

# **Sardar Patel University**

## **Rules and Regulations for Ph. D. Programme**

**Dec-2016**

[Revised in Compliance of the UGC (Minimum Standards and Procedures for the Award of M. Phil./Ph. D. Degree) Regulation, 2016 as notified in The Gazette of India (No.278, Part III – Section 4) 5 July 2016.]

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**R. Ph.D. 1. Eligibility Criteria for Recognition as Ph. D. Guide:**

- 1.1 Only a full time regular teacher (with qualification, scale and cadre prescribed by UGC) of Sardar Patel University /Constituent College/Institution/P. G. Centre/College affiliated to Sardar Patel University having at least two years of P. G. teaching/research/industrial research or a minimum of four years of experience of teaching at the undergraduate level shall act as a Ph. D. Guide, and **no external Guide** shall be allowed. However, Co- Guide may be allowed in inter-disciplinary areas from other departments of the same institution or from other related institutions with the approval of the a duly constituted Departmental Research Advisory Committee (DRAC).
- 1.2 Any regular Professor of Sardar Patel University or a Constituent College/Institutions/Colleges/ P. G. Centres affiliated to Sardar Patel University with Ph. D. degree having at least five research publications in the past three years in peer refereed journals with ISSN number/books with ISBN number (which shall not be from his/her Ph. D. thesis) shall be recognized as Research Guide for Ph. D.
- 1.3 Any regular Associate Professor/Assistant Professor of Sardar Patel University or a Constituent College/Institutions/Colleges/P. G. Centres affiliated to Sardar Patel University with a Ph. D. degree having at least two research publications in the past three years in peer refereed journals with ISSN number/books with ISBN number (which cannot be from his/her Ph. D. thesis) shall be recognized as Research Guide for Ph. D.
- 1.4 Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition of publications for recognition of a person as Ph. D. Guide with reasons recorded in writing.
- 1.5 A full-time regular teacher (with qualification prescribed by UGC) with at least ten years of teaching/research experience shall be allowed to work independently for Ph. D. , if there is no recognised Ph. D. Guide available in the University for a subject area in which he/she desires to do research work for a Ph. D. degree.
- 1.6 A Ph. D. Guide shall produce or register at least one Research Scholar during the last five years of his/her recognition as a Ph. D. Guide, failing which his/her recognition as a Ph. D. Guide shall be derecognised and he/she shall be required to seek re-recognition as a Ph. D. Guide.
- 1.7 A person recognized as a Ph. D. Guide by this university or UGC recognised other universities shall be automatically recognised as a Ph. D. Guide in this university upon joining it and making an application for recognition.
- 1.8 The University shall constitute a Committee for recommending Recognition as Ph. D. Guide with the following as members to evaluate the application with regard to

the fulfilment of the above criteria before recommending recognition of a teacher as a Ph. D. Guide: (1) Head of the University P. G. Department concerned (Chairman); (2) Dean of the faculty concerned; (3) Chairman of the Board of the Studies; (4) One expert in the relevant subject from other university; and (5) Two senior teachers of the related subject in the University P. G. Department/ a Constituent College/Institutes/P. G. Centres/Colleges affiliated to Sardar Patel University who are active researchers. All the members of this committee shall hold a Ph. D. degree and be recognised Ph. D. Guides. This committee shall hold office for three years. It shall meet at least once a year to consider applications for recommending recognition as Ph. D. Guide by deciding on each case individually on merit, taking into account the criteria stated above.

#### **R. Ph.D. 2. Eligibility Criteria for Admission to Ph. D. Programme:**

Any applicant who fulfils the conditions stipulated in these Regulations is eligible to seek admission to the Ph. D. programme:

- 2.1 A Master's degree holder who has secured at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed), or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions shall be eligible to apply for admission to the Ph. D. programme in this University.
- 2.2 Applicants who hold a Postgraduate Degree/Postgraduate Diploma from an approved University/College/Institutions/Department or a Course recognized by the UGC/AICTE/DEC and MHRD, Government of India and those with a Postgraduate Degree or Postgraduate Diploma or a Professional degree/course like CA/CS/ICWA considered to be equivalent to an approved master degree programme in concerned subject. However he/she has to appear in the Ph. D. entrance test in the discipline concerned.
- 2.3 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

- 2.4 A candidate of Sardar Patel University whose M. Phil. dissertation has been evaluated and the viva voce is pending may be permitted to apply to the Ph. D. programme. He/she must submit final notification of M.Phil. degree at the time of counselling.
- 2.5 A candidate who possesses a Degree considered equivalent to M. Phil. Degree of an Indian Institutions, from a Foreign Educational Institutions accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph. D. programme in this University.

### **R. Ph.D. 3. Duration of Ph. D. Programme:**

- 3.1 A fulltime Ph. D. candidate shall be allowed to submit his/her synopsis after putting a minimum of five terms / consecutive semesters /2.5 years and a part time candidate shall be allowed to submit synopsis after completion of six terms/ semesters/3.0 years and submit the thesis within one year after submitting the synopsis.
- 3.2 A fulltime Ph. D. candidate with M. Phil. Degree with same research area shall be allowed to submit his/her synopsis after putting a minimum of four terms / semesters /two years and a part time candidate with M. Phil. Degree with same research area shall be allowed to submit synopsis after completion of five terms/ semesters/two and half years and submit the thesis within one year after submitting the synopsis.
- 3.3 Full-time Ph. D. Programme shall be for a minimum duration of three years, including course work and a maximum of six years. Part-time Ph. D. Programme shall be for a minimum duration of three and half years including course work and a maximum of six and half years.
- 3.4 Extension beyond the above limits may be given if recommended by the DRAC and approved by the Vice Chancellor.
- 3.5 Women candidates and Persons with Disability (more than 40% disability) may be allowed relaxation of two years for Ph. D. in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph. D. for up to 240 days.

### **R. Ph.D. 4. Procedure for Admission:**

- 4.1 University P. G. Departments/ a Constituent College / Institutions / P. G. Centres / Colleges affiliated to Sardar Patel University shall admit Ph. D. scholars through an

Entrance Test. Admissions shall be offered once a year, preferably in July/August every year in available subject discipline.

- 4.2 Applicants who have qualified UGC-NET / NET-JRF / UGC-CSIR NET /GSET /GATE / teacher fellowship or have passed M. Phil. programme as per the UGC Rules and Regulations in force shall be exempted from the Ph. D. Entrance Test.
- 4.3 University P. G. Departments/ a Constituent College/Institutions/ P. G. Centres/Colleges affiliated to Sardar Patel University which are allowed to conduct Ph. D. programme shall:
  - 4.3.1 decide on an annual basis through their DRAC a predetermined and manageable number of Ph. D. scholars to be admitted depending on the number of available Ph. D. Guides and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio, laboratory, library and such other facilities;
  - 4.3.2 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 centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;
- 4.4 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 4.5 University P. G. Departments/a Constituent College / Institutions / Colleges/P. G. Centres affiliated to Sardar Patel University which are allowed to conduct Ph. D. programme shall admit applicants for admission through a two stage process:
  - 4.5.1 The qualifying marks at the Ph. D. Entrance Test shall be 50%. The syllabus of the Entrance Test shall cover (a) research methodology and the contents in the respective subject-discipline; and (b) shall be par with the syllabus prescribed at the level of Master's degree in the subject-discipline concerned in Sardar Patel University. The syllabus for the Ph. D. entrance test shall be prepared by the DRAC and shall cover the contents of the core courses only offered in the respective subject-discipline at the Master's level of at Sardar Patel University. The university shall upload it on the website. The Entrance Test shall be conducted by the university. The certificate be issued by the university to the Entrance Test cleared candidates.
  - 4.5.2 The Entrance Test shall be of 100 marks and 3 hours duration. The format of the Entrance Test Paper shall be as follows:

Section-I (40 marks; 40 test items of objective type in multiple choice questions).

Section-II (10 marks; 10 test items of objective type covering general knowledge of the subject).

Section-III (25 marks; five questions including sub-questions).

Section-IV (25 marks; number of questions shall be decided by the concerned DRAC).

The question paper-cum-answer book shall contain questions with adequate space provided under each of the test items for candidates to write answer of the question.

- 4.5.3 The list of eligible candidate shall be prepared by the university in alphabetical order and upload on the website. The fulfilment of the minimum eligibility shall not be a secured admission to the Ph. D. programme.
- 4.5.4 The eligibility of the candidate who cleared the Entrance Test is forever. However he/she has to apply for the admission whenever he/she desires.
- 4.6 An interview during the counselling for admission shall be organized by DRAC. The candidate is required to discuss his/her research interest/area through a presentation before DRAC. The Dean of the respective faculty would be invited during the counselling.
- 4.7 The interview during the counselling for admission shall also consider the following aspects, viz. whether: (a) the candidate possesses the competence for the proposed research; (b) the research work can be suitably undertaken at the University P. G. Department/Institution/College; and (c) the proposed area of research can contribute to new/additional knowledge.
- 4.8 Registrations for Ph. D. shall be finalized after interview during the counselling for admission with the Department Research Advisory Committee, including the research Guide, based on a set of criteria including research area, availability of vacancy and a Research Guide in a proposed subject area, a good research proposal of minimum one page and a presentation. The DRAC shall use its discretion, keeping in mind the availability of vacancies in a subject area of each applicant's interest and that of a Research Guide in it, in recommending a list of applicants to the University for the approval of admissions.
- 4.9 The DRAC in the concerned subject shall submit the list of qualified/short listed candidates along with name of allocated Ph. D. Guides DRAC to the university for registration within one month from the date of counselling.
- 4.10 A full-time teacher of this University, or a constituent college of this University, who registers himself/herself for Ph. D. in a University P. G. Department, shall not

be required to pay tuition fee for a period of eight terms/semesters. In case he/she needs more time to complete his/her Ph. D. thesis he/she has to pay fees as per the University rules (R. Ph. D. 8.1).

- 4.11 The University shall maintain/display the list of all the Ph. D. registered scholars on its website on a year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her Guide/Co-Guide, date of registration.
- 4.12 No candidate shall be allowed to register simultaneously for any other degree/diploma programme after registering for Ph. D. If, at any point of time, it is found to be otherwise, his/her admission shall ipso facto stand cancelled, and all the fees and deposits paid by the candidate shall stand forfeited. The university shall take legal and/or disciplinary action or both, as it may deem fit, in such cases.
- 4.13 No candidate shall ordinarily be permitted to take the Ph. D. degree in a subject different from the one in which he/she had obtained his/her Master's degree. In case, a candidate seeks admission for Ph. D. in a subject other than the one offered by him/her at the Master's degree but in the same faculty, he/she may be admitted to Ph. D. programme, provided the DRAC in the subject approves it.
- 4.14 A candidate seeking admission to Ph. D. in a subject falling in a faculty other than the faculty in which he/she had obtained his/her Master's degree may be considered for admission to Ph. D. , provided a Special DRAC consisting of (a) Deans of the two faculties involved; (b) Head of the University P. G. Department in which the admission is being sought; (c) proposed Research Guide; and (d) a subject expert appointed in the DRAC concerned is authorized to take decisions related to the eligibility for admission of an applicant who desires to undertake interdisciplinary research leading to Ph. D. In case of candidate having M. Phil degree, the committee shall decide whether he/she would need to do course work or be given exemption from it.
- 4.15.1 A full time employed candidate will be registered as a part-time Research Scholar upon the production of no-objection certificate from the employer. However, a part-time or temporary employed candidate shall be registered as a full time scholar through the recommendation of DRAC.
- 4.15.2 After full time registration, if a candidate is employed full time anywhere, his/her registration will be converted as a part-time scholar through the recommendation of DRAC.
- 4.15.3 A part time scholar may be converted to full time scholar; however he/she shall be allowed to submit Synopsis/Thesis as per the rules for part time scholar.

**R. Ph.D. 5. Special Provisions for Admissions for Select Groups: (Tentative)****A. International Scholars**

- 5.1 International scholars shall be exempted from taking the Ph. D. Entrance Test as they cannot be admitted without a valid Research Visa endorsed in favour of a given University as per the guidelines issued by Government of India. The admission letter issued by a given university forms the basis for our embassy/high commission abroad to issue them a valid Research Visa endorsed in favour of such a University for the entire duration of their Ph. D. programme.
- 5.2 Any recognized Ph. D. Guide in the subject-discipline in which an International Scholar has applied for admission shall be allowed to take eligible International Scholar applicants against 15% supernumerary seats in addition to the prescribed number of scholars in R. Ph. D. 7.3. on the basis of directive from the Government of India.
- 5.3 No International Scholar offered admission to Ph. D. programme in Sardar Patel University shall be admitted unless he/she has a Research Visa endorsed in favour of this University.
- 5.4 An International Scholar registered for Ph. D. as a part-time scholar in this University who does not reside on the campus shall be required to stay on the campus for at least three months in parts: for ten days to complete the process of admission, and a month each every year for completing course work during the period of his/her research, besides fulfilling the other requirements outlined in these rules. He/she shall present the work done through seminars before the DRAC concerned before submitting his/her thesis. The research scholar's Guide and the Department concerned shall keep a record of his/her attendance and submit the same to the University.
- 5.5 Except for the special provision made for the admission of International Scholars, all the other rules applicable to Ph. D. scholars of these regulations shall also be applicable to the International Scholars of this University.

**B. Professionals/Civil Servants:**

- 5.6 In case of a professional from corporate bodies/scientist/civil servant with a minimum of 5 years experience and at least one publication in referred journal with ISSN number/books with ISBN number, shall be exempted from the Ph. D. Entrance Test.
- 5.7 The interview during the counselling for admission to Ph. D. programme shall consist of (i) a minimum of 25-page proposal in the area of the research interest submitted to the DRAC at the time of interview during counselling for admission; (ii) evaluation of the proposal by the DRAC which shall be required to mark it out

of 60; and (iii) be marked out of 40 on the basis of a presentation he/she makes before the DRAC as well as the interaction that follows it.

- 5.8 An applicant shall be required to secure 50% marks combined in the two components to be considered as eligible for admission to a given Ph. D. programme.

#### **R. Ph.D. 6. Rate of Honorarium:**

- 6.1 The University shall decide on the honorarium for paper setting and conduct of Ph. D. Entrance Test from time to time. The honorarium shall be as follows: (i) Paper setting: Rs.2000/-; (ii) Providing solution to the items in the Entrance Test: Rs.500/-; and (iii) Honorarium for coordinator, senior and junior supervisors, assessment, other secretarial work etc. shall be as per the rules governing university examinations.
- 6.2 Expert appointed from outside Sardar Patel University on Committee for the purpose of granting recognition to teachers as Ph. D. Guides will be paid Rs.2000/- as a sitting allowance and TA/DA as per the University rules.

#### **R. Ph. D. 7. Allocation of Ph. D. Guides:**

- 7.1 The DRAC in the concerned subject shall, in a formal manner, decides on the allotment of a Ph. D. Guide for each of the selected research scholars, depending on the number of scholars per Ph. D. Guide, the available specializations with the Ph. D. Guides, and the research interest of the research scholar as indicated by his/her during counselling-cum-interview session. The allotment of a Ph. D. Guide shall, in no case, be left to the individual scholar or the guide.
- 7.2 In case of topics of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside the Department may appoint a Research Guide from the Department itself, who shall be known as the Research Guide, and a Co- Guide from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges. Co- Guide from outside the University may be appointed provided he/she fulfils all the terms and conditions set for Ph. D. Guide of this University.
- 7.3 A Ph. D. Guide who is a Professor shall not guide more than eight (8) Ph. D. scholars; an Associate Professor shall not guide more than six (6) Ph. D. scholars; and an Assistant Professor shall not guide more than four (4) Ph. D. scholars at any given point of time.
- 7.4 A seat shall be considered to be vacant only after a registered research scholar submits his/her Synopsis for Ph. D.

- 7.5 The DRAC concerned shall take a binding from every Research Guide belonging to any of the Colleges/P. G. Centres/Institutions affiliated to the University at the time of the allocation during the counselling for admission that he/she would continue to guide the research scholars allotted to him/her if he/she moves to another Institutions and such a Research Guide shall submit to the College/P. G. Centres/Institutions concerned and the University a binding of this kind in writing and the DRAC concerned shall send this along with the Minutes of the meeting of the committee.
- 7.6 Before allocation of a Ph. D. Scholar to a Ph. D. guide working in a college, a special committee, which consists of DRAC in the subject concerned and one subject expert nominated by the Vice Chancellor, shall verify that the college has adequate infrastructure as per R. Ph.D. 15.3. If a Ph. D. Guide leaves the college, the Ph. D. Scholar shall be transferred to another Ph. D. guide in same subject discipline of the same college. If there is no Ph. D. guide available in the college, the DRAC shall transfer the scholar to a guide in the university P. G. Department/another college/Institution. If a Ph. D. Guide leaves the college and join to university P. G. Department/another college/P. G. centre/Institution affiliated to the Sardar Patel University the transfer of the scholar to another Ph. D. guide is not required.
- 7.6 In case a Ph. D. Guide leaves the University/ College/P. G. Centre/Institution due to superannuation / resignation, a research student registered under him/her shall be transferred, through the DRAC, to another Ph. D. guide in preferably same subject having same specialization if the scholar does not submit his/her synopsis within six months from the date of the original guide's departure. However, the original guide shall be allowed to continue as co-guide until such time as the Ph. D. Scholar submits his/her thesis for the Ph. D. degree. If a Ph.D. guide continues his/her service in any capacity within university jurisdiction, then he/she shall continue guiding the student as a principal guide.
- 7.7 The university shall, on the recommendation of the DRAC, transfer the scholars registered under a Ph. D. Guide to another Ph. D. Guide in the same subject discipline within six months if the original Ph. D. Guide is unable to provide guidance due to unavoidable circumstances.

#### **R. Ph.D. 8. Matters Related to Fee:**

- 8.1 A research scholar admitted to any of the Ph. D. Programmes in the University shall pay fee as decided by the University from time to time. Failure to pay fee for three consecutive terms shall lead to automatic cancellation of admission. However at a later stage if a candidate desires to revive his/her registration, then he/she is required to apply to the DRAC in the concerned subject discipline which may consider it and take appropriate decision with due justification and recommend that

the candidate's request be granted with penalty fee decided by the university as per rules in force from time to time.

- 8.2 A registered Research Scholar shall submit his/her thesis within stipulated time, failing which he/she has to take extension as per R Ph. D. 3.4 and he/she shall be required to pay fees up to the time he/she submits his/her thesis along with penalty fee decided by the university as per rules.
- 8.3 In case of a Ph. D. research scholar failing to submit his/her thesis within the stipulated time after submission of his/her synopsis failing which he/she has to take extension as per R Ph. D. 12.3 and he/she shall be required to pay fees up to the time he/she submits his/her thesis along with penalty fee decided by the university as per rules.
- 8.3 Fees once paid shall not be refunded in any case.

#### **R. Ph.D. 9. Course Work Details:**

- 9.1 Once a research scholar is admitted to Ph. D. programme, he/she shall be required to undertake course work as under:
- 9.1.1 Research Methodology is of four credits which includes quantitative methods, research ethics, computer applications, and review of published research in the relevant field, training and field work etc.
- 9.1.2. Two other courses each of three credits which include advance level course materials preparing the scholar for Ph. D. degree.
- 9.2. Research Scholar has to clear these courses within the first two terms/semesters from the date of registration. The women candidates may be allowed a relaxation of two terms / semesters in case of maternity.
- 9.3 The DRAC shall evaluate this course work, maintain proper records of teaching and evaluation and take a decision on the continuance or otherwise of the research scholar.
- 9.4 This course work, done in the university P. G. Department/recognised institution where the scholar is registered or in a sister P. G. Department within the university, shall be duly certified by the DRAC in subject concerned, and shall be treated as pre-Ph. D. preparation.
- 9.5 All courses prescribed for Ph. D. course work shall be approved by concern academic bodies of the university. **Implementation and Assessment of the course work shall be done as per guidelines prescribed by this university for the course work (Appendix - 1).**
- 9.6 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the DRAC and the final grades shall be communicated to the University.

- 9.7 A Research Scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme.
- 9.8 Candidates already holding M. Phil. degree (as per UGC Minimum Standards and Procedures for Awards of M.Phil. Degree) and admitted to the Ph. D. programme shall be exempted from the Ph. D. course work.

#### **R. Ph.D. 10. The Departmental Research Advisory Committee (DRAC) and its**

##### **Functions:**

- 10.1 There shall be a Departmental Research Advisory Committee with the Head of the Department concerned as its Chairperson.
- 10.2 This committee shall be constituted by the Head of a University P. G. Department and consist of at least three senior members from the university P. G. Department in the subject-discipline concerned with all the members of the committee being recognized Ph. D. Guides and active researchers.
- 10.3 In case of recognized Research Institutes/Colleges/P. G. Centres affiliated to this University which run exclusively certain programmes not offered in any of the P. G. Departments of the University. The DRAC shall be formed by the Vice Chancellor consisting of (a) The dean of the concerned faculty (Chairman of the committee); (b) three senior faculty members in the subject concerned and (c) two Heads of the university P. G. Departments.
- 10.4 The DRAC shall have the following responsibilities: (i) to review the research proposal and fine-tune the topic of research; (ii) to supervise the research scholar to develop the study design and methodology of research and identify the course(s) that he/she needs to do; and (iii) to review periodically and assist in the progress of the research work of the research scholar.
- 10.5 The DRAC shall set the question paper for the entrance test, provide solution to the test papers, assess the answer sheets, arrange for the interview of the qualified scholars during counselling for admission to Ph. D. study.
- 10.6 The Ph. D. Guide of a scholar, who is scheduled to make a presentation before the committee, shall be specifically invited in the Committee during the time of presentation.

#### **R. Ph.D. 11. Post-Admission Procedures:**

- 11.1 Upon satisfactory completion of course work, and obtaining marks/grade prescribed in these regulations, the Research Scholar shall be required to undertake research work and produce a draft thesis within a reasonable time as stipulated by the University based on these Regulations.

- 11.2 A research scholar shall appear before the DRAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the DRAC to the University with a copy to the research scholar.
- 11.3 In case the progress of the research scholar is unsatisfactory, the DRAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRAC may recommend to the University with specific reasons for the cancellation of the registration of the research scholar.
- 11.4 In case of relocation of a Ph. D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institutions/ Guide from any funding agency. The scholar will however give due credit to the parent Guide and the Institutions for the part of research already done.

#### **R. Ph.D. 12. Submission of Thesis:**

- 12.1 Ph. D. scholars must publish at least **two (2)** research papers from his/her Ph. D. work out of which at least one be in refereed journal with ISSN number and make two paper presentations in conferences/seminars based on his/her Ph. D. work and produce evidence for the same in the form of presentation certificates and/or reprints before submission of the thesis for adjudication.
- 12.2 Prior to the submission of the thesis, the scholar shall make a presentation of the work to be included in his/her thesis before the DRAC 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 in consultation with the DRAC.
- 12.3 If a Research Scholar has submitted his/her synopsis, but fails to submit his/her thesis within the maximum stipulated time of one year, then he/she shall apply to the DRAC in the concerned subject discipline which may consider it and take appropriate decision with due justification and recommend for extension. This shall be approved by the Vice Chancellor.
- 12.4 Ph. D. scholars shall write their theses in English with the only exception being those who are registered for a Ph. D. in subjects: Gujarati, Hindi, or Sanskrit. However a Ph. D. scholar registered for a Ph. D. in Gujarati, Hindi, or Sanskrit shall necessary include a summary of the thesis in English.
- 12.5 The degree of Ph. D. shall not be conferred as an addendum degree.
- 12.6 The thesis shall contain certificate of originality as given in Annexure – A.

- 12.7 The thesis shall be put through plagiarism detection tool and a report sought on it so that a decision can be taken on sending it for evaluation. The necessary certificates mentioned in the **Guidelines on Plagiarism (Appendix – 2) shall be included in the draft thesis.**
- 12.8 A Ph. D. Scholar shall submit four copies of the draft thesis to the university within prescribed time limit for evaluation. The draft shall be printed on both the sides of the papers and can be submitted in spiral bound form so that the changes / modifications suggested by the referees can be incorporated before submitting the hard bound copies of the thesis. The hard bound four copies of the thesis shall be printed on one side or both sides of the papers and be submitted before the conduct of the Viva Voce examination and the university shall issue the notification of the award of Ph. D. only after the receipt of these copies.

#### **R. Ph.D. 13. Evaluation and Assessment Methods:**

- 13.1 A panel of at least six referees (three from other universities within the state and other three from outside the state or foreign country) shall be submitted by the Ph. D. Guide to the Board of Studies in respective subject for its approval, the Vice Chancellor will select two external referees (one from the state and one from outside the state) from the panel. The referees shall examine the thesis and submit individual report whether there is a prima facie case for the acceptance or the rejection of the thesis.
- 13.2 The Ph. D. thesis submitted by a research scholar shall be evaluated by his/her Ph. D. Guide and at least two external referees as R. Ph.D. 13.1 above.
- 13.3 If both the external referees consider the thesis unsuitable for the award of the degree, no further process shall be done and the reports shall be placed before the Vice Chancellor for final decision.
- 13.4 In case of difference of opinion between the two external referees, the Vice Chancellor shall appoint a third external referee from the panel of referees of the thesis. If the third external referee reports that the thesis is unsuitable for the award of the degree, no further process shall be and his report shall be placed before the Vice Chancellor for final decision.
- 13.5 If any of the referees has suggested corrections, the candidate shall be required to incorporate it in the final thesis and submit a corrected version of the thesis before the viva voce examination.
- 13.6 A work that has been rejected shall be resubmitted after due revision and subject to the payment of necessary fees.

#### **R. Ph.D. 14. Viva Voce Examination:**

- 14.1 If two external referees agree that there is a prima facie case for the award of the degree, the open viva-voce examination of the Ph. D. scholar to defend the thesis

shall be conducted by the internal and at least one external referee. The referees present at the viva-voce examination shall report jointly to the University whether the thesis be accepted for the award of the degree or not.

14.2 The viva-voce programme shall be notified on the departmental notice board and may be circulated to related departments through the Head of the Department.

14.3 The entire process of evaluation of the Ph. D. thesis shall be completed within a period of six months from the date of the submission of the thesis.

**R. Ph.D. 15 Requirements for offering Ph. D. programme other than the university P. G Departments:**

15.1 Colleges/Institutions/P. G. Centres affiliated to Sardar Patel University may be considered eligible to offer Ph. D. programme only if they satisfy the availability of eligible Research Guides, required infrastructure and supporting administrative and research promotion facilities as per these regulations, stipulated under sub-clause 15.3.

15.2 Postgraduate Centres affiliated to Sardar Patel University, Research laboratories of Government of India/State Government with at least two Ph. D. qualified teachers/scientists/ other academic staff in the department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these regulations, stipulated under sub-clause 15.3, shall be considered eligible to offer Ph. D. programme. Affiliated P. G. Centres/Institutions should additionally have the necessary recognition by the University as per Sardar Patel University rules (Section 46 I-IV) to offer Ph. D. programme. Once a scholar is registered with such a Centre/Institution/College, the sole responsibility for the scholar shall lie with the Centre/Institution/College which has registered him/her, and not with the University, in case the Guide allotted to him/her resigns/leaves the Centre /Institution/College.

15.3 Affiliated P. G. Centres with adequate facilities for research as mentioned below alone shall offer Ph. D. programme.

15.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the University with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;

15.3.2 earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for Ph. D. scholars in the Department/ library for reading, writing and storing study and research materials;

15.3.3 affiliated colleges/P. G. Centres may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions / Colleges /R&D laboratories/Organizations which have the required facilities.

## **R. Ph.D. 16. Provisions Exclusively applicable to the Faculty of Medicine**

**Note:** All provisions for Ph. D. applicable for admission to Ph. D. programme in other faculties, except for the following provisions exclusively applicable to the Faculty of Medicine in this University, shall also be applicable to the Faculty of Medicine.

### **R. Ph.D. 16.1 Eligibility Criteria for Recognition as Ph. D. Supervisor:**

- 16.1.1 A faculty member who holds a Ph. D. degree or MS/MD/DM/MCh (recognized by MCI) in the subject or in a related discipline is eligible to apply for recognition as a Research Supervisor. He/she shall apply for recognition Research Supervisor for Ph. D. in prescribed format available on the University Website.
- 16.1.2 He/she should have a minimum of five publications in a peer reviewed national/international journal with ISSN (as prescribed by this University/ UGC/MCI); or be a Postgraduate Supervisor with at least Supervised 5 (five) MD/MS/DM/Mch theses to his/her credit.
- 16.1.3 Ph. D. research proposals from other teachers with the Faculty of Medicine who wish to undertake interdisciplinary research, the Research Advisory Committee may appoint a Co-Supervisor from the Faculty of Medicine depending on the nature of the Research Proposal.
- 16.1.4 Ph. D. research proposals of interdisciplinary nature made by the teachers in paramedical disciplines (Physiotherapy, Nursing, Medical Technology) to the Faculty of Medicine, teachers with Ph. D. /MD/MS/MCh/DM qualification from the related subject/s from the faculty of Medicine, may be appointed as a Ph. D. Supervisor. A Co-Supervisor of the related Medical subject of the Ph. D. research may be appointed at the discretion of the Research Advisory Committee even when a recognized Ph. D. Supervisor is available in the said paramedical field, depending on the nature of the Research Proposal.
- 16.1.5 In case of subjects and the Ph. D. Supervisor, coming under the purview of MCI (Medical Council of India, i.e. DM/Mch/MD/MS/P. G. Medical Diploma/MSc (Medical), the Ph. D. Supervisor shall have not less than fifteen years teaching experience after obtaining his postgraduate qualification of which the Ph. D. Supervisor must have, not less than ten years postgraduate teaching experience, in MCI recognized Institutions/s. For the other subjects (those not under the purview of MCI i.e. MSc (MLT)/MSc (MT)/MPT and MSc Nursing), the Ph. D. Supervisor shall have not less than 10 years of teaching experience after obtaining Post graduation, of which, the Ph. D. Supervisor must have at least 5 years teaching experience as Post Graduate teacher.

16.1.6 It is mandatory for the candidate to seek prior approval of the Institutional Human Research Ethics Committee before starting the research work for which he/she must submit the plan of work in the prescribed format of the committee.

**R. Ph.D. 16.2 Eligibility Criteria for admission to Ph. D. Programme:**

16.2.1 Candidates, who possess DM/Mch/MD / MS /P. G. Medical Diploma / MPT / MSc (Medical) / MSc (MLT) / MSc (MT) / MDS and MSc (Nursing), are eligible to apply for Ph. D. under the Faculty of Medicine.

16.2.2 Ph. D. shall be awarded in the concerned/Allied subject under the recognized Supervisor. Candidates doing Ph. D. in the Allied Medical subjects like Physiotherapy, Nursing and Medical Technology, the Ph. D. shall be awarded as Ph. D. Physiotherapy/Ph. D. Nursing/Ph. D. Medical Technology, respectively.

16.2.3 The period of training for Ph. D. shall not be less than two (2) years for candidates who possess DM/Mch/MD/MS and P. G. Medical diploma and shall not be less than three (3) years for candidates with MSc (Medical)/MSc (MLT)/MSc (MT)/MPT and MSc Nursing.

**R. Ph.D. 16.3 Eligibility Criteria for Research Guide:**

16.3.1 A recognized P. G. Supervisor shall register a P. G. scholar for DM/Mch/MD/MS/Diploma as per the latest guidelines of the MCI in vogue. However, he/she shall be allowed to take a maximum of Ph. D. Scholars as follows at any given point in time: (a) Professor – Four (4); (b) Associate Professor – Two (2); and (c) Assistant Professor – One (1)

16.3.2 However, for subjects and the Ph. D. Supervisor who do not come under the purview of MCI (Medical Council of India), a P. G. Supervisor may be allowed to register a maximum of Ph. D. Scholars as follows at any given point in time: Professor – Six (6); Associate Professor – Three (3); and Assistant Professor – One (1).

16.3.3 A seat shall be considered to be vacant only after a registered research scholar submits his/her Synopsis for Ph. D.

**R. Ph.D. 16.4 Departmental Research Advisory Committee and its Functions:**

In case of the Faculty of Medicine, the Research Advisory Committee of the Faculty of Medicine shall be constituted of the following members:

(1) Dean, Faculty of Medicine (Chairperson); (2) Dean/Principal, Medical College; (3) Heads of the concerned Departments; (4) Convener, P. G. Cell of a Medical College; and (5) One expert of the relevant subject from outside the Department.

**R. Ph.D. 17. Award of Ph. D. Degree and Notification:**

17.1 The award of degrees to candidates registered for the Ph. D. programme prior to date of Notification of UGC Regulations 2016 shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M. Phil./Ph. D. Degree) Regulation, 2009.

17.2 Prior to the actual award of the degree, the university shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

**R. Ph.D. 18. Depository on the INFLIBNET:**

Following successful completion of the evaluation process and before the announcement of the award of the Ph. D. degree, 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 Universities/Institutions/Colleges.

**R. Ph.D. 19. Adjudication of any Conflict:**

The decision of the Vice-Chancellor shall be final and binding for all in the interpretation of any provision contained in these rules and regulations.

**Annexure - A**

**Certificate**

Certified that the work incorporated in this Thesis entitled “\_\_\_\_\_”  
\_\_\_\_\_” submitted by me comprises the result of independent and original investigations that I carried out. The materials obtained from other sources and used in the thesis have been acknowledged appropriately. The work contained in this thesis has not been submitted for the award of any other degree/diploma anywhere.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

Registration No.: \_\_\_\_\_

Name and Signature of the Research Scholar

Date: \_\_\_\_\_

Certified that the work mentioned above was carried out under my/our guidance.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

Name and Signature of the Guide(s)

Institutional address

Forwarded through the Head/ Chairperson DRAC

## Sardar Patel University Vallabh Vidyanagar

### Guidelines for the Course Work for Ph. D. (Dec-2016) (Implementation and Assessment)

1. A registered Ph. D. Scholar is required to do Course Work as per the R. Ph. D. 9. The course work for the Scholars shall be decided by DRAC in consultation with Ph. D. Guide and the concerned teacher of the course work. The course work shall be divided in to three courses as per R. Ph. D. 9.1.1 and 9.1.2.
2. The time table of course work shall be displayed on the notice board of the P. G. Department / a Constituent College / Institutions / P. G. Centres/Colleges affiliated to Sardar Patel University.
3. Teaching work per credit is 15 hours. (which may include lectures, seminars, tutorials).
4. Attendance of the Ph. D. Scholar in each course shall be as per university rules.
5. The concerned Departmental Research Advisory Committee shall do the evaluation of the course work in two components as under:

### **Component I (Three courses of course work each of 50 marks)**

(A) Assignment **OR** (B) Written examination

#### **(A) Assignment:**

- A-1 The topic for assignment in each of three courses may be related to Ph. D. topic and it shall be different for each student.
- A-2 Concerned teacher of the course and Ph. D. supervisor have to take approval of the topic for assignment from the Departmental Research Advisory Committee.
- A-3 Each assignment shall be of at least 5000 words.
- A-4 Marks in each assignment shall be given out of 50 marks.

#### **OR**

#### **(B) Written examination:**

If there are more Ph. D. Scholars for the course works, the concerned Departmental Research Advisory Committee shall take a written examination of 3 hours for 50 marks for each course and make arrangement for the assessment.

## **Component II Presentation (Three Courses of course work each of 50 marks)**

- (1) A Ph. D. scholar is required to make a Presentation – Cum- Viva on the topic (different from assignment given in the component I) before the Departmental Research Advisory Committee in each course given by the concern teacher and the Ph. D. guide in the consultation with the DRAC.
  - (2) At the time of Presentation-Cum-Viva, the Ph. D. Guide of the Ph. D. Scholar and concern course teacher shall remain present as invited members.
  - (3) All members, present in the presentation, shall give marks out of 50 and sign in the marks sheet.
6. A Ph. D. Scholar is required to secure minimum 55% marks in each course.
  7. Chairperson of the Departmental Research Advisory Committee shall keep and maintain all records viz. time table, syllabi, attendance of the students, notices, marks of assignment/written examination, assignment submitted by the scholar/answer books of the scholar and a copy of each presentation.
  8. After successfully completion of the course work, a certificate for this shall be issued to the Ph. D. Scholar with the signature of the Chairperson of the Departmental Research Advisory Committee.
  9. For the course work for Ph. D. Scholar, no remuneration against teaching, assessment and related works shall be given. This work may be included in the work load of the teacher.

**Sardar Patel University**  
**Guidelines of Plagiarism**  
**(Tentative) (Dec-2016)**

Appendix – 2

- 1 The Academic Council (or its equivalent body) of the University shall evolve a mechanism using well developed software and gadgets approved by the INFIBNET to detect plagiarism and other forms of academic dishonesty.
- 2 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 (as stated in clause 3 and thereafter) and that the work has not been submitted for the award of any other degree/diploma of the same Institutions where the work was carried out, or to any other Institutions while submitting it for evaluation.
- 3 Use of any previous/recent researcher's work including one's own without appropriate citation of the source constitutes an act of plagiarism. This may be in the form of the use of Phrases, clauses, sentences, paragraphs, or longer extracts from published or unpublished work including from internet without or other sources without appropriate citation of the source.
- 4 Instances of Plagiarism
  - 4.1 Quoting directly another person's language, data, illustration, tables, etc. without due acknowledgement of the source.
  - 4.2 Copying a section of book/article/report/monograph/dissertation/thesis without proper citation.
  - 4.3 Buying, stealing or borrowing assignments, experiments/results.
  - 4.4 Paragraphing the work of others without due acknowledgements.
  - 4.5 Using ideas of someone else without crediting the originator.
  - 4.6 Copying, cutting and pasting from the internet or online source and submitting as one's own work without giving proper reference/citation.
- 5 Detection of Plagiarism
  - 5.1 Arrangements shall be made in the University (Bhaikaka) Library to check a draft of the dissertation/thesis to be submitted using plagiarism software approved by the INFLIBNET. The candidate concerned shall submit the report generated after such a plagiarism check for the consideration and approval of the Research Advisory Committee.
  - 5.2 The dissertation/thesis, when submitted, shall have a declaration on the report generated after such a plagiarism check plagiarism, signed by the researcher and his/her Supervisor.
  - 5.3 The exclusion at the time of performing the check should be limited to the following: (i) quotes, (ii) bibliography, (iii) phrases, (iv) small matches up to 10 words, (v) small similarity less than 1%, (vi) mathematical formula etc.
- 6 Procedure for Reconciliation of Plagiarism Reports:

If the draft thesis is found plagiarized and is reported to Research Advisory Committee, then the Departmental Research Advisory Committee shall call the candidate to hear his/her view. After due hearing of the candidate, the Departmental Research Advisory Committee shall submit its recommendations keeping in view of the following guidelines:

- 6.1 The similarity between documents is within the limit (not more than 20%) for putting some original results in proper context and all original sources are correctly cited. The similarity is not of such nature which directly affects the original findings of research. No further action is required. Candidate may be permitted to submit the thesis as given in Annexure-II and Annexure-III.
  - 6.2 Self plagiarism or cases where published work of the scholar is shown in the report generated after such a plagiarism check, the Supervisor shall issue a certificate specifying and attaching the articles that have been published by the scholar from the thesis work. Only these articles should be excluded from the check, while the other articles of scholar or the Supervisor should be excluded from the check as given in Annexure-II and Annexure-III.
  - 6.3 If there is similarity of contents from candidate's previous published work without proper citation, the candidate shall be required to resubmit the work with proper citations. If the published work is co-authored by the others, the researcher shall submit a consent letter from co-author(s) and publisher permitting him to use the work in his thesis as given in Annexure-IV.
  - 6.4 Low-level plagiarism: When the plagiarism is a result of negligence or without the intent of cheating and the similarity between documents is marginally outside the limit, the candidate may be allowed to resubmit the work with proper citations.
  - 6.5 Mid-level Plagiarism: Failure to cite proper citations, or copying of few paragraphs only wherein the intent to cheat is very low and may be due to lack of knowledge. The similarity between documents is outside the limit. The candidate may be allowed to resubmit the work with proper citation, with a warning not to repeat the mistake again failing which he/she may face the cancellation of registration.
  - 6.6 High-level plagiarism: Deliberate and planned attempt to copy the work done by someone else, especially large amount of data taken from someone else's work, copying of art work, copying of source code etc wherein the intention to cheat is very clear. The candidate's registration shall be cancelled.
  - 6.7 The thesis resubmitted as recommended by the Departmental Research Advisory Committee in view of clauses (1)(a) to (d) after being duly certified by the Supervisor, will be again placed before The Departmental Research Advisory Committee and the candidate will also be required to be present to substantiate the necessary improvements made by him/her in the thesis.
- 7 Plagiarism reported after the of Award of Degree
- 7.1 In case, any plagiarism is reported to the University after the award of a Ph. D. degree, the Vice-Chancellor may constitute an expert committee to enquire into charges of plagiarism and the committee will submit its report with recommendations.
  - 7.2 The expert committee may give the opportunity of hearing to the concerned parties as it deems fit.
  - 7.3 The Vice-Chancellor will place the report along with recommendations of the committee before the Academic Council for its consideration and action.

**Annexure-2.1**  
**Sardar Patel University**  
**Plagiarism Verification**

1. Name of Research Scholar \_\_\_\_\_
2. Title of the Thesis \_\_\_\_\_  
\_\_\_\_\_
3. Faculty \_\_\_\_\_
4. Name of Research Supervisor: \_\_\_\_\_
5. Name of Verifier, Designation and Address \_\_\_\_\_  
\_\_\_\_\_

The above thesis was scanned for similarity detection. The report is as follows:

Software used: \_\_\_\_\_ Date: \_\_\_\_\_

Similarity Index: \_\_\_\_\_ Total word count: \_\_\_\_\_

Signature of Verifier

The report is attached for the review by the Researcher / Supervisor

Signature of Researcher

The plagiarism report of the above thesis has been reviewed by the undersigned

The similarity index is below accepted norms.

The similarity index is above accepted norms, because of the following reasons:

\_\_\_\_\_  
\_\_\_\_\_

The thesis may be considered for submission to the University. The software report is attached.

Name and Signature of Research Scholar

Name and Signature of the Research Supervisor/s

Institutional address

Registration No.: \_\_\_\_\_ Date: \_\_\_\_\_

**Annexure-2.2**  
**Sardar Patel University, Vallabh Vidyanagar**  
**Self Plagiarism Exclusion Certificate from the Research Supervisor**

The contents of the Chapter/s \_\_\_\_\_  
have been published in

1.

2.

3.

4.

This published work has been included in the thesis and has not been submitted for any degree to any University/Institutions.

Name and Signature of the Research Scholar

Name and Signature of Research Supervisor  
Institutional Address

Registration No.: \_\_\_\_\_ Date: \_\_\_\_\_

**Annexure-2.3**  
**Sardar Patel University, Vallabh Vidyanagar**  
**Certificate of Self Plagiarism (For joint work)**

We have published the following articles jointly:

Name of Article: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of Journal/Book with the details: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

We hereby give our consent to Mr/Ms \_\_\_\_\_ to make use of these articles for his/her Ph. D. research.

The above research paper(s) have not been used by any of us for any degree/Diploma in any University.

We shall be responsible for any legal dispute/case(s) for violation of any provisions of the Copyright Act.

Signature of Co-author

Signature of Co-author

Signature of Co-author

Name:

Name:

Name:

\_\_\_\_\_

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Address:

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Signature of Research Scholar

Name and Signature of Research Supervisor

Institutional Address

Registration No.: \_\_\_\_\_ Date: \_\_\_\_\_