



(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. Nov 2022 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 Nov, 2022 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 UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022. List of various disciplines are given below.
  - 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



## 2.1 DEFINITIONS:

1. “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;
2. “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
3. “Credit” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
4. “College” means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;
5. “Course” means one of the specified units which go to comprise a programme of study;
6. “Course Work” means courses of study prescribed by the School/Department/Centre to be undertaken by a student registered for the Ph.D. Degree;
7. “External examiner” means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme;
8. “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home
9. country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
10. “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale;
11. “Guide/Research Supervisor” means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research;
12. “Interdisciplinary Research” means research conducted by a Ph.D. scholar in two or more academic disciplines;
13. “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own;
14. “Research Proposal” means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application



for registration for Ph.D. programme;

## **2.2 ELIGIBILITY CRITERIA FOR ADMISSION TO THE PH.D. PROGRAMME**

### **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. Director/Head – Centre for Research & Innovation as member secretary.

### **1. The following are eligible to seek admission to the Ph.D. programme:**

#### **(1) Candidates who have completed:**

- i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is



approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

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

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

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

### **2.3 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 devote 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.

## **2.4 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.

## **2.5 Ph.D. THROUGH PART-TIME MODE:**

- 2.5.1 Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- 2.5.2 The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
  - i. The candidate is permitted to pursue studies on a part-time basis.
  - ii. His/her official duties permit him/her to devote sufficient time for research.
  - iii. If required, he/she will be relieved from the duty to complete the course work.

## **2.6 TEACHING CUM RESEARCH FELLOW:**

- 2.6.1 Candidate applying under the Teaching cum Research Fellow category should possess.
  - 2.6.1.1 Minimum educational qualifications as per the admission eligibility of Full Time Research Scholars.
- 2.6.2 Preference will be given to candidate having valid GATE / GPAT / NET/ SLET score etc.
- 2.6.3 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.
- 2.6.4 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/part-time research scholar.

## **3.0 DURATION OF RESEARCH WORK:**



3.1 Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

3.2 A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

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

3.3 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

#### **3.4 RE-REGISTRATION OF RESEARCH WORK:**

In case candidate is unable to complete his research work within the prescribed duration, candidate has to apply for extension to University Research Advisory Board (RAB) forwarded through research supervisor after recommendation from RAC. Details as per Annexure I.

### **4.0 PROCEDURE FOR ADMISSION:**

#### **4.1 ADMISSION NOTIFICATION:**

Such notification shall be published maximum twice in a year depending upon the availability of the seats/ Ph.D. supervisors etc.

#### **4.2 ENTRANCE EXAMINATION:**

4.2.a The Sankalchand Patel University shall be conducting an all-India based entrance examination for the admission to Ph.D. program after due advertisement/notification.

4.2.b 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.

4.2.c The pattern of the entrance examination shall be as under:



4.2.c.1 The question paper will be divided in two sections.

4.2.c.1.1 **Section-I** (covers General aptitude / mathematics / research statistics) 50 %.

4.2.c.1.2 **Section - II** (covers subject/discipline specific syllabus) 50 %.

4.2.c.2 The question paper (MCQ based) shall be of a maximum of 150 minutes and shall consist of total 100 questions.

4.2.c.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.

4.2.c.4 The question paper shall be of maximum 3 hours' duration, and shall consist of total 100 marks.

4.2.d Candidates acquiring minimum cut off from the sections taken together, shall be eligible for interview/viva-voce.

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

#### 4.3 INTERVIEW / VIVA-VOCE:

4.3.a The qualified candidates 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.

4.3.b A merit list of successful candidates shall be prepared by considering his / her performance in the Written Exam and Interview / Viva - Voce 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.

4.3.c 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.

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

#### **4.4 RESEARCH SUPERVISOR (Ph.D. Supervisor):**

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

##### **4.4.a PH.D. SUPERVISOR APPROVAL**

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

##### **4.4.b AGE LIMIT OF THE SUPERVISOR**

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

##### **4.4.c 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.

##### **4.4.d 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.
- 4.4.e In case, if a supervisor leaves the 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.
- Non-employees of SPU cannot serve as main supervisors. Adjunct faculty members shall not act as main Research Supervisors; they can only serve as Co-Supervisors.
- 4.4.f However, in case of multidisciplinary/interdisciplinary research, such appointment can also be made either from other departments of the same institute or from other related institute/industry. The proposed co-supervisor needs to submit a NOC from his/her working institution.
- Faculty members with less than three (3) years of service remaining before superannuation (retirement) shall not be allowed to take new Ph.D. scholars under their supervision. They may continue supervising existing scholars until retirement and serve as Co-Supervisors post-retirement up to the age of 70 years.
- 4.4.g Each recognized supervisor may guide up to two (2) international research scholars on a supernumerary basis over and above the permissible scholar intake limits.



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)

#### 4.6 **RESEARCH ADVISORY COMMITTEE (RAC):**

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

1. Dean of the Department - Chairperson
2. Research Supervisor - Member
3. Co-Research Supervisor (s) (if any) - Member
4. HOD and One Expert– Nominated by the Provost



5. One External Expert at the level of Associate Professor and above from HEI Accredited with NAAC Grade A and above.

- 4.6.b 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.
- 4.6.c 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
- 4.6.d 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.
- 4.6.e 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.
- 4.6.f 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.
- 4.6.g 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.
- 4.6.h Any change in the membership of the RAC shall be effected only on approval by the Provost.

## **5.0 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.



## 6.0 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 enrolment 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 All 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 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.
- 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.

6.10 All Ph.D. full-time scholars, irrespective of discipline, shall undergo training in teaching/education/pedagogy/writing related to their Ph.D. discipline during their doctoral period. Scholars may be assigned 4–6 hours per week of teaching/research assistantship (conducting tutorials, practical classes, or evaluation).

6.11 RAC may recommend UGC-recognized online courses (such as SWAYAM) as part of the 12-credit coursework requirement.

## **7.0 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 Ph.D. 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.

## **8.0 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.

## **9.0 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.

- i. A Supervisor shall be permitted to continue supervising a Ph.D. scholar if he/she has continuously supervised the scholar leading to substantial research outcomes, evidenced by at least one publication (published or accepted) in a



Scopus-indexed or Web of Science (WoS)-indexed journal, subject to a written request from the scholar and approval of the competent authority.

- ii. For a full-time scholar receiving a fellowship from a government agency, it is mandatory to appoint a supervisor from SPU. The scholar's previous supervisor, however, may continue as a co-supervisor.

9.4.a 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.b 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.
- c. In case of relocation of a female Ph.D. scholar due to marriage or other circumstances, the research data shall be permitted to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all UGC conditions are fulfilled and the project is not funded by an external agency to the parent institute. The scholar shall give due credit to SPU and the original supervisor.

## **10.0 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.

#### **11.0 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.

#### **12.0 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.

#### **13.0 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.

#### **14.0 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 in the SCOPUS / Web of Science indexed journals before the submission of the synopsis. This amendment shall be applicable to all existing Ph.D. scholars of SPU.

### 15.0 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. 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 common knowledge or coincidental terms, up to fourteen (14) consecutive words. As a screening measure, the AI-detection score of the thesis, determined using University-approved tools, should ordinarily not exceed 20%.
- 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.

#### **16.0 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 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.
- 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.

#### **17.0 EVALUATION OF THESIS AND DEFENSE 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.
- The university shall complete the entire evaluation process of the Ph.D. thesis (including report submission, revision checks, and conduct of public viva-voce) within a maximum period of six (6) months from the date of submission of the thesis.

#### **18.0 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.

#### **19.0 DEPOSITORY WITH INFLIBNET:**

Following the successful completion of the evaluation process and prior to the announcement or award of the Ph.D. degree, Sankalchand Patel University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET for hosting the same, so as to make it accessible to all Institutions and Colleges.



## **20.0 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.

## **20.0 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.



## SANKALCHAND PATEL UNIVERSITY

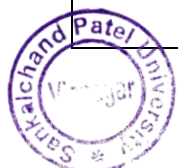
### Centre for Research & Innovation (CRI)

Visnagar - 384315, Gujarat, India

#### APPLICATION FORM FOR Ph.D. RE-REGISTRATION

| SECTION A: SCHOLAR'S PERSONAL & REGISTRATION DETAILS |                                                                                                                             |
|------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| Full Name of Research Scholar:                       |                                                                                                                             |
| Enrolment / Registration Number:                     |                                                                                                                             |
| Faculty and Department:                              |                                                                                                                             |
| Category of Ph.D. Enrollment:                        | <input type="checkbox"/> Full-Time <input type="checkbox"/> Part-Time <input type="checkbox"/> Teaching-cum-Research Fellow |
| Original Date of Ph.D. Admission:                    | (DD/MM/YYYY)                                                                                                                |
| Expiry Date of Standard 6-Year Term:                 | (DD/MM/YYYY)                                                                                                                |
| Re-Registration Period Requested:                    | From: _____ To: _____ (Max 2 Years)                                                                                         |
| Special Relaxation Claimed:                          | <input type="checkbox"/> Female Candidate <input type="checkbox"/> PwD (>40% Disability) <input type="checkbox"/> None      |
| Contact Address & Phone Number:                      |                                                                                                                             |
| Email Address:                                       |                                                                                                                             |

| SECTION B: ACADEMIC & RESEARCH PROGRESS STATUS |                                                                                                                                                                                                                    |
|------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ph.D. Coursework Passing Status:               | Session / Year: _____ Marks / CGPA: _____<br>(Attach Marksheet)                                                                                                                                                    |
| Approved Title of Thesis:                      |                                                                                                                                                                                                                    |
| Total RAC Meetings Completed:                  | _____ (Attach copies of all RAC evaluation reports)                                                                                                                                                                |
| Current Research Completion Level:             | <input type="checkbox"/> Literature Review Completed<br><input type="checkbox"/> Field Work / Experimental Data Collection Completed<br><input type="checkbox"/> Data Analysis & Statistical Compilation Completed |



## SECTION B: ACADEMIC & RESEARCH PROGRESS STATUS

|                                                                   |                                                                                                                                                                                                                                                                      |
|-------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                   | <input type="checkbox"/> Draft Thesis Preparation in Progress<br><input type="checkbox"/> Synopsis Submitted / Seminar Pending                                                                                                                                       |
| <b>Mandatory Publication Status:</b><br>(Scopus / Web of Science) | <b>Paper 1: Title:</b> _____<br>Journal: _____<br>Status: <input type="checkbox"/> Published <input type="checkbox"/> Accepted<br><br><b>Paper 2: Title:</b> _____<br>Journal: _____<br>Status: <input type="checkbox"/> Published <input type="checkbox"/> Accepted |
| (Attach extra sheets, if needed)                                  |                                                                                                                                                                                                                                                                      |

## SECTION C: JUSTIFICATION FOR RE-REGISTRATION / EXTENSION

Provide a detailed explanation of genuine reasons for non-completion of thesis within the standard 6-year period (e.g., experimental/technical failures, machine downtime, medical/health issues, family constraints, maternity, or employment obligations):

## SECTION D: PROPOSED WORK PLAN & TIMELINE TO SUBMISSION

| Phase   | Key Target Deliverables                                      | Target Date (Month / Year) |
|---------|--------------------------------------------------------------|----------------------------|
| Phase 1 | Completion of Balance Experimental / Field / Analytical Work | ___ / ____                 |
| Phase 2 | Final Acceptance / Publication of Required Research Papers   | ___ / ____                 |
| Phase 3 | Pre-Ph.D. Presentation & Synopsis Submission to RAC          | ___ / ____                 |
| Phase 4 | Final Draft Thesis Writing & Plagiarism Screening            | ___ / ____                 |
| Phase 5 | Submission of Hard & Soft Copies of Thesis to Office of R&D  | ___ / ____                 |



**SECTION E: DECLARATION BY THE RESEARCH SCHOLAR**

I hereby solemnly declare that the information provided above is true, complete, and accurate to the best of my knowledge. I agree to abide by all the rules, regulations, and guidelines governing the Ph.D. program at Sankalchand Patel University, including the UGC Ph.D. Regulations 2022. I understand that if I fail to complete and submit my Ph.D. thesis within the re-registration duration granted, my registration shall stand automatically cancelled without any further notice or right of appeal.

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

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

\_\_\_\_\_  
(Signature of Research Scholar)

**SECTION F: RECOMMENDATION OF RESEARCH SUPERVISOR & CO-SUPERVISOR**

I / We have evaluated the academic progress, justification, and proposed completion plan of the scholar. The reasons stated for the delay are found to be genuine, and the proposed month-wise target schedule is realistic and achievable.

**Supervisor Remarks:**

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

**Recommendation:** [ ☐ ] Recommended for Re-Registration [ ☐ ] Not Recommended

**Signature of Co-Supervisor (if applicable):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature of Research Supervisor:** \_\_\_\_\_ **Date:** \_\_\_\_\_



## SECTION G: RECOMMENDATION OF RESEARCH ADVISORY COMMITTEE (RAC)

The Research Advisory Committee (RAC) met on (Date) \_\_\_\_\_ to examine the re-registration application of the scholar.

### RAC Findings & Decision:

1. The candidate has completed coursework and maintained continuous progress review requirements.
2. The academic progress and justification warrant extension under Clause 4.2 of UGC Regulations 2022.
3. The committee recommends Re-Registration for a period of \_\_\_\_\_ months (Max 24 months), valid up to (Date) \_\_\_\_\_.

| RAC Role         | Name & Designation               | Signature |
|------------------|----------------------------------|-----------|
| Chairperson:     | Dean of the Faculty / Department |           |
| Convener:        | Ph.D. Research Supervisor        |           |
| Member:          | Co-Supervisor (if applicable)    |           |
| Member:          | Head of Department / Nominee     |           |
| External Expert: | External Subject Expert          |           |

## SECTION H: ADMINISTRATIVE & STATUTORY APPROVALS

### 1. No Dues Verification (Finance & Accounts Section):

Verified that all tuition, laboratory, library, and administrative fees have been fully paid up to the current academic term.

Signature of Accounts Officer: \_\_\_\_\_ Date: \_\_\_\_\_ Stamp: \_\_\_\_\_

### 2. Scrutiny by Directorate of Research & Development (CRI):

Verified compliance with UGC 2022 Regulations and SPU Ph.D. Ordinances.

Recommended Re-Registration Period: From \_\_\_\_\_ to \_\_\_\_\_

Signature of Dean (Research & Development): \_\_\_\_\_ Date: \_\_\_\_\_

### 3. Final Order of the Competent Authority:

[ ☐ ] **APPROVED** for Ph.D. Re-Registration up to \_\_\_\_\_

[ ☐ ] **NOT APPROVED**

**Provost**  
**Sankalchand Patel University, Visnagar**

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



**PART 3: CHECKLIST OF MANDATORY ANNEXURES**

| Sr. No. | Mandatory Supporting Document / Annexure                                                           | Enclosed<br>(Yes/No/NA) |
|---------|----------------------------------------------------------------------------------------------------|-------------------------|
| 1       | Copy of Original SPU Ph.D. Provisional Registration / Admission Letter                             | [   ]                   |
| 2       | Copy of Ph.D. Coursework Grade Card / Marksheet (Min 55% / 12 Credits)                             | [   ]                   |
| 3       | Copies of all 6-Monthly Research Advisory Committee (RAC) Progress Reports                         | [   ]                   |
| 4       | Official "No Dues Certificate" / Fee Payment Receipts from SPU Finance Section                     | [   ]                   |
| 5       | Reprints / Acceptance Letters of Published Research Papers (Scopus / WoS)                          | [   ]                   |
| 6       | Detailed Month-wise Gantt Chart / Work Plan signed by Scholar and Supervisor                       | [   ]                   |
| 7       | Updated Employer No Objection Certificate (NOC) (Mandatory for Part-Time Scholars)                 | [   ]                   |
| 8       | Medical Certificate / Birth Certificate (For Female Candidates claiming Maternity/Childcare Leave) | [   ]                   |
| 9       | Disability Certificate (>40% Disability) issued by Competent Authority (For PwD Candidates)        | [   ]                   |

