

PH.D. REGULATIONS, 2022

According To

UNIVERSITY GRANTS COMMISSION

NOTIFICATION

New Delhi, the 7th November, 2022

University Grants Commission

(Minimum Standards and Procedures for Award of Ph.D. Degree)

Regulations, 2022



SHRI GOVIND GURU UNIVERSITY

(STATE GOVERNMENT UNIVERSITY)

**AT. VINZOL, POST. KANKANPUR, TA. GODHRA,
DIST. PANCHMAHALS, GUJARAT - 388713.**

(EFFECTIVE FROM JUNE - 2023)

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R. PH.D. 1. SHORT TITLE, APPLICATION, AND COMMENCEMENT:

These Regulations shall be called by name **Ph.D. Regulations, 2022** of Shri Govind Guru University, Godhra.

It shall come into force on the date as notified by the Shri Govind Guru University, Godhra. It will also supersede the earlier Ph.D. Ordinances and is applicable to all Ph.D. registered candidates of Shri Govind Guru University, Godhra.

These regulations (rules & regulations) shall apply to the Ph.D. studies conducted in different disciplines in the University Post Graduate Departments, Constituent Colleges, Affiliated Colleges, Recognized Institutes or Centers established and/or maintained by the Shri Govind Guru University, Godhra for the purpose of Ph.D. studies.

R. PH.D. 2. DEFINITIONS:

(1) In these Regulations, unless the context otherwise requires-

- a) "Act" means the Shri Govind Guru University, Godhra Act, 2015;
- b) "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired to teach by a University/Higher Educational Institution;
- c) "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;
- d) "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;
- e) "College" means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;
- f) "Commission" means the University Grants Commission established under Section 4 of the UGC Act 1956;
- g) "Course" means one of the specified units which go to comprise a programme of study;
- h) "Course Work" means courses of study prescribed by the School/Department/Centre to be undertaken by a student registered for the Ph.D. Degree;
- i) "Degree" means a degree awarded by a University in accordance with the provisions of section 22 (3) of the Act;
- j) "External examiner" means an academician/researcher with published research work who is not part of the Shri Govind Guru University where the Ph.D. scholar has registered for the Ph.D. programme;
- k) "Foreign Educational Institution" means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- l) "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;



- m) “Guide/Research supervisor” means an academician/researcher recognized by University to supervise the Ph.D. scholar for his/her research;
- n) “Higher Educational Institution” means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
- o) “Interdisciplinary Research” means research conducted by a Ph.D. scholar in two or more academic disciplines;
- p) “Open and Distance Learning Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- q) “Online Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- r) “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own;
- s) “Programme” means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- t) “Prospectus” means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- u) “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;
- v) “University” means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution for higher education deemed to be a University under Section 3 of the Act. SGGU means Shri Govind Guru University.

(2) Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

R. PH.D. 3. ELIGIBILITY CRITERIA FOR ADMISSION TO THE PH.D. PROGRAMME:

The following are eligible to seek admission to the Ph.D. Programme:

(1) Candidates who have completed:

- i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year 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 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 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.

- (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 a 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.

R. PH.D. 4. DURATION OF THE PROGRAMME:

- (1) Ph.D. Programme shall be for a **minimum duration of three years**, including course work, and a **maximum duration of six (6) years** from the date of admission to the Ph.D. Programme.
- (2) Maximum of an **additional two (2) years** can be given through a process of re-registration as per the Statute/Ordinance of the University concerned; 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.

Provided further that, **female Ph.D. scholars** and **Persons with Disabilities** (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. Programme.

- (3) Female Ph.D. Scholars may be provided **Maternity Leave/Child Care Leave** for up to 240 days in the entire duration of the Ph.D. Programme.

R. PH.D. 5. PROCEDURE FOR ADMISSION:

- (1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the **reservation policy** of the Central/State Government from time to time.
- (2) Admission to the Ph.D. programme shall be made using the following methods:

- i. University may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests as follows: Selection of these candidates will be based on academic performance and interview/viva- voce performance, the weightage of academic performance and interview/viva- voce performance will be 70 : 30.



The marking scheme for evaluation of candidate's performance is as under:

Sr No.	Details	Marks
Academic Performance		
1	Undergraduate (UG) - 10% of obtained percentage	10
2	Post Graduate (PG) - 20% of obtained percentage	20
3	M.Phil. Completion 15 Marks	15
4	JRF/NET/SLET/Other test 15 Marks	15
5	Teaching Experience 10 Marks - One mark of every completed year of teaching subjected to a maximum of ten marks of ten years only for university recognized teachers	10
TOTAL		70
Interview/viva- voce performance		
6	Interview/viva- voce (DRC) performance 30 Marks (as per R.Ph.D.6)	30
TOTAL MARKS		100

And/or

- ii. University may admit students through an Entrance Test conducted at the University level. **The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.**

Structure of the Test

All the candidates who are not exempted from the Entrance Test are required to appear in person for the Entrance Test. It is mandatory for exempted students to fill the Ph.D. form. The total mark of the entrance test is **70**. The name of the papers and contents of the test shall be as follows:

Paper 1: Research Methodology:

This paper will have 35 questions with multiple choices. No Negative Marking.

Paper II: Subject Specific Paper

This paper will have 35 questions with multiple choices. No Negative Marking. The syllabus of this paper is as per UGC NET/CSIR Paper – II syllabus.

In the subject Where UGC NET/CSIR syllabus is not available concerned Department/Chairman of Board of study will prepare the syllabus

- iii. Students who have secured **50 % marks** in the entrance test are eligible to be called for the interview (DRC).
- iv. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- v. Based on the number of Ph.D. seats available, six candidates will be called in each category against one vacant seat for an interview (DRC).
- vi. Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of **70% for the entrance test** and **30% for the performance** in the interview/viva- voce (DRC) shall be given.



(3) Universities and Colleges which are eligible to conduct Ph.D. programmes, shall:

i. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

ii. Adhere to the National/State-level reservation policy, as applicable.

(4) The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the **website** of the institution and update this list **every academic year**.

(5) If, any vacancy arises by any means during the admission process upto registration of Ph.D. programme, the same shall be filled from the waiting list as per the available seats in the respective subject.

R. PH.D. 6. DEPARTMENT RESEARCH COMMITTEE (DRC):

Department Research Committee (DRC) shall comprise of the following members:

- (a) The Head of the University Department in the subject (In case, there is no department, the Chairman of the concerned Board of Study) – Co-ordinator
- (b) Chairman of the Board of Study of the Concerned subject
- (c) Dean of the concerned Faculty
- (d) Two subject experts: (An eminent scholar with established research credentials) to be nominated by the Vice Chancellor.

The quorum would be atleast three members of which presence of atleast one of the external subject experts will be compulsory.

The decision of DRC regarding approval, modification or rejection of research proposal shall be final.

The interview/*viva voce* shall also consider the following aspects, viz. whether

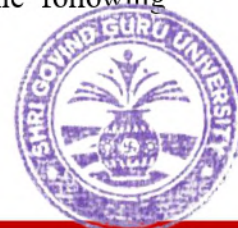
- The candidate possesses the competence for the proposed research;
- The research work can be suitably undertaken at the Department/College;
- The proposed area of research can contribute to new/additional knowledge

The marking scheme for evaluation of candidate's research proposal and presentation are as under:

Sr.	Parameters	Marks
1	Appropriateness of the Title with reference to Theme of the Research, Relevance / Significance of Research, Review of Literature Research Methodology: Hypothesis / Hypotheses & Testing Procedure (WHEREEVER APPLICABLE), Tools & Techniques of Research, Type of data, Methods of Data Collection & Analysis (AS PER RELEVANCY OF THE SUBJECT), Consistency of research theme & methodology, Bibliography with reference to its scientific way of presentation /writing & its completeness and Chapter Scheme	20
2	Presentation of Research Proposal before DRC	10
TOTAL MARKS		30

Ph.D. research proposal and presentation of proposal shall be evaluated by the following members as per above criteria:

- Dean of Faculty
- External Experts of DRC
- Co-ordinator of DRC



Average score of above committee members is to be considered for merit list.

If the research proposal of the concern candidate is not upto the mark, the DRC can summarily reject the proposal. Such candidates will be treated as **‘Not Eligible’** for admission in Ph.D. Programme.

Change in Research supervisor / Guide and change in Research Topic / Title will be done only after approval of DRC. If require, DRC can be arranged on online mode with the prior approval of the Vice Chancellor.

R. PH.D. 7. ALLOCATION OF RESEARCH SUPERVISOR:

Eligibility criteria to be a Research supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- (1) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution **with a Ph.D., and at least five research publications** in peer-reviewed or refereed journals and faculty members working as Assistant Professors in Higher Educational Institutions **with a Ph.D., and at least three research publications** in peer-reviewed or refereed journals may be recognized as a Research supervisor in the university where the faculty member is employed or in its affiliated Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Colleges/institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

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.

Co-supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority. Adjunct Faculty members shall not act as research supervisors and can only act as co-supervisors.

- (2) The Academic Section of the University will process these fresh applications for recognition as Ph.D. research supervisor. The Vice Chancellor will recommend one subject expert subject wise for evaluating such applications. The Subject Expert will evaluate the applications keeping in mind the criteria laid down in these regulations.
- (3) Research papers submitted by a candidate for recognition as Ph.D. supervisor will be evaluated by an external expert not below the rank of Associate Professor or equivalent eminent academician nominated by the Vice Chancellor. The report must be positive. In case of negative opinion, the candidate will be given the opportunity to re-apply only after a period of one year.
- (4) In case of interdisciplinary/multidisciplinary research work, if required, a co-supervisor from outside the Department/School/Centre/College/University may be appointed.
- (5) In case of Intra/Inter/Multidisciplinary research Ph.D. registration shall be done in master degree specialisation/ major subject only.
- (6) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.



- (7) 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 Higher Educational Institution 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/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- (8) Faculty members with **less than three years of service** before **superannuation** shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- (9) In case of retirement of a teacher, the teacher shall continue as a supervisor till the enrolled student(s) are awarded the degree.
- (10) In case of relocation of a teacher to another University, the teacher shall continue as a supervisor of that University till his registered students are awarded the degree.
- (11) The university shall, on the recommendation of the **DRC**, transfer the scholars registered under a Ph. D. research supervisor to another Ph.D. Research supervisor in the same subject discipline if the original Ph.D. research supervisor is unable to provide guidance due to unavoidable circumstances.
- (12) In case of death of a research supervisor, the student shall be transferred to other supervisor of SGGU on recommendation of DRC/ The Vice Chancellor. Notwithstanding anywhere in this regulations, in such cases, the number of students to be guided at any point of time shall be relaxed under the R. Ph.D. 7.6.
- (13) A Ph. D. research supervisor shall produce or register at least one Research Scholar during the last five years of his/her recognition as a Ph. D. research supervisor, failing which his/her recognition as a Ph. D. research supervisor shall be derecognised and he/she shall be required to seek re-recognition as a Ph. D. research supervisor through due process.
- (14) If co-supervisor is from SGGU University department/affiliated college/recognized institute and he/she is recognized guide of SGGU he/she can be recognized for co-supervisor ship for respective case only with prior permission of the competent authority.
- (15) If co-supervisor is from other than SGGU and he/she is recognized guide of that respective university can be a co-guide at SGGU with prior permission of the university.
- (16) If a person is engaged in government/public undertaking/research institute/semi government institution or any other institution of similar nature and having specialization in the respective field with 10 years experience can be a co-supervisor at SGGU with prior permission of the higher authority.
- (17) It will be considered vacant seat when research supervisor's research scholar submits his/her Ph.D. Thesis.

R. PH.D. 8. ADMISSION OF INTERNATIONAL STUDENTS IN PH.D. PROGRAMME:

- (1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 7.6 above.

- (2) The University may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

R. PH.D. 9. TOTAL NUMBER OF PH. D. SCHOLARS:

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 7.6 and clause 8.1.

R. PH.D. 10. COURSE WORK:

All candidates admitted to the Ph.D. programmes shall be required to undertake the coursework for one academic semester designed and conducted by the concerned DRC. The scholars who have completed M.Phil. degree according to the UGC regulation 2016 (which is amended from time to time) shall be exempted from the course work. For all other scholars, including JRF, and those who are getting direct admission to the Ph.D. programme, **course work is compulsory for one and all.**

- (1) Research Scholar has to clear these courses compulsory.
- (2) The Credit requirement for the Ph. D. coursework is 12 credits (1 Credit = 15 hours of classroom teaching so, 12*15 = 180 hours of classroom teaching), including a "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1- 1/2018 (Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. Programme.

The concerned DRC/Authority shall decide the details of the course work, teaching schedule and evaluation parameters.

The course work credits may be allocated for "Research Skills" which includes research methodology, quantitative methods, computer application, tools and techniques for research and experimentation, instrumentation, communications skills, review of research and report writing, Research and Publication Ethics course notified by UGC, laboratory work, field work, library work, seminar/conference, teaching and study of different contemporary and development issues in the subject/topic.

Attendance of the Ph. D. Scholar in coursework shall mandatorily be **75%**.

The Research scholar shall attend their respective department/school laboratory/institute/college/library according to the pre-arranged time-table and programmes provided by Heads/coordinator/directors/principal. The records of their attendance shall be maintained by the concerned research supervisor/s.

The University shall notify the results of the course work by a notification at the time of declaration of results of course work. An official marksheet of the course work will be issued by the university.

The teaching in the coursework shall be treated as part of the workload of the teacher.

- (3) All Ph.D. scholars, irrespective of discipline, 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.



- (4) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10 – point scale in the course work to be eligible for registration, to continue in the programme and submit his or her thesis. Those who failed to get the minimum passing marks they have to undergone all the procedure of next P.E.T. (Except Entrance Test).
- (5) A Course Work Completion Certificate would be essential before the submission of the synopsis. The synopsis of the scholars would be accepted only after such necessary certification.

R. PH.D. 11. RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS:

- (1) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the University concerned for each Ph.D. scholar.

The Research Advisory Committee (RAC) shall comprise:

- Head of the Department who shall be the ex-officio Chairperson. Where there is not university PG department in the concerned subject, Chairman of Board of Study in the concern subject shall be appointed as the Subject Coordinator who will act as the Chairperson of the Committee.
- At least one subject expert nominated by the Vice Chancellor
- Dean/VC nominee from teaching faculty.
- Research supervisor of the Ph.D. student who shall be the convener of the committee.

The head of the department will recommend five names of subject experts preferably from other University. The Vice Chancellor will nominate one name out of them who will be informed to remain present in the RAC.

Provided that if there is no PG department of the concern subject in the University, the Vice Chancellor will appoint the subject expert/s.

- (2) This committee shall have the following responsibilities:
 - i. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
 - ii. To periodically review and assist in the progress of the research work of the Ph.D. Scholar.
 - iii. To assist in the progress of the research work of the research scholar.
- (3) **The research supervisor should have to remain present in the RAC meeting with Progress Report of his/her research scholar.**
- (4) It will be the responsibility of the Research Scholar to prepare a Progress Report through research supervisor as per the proforma given by the University. The research supervisor should inform the student/s to remain present in the RAC meeting on given date, time and place.
- (5) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.



- (6) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. **If performance of research scholars in RAC is not satisfactory, he/she has to reappear in the RAC and his/her term can be extended.** If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.
- (7) With the prior approval from the authority Research Advisory Committee (RAC) can be conducted on online mode also.
- (8) The Research Scholar should pay the due term fee within ten days from the date of RAC. If he/she fails to pay the due fee within ten days, due fee is to be paid with late fee within next ten days. If he/she fails to pay due fee along with late fee within ten days, due fee along with late fee and penalty fee is to be paid.

R. PH.D. 12. EVALUATION AND ASSESSMENT METHODS:

- (1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- (2) A Ph. D. candidate shall be allowed to submit his/her synopsis after completion of five semester/term successfully including coursework.
- (3) A Ph.D. research scholar shall submit his synopsis along with referee panel list in sealed cover to the Academic Section duly signed by the research supervisor. The referee panel list along with synopsis should be placed before the BoS for further process. If the BoS is not going to meet in a short period of time, the chairman of concerned BoS can give prior approval of the referees in a separate prescribed form, but it is to be approved in the coming meeting of Board of Study.
- (4) Prior to the submission of the thesis, the scholar shall make a Pre-Ph.D. Presentation in the University before RAC of concerned subject which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis. The certificate of Pre-Ph.D. Presentation should be included in the final thesis. **The scholar can make Pre-Ph.D. Presentation after successful completion of 5 RAC only (i.e. 6th RAC).**
- (5) The University concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree. **Thesis having up to 10% of Plagiarism will be considered for submission.** (See Annexure II) and Plagiarism Software Analysis Report with Signature of research supervisor and **University librarian and Head of the Department.**
- (6) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the research supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution. (See Annexure III)
- (7) The research supervisor shall suggest panel of six referees preferably three from outside the state. However, no referee shall be from Shri Govind Guru University. The referees should be Ph.D. and recognized Ph.D. supervisor/guide of the concerned University/college/institution. The referees should not be below the rank of an Associate Professor. The Academic Section will place these six names before the Vice Chancellor



for approval. The Vice Chancellor will select two external referees from the panel submitted to him. **The Vice Chancellor also shall appoint the external referee for viva voce examination in the same case.** In case of refusal by any external referee, the Vice Chancellor shall appoint another referee from the panel list.

- (8) The Ph.D. thesis submitted by a Ph.D. 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 Shri Govind Guru University concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. The viva-voce board shall consist of the research supervisor and at least one of the two external examiners. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students.
- (9) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the University concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- (10) The University concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.
- (11) The research supervisor shall have personnel responsibility to notify the date, time and place of open/public viva-voce extending invitations to the members of different departments, colleges, research scholars and interested people. The viva-voce must be conducted in the respective University department or a place determined by the University at the university campus, preferably on working days.
- (12) If the thesis is recommended for award of the Ph. D. degree after the open viva voce, the Registrar, with the approval of the Vice Chancellor, shall declare the result. A certificate with signature of the Registrar and seal of the university, to this effect shall be issued by the Registrar to the successful research scholar.
- (13) A candidate has to submit the thesis within one year after submitting the synopsis. In case of a Ph. D. research scholar fails to submit his/her thesis within one year after submission of his/her synopsis, extension is to be taken from the Vice Chancellor for the same. He/She shall be required to pay fees up to the time he/she submits his/her thesis.
- (14) If Viva-Voce Examination performance is not satisfactory, it can be rearranged after one month with the prior approval of the Vice Chancellor.
- (15) Viva-Voce Examination may be conducted on online mode with the prior approval of the Vice Chancellor.

R. PH.D. 13. CANCELLATION OF PH. D. REGISTRATION:

The registration of a student is liable to be cancelled through DRC for any of the following reasons:

- 1) Consistent lack of progress in research.
- 2) Not implementing the corrective measures/suggestions/recommendations given by the members during RAC meeting.
- 3) Violation of discipline and rules of the Department/College.
- 4) Misbehaviour or Misconduct with the university or research supervisor.
- 5) Non-submission of the thesis within the stipulated period.
- 6) Non-conformity with the regulations of the programme.



- 7) Giving false information at the time of application/admission or in-between the entire duration of Ph.D. Work.
- 8) Failing to pay prescribed fee consecutively for three terms.
- 9) Failing to submit Progress Report consecutively for two terms and etc.

R. PH.D. 14. REQUIREMENTS TO BE FULFILLED BY COLLEGES FOR GETTING RECOGNITION FOR OFFERING PH.D. PROGRAMMES:

- (1) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible research supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
- (2) Colleges and research institutions established by the central government or a State government whose degrees are awarded by University shall offer Ph.D. programmes provided they have:
 - i. At least two faculty members who are recognized as Ph.D. supervisors or two Ph.D. qualified scientists in the research institution.
 - ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the University.

O. PH.D. 15. PH.D. THROUGH PART-TIME MODE:

- (1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- (2) The University concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
- (3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

R. PH. D. 16. RESPONSIBILITIES OF RESEARCH SUPERVISOR:

- 1) The research supervisor carries all the major responsibility of guiding/supervising the academic planning/ progress/execution of the plan of research throughout the period of study. He/she counsels the scholar in academic matters, and provides guidance on the nature of course work and research, the standards expected, the adequacy of progress, and the quality of work.
- 2) To ensure the successful and timely completion of the programme including the course work, it is essential that research supervisor and their scholars maintain regular contacts. The research supervisor must give their scholars advance notice, if they plan to be absent from the University/college for an extended period of time, i.e., 03 months or more, and make suitable arrangements for the continued guidance to the scholar during his/her absence.
- 3) The research supervisors should keep all relevant documents of his/her Ph.D. Scholars.
- 4) He/She has to remain present in the RAC meeting.



R. PH. D. 17. GRANT OF M.PHIL. DEGREE:

University shall not offer the M.Phil. (Master of Philosophy) Programme.

R. PH.D. 18. ISSUING A PROVISIONAL CERTIFICATE:

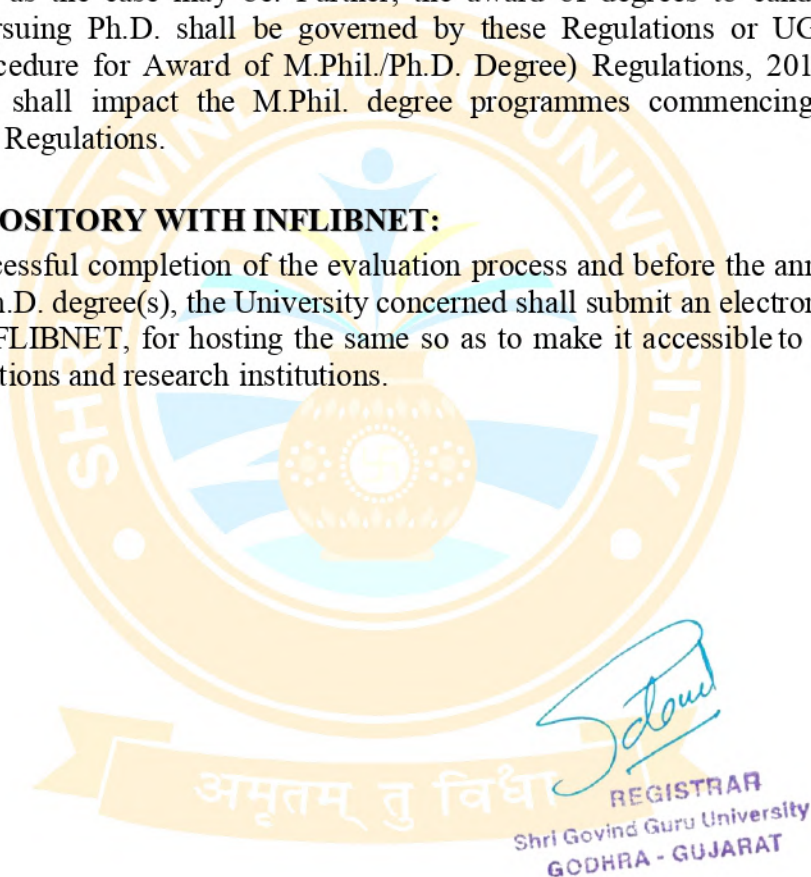
Prior to the actual award of the Ph.D. degree, the degree- awarding University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

R. PH.D. 19. AWARD OF PH.D. DEGREES:

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

R. PH.D. 20. DEPOSITORY WITH INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.





ANNEXURE - I

MID TERM PROGRESS REPORT OF PH.D. WORK (RAC)

Progress Report No.:

Name of the Research Student		
Name of the Research Supervisor		
Title of the Ph.D. Research		
Subject		
Faculty		
Registration No. & Date	No.	Date:
Report for the Period	From	To
Date of Earlier Report		

Precise Report of the Research work done during the above period	
1	
2	
3	
4	
5	

Signature of Ph.D. Scholar with Date

Signature of Research Supervisor with Date

Remarks of the Research Advisory Committee	
1	
2	
3	
4	
5	Recommendation of RAC:

Signature of Subject Expert

Signature of Convener of RAC

Signature of Dean

Signature of Head of Department

Date:

Place:



ANNEXURE – II

CERTIFICATE OF PLAGIARISM CHECK

01	Name of the Research Scholar	
02	Title of the Thesis/Dissertation	
03	Name of the Supervisor	
04	Department/Institution/Research Center	
05	Similar Content (%) identified	
06	Acceptable Maximum Limit	10%
07	Software Used	
08	Date of Verification	

Report on plagiarism check specify included/excluded item with % of similarity to be attached.

Checked by (with Name designation & signature):

Librarian
Shri Govind Guru University
Godhra

Name & Signature of the Research Supervisor

Name & Signature of the HOD (Co-ordinator of the Department Research Committee):

* In the case of Languages like Gujarati/Hindi/Sanskrit, etc. on which no software is available for plagiarism check, a manual check shall be made by the Research Advisory Committee, for which an additional certificate has to be attached.





ANNEXURE – III

DECLARATION BY THE PH.D. SCHOLAR

I declare that the thesis entitled
.....
submitted by me for the degree of Doctor of Philosophy is the record of research work carried out by me during the period from.....to Under the guidance of and has not formed the basis for the award of any degree, diploma, associate ship, fellowship, titles in this or any other University or other institution of higher learning. I further declare that the material obtained from other sources has been duly acknowledged in the thesis. I shall be solely responsible for any plagiarism or other irregularities, if noticed in the thesis.

Signature of the Ph.D. Scholar

Place:

Date:

CERTIFICATE BY RESEARCH SUPERVISOR

Certified that the work incorporated in the thesis
.....(Title)
submitted by Shri/Smt./Kum was carried out by the candidate under my supervision/guidance. To the best of my knowledge: (i) the candidate has not submitted the same research work to any other institution for any degree/diploma, associate ship, Fellowship or other similar titles (ii) the thesis submitted is a record of original research work done by the student during the period of study under my supervision, and (iii) the thesis represents independent research work on the part of the student.

Signature with Seal of Research Supervisor

Place:

Date:

ANNEXURE - IV

(Form to be sent to all the examiners of Ph.D. thesis along with the thesis)

Note: The external examiner may kindly arrange to send the adjudication report to the University within two months of receipt of the Ph.D. thesis.

PH.D. THESIS ADJUDICATION REPORT

1. Name of the student :

2. Title of the Thesis :

3. Subject :

4. Faculty :

5. Name and Address of Examiner :

Mobile No.:

Email:

6. Recommendations of the Examiner (please select one of the following):

- 1) The thesis to be accepted for the award of Ph.D. degree in the present form
- 2) The thesis to be accepted for the award of Ph.D. degree after minor corrections.
- 3) The thesis be revised and resubmitted for evaluation.
- 4) The thesis be rejected.

Place:

Signature

Date:

(Name of Examiner)

Attach a detailed report on a separate sheet of paper for which you may take the following into consideration:

- i. Aims, objectives and the scope of the research work and if they were well defined.
 - ii. Literature review and its relevance to the research work.
 - iii. Research methodology/experimental work and innovations adopted
 - iv. Originality and timeliness of the work.
 - v. Analysis and adequacy of data, if any, by using standard/innovative methods.
 - vi. Results/findings of the work.
 - vii. Thesis presentation with regard to arrangement of chapters, writing style, explanations, figures, captions, titles, language, references and freedom from irrelevant material/errors, etc.
 - viii. Whether the thesis could be published in the form of a book/papers at international level.
 - ix. Scope of further research in the field.
7. In case correction/revision/modification/clarification are required, kindly give a list of items to be covered.
8. The detailed report as requested is required to decide if the candidate is eligible to take the *viva voce*.

(Signature of Examiner)

Name:

Date:

Encls: Detailed reports of Thesis Evaluation

अमृतम् तु विधा

ANNEXURE - V
CONSOLIDATED REPORT OF THE REFEREES ON THE PH.D. VIVA VOCE

1. Student full Name : _____
2. Subject : _____
3. Faculty : _____
4. Title of the Thesis : _____
5. Registration No. & Date : No. _____ Date: _____
6. VIVA VOCE Date : _____
7. Place : _____

We the undersigned conducted the Ph.D. viva-voce of the above candidates on his/her Ph.D. thesis entitled as per above.

The performance of the candidate was satisfactory. We recommend that he/she be awarded the Ph.D. Degree.

*The performance of the candidate was unsatisfactory. We recommend that he/she should not be awarded the Ph.D. Degree. The *viva voce* be arranged again on

*(tick which is applicable and delete which is not applicable)

Name and Signature of Research Supervisor _____ Name and Signature External Examiner _____

अमृतम् तु विधा

GUIDELINES FOR PREPARATION AND SUBMISSION OF PH.D. THESIS

PREFACE

The Thesis is a treatise that represents the fulfillment of the scholarly aspiration of the student. A good thesis should be clear and unambiguous and have a logical structure that should assist the reader's understanding of the argument being presented and not obscure it. In order to achieve this objective, the layout and physical appearance of the thesis should conform to a set pattern.

The purpose of this annexure is to outline the guidelines that a Ph.D. thesis submitted to the SU should adhere to. This provides an overview of the format for the preparation of the Ph.D. dissertation and guidelines for the submission of the thesis.

GENERAL INSTRUCTIONS:

On completion of the research work, the Ph.D. Thesis is prepared according to the format provided.

- The students are advised to strictly adhere to the format.
- Two hardbound (spiral) copies of the Thesis have to be submitted for evaluation. One DVDs/Pen Drive of the softcopy (PDF and Word) will also have to be submitted with the Thesis.
- The Research supervisor will have to be given a final copy of the Thesis.
- Two final copies of the Thesis should also be given to the University Library/Research department at the time of Viva-Voce Exam.
- In case of co-supervisor the candidate should use the words Principal Supervisor and Co-Supervisor on the front cover and other places in the thesis.
- Text should be justified in every respect.
- No ornamental bordering of the sides is permitted.
- No dedication page in the thesis is permitted.



LAYOUT AND FORMAT:

One of the most important requisites in preparation of the Thesis is consistency of format and adherence to the specific instructions given below:

Font

The Thesis should be written in English. It must be typewritten on A4 size paper (21 cm x 29.7 cm) in a clear and legible font (e.g., Times New Roman 12 or Arial 10). As far as possible, use the same font for the entire thesis but, if necessary, different fonts may be used within Tables, Figures, and Appendices. The Thesis has to be printed on both sides of the paper. Double-spacing should be used in the Abstract and text of the Thesis. Single spacing should be used in long Tables, block quotations separated from the text, footnotes, and bibliographical entries. Paragraphs should be indented, or an empty line left between paragraphs.

Larger size type may be used for the title of the Thesis and for Chapter headings, as long as it is not larger than 18 point. Boldface type may also be used on the title page and for headings, as

well as in the text for special symbols or for emphasis. Reduced type may be used within Tables, Figures, and Appendices, but it should be at least 9 point in size (partly because of microfilming requirements) and must be completely legible.

The Thesis should be free from grammatical, lexical and punctuation errors. In addition to the computer spellchecker, a thesis should be proof-read to check that errors do not remain that are not detected by the spellchecker. The thesis should consistently use either American or British spelling but should not alternate between the two. When using numbers in the text, if the first word of a sentence is a number, it should be written in words. Writers not fluent in English are encouraged to have their manuscript professionally edited before submission, to improve the English.

Chapter and Page Layout

Begin each Chapter on a new page. Do the same with each element of the front matter (list of Tables, Acknowledgments, etc.), the Reference section, and each Appendix. Avoid typing a heading near the bottom of a page unless there is room for at least two lines of text following the heading. The Chapters should begin on a new page, but sections and subsections should not. A "display" page (a page that shows only the Chapter title) can be placed at the beginning of Chapters or Appendices.

Pages should be numbered at the bottom in the centre, using Arabic numerals (1, 2, 3) beginning with 1 on the first page of the Introduction and continuing consecutively to the end of the manuscript including References. The preliminary pages are numbered in lower-case Roman numerals, beginning with the declaration page.

Margins

A margin of at least 1.5 inch must be on left side of each page and a margin of at least 1 inch on the other sides.

Captions and numbering (Tables and Figures)

Each Table should carry a number and a title clearly describing the data presented. Similarly each Figure / Illustration should carry a number and caption that clearly describes the nature of data presented. The caption should be at the bottom of the Figure. Number them consecutively throughout, in the order in which they are placed in the text.

The Figures, Graphs, Tables should be embedded in the text of the thesis, immediately after the first mention of it in the text, on the same page if there is room, or on the following page.

Captions and titles of Figures and Tables should appear on the same page as the material itself. Tables should be numbered consecutively with Arabic numerals throughout the thesis. Figures and Illustrations should also be numbered consecutively in the order of presentation. All Tables and Figures must be referred to in the text by numbers and not by a phrase such as "the following table".

Tables or Figures of peripheral importance to the text may be placed in an Appendix.



Appropriate use of headings and subheadings

Headings should be distinguished from the surrounding text by a larger font size, a different font, bolding, italics, or a combination of these. All headings of the same level should use the same style, and headings at lower levels should be less prominent than those at higher levels.

Example:

- Chapter Title (Arial 14 point/ Times New Roman 16 point -Bold Small caps)
- Heading for section (Arial 12 point/ Times New Roman 14 point - Bold Italic)
- Heading for sub-section (Arial 10 point /Times New Roman 12 point - Bold)
- Heading for part of subsection- (Arial 10 point/ Times New Roman 12 point- Bold Italic)
- All headings should be left aligned, except chapter headings, which may be centred.
- The headings and subheadings can be numbered, if necessary.
- The references and bibliography throughout the thesis should have a common style. It is preferable to write the references at the end of the respective chapters.

FORMAT OF THESIS

The manuscript consists is to be arranged in the following sequence in PDF and Word File:

01_ Title

02_ Prelim Pages:

- Declarations by Student
- Certificate by Research Supervisor
- Certificate of Plagiarism Check
- Plagiarism Software Analysis Report with Signature of University Librarian
- Acknowledgements
- List of Figures, Tables or Illustrations
- List of Abbreviations (optional)

03_ Content

04_ Abstract

05_ Chapter 1

06_ Chapter 2

07, 08 and so on (Bibliography, Annexure etc.)

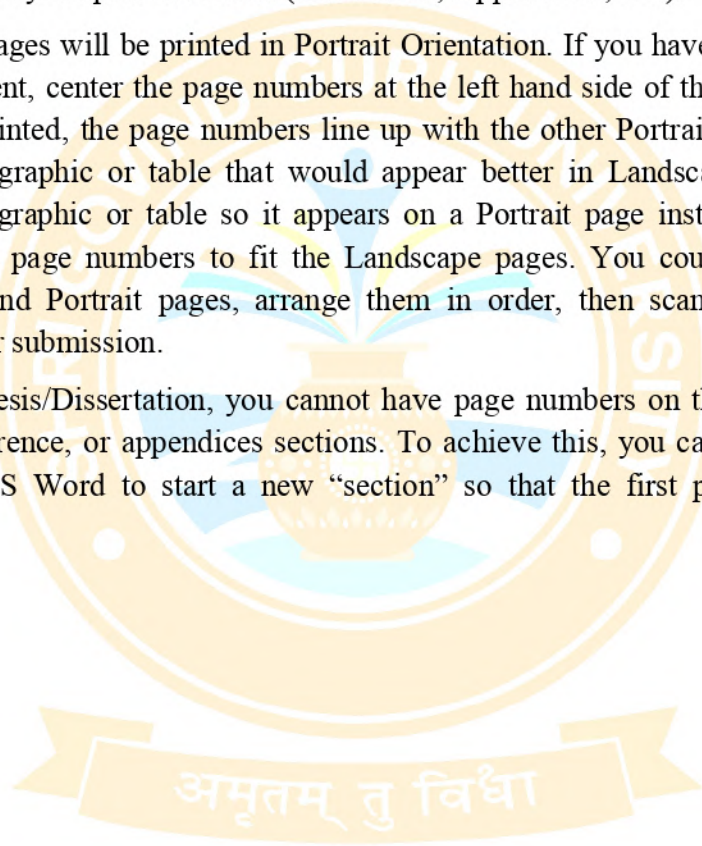


PAGE NUMBERING

Though normally we insert page numbers at the beginning of documents, the graduate school has special requirements regarding page numbers. They require that Arabic page numbers are placed after the prefatory pages. In which case, the first page number appearing in the document will be on page number 2 of the main body of your Thesis/Dissertation (the second page of the first chapter). In order to achieve this, you can use the following steps.

- Page numbers should be $\frac{3}{4}$ inch from the bottom of the page in the center.
- The Prefatory pages (all pages from the Title Page to the first page of the body of the thesis or dissertation, i.e., the title page, copyright page, signature page acknowledgement page, etc.) should NOT have any page numbers on them, but are numbered on the Table of Contents as Roman Numerals (i, ii, iii) starting with the Signature Page (blank) listed as page i.

- The only pages within your document that are not listed or numbered on your Table of Contents are your Abstract and Blank pages. Your Title and Copyright pages are counted along with your Signature page as page “i” of your document.
- Page numbers for all pages after the start of the body of the text of the Thesis/Dissertation should be in standard Arabic numbers (1, 2, 3).
- The first page of each section, including the body of the text, Reference section, and Appendices, should NOT have a page number on it. You can use section breaks for each section, then selecting “Different First Page” in Header and Footer options to clear the page number for the first page of the section.
- The first page number appearing in the body of the text will be page number 2 (second page of the first chapter. Although counted as pages, NO page number appears on the first page of any chapter or section (References, Appendices, etc.).
- Landscape pages will be printed in Portrait Orientation. If you have Landscape pages in your document, center the page numbers at the left hand side of the Landscape page so that when printed, the page numbers line up with the other Portrait orientated pages. If you have a graphic or table that would appear better in Landscape format, consider rotating the graphic or table so it appears on a Portrait page instead of having to re-orientate the page numbers to fit the Landscape pages. You could also print off the Landscape and Portrait pages, arrange them in order, then scan them into a single document for submission.
- For your Thesis/Dissertation, you cannot have page numbers on the first page of each chapter, reference, or appendices sections. To achieve this, you can simply use section breaks in MS Word to start a new “section” so that the first page header/footer is different.



Suggested layout for the front cover page of Ph.D. Thesis

TITLE
(All Capitals)

A THESIS
Submitted by

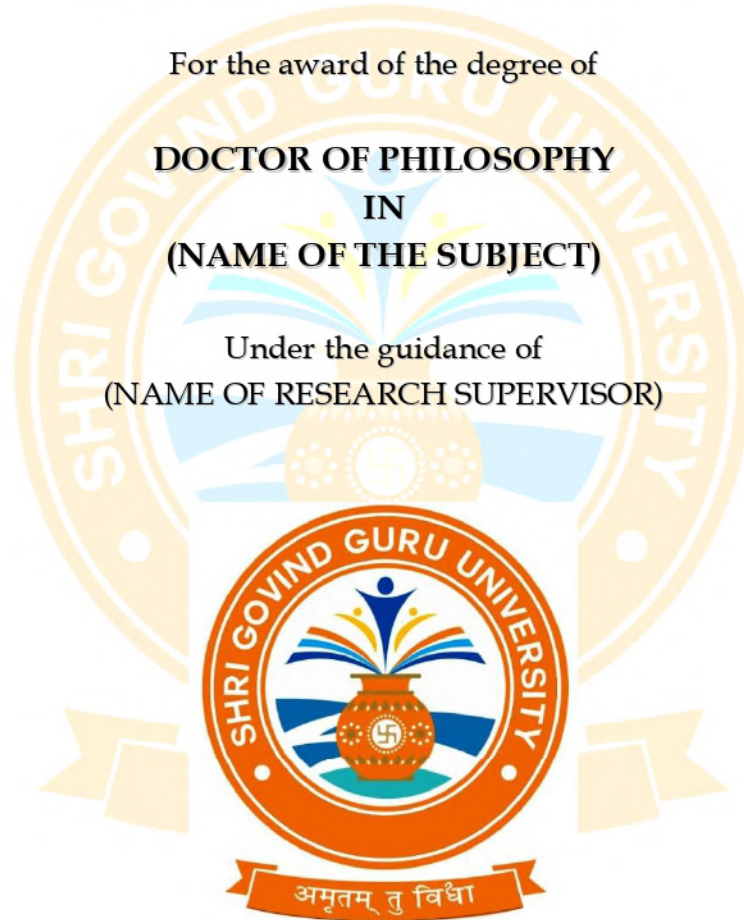
NAME OF Ph.D. Scholar
(All Capitals)

Registration Number and Registration Date

For the award of the degree of

DOCTOR OF PHILOSOPHY
IN
(NAME OF THE SUBJECT)

Under the guidance of
(NAME OF RESEARCH SUPERVISOR)



(Name of the Department/ College/ Institute)

SHRI GOVIND GURU UNIVERSITY

(STATE GOVERNMENT UNIVERSITY)

AT. VINZOL, POST. KANKANPUR, TA. GODHRA,
DIST. PANCHMAHALS, GUJARAT - 388713.

(Year and Month of submission of thesis)