

PhD REGULATIONS -2021



**SARDAR BEANT SINGH STATE
UNIVERSITY GURDASPUR (PUNJAB)-
143530, INDIA**

(Established by the Govt. of Punjab)
Recognized under Section 2(f) of UGC Act, 1956

Ph. : 01874-221463, 221464

Website :

www.sbssugsp.ac.in

1.0 ELIGIBILITY

- i) The Admission to PhD academic-research program shall be made in the various disciplines of the Faculties of this University, through an open advertisement at any time during the academic year. The candidates with minimum 55% marks (or an equivalent grade in a point scale wherever grading system is followed) in Master's Degree (in Engineering/Technology Science/Management/Computer application/Humanities and in those other areas, in which University decides to undertake the curriculum) of SBSSU, Gurdaspur or an equivalent degree of recognized Indian or Foreign University (recognized by UGC/AIU/or any other approved and authorized statutory Assessment and Accreditation agency) in the subject concerned/allied subject/cognate subject shall be eligible.
- ii) A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and other categories of candidates as per the decision of UGC from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures. Candidates already having PhD in a particular faculty are eligible only for a different subject/stream in the same faculty or in a different faculty as per clause 1.0(i) above.
- iii) Only Post Graduation in a subject is essential qualification to pursue PhD degree and Undergraduate candidates (like B Tech/BSc etc) will not be allowed to register for PhD degree.
- iv) Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

Sardar Beant Singh State University PhD Regulations-2021

2.0 ADMISSION

The candidates shall be admitted by the University following a two stage process based on qualifying i) PhD entrance test and ii) a subsequent interview/viva voce.

2.1 PhD ENTRANCE TEST

Subject to the availability of slots/seats and research resources in a particular Faculty and Discipline, aspirant students shall be required to appear in a written PhD entrance test (PET) to be conducted by the University. PET shall be a qualifying test of 100 marks to examine the student's depth of knowledge in concerned subject/discipline (70%) and research methodology (30%) including research related aptitude, analytical capability and language skills. Candidates securing at least 50% marks or above shall be eligible for the interview.

- i) The entrance test for admission to Ph.D. programme will be conducted twice a year in the month of December/January and June/July. The exact date of the examination will be notified through SBSSU's website.
- ii) Separate question papers will be set for candidates of different disciplines of Engineering/Architecture/Pharmacy/Management/Sciences.
- iii) The question paper will be objective type/MCQ and of 120 minutes duration. The subject/discipline part of the entrance test will be based on the fundamental and subjective aspects of each subject whose content will be as defined by University Grants Commission for NET (UGC) examination. For subjects (Engineering) for which UGC do not conduct the NET, the GATE/GPAT syllabus will be followed. The Research methodology will have questions on research related aptitude, analytical capability and language skills and will be same for all the disciplines.

The test score shall remain valid for 01 academic year or till next test only, whichever is earlier. **Merely qualifying the PET will not entitle a student for admission to PhD.**

2.2 TEST EXEMPTION:

- i) Candidates who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET (Punjab State)/ GATE/ GPA T/INSPIRE/teacher Fellowship holders/awardees (AICTE/UGC/MHRO), who have passed M.Phil Programme, those sponsored by Government (State/Union/ UT)/Public Enterprises/ OROO/CSIRI

Sardar Beant Singh State University PhD Regulations-2021

recognized research labs shall be exempted from PET (candidates appointed in the project sponsored by above agencies are not exempted from Entrance Test).

- ii) Candidates as per clause 2.2 (i) above shall be given preference over other categories.

However, all test exempted candidates need to appear for the subsequent interview, which shall be the second stage of admission process.

2.3 SELECTION CRITERIA FOR ENROLMENT

All the candidates who qualify the Ph.D Entrance Test will be called for interview irrespective of the number of seats available for admission. The inter-se merit of candidates appeared in test will be made on the basis of merit calculated as per the following criteria:

Weightage to marks in Bachelors: 20%

Weightage to marks in Masters programme : 40%

Weightage to marks in entrance test : 40%

At the time of interview candidates are expected to discuss their research interest / area with DDRC. Only the predetermined number of students, based upon the available recognized research supervisors (with concerned specialization/research interest) will be selected for admission to Ph.D. and the list of successful candidates shall be released.

2.4 INTERVIEW

Successful shortlisted candidates (as per the PhD Slots available) shall have to appear for an interview to be conducted by the Department Doctoral Research Committee (hereafter called DDRC) of the concerned Discipline to discuss their research interest/area through a presentation and to adjudge the candidate's competency, suitability of research place, and contribution of proposed research toward new/additional knowledge, and formally recommend their admission and supervisor, as applicable.

University can increase or decrease the number of seats depending upon the research facilities available.

2.5 SPONSORED/FELLOWSHIP AWARDEES

The UGC/CSIRI/INSPIRE/AICTE fellowship awardees or those sponsored by Government (State/Union/UT)/Public Enterprises/ CSIR/DRDO research labs or candidates who are awarded fellowships directly by their or any funding agencies for the purpose of pursuing

Sardar Beant Singh State University PhD Regulations-2021

full-time PhD, can be registered any time during the session. NET/GATE/GPAT qualified project fellows appointed against financed projects of at least two years duration can also be registered for PhD at any time during the session.

2.6 RESERVATION

National/State reservation policy shall be paid due attention in the process of PhD admission. Candidates who have qualified UGC/CSIR/JRF/GATE/INSPIRE/Fellowship awardees/ and those sponsored by Government (State/Union/UT)/Public Enterprises/ recognized research labs will be admitted irrespective of reservation category.

The guidelines of the UGC and directions of the MHRD as applicable from time to time in regard to reservation for SC/ST/OBC/PWD in PhD admissions shall be applicable automatically.

3.0 FELLOWSHIP/ SCHOLARSHIP

PhD research scholars will be provided fellowship/scholarship as per the guidelines of the funding agencies from time to time.

4.0 SUPERVISOR/CO- SUPERVISOR

4.1 ELIGIBILITY

- i) All Regular Professors of the University provided they are eligible to be appointed as Supervisor and are actively involved in research, with at least five publications in SCI/SCIE/SCOPUS indexed refereed Journals, and having at least two years to superannuation.
- ii) Regular Associate Professors and Regular Assistant Professors associated with the University, who hold PhD degree with at least two research publications in SCI/SCIE refereed Journals, and having at least two years to superannuation can supervise PhD students. However, an Assistant Professor level faculty with PhD must have cleared the probation period successfully before supervising a PhD candidate.
- iii) A Supervisor must also figure in the approved list by University for the purpose.
- iv) Supervisor shall not be a relative such as wife/ husband, father/mother, son/daughter, sister/brother, wife's/husband's brother and sister, brother's/sister's son and daughter,

Sardar Beant Singh State University PhD Regulations-2021

first cousins, grand-son, grand-daughter, or such person as might be deemed a close relation of the candidate by the Vice chancellor.

- v) The co-supervisor must also fulfill all the conditions above but can be from the university or outside the university and may have less than two years to superannuation. The rationale to have any outside co-supervisor must be given by the supervisor and endorsed by DDRC. DDRC can approve third supervisor (only one outside the university) based on clear rationale provided by the supervisors. Both the co-supervisors cannot be from the university or outside the university.

All the supervisors/Co-Supervisors must have at least two SCI/SCIE publications to be eligible to supervise a PhD candidate.

4.2 CHANGE OF SUPERVISOR/CO-SUPERVISOR

Normally change of supervisor/co-supervisor shall not be permitted, except under the circumstances mentioned below-

- i) In case the supervisor has left his/her affiliation with the university or by the mutual consent of the supervisor and the candidate. The earlier date of the Registration shall stand. DDRC shall have to recommend the same with justification.
- ii) In case of extreme hardship, where it becomes almost impossible for a candidate to work with the existing Supervisor and the VICE CHANCELLOR has satisfied himself/herself. This clause is to be used sparingly under abnormal circumstances only.
- iii) In case a supervisor/co-supervisor retires or expires or leaves the affiliation of the University, during the course of the work before the submission of final thesis, then as per the case need DDRC can recommend appointment of a full supervisor/co-supervisor/care-taker cum administrative supervisor (to look after the administrative needs of the candidate's research work) depending upon the amount of work completed including publications.

4.3 SUPERVISOR ALLOCATION

The DDRC shall recommend supervisor in a formal manner, depending on the number of students per faculty member, the available specialization/area among the faculty supervisors, research interest of the student and choice and consent of supervisor as indicated by the candidate (The candidate will submit a list of three preferred supervisors). The

Sardar Beant Singh State University PhD Regulations-2021

allotment/allocation of supervisor shall not be left to the individual student or teacher and DDRC will be authorized to allot a supervisor outside the list given by the candidate.

There shall not be more than Eight PhD scholars under supervision/co-supervision (including full-time/part-time/sponsored research projects of this or any other university) at a time under a professor, six under an Associate Professor and four under an Assistant Professor. The candidature shall normally remain in force till the successful defense of viva-voce examination of the Thesis. In case of co-supervision the slot will be considered half. A supervisor cannot have more than 12 number of PhD candidates in any case at any given time.

4.4 RELOCATION OF WOMAN PhD SCHOLAR

In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

5.0 ADMISSION CATEGORIES

Candidates shall be admitted under the following categories to this programme:

5.1 FULL-TIME

- i) A person with scholarship/fellowship/study leave from an organization/or without fellowship who is neither employed nor is pursuing any other course of studies (shall submit a declaration in this concern).
- ii) Candidates registered for full time programme in the university shall be available during the working hours for curricular, co-curricular and related activities.
- iii) Part-time candidates in employment, who want to pursue full-time studies may be allowed to convert as full time candidates during their research work subject to approval, provided they are sponsored by their employer and should avail leave for

Sardar Beant Singh State University PhD Regulations-2021

the research period and should get formally relieved from their duty to join the research programme.

- iv) The full-time programme shall be undertaken in the departments of this university. Full time PhD scholars shall be required to be present in the university. Candidates will have to mark their attendance daily and their presence shall be duly recorded and maintained in the concerned department except on the days when he/she is away from campus on duty/sanctioned leave.
- v) The full-time candidate shall not involve in any kind of remunerative academic work/duty outside the university premises without written permission from the supervisor and HOD concerned.
- vi) Full-time to Part-Time (External) conversion shall not normally be allowed and will be considered only on merit by DDRC for onward recommendation, but not before 12 months after confirmed registration.
- vii) Full-Time candidates shall be given preference over Part-Time candidates by the University.

5.2 PART-TIME (INTERNAL)

- i) Full time teachers of this University shall be called 'Part time (Internal)' candidates under the guidance of supervisor in the university.
- ii) Candidates working in this University in projects undertaken from State/Central/Quasi Government and totally funded through the projects shall also be called 'Part time (Internal)' candidates.
- iii) The place of research for teachers of this University shall be the concerned Departments of this University.

5.3 PART-TIME (EXTERNAL)

- i) Candidates working in Other Universities/Colleges/R&D Departments/Research laboratories in Units of Government/Quasi-Government/ Industrial units, and sponsored by the respective employer/Organization, shall be called 'Part time (External)' candidates.
- ii) The place of research for the external candidates shall be respective Institution or Unit or organization as the case may be and also the Department concerned in the University.

Sardar Beant Singh State University PhD Regulations-2021

- iii) All part-time registered candidates shall spend minimum forty-five days per year for consultations and research in the department and to be certified by the concerned Supervisor.
- v) Such candidates shall produce a certificate from the Head of the organization mentioning that he/she would be allowed to spend a minimum of one semester of residency in the university.

6.0 COURSE WORK

The DDRC shall prescribe/recommend course work for the research scholar as proposed by Supervisors) and keeping in view candidate's area of research keeping following in consideration.

- i) Each PhD student will have to undertake one mandatory course (4 credits) on Research Methodology (RM), which will include quantitative methods, computer applications, research ethics and review of latest published research work in the relevant field.
- ii) Each PhD student will have to undertake one mandatory course (2 credits) on Research and Publication Ethics.
- iii) In addition, a PhD candidate shall be required to undertake mandatory advanced regular course work in the relevant/cognate research area for minimum three credits and a mandatory Seminar of one credit on her/his area of research as a part of pre-PhD course-work. The Course work may or may not be from the parent department and shall be treated as pre-PhD course work.
- iv) The candidate will have to clear courses within the first two semesters as per the programme of the Department.
- v) Direct fellowship awardees or candidates registered for PhD during the middle of the semester will take up course work in the following semester.
- vi) The syllabus for Pre-PhD course work, not covered in the ongoing PG curriculum, will be recommended by the Board of Studies or DDRC subject to the approval by BoS and approved by academic council of the University.

The course work will be carried out in regular mode during working hours of the university, and research scholars will have to attend regular classes during the course work.

Sardar Beant Singh State University PhD Regulations-2021

7.0 COURSE COMPLETION CRITERION

- i) Absolute grading system shall be followed for PhD Course work evaluation. A candidate is required to score minimum B Grade in all individual subjects and overall CGPA equivalent to 6.5 or above to qualify the course work (see Annexure -II for details).
- ii) The prescribed course work shall be completed during the initial one or two semesters from the date of enrolment/pre-registration. In case a candidate fails, he/she may request another chance recommended by supervisor to Dean (Academic Affairs) to complete the course work within next six months with extra fee as applicable. After this any further chance may be granted by Vice Chancellor with extra fees as applicable.
- iii) As passing of pre-PhD Course Work is only an essential requirement for registration to the Ph.D. Programme of the University, no degree will be awarded to successful candidates in Ph.D. Course Work, only detailed mark sheet will be issued.

8.0 RESEARCH PROPOSAL & PhD REGISTRATION

Within 6 months after the successful completion of the prescribed course work, the candidate shall submit her/his research proposal/synopsis, giving problem statement, an outline of the research proposal including, topic of research/thesis, review of literature, aims and objectives, methodology, plan of work, and bibliography. The submitted synopsis shall be subjected to scrutiny, by a panel of external experts preferably within two-months. Candidate shall be required to give presentation of her/his research proposal before the DDRC, in which faculty of any other department may also be present.

In case,

- i) The presentation/research proposal is accepted without any modifications by DDRC, the candidate shall apply for PhD registration on a *prescribed performa*, and shall be assumed to be registered from the date of his submission of registration fee.
- ii) The presentation/research proposal is not approved / accepted, the candidate shall have to resubmit research synopsis afresh within six-months.
- iii) The committee desires some modifications in the submitted research proposal/Title for inclusion in the final thesis work; these shall be explicitly mentioned in the DDRC report with due intimation to candidate. Candidate shall submit this modified

Sardar Beant Singh State University PhD Regulations-2021

approved research proposal/synopsis within ten days and shall apply for PhD registration on a *prescribed Performa* and submit registration fees. A candidate shall be assumed to be registered for PhD from the date of her/his submission of PhD registration fee.

The research proposal has to be submitted within three semesters. In case of delay, permission for extension will have to be taken along with payment of extension fee as applicable at that time.

8.1 CANCELLATION OF ENROLLMENT/REGISTRATION

The enrolment/registration of the student will be cancelled, if,

- i) The candidate does not enroll for course work in the ongoing/immediately following semester (if admitted mid-semester) on her/his admission to PhD without specifying any reason.
- ii) The candidate fails to obtain the CGPA required to qualify the course work within the stipulated time (first two semesters of enrolment).
- iii. The progress of the candidate is found Unsatisfactory by the Supervisor and DDRC as per clause 9.0
- (iv). The candidate does not pay the fee/dues in time and even in extended period with late fee, as applicable.
- v. The candidate commits to plagiarism or unethical practices in research.
- vi. The candidate indulges in activities of indiscipline, and remains absent from the Department without permission of the competent authority.

9.0 REVIEW OF PROGRESS

- i) The student registered for PhD shall submit progress-report on the work done after every six months on *prescribed Performa* duly certified by Supervisor(s) and shall deliver open seminars before a DDRC or its subcommittee on the dates fixed by the concerned department with intimation to the office of Dean R&D, to apprise about the progress of her/his research, its evaluation and further guidance and to consider the feedback received, if any. The progress reports status shall be submitted to Dean (R&D) of University with a copy to the research scholar.

Sardar Beant Singh State University PhD Regulations-2021

- ii) In case the progress of the research scholar is unsatisfactory, the DDRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DDRC may recommend Dean (R&D) with specific reasons for cancellation of the registration of the research scholar.
- iii) The PhD student will maintain a complete record of research data collected or generated during the course of work and draft of the thesis.
- iv) In cases of non-receipt of two consecutive progress reports or two consecutive unsatisfactory reports or unethical practices in research committed by the student or misconduct by the student, the doctoral committee with Dean R&D in the chair, can recommend any action including cancellation of registration.

10.0 Ph.D DURATION

10.1 MINIMUM DURATION

No candidate shall be permitted to submit thesis for the PhD degree, unless (s) he has pursued research in the University for not less than thirty six months (Three years) from the date of enrolment.

10.2 MAXIMUM DURATION

The maximum period for the submission of PhD thesis shall be seventy two months (Six years) from the date of PhD enrollment.

10.3 EXTENSION OF DURATION

- i) Provided that in exceptional circumstances, the DDRC may recommend to the Dean R&D extension of the registration of the candidate for a maximum period of twelve months with applicable extension fees. If the candidate fails to submit thesis within the extended period her/his registration shall lapse automatically.
- ii) Any further extension shall be subject to the approval of the Vice-Chancellor who can give extensions of six months at a time.
- iii) The women candidates and Persons with Disability (more than 40% disability) shall be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition,

Sardar Beant Singh State University PhD Regulations-2021

the women candidates shall be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up 240 days.

11.0 ATTENDANCE AND LEAVE

- i) Full time PhD scholars shall be required to be present in the University. Their presence shall be duly recorded and maintained in the Department concerned, except on the days when s(he) is away from campus on duty/sanctioned leave. Absenteeism shall attract cut in fellowship/scholarship if any.
- ii) A PhD scholar cannot avail more than one month leave in a year. (15 on incidental accounts (20 for women candidates) + 15 on medical grounds). Leave not availed shall not be accumulated at the lapse of the year (31st December) except on medical grounds.

12.0 PRE-THESIS SYNOPSIS

When the Supervisor(s) is of the opinion that thesis is in the final stage of completion, including mandatory publication requirement as in clause 13.0, the candidate shall apply on prescribed Performa for the pre-thesis synopsis seminar on his research findings, at least three-months before the intended period of submission of thesis to the office of HOD through Supervisor, along with 10-copies of the final synopsis of the research work. The candidate shall be allowed to submit her/his thesis for the PhD degree only when the DDRC is satisfied about the work.

12.1 SEMINAR PRESENTATION

- i) The pre-thesis synopsis seminar shall be conducted within a month by the DDRC before an open audience. The attendance of all present shall be recorded. The seminar presentation will examine the candidate's research contribution and accomplishment of proposed research objectives. In case, DDRC makes certain comments/suggestions for improvement, the candidate needs to incorporate these suggestions in the thesis under the advice of the supervisor(s). The publications required as per clause 13.0 from the candidate shall be put before the DDRC for scrutiny. Topic of the Thesis, if

Sardar Beant Singh State University PhD Regulations-2021

need be, can be fine tuned and recorded formally within the broader perspective of the initially approved title and /or research proposal at this stage.

- ii) In case of successful pre-thesis seminar, Supervisor(s) shall also submit separately a panel of six reputed examiners, as per clause 14.0, from India (preferably from widely covered geographical areas/ different states) and three from outside India from reputed Indian and Foreign Institutes/Universities respectively along with their research profile. Examiners' list can be supplemented by DDRC for thorough, impartial and unbiased evaluation of the work.
- iii) A formal report on a *prescribed Performa* in this regard, along-with extended abstract of Thesis (soft copy (pdf format) + 04 hard copies), proof of research publications/acceptance, and recommended panel of examiners shall be submitted to the office of Dean R&D in confidential. The gist of the extended abstract should match with the approved research proposal.

12.2 UNSATISFACTORY SEMINAR

In case, DDRC is not satisfied with the contributions made towards approved research objectives, the candidate will have to appear again, with applicable re-submission fee, if any, for the pre-thesis synopsis seminar within a period of twelve months at the most though keeping in view the maximum PhD duration.

13.0 MANDATORY PUBLICATION

Before the submission of thesis, candidate shall have to publish at least two research papers in referred Journals of repute and make two paper presentations in conferences/seminars and shall produce evidence for the same or the reprint of the papers before the DDRC for adjudication at the time of pre- Thesis Seminar presentation. Out of the two referred Journals, at least one research paper must be in peer reviewed International Journal included in SCI/SCIE and other in a journal indexed in SCOPUS. The publications of PhD candidate should be as first author and the affiliation of the University is must on these publications.

14.0 EXAMINER'S ELIGIBILITY

Sardar Beant Singh State University PhD Regulations-2021

Examiners need to be from the broad area of candidate's research work, and preferably whose work is referred by the candidate in her/his thesis. Research person working in the laboratory(s)/ Institution(s) where the research candidate or supervisor(s) from outside the institution, if any, is employed, cannot, however, appear in the panel of examiners.

Any person related to the candidate or supervisor(s) should not appear in the panel of examiners (to be declared by the Supervisor(s) while submitting the panel before DDRC).

The examiners from India must be at the level of Professors and those outside India must be at the level of Professor or Associate Professor or equivalent.

14.1 BOARD OF EXAMINERS

On receipt of the recommendation of DDRC for successful pre-Thesis seminar along with extended abstract and panel of examiners, Dean R&D will get approval from VICE CHANCELLOR to appoint three external examiners (two from within India and one from abroad) out of which one must be from the panel submitted.

In case the candidate has three or more SCI/SCIE Journal publications, the third examiner can also be from India and the condition of panel of examiners from abroad will be waived off.

Vice Chancellor shall be free to select the other examiners either from on her/his own initiative guided by the references or from the submitted panel. The PhD thesis submitted by the candidate shall be examined by the three external examiners while the Supervisor(s) shall be the internal examiner(s). The consent of appointed external examiners shall be sought electronically by the office of Dean R&D on the basis of extended abstract submitted by the candidate.

15.0 SUBMISSION OF SOFT-BOUND THESIS FOR EVALUATION

Following the successful pre-thesis Seminar presentation as per clause 12.0, within three months, the research candidate shall submit four-copies of the thesis in a soft bound form or with a soft cover (additional copies depending upon number of Co-supervisors), as per the University guidelines in regards to thesis format, and also a soft copy (pdf file) on a CD/electronic device. One copy each is for office record, for foreign examiner, for Indian examiners and for Supervisor(s).

15.1 THESIS REQUIREMENTS

Sardar Beant Singh State University PhD Regulations-2021

- i) The PhD thesis submitted by the candidate shall satisfy the requirement that it is a research work characterized by either the discovery of new facts or by fresh interpretation of facts or theories, or development of innovative technique, product, idea or technologies. It should reveal the candidate's capacity for critical examination, original thinking and critical judgment. Its literary presentation should also be satisfactory.
- ii) The thesis shall include a certificate from the Supervisor(s) and a declaration from the candidate that it incorporates the candidate's bonafide research work and it has not been submitted for award of any other degree to this or to any other University or any institute of learning. In addition, the work of other researchers wherever referred is properly cited and fully acknowledged.
- iii) Before submission of the Thesis, it shall have to pass through the anti plagiarism software test available with the University at that time.
- iv) The application for the submission of the thesis shall be forwarded by the HOD to the office of Dean R&D, only after the satisfactory anti-plagiarism test report recommended by Supervisor is enclosed with it.

16.0 THESIS EVALUATION

Examiners in the approved board of examiners will examine the thesis individually with a view to judge the suitability of the thesis as a piece of research work worth awarding PhD. Each examiner will send detailed comments on the research work to the office of Dean R&D, along with a clear recommendation on the *prescribed Performa* stating one of the following:

- A. The thesis is **SATISFACTORY** and **RECOMMENDED** for the award of PhD, or
- B. The thesis is **RECOMMENDED** for the award of PhD Degree subject to **SATISFACTORY ORAL DEFENCE** if the candidate gives satisfactory answers to queries specifically mentioned in the report, or
- C. The thesis is recommended for the award of PhD Degree subject to the candidate makes **REVISIONS** in the thesis as per suggestions made and these are **SATISFACTORILY PRESENTED DURING ORAL DEFENCE**, or
- D. The thesis needs **RESUBMISSION** in the **REVISED FORM**, as per suggestions made and the thesis be sent **FOR RE-EVALUATION**, or
- E. The thesis is **REJECTED**.

Sardar Beant Singh State University PhD Regulations-2021

Reports received from all the examiners (Internal & External) shall be opened simultaneously by Dean R&D, and on the basis of the recommendations of the examiners will take one of the following actions.

16.1 DECISION ON EVALUATION REPORTS

- i) In case, examiners are unanimous in recommending the award of the degree on the basis of the thesis without any modification (as per clause 16.0 (A) or (B) or (A) and (B)), their recommendation shall be accepted and the process for oral defence shall be initiated as per clause 17.0.
- ii) In case, reports received from the external examiners are contradictory, a Decision Proposing Committee (hereafter called DPC) comprising of Dean R&D, Supervisor(s), two senior Professor level faculties from allied areas (may or may not be from DDRC) shall be constituted by the VICE CHANCELLOR to recommend the further course of action.
- iii) In case DPC observes any ambiguity in recommendations made by the examiner(s), Dean R&D will approach the examiner(s) for a clear recommendation. In case, clear recommendation is not forthcoming, the matter may be referred to VICE CHANCELLOR by the DPC proposing further course of action for decision. The decision of VICE CHANCELLOR shall be final and binding.
- iv) In the event of any examiner making recommendation for the revision of the thesis (clause 16.0 (C) or (D)), then on the recommendation of DPC, candidate shall be free to defend her/his point of view forwarded by Supervisor, through Dean R&D within one month from the date the communication. However, if the examiner is not satisfied with the student's defence, the candidate shall be required to carry out necessary revisions as finally suggested by the examiner within one year (subjected to clause 10.0) from date of communication to the candidate.
 - In case, examiner suggesting revision also states that the revised thesis need not be sent again (clause 16.0 (C)), the revised thesis will not be sent to the examiner. However, the Supervisor(s) shall certify that the comments have been incorporated, before the viva-voce examination.
 - In case, examiner suggesting revision states that the revised thesis be sent again (clause 16.0 (D)), the re-submitted thesis shall be sent again, on an

Sardar Beant Singh State University PhD Regulations-2021

additional payment of prescribed thesis resubmission fee, and will be examined by the same examiner who has recommended re-submission unless examiner is unable to do so or declines to do so.

- v) In the event of one/two of the examiners recommending award of the degree (clause 16.0 (A) or (B)) and the other examiner/s recommending rejection (clause 16.0(E)) of the thesis, then on the recommendation of DPC, student shall be free to defend her/his point of view (forwarded by Supervisor) through Dean R&D within one-month from the date of communication. In case the deadlock continues to prevail, the DPC may propose further action to VICE CHANCELLOR based upon its observations on the reports received. The recommendations of the VICE CHANCELLOR shall be final. This procedure shall also be followed if the examiner who has suggested revision/modification rejects the revised thesis.
- (vi) In case, all the external examiners reject the thesis, then on the recommendation of the DPC, the VICE CHANCELLOR may permit submission of a revised thesis on an additional payment of the prescribed thesis resubmission fee, after a suitable time frame to be fixed by DPC (subjected to clause 10.0 of maximum PhD duration). The observations and comments of the examiners, if any, may be copied and given to the candidate through supervisor on request. In no-case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for assessment to the examiners selected from a new panel of experts recommended by the DDRC. In case, a majority of experts reject revised thesis again the thesis will stand rejected.

16.2 DISPUTE REDRESSAL

Any doubt arising out of following the procedure laid down in this clause and otherwise shall be referred to VICE CHANCELLOR for a decision. The decision of VICE CHANCELLOR shall be final and binding.

16.3 TIME PERIOD FOR RESUBMISSION

The candidate, who is required to re-submit the thesis, must do so within one year from the date of receipt of the examiner's comments by the University. Under no circumstances the total time period shall exceed the PhD duration as per clause 10.0. Candidate shall have to pay the Thesis Re-submission fee as applicable.

Sardar Beant Singh State University PhD Regulations-2021

17.0 ORAL THESIS DEFENCE

Once the reports of the examiners have been accepted as satisfactory, the case file of the candidate shall be put before the VICE CHANCELLOR for deputing the external examiner for the Oral Defence Committee (ODC) that shall be comprising of Supervisor(s), one of the external examiners (normally from India), Dean R&D and the HOD. The candidate will have to defend the thesis before the ODC. The defense of the thesis shall be in the form of an open viva-voce conducted in the University on a working day. The attendance shall have to be recorded. Viva-voce exam will be widely notified and coordinated by the Dean R&D at least three working days in advance.

- i) In case of clause 16.0 (C) of thesis evaluation, the Supervisor(s) shall certify that the comments have been incorporated in the thesis, before the viva-voce examination.
- ii) In case, the external examiner is unable to conduct the viva-voce, a set of questions would be obtained from her/him by Dean R&D and viva-voce will be conducted by an examiner (within or outside the University having knowledge in the area of Thesis) to be appointed by the VICE CHANCELLOR on the recommendation of Dean R&D.

17.1 NON-SATISFACTORY DEFENCE

If the ODC is not satisfied with the defence, the candidate will have to appear again before the board within the next three months. Further, if the ODC suggest certain modifications/alterations to be done in final thesis submission, it shall be duly recorded in the report and supervisor shall certify their incorporation before final thesis submission.

17.2 THESIS DEFENCE REPORT

The report about the performance of the student in the viva-voce shall be recorded in the Performa by the Supervisor(s) and the external examiner only. Further, if the thesis is suitable for publication by the University in the form of a book, it will be explicitly mentioned in the report with suggested modifications, if any.

17.3 EXAMINERS' REMUNERATION

Sardar Beant Singh State University PhD Regulations-2021

Remuneration to examiners for Thesis evaluation and re-evaluation and viva-voce examination shall be paid as approved from time to time.

18.0 FINAL HARD-BOUND THESIS SUBMISSION

After the successful completion of oral defence, the candidate is required to make all the changes suggested by the examiners of ODC, if any.

- i) The final submission of thesis shall be in hard bound form with colour and format as specified by the University, incorporating all the changes in the thesis. The number of copies submitted shall be two more than the number of supervisor(s). One copy each is for University Central Library, Departmental Library and for Supervisor(s).
- ii) The candidate's declaration page as prescribed by University in the final thesis will have the signature of the candidate, Supervisor(s), external examiner, Dean R&D and HOD. The Supervisor will take the signature of all the members of Oral Defence Committee on required number of sheets at the time of viva-voce examination to be placed in the final thesis.
- iii) Before signing the thesis in the hard bound form, the Supervisor(s) will certify that the candidate has made all the changes as suggested by the examiners.
- (iv) The candidate shall submit one copy of final thesis meant for Central Library, synopsis of the thesis, 'No Dues' certificate and an electronic copy of final thesis on a CD/Electronic Device through Supervisor(s) to HOD, who shall forward the same along with the ODC report recommending award of the PhD degree to the office of Dean R&D for approval by the Vice Chancellor/ competent authority and to grant provisional degree and certification in regards to- Degree being awarded is as per the UGC (Minimum Standards and Procedure for Award of M.Phil / Ph.D Degree) Regulation, 2016, - by the academic section.

19.0 AWARD OF PhD DEGREE

The Degree of PhD shall be awarded by the Academic Council of the SBSSU, Gurdaspur provided that:

- i) The Oral Defence Committee so recommends;
- ii) The candidate produces a 'No dues Certificate' in the prescribed form.

Sardar Beant Singh State University PhD Regulations-2021

- iii) The candidate has submitted one soft and two hard cover copies of the thesis; one for the Department Library and the other for the Central Library. The Thesis should incorporate all necessary corrections/ modifications listed by the Oral Defence Committee (ODC).

20.0 DEPOSITORY WITH UGC

Following the successful completion of the evaluation process and announcements of the award of PhD, the University shall submit a soft copy of the PhD thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/ Universities. This shall be mandatory for all research students.

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

21.0 INTERPRETATION

Any doubt or dispute about the interpretation of these Regulations shall be referred to the University Research Board (URB) with VICE CHANCELLOR as Chairperson, whose decisions shall be final. Any interim decision taken by VICE CHANCELLOR shall have to be ratified by the URB/Academic council in the next meeting.

Note: This incorporates all the provisions contained in UGC (Minimum Standards and Procedure for Award of MPhil/Ph.D Degree) Regulation, 2016.

Students admitted under the UGC (Minimum Standards and Procedure for Award of Ph.D. degree) regulations, 2016, shall be treated to be registered as per the amended rules as applicable from time to time.

Sardar Beant Singh State University PhD Regulations-2021

ANNEXURE I

COMPOSITION AND RESPONSIBILITIES OF Ph.D. RELATED COMMITTEES

A) UNIVERSITY RESEARCH BOARD (URB)

University Research Board (URB) shall be the highest research body of the University for Monitoring, Modifying, Interpreting and Arbitrating on any kind of dispute pertaining to University PhD regulations. In addition, this body shall be competent to propose and issue amendments/addendum to these regulations as per the need and to comply with UGC regulations from time to time.

URB shall be the final decision making body-

- a. For any doubt or dispute about the interpretation of these Regulations
- b. For any other Research related issue referred to it by the competent authority.
- c. To modify/clarify/issue addendum to these regulations, if required at any time.

Composition of University Research Board (URB)

- a) Vice-Chancellor, Chairperson
- b) Dean of various Faculties, Member
- c) Dean Academic Affairs, Member
- d) All Heads of Departments of the University offering PhD course, Member
- e) Dean R&D, Member-Secretary

B) DEPARTMENT DOCTORAL RESEARCH COMMITTEE (DDRC)

Every department offering PhD programme shall have a DDRC to be approved by VICE CHANCELLOR through Dean R&D to take care of all administrative and technical matters pertaining to PhD program of candidates admitted in the Department for Research Programme leading to Ph.D. degree.

DDRC or its sub-committees, as applicable for a given purpose, shall be responsible-

1. For the evaluation of PhD entrance test pertaining to concerned discipline, with the aim to shortlist candidates to appear for subsequent interview to fill up the available research slots in the respective Department.

Sardar Beant Singh State University PhD Regulations-2021

2. For PhD admissions in their respective Departments as per these Regulations and to conduct interviews to ascertain candidates' research area, interest, and preparedness before admitting them to the programme
3. For recommending Supervisor/ Co-supervisor and course-work in accordance with the approved procedure of PhD admission of the University.
4. For critically scrutinizing the research proposal submitted by the candidate, after the successful completion of pre-PhD course-work and open presentation made thereafter by the candidate, before recommending her/his name for confirmation of registration for PhD thesis work.
5. For scrutinizing the progress report submitted by the candidate and to monitor the candidate's research progress through open presentations after every 6-month and may recommend suggestive measures, if any, to improve the candidate's research work. A formal report of such meetings shall be submitted to the office of Dean R&D and a copy shall be retained by Supervisor(s) and concerned HOD.
6. For scrutinizing and critically analyzing the pre-thesis synopsis, other mandatory requirements as per approved PhD regulations, and shall conduct an open seminar of the candidate before recommending the Thesis submission process.
7. For recommending the names of the examiners proposed by Supervisor (s), for the purpose of getting the thesis evaluated in an impartial, unbiased and thorough manner.
8. For any other administrative matter pertaining to candidates' PhD program as specified in PhD regulations.
9. For any other PhD related work as assigned to it by the competent authority.

Composition of the DDRC in each Department shall be as follows-

Sardar Beant Singh State University PhD Regulations-2021

Composition of the Department Doctoral Research Committee (DDRC) (All members need to be PhD)		
1	Dean of concerned faculty / HOD (if PhD)/ Any professor from the same or allied discipline nominated by Vice Chancellor	Chairperson (Ex -officio)
2	One faculty member from outside the Department (To be nominated by Dean R&D for a period of two years)	Member
3	Maximum Four faculty members in the concerned department on rotation basis every two year to be nominated by HOD	Member
4	Supervisor (s)	Convener/Member
5	One outside expert (as per (i)) To be nominated by Dean R&D from a panel of three proposed by HOD.	Member

- i) Out of the five members of DDRC as listed above, four shall form the quorum including outside expert. Presence of outside expert is must and required only at the time of initial research proposal presentation and Pre-Thesis synopsis presentation. For all other functions of DDRC (except initial research proposal presentation and Pre-Thesis synopsis presentation), out of 4 members, three shall form the quorum and outside expert will not be part of the proceedings. The members at Sr. No. 3 and 4 will be considered one member for quorum and voting.
- ii) Supervisor cannot be the Chairperson of the DDRC of her/his own candidate
- iii) In the event of absence/non-availability of Chairperson, senior most faculty member may act as the Chairperson of DDRC.
- iv) In the event of absence/non-availability of outside expert, Dean (R&D) allow another faculty member to act as the faculty member from outside the Department
- iv) DDRC meetings, at the time of initial research proposal, final pre-thesis synopsis presentation, and oral thesis defence shall normally be held at SBSSU, Gurdaspur.

Sardar Beant Singh State University PhD Regulations-2021

ANNEXURE II

Ph.D. COURSE WORK

Absolute grading system will be followed for students of Ph. D Course work and seminar as applicable under the SBSSU academic regulations. In order to qualify the course work for PhD registration, student has to obtain at least 'E' grade in all individual subjects and over all CGPA equivalent to 6.0 or above. The back conversion of SGPA or CGPA to percent score will be multiplication of SGPA or CGPA by 10.

The details of Absolute Grading system are as under:

Letter Grade	Grade Point	Marks Obtained (%age)
O (Outstanding)	10	≥ 90
A+(Excellent)	9	$80 \leq j < 90$
A(Very Good)	8	$70 \leq j < 80$
B+(Good)	7	$60 \leq j < 70$
B(Above Average)	6	$50 \leq j < 60$
C(Average)	5	$45 \leq j < 50$
P (Pass)	4	$40 \leq j < 45$
F(Fail)	0	< 40
Ab (Absent)	0	Absent
R	0	Detained (Candidate has to repeat the subject by attending classes of the concerned course or he/she can opt another subject in lieu of such by taking approval from supervisor and DDRC)

Thesis

A student registered for Ph.D. will have to undertake thesis work spread over the entire period of registration of the Ph.D. The grade awarded for thesis work will be "S" or "U". A student will start working on the topic of his/her research right from the date of enrolment/pre-registration.

Fees:

The students registered for PhD shall pay fees for course work and other related semesters as per the applicable rules of the University from time to time.
