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# SGT UNIVERSITY, GURUGRAM

(MINIMUM STANDARDS AND PROCEDURE FOR AWARD OF PH.D. DEGREE)  
REGULATIONS, 2022.



**Shree Guru Gobind Singh Tricentenary University**  
Budhera, Gurugram-Badli Road,  
Gurugram- 122505, Haryana (INDIA)

Registrar  
SGT University  
Budhera, Gurugram

## TABLE OF CONTENT

<b>Sr. No./ Clause</b>	<b>Description</b>	<b>Page No.</b>
1	Short Title, Application and Commencement.	3
2	Definitions	3 - 4
3	Eligibility Criteria for Admission to Ph.D. Programme	4 - 5
4	Duration of the Programme	5 - 6
5	Procedure for Admission	6 - 9
6	Leave	9
7	Attendance	9
8	De-registration/Cancellation/Re-registration	10-11
9	Issue of NOC/Transfer Certificate/Migration Certification	11 - 12
10	Fee, Late Fees and Fee Concessions	12
11	Registration of Scholar, Allocation of Research Supervisor, Eligibility Criteria to be a Research Supervisor, Co-supervisor, No. of Ph.D. scholars permissible per Supervisor.	12 - 14
12	Change of Topic	14
13	Change of Supervisor	14 - 15
14	Course Work	15 - 17
15	Research Advisory Committee (RAC) and its Functions.	17 - 18
16	Evaluation and assessment methods, minimum standards/credits for award of the Degree.	18 - 19
17	Plagiarism/Standard Operating Procedures for governing Ph.D. Programmes by the University.	19
18	Award of the Ph.D. Degrees prior to notification of these Regulations or Degrees awarded by Foreign Universities.	19 - 20
19	Depository with Inflibnet.	20
20	Standard Operating Procedures for conducting Doctoral Programmes leading to the Award of Ph.D. Degree.	20
21	Discipline.	21
22	Dispute Redressal.	21
23	Annexures : A to L	24-41

# Regulations : Doctor of Philosophy

## 1. Short title, Application, and Commencement

- 1.1 These Regulations may be called Shree Guru Gobind Singh Tercentenary University, Gurugram (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.
- 1.2 These Regulations shall apply to all the faculties of the university created as per the provisions of the University's Act/Statutes/Ordinances and approved by the competent authorities of the University, except for the Faculties being governed by Apex Bodies.
- 1.3 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; in consonance with; UGC (Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees) Regulations, 2022 [notified in the Gazette of India Notification No. F. No. 1-3/2021(QIP) dated 07<sup>th</sup> November, 2022] and general guidelines of the Academic Council of the University. Chapter 12 of the First Ordinance of the University stands amended to the extent as given in these Regulations.
- 1.4 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 Ph.D.
- 1.5 These regulations shall come into force from the date of approval by the Academic Council and are in supersession SGT University (Minimum Standard and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2020 and its amendments.

## 2. Definitions

In these Regulations, unless the context otherwise requires,-

- 2.1 "Act" means "The Haryana Private Universities Act, 2006" and amendments made therein from time to time.
- 2.2 "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member;
- 2.3 "Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- 2.4 "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;

- 2.5 "Course" means one of the specified units which go to comprise a programme of study;
- 2.6 "Course Work" means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- 2.7 "Degree" means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act of the University Grants Commission;
- 2.8 "External examiner" means an academician/researcher who is not a part of the University;
- 2.9 "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;
- 2.10 "Guide/Research Supervisor" means an academician/researcher who is a full time/regular faculty of the University;
- 2.11 "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;
- 2.12 "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;
- 2.13 "Prospectus" means the document, whether in print or otherwise, issued for providing fair and transparent information relating to the University and its programmes, to the general public (including to those seeking admission);
- 2.14 "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;

Words and expressions used and not defined in these Regulations but defined in First Ordinance of the University and not consistent with these Regulations shall have the meanings assigned to them in that Act.

### 3. ELIGIBILITY CRITERIA FOR ADMISSION TO Ph. D. PROGRAMME

#### 3.1 Candidates who have completed:

1-year/2-semester Master's Degree Programme after a 4-years/8-semesters Bachelor's Degree Programme or a 2-years/4-semesters Master's Degree Programme after a 3-years Bachelor's Degree Programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a pointscale wherever grading system is followed

OR

equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- 3.2 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 the law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

#### 4. DURATION OF THE PROGRAMME

- 4.1 Ph.D. programme shall be for a minimum duration of three (3) years, including Pre- Ph.D. course-work and a maximum of six (6) years from the date of admission to the Ph.D. programme.
- 4.2 *A maximum of an additional two (2) years extension can be given through a process of re-registration, provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme, subject to the following conditions:*

- 4.2.1 The Scholars who have not submitted their Ph.D. thesis before the expiry of the maximum registration period i.e. 6 years from the date of original registration can avail two-year extension in four slots i.e. (6 months + 6 months + 6 months + 6 months) from the date on which the registration period lapses by remitting all arrears of fees/dues.

Request for such extension shall be submitted one month prior to the expiry of the maximum period of 6 years along with prescribed fees and Supervisor's recommendations duly forwarded through the Dean of the Faculty concerned. Otherwise, registration is liable to be cancelled without any prior notice.

- 4.2.2 First extension of 6 months' duration after the completion of the maximum period may be permitted, provided the Research Scholar submitted a

written request and the Supervisor recommends the same. A fee of Rs. 2000.00 will be paid by the candidates which will be over and above the prescribed fee.

- 4.2.3 The second extension of 6 months' duration may be permitted if the candidate has submitted the request, in writing, and a fee of Rs. 3000.00 with recommendations of the Supervisor well in advance which will be over and above the prescribed fee.
- 4.2.4 And third extension of 6 months' duration may be permitted, provided the candidate has submitted the request, well in advance, with recommendations of the Supervisor and a fee of Rs. 5,000.00 and the fourth extension of 6 months' duration may be permitted on submission of written request and a fee of Rs. 10,000.00 which will be over and above the prescribed fee.
- 4.2.5 If the research scholar failed to submit the thesis within the maximum period with permitted extensions, the Ph.D. registration will be cancelled automatically, without any notice.
- 4.3 Part time Ph.D. will be allowed provided all the conditions mentioned in the Ph.D. Regulations of SGT University are met. Scholars in services in private/public/government sectors should be considered as part time Ph.D. scholars.
- 4.4 Ph.D. scholar has to pay prescribed fee for programme Ph.D. till the submission of his / her thesis failing which their registration will be cancelled, and they will be allowed for re-registration on the recommendation of RAC and approval by the ViceChancellor.
- 4.5 The women candidates and Persons with Disabilities (more than 40% disability) may be allowed additional relaxation of two (2) years for Ph.D. the maximum duration; however, the total period for the completion of a Ph.D. programme in such cases should not exceed ten (10 years) from the date of admission.  
  
In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- 4.6 A minimum of 5 Six-Monthly reports submitted to RAC will serve as the minimum criteria for final thesis submission.

## 5. PROCEDURE FOR ADMISSION

- 5.1 SGT University shall admit Ph.D. students twice in a year (normally in the months of December and July) 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 Research Advisory Committee (RAC) a pre-determined and manageable number of Ph.D. 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, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in Clause 5.6), laboratory, library, and such other facilities.

- 5.2.2 Notify well in advance on 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 center(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 granted to a candidate to the Ph.D. programme, the fee will not be returned/refunded on cancellation or withdrawal.
- 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 Ph.D. shall be prepared on the basis of marks obtained by the candidate in the entrance test and of interview/viva voce. The question paper of the Entrance Test shall consist of 50% questions of Research Methodology and 50% from the specific subject. The students who have secured 50% marks in the entrance test shall be eligible to be called for interview. The Entrance Test shall be conducted on the campus of the University or at the Centre(s) notified and any change of Centre(s) shall be notified well in advance.*
- 5.3.2 *University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests based on an interview.*
- 5.3.3 An Interview/viva voce, 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 RAC.
- 5.3.4 The Interview/viva voce 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.
- 5.3.5 The Merit List of the applicants shall be prepared for each Department, separately. 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.
- 5.3.6 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.

5.3.6 The detailed schedule for inviting of applications, conduct of entrance test, declaration of result, disposition of fee, commencement of Pre Ph. D. course work will be as per following schedule :

### CALENDAR OF EVENTS FOR ADMISSIONS IN Ph. D. PROGRAMS

Sr. No.	Activity	1 <sup>st</sup> Batch (July)	2 <sup>nd</sup> Batch (December)
1.	Inviting applications for admissions for all streams	1 <sup>st</sup> week of January	1 <sup>st</sup> week of August
2.	Last date for submission of application forms (online/offline)	2 <sup>nd</sup> Saturday of July	2 <sup>nd</sup> Saturday of December
3.	Entrance Examination and Personal Interview/Viva-voce for admission to Ph.D. programmes (All streams)	3 <sup>rd</sup> Saturday of July	3 <sup>rd</sup> Saturday of December
4.	Declaration of Result of Entrance Exam. conducted for admission to Ph.D.	4 <sup>th</sup> Saturday of July	4 <sup>th</sup> Saturday of December
5.	Counselling (in the respective Departments/Faculties)	1 <sup>st</sup> Saturday of August	1 <sup>st</sup> Saturday of January
6.	<b>Deposit of Fee:</b>		
	Without Late Fee	2 <sup>nd</sup> Saturday of August	2 <sup>nd</sup> Saturday of January
	With late fee of Rs. 5,000/-	3 <sup>rd</sup> Saturday of August	3 <sup>rd</sup> Saturday of January
	With late fee of Rs. 10,000/-*	4 <sup>th</sup> Saturday of August	4 <sup>th</sup> Saturday of January
	<b>* Registration will be cancelled if failed to pay the requisite fee by First Saturday of September and First Saturday of February respectively</b>		
7.	Issue of Provisional Registration Numbers/Certificates to the qualified candidates, in order of merit.	By 4 <sup>th</sup> Saturday of August	By 4 <sup>th</sup> Saturday of January
8.	Commencement of Pre-Ph.D. Course Work as per Ph.D. Regulations.	1 <sup>st</sup> Saturday of September	1 <sup>st</sup> Saturday of February
9.	Conduct of Pre-Ph.D. Course Work Examinations.	In the month of February	In the month of July
10.	Declaration of Pre-Ph.D. Course Work examinations result.	Within ten days from last exam	Within ten days from last exam
11.	1 <sup>st</sup> RAC/RAC meeting for allotment of Supervisor/Co-Supervisor (if need be) and Topic of Thesis.	To be decided and conducted by the concerned Department/Faculty.	
12.	Confirming the Provisional Registration No. as Registration No. and issue of Certificate accordingly by the Ph.D. Cell	On receipt of minutes of RAC, allotting Supervisor and Topic of the thesis.	
13.	2 <sup>nd</sup> RAC Meeting	To be decided and conducted by the concerned Department/Faculty.	
14.	3 <sup>rd</sup> RAC Meeting		
15.	4 <sup>th</sup> RAC Meeting		
16.	5 <sup>th</sup> RAC Meeting		
17.	6 <sup>th</sup> or more RAC Meeting(s)		

**NOTE:**

**The fee will be deposited by the Research Scholars 'Semester-wise' till the submission of Thesis. Further, schedule of deposit of fee will be notified,**



*separately, for 2<sup>nd</sup> semester onwards, from time to time, along with other courses.*

## 6. LEAVE

- 6.1 The Leave Regulations will be applicable to the Research Scholars admitted to various Faculties/Departments of the University to pursue Ph.D. programme on regular basis, other than the in-house Faculty Members and the Research Scholars who have been granted Research Fellowships by the University or are in receipt of any Scholarship/Financial Assistance from any other source.
- 6.2 Maximum leave for full time Scholars will be 30 days in an academic year. The record of attendance will be maintained in the Department with which the Scholar is attached. In case of serious illness, the necessary information must be immediately communicated by the scholar in writing through the Supervisor(s) and Head of the Department for approval of the Dean/Director (Research & Dev.) as per rules. Unauthorized absence from the SGT University will lead to cancellation of registration.
- 6.3 A leave of absence up to one year may be sanctioned by the Dean/Director (R&D) on the request of the Scholar in writing, through the Supervisor(s) and the Head of the Department, in case the leave of absence is required for pursuing research in India or Abroad, or in a collaborating/partner University, and the Scholar furnishes a report on research, at the end of the leave period. However, when the scholar is away from the University under a research programme, exchange programme or a research project sponsored by the University no leave of absence shall be required for that.
- 6.4 In-house Faculty Members/part-time research scholars will be governed as per the provisions given in the Service Conditions/Leave Policy of the University/respective organisations, with regard to leave and attendance.
- 6.5 Research Scholars in receipt of University Research Fellowships will be required to carry out their research work regularly without any interruption during the period they enjoy the Fellowship. During the duration of their research they will be entitled to have 30 days (non-accumulative 15 days per semester) including leave on medical grounds, per academic year. They will not be entitled to mid-term breaks, summer or winter vacation. The women research scholars will be eligible for Maternity Leave as per provisions already given in these regulations at appropriate place. Special leave may be granted to attend Seminars/Conferences in India/Abroad to present research papers, with the permission of the Dean (R&D) at their own expenses.

## 7. ATTENDANCE

- 7.1 All the Ph.D. students, including self-financing students not drawing any scholarship/fellowship or sponsored and students drawing any scholarship/fellowship from any source or sponsored, while pursuing pre-Ph.D. course-work must attend 75% of Pre-Ph.D. course work.
- 7.2 A research scholar having completed the course-work successfully must attend to his/her work on all working days and mark attendance, except when he/she is on duly sanctioned leave.

## 8. DE-REGISTRATION/CANCELLATION/RE-REGISTRATION

### 8.1 De-Registration

A Ph.D. student, through his/her Supervisor can submit an application to Dean of the Faculty concerned for consideration by the RAC for de-registration after two years from the date of his/her registration to the Ph.D. programme due to some genuine/convincing reason(s), such as :

- 8.1.1 If satisfied with the reason for de-registration, through Supervisor and Dean of the Faculty concerned to RAC it may recommend to the Academic Council of the University for de-registration of the Ph.D. student. The Dean concerned shall, accordingly notify the decision of the Academic Council.
- 8.1.2 The Ph.D. scholar who has been granted extension will not be allowed to de-register.
- 8.1.3 A de-registered scholar may apply for re-registration to the concerned Dean of the Faculty, after payment of re-registration Fee of Rs. 10,000.00 and having the thesis ready for submission.
- 8.1.4 The gap period between de-registration and re-registration shall not exceed five years. If the gap exceeds five years, the scholar's admission in the programme shall automatically stand cancelled.
- 8.1.5 The re-registered student must make his pre-Ph.D. presentation/seminar immediately after re-registration. He/she shall have a maximum period of six months from the date of re-registration to submit the thesis.

### 8.2 Cancellation:

Registration of a Ph.D. scholar/student shall be cancelled in any of the following eventualities with the approval of the Vice-Chancellor:

- 8.2.1 A Ph.D. scholar can request for cancellation of his/her registration, at any time after joining the programme. This necessitates a written application from the scholar, duly recommended and forwarded by the Supervisor and HOD/Dean concerned for cancellation of registration. At the time of submission of application, the candidate should have paid all the dues and should attach No Dues certificate from the concerned Department, Library, Accounts Section, Stores etc. The cancellation shall be effective from the date of the application.
- 8.2.2 If he/she absents himself/herself for a continuous period of four weeks without prior intimation/sanction of leave.
- 8.2.3 If the Ph.D. Scholar could not pass the Pre-Ph.D. Course Work within the stipulated period.
- 8.2.4 Every research scholar is required to submit six monthly progress report of the work done, duly signed by the Supervisor. In the event of a

scholar not submitting the progress report for 3 consecutive semesters/six-months the registration of the candidate shall be cancelled on the recommendations of the RAC. Cancellation of registration shall be effective from the period the progress report had not been submitted.

- 8.2.5 If the Scholar fails to submit the thesis within the stipulated (Minimum 3 years [including course work] and maximum 6 years' period) the registration, after the expiry of registration period, stands automatically cancelled unless permission for extension has been obtained as per provisions made in these regulations.
- 8.2.6 If the Scholar fails to pay fee prescribed for the course per semester (without late fee or with late fee) as per schedule notified by the University from time to time.
- 8.2.7 Ph.D. Registration can be cancelled at any time in case of misconduct and/or indiscipline in any form on the part of a Ph.D. Scholar.
- 8.2.8 In the case of cancellation of registration, on account of any of the above mentioned reasons, no fee is refundable.

### 8.3 Re-Registration:

The re-registration period is for two years. The Ph.D. scholars, who could not submit their Ph.D. thesis after the periods of extensions, will be given one-time chance to re-register for Ph.D. by remitting the prescribed fee (Rs. 20,000.00 for non-medical and Rs. 25,000.00 for medical) provided they continue on the same topic under the same Supervisor. They must apply for re-registration at least one month prior to the expiry of stipulated period. The re-registered candidates are permitted to submit their synopsis and thesis together within a period of three months.

## 9. NOC/TRANSFER CERTIFICATES/MIGRATION CERTIFICATES

- 9.1 All candidates admitted to Ph.D. programme are required to submit No Objection Certificate, at the time of counselling, in case they are working in the SGT University or in any other Institution/College, failing which their candidature may be cancelled.
- 9.2 The candidates who have passed their Post-Graduation will be required to submit 'Migration Certificate', issued by the Institute/University from where they have obtained their Master's Degree, within a month of their admission to the Ph.D. programme. Without the submission of Migration Certificate, they will not be registered.
- 9.3 In the exceptional cases, where the candidates wish to leave the Ph.D. programme, after having qualified the Pre-Ph.D. Course Work, they will be issued No Objection Certificate/Migration Certificate, as the case may be, provided they have cleared all the dues/fees payable to the University till the date of leaving. Fees for the issuance of NOC/Migration Certificate will be Rs. 1000.00.
- 9.4 In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the

research data shall be allowed to be transferred to the University/Institute to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed and the research work does not pertain to a project sanctioned to the parent institution/university/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent University and the Supervisor for the part of the research already undertaken.

## 10. FEES/LATE FEES

10.1 The fees/late fees/fines shall be payable by the students admitted to the Ph.D. programme being run in the various Faculties/Departments of the University, as under :

10.1.1 Fee for Ph.D. Programme payable at the time of admission:

Ph.D. Fee	: Rs. 75,000.00 Per Semester
Caution Money	: Rs. 10,000.00 (Refundable)
Alumni Regn. Fee	: Rs. 2,500.00 (Non-refundable)

10.1.2 De-Registration/Re-registration:

De-registration	: Rs. 10,000.00
Re-registration	: Rs. 20,000.00 (for Non-Medical Faculties) Rs. 25,000.00 (for Medical Faculties)

10.1.3 Fee for Change of Supervisor : Rs. 1,000.00

10.1.4 Fee for Change of Topic : Rs. 2,000.00

10.1.5 Extension in time for two years (6+6+6+6 months) for submission of Ph.D. thesis after the expiry of maximum Period of 6 years (i.e. for 7<sup>th</sup> and 8<sup>th</sup> year):

For First 6 months	: Rs. 2,000.00
For Second 6 months	: Rs. 3,000.00
For Next 6 months	: Rs. 5,000.00
For another 6 months	: Rs. 10,000.00

10.1.6 For issuance of NOC/Migration : Rs. 1,000.00

10.2 **Fee concession** as per University Policy is allowed, subject to certain conditions mentioned in the relevant policy(ies) as Under:

University Employees (Teaching/Non-Teaching)	: 50%
Candidates who completed their UG/PG from SGT	: 25%
Candidates who completed their PG from SGT	: 20%

## 11. REGISTRATION OF SCHOLAR & ALLOCATION OF RESEARCH SUPERVISOR, ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, CO-SUPERVISOR, NUMBER OF Ph.D. SCHOLARS PERMISSIBLE PER SUPERVISOR ETC.

11.1 Any regular Professor/Associate Professor of the SGT University with a Ph.D. and at least five research publications in refereed journals and any regular

Assistant Professor of the SGT University with a Ph.D. degree and at least three research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing, with the approval of the competent authority.

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

- 11.2 A full-time regular teacher at SGT University can act as a Supervisor from the same Department. External Supervisors are not allowed. In case of interdisciplinary/multidisciplinary research work, if required, a Co-supervisor from any other department of the University or from outside the Department/University/Institute may be appointed.

In case any Supervisor left the Department just before the submission of the thesis then the Dean of the concerned Faculty may allot an administrative supervisor to complete the remaining formalities in respect of the scholar.

11.2.1 An eligible Professor/Associate Professor/Assistant Professor can guide/supervise up to eight (8)/six (6)/ four (4) Ph.D. Scholars, respectively, at any given time.

11.2.2 Adjunct Faculty Members shall not act as Research Supervisors and can only act as Co-supervisors.

11.2.3 Faculty Members can continue to supervise Ph.D. scholars who are already registered until superannuation and as co-supervisor after superannuation, but not after attaining the age of 70 years.

11.2.4 Each Supervisor can guide up to two international research scholars on supernumerary basis over and above the permitted number of Ph.D. scholars.

- 11.3 The admitted Research Scholars shall submit a Research Plan to the Chairperson RAC concerned within a period of one month from the date of Registration, in case, they are exempted from the Pre-Ph.D. Course Work. And the scholars who have to complete their Pre-Ph.D. Course-Work submit their Research Plan within 1 month after successful completion of their Pre-Ph.D. Course Work or Registration (not Provisional Registration) whichever is earlier. The allocation of Research Supervisor for admitted Research Scholar shall be recommended by the RAC 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 may be given one more opportunity for another 30 days by the Chairperson RAC 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.

- 11.4 After the counselling/deposition of fee on account of admission to pursue Ph.D. program, the scholars may be issued 'Provisional Registration' Certificate indicating the details of the scholar, date of admission to the Ph.D. programme. The 'Provisional Registration' will be confirmed after successfully qualifying Pre-Ph.D. course-work and conduct of RAC.

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.

- 11.5 In case of topics which are of inter-disciplinary/multidisciplinary nature where the RAC concerned feels that the expertise in the Department has to be supplemented from outside, the RAC at the level of the Dean of Faculty, as Chairperson may be constituted, with the approval of competent authorities, with appropriate subject experts as members. The RAC may appoint a Supervisor from the same department of 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 recognized University/Institute on such terms and conditions as maybe specified and agreed upon by the consenting Co-Supervisor(s).
- 11.6 If RAC is not satisfied with the topic of a Ph.D. thesis of scholar, it may suggest modifications or it may refer back to re-design the same and place the same in the next RAC meeting within a month.

## 12. CHANGE OF TOPIC:

**Change of topic** of research by the candidate is permitted by the Vice-Chancellor on the recommendations of the RAC in exceptional cases. The processing fee of Rs. 2000.00 to this effect shall be payable by the candidate. The time limit for change of topic of research in Ph.D. programme shall be twelve months from the date of registration, for the candidates registered with Master's degree qualification and within six months from the date of registration, in case of candidates registered with M.Phil. qualifications. Provided that the RAC recommends the modifications to be made such that the modifications proposed did not involve any major change in the original scheme and scope of the subject/research.

## 13. CHANGE OF SUPERVISOR:

- 13.1 In exceptional cases, change of Supervisor may be permitted, within a period of one year from the date of registration, if a written request stating valid/genuine reasons along with a non-refundable fee of Rs. 1000.00 is submitted by the Scholar to the Chairman RAC. The RAC shall examine/consider the request of the scholar, if there is any conflict between the scholar and the Supervisor.

- 13.2 The research Supervisor under whom the scholar is originally registered shall give a 'No Objection Certificate' and the new/proposed Supervisor should give a 'Certificate of Willingness' to Guide/Supervise the candidate. The Vice-Chancellor on the recommendations of the RAC shall approve the change of Supervisor and orders to this effect shall be issued by the Ph.D. Cell of the University.



- 13.3 In case of the Supervisor leaving the University permanently or proceeds on long leave/deputation or otherwise for a period of more than one year, the candidate may be permitted to change the topic of research, if necessary, with the change of the Supervisor. The duration of research will be the same if topic of research remains the same. If there is a change in the topic, the minimum duration of research will be decided by the RAC.
- 13.4 If a Supervisor left the University before completion of Ph.D. work of a scholar and the scholar under his guidance has submitted at least three six-monthly reports then the said supervisor shall continue to act as co-supervisor on the recommendation of RAC 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 RAC may appoint a new supervisor without considering the old one who may continue as a Co-supervisor.
- 13.5 The recommendations of the RAC 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 RAC, Ph.D. Cell and Dean (Research & Development).
- 13.6 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.
- 13.7 If there is a use of any human/animal subject or drug trials in Ph.D. 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 RAC will revise the submitted research proposal.
- 13.8 The Ph.D. Cell shall maintain the list of all the Ph.D. 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.

#### 14. COURSE WORK

- 14.1 The minimum credit requirement for the Ph.D. coursework shall be of 12 credits.
- 14.2 The course work shall be treated as a pre-requisite for Ph.D. 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	Internal Assessment marks	University exam. marks	Max. Marks
-------	--------------------	----------------	---------------------------	------------------------	------------

1.	Research Methodology & Research and Publication Ethics	4	20	80	100
2.	Statistics and Computer Fundamentals	4	20	80	100
3.	Subject specific course	3	20	80	100
4.	*Outline of Review/Report/ Thesis writing and presentation(non-credit course).	0	20	80	100
5.	Computer Fundamental and Software Applications (Practical)	1	10	40	50
<b>Total</b>		<b>12</b>			<b>450</b>

- 14.3 The Research Methodology course may be centrally conducted. However, the subject-specific/oriented part of syllabi of the pre-Ph.D. course work shall be covered by the concerned Faculties / Department.
- 14.4 All courses prescribed for pre-Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods.
- 14.5 The RAC of the Department where the scholar pursue his/her research shall prescribe the Specialised Course to him/her based on the recommendations of the Research Advisory Committee (RAC), as stipulated in these regulations.
- 14.6 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 14.7 All Ph.D. Scholars shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 14.8 Candidates already holding M. Phil. degree and admitted to the Ph.D. 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 Ph.D. in the integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 14.9 *Grades in the course work for Specialized Course(s) shall be finalized after a combined assessment by the RAC and countersigned by Chairperson RAC. 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 and declare the combined result of all the five courses (i.e. marks obtained in credit based and non-credit based papers/courses) of Pre-Ph.D. Course Work Examination as early as possible.*



14.10 A Ph.D. scholar must obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit the thesis.

#### 15. Research Advisory Committee (RAC) and its Functions:

There shall be a Research Advisory Committee (RAC), for each Faculty, to be constituted by the concerned Dean of the Faculty and approved by the Vice-Chancellor, comprising of the following:

- |  |          |
|--|----------|
| i) Dean of the Faculty :   | Chairman |
| ii) One subject expert from the concerned Department:  | Member   |
| iii) One Faculty Member (to be nominated by the VC - He/she will be a common member for considering all Cases/matters of all departments of the concerned Faculty) | Member   |
| iv) One outside subject expert   | Member   |
| v) Co-supervisor, if any.  | Member   |
| vi) Research Supervisor (of concerned candidate)   | Convener |
| vii) An Additional/Co-opted Member, if required, or Special Invitee Member (if any) with the permission of the Chairman.   |          |

The Research Advisory Committee shall be constituted by the concerned Departmental within one month from the date of registration of the Research Scholar.

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 Ph.D. work to RAC with the mutual consent of the respective supervisors. However, in case where scholars not having any choice of supervisors, RAC shall allot the Research Supervisor/Co-Supervisor based upon the specialization of the eligible Research Supervisors available in the Department. In case, the area/topic of research happens to be inter-disciplinary or multi-disciplinary, the Co-Supervisor may be taken from another Department of the University or from the concerned department of any other University/Institute, who may be invited as special invitee in the RAC. Allotment of Research Supervisor shall be made by the RAC on merit.

RAC shall have the following responsibilities:

- 15.1 To review the research proposal and finalize the topic of research.
- 15.2 To guide the research scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- 15.3 To periodically review and assist in the progress of the research work of the research scholar.
- 15.4 To review and approve abstract/summary of the research work done for presentation of Pre- Ph.D. Seminar.
- 15.5 A research scholar shall submit half-yearly progress reports of his/her work for evaluation and further guidance 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 by recording reasons for cancellation of registration of the Ph.D. scholar with no refund of fee.

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

- 16.1 Upon satisfactory completion of course work and obtaining the prescribed marks/grade as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within the specified period mentioned in these regulations.
- 16.2 Prior to the submission of thesis, the scholar shall be required to make a presentation before the RAC a Pre-Ph.D. Seminar in the respective Department, which shall also be open to all faculty members and other research scholars/student. The final draft of the Ph.D. thesis shall be corrected in the light of feedback and comments suggested by RAC. Upon the approval of Pre-Ph.D. Seminar, the scholar shall submit the thesis.
- 16.3 Ph.D. scholars may be encouraged to publish their research work/paper in UGC/PubMed indexed or any other reputed journal(s) and they may also be persuaded to attend/participated in national/ international conference/ symposium, seminars before submission of Ph.D. thesis to have a better exposure.
- 16.4 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 31<sup>st</sup> 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.
- 16.5 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are experts in the field and not in employment of the University. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted offline/online and shall be open to the RAC, all faculty members of the Department and other research scholars.
- 16.6 The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of one or both of the external

examiners of Ph.D. thesis is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/ thesis to an alternate external examiner(s) out of the approved panel of examiners, and the viva-voce examination shall be held only if the report of the alternate examiner(s) is satisfactory. If the report of the alternate examiner is also unsatisfactory, the 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 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 Thesis by the Research Scholar, duly recommended by the Research Supervisor/Co- Supervisor and approved by RAC 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 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 Examiners reject the thesis and the other recommends with modification or accepts for conducting viva voce, the Thesis may be sent to a third/alternate external examiner for evaluation and assessment. Viva-voce shall be conducted only if minimum two External Examiners have accepted the thesis and recommend conduct of Viva-voce for the award of degree.

The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

16.7 The Result of the scholar will be notified, as presented, by the Controller of Examination, to the Academic Council.

## **17. PLAGIARISM/STANDARD OPERATING PROCEDURE FOR GOVERNING Ph.D. PROGRAMMES BY THE UNIVERSITY**

17.1 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.

17.2 The Academic Council of the University shall be authorized 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, 2022 and/or as amended from time to time by the UGC.

## **18. AWARD OF Ph.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS OR DEGREES AWARDED BY FOREIGN UNIVERSITIES**

- 18.1 University shall not award any Ph.D. degree in contravention with the provisions of *UGC (Minimum Standards and procedure for Awards of Ph.D. Degree) Regulation, 2022* and its amendments from time to time by the UGC.
- 18.2 If the Ph.D. 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.

## 19. DEPOSITORY WITH INFLIBNET

- 19.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University 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 Institutions/Colleges.
- 19.2 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 Ph.D. Degrees) Regulations, 2022 (and as amended from time to time).

## 20. STANDARD OPERATING PROCEDURES FOR CONDUCTING DOCTORAL PROGRAMMES LEADING TO THE AWARD OF Ph. D. DEGREE:

Standard Operating Procedures for conducting Doctoral Programmes leading to the award of Ph.D. degree shall be as per ANNEXURES - A to L, appended with these regulations, as per following details:

Annexure	Purpose
A	Format for Research Plan/Synopsis.
B	For Minutes of RAC for allotment of Research Area/Topic and Research Supervisor/Co-supervisor(s)
C	Format for Half-Yearly Progress Report of the Research Scholar to be considered by the RAC.
D	Format for approval of the RAC for presenting Pre-Ph.D. Seminar.
E	Format for submission of Summary/Abstract for presenting Pre-Ph.D. seminar
F	Format for meeting of RAC for approval for submission of Thesis.
G	Proforma for submission of thesis
H	Guidelines for Ph.D. thesis writing.
I	Format for sending the panel of external examiners for evaluating thesis in confidential cover.
J	Thesis Examiner's Evaluation report.
K	Format for final viva-voce examination.
L	Format for final viva voce examination report by the Examiners.

Amendments/modification in these annexures, as per requirements, may be done by the Academic Council.

## **21. DISCIPLINE**

Every research scholar is required to observe decorum and disciplined behavior the 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.

## **22. DISPUTE REDRESSAL**

In case of any dispute OR interpretation of any provision of these regulations, the decision of the Vice Chancellor shall be final and will be binding on all concerned.

**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. Proposed / Title of the Research Plan:  
.....  
.....

Date:

Signature of the Candidate



## Section 2: Format for Research Plan

1. Title of the Research Plan (proposed):
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	Months						
	6	12	18	24	30	36	*
1. Course Work							
2. Literature Survey							
3. Methodology Steps							
4. Half Yearly Progress Reports							
5. Communication of Papers (optional)							
6. Preparation of Final Thesis							
7. Submission of Thesis							

\* As approved Extension(s)

10. References

11. Bibliography/Webliography

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



**ANNEXURE-B**  
**Format for Minutes of Meeting of Research Advisory Committee for**  
**Allotment of Research Area / Topic and Research Supervisor(s)**  
**/Co-supervisor(s)**

A meeting of the Research Advisory Committee of the Department of \_\_\_\_\_  
 under Faculty of ..... was held on \_\_\_\_\_  
 (Date) at \_\_\_\_\_ (Time) in the office of the \_\_\_\_\_.

The following were present: -

- |               |                            |
|---------------|----------------------------|
| 1. Prof ..... | Chairperson RAC            |
| 2. Prof ..... | Outside Subject Expert RAC |
| 3. Prof ..... | Member RAC                 |
| 4. ....       |                            |
| 5. ....       |                            |
| 6. ....       |                            |

(Note: All eligible Research Supervisors' are required to attend the meeting of RAC. In case of Interdisciplinary/Multidisciplinary Research Plan is being presented, , a special invitee from the relevant area may be included).

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

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





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

Signature.....  
Name .....  
(Chairperson RAC)

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

Signature.....  
Name .....  
(Member RAC)

Signature.....  
Name .....  
(Member RAC)

Signature.....  
Name .....  
(Member RAC)

Signature.....  
Name .....  
(Member RAC)

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



### ANNEXURE-C

## Format for the Half-Yearly 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. Half-Yearly 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%  | <input type="checkbox"/> | (b) 11 – 20% | <input type="checkbox"/> | (c) 21 - 30%  | <input type="checkbox"/> |
| (d) 31 - 50% | <input type="checkbox"/> | (e) 51 - 75% | <input type="checkbox"/> | (f) 76 - 100% | <input type="checkbox"/> |

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 sheets 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 Supervisor/Co-Supervisor(s)/ External Mentors (if any):

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

Name & Signature of  
Supervisor/Co-Supervisor(s)/External Mentor  
(Whichever is applicable?)

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 approval of 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-Ph.D. Seminar
  - a) Minimum two and half years completed from the date of registration: Yes/No
  - b) Minimum five monthly Progress Reports submitted and found satisfactory by RAC:
  - c) Fees deposited as due till date: Yes/No  
  
Yes/No (attach proofs)
  - d) Detail of paper(s) published/presented (Optional):
  - e) Detail of Conference(s)/Seminars/Symposium/Work-shop attended, if any (Optional):

Signature & Name of Research Scholar

Signature  
Name of Research Supervisor  
Designation

Signature  
Name of Research Co-Supervisor(s)  
Designation



## ANNEXURE-E

### Format for Submission of Summary/Abstract for presenting Pre-Ph.D. Seminar

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

The Summary/Abstract 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 Summary: -

1. Cover Page/Title
2. Declaration
3. Dedication (if any)
4. Certificate(s)
5. Acknowledgment
6. List of Tables/Graphs/Charts (as may be applicable)
7. Content Page
8. Introduction
9. Research Objectives and Methodology
10. Organization of thesis (Chapter wise with brief description for each Chapter)
11. Conclusion of Research Work
12. Scope for further work
13. Annexure(s): Bibliography/References, Questionnaire, Maps, list of Publications.

The Summary/Abstract of thesis should be typed in 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 line-spacing.

The general guidelines are as follows:

1. Summary must be unambiguous. Title of the Summary 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 reasonably understandable language level.
4. The Summary 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 Research Advisory Committee for approval for submission of Thesis**

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

The Following were present: -

1. Prof ....., Chairperson RAC
2. Prof ....., Member RAC
3. Prof ....., Member RAC
4. ....
5. ....
6. ....

(a) Thesis titled.....  
.....submitted by the Research Scholar \_\_\_\_\_(Name),  
Registration No. ....was considered by the RAC, based on merit

and upon the presentation made by the Research Scholar and satisfactory reply to the queries raised by the members of RAC, it was decided unanimously to allow the Research Scholar to submit Thesis within six months from the date of this RAC meeting with following details:-

- 1) Topic / Area of Research is as approved 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 RAC.

Or

The Research Scholar has not completed his / her research work satisfactorily related to Research Objective/Hypothesis, No. titled, " .....

..... but her / his research work justifies the overall spirit of the Research Plan approved/Not approved by the RAC.

- 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.

examiners (including two out of the Country – wherever possible), 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 Summary of the thesis submitted by the Research Scholar with the panel members. She / he shall forward the panel of external examiners as mentioned above to the Controller of Examination through Chairperson, RAC along with the Thesis, as and when submitted.

8) 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 RAC

Signature  
Name  
Designation  
Member RAC

Signature  
Name  
Designation  
Member RAC

**Note: Minimum two third of the total members of Research Advisory 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 RAC meeting For approval of Synopsis		Date of approval of Research Plan by Ethical Committee	

Signature of the Research Scholar  
(Date: .....)

Signature of the Research Supervisor  
(Date.....)

Signature of the Research Co-Supervisor  
(Date: .....)

Signature of the HOD  
(Date.....)

Signature of Chairperson  
RAC(If other than HOD)  
(Date ..... )

**Registrar**  
**SGT University**  
**Budhera, Gurugram**



**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, **Four 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 concerned persons, Research Supervisor shall forward the four copies of Thesis to The Controller of Examination along with the list of recommended panel of external Examiners as approved by the Research Advisory Committee and file of the Research Scholar containing all the relevant records through the Ph.D. Cell.



Registrar  
SGT University  
Budhera, Gurugram

**ANNEXURE-H**  
**Guidelines for Ph.D. Thesis Writing**

1. Front/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 RAC.
  - 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. List of Tables/Figures/Graphs/Diagrams/Abbreviations
7. Index of Content
8. Chapters preferably one for each objective
9. Statistical Analysis along with results, if required
10. Discussion on findings, if required.
11. Conclusion and Future Scope of Study
12. Social Relevance (If any)
13. Annexures [Bibliography/References/Maps (if any), Abbreviations/Publications, Questionnaire (if any)].

**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-Ph.D. open seminar in front of RAC 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 Ph.D. degree under my / our guidance and is ready to submit her / his Thesis within six months of the submission of the Summary/Abstract:
4. Title of the Thesis:  
.....  
.....
5. Name of the External Examiners Suggested for the Evaluation of the Thesis from Outside the Country (wherever possible):

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

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			
8			



inresearch in the field of specialization of the Research Scholar and their prior consent has already been taken, as per requirement.

8. Certified that none of the External Experts is in near relation (parents, brother/sister orson/daughter) of the supervisor(s) / Co-supervisor(s) or the Research Scholar or theirspouses. Further certified that the Research Scholar has neither worked nor studied in the Institutions / Organizations from where the names of the external examiners have been recommended.

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

**SUPERVISOR**

**CO-SUPERVISOR (S)**



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Budhera, Gurugram

**ANNEXURE-J**  
**Thesis Examiner's Evaluation Report**

Dear Sir/ Madam,

Please 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 Methods		<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 defense 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 to be rejected. (Please enclose your comments).\* [ ]

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

Place .....

Date .....

Signature of the Examiner.....

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, RAC**  
**(Name and Signature)**





## ANNEXURE-L

### Particulars to Be Filled by the Examiners during the Final Viva-Voce of the Candidate/ Defense of the Ph.D.

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/defense of the candidate, namely, Mr./Ms.....S/o..... Roll No .....for the Award of Ph.D. Degree was conducted on (date).....at (Time).....in the office of..... The candidate successfully defended his/her work, publicly, and answered satisfactorily to all the queries raised by the examiners and/or other members present during the viva. The examiners were 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/Director (R& D)**

**Chairman, RAC (Name and Signature)**

