

NOTIFICATION

Subject: Revised Ph.D. Regulation with effect from AY 2020-21 Onwards.

Read:

- (1) Resolution No. 13(1) – Academic Council Meeting, dated 05/11/2020.
- (2) Resolution No. 13(1) – Board of Management Meeting, dated 11/11/2020.
- (3) Resolution No. 13(1) - Governing Body Meeting, dated 25/11/2020.

It is notified for information to all concerned that the Governing Body in its meeting held on 25th November 2020 vide Resolution No. 13(1); considering the recommendations of the Academic Council and the Board of Management has resolved to approve the enclosed revised Ph.D. regulation, which shall be effective from the academic year 2020-21 onwards and the previous Notification No. 10/2017, dated 28/02/2017 and subsequent Corrigendum Notification No. SPU/Ph.D./292A/2018 dated 24/05/2018 stand replaced.

This has been issued with the approval of competent authority.



Registrar(I/c)

To,

All Academic Deans
HOIs of Constituent Institutes
R & D Section, SPU
All Members of RAB
Academic Section

Copy to,

Hon'ble President
Hon'ble Provost

NOTIFICATION

Subject: Ph.D. Synopsis Guidelines and Format.

Read:

- (1) Resolution No. 13(2) – Academic Council Meeting, dated 05/11/2020.
- (2) Resolution No. 13(2) – Board of Management Meeting, dated 11/11/2020.
- (3) Resolution No. 13(2) – Governing Body Meeting, dated 25/11/2020.

It is notified for information to all concerned that the Governing Body in its meeting held on 25th November 2020 vide Resolution No. 13(2); considering the recommendations of the Academic Council and the Board of Management has resolved to approve the enclosed Ph.D. Synopsis Guidelines and Format.

This has been issued with the approval of competent authority.



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**SANKALCHAND PATEL
UNIVERSITY**

॥ अथातो ज्ञानजिज्ञासा ॥

(Established by Govt. of Gujarat Act No.9 of 2016)

Sankalchand Patel Vidyadham, Visnagar – 384315.

**REGULATIONS FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY (Ph.D.)**

(w.e.f. 2020-21 Onwards)



REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

In exercise of the powers conferred by the act of Sankalchand Patel University, Visnagar, the Academic Council of the University hereby makes the following revised regulations for the Degree of Doctor of Philosophy (Ph. D) under various faculties such as Engineering & Technology, Medicine, Dental Sciences, Physiotherapy, Nursing, Pharmacy, Management Studies, Computer Science, Science & Humanities, and Commerce etc.

1. SHORT TITLE AND COMMENCEMENT:

- 1.1 These revised regulations may be called "THE REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) OF Sankalchand Patel University, VISNAGAR". These Regulations shall come into force with effect from June, 2020 and are subject to such modifications as may be approved by the Academic Council of Sankalchand Patel University from time to time.
- 1.2 The entire Ph. D program under various faculties of this university shall be for regular/Part time research scholar.
- 1.3 Sankalchand Patel University offers Ph.D. programs in various disciplines of the following faculties. Sankalchand Patel University also encourages inter disciplinary research, as per Section 6.2 & 6.4 of UGC (Minimum Standards & Procedure for Award of M. Phil /Ph. D Degrees) Regulations 2016. Details of the various Disciplines are enclosed in an Annexure-1.

- 1.3.1 **FACULTY OF ENGINEERING & TECHNOLOGY**
- 1.3.2 **FACULTY OF MEDICINE**
- 1.3.3 **FACULTY OF DENTAL SCIENCES**
- 1.3.4 **FACULTY OF SCIENCE & HUMANITIES**
- 1.3.5 **FACULTY OF PHARMACY**
- 1.3.6 **FACULTY OF MANAGEMENT STUDIES**
- 1.3.7 **FACULTY OF COMPUTER SCIENCE**
- 1.3.8 **FACULTY OF COMMERCE**
- 1.3.9 **FACULTY OF PHYSIOTHERAPY**
- 1.3.10 **FACULTY OF NURSING**
- 1.3.11 **FACULTY OF DESIGN**



2. DEFINITIONS:

1. A **FULL TIME** research scholar is one who is not employed in any capacity and is fully devoted to the Ph. D Research work. However, he/she may be assigned teaching work as and when required.
2. **PART TIME** research scholars is one who is currently employed in recognized institute/organization/ university, and want to devote part of his/her time to pursue the research.
3. **TEACHING CUM RESEARCH FELLOW** is one who is working as a regular employee in the constituent institutes of Sankalchand Patel University and wants to enroll for Ph.D. program in their respective faculty provided they fulfil the eligibility criteria as per regulation.
4. A **TEACHER** means a person engaged in full time teaching work at Sankalchand Patel University .
5. **RAC** means Research Advisory Committee as defined in this regulations.
6. **RAB** means Research Advisory Board as defined in Statutes.
7. **PH.D. SUPERVISOR** means a full time teacher, who is employed at any of the constituent institution of Sankalchand Patel University , and fulfills the requisite criteria for becoming a Ph.D. supervisor as laid down by respective councils or a competent authority.
8. **CO-SUPERVISOR** means any full time external teacher or scientist or industry person who is not employee of Sankalchand Patel University and fulfills the requisite criteria for becoming a Ph.D. supervisor as laid down by respective councils or a competent authority.

2.1 PH.D. ADMISSION COMMITTEE:

A. Ph.D. Admission Committee duly constituted by Provost shall perform following functions:

1. To advertise the admission process as per prevailing norms of the UGC and call for applications.
2. To verify the candidates' credentials as per regulations and publish a list of eligible candidates for further process.
3. To conduct Ph.D. entrance examination and publish a list of qualified candidates after entrance examination.
4. To carry out work related to the research presentation before final admission.
5. Recommend and suggest Ph.D. supervisor for the candidate based on expertise.

B. Ph.D. Admission Committee members are:

1. Dean of the Faculty as a Convener.
2. At least one subject expert from constituent institute.
3. External subject expert having enough research exposure in the relevant area, to be recommended by the Dean. (For the evaluation of interview/viva-voce)
4. Dean/Associate Dean – Research as member secretary.



3. ELIGIBILITY FOR ADMISSION:

3.1. CLASSIFICATION OF CANDIDATES:

The applicants are classified under one of the following ...

- a. **Full time Research Scholar** – Candidate available full time at the University for pursuing his/her research work and is not employed anywhere.
- b. **Part time Research Scholar** – Candidate, who is registered for the Ph.D. program and will devotes part of his/her time towards their pursuit and devotes part of his / her time towards the discharge of his/her official obligations.
- c. **Teaching Cum Research Fellow** – Regular employee of constituent institutes under Sankalchand Patel University, who can devote time to pursue his/her research along with his /her regular work load at the respective institute.

3.2. FULL TIME/PART TIME RESEARCH SCHOLAR:

The candidate, who presents himself/herself for the registration of the Degree of Doctor of Philosophy (Ph.D.) in various faculties under the university, shall possess minimum education qualification as per the table given below.

Sr. No.	Faculty	Minimum Educational Qualification
1	Engineering & Technology	Master Degree or equivalent in the appropriate branch from a recognized University/ Institution with minimum of 55% marks in aggregate or equivalent grade. 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.
2	Dental Sciences	
3	Pharmacy	
4	Management	
5	Computer Science	
6	Science & Humanities	Its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed).
7	Commerce	
8	Physiotherapy	
9	Medicine	OR
10	Nursing	An Equivalence certification from AIU is Mandatory for Foreign Degree holders.
11	Design	



3.3. PART TIME RESEARCH SCHOLAR:

3.3.1 The candidate applying under the part time research scholar category should possess:

- Minimum educational qualifications as per the admission eligibility of Full Time Research Scholars mentioned under section 3.2.
- At least two years of relevant work experience is preferred.

3.3.2 The candidate needs to prove to the satisfaction of the university that his/her official duties permit him/her to devote sufficient time to research. Facilities for research are available at the candidate's place of work in the chosen field of research. **No Objection Certificate** from the current employer by the candidate is mandatory.

3.3.3 The Part time research scholars must devote sufficient time for the research work in coordination with the concerned research supervisor.

3.4. TEACHING CUM RESEARCH FELLOW:

3.4.1 Candidate applying under the Teaching cum Research Fellow category should possess...

- Minimum educational qualifications as per the admission eligibility of Full Time Research Scholars.
- At least two years of relevant experience at the constituent institutes of the Sankalchand Patel University .

3.4.2 Preference will be given to candidate having valid GATE / GPAT / NET / SLET score etc.

3.4.3 Candidate can enroll in the same faculty/discipline, where he/she is employed or in interdisciplinary specialties, subject to the provisions thereto and under the supervisor and co-supervisor as applicable.

3.4.4 Such candidates have to submit **No Objection Certificate (NOC)** from respective Head of Institute and Dean of Faculty in the prescribed format as per the terms and conditions decided by the institution.

3.4.5 On discontinuation of service for reasons whatsoever, the Ph.D. registration of such candidate may stand cancelled. If, he/she do not apply for conversion of registration for Ph.D. program as a full time research scholar or part time research scholar.

4. DURATION OF RESEARCH WORK:

4.1 DURATION OF PH.D. PROGRAM:

Full time candidates	- Minimum THREE years
Part time candidates	- Minimum THREE and HALF years
Teaching cum Research Fellow	- Minimum THREE and HALF years



- Maximum duration for the Ph.D. program, for all categories, shall be of double the minimum duration.
- These durations include the course work.

4.2 EXTENSION OF RESEARCH WORK:

- 4.2.1 In case candidate is unable to complete his research work in the duration mention in clause 4.1, candidate has to apply for extension to University Research Advisory Board (RAB) forwarded through research supervisor after recommendation from RAC.
- 4.2.2. Maximum extension of one year can be given; if candidate fails to complete his / her research work within the extension period then candidate has to re-register.
- 4.2.3 Members of Research Advisory Board at university Level
 1. The Provost shall be the Chairman of the Board
 2. Two members to be nominated from the Academic Council
 3. One Senior Professor / Reader from each Faculty/Institute/Department having research back ground or exposure to be appointed by the Provost in consultation with concerned Dean
 4. Dean of Research Programs - Secretary

5. PROCEDURE FOR ADMISSION:

5.1 ADMISSION NOTIFICATION:

Ph.D. admission committee shall initiate the process to publish admission notification as per the provisions prescribed under section Clause2.1. Such notification shall be published maximum twice in a year depending upon the availability of the seats/ Ph.D. supervisors etc.

5.2 ELIGIBILITY CRITERIA:

Eligibility criteria shall be as defined under section Clause3 of this regulation will be applicable to scrutinize the applicants.

5.3 ENTRANCE EXAMINATION:

- 5.3.1 The Sankalchand Patel University shall be conducting an all-India based entrance examination for the admission to Ph.D. program after due advertisement/notification.
- 5.3.2 However, those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/GPAT/Teacher Fellowship holder shall be exempted from entrance examination only, as per 5.3.4, and shall appear for the interview/viva- voce as mentioned in section 5.3.
- 5.3.3 The pattern of the entrance examination shall be as under:
 - 5.3.3.1 The question paper will be divided in two sections.
 - Section-I (covers General aptitude / mathematics / research statistics) 50 %.



- Section – II (covers subject/discipline specific syllabus) 50 %.

5.3.3.2 The question paper shall have MCQ and/or descriptive type questions.

5.3.3.3 Question paper shall be set from syllabus defined by concern faculty. There will be no negative marking. If a question has not been attempted no credit/marks will be given. The questions will be of Post Graduate level.

5.3.3.4 The question paper shall be of maximum 3 hours' duration, and shall consist of total 100 marks.

5.3.4 Candidates acquiring minimum cut off from the sections taken together, shall be eligible for interview/viva-voce as mentioned in section 5.3.

5.3.5 Examination shall be held at Sankalchand Patel University, Visnagar, or any other examination center as decided by Sankalchand Patel University.

5.3.6 Minimum qualifying marks for appearing in interview/Viva voce shall be 50% in written test. Selection of a candidate will be based on merit with 70% weightage of written exam and 30% of viva-voce and interview. A relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the University as per University Grants Commission (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degrees) Regulations, 2016.

5.4 INTERVIEW / VIVA-VOCE:

5.4.1 The qualified candidates, as per section 5.3.6, shall be called for interview/ viva-voce, and his/her documents shall be scrutinized by the admission committee. The allocation of the Ph.D. topic/subject of the faculty shall be finalized by the admission committee.

5.4.2 A merit list of successful candidate shall be prepared by considering his / her performance in the Written Exam and Interview / Viva – Voce as per section 5.3.6, considering their competency if:

1. The candidate possesses the competence for the proposed research;
2. The research work can be suitably undertaken at the University/Institution/Research Lab;
3. The proposed area of research can contribute to new/additional knowledge.

5.4.3 A list of admitted students shall be prepared depending on the availability of number of seats. Selection of the candidate and supervisor shall be carried out in the order of merit cum preference. The list of admitted candidates shall be sent to the respective faculty.

5.4.4 All the admitted students shall be registered provisionally to the Ph.D. program till the successful completion of their course work.

5.4.5 The list of all the Ph.D. registered students shall be published on the University website year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his / her supervisor / co-supervisor, date of enrolment / registration.



5.5 RESEARCH SUPERVISOR (Ph.D. Supervisor):

Only faculty members of the constituent institutes of Sankalchand Patel University are eligible to be recognized as Ph.D. Research Supervisor. Following guidelines will be applicable to define the eligibility for the recognition of Research Supervisor of Ph.D. Program under the respective faculty of Sankalchand Patel University.

1. Faculty member with Ph.D. degree in the respective faculty or in related discipline and having minimum of 2 post Ph.D. publications. OR
2. Faculty member with Ph.D. degree in the respective faculty or in related discipline and having minimum 5 years of PG teaching experience. OR
3. Faculty member with Ph.D. degree in the respective faculty or in related discipline and having minimum 8 years of UG teaching experience and presently teaching in PG program. OR
4. Faculty member with Ph.D. degree in the respective faculty or in related discipline and having minimum 8 years of industry/scientific research experience and presently teaching in PG program. OR
5. Faculty member currently working in cadre of Professor with minimum 10 years of teaching experience and 10 research publications.

5.5.1 PH.D. SUPERVISOR APPROVAL

Ph.D. supervisor is recognized, subject to the approval of RAB of Sankalchand Patel University.

5.5.2 APPLICATIONS

Application for Ph.D. Supervisors shall be submitted in a prescribed format to RAB/ Office of the Research & Development, who then will process the applications as per laid down above norms.

5.5.3 AGE LIMIT OF THE SUPERVISOR

Age limit of Ph.D. supervisor is as per guideline of UGC and concern statutory authority.

5.5.4 RESTRICTION ON NUMBER OF CANDIDATES

A Research Supervisor / Co-supervisor who is a Professor, at any given point of time, can guide maximum Eight (8) Ph.D. scholars at a time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

5.5.5 ALLOCATION OF RESEARCH SUPERVISOR:



1. The admitted candidates shall be allocated to the university recognized Ph.D. supervisor formally in the Ph.D. Admission Committee meeting.
2. Candidates shall be allocated to the supervisors depending on the ratio of number of students per research supervisor and the research interest of the students as indicated during interview.
3. However, where Supervisor is not available in the respective specialization of the faculty, then an eligible/recognized Supervisor of relevant specialization from the same or related faculty shall be allocated by the Ph.D. Admission Committee.
4. The allocation of Research Supervisor as per 5.4.4, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview / viva voce.
5. In case of topics which are of inter-disciplinary in nature where the Ph.D. Admission Committee feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department / Faculty / College / Institution/Research lab/University.

5.6 PROVISIONAL ADMISSION:

A candidate shall be provisionally admitted/registered to the University for Ph.D. program by submitting a duly filled prescribed form along with a self attested Photostat copy of necessary documents as under.

- Post graduate degree mark sheets & certificate
- Migration Certificate (if applicable)
- Fellowship award certificate (if applicable)
- Sponsorship certificate (if applicable)
- Recent Publications (of last four years) (if applicable)
- Experience certificate (if applicable)
- Six printed copies of the Research proposal in a prescribed format along with a soft copy
- Two passport size recent photographs.
- NOC from current employer (if applicable)
- Consent letter duly signed by the allocated research supervisor
- Proof of Date of Birth
- Aadhaar Card
- PAN Card



- Passport in case of Foreign Students.
- Equivalence Certificate (if Applicable)

5.7 RESEARCH ADVISORY COMMITTEE (RAC):

5.7.1 The Provost of Sankalchand Patel University shall constitute a specialty / subject wise research advisory committee for each research scholar, comprising of:

1. Research Supervisor – Convener of RAC,
2. Dean of concerned faculty
3. At least one external expert related to area of research.

5.7.2 The RAC shall review the research proposal submitted by the candidate at the time of provisional admission process and shall recommend the acceptance of research proposal. The RAC shall also guide the research scholar to develop the study design and methodology of research and identify the course(s) that he / she may have to do.

5.7.3 The RAC, if required shall direct a candidate to submit the revised research proposal incorporating the recommendations made by it within a period of ONE month. Once the revised research proposal is accepted, the candidate shall be recommended for provisional registration

5.7.4 It shall be mandatory for all the provisionally registered candidates to seek the clearance of proposed research work from the Institutional Ethics committee and/or institutional animal-ethics committee for confirmation provisional registration, wherever applicable.

5.7.5 Candidate who fails to get clearance certificate from the RAC or/and ethics committee(s) shall not be registered for the Ph.D. degree and his/her application the same will stand cancelled and no refund of registration and application fees will be permissible.

5.7.6 The candidate who fails to appear before the institutional ethics committee and /or the institutional animal ethics committee on a stipulated date(s) without prior permission or valid reason, the committee may recommend cancellation of provisional registration granted to the candidate.

5.7.7 The research advisory committee shall monitor the research work of the candidate concerned periodically, record his/her progress of every semester in the prescribed format and send it to the Office of the Research & Development. It shall also review the overall research work done before final submission of the thesis by the research scholar.

5.7.8 Any change in the membership of the RAC shall be effected only on approval by the Provost.

5.8 COMMENCEMENT OF ACADEMIC SESSION:

The academic session for the Ph.D. program shall commence twice in a year, depending upon the completion of admission procedures.



6. COURSE WORK:

- 6.1 The provisionally admitted/registered candidate for the degree of Doctor of Philosophy (Ph.D.) shall undertake course work for a minimum period of six months.
- 6.2 The course work shall be treated as prerequisite of further Ph.D. research work. Only if the candidate successfully completes his/her course work, he/she will be eligible for enrollment process and will be allowed to carry out further research work.
- 6.3 The candidate shall undertake the coursework consisting of four subjects with total 12 credits as specified below in the table.

Sr. No.	Subject Description	Credits
1	Research Methodology and Statistics	4
2	A subject related to research Topic / Domain specific discipline	4
3	A subject covering Tutorials/Simulations/Experiments/Assignments etc.	2
4	Research and Publication Ethics (RPE)	2

6.4

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II above mentioned courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods as recommended by the RAC and approved by Academic Council.

- 6.5 Evaluation and/or assessment for the course work shall be carried out as per the methods and weightage specified for each respective subject in the teaching scheme approved by the academic council.
- 6.6 The candidate has to obtain a minimum of 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the program and submit the dissertation/thesis.
- 6.7 Candidates already holding M. Phil. degree and admitted to the Ph.D. program, may be exempted by the University/Institute/Department from the Ph.D. course work. All other candidates admitted to the Ph.D. program shall be required to complete the Ph.D. course work prescribed by the University/Institute/Department.
- 6.8 All candidates admitted to the Ph.D. program shall be required to complete the course work prescribed by the University within one year of registration.
- 6.9 In case a candidate fails to pass the course work examination in FOUR attempts, He / She will not be allowed to register further. Payment of fees for appearing the examination at the end of first year and inability to write this examination shall be deemed as an attempt.

7. INTER-DISCIPLINARY RESEARCH:



- 7.1 A candidate registered for a Ph.D. programme shall carry out research work essentially under guidance of his/her Ph.D. supervisor. A research scholar / supervisor can propose inter-disciplinary research work in other concerned department / institute recognized by Sankalchand Patel University. However, the work at the said department / institute shall be carried out under the guidance of qualified experts/Co-Supervisor.
- 7.2 The co-supervisor/s may work as co-opted member/s of the RAC for the candidate. Only a full time regular teacher of the concerned University/Institution can act as a PhD. Supervisor. The external supervisors are not allowed. However, Co- Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute/University or from other related institutions/University with the approval of the Provost on the recommendation of the Supervisor and concerned Dean.
- 7.3 In case participants find an academicians from outside of the Institute who is conversant with her/his topic of research she/he may apply to consider her/him as Co-supervisor requesting Office of the Research & Development and getting the final approval from the Provost.

8. RECOGNISED INSTITUTIONS FOR RESEARCH WORK:

Candidate who has registered for the Degree of Doctor Philosophy (Ph.D.) shall pursue research under the supervision of a Ph.D. supervisor in any one of the following Departments /Institutions, recognized by Sankalchand Patel University namely:

- Any constituent College / Institute of Sankalchand Patel University ;
- Postgraduate departments of recognized University or College situated within the country having necessary facilities carrying out research in the branch of study concerned. It is preferred that the department has been offering the recognized Postgraduate course.
- All India Research Institutions, Regional Research Institutions or any other Non teaching Research Institution having necessary facilities for carrying research in the branch of study concerned and approved by this University.
- Any organization/industry/institution not covered above but having sufficient infrastructure to carry out required research work shall be granted the recognition for the purpose as per the procedures laid down.
- For the purpose granting recognition to an institution covered above, the request made by concern research supervisor and dean of faculty may be forwarded to the Academic Council of Sankalchand Patel University , and on its recommendation, the final decision be taken by the Provost.

9. CHANGE OF SUPERVISORS AND TRANSFER OF SCHOLARS:

- 9.1 In case of resignation, relieving, retirement, or death of a Ph.D. supervisor, the candidates registered



under him/her shall be re-allocated to other recognized Supervisor/s in the subject/department, on the recommendation of the Faculty Dean with the permission of Provost.

- 9.2 When a supervisor is not available for the period of six months or more due to leave/lien/deputation; RAC shall allocate such student to other eligible supervisor as a co-supervisor, till the supervisor becomes available. In such cases recommendation of Regular Supervisor is preferred.
- 9.3 However not withstanding any of the above, change of supervisor by research scholar shall be avoided.
- 9.4 In case of resignation, retirement or relieving of a PhD supervisor, the Supervisor may continue supervising the scholar provided he/she has continuously supervised the scholar for a minimum of One RAC upon a written application from the scholar.
 - 9.4.1 In case of resignation, retirement or relieving of a PhD supervisor, if a co-supervisor is already appointed and is a recognized supervisor of the Sankalchand Patel University , he/she may continue to supervise the scholar as a research supervisor subject to his/her willingness.
 - 9.4.2 Requisite documents to be submitted to the university for change of supervisor:
 - a. Application of Research scholar
 - b. NOC from the current supervisor clearly specifying that he/she does not have any objection if the scholar wish to work on the present research topic and he/she will not claim any rights/privileges etc. on a research work done by the scholar under the supervision of the new supervisor, in future.

10. PROGRESS OF THE RESEARCH WORK:

- 10.1 A research scholar shall appear before the Research Advisory Committee 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 Research Advisory Committee to the Institution/College with a copy to the research scholar.
- 10.2 A research scholar is required to submit the detailed research proposal along with Title of the research in the first presentation to RAC after the successfully completion of course work.
- 10.3 The RAC shall review the progress of research and shall advice the candidate with regard to further work. The RAC shall submit its report back to the Ph.D. Office of Research & Development.
- 10.4 If a candidate fails to submit two consecutive six monthly progress report or/and fails to appear before RAC for presenting progress of research work on one occasion without valid reason/s communicated in advance to the Ph.D. Research Supervisor, the RAC shall recommend to the Office of the Research & Development for cancelling his/her registration.
- 10.5 In case of unsatisfactory research work by the research scholar, the RAC shall record the reason/s for the same, advice and suggest correctives measures. If the research scholar fails to incorporate



these corrective measures, the RAC may recommend to the Provost with substantial reasons through the Office of the Research & Development for cancellation of the registration. Provost may either approve cancellation or give him/her a last chance.

- 10.6 At appropriate time during six monthly progress review meeting, RAC shall recommend the research scholar to submit the synopsis, which a research scholar shall submit within six months from the RAC recommendation.
- 10.7 Procedure to be followed for evaluation of enrolled Ph.D. Scholars.
- A) Pre- Ph.D. exam.
 - B) Research Proposal.
 - C) Six monthly progress reports.
 - D) Synopsis Submission
 - E) Pre-Defense open seminar.
 - F) Final defense.

11. CANCELLATION OF THE Ph.D. REGISTRATION

- 11.1 In case of recommendation for cancellation of the registration by the RAC, the candidate shall be intimated by Office of the Research & Development about the grounds on which the registration is being proposed for cancellation. In case of any representation from the candidate, Office of the Research & Development shall refer the matter to the Provost through the Registrar, who may either suggest cancellation of registration or refer the matter back to the respective RAC for reconciliation or necessary action as it may deem fit. The decision of the Provost shall be final.
- 11.2 A candidate who fails to submit the completed thesis within the prescribed period or has failed to do so within the notified extended period, if any, the registration of such candidate shall stand lapsed automatically and such candidate shall have to be cancelled from the Ph.D. programme, final decision of Provost will be considered in that case. However, such a candidate may, if he/she desires so, apply for re-registration for the Ph.D. degree after complying with the procedure prescribed under these regulations.

12. CHANGE IN TOPIC OF RESEARCH

- 12.1 If a candidate desires to change the topic of research on substantial grounds, he/she shall make an application to faculty Dean through the supervisor.
- 12.2 The faculty dean shall put the application to RAC which shall consider such application on merit of representation such a change and may recommend change in the topic of research.
- 12.3 Such a permission for the change in the topic of research may be granted by the Provost. No further change shall be permitted thereafter.



- 12.4 However, the duration of research period shall commence from the date of registration of new topic is from the different domain/ area w.r.t previous topic.

13. TITLE OF THE THESIS

- 13.1 The title of the thesis shall be approved by RAC at the time of submission of the detailed research proposal.
- 13.2 The title that is approved last RAC will not be allowed to change under any circumstances.
- 13.3 The change in the title of the thesis shall be allowed only once. Such changes are subject to the recommendations of the RAC.

14. SYNOPSIS

- 14.1 The Synopsis submission shall be done after the research scholar (Part-Time) has successfully completed the minimum requirement of Six RACs (excluding the course work) and Full-Time research scholar has successfully completed the minimum requirement of Five RACs (excluding the course work).
- 14.2 After the recommendation of RAC members, The Supervisor is Required to send the hard copy of SYNOPSIS SUBMISSION FORM to the University at-least one month prior to the proposed dates of conducting Synopsis Presentation. Synopsis presentation will be open for all faculty members and research scholars in the relevant discipline. Research scholar shall submit 3 hard copies and a soft copy of the synopsis in prescribed format. The synopsis should be of maximum 15-30 pages that highlight the entire research work done.
- 14.3 The synopsis should have following components:
- a. Title of the thesis and abstract
 - b. Brief description of the research topic /Definition of the Problem
 - c. Objective and Scope of work
 - d. Original contribution by the thesis.
 - e. Methodology of Research, Results / Comparisons
 - f. Achievements with respect to objectives
 - g. Conclusion



- h. Copies of papers published and a list of all publications arising from the thesis
 - i. Patents (if any)
 - j. References
- 14.4 A Certificate/No Dues for Fees must be submitted along with the synopsis as per the format of the University.
- 14.5 After approval of the research work by the supervisor, the candidate shall submit 4 copies of synopsis as per the prescribed Performa to the Office of the Research & Development for its approval.
- 14.6 The candidate shall make a presentation of his/her research work, contained in a synopsis, before the members of RAC. This presentation shall be open to attend, for all faculty members and research scholars in the relevant discipline.
- 14.7 If the committee is satisfied with the synopsis seminar of the research scholar, the concerned dean of Faculty shall forward the synopsis of the research scholar accompanied by a certificate about the successful completion of the synopsis seminar to the Dean, Faculty of Research & Development, who will inform the PhD scholar accordingly.
- 14.8 The submitted synopsis shall be modified suitably, if needed, based on the suggestions of the RAC. This step shall be considered as preliminary examination prior to the submission of doctoral thesis.
- 14.9 The final approved copy of synopsis after incorporating all changes, if any, suggested by RAC, shall be given to the Office of the Research & Development then to the Controller of Examination for further process.
- 14.10 Conditions for submission of Ph.D. synopsis.
- a. As per the prescribed Performa
 - b. Plagiarism report will be generated by concerned dean of Faculty.
 - c. Clearance from University/Institution Ethical Committee/Clearance from Institutional Animal Ethical Committee (IAEC) registered with Committee for the Purpose of Control and Supervision on Experiments on Animals (CPCSEA); wherever applicable.
 - d. Any other clearance as required by respective regulatory / statutory authority of various faculties.
 - e. To be submitted to the university within six months from the date of recommendation of



submission of synopsis by RAC.

- 14.11 It shall be mandatory for the candidate to publish at least two research papers listed in the ISSN/ISBN/eISBN/Registered Journals/Indexed Journals/Peer Reviewed Journals/Impact factor Journals/UGC CARE / SCOPUS / Web of Science / PubMed before the submission of the synopsis for adjudication, and produce evidence for the same in the form of acceptance letter from the publisher or reprints of publications.

Or

One granted Patent based on his/her Research work for encouragement of Research and Innovation among research scholars.

15. SUBMISSION OF THESIS

- 15.1 After the acceptance of synopsis by the university, the candidate shall submit SIX copies of thesis, preferably in spiral binding, duly signed by the supervisor, co-supervisor(s) if any, and faculty Dean along with soft copy in Portable Storage Device, within 6 (six) months from the date of submission of synopsis, to the Office of Research & Development.
- 15.2 Thereafter, the research scholar shall have to submit the thesis for plagiarism check, similarities up to 10% in core research work is acceptable.
- 15.3 The title page of the thesis, cover, format, etc., shall strictly conform to the format prescribed by the university.
- 15.4 Supplementary papers/Appendices to the thesis like printed copies of any contribution to the knowledge of the subject may also be appended in the thesis by the research scholar.
- 15.5 Where a Ph.D. candidate has submitted the synopsis but is unable to submit the thesis within the time, prescribed extension of time for submission of thesis may be granted by the Provost on recommendation of Research Supervisor subject to maximum of One year with valid reasons. Research scholar is required to pay term fees as per the rules.
- 15.6 The research scholar with research supervisor requires submitting the thesis with an undertaking of 1. Plagiarism report (provided by university) 2. Declaration Certificate 3. Certificate for the work, has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

16. REVIEWERS

- 16.1 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are not in employment of SPU.



- 16.2 The Provost, from among at least six names recommended by the research supervisor, giving present designation (Not below Professor Cadre or Associate Professor having minimum experience of 5 years) and complete address of each of the person on the panel, shall appoint a Board of Referees consisting of three members. One of the three referees (4 in case of a co-guide), ordinarily the guiding teacher(s) under whom the research scholar has worked shall be the internal referee(s) and the other two shall be the external referee. The two external referees and the internal referee shall examine the thesis and submit individual reports, within time specified for this purpose.
- 16.3 The Provost will finalize the name of two external examiners for the review of the thesis and instruct Controller of Examination for further process.
- 16.4 In order to complete the evaluation work within stipulated time period, a reviewer shall be given maximum 60 days' time for the review of the thesis. If any reviewer is unable to complete/submit the review report within this time period, Controller of Examination may send to another reviewer with permission from the Provost.
- 16.5 The viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the any two out of the three external/internal examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination.
- 16.6 For conduction viva-voce examination at least one reviewer shall be appointed. The reviewer shall be one of the reviewer(s), who had evaluated the thesis of the research scholar.
- 16.7 When first panel consisting of Six Ph.D. external reviewers are unable to accept the reviewer ship, the Controller of Examination shall seek names for an additional panel of reviewers from the RAC. The additional panel is also unable to accept the reviewer ship the Provost shall appoint reviewer(s) as required in consultation with the head of department / dean in the relevant discipline. All reports of the panel of referees and the report of the viva- voce as approved by the Dean of concerned faculty shall be forwarded by Dean, Faculty of Research & Development to Board of Governors through Academic Council. On the approval of the Board of Governors, the PhD Degree will be awarded.

17. EVALUATION OF THESIS AND DEFENCE VIVA-VOCE EXAMINATION

- 17.1 A copy of thesis shall be sent to the reviewers for evaluation.
- 17.2 The reviewers who had evaluated the thesis shall ordinarily report to the Controller of Examination on the merit of the thesis for Ph.D. degree as



A.	The Thesis to be accepted
B.	The Thesis may be accepted after due correction
C.	The Thesis to be revised and resubmitted
D.	The Thesis to be rejected

In the prescribed format, along with a detailed report within 60 days from the date of receipt of the thesis.

- 17.3 A candidate, whose thesis has been accepted after due corrections and thesis with revision shall be permitted to submit the corrected / modified thesis as suggested by the reviewers within a period of six months to the Office of Research & Development. However, Rejected Thesis shall be permitted to resubmit the thesis within a period of one year as a last attempt. In such cases, the candidate will automatically be considered for an extension for Ph.D. program and have to pay all applicable fees as per the rules.
- 17.4 No candidate shall be permitted to submit the thesis or take the defense viva-voce examination for Ph.D. degree for more than THREE attempts
- 17.5 When the thesis is satisfactory, the candidate shall ready himself / herself for a defense viva-voce examination, to be conducted before the examination panel. The examination panel shall consist of candidate's research supervisor, at least one external examiner and Faculty Dean.
- 17.6 The viva-voce will relate only to the research area / thesis. Such public viva-voce examination will be conducted only in the Sankalchand Patel University premises, and it shall be open for all.
- 17.7 If none of the reviewers who evaluated the thesis is available, another reviewer from the panel may be appointed by the Provost. A candidate who is successful in the viva-voce examination shall be declared to have qualified for the Ph.D. degree with effect from the date of the publication of notification.
- 17.8 A candidate, who is not successful in the defense viva-voce, shall be permitted to appear for the viva-voce another time, within a period of three months.

- **DECLARATION OF THE FINAL RESULT:** The Controller of Examinations of this University shall prepare the consolidated report inclusive of the thesis evaluation recommended reports of three examiners and the Public Viva Voce Examination Report. Further, COE shall place the same before the Provost for approval and declaration of the results of the successful candidate who shall be deemed eligible to receive the Degree of Doctor of Philosophy (Ph.D.) of this University. The successful candidate shall be notified by the university accordingly.



18. MISCELLANEOUS:

18.1 AWARD OF DEGREE:

On completion of the evaluation process, the successful candidate shall submit the Four hard copies of the thesis, upon receipt of which candidate shall be awarded the degree of 'Doctor of Philosophy' mentioning the faculty, the subject in which he/she was enrolled. The Sankalchand Patel University shall also issue a provisional certificate certifying that the degree of Ph.D. has been awarded in accordance with the provisions of the University Grants Commission (UGC) regulations for Ph.D.

18.2 DEPOSITORY WITH UGC:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), The Sankalchand Patel University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET after two years, for hosting the same so as to make it accessible to all Institutions/Colleges.

18.3 DECISION BY PROVOST:

In all other matters not specifically covered under these regulations, the Provost may take a decision having regard to the circumstances of the case and if he/she deems necessary he/she may refer the matter to the academic council, for suitable recommendations before taking such decisions.

- **DISCREPANCIES, CONFLICT OF INTEREST AND DISCIPLINARY ACTIONS:** It shall be the authority of the University with the approval of the RAB to consider individual cases with special reference to Discrepancies of any nature, conflict of interest and to initiate appropriate administrative actions against the candidate, Supervisor and the Co-Supervisor accordingly.



ANNEXURE -1

FACULTY OF ENGINEERING & TECHNOLOGY

Faculty of Engineering & Technology offers Ph.D. program in following disciplines:

- Civil Engineering
- Mechanical Engineering
- Electrical Engineering
- Electronics & Communication Engineering
- Computer Engineering
- Information Technology
- Environmental Science & Engineering
- Information and Communication Technology

FACULTY OF DENTAL SCIENCES

Faculty of Dental Sciences offers Ph.D. program in following disciplines:

- Oral Medicine and Radiology
- Prosthodontics and crown & bridge
- Public Health Dentistry
- Orthodontics & Dentofacial Orthopedics
- Periodontology
- Paedodontics & Preventive Dentistry
- Conservative Dentistry & Endodontics
- Oral & Maxillofacial Surgery
- Oral pathology & microbiology

FACULTY OF SCIENCE & HUMANITIES

Faculty of Science offers Ph.D. program in following disciplines:

- Biotechnology
- Microbiology
- Mathematics
- Chemistry
- Physics
- Biochemistry
- Environmental Science
- Library & Information Science



FACULTY OF PHARMACY

FACULTY OF MANAGEMENT STUDIES

- Human Resource Management
- Marketing Management
- Finance Management
- International Business Management
- Economics
- Public Administration

FACULTY OF COMPUTER SCIENCE

FACULTY OF COMMERCE

FACULTY OF PHYSIOTHERAPY

FACULTY OF MEDICINE

FACULTY OF NURSING

FACULTY OF DESIGN





SPU/Acad./Notfn_Ph.D.Regulation/2022/.....4.38.....

16/05/2022

NOTIFICATION

Subject: Amendment/Addendum in the Ph. D. Regulation with effect from July-2022 batch.

Read: (1) Resolution No. 11 – Academic Council Meeting, dated 26/04/2022.
(2) Resolution No. 11 – Board of Management Meeting, dated 06/05/2022.
(3) Resolution No. 10 - Governing Body Meeting, dated 06/05/2022.

It is notified for information to all concerned that the Governing Body in its meeting held on 06th May, 2022 vide Resolution No. 10; considering the recommendations of the Academic Council and the Board of Management has resolved to approve the enclosed revised Ph.D. regulation, which shall be effective from the Academic Year July-2022 batch onwards and the previous Notification No. 10/2017, dated 28/02/2017 and subsequent Corrigendum Notification No. SPU/Ph.D./ 292A/ 2018 dated 24/05/2018, Revised Ph.D. Regulation Notification No. SPU/Acad./Notfn./2020/1200 dated 26/12/2020 stand replaced.

This has been issued with the due approval.



Registrar (I/c)

To, 1) All Academic Deans
2) HOIs of Constituent Colleges
3) Research Section, SPU
4) Academic Section, SPU

Copy to,

1) Hon'ble President Office
2) Hon'ble Provost Office

Amendment/Addendum in the Ph.D. Regulation

Reference: Revised Ph.D. Regulation no. SPU/ Acad./Notfn. /2020/1200 with effect from AY2020-21 Onwards dated 26-Nov-2020.

With reference to above mentioned subject, the Ph.D. section of Sankalchand Patel University hereby Amendment/Addendum in the norm(s) in the PhD programme of SPU as per following:

Sr.No.	Type of amendment/addition	Existing Norm	Proposed Norm
1	Amendment in existing sub clause no. 3.2	<p>Master Degree or equivalent in the appropriate branch from a recognized University/ Institution with minimum of 55% marks in aggregate or equivalent grade. 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.</p> <p>Its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed).</p> <p>OR</p> <p>An Equivalence certification from AIU is Mandatory for Foreign Degree holders.</p>	<p>Master's Degree in the subject concerned or in a cognate / allied subject with minimum of 55% marks or equivalent grade. 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)/PwD/EWS/differently-abled and other categories of candidates as per the decision of the Commission from time to time.</p> <p>Its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed).</p> <p>OR</p> <p>An Equivalence certification from AIU is Mandatory for Foreign Degree holders.</p>
2	Amendment in existing sub clause no. 5.3.6	<p>Minimum qualifying marks for appearing in interview/Viva voce shall be 50% in written test. Selection of a candidate will be based on merit with 70% weightage of written exam and 30% of viva-voce and interview. A relaxation of 5 % of marks</p>	<p>Minimum qualifying marks for appearing in interview/Viva voce shall be 50% in written test. The candidate must appear in both, written and interview to become eligible for the admission. If a candidate remains absent in the interview he/she will not be eligible for the Ph.D. Admission.</p>



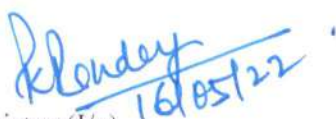
		(from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the University as per University Grants Commission (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degrees) Regulations, 2016.	Selection of a candidate will be based on merit with 70% weightage of written exam and 30% of viva-voce and interview. A relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/PWD/EWS/Differently-abled category in the entrance examination conducted by the University as per University Grants Commission (Minimum Standards and Procedure for award of M.Phil./Ph.D. Degrees) Regulations, 2016.
3	Amendment in existing sub clause no. 6.6	The candidate has to obtain a minimum of 55% of marks or its equivalent grade in the course work in order to be eligible to continue in the program and submit the dissertation/thesis.	The candidate must obtain a minimum of 40% of marks in individual subject to pass the particular subject. However, overall 55% is required to clear the course work. The candidate failed to score overall 55% may reappear in any one or more subject/s in order to complete the course work. In such scenario, the candidate will be given maximum of two chances.
4	Amendment in existing sub clause no. 18.2	Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), The Sankalchand Patel University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET after two years, for hosting the same so as to make it accessible to all Institutions/Colleges.	Following the successful completion final viva-voce, the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET after Ph.D. notification, for hosting the same so as to make it accessible to all Institutions/Colleges. (Academic Council not recommended for this)
5	Amendment in 5.3..3.4	The question paper shall be of maximum 3 hours' duration, and shall consist of total 100 marks.	The question paper (MCQ based) shall be a maximum of 150 minutes and shall consist of total 100 questions.
6	Amendment in existing sub clause no. 15.2	Thereafter, the research scholar shall have to submit the thesis for plagiarism	Thereafter, the research scholar shall have to submit the thesis for plagiarism check, similarities up to

Blondy

		check, similarities up to 10% in core research work is acceptable.	10% in core research work is acceptable. The research work carried out by the student, shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, 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.
7	Amendment in existing sub clause no. 14.11 regarding publication of papers before submission of the synopsis	“It shall be mandatory for the candidate to publish at least two research papers listed in the ISSN/ISBN/eISBN/Registered Journals/Indexed Journals/Peer Reviewed Journals/Impact factor Journals/UGC CARE / SCOPUS / Web of Science / PubMed before the submission of the synopsis for adjudication, and produce evidence for the same in the form of acceptance letter from the publisher or reprints of publications.”	“It shall be mandatory for the candidate to publish at least two research papers listed in the UGC-CARE /SCOPUS / Web of Science / PubMed before the submission of the synopsis for adjudication, and produce evidence for the same in the form of acceptance letter from the publisher or reprints of publications.” This amendment shall be applicable to all existing Ph.D. scholars of SPU.
8	Addition of the new clause no 5.5.6		In case, if a supervisor leaves our organization and if there is demand from a scholar or a supervisor to appoint a co-supervisor, then, such appointment will be made from within SPU or its constituent colleges only depending upon the needs. However, in a case of multidisciplinary/interdisciplinary research, such appointment can be also made either from other departments of same institute or from other related institute/ industry. The proposed co-supervisor needs to submit a NOC from his/her working institution.

K. Lendey

9	Amendment in existing sub clause no. 16.3	The Provost will finalize the name of two external examiners for the review of the thesis and instruct Controller of Examination for further process.	The Ph.D. Thesis needs to be evaluated by 3 subject experts; 2 external examiners and 1 Research Supervisor. The Provost will finalize the name of two external examiners for the review of the thesis and instruct the Controller of Examination for further process.
10	Addition of the new sub clause 5.3.2.1	-	The candidates who are having 15 years of Full Time Teaching/Research/Industry experience can be exempted from the PhD Entrance examination. They need to submit 3 letters of recommendation from the eminent academicians/researchers (Not below the rank of Professor or equivalent) in the proposed research area.


 Registrar(I/c) 16/05/22