SANJAY GHODAWAT UNIVERSITY

Kolhapur

Empowering Lives Globally !

(Approved by UGC & Govt. of Maharashtra)

Ph.D. Ordinances 2024

As approved by the
Academic Council in the meeting dated 06th Feb. 2024.
Board of Management in the meeting dated 13th Feb. 2024.
Governing Body in the meeting dated 27th Feb. 2024
and subsequently
approved by the Hon. President of the University.

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SANJAY GHODAWAT UNIVERSITY ATIGRE KOLHAPUR

SANJAY GHODAWAT UNIVERSITY
Kolhapur

Sanjay Ghodawat University Kolhapur Maharashtra - 416118

(UGC recognised state private university)

Ph.D. Ordinance -2024

(Ordinance No.: – SGU/Ph.D. Ordinance, dated:xx/xx/2024)

Minimum Standards and Procedure for Award of Ph.D. Degree Regulations-2024 (Ph.D. Ordinance-2024 of Sanjay Ghodawat University Kolhapur) following the rules and regulations prescribed by the UGC and as approved by the Sanjay Ghodawat University Kolhapur.

WHEREAS the Vice-Chancellor of this university has constituted a committee under the chairmanship of Dr. Vikek V. Kulkarni and Dr. A. D. Sawant, Dr. S. R. Patil, Dr. S. V Khandal, Dr. U. P Jadhav, Dr Pallavi Bhange, Dr. Y. L. Giri as members and Dr. S. M. Pawar as member secretary with a view to consider and recommend the Minimum Standards and Procedures for the Award of Ph.D. Degree of Sanjay Ghodawat University Kolhapur (Ph.D. Ordinance-2024).

AND WHEREAS after considering the recommendations of the said committee, the university (through its academic council and Board of management) considers it expedient to make a Ordinance to provide excellence in research through regulating and strengthening the research programs in this university in a more effective manner. It is hereby enacted as follows:-

This ordinance may be called **"**Ph.D. Ordinance-2024**"** and shall come into force from the date of its notification.

1. PREFACE

Sanjay Ghodawat University Kolhapur a UGC recognised state private university offers research programs through its recognized research centerswhich lead to the award of Ph.D. degree. This ordinance is prepared based on the new UGC research regulations issued vide F. No. 1-3/2021 (QIP) dated 7th November, 2022 (Regulations 2022) and Sanjay Ghodawat University Act 2017.

The award of Ph.D. degree is in recognition of the original work carried out by the research scholar who generate primary data/interpret secondary data to come out with fruitful conclusions/to come out with original research findings/contributions to the subject/forms the basis for further research/patentetc. The University encourages interdisciplinary research work for which co-supervisors from different research organizations/university/colleges are recognized. The University also encourages collaborative research at national and international levelby inviting experts from such institutes by allowing them to work as co-supervisors in specific areas by establishing formal linkages with such institutes/Universities.

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The degree of Doctor of Philosophy (Ph.D.) of Sanjay Ghodawat University Kolhapur shall be conferred on a research scholar on successful completion of all the requirements specified in this ordinance 2024 of the University. The University provides multiple options of entry to the research scholars to pursue Doctor of Philosophy (Ph.D.) Degree.

Superior standards must be ascertained for entry of the research scholars into the research programs and the scholars are encouraged to undertakeinterdisciplinaryand society relevant research problems wherever possible. The research scholarsare required to work in a sincere manner and generate new data and interpret the results appropriately such that it helps indeveloping the subject in particular and society in general.

Research centres,where the scholars shall work for their research program,must uphold high standards in order to match the quality of research at the international standards.

2. DEFINITIONS

2.1 In thisOrdinance, unless the context otherwise requires,

- "AC" means Academic Council of the University.
- "Act" means the University Grants Commission Act, 1956 (3 of 1956);
- "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member, hired to teach by a Higher Educational Institute
- "Chairperson" means Chairman of Departmental Research Committee (DRC) / Research Recognition Committee (RRC) / Research Allocation Committee (RAC) / Ph.D. defense Viva voce committee
- "Clause" means duly numbered Clauses of this Ordinance;
- "Commission" means the University Grants Commission established under Section 4 of the UGC Act 1956;
- "Co-Supervisor" shall mean a full-time faculty member of this University / UGC recognized university, or a scientist / senior professional / expert in a reputed organization / institute / industry (from India or abroad) recognized and approved to supervise the research / academic work of the research scholar;
- "COE" means controller of examination of Sanjay Ghodawat University Kolhapur
- "Course" means a theory subject/a practical course of PG program / a directed study prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Program.
- "Course Work" means courses of study prescribed by the School / Department / Research Centre to be undertaken by a research scholar registered for the Ph.D. Degree
- "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 lectures per week of one hour. 15 hours lectures are counted as one credit.
- "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

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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.

- "DRC" means Departmental Research Committee.
- "Degree" (in this ordinance) means a degree awarded by the University in accordance with the provisions of section 22 (3) of the Act
- "Department" means a Department of the University (University Schools) teaching a particular subject at P.G. level
- "Director of School" means a Head of a School of the University as designated by the Board of Management or Vice-Chancellor
- "DyR" means the Deputy Registrar of the University
- "External examiner" means an academician / researcher with published research work who is not part of the Sanjay Ghodawat University Kolhapur
- "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale
- "Head, Research Centre" means HoD of the University approved Research Centre or Head of the recognized research institute or Director of the School of this university campus
- "Higher Educational Institution" means a university or institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, every college, and every institution deemed to be a University under section 3 of the University Grants Commission Act, 1956
- "HoD" means the Head of the Department of the University
- "Institution" means an institution of higher learning, research or specialized studies, and recognized to be so by the University;
- "Interdisciplinary Research" means research conducted by a Ph. D. scholar in two or more academic disciplines as identified by the University
- "Knowledge Resource Centre" means a library established at the Sanjay Ghodawat University Kolhapur campus
- "OR 2024-SGU" means 'Ordinance of Research 2024 of Sanjay Ghodawat University Kolhapur" for ensuring minimum standards and procedure for the award of Ph.D. Degree
- "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own
- "Program" means a higher education program pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act
- "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programs, to the general public (including to those seeking admission in such Higher Educational Institutions) by the University
- "Post-Graduate department" means a department recognized to be so by the university and imparting Post-Graduate instruction or guidance for research in Ph.D.

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- "P.G. Section" means the administrative section of the University dealing with Ph.D. and research related work.
- "Ph.D. Program" means Doctoral Program leading to the award of Ph.D. in Engineering / Technology / Science / Pharmacy / English / Commerce / Management etc.
- "Research Centre" means a Department / School of the University, actually involved in teaching a particular subject at P.G. level and is recognized by the University to carry out research Programs as per the UGC and the University guidelines
- "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. program
- "Research Scholar" means a student admitted to the Ph.D. program of the University
- "RRC" shall mean "Research Recognition Committee" of the University
- "RAC" shall mean the "Research Allocation Committee", which shall allocate research supervisor to the qualified candidate who has applied for the research program of the University
- "School" means the department of University established for monitoring. supervising and guiding, teaching, training and research activities in approved subjects by the University
- "State" means the State of Maharashtra;
- "Supervisor" means a recognized research guide of the University, who is also a recognized P.G. teacher
- "University" means Sanjay Ghodawat University Kolhapur
- "VC" means Vice Chancellor of the University

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

3. SHORT TITLE, APPLICATION AND COMMENCEMENT:

3.1 In exercise of the powers conferred by and in discharge of duties assigned under the appropriate provisions of the and Sanjay Ghodawat University Act 2017, Ordinance, as made by the Sanjay Ghodawat University Kolhapur (hereafter SGU) hereby makes the following Ordinances, namely "**Ordinance of Research – 2024 of Sanjay Ghodawat University Kolhapur (OR -2024-SGU**)"

3.2 This **Ordinance of Research – 2024 of Sanjay Ghodawat University Kolhapur (OR - 2024-SGU** may be called as Sanjay Ghodawat University Minimum Standards and Procedure for the Award of Ph.D. Degree and related Research activities. This Ordinance (OR 2024-SGU) is in accordance with the provisions and guidelines of the University Grants Commission Regulations (Minimum Standards and Procedure for the Award of Ph.D. Degree) Regulations 2022, issued vide F. No. 1-3/2021 (QIP) dated 7th November, 2022.

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3.3 This 'OR 2024-SGU' shall apply to University Campus and the University approved research centers

3.4 This 'OR 2024-SGU' shall come into force from the date of approval by the authority concerned.

4. ELIGIBILITY FOR ADMISSION TO THE PH.D. PROGRAM:

The following candidates are eligible to seek admissions to the Ph.D. Program:

4.1 Candidates who have completed:

i. A one year (2-semester) master's degree program after a four year (8-semester) bachelor's degree program or a two year (4-semester) master's degree program after a three year bachelor's degree program 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.

ii. A relaxation of 5% marks or its equivalent grade shall be applicable for the candidates belonging to SC / ST / VJ / NT / OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC and Govt. of Maharashtra from time to time.

iii. A candidate with 4-year (8-semester) bachelor's degree (Honours or Honours by Research) shall also be eligible for direct admission to the Ph.D. program provided they score 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 shall be applicable to the candidates belonging to SC/ST/VJ/NT/OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC or Govt. of Maharashtra from time to time.

iv. A relaxation of 5% marks or its equivalent grades shall also be applicable to those who have obtained Master's degree prior to 19th September, 1991.

4.2 Candidates who have acquired M.Phil. degree (in regular mode only) with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualifications from Indian or foreign educational institutions accredited by the 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

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standards of educational institutions, shall be eligible for admission to the Ph.D. program. A relaxation of 5% marks or its equivalent grade shall be applicable to the candidates belonging to SC / ST / OBC (non-creamy layer) / VJ / NT/ DifferentlyAbled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC, the University or Govt. of Maharashtra from time to time.

5. PROCEDURE FOR ADMISSION TO THE Ph.D. PROGRAM:

5.1 Flow chart of the Ph.D. Program of the University, from Sanjay Ghodawat University Ph.D. Entrance Test (SGU-PET) till the award of the Ph.D., shall be as outlined in the **Appendix - I**

5.2 Eligible desirous candidates (as described in clause 4) for admission to the Ph.D. Program of the University shall have to apply separately in respective categories in the prescribed format through proper channel, wherever applicable, before the due date as specified in the announcement made in this respect.

5.3 Detailed information regarding the commencement of the admission process, number of vacancies available in individual subject, vacancies available with the Supervisors, criteria for admissions, the procedure of admission, SGU-PET Examination, date of SGU-PET Examination, syllabus, passing rules, etc. shall be made available on the University website as well as in the prospectus prepared in this regard well in advance.

5.4 The P.G. Section of the University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, designation, name of Department / School / Research Centre where the supervisor is employed) along with the details of the research scholars working with them (specifying their names, topics of the research problems, date of the admission) on the University website and shall update it in every academic year.

5.5 Vacancies in a particular subject shall be calculated on the basis of the vacancies available and willingness of the recognized supervisor in that particular subject, facilities available at the Research Centers where the supervisors are employed, etc. and shall be displayed on the University website before commencement of the process.

5.6 Vacancies available with the faculty members who are either on deputation or visiting foreign universities / institutes for a period more than one year shall be excluded from the total number of vacancies in that particular subject for that particular year.

5.7 Qualifying SGU-PET of University in the concerned subject is mandatory for seeking admission to the Ph.D. program. However, candidates fulfilling either of the conditions listed in sub-clause 5.8 are EXEMPTED from appearing for the SGU-PET of the University and shall be eligible for admission to the Ph.D. program. There shall be two categories of candidates eligible for admission to the Ph. D. Program: **Category I – SGU-PET Qualified and Category II – SGU-PET Exempted.**

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5.8 **Category I – SGU-PET Qualified**:

5.8.1 Qualifying SGU-PET of the University is mandatory for seeking admission to the Ph.D. Program.

5.8.2 SGU-PET shall be conducted onceevery year, in general, based on the vacancies available in each subject.

5.8.3 If no vacancies are available in a particular subject, then no SGU-PET shall be conducted for that particular subject for that particular year.

5.8.4 Validity of the score of the SGU-PET qualified candidates shall be for TWO YEARS from the date of the declaration of SGU-PET result. However, candidates may appear for the SGU-PET in following years to improve their performance.

5.8.5 Student involved in malpractice during or after the SGU-PET examination shall be liable for the punishment as per the university rules. Syllabus for SGU-PET shall be displayed on the university website.

5.9 **Category II – SGU-PET Exempted:**

As per the guidelines of UGC, qualifying SGU-PET is mandatory for seeking admission to the Ph.D. program of Sanjay Ghodawat University Kolhapur. However, candidates fulfilling either of the below listed conditions are EXEMPTED from appearing for the SGU-PET of the University and shall be eligible for admission to the Ph.D. program, provided that they need to apply for admission through SGU-PET Exemption mode as per procedure outlined by the University.

5.9.1 Candidates who have qualified UGC-NET (including JRF) / UGC-CSIR NET (including JRF) / SET (Maharashtra State only) / GATE / GPAT (of valid score and period) AYUSH-NET/DBT-JRF, ICMR-JRF, ICAR-JRF or equivalent national level examinations / candidates provisionally selected for the DST-INSPIRE fellowship / teacher fellowship.

5.9.2 Candidates who have qualified national level SRF conducted by National bodies like CSIR, DBT etc.

5.9.3 Candidates who are selected / shortlisted for Ph.D. through National level QIP (Quality Improvement Program) and ADF (AICTE Doctoral Fellowship).

5.9.4 Candidates with M.Phil. Degree awarded by any of the Statutory University in India in the relevant subject.

5.9.5 University teachers having at least Five Years regular teaching experience at graduate / Post-Graduate level approved by the University and having published at least two first authored research papers in peer reviewed journals in the relevant subject.

5.9.6 Person having ten years work experience in national laboratories / institutes / State Government or semi-government organizations sponsored by the respective institution and have published at least two first authored research papers in UGC recognized journals. Such research scholars selected by the research organization(s) through their 'screening selection test / interview' at national level shall be

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exempted from SGU-PET provided that the University has signed a Memorandum of Understanding with such institutes.

5.9.7 Scientists / professionals working in R & D institutes of the Government of India / State Government with which the University has signed a Memorandum of Understanding may directly appear for interview subject to the fulfilling of the minimum eligibility criteria.

5.9.8 Senior citizens with age of 60 years and above and having qualified post-graduation degree with a minimum of 50% marks and experience of 15 years after postgraduation in related field. This type of exemptions for senior citizen shall be at the discretion of the Vice-Chancellor.

5.9.9 Foreign Students and persons of Indian origin (PIO) shall be exempted from SGU-PET, with a minimum of 55% marks at master degree or equivalent grade obtained either from recognized Indian or foreign university.

6. ALLOCATION OF RESEARCH SUPERVISOR:

Admission to the Ph.D. program of the eligible candidates as described above shall be completed in two stages; Stage I - the SGU-PET Examination and Stage II - the Personal Interview and Allocation of Ph.D. Supervisor.

Stage I - Qualifying SGU-PET

i. Question paper of the SGU-PET Examination shall comprise two sections:
Section A – based on the Research Methodology (50%)
Section B- based on the Specific Subject in which the candidate wishes to pursuePh.D. (50%)

ii. Syllabus and other details for both the sections shall be displayed on the University website well in advance

iii. Students who have scored more than 50% marks in both the Sections combined shall be declared as the SGU-PET Qualified and shall be invited for the personal interview.

iv. A relaxation of 5% marks in the SGU-PET Examination shall be applicable to the candidates belonging to SC / ST / OBC (non-creamy layer) / VJ / NT/ Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC and Govt. of Maharashtra from time to time.

v. Merit list of the SGU-PET Qualified candidates shall be prepared on the basis of total score of the candidate in the SGU-PET Examination and shall be used for the allocation of the Research Scholars (Stage II).

Stage II - Personal Interview and Allocation of Research Supervisor
(Applicable for SGU-PET Qualified as well as SGU-PET Exempted Candidates):

i. After declaration of the SGU-PET Examination result, the shortlisted candidates, whether SGU-PET qualified or SGU-PET exempted shall have to appear before the

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Research Allocation Committee (RAC) of the University for the Personal Interview to discuss the research interest / area through a presentation.

ii. The eligibility conditions and document verification of the shortlisted candidates shall be done by the PG Section of the University before personal interview.

6.1 Composition of the Research Allocation Committee (RAC):

i. Dean of the concerned Faculty -Chairperson
ii. Associate Dean of the concerned Faculty -Member
iii. Chairpersons of BoS of the concerned Subject -Member
iv. One subject expert (nominated by VC) -Member
v. Reservation nominee (nominated by VC) - Member
vi. Director of the school (nominated by VC) -Member
vii. Director Innovation and Research - Member Secretary

Note: All the member of the 'Research Allocation Committee' must be recognized research supervisor(s) of the University in the concerned subject.

6.2 The RAC shall allocate research supervisor to the candidate based on:

i. mutual consent of the candidate and the supervisor
ii. area of research interest of the scholar and the field of specialization of the supervisor(s),
iii. availability of seat(s) with the supervisor(s),
iv. availability of adequate infrastructural and instrument facilities at the research centre concerned,
v. allocation of the co-supervisor, if any, based on the nature and requirement of the research problem

6.3 Rules for the allocation of research supervisors to the scholars by the Research Allocation Committee (RAC):

Research Supervisors shall be allocated to the candidates based on the total number of available vacancies and following the University norms for the distribution of the seats to the SGU-PET Qualified and SGU-PET Exempted candidates and adhering to the reservation policies of the Central / State Government from time to time.

6.3.1 Total vacancies in a particular subject shall be divided in the ratio 60:40, respectively, for the SGU-PET Qualified (Category –I) and SGU-PET Exempted candidates (Category – II). If SGU-PET exempted (As mentioned in clause 5.9) candidates are not available then the vacant seats may be filled from SGU-PET qualified candidates.

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6.3.2 The vacancies in respective categories shall be filled-in following the reservation norms specified by the Central / State Government / Sanjay Ghodawat University norms.

6.3.3 The committee shall follow academic merit of the candidates for the allocation of the research supervisor.

6.3.4 For the SGU-PET Qualified candidates (Category –I) score in the SGU-PET Examination shall be the basis for his / her merit for the allocation of Ph.D. Supervisor, while that for the SGU-PET Exempted candidates in a particular sub-category shall be based on the score of the candidate in the Post-Graduation examination.

6.3.5 In case of tie-break, score of the candidate in the concerned subject in SGU-PET Examination, then at the PG level and then at UG level shall be the basis. If the tie-break still persists, age of the candidate shall be the basis to resolve it.

6.3.6 For the SGU-PET Exempted candidates (Category – II), the tie-break shall be resolved on the basis of the score in the concerned subject at PG level and then at UG level. If the tie-break still persists, age of the candidate shall be the basis to resolve it.

6.3.7 Upon allocation of the research supervisor, P.G. Section of the University shall issue Provisional Admission cum Research Supervisor Allocation letter to the scholar duly signed by the Dean of the concerned faculty.

6.3.8 Upon receiving the allocation letter, it is the responsibility of the scholar to approach the concerned Research Centre and complete the formalities regarding his /her Ph.D. admission and enroll for the Course Work.

6.3.9 Ph.D. registration shall be confirmed only after completion of Part–I of the Course Work, where research problem / topic shall be finalized, after appearing before the Research Recognition Committee (RRC) of the concerned subject.

6.3.10 Second round of allocation shall be carried out by the PG Section based on the availability of seats in the concerned subject and shall be carried out as per the norms described above.

6.3.11 Transfer of vacant seats from either of the categories, if any, after carrying out allocation either in the first or second round shall not be permissible.

6.3.12 It shall be mandatory for the research supervisor to accept and allow the allocated scholars to join for their research work. If he/she denies doing so, Ph.D. guide ship of such supervisors shall be withdrawn by the University for two years and no scholar shall be allocated to him /her for this period.

6.3.13 The candidate shall have to submit an undertaking stating that he / she shall abide by the rules stated in the Ordinance (OR-2024) and by the University from time to time, failure of which shall lead to the cancellation of the Ph.D. registration.

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7.DURATION OF THE PROGRAM:

7.1 Ph.D. program of Sanjay Ghodawat University shall be for a minimum duration of three (03) years, including course work, and a maximum of six (06) years from the date of the admission. The date of allocation of the Ph.D. supervisor to the candidate in the meeting of the RAC of the concerned subject shall be his / her date of admission.

7.2 Extension beyond six years is not permissible in general. However, the research scholars may get additional two (02) more years (maximum) for the completion of Ph.D. through re-registration, provided that the candidate applies for the re-registration on or before completion of six years from the date of registration. The candidate has to submit his application for re-registration forwarded through the supervisor(s) and Head of the research centre with valid reason(s) and proper justification for the same. The RRC in its meeting shall recommend such an application on the basis of its merit to the Vice-Chancellor forfinal approval. Decision of the Vice-Chancellor shall be final and mandatory for all the concerned.

7.3 If a candidate fails to submit application for re-registration before completion of six years, his / her registration shall stand cancelled and no further communication shall be entertained in this regard.

7.4 Total period for the completion of Ph.D. program shall not exceed eight (08) years, including period of re-registration of two (02) years, from the date of the admission.

7.5 Provided further that, female candidates pursuing Ph.D. and Persons with Disabilities (with more than 40% disability) shall be given additional extension of two (02) more years; however, the total period for completion of the Ph.D. in such cases shall not exceed ten (10) years from the date of admission.

7.6 Female Ph.D. Scholars are entitled to avail Maternity Leave / Child Care Leave up to a maximum of eight months (240 days) during the entire duration of the Ph.D. program.

8. RECOGNITION AS A RESEARCH SUPERVISOR AND NUMBER OF SCHOLARS TO BE ALLOCATED:

Eligibility criteria to be a Research Supervisor, Co-Supervisor of Sanjay Ghodawat University Kolhapur and number of Ph.D. scholars to be allocated to each of the Supervisor, Co-Supervisor, etc. are as below:

8.1 Composition of the Research Recognition Committee (RRC):

i.	Vice Chancellor	-Chairperson
ii.	Dean of the concerned Faculty	-Member
iii.	Associate Dean of the concerned Faculty	-Member
iv.	Chairpersons of BoS of the concerned Subject	-Member
v.	One subject expert (nominated by VC)	-Member
vi.	Director of the campus school (nominated by VC)	-Member

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vii. Director Innovation and Research - Member Secretary

Note: Research Recognition Committee (RRC) will examine the academic viability of Ph.D. topic of the candidate for approval or otherwise. It shall also scrutinize application forms of teachers for approval as research guide

8.2 Permanent faculty member working as a Professor / Associate Professor in the University Departments / Schools with Ph.D., and at least five research publications in peer-reviewed or refereed journals or UGC recognized research journals (published after the award of the Ph.D.) and permanent faculty members working as an Assistant Professors in the University Departments / Schools with Ph.D. and at least two research publications in peer-reviewed or refereed journals or UGC recognized research journals (published after the award of Ph.D.) shall be recognized as a Research Supervisor in the University Department on the recommendation by the Research Recognition Committee (RRC) in its meeting.

Provided that in the areas / disciplines / subjects where there are no or only a limited number of peer-reviewed or refereed journals, the above condition for recognition as a Research Supervisor shall be relaxed and publications in the journals approved by the UGC or the Academic Council of the University be considered.

8.3 Such recognized research supervisors cannot supervise research scholars in other institutions, other than that where they are employed. However, they can only act as co-supervisors in other institutes.

8.4 Ph.D. awarded under the supervision of a faculty member who is not an employee in the University Department / School would be in violation of the UGC Regulations for the award of the Ph.D. degree

8.5 For Ph.D. scholars working in Central / State Government research institutions whose degrees are given by the University, the scientists working on the positions equivalent to Professor / Associate Professor / Assistant Professor in such research institutions can be recognized as co-supervisors if they fulfill the above requirements. However, such Central / State Government institutes shall formally enter into MOUs with the University.

8.6 Co-Supervisors from within the same department or other departments of the same college / institution or other college / institutions shall be permitted by the University up on recommendations by the RRC in its meeting.

8.7 Adjunct Faculty / Professor of Practice working in the Department / School / Institution / Industry shall not act as a Research Supervisor; however, he can only act as a co-supervisor.

8.8 Regular teachers fulfilling above conditions shall apply for the recognition as a Research Supervisor to the P.G. Section of the University and shall be recommended by the RRC of the particular subject in its meeting after verifying the eligibility. Decision on the same shall be taken in the meeting of the Board of University Teaching and Research (BUTR),

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following to which the P.G. Section of the University shall issue a letter regarding his / her recognition as a Ph.D. Supervisor.

8.9 If a teacher wishes to get recognized himself / herself as a research supervisor in more than one subject, he / she needs to apply separately. However, the maximum number of students working under his /her supervision (either supervisor or co-supervisor) at a given time in all the subjects put together shall not exceed the limit prescribed by the UGC or the University.

8.10 In the areas of interdisciplinary / multidisciplinary research, where guidance by the expert from outside the Department / School / Research Centre / University / Institution is required, a Co-Supervisor shall be approved by the RRC depending on the nature of the research work. However, the appointment of such co-supervisor shall be based on the request by the candidate, recommendation of the supervisor and consent from the proposed co-supervisor and the eligibility conditions of the proposed co-supervisor.

8.11 As per UGC norms maximum number of research scholars to be supervised, either as a supervisor or co-supervisor, by a Senior Professor / Professor / Associate Professor / Assistant Professor at any given time is:

Designation of the Supervisor	Maximum No. of candidates
Senior Professor / Professor	8
Associate Professor	6
Assistant Professor	4

All the recognized supervisors shall be permitted to guide up to a maximum of 'two international scholars', on a supernumerary basis over and above the maximum admissible quota (as specified in above table)

8.12 In case of relocation of a female Ph.D. scholar, either due to marriage or otherwise, the research data collected by her during earlier period shall be allowed to be transferred to the Research Centre or HEI to which she intends to relocate. Provided all the other conditions in these Regulations are followed and the research data collected does not pertain to a project sanctioned to the University / Supervisor by any funding agency. Such scholars shall, however, give due credit to the University and the supervisor for the part of the research she has already undertaken.

8.13 Faculty members with less than three years of service before their superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already allocated to them until their superannuation and shall continue to work as a co-supervisor after superannuation until they attain the age of 70 years.

8.14 In case(s) where the supervisor has superannuated the candidate shall continue to work under his/her supervision, however the candidate has to submit a request to the PG section for allocating a supervisor from the university department. Further, it shall be

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required that such a supervisor has at least three years of service before his/her superannuation.

9. ADMISSIONS OF INTERNATIONAL STUDENTS IN THE Ph.D. PROGRAM:

9.1 Each recognized supervisor of the University shall supervise up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 8.11 above.

9.2 Admission to the Ph.D. program of international students who have obtained Master degree either from an Indian Statutory University or Foreign University with at least 55% marks or equivalent CGPA shall be governed by the regulations / guidelines of Global Engagement Office (GEO) / International Students Cell (ISC) of the University.

9.3 GEO / ISC after receiving applications, either in person or in online mode, from foreign scholars identify a suitable supervisor in the concerned subject with matching research interest shall obtain consent from the supervisor and shall forward such applications to the Dean of the concerned faculty, where their eligibility and other conditions shall be verified by a committee constituted as per the decision by the AC of the University.

9.4 After verifying eligibility of the scholar he / she will be issued a provisional admission / allocation letter duly signed by the Dean of the concerned faculty and the Director, GEO / ISC. This shall enable the candidate to complete the formalities regarding visa in his / her mother country. Upon receiving the VISA, the candidate shall report the GEO / ISC and shall complete the formalities of his / her Ph.D. registration.

9.5 The date of Ph.D. Registration of the international students shall be the date of reporting to the GEO / ISC.

9.6 At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 8.11 and clause 9.1 of the OR-2024-SGU.

10. CHANGE OF SUPERVISOR(S) AND TOPIC

10.1 Normally, the research supervisor(s) allocated to a scholar in the RAC meeting shall not be changed. However, in exceptional cases request for the change of Supervisor(s) shall be accepted by the RRC provided the candidate submit No Objection from the former supervisor and consent for accepting him/her as a research scholar from the proposed supervisor. The approval for the change of supervisor shall be given by the BUTR on recommendation by the RRC. The requirement of the No Objection from the supervisor shall be waived in the case where the supervisor is not available or interested in supervising that candidate for some reason(s). The genuineness of such a reason shall be validated by the Chairperson of the RRC.

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10.2 In case the change of Supervisor is approved, the candidate shall not be eligible to submit his / her thesis at least one year from the date of such an approval.

10.3 If the Research Supervisor, due to the conditions beyond his/her control, proceeds on long leave for a period more than six months or resigns from the University / Research Centre services or his / her recognition is withdrawn by the University or he / she passes away, a new Research Supervisor shall be allocated to the candidate enabling him to continue his work. In such a case(s) research scholar shall have to submit an application to the PG section stating the necessity, which shall be recommended by the RRC to the BUTR for its approval.

10.4 The newly appointed Supervisor / Co-Supervisor due to the change may permit the scholar to work on the same topic or may suggest a new topic. If both the research topic and the supervisor are changed due to above reason(s), the scholar is not permitted to submit his / her Ph.D. thesis before the completion of three years from the date of change of topic and supervisor.

10.5 If the Scholar / Supervisor wishes to make change in the title, the scholar may request for the change within two years from the date of confirmation with proper justification and application forwarded by the supervisor(s) and the Head of the Research Centre, which may be approved by the RRC in its following meeting. However, in case the change in title is approved, the scholar shall be allowed to submit thesis only after one year from the change of the title.

10.6 In case of change in supervisor due to the superannuation, the scholar is required to submit his progress reports duly signed by the former supervisor. Under the situations where the former supervisor is not willing / co-operating to submit reports, such matter(s) shall be brought to the notice of the RRC in writing and shall be decided based on the circumstances / evidences. It shall be ensured by the RRC that the candidate's work should not suffer.

11. CANCELLATION OF PH.D. REGISTRATION:

11.1 Once Research Supervisor is allocated to a scholar he/she has to approach the concerned research centre, complete the formalities of admission and enroll himself / herself and complete the Course Work within one year from the date of allocation. If he / she fails to do so within one year, his / her Ph.D. registration shall stand cancelled.

11.2 The scholar has to submit half yearly (January to June and July to December) Progress Report to the University through the supervisor. For submitting the progress report of every semester, the research scholar has to give a presentation before the DRC at the concerned research centre. If he / she fails to do so twice in succession i.e., for one year, the supervisor shall send a report to the RRC on the non-compliance of the bi-annual progress reports and to initiate the action in this matter. In such a case a fine of Rs. 1000 shall be charged per report for up to one year. If the scholar fails to submit progress

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reports consecutively for two years his / her Ph.D. registration shall be cancelled without notice.

11.3 Ph.D. registration of the scholar shall be cancelled by the RRC or the committee constituted by the RRC under the following circumstances:

i. The supervisor, with substantial evidences, requests the RRC for cancellation of Ph.D. registration of the scholar working under his/her supervision

ii. The research scholar requests the RRC for cancellation of his / her Ph.D. registration. However, in such a case, the student shall not be allowed to register for Ph.D. on the same topic with different supervisor unless report of the former supervisor is not received.

iii. After allocation if the scholar fails to submit his/her research proposal for topic confirmation within two years from the date of allocation.

iv. If the scholar fails to submit bi-annual progress reports consecutively for two years his / her registration shall be cancelled automatically and no communication shall be made in this regard.

v. If the research scholar is involved in mal-practice / plagiarism / misconduct / unethical issues / immoral conduct, etc.

vi. In case the progress of the scholar is not satisfactory, the Research Supervisor and DRC shall record the issues and suggest corrective measures. If the research scholar fails to work for improvement on the corrective measures, the Research Supervisor shall write to the P.G. Section for the cancellation of his / her registration with specific reasons.

12. WITHDRAWAL OF RECOGNITION AS Ph.D. SUPERVISOR

Recognition as a Research Supervisor of the Sanjay Ghodawat University granted to a teacher shall stand withdrawn in case(s):

12.1 No research scholar registers with him/her in five years from the date of his recognition as a Research Supervisor.

OR

12.2 No research scholar working with him/her submit thesis for the award of Ph.D. Degree within eight years from the date of the allocation. However, in such a case, opinion of the supervisor and Dean of the concerned faculty shall be taken into consideration before arriving at conclusion.

OR

12.3 Not published a minimum of three research papers for the case of faculty member(s) from the University Schools / Departments and two papers for the case of a faculty from Research Centre in UGC approved research journals within a period of five years.

OR

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12.4 He / she is involved in serious breach of Rules as laid down, which include gross administrative and academic lapses, financial irregularities and malpractices, wilful and perpetual negligence of duties and activities involving moral turpitude.

13. FEES STRUCTURE FOR THE Ph.D. REGISTRATION, RESEARCH CENTRE, COURSE WORK, ETC:

The fees for the Ph.D. registration, for course work, research centre, etc shall be as per the decisions of the competent authority of the University from time to time.

14. COURSE WORK: CREDIT REQUIREMENTS, NUMBER, SYLLABUS, MINIMUM STANDARDS FOR COMPLETION, ETC.

14.1 The Credit requirement for the Ph.D. course work is a minimum of 16 credits, including the credits of the courses on "Research Methodology", "Research and Publication Ethics" as notified by the UGC vide D.O. No. F. 1- 1 / 2018 (Journal/CARE) in 2019and "Computer Applications / ICT".

14.2 The Departmental Research Committee (DRC) of the Research Centre, where the research scholar has been admitted to pursue his / her research, shall prescribe subject specific course(s) applicable to him / her on the recommendations of the Supervisor. The DRC may also recommend courses available on the online platforms as the part of the credit requirements of the Ph.D. program.

14.3 The detailed syllabus, paper titles, credit distribution, paper structures, evaluation process etc. shall be decided by the competent authority of the University and shall be informed to the scholars by the DRC / Research Centre.

14.4 The course work shall be divided into two parts:

Part A: Theory courses common for all subjects, irrespective of the faculty:

i. Research Methodology – 03 credits (45 Hours Teaching, 75 marks)
ii. Research and Publication Ethics (CPE-RPE) – 02 credits (30 Hours Teaching, 50 marks)
iii. Computer Applications / IT – 03 credits (45 Hours, 75 marks)

Part B: Subject Specific Course Work related to the research problem and shall be completed under the supervision of research supervisor. It shall be the responsibility of the supervisor to design and get Part B of the course work completed from the research scholar. The syllabus of the Part B shall be based on:

i. Foundation and Philosophy of research – 04 credits (60 Hours, 100 Marks)
ii. Research Problem Related Course - 04 credits (60 Hours, 100 Marks)

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Here, each credit shall have 15 hours of instructions and weightage of 25 marks. The instructions may be in the form of lectures, tutorials, demonstrations, practical work, field work etc and shall be based on the CBCS pattern of the University.

14.5 Ph.D. registrations of the research scholar shall be confirmed only after the completion of Part A of the course work (08 credits) successfully. It is responsibility of the research scholar to complete Part A of the course work within one year from the date of the allocation of supervisor.

14.6 Part B of the course work related to the Subject Specific Course work of 08 credits shall be required to complete within two years from the date of allocation, before the Pre-Ph.D. seminar.

14.7 Research scholars who have already completed "Research Methodology" and "Research and Publication Ethics" during their Post-Graduation as per the credit frame work of the NEP-2020 or during their M. Phil. program are exempted from appearing for this course. However, they need to complete additional 02 credit course on Computer Applications / IT and other 08 credits related to the Subject Specific course work.

14.8 Grades earned by the candidate in the Subject Specific course work shall be finalized after completion of the assessment of 08 credits by the Supervisor at the Department / School / Research Centre level and shall be communicated to the Controller of Examination (COE) for his / her final score card.

14.9 The Ph.D. scholar shall become eligible to submit his / her Ph.D. thesis only if he /she scores a minimum of 55% mark or its equivalent grades in the UGC 10-point scale in the course work. Other rules such as attendance, continuous assessment, end semester assessment, etc. for the completion of the course work shall be at par with the University norms.

14.10 All Ph.D. scholars, irrespective of discipline, shall be required to obtain training in teaching / education / pedagogy / writing related to their chosen Ph.D. subject during their doctoral period. Full time Ph.D. scholars shall also be required to engage 04 hours per week of teaching / research assistantship for conducting tutorial or laboratory and evaluation work as assigned by the Department / School

15. MAL-PRACTICE DURING SGU-PET AND THE COURSE WORK EXAMINATIONS

15.1 Research scholar(s) involved in mal-practice(s) during the SGU-PET or the Ph.D. coursework assessments / examinations shall be responsible for facing stringent action to be taken as per the prevailing examination rules of the University.

15.2 Such case(s) of mal-practice shall be reported by the invigilators / supervisors through the Chief Supervisor / Head of the Research Centre to the COE for further action and shall be punished as per the University rules and regulations in force.

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16. DEPARTMENTAL RESEARCH COMMITTEE (DRC) AND ITS RESPONSIBILITIES

16.1 There shall be a Departmental Research Committee (DRC) at each of the Research Centre as defined in the Statutes / Ordinances of the University for each of the major research discipline. The Supervisor of the concerned scholar shall be the Convener of this committee, and this committee shall have the following responsibilities:

i. To review the research proposal
ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do
iii. To review progress of the scholar periodically and assist him in his progression

16.2 At the end of each semester (six months), the Ph.D. scholar shall appear before the DRC to make a presentation and submit a brief report on the work he / she has carried out in prescribed format (**APPENDIXII**) for the evaluation and further guidance. The DRC shall review his / her work and shall forward evaluation report (**APPENDIXIII**) to the P.G. section. A copy of the same with suggestions for improvement, if any, shall also be given to the scholar.

16.3 In case progress of the scholar is not satisfactory, the DRC in its meeting shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement the corrective measures, the DRC may, with specific reasons, recommend the RRC for cancellation of the Ph.D. registration of the candidate.

16.4 If a candidate fails to appear before the DRC and submit his research progress consecutively for three semesters, his / her Ph.D. registration shall stand cancelled. The P.G. section shall communicate the same to the research scholar.

17. THESIS EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/ CREDITS FOR AWARD OF THE Ph.D. DEGREE, ETC.:

17.1 Pre-Ph.D. Seminar and Submission of final-Synopsis

17.1.1 Upon satisfactory completion of the course work, obtaining the marks / grade as prescribed in clauses 14 and submitting bi-annual progress reports as specified in clause 16 of this Ordinance (**OR-2024-SGU**), the Ph.D. scholar shall be required to deliver a Pre-Ph.D. Seminar before the DRC, which shall be open for all the faculty members, scholars and students of the School / Department / Research Centre.

17.1.2 Ph.D. scholar, before giving Pre-Ph.D. Seminar, shall be required to publish a minimum of two (2) research papers based on the work of his/her Ph.D. thesis, in the UGC approved / refereed journal and shall be required to present at least one paper in conferencein the concerned subject. The scholar shall be required to

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produce the evidences of the publication of the work in research journals in the form of reprints and / or certificate(s) of presentation in the conference before the DRC at the time of Pre-Ph.D. Seminar.

17.1.3 In the Pre-Ph.D. Seminar, the research scholar make a Power Point Presentation covering the entire study that he/she has undertaken as a part of his/her Ph.D. The Seminar shall describe the thesis plan, methodology, techniques adopted, main findings of the thesis, Results and Discussion. The DRC shall assess the work of the scholar and give their critical queries, comments on the work. After compliance of the queries or comments raised by the DRC during the pre-Ph.D., the Head of the Department / School / Research Centre shall forward the Pre-Ph.D. report along with ten (10) copies and soft-copy (pdf) of the final-Synopsis duly signed by the Scholar, Supervisor(s) to the P.G. Section of the University.

17.1.4 Upon receipt of Pre-Ph.D. seminar report and copies of the Final-Synopsis, the P.G. Section shall obtain a panel of the thesis adjudicator(s) / examiners from the RRC. The panel shall comprise a total of six adjudicators; three shall be experts in the field working in other universities / institutes from Maharashtra and remaining three experts from universities in other states or foreign universities / institutes. Provided that the examiners listed in the panel must be recognized academicians and must have experience of successfully guiding research scholars (at least two scholars must have obtained Ph.D. degrees under his / her supervision).

17.1.5 Upon obtaining preferential orders of the thesis adjudicators from Hon'ble Vice Chancellor, the P.G. Section shall send copy of the final-Synopsis to both the examiners of first preferences to seek their consent to adjudicate the Ph.D. thesis of the scholar. Upon denial of any or both the examiners, P.G. Section shall obtain consent for the same from others examiners in preferential orders. If the list of the examiners is exhausted, P.G. Section shall obtain fresh panel for the part or full of the adjudicators and repeat the process.

17.2 The Act of Plagiarism:

17.2.1 It shall be the responsibility of the scholar as well as the supervisor to follow the research integrity, which shall be the integral part of all the research activity leading to the award of Ph.D. degree.

17.2.2 Research scholar after completing the work, with a recommendation from the supervisor shall submit soft copy (pdf) of the thesis to the Director, Knowledge Resource Centre (KRC), Sanjay Ghodawat University Kolhapur for Plagiarism Check. The Director, KRC shall adjudge the thesis using authenticated Plagiarism software (such as Turnitin, Urkund etc.) and shall issue a certificate to the scholar.

17.2.3 The AC of the University in its meeting on 09th September 2022 to avoid the Plagiarism in the research work following penalties are proposed for different levels of similarities checked through the Plagiarism Detection Software. In the case where the similarity is up to a maximum of 10% (Level 00) shall be

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permitted without any penalty and the thesis shall be allowed to submit to the P.G. Section of the University for further processing.

17.2.4 In the case where the plagiarism similarity is between 10% to a maximum of 40%, the candidate shall be required to submit the revised thesis within a period of six months. If the similarity remains more than 10% even in the second instance, thesis of such a candidate shall be rejected and shall not be allowed to submit revised thesis before one year from the date of second time plagiarism check.

17.2.5 In the case where the similarity has been detected between 40 to 60%, thesis of such a scholar shall be forfeited and shall not be allowed to submit revised Ph.D. thesis for a period of one year.

17.2.6 In the case where the similarity has been detected more than 60%, registration of such a scholar shall be cancelled.

17.2.7 For the abetment of such actions, if the similarity appears more than 60%, the recognition as a Ph.D. Supervisor of such candidate(s) shall also be withdrawn for a period of 2 years and shall be debarred from supervising the research scholar for any research Program in this University for two years.

17.3 Submission of Thesis:

17.3.1 Research scholar is expected to complete the research work within three years from the date of registration with the minimum score as described above. Further, he/she shall also be required to complete the requirements of the research publications as mentioned in the clause 17.1.2 of the OR-2024-SGU.

17.3.2 Upon fulfilling all the requirements as mentioned in the clause 17.1 of the OR-2024-SGU and on completion of three years from the date of the registration he / she shall be eligible to submit the Ph.D. Thesis to the P.G. Section of the University for further processing. However, if the supervisor and the DRC are convinced, the scholar may be permitted to submit Ph.D. thesis after two and half years from the date of registration. This shall be considered on merit and documents submitted in support in this matter and shall be recommended by the RRC to Hon'ble Vice Chancellor for final approval.

17.3.3 Further, if the candidate has already acquired M.Phil. of the University and has continued research in the same topic as that of the M.Phil. Degree, he /she shall be eligible to submit the Ph.D. thesis after two years from date of registration. If the candidate with M.Phil. from the University has worked for Ph.D. on a topic different than that of his / her M.Phil. topic then the scholar shall become eligible to submit his / her thesis only after two and half years from the date of registration, provided he has already completed Part A of the Course Work during the M.Phil. Program.

17.3.4 Research Scholars may be allowed to submit the final-synopsis and subsequently Ph.D. thesis only after 24 months from clearing Part A of the course work;

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however, the minimum duration mentioned in clause(s) 17.3.1 and 17.3.2 above has to be strictly followed.

17.3.5 The research scholars shall be allowed to submit the Ph.D. thesis in accordance with the format finalized by the University within six months from the date of submission of the final-synopsis, failing to which the research scholars shall have to pay a fine of Rs 5000 to the University for the late submission. Provided, the maximum period for the late submission shall not exceed one year from the date of submission of the synopsis or till the completion of the period of Ph.D. registration as specified in clause 7 of the OR-2024-SGU.

17.3.6 The thesis shall be written in English or regional language.

17.3.7 It shall be mandatory for the research scholar to include the duly signed copy of the undertaking stating that the thesis presents original work and is free from the plagiarism (as in **APPENDIX -IV**) and the duly signed copy of the undertaking by the supervisor(s) stating originality of the work presented in the thesis, mentioning that the work is free from plagiarism and that the work has not been submitted for the award of any other degree / diploma of the University or to any other institution / university for the award of the degree / diploma (as in **APPENDIX -V**).

17.3.8 The research scholar shall submit the Ph.D. thesis in hard copies spiral bound (05 copies) as well as in soft copy (pdf version) to the P.G. Section of the University in the prescribed format.

17.4 Panel of Ph.D. Thesis Adjudicators:

17.4.1 The panel proposed by the RRC for the adjudication of the Ph.D. thesis of a research scholar shall comprise a total of six adjudicators; three of which shall be experts in the field working in other universities / institutes from Maharashtra and remaining three shall be experts working in universities / institutes in other states or foreign universities / institutes. Provided that the examiners listed in the panel should be recognized academicians with good record scholarly publications and should have experience of successfully guiding research scholars.

17.4.1 The external examiners in the proposed panel should be in regular service and shall not have superannuated.

17.4.2 Names of the expert / researcher / scientist in the Research Organization, Academic Institution or Industry where the Part-time external research scholar or Co-supervisor(s), if any, is (are) employed, shall not be included in the proposed panel of the thesis adjudicators.

17.4.3 Name(s) of the person(s) related (having family relation) to the research scholar; supervisor or co-supervisor(s) shall not be included in the proposed panel of the thesis adjudicators.

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17.4.4 The external examiner(s) shall have to give an undertaking stating that the research scholar and research supervisor(s) are no way connected to him / her (no conflict of interest)

17.4.5 The supervisor / co-supervisor(s) shall act as the 'internal examiner(s)' for the research work carried under his / her supervision.

17.5 Evaluation of the Ph.D. Thesis:

17.5.1 The Ph.D. thesis submitted by a research scholar shall be evaluated by the Supervisor and at least by two external examiners, of whom one must be either from outside the state or country. Both the external examiners shall be experts in the field with proven research experience and shall not be employed in the same School / Department / Research Centre / Institute, where the scholar has worked for his research and shall not be related to the scholar as well as the supervisor(s).

17.5.2 The DyR, P.G. section shall send copy of the final synopsis to the external examiners (as per the priority decided by Vice-Chancellor) and get their consent on the evaluation of the thesis. The process of obtaining consent from the external examiners shall be done within one month and the communication in this regard shall be made either through e-mail or by Speed Post.

17.5.3 Upon receiving consent / acceptance from the external examiner, the DyR, P.G. section shall send the hard copy / soft copy of the Ph.D. thesis to the concerned examiner(s) for its adjudication either through e-mail or Speed Post, as the case may be.

17.5.4 The thesis adjudicator shall be permitted to submit the evaluation report in the prescribed format along with the score earned by the scholar in the soft copy format (scanned copy of the report duly signed by the examiner) by email to the DyR, P.G. Section of the University on its official email-id or by Speed Post.

17.5.5 It shall be the responsibility of the DyR, PG Section to ensure that the Ph.D. thesis has been received by the examiner.

17.5.6 Normally, the external examiner(s) shall be required to submit their detailed adjudication report within two months from the date of receipt of the thesis. If the adjudication report is not received within the stipulated period, a gentle reminder cum request shall be sent to the concerned examiner requesting him / her to send the report within a month.

17.5.7 If the adjudication report is not received within one month from the date of the reminder, the thesis shall be sent to the next examiner from the list of the panel for its evaluation.

17.5.8 Upon receiving recommendations from both the external examiners for acceptance of the thesis in the present form for the award of the Ph.D. and also from the internal examiner, either through email or by post, DyR of P.G. Section shall inform the same to the supervisor to arrange Ph.D. viva-voce of the candidate.

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17.5.9 If any or both the external examiners ask for re-submission, the revised version of the thesis shall be sent to the same examiner(s) after incorporating corrections suggested by him / her, for its further evaluation. If both the examiners recommend acceptance of the thesis after incorporating the corrections, DyR shall inform the supervisor to arrange Ph.D. viva-voce of the candidate.

17.5.10 The copies of the Ph.D. reports from both the external examiners shall be forwarded to the supervisor asking him to share those with the scholar so that the scholar shall prepare accordingly for the Ph.D. viva-voce.

17.5.11 If one of the external examiners recommend for the rejection of the thesis, the DyR shall send the thesis to an alternate examiner from the approved panel for its adjudication. Ph.D. viva-voce examination of the candidate shall be conducted only if the alternate examiner recommends acceptance of the thesis.

17.5.12 If the alternate examiner also recommends for the rejection, the thesis shall be rejected by the University and the candidate shall be declared as "ineligible for the award of the Ph.D. of the University".

17.5.13 In general and normal circumstances, efforts shall be made to complete the entire process of the evaluation of the Ph.D. thesis within a period of six months from the date of submission of the thesis.

18.THE DEFENCE VIVA-VOCE EXAMINATION:

18.1 The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis. Upon receiving such reports, the thesis supervisor shall contact one of the examiners (preferably nearest) for conducting Ph.D. viva-voce and shall finalize the date for the same. The date shall be finalized taking view that the P.G. section shall get enough time (at least fifteen days) to complete the process. The supervisor shall then write to the P.G. section for conducting viva-voce of the candidate.

18.2 The DyR, P.G. section shall get approval from the Vice Chancellor for forming the board of viva-voce for the candidate. The board of viva-voce shall comprise the Dean Concerned faculty / Head / Director of the school as the Chairperson, the Supervisor, Co-Supervisor (if any), and at least one of the external examiners as the members.

18.3 Upon formation of the board of viva-voce the DyR shall send an official letter to the Chairperson, examiner(s) requesting them to attend the viva-voce.

18.4 In case the external examiner invited for the viva-voce is unable to attend the viva-voce either in physical or online mode, DyR may contact the next examiner for conducting the same.

18.5 Ph.D. viva-voce shall be held in the School / Department of the concerned subject and in the case where such department does not exist, shall be held in the VC/Dean Meeting Hall of the University.

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18.6 The Director / Head of the concerned School shall circulate the notice of the viva-voce for information of the faculty, research scholars, and students of the concerned School / Centre.

18.7 On the day of the viva-voce, the research scholar shall make a presentation of the research work through power point presentation before the viva-voce board.

18.8 The viva-voce shall be conducted either in offline or online mode, as the case may be, and shall be open to the members of the DRC, faculty members, research scholars and students from the School(s).

18.9 Assessment reports of the Ph.D. thesis from all the examiners shall be made available to the board of the viva-voce. The Chairperson or the Supervisor shall read out the comments from all the examiners so that the strengths and weaknesses (if any) of the research work shall be revealed to the attendee so as to enable other scholars to improve their research performance.

18.10 Being part of the examination, the scholar or supervisor are supposed to maintain its decorum and confidentiality and not to interfere in the matter.

18.11 The research scholar in no case shall try to contact the examiner(s) before the vivavoce. The examiner(s) may inform the Vice-Chancellor in case the research scholar tries to influence him.

18.12 In case both the external examiners or the internal examiner is unable to attend the viva-voce, Vice-Chancellor, on recommendation by the Dean of the concerned faculty, shall appoint a senior faculty member of the concerned subject as an examiner (external or internal, as the case may be) for the defense of the thesis.

19. REPORT OF THE Ph.D. VIVA-VOCE EXAMINATION:

19.1 On completion of the Ph.D. defense, the Chairperson of the defense viva-voce committee shall prepare a report delineating performance of the scholar during the defense in the prescribed format (**ANNEXURE-I**) and shall submit the same to the DyR of P.G. section of the University after getting it signed by all the members of the board.

19.2 The report submitted in this regard shall clearly specify the following recommendation: The Ph.D. Degree in the concerned subject may be conferred upon the research scholar by the University.

19.3 In case of disputes, the final recommendations of the viva voce committee arrived at by the majority shall be final.

19.4 If the candidate fails to defend the viva-voce successfully and upon recommendation by the defense viva-voce committee, the research scholar shall be re-examined at a later time in a specified manner, after meeting the compliance of the queries raised by the experts during the viva-voce. However, this shall be permitted only upon approval from the Vice-Chancellor and shall be held after six months, but not later than one year. The

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candidate shall be required to pay the expenses for conducting the viva-voce or a penalty of Rs. 10,000/-, whichever is higher.

20.ACADEMIC, RESEARCH, ADMINISTRATIVE AND INFRASTRUCTURE REQUIREMENTS TO BE FULFILLED BY THE RESEARCH CENTRE FOR GETTING RECOGNITION FOR OFFERING Ph.D. PROGRAM (REQUIREMENTS FOR GETTING RECOGNITION AS A RESEARCH CENTRE):

20.1 Only Post-Graduate Colleges / Departments offering 4 years Undergraduate programs and / or Post-Graduate program in a particular subject shall be recognized as the Research Centre and shall offer Ph. D programs, provided they satisfy the availability of eligible supervisors, required infrastructure and supporting administrative and research facilities as per this Ordinance.

20.2 Post-Graduate colleges and research institutions established by the central or the State Government whose degrees are awarded by the University under MoUs shall offer Ph. D. programs provided they have

i. At least two faculty members in a college or two Ph. D. qualified scientists in the research institution.
ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the University

21. Ph.D. THROUGH PART-TIME MODE:

21.1 Ph.D. programs through distance and / or online mode are not permitted under any circumstances.

21.2 Ph.D. through part-time mode shall be permitted to the candidates who are employed in some organization / institute, provided all other conditions stipulated in this ordinance are fulfilled.

21.3 In such a case, the candidate for pursuing part-time Ph.D. program shall be required to submit a "No Objection Certificate" issued by 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 shall be relieved from the duty to complete the Ph. D. course work.

21.4 Part time admission to the Ph. D. program shall also be allowed to the scholars who are working / pursuing research in other National or State Government Institutes / Laboratories, with whom the University has entered in MOU, under the supervision of the research scientist(s) working in such institute(s) as his / her co-supervisor. The

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research scientist (co-supervisor) shall be responsible for the progress of the research for that part of research carrying out in that institute.

21.5. The regular teachers registered for Ph. D. program shall be required to work at least for 90 days with the supervisor / co-supervisor either at the research centre or where the supervisor / co-supervisor is working

22.ISSUING A PROVISIONAL CERTIFICATE:

After the successful completion of Ph.D. defense viva-voce but prior to the actual award of the Ph.D. degree in the Convocation Ceremony, upon request from the scholar, the COE of the University shall issue a 'Provisional Degree Certificate or Notification' to the effect that the Ph.D. Degree has been conferred on the Scholar in accordance with the provisions of these Ordinance. Such a certificate shall be issued to the research scholar on the day of the viva-voce or next day upon approval from the Vice-Chancellor.

The date of successful completion of the viva-voce shall be the "Date of Award of Ph.D." degree and the same shall be reflected in the final degree that shall be issued to the research scholar at the time of Convocation.

23. AWARD OF Ph.D. DEGREES PRIOR TO THE NOTIFICATION OF THESE ORDINANCES:

Award of degrees to the candidates who are registered for the Ph.D. program of the University on or after September07, 2019, till the date of Notification of these Ordinances shall be governed by the provisions of the UGC (Minimum Standards and procedure for Award of Ph.D. Degree) Regulation, 2009 or the UGC (Minimum Standards and procedure for Award of M.Phil. / Ph.D. Degree) Regulation, 2016 and 2022, as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by the Ordinances or UGC (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degree) Regulation, 2016.

24.DEPOSITORY WITH INFLIBNET:

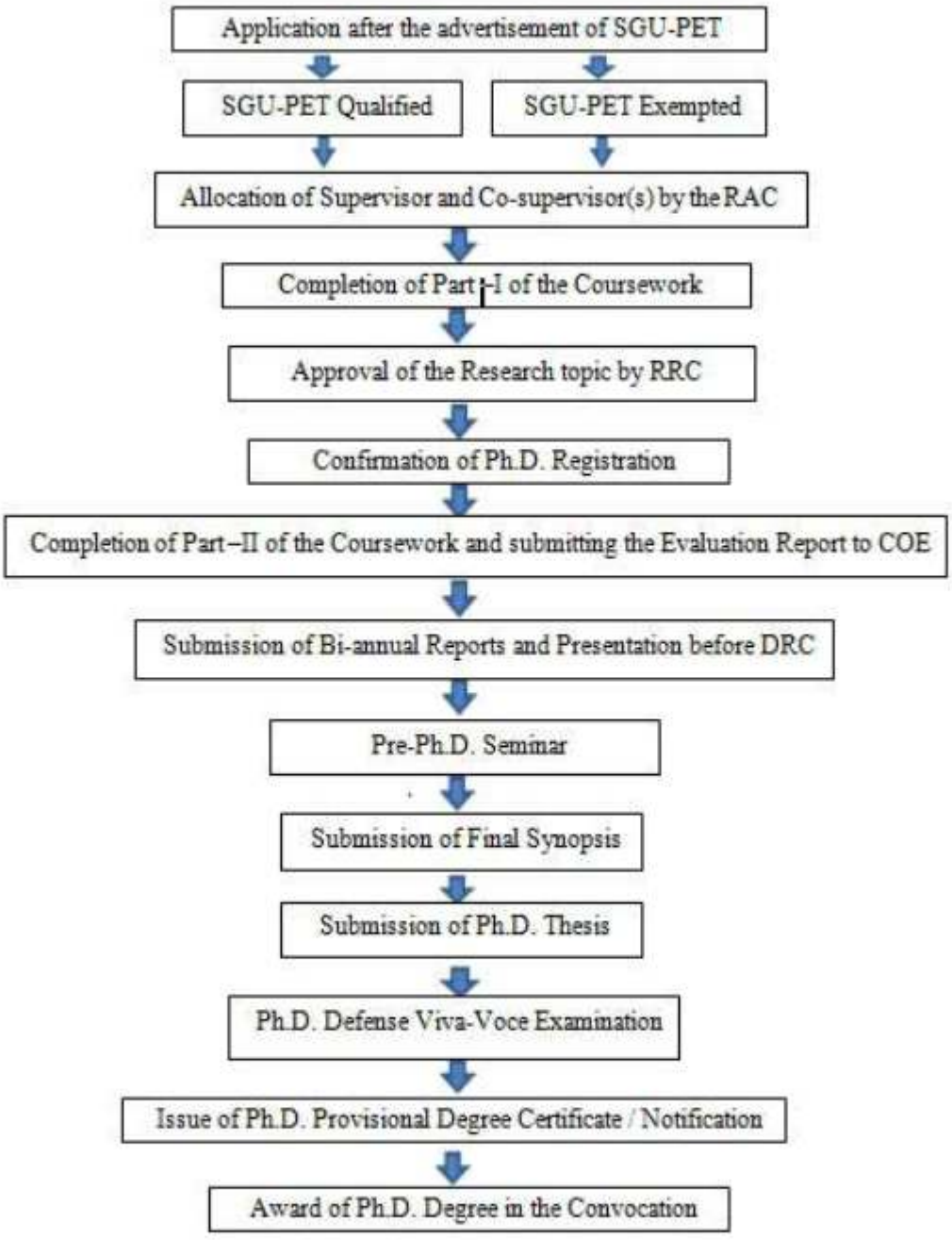
Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the DyR, P. G. Section of the University shall submit the electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions. The electronic copy of the Ph.D. thesis shall also be placed on the website of the University.

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APPENDIX - I

Flow Chart of Ph.D. Program



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APPENDIX - II

Bi-Annual Progress Report

1. Name of the Candidate: ----------
2. Registration Number: ----------
3. Department: ----------
4. Date of Ph. D. Admission: ----------
5. Title of the Ph. D. Thesis:

(a) Title approved at the time of registration:----------

(b) Proposed revision in the title, if any: ----------

(c) Is the revised topic altogether different from what was registered?

---

6. Period under review: ----------

7. Previous Progress Seminar Date: ----------

8. Details of fees paid till date: (Please attach photo copies): ----------

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9. Biannual progress report: (Please attach photo copies): ----------

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10. Details of the course work carried out/to be carried out:

(Please attach photo copy ofgrade sheet)

11. Place(s) of work during the period under review:

---

12. Probable place(s) of work the next review period: ----------

13. Any publication/s after registration till date: (Please attach photo copies):

---

14. List of Conferences attended, if any, after registration till date (Please attach separate sheet, if required): ----------

---

Signature of scholar Signature of Co-Supervisor Signature of Supervisor

Date:

Place:

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APPENDIX - III

Bi-Annual Progress Evaluation Report by DRC

1. Name of the Candidate: ----------
2. Registration Number: ----------
3. Department: ----------
4. Date of Ph. D. Admission: ----------
5. Title of the Ph. D. Thesis:

---

6. Period under review: ----------
7. Remarks of the Research Committee:

(a) **Quality of work done**

Excellent / Good / Satisfactory / Not satisfactory

(b) **Quantity of work done**

Enough/Just sufficient/Insufficient

(c) **Expected period for completion of program:**

One year /two years/three years/four years

8. Any specific comments / suggestions:

Name and Signatures of the Departmental Research Committee (DRC) Members

1. Chairperson:
2. Subject Expert:
3. Other Expert:
4. Other Expert:

Date:

Place:

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APPENDIX - IV

Undertaking by Ph.D. Research Scholar on Plagiarism of Research Work

I,the undersigned Mr./Ms.---------- bearing PRN: ---------- of ----------
Research centre submittingthe Ph.D. thesis titled ----------
to the Sanjay Ghodawat University ismy original work, free from the plagiarism and the work has not been submitted for the award of any other degree / diploma of the University or to any other university for the award of the degree / diploma

Name:

PRN:

Department:

Signature :

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APPENDIX–V

Undertaking by the supervisor(s)

The Ph.D. research thesis titled ---------- submittedby Mr./Ms. ---------- bearing PRN: ---------- of ----------Research centre to Sanjay Ghodawat University, is free from plagiarism and the work has not been submitted for the award of any other degree / diploma of the University or to any other university for the award of the degree / diploma

Signature of Co-Supervisor Signature of Supervisor

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ANNEXURE –I

Defense Viva Voce Committee Report

Name of Research Scholar :

PRN :

Title of the Thesis :

Department :

School :

Report of the Examiners

Internal Examiner

Name :

Signature:

External Examiner

Name :

Signature:

Chairperson Defense Viva Voce Committee

Name :

Signature:

Date :

Place:

Registrar
Sanjay Ghodawat University

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