



SARDAR PATEL UNIVERSITY
VALLABH VIDYANAGAR - 388 120 (GUJARAT) INDIA

NAAC Re-Accreditation CGPA 3.25Grade - 'A'

Website : www.spuvvn.edu

Fax: (02692) 230309, 226807

Academic Section

NOTIFICATION

In compliance to inculcate and implement strictly the ethical and moral values in the academic pursuit of students and faculty members of the higher education institutions, the University Grant Commission has issued a notification through "Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions – Regulations, 2018 published in Gazette of India (REGD. NO. D.L. -33004/99).

As the corrections and amendments in the Ph.D. Regulations Decenmber-2020, Hon. Vice Chancellor has approved the said Regulation recommended by Academic Regulation and Guidelines Monitoring Committee in anticipation to various authorities of the University.

These regulations shall be implemented from September -2021

No: D/E/10/ 3313
Date: 29-9-2021
Vallabh Vidyanagar


I/C Registrar



Sardar Patel University

Rules and Regulations for Ph. D. Programme

(Effective from September-2021)



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Dist. Anand.
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SARDAR PATEL UNIVERSITY

Rules and Regulations for Ph. D. Programme Effective from September, 2021

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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/P. G. Centre/College affiliated to Sardar Patel University/ National or state funded research institutions having made an MOU wherein mutual research collaboration is specified with Sardar Patel University, holding a Ph D degree in the relevant subject, 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 and having five research publications (excluding those from the Ph D thesis) in peer reviewed journals with ISSN listed in the UGC care list of journals (updated time to time by UGC) in the preceding three years at the time of application for PhD guideship shall only be eligible for recognition as Ph. D. GuideB
- 1.2 Any regular Professor of Sardar Patel University / Constituent P. G. Centres of the university / scientists at the professor cadre of National or state funded research institutions having made an MOU wherein mutual research collaboration is specified with Sardar Patel University shall be automatically recognized as Research Guide for Ph. D.
- 1.3 In areas/disciplines where there is no or only a limited number of refereed journals are published, the University may relax the above condition of publications for recognition of a person as Ph. D. Guide with reasons recorded in writing.
- 1.4 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. degree, 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.
- 1.5 A person recognized as a Ph. D. Guide by other UGC recognised universities upon joining this University, shall be automatically recognised as a Ph. D. Guide in this university by making an application for recognition in a prescribed format.
- 1.6 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 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/ recognized research centres 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. A minimum number of 04 members must be present to have the quorum to conduct the meeting.



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/Institutions 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 are 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 rules of UGC 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.
- 2.6 There shall be special provision of supernumerary PhD seats not exceeding 10% of the total seats available in a subject, if there are no vacant seats available with the eligible supervisors in the subject concerned, to the in-service teachers for encouraging the faculty members of colleges and universities for getting a PhD degree.



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

- 3.1 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 seven years.
- 3.2 A fulltime registered Ph. D. Candidate shall be allowed to submit Ph. D. synopsis after completion of a minimum period of four terms / two years (after registration for Ph.D.) and a part time candidate shall be allowed to submit synopsis after completion of six terms / three years (after registration for PhD). However, submission of thesis shall be allowed as per the minimum duration of the Ph.D. programme specified in R. Ph. D 3.1, and the candidate must submit the thesis within one year of submitting the synopsis. Part time students must have at least 90 days per year (including holidays, vacations and off- office hours) of contacts / interactions with the guide and the research group related to research work. A record of the same must be kept at the respective Department and a copy of the same forwarded through the guide shall be appended with the synopsis.
- 3.3 A Ph. D. candidate with M. Phil. Degree in the same research area shall get a relaxation of one term for submitting synopsis over the period mentioned in R. Ph. D. 3.2. Accordingly one term relaxation shall be given in the minimum duration for Ph.D. mentioned in R. Ph.D. 3.1.
- 3.4 Only one year Extension beyond the allowed one year period post submission of the synopsis may be given for the submission of the thesis if recommended by the DRAC and approved by the Vice Chancellor. Beyond which no further extension is permissible in any case.
- 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 The DRAC for the concerned subject shall admit Ph. D. scholars as per the eligibility criteria for admission to Ph. D programme (R.Ph.D. 2). Admissions shall be offered twice preferably in July/August and December/January every year in available subject discipline.
- 4.2 Applicants who have qualified UGC-NET / NET-JRF / UGC-CSIR NET /GSET /GATE/GPAT/ICAR/INSPIRE fellowship/ Teacher fellowship/ have passed M. Phil. (who has admitted through University entrance test) in the respective faculty as per the UGC Rules and Regulations in force shall be exempted from the Ph. D. Entrance Test.
- 4.3 University P. G. Departments/ national or state level research Institutions having made an MOU with the University / P. G. Centres /Colleges affiliated to Sardar Patel University which are allowed to conduct Ph. D. programme shall:

- 4.3.1 Decide on session 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 The DRAC of the respective subjects shall admit applicants for admission through a two stage process through
- 4.5.1 an entrance test at the first stage with qualifying marks as 50%. A relaxation of 5% marks will be given to SC/ST/OBC (non-creamy layer) / differently- abled candidates on production of relevant valid documents. The syllabus of the Entrance Test shall cover (a) research methodology and the contents in the respective subject-discipline; and (b) shall be at par with the NET syllabus / the syllabus prescribed at the level of Master's degree in the subject-discipline concerned of 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 at Sardar Patel University. The university shall upload it on the website. The Entrance Test shall be conducted by the university. A certificate showing marks obtained shall be issued by the university to the Entrance Test qualified candidates.
- 4.5.1.1 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 objective type multiple choice questions related to the subject of one mark each).
- Section-II (10 marks: 10 objective type questions covering general knowledge in the subject and components of research methodology of one mark each).
- Section-III (30 marks; six out of ten questions of five marks each which may include sub-questions also).
- Section-IV (20 marks; two out of six questions of ten marks each which may include sub-questions also). The question paper-cum-answer book shall contain



- questions with adequate space provided under each of the test items for candidates to write answers to the questions.
- 4.5.1.2 The list of entrance qualified candidates shall be prepared by the University as per merit and shall be uploaded on the University website. The fulfilment of this qualification alone shall not be a secured admission to the Ph. D. programme.
- 4.5.1.3 The eligibility of the candidate who qualified the Entrance Test is forever. However he/she has to apply for the admission whenever he/she desires.
- 4.5.2 At the second stage, an interview during the counselling for admission shall be arranged by DRAC. The candidate is required to discuss his/her research interest/area through a presentation before DRAC. The Dean of the respective faculty shall be invited during the counselling.
- 4.5.2.1 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/Research Institution/Colleges (c) the proposed area of research can contribute to new/additional knowledge etc.
- 4.5.2.2 Admissions 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 presentation.
- 4.5.2.3 For selection of candidates from the entrance test category, a weightage of 70% to the entrance test and 30% to the performance in the interview/ viva-voce/presentation during the counselling shall be adopted.
- 4.6 In case a candidate seek 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 with a specially invited expert in the subject area of the candidate's Master's degree approves it.
- 4.7 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 committee consisting of (a) Deans of the two faculties involved; (b) The DRAC of the subject concerned in which the admission is being sought; (c) proposed Research Guide; and (d) a subject expert appointed by the Vice Chancellor recommends 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.
- 4.8 A full time employed candidate will be admitted as a part-time Research Scholar upon the production of no-objection certificate from the employer. However, a part-time or



- temporarily employed candidate shall be considered for admission as a Part time scholar through the recommendation of DRAC.
- 4.9 The DRAC in the concerned subject shall submit the list of admitted candidates along with name of allocated Ph. D. Guides to the university for admission followed by registration to the pre-PhD course work within one month from the date of counselling. The admission and allotment of guides to the candidate by DRAC shall be final and binding to all concerned. If the candidate does not join and register for pre-Ph.D course work after admission without any valid reason, she/he shall forfeit the admission.
- 4.10 The University shall maintain/display the list of all the candidates registered for the pre-Ph. D course work on its website session-wise for the academic year. The list shall include the name of the candidate, topic of his/her research, name of his/her Guide, Co-Guide (if any) pre-PhD course work registration number and date.
- 4.11 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.
- 4.12 After full time registration, if a candidate is employed full time anywhere, his/her registration will be converted to part-time scholar through the recommendation of DRAC.
- 4.13 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.
- 4.14 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. 5. Special Provisions for Admissions for Select Groups:

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. It applies also to International students possessing a foreign passport who has obtained a Master degree from any of the UGC recognized Indian Universities.
- 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 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 admitted and registered for the pre-Ph D course work 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 shall attend the course work during the first year of admission. However if a candidate is unable to attend the course work offline due to technical reasons, then as a special case the candidate may be allowed to attend the course work online up on an application citing the reasons. After registration to the Ph D programme, the candidate shall be required to stay on campus at least a month every year for fulfilling other requirements outlined in these rules. Before submitting the thesis the candidate shall present the work done through a seminar (in English with no language translator) before the DRAC. The research scholar's Guide and the Department concerned shall keep a record of his/her attendance and submit the same to the University time to time.
- 5.5 International Students admitted through ICCR, Ministry of External Affairs, Government of India are allowed to register for the course without waiting for the payment of fees by ICCR as such payments are done in the end of respective financial year.

Except for the special provisions made for the admission of International Scholars, all the other rules applicable to Ph. D. Scholars of this University shall also be applicable to the International Scholars.

B. Professionals/Civil Servants:

- 5.6 In case of professionals from corporate bodies/scientists from National level research institutes funded by Govt. of India or State Govt./civil servant with a minimum of 5 years experience and at least one publication in refereed journal with ISSN /books with ISBN, 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 research proposal in the area of the research interest submitted and presented before DRAC at the time of interview during counselling for admission.

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

- 6.1 The University shall decide on the honorarium for paper setting and conduct of M.Phil. / Ph. D. entrance Test from time to time. The honorarium shall be as follows: (i) Paper setting along with solutions: Rs.2000/- for each paper setter; and (ii) Honorarium for coordinator, senior and junior supervisors, assessment, other secretarial work etc. shall be as per the prevailing rules governing university examinations.
- 6.2 Experts invited from outside Sardar Patel University on various Committees related to the PhD admission, DRAC meetings and 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.

7.1A At the time of counselling for Ph. D. admission, preference shall be given to a Ph. D. Guide, who has proven research experience through at least two research publications of repute / having applied for research projects (minor/major) during the preceding three years of the current admission, to have allotment of Ph.D. student under his/her guide ship.

While allotting the guides, it may be observed that at any session of the admission, a professor is expected to have a minimum of three students, an Associate Professor is expected to have two students and an Asst. Professor is expected to have at least one student working under their guide ship.

The decision of the DRAC shall be binding to all concerned.

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/Research Institutions 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 the candidate allotted to him for the PhD guidance is not a close family relative and he/she would continue to guide the research scholars allotted to him/her if he/she moves to another Institutions. In such cases the Research Guide shall submit to the College/P. G. Centres/ research 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. If a Ph. D. Guide leaves the College/P. G. Centres/ research institutions, the Ph. D. Scholar shall be transferred to another Ph. D. guide in same subject discipline of the same College/P. G. Centres/ research institutions. If there is no Ph. D. guide available in the subject concerned in that institution, the DRAC shall transfer the scholar to a guide in the university P. G. Department/another college/Institution. Such transferred scholar shall be counted as super numerary over the total allowed number of Ph D students of the respective category. The issues related to the fee structure in such cases shall be resolved in consultation with the Vice Chancellor.
- 7.7. If a Ph.D. Guide leaves the college and join to university P. G. department /another college / P. G. centre/Institution recognized as per R Ph D 15.3 by the University, the transfer of the scholar to another Ph. D. guide is not required. However, the student shall be transferred to the Guide's present institution on request by the student and guide and recommended by the concerned DRAC. The DRAC's decision on such cases and the issues related to the fee structure shall be approved and resolved by the Vice Chancellor.
- 7.8 No Ph D student shall be allowed to register under a PhD Guide who is having less than two years for his / her superannuation. However he/she can continue to be a co-Guide.
- 7.9 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.
- 7.10 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 Ph D registration.
- 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 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 the term fee with penalty decided by the university as per rules.
- 8.4 Fees once paid shall not be refunded in any case.



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

- 9.1 Once a research scholar is registered for the pre-PhD course work, he/she shall be required to undertake course work as under:
 - 9.1.1 A four credits Research Methodology course is mandatory for all the research scholars across the faculties as part of their Pre-PhD course work. The course shall include quantitative methods, research and publication ethics(RPE), ICT applications and review of published research works etc. The mode of conducting this course shall be notified by the University time to time.
 - 9.1.2. Two other courses each of three credits which include advanced level course materials related to the subject area relevant to the research topics prepared and approved by the DRAC shall be conducted by the respective department/ institutes/ affiliated P G center where the student is admitted.
- 9.2 All courses prescribed for Ph. D. course work shall be approved by concerned 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).
- 9.3. Research Scholar has to clear these courses within the first two terms from the date of admission. Women candidates shall be given a relaxation of two more terms in case of maternity.
- 9.4 The DRAC shall maintain proper records of teaching and evaluation. The final results of the course work shall be submitted to the University.
- 9.5 This course work assigned to the candidate, in the university P. G. Department /recognised research institutions where the scholar is admitted 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 equivalent to the Ph. D. course work.
- 9.6 The candidate has to score a minimum of 55% of marks (in each course) as the passing standard of the course work. Passing of the Pre-PhD course work shall be mandatory for PhD registration.
- 9.7 Grades in the courses, shall be finalized by the DRAC and the final grades shall be communicated to the University. Based on the result submitted by the DRAC, University shall issue a mark sheet of the PhD course work to the candidate.
- 9.7(A) A copy of the Pre-PhD course work passing certificate issued by the University must be attached along with the Ph. D registration form.
- 9.8 In case a candidate fails to clear the pre-Ph.D. course work as per R Ph D 9.6, the concerned DRAC shall allow the candidate to register for a supplementary exam of those papers of the pre-PhD course work based on a request letter forwarded through and



recommended by the guide. On further failure in clearing the course work, his/her Ph.D. admission stands cancelled automatically.

Such candidates (those who wish to rejoin the Ph.D programme of the University) have to follow the admission procedure as per R Ph D 4.

- 9.9 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 and shall be allowed to register for Ph. D.

R. Ph.D. 10. The Departmental Research Advisory Committee (DRAC) and its Functions:

10.1 The Departmental Research Advisory Committee (DRAC) shall be constituted by the Head of a University P. G. Department as chairperson 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. External subject expert nominated by the Vice-Chancellor may be invited to the DRAC as and when required.

10.2 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 constituted 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.

10.3 The DRAC shall have the following responsibilities:

- (i) admission and allotment of research guides to the qualified students;
- (ii) to review the research proposals and advice to fine-tune the research proposal;
- (iii) facilitate the research scholar to develop the study design and methodology of research and helps to identify/select the course(s) that he/she needs to do;
- (iv) to conduct and evaluate the respective Ph. D. course work and submit the course work (paper wise) results of the registered students to the University;
- (v) to review periodically and assist in the progress of the research work of the research scholar and
- (vi) to implement and monitor the R. Ph. D. rules and regulations in letter and spirit.
- (vii) to ensure and assure high quality research by providing encouragement and support for research publications only in the journals of high standard (Journals listed from time to time in the UGC – Care list) and take steps to prevent research publications in any sub-standard journals (those not included in the UGC-Care list).
- (viii) to make sure all the theses recommended by DRAC for its final submission to the University for evaluation are within the allowed limit of the similarity index as per the regulations for academic integrity and prevention of Plagiarism updated time to time by the University.

10.4 A committee of examiners constituted time to time by the Hon. Vice Chancellor which may include Professors of the Department and external subject experts shall set the question paper for the entrance test, provide solutions to the test paper and assess the answer sheets.



- 10.5 If a scholar is scheduled to make a presentation before the committee on issues related to her/his course work or progress or any other matter related to Ph D work, her/his Ph D guide shall be invited if the Committee desires during the time of presentation.
- 10.6 The DRAC constituted by the University at the respective PG Departments shall only conduct counseling, allotment of guide, research proposal finalization, review of six monthly progress, pre-PhD presentation etc. for all the students pursuing for the PhD programme of the University.

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

- 11.1 Upon satisfactory completion of course work, and registered for Ph.D., the Research Scholar shall be required to produce a draft thesis within a reasonable time as per R.Ph.D-3
- 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 in consultation with the respective guide. If the research scholar fails to implement these corrective measures within the next term, 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 generated or collected by the candidate shall be allowed to be transferred to the University to which the scholar intends to relocate on mutual agreement signed by the respective guides and endorsed by the concerned heads of the two institutes, provided all the other conditions of 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 Institute for the part of research work already done and the IPR related to the part of research data shall be owned by the original institute.

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

- 12.1 The Ph. D. scholar must have at least two (2) research papers (published/ accepted for publication) from the Ph. D. work carried out, of which at least one need to be in refereed journal / journal listed in the UGC recognized research journals with ISSN 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 through the respective guide to the concerned DRAC which may consider it and take appropriate decision with due justification and recommend for just a single term 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 like: Gujarati, Hindi, or Sanskrit. However a Ph. D. scholar registered for a Ph. D. in Gujarati, Hindi, or Sanskrit shall necessarily include a summary of the thesis in English.
- 12.4(A) All registered PhD students must attend and clear a two credit course on “Report writing in English” conducted by the University. A copy of the certificate of this course shall be included along with other attachments at the time of synopsis submission.
- 12.5 The thesis shall contain certificate of originality as given in **Annexure – I**.
- 12.6 The thesis shall be put through plagiarism / similarity detection tool and if the similarity index falls within 20% then the report be put before the respective DRAC for follow up action before the final submission of the thesis for evaluation. DRAC has to make sure that the draft thesis similarity index falls within the allowed limit i.e. 10% before recommending the draft thesis for submission. For those cases of similarity index above 20% the report be sent to the University for further action as per the regulations for academic integrity and prevention of Plagiarism updated time to time by the University. The necessary certificates mentioned in the Guidelines on Plagiarism (**Annexure-III to Annexure - VI**) shall be included in the draft thesis. The policy for the plagiarism will be followed as per the University Regulations for Academic Integrity and Prevention of Plagiarism adopted as per the UGC Guidelines on curbing of Plagiarism as given in **Annexure – II**.
- 12.7 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 sides of the paper 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. Two hard bound copies of the thesis printed on both sides of the paper along with a soft copy for electronic depository on the INFLIBNET shall be submitted just after the conduct of the Viva Voce examination. University shall issue the notification of the award of Ph. D only after the receipt of hard bound copies along with the soft copy.
- 12.8 The degree of Ph. D. shall not be conferred as an addendum degree.



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 countries) 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, his report shall be placed before the Vice Chancellor for a final decision.
- 13.5 If any of the referees has suggested corrections, the candidate shall be required to incorporate it in the final draft of the thesis and need to submit a corrected version of the thesis before / during the viva voce examination.
- 13.6 A work that has been rejected shall be resubmitted with due revision only after a period of six months 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, an open viva-voce examination of the Ph. D. scholar to defend the thesis shall be conducted by DRAC before a board of examiners for PhD viva, consisting of the internal guide, at least one external referee and two external members in the subject area nominated by the Vice Chancellor. The viva Voce will be conducted in medium of English only (even in the case of foreign students with no translator appointed) except for the students who have registered in the subjects such as Hindi, Sanskrit and Gujarati. After the open Viva, the board shall submit a report jointly to the University whether the thesis is 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.

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 the 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. Recognized 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 admitted with such a Centre/Institution/College, the sole responsibility for providing the necessary research facilities and conduct of the required Pre-Ph.D. course work to the scholar shall lie with the Centre/research Institutions /College which has admitted him/her, and not with the University.
- 15.3 Recognized P. G. Centres / Research institutions of Government of India or State Government with adequate facilities for research as mentioned below shall be recognized to 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.
- 15.3.2 Necessary library resources including latest books and research journals, e-resources, extended working hours for all disciplines, adequate space for Ph. D. scholars in the Department / library for reading, writing and storage of research data and research materials;
- 15.3.3 The recognized Centres may also have access to the required facilities of the neighbouring Institutions/Colleges/R&D, National, State level research laboratories/Organizations/ which have the required facilities.
- 15.3.4.The National/Sate govt. supported research institutes need to undertake an MOU or an agreement with the University under which the University shall recognize the Ph D programme of such laboratories/institutes.
- 15.3.5.The MOU shall incorporate the clauses under the prevailing UGC guidelines for maintenance of standards in Higher education institutions such as formation of Research Clusters amongst the Universities / Colleges/Research Institutions within the state for sharing research facilities, human resources, skills and infrastructure to ensure optimal utilization of resources and to create synergies among researchers in the higher education institutions.



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 as 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 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. 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.



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

- 16.2.1 Candidates, who possess 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 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 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 degree to candidates registered for the Ph. D. programme prior to date of these Regulations shall be governed by the provisions of R. Ph. D. rules of the University prevailing at the time of registration.
- 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 prevailing UGC Regulations.



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.

**Sardar Patel University
Vallabh Vidyanagar**

Implementation and Assessments of the Pre-PhD coursework

1. The Research Scholar who are admitted to the PhD programme of the University have to register for the Pre-PhD course work as per R.Ph.D.: 9.
2. The two credits course on Research and Publication Ethics (RPE) (a mandatory course by UGC) and the four credits Research Methodology course shall be Conducted and Evaluated centrally for all the admitted Research Scholars by the University as per R. Ph.D. : 9.1.1.
3. As per R Ph D 09.1.2, two subject specific Pre-PhD courses of three credits each approved by the by concerned DRAC shall be Conducted and Evaluated by the respective DRAC (as announced by University with letter No. D/E/10/317, dated: 20/04/2021) where the students are admitted for the PhD programme.
4. The course details (syllabi as approved by the concerned DRAC and the Univ.) and the timetable of the course work shall be displayed on the notice board of the PG Department where the students are admitted for the PhD programme. The Concerned P.G. Department will inform the timetable and syllabus to the students and respective guide.
5. Contact hour per credit is 15 hrs (which may include lectures, group discussions, seminars, tutorials etc.).
6. The attendance of the Ph D scholar for each course shall be 80%. The Concerned P.G. Department will maintain the attendance records of the student for each course work.
7. The evaluation of each of the course work shall have the following components:
 - i) A Written Examination OR Written Assignment Submission (50 marks)
The topics for assignment shall be from the syllabus of the respective courses as approved by the concerned DRAC.
If the number of students is large, written examination may be conducted.
The written examination / the Assignment topics shall cover the full content of the syllabus of the respective courses.
 - ii) Review presentation and viva voce (50 marks)

The research scholar shall prepare a power point presentation on a topic (different from the assignment) related to the experimental / theoretical methodology and the techniques for data analysis with chosen illustrative case relevant to the field of the research proposal and approved by the guide and the DRAC.

The Ph D guide of the research scholar, the allotted teacher of the course and the atleast one of the DRAC member shall remain present and shall evaluate during the presentation cum viva. The marks awarded must be signed by all the above and shall submit to the DRAC chairman.

8. The respective PG Department where the students are appearing for the pre-PhD course work shall submit the entire records viz. time table, syllabi, attendance, marks awarded / scored, the copy of the written exam paper or the assignments, copy of the ppt presentation etc of the research scholar to the respective DRAC.

Contd..



9. The DRAC chairman shall submit the marks /result of the course work to the University for declaration. (as per following table)

No.	Student's Name	Course-2			Course-3			Attendance fulfill
		Obtained Marks	Out of Marks	Result	Obtained Marks	Out of Marks	Result	Yes/No

10. On passing the course work (as per R PhD 9.6), the university shall issue a passing certificate to the research scholar and advice the research scholar to complete the Ph D registration.



Annexure - I

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: _____

Name and Signature of the Research Scholar

Registration No.: _____

Date: _____

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

Place: _____

Name and Signature of the Guide(s)

Institutional address

Date: _____

Forwarded through the Head/ Chairperson DRACS

Annexure - II

**SARDAR PATEL UNIVERSITY
VALLABH VIDYANAGAR-388 120**

Regulations for Academic Integrity and Prevention of Plagiarism (AIPP) (December, 2020)

To inculcate and implement strictly the ethical and moral values in the academic pursuit of students and faculty members of the higher education institutions, the University Grants Commission has issued a notification through “Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions - Regulations, 2018 published in Gazette of India (REGD. NO. D. L.-33004/99). The main objectives as stated in the UGC regulations 2018 are as under:

1. Objectives

- 1.1 To create awareness about responsible conduct of research, thesis/dissertation preparations, promotion of academic integrity and prevention of misconduct including plagiarism (similarity) in academic writing among student, faculty, researcher and staff.
- 1.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis/dissertation writing and reporting, promotion of academic integrity and deterrence from plagiarism.
- 1.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish student, faculty researcher or staff of the higher education institution committing the act of plagiarism.

In compliance of these Regulations, Sardar Patel University, Vallabh Vidyanagar has in principle agreed to adopt the regulations by establishing mechanisms as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

2. Definition of Plagiarism

‘Plagiarism’ is the unacknowledged use of another person’s work as one’s (their) own work. It involves copying of phrases, clauses, sentences paragraphs or longer extracts, data and figures from published or unpublished work including those from other sources and own published works without acknowledgement of the source.

3. Instances of Plagiarism

- 3.1 Copying directly another person’s original idea, abstract, phrases, data, illustrations, tables, conclusions etc. without permission / acknowledgement of the sources.
- 3.2 Copying a section of the book / article / report / monograph / dissertation / thesis without proper citation.
- 3.3 Buying, stealing or borrowing assignments, experiments / results, cutting and pasting from online sources and submitting as one’s (their) own without necessary permission and /or attribution.

4. Self Plagiarism (as per UGC notification N F 1-1/2020 (SECY) 20th April 2020

Reproduction, in part or whole of one’s own previously published work without adequate citation and proper acknowledgement and claiming the most recent work as new and original for any academic advantage amounts to ‘text-recycling’ also known as self plagiarism and is not acceptable.

Self Plagiarism includes:

- 4.1 Republishing the same paper already published elsewhere without due and full citation.
- 4.2 Publishing smaller/excerpted work from a longer and previous published work without due and full citations in order to show a larger number of publications.
- 4.3 Reusing data already used in a published work or communicated for publication in another work without due and full citation.
- 4.4 Breaking up a longer /larger study into smaller sections and publishing them as altogether new work without due and full citation.
- 4.5 Paraphrasing one's own previously published work without due and full citation of the original.

5. Mechanisms to Implement the Regulations

5.1 Formation of Departmental Academic Integrity Panel (DAIP)

The **Departmental Academic Integrity Panel (DAIP)** as per the UGC regulations shall be constituted as per the following composition.

- a. **Chairman** - Head of the Department
- b. **Member** - Senior academician from outside the department, to be nominated by the Vice Chancellor of the University.
- c. **Member** - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of 'b' and 'c' as above shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

5.1.1 Role of DAIP

- i. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of the University.
- ii. The DAIP shall have the power to assess level of plagiarism and recommend penalty(ies) accordingly.
- iii. The DAIP can co-opt a faculty member from the Department who is familiar with the subject area for which the plagiarism report is under consideration.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the UAIP within a period of 45 days from the date of receipt of complaint initiation of the proceedings.
- v. If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document pertaining to a Department, he or she shall report it to the concerned Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation, the DAIP shall investigate the matter and submit its recommendations to the UAIP.

5.2 Formation of the University Academic Integrity Panel (UAIP)

The **University Academic Integrity Panel (UAIP)** as per the UGC regulation, shall be constituted as per the following composition.

- a. Chairman – Vice Chancellor/Dean / Senior Academician of the University.
- b. Member - Senior Academician other than Chairman, to be nominated by the Vice Chancellor of the University.
- c. Member - One member nominated by the Vice Chancellor from outside the University.
- d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor of the University.

The Chairman of DAIP and UAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

5.2.1 Role of UAIP

- i. The UAIP shall consider the recommendations of DAIP.
- ii. The UAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iii. The UAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of the University.
- iv. The UAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Vice Chancellor within a period of 45 days from the date of receipt of recommendation of DAIP/complaint / initiation of the proceedings.
- v. The authorities of the University can also take *suo moto* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the University on the basis of findings of an examiner. All such cases will be investigated by the UAIP.
- vi. The UAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- viii. The UAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

6. Awareness Programs and Trainings:

- (a) The University shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source. For instance, give due credit to the original work /author(s) and provide proper citation and reference. If one need to quote part of text in verbatim, put them in inverted commas.
- (b) The University shall conduct sensitization seminars / awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- (c) The University shall :
 - i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory course work/module.
 - ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module in the pre PhD course work on research methodology Research Scholars.
 - iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the University.
 - iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
 - v. Establish facility equipped with modern technologies for detection of plagiarism.
 - vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

Note: Any synopsis/Dissertation submission occurring after the date of implementation of these regulations must follow the procedure laid down in this regulation.

7. Curbing Plagiarism

- 7.1 The University shall declare and implement the technology based mechanism using appropriate software recognized/recommended by the UGC time to time (presently URKUND) so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- 7.2 The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.
- 7.3 Every student submitting a thesis, dissertation, or any other such documents to the University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- 7.4 The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the University.
- 7.5 The University shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the University website.
- 7.6 Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- 7.7 The University shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "*Shodh Ganga e-repository*".
- 7.8 The University shall create Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-house publications.

NOTE: In case of any need, additional plagiarism detection software may be considered with the recommendation of the UAIP.

8. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- 8.1 All quoted work reproduced with all necessary permission and /or attribution.
- 8.2 All references, bibliography, table of content, preface and acknowledgements.
- 8.3 All generic terms, laws, standard symbols, common phrases and standard equations.
- 8.4 Name and address of Institutions, Departments and common mandatory phrases or sentence.

9. Similarity checks for inclusion for Plagiarism

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, objectives, hypothesis, observations, results, summary, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

10. Procedure for submission of Documents /Scripts for Plagiarism check

The documents / Scripts include research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment/opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of the University; however this shall exclude assignments / term papers / project reports / course work/ Essays and answer scripts etc.

- 10.1 A soft copy of the different components / sections as mentioned in the list for inclusion for similarity checks must be submitted prior to the final submission.
- 10.2 It shall run through a UGC recognized/recommended plagiarism detection software (PDS: Presently URKUND) as per 7.1. The report generated shall be submitted to chairman, DAIP for follow up action.

11. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- 11.1 Level 0: Similarities up to 10% - Minor similarities, no penalty
- 11.2 Level 1: Similarities above 10% to 40%
- 11.3 Level 2: Similarities above 40% to 60%
- 11.4 Level 3: Similarities above 60%

12. Reconciliation/Handling of Plagiarism Reports

In case of plagiarism (above the Level 0) found in the report generated by the plagiarism checking software, then the chairman DAIP shall call a meeting of DAIP to consider the report and shall summon the candidate to hear the candidate's view/justification. On hearing the candidate, DAIP shall verify the genuineness of the candidates view/justification and recommend to rerun the PDS with proper consideration of all the exclusion part as stated in 8. For this DAIP may consult the DRAC. Following which the student may be allowed to rerun the PDS and submit the fresh similarity report to DAIP forwarded through DRAC. A student can avail this opportunity only once.

13. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the University only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

13.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0: Similarities up to 10% - Minor Similarities, no penalty.**
- ii. Level 1: Similarities above 10% to 40% -** Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% -** Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% -**Such student registration for that programme shall be cancelled.

Note 1: **Penalty on repeated plagiarism-** Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: **Penalty in case where the degree/credit has already been obtained -** If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the UAIP and approved by the Head of the Institution.

13.2 Penalties in case of plagiarism in academic and research publications

- i. Level 0: Similarities up to 10% - Minor similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% - Shall be asked to withdraw manuscript.
- iii. Level 2: Similarities above 40% to 60%
 - a) Shall be asked to withdraw manuscript.
 - b) Shall be denied a right to one annual increment.
 - c) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student / scholar for a period of two years.
- iv. Level 3: Similarities above 60%
 - a) Shall be asked to withdraw manuscript.
 - b) Shall be denied a right to two successive annual increments.
 - c) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

13.3 Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the University.

13.4 Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by UAIP and approved by the Head of the Institution.

14. The University shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the University is checked for plagiarism at the time of forwarding/submission.

15. If there is any complaint of plagiarism against the Head of the University, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the University.

16. If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the UAIP and approved by the Competent Authority.

If there is any complaint of plagiarism against any member of DAIP or UAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

17. Removal of Difficulty

University reserves the right to remove difficulty / difficulties in the course of implementations of these regulations (AIPP) in consultation with the UGC.



**SARDAR PATEL UNIVERSITY
Vallabh Vidyanagar**

Plagiarism Verification Report

1. Name of Researcher/Student:
2. Title of the Thesis/ dissertation/Research Paper:
3. Name of the Department /Faculty:
4. Name of Supervisor:
5. Official Designation & Address:

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

Software used Date:

Similarity Index: Total word count :

The report is attached for the review by the Supervisor

Sign. of Researcher

- The plagiarism report of the above thesis/ dissertation has been reviewed by the undersigned.
- The similarity index is below accepted norms.
- This is certified that the thesis/dissertation is plagiarism free/ the similarity content is below accepted norms and does not affect the originality of research work. Therefore, the thesis may be considered for submission to the University. The software report is attached.

Sign. of Researcher

**Sign. of Supervisor
With Seal**



Annexure-IV

UNDERTAKING
(To be submitted on a RS. 50/- Non-Judicial Stamp Paper)

I..... S/D of Shri.....,
aged years, the resident of
....., Mobile No.do hereby take
oath and state :

(i) That, I am registered for the Ph. D/Masters programme on the topic titled.....
..... in the Faculty of of -----
University. My Registration no. is

(ii) That, the contents of my thesis/ dissertation submitted to the University for the award of Ph. D
are original and my own work, and is free from plagiarism. I have checked the
thesis/dissertation through a Plagiarism detection tool approved by
the university.

(iii) That, if, after checking my thesis for plagiarism by any standard plagiarism checking software,
are found copied or come under plagiarism, I will be solely responsible for it and University
shall have sole right to cancel my research work ab-initio.

(iv) That, this work has not been submitted by me for the award of any other Degree/Diploma in
any other University/ Institute.

(v) That, I shall be responsible for any legal dispute/case(s) for violation of any provisions of the
Copyright Act relating to my thesis.

Date :

DEPONENT

Place :



**SARDAR PATEL UNIVERSITY
Vallabh Vidyanagar**

Self Plagiarism Exclusion Certificate from Supervisor

The content of the chapters 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 / Institute.

Signature of the Candidate

Signature of the Supervisor



Annexure-VI

**SARDAR PATEL UNIVERSITY
Vallabh Vidyanagar
Self Plagiarism Co-authors Certificate**

We have published the following articles jointly:

Title of the Article	Details of the publications (Journal / Books etc. ISSN/ISBN)

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

We give our consent to Mr./Ms.to make use of these articles for inclusion in his / her thesis/dissertation.

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

Signature of Co-author

Signature of Co-author

Signature of Co-author

Name:

Name :

Name:

Address:

Address:

Address:

Signature of the Candidate

Name :

Registration No. :