

Format for the Final Viva-Voce Examination

1. Name of The Candidate:
2. Roll Number:
3. Date of Birth:
4. Father Name:
5. Address:
6. Email/Mobile Number:
7. Name of The Supervisor
8. Title of The Thesis:
9. Has The Candidate Submitted The Required Copies of The Corrected Thesis
[Yes / No]
10. Has the Candidate Submitted the Soft Copies of The Corrected Thesis in Sodhganga Repository Format (CD Indicating Name, Roll No and Title of The Corrected Thesis)
[Yes/No]
11. Has The Candidate Submitted The Plagiarism Report Of The Final Corrected Thesis
[Yes/No]

Name of the Candidate

Signature (Date & Time)

Counter Signed by Supervisors

Supervisor

Signature (Date & Time)

[Please Accept The Required Number Of Thesis Submitted By the Candidate during the Viva-Voce Held On..... Supervisor Has Confirmed That Copies Are Already Shared with Central Library, Department Library and Soft Copy to Central Library for Shodhganga Repository]

Chairman, DRC (Name and Signature):

ANNEXURE-L

Particulars to Be Filled by the Examiners during the Final Viva-Voce of the Candidate/ Defence of the PhD

1. Name of The Candidate:
2. Father's Name:
3. Registration No:
4. Department:
5. Date of Birth:
6. Address:
7. Email / Mobile Number:
8. Supervisors (Name and Department)
9. Examiners (Name and Affiliation)
10. Certification

This is to Certify That Final Viva-Voce/Defence of The Candidate Mr./Ms.....S/O..... Roll. No for the Award of PhD Degree was conducted on Time In Theof The candidate successfully defended his/her work, publicly, and answered all the queries raised by the examiners or other members present during the viva. The examiners are very much convinced that the candidate fulfilled all the requirements for the award of the degree and recommend for the same.

Name and Signature of the Examiners (With Date and Time)

Name and Signature of the Supervisors (With Date and Time)

Dean (R& D) Chairman

DRC (Name and Signature)