

# **STANDARDS AND PROCEDURE FOR AWARD OF PH.D DEGREE REGULATIONS**

**(To be effective from Academic Year 2020-21)**



**SARDAR BHAGWAN SINGH UNIVERSITY**  
**BALAWALA, DEHRADUN 248001, UTTARAKHAND, INDIA**

## **1. PREAMBLE**

1.1. The Doctor of Philosophy (Ph.D.) degree of Sardar Bhagwan Singh University is conferred to a candidate who successfully completes the prescribed course work and meets with other conditions laid down by the University.

1.2. Standards and Procedure for Award of Ph.D Degrees Regulations 2020 have been framed to comply with University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and its subsequent amendments.

1.3. Any further amendment in UGC regulations for Ph.D. degrees will be incorporated into Standards and Procedure for the Award of Ph.D. Degrees Regulations of Sardar Bhagwan Singh University.

1.4. The Regulations framed are subject to modifications from time to time as recommended by the RDC and approved by the Academic Council of SBS University.

1.5. These regulations shall come into effect from October 2020.

## **2. ELIGIBILITY CRITERIA FOR ADMISSION TO PH.D.PROGRAMME**

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

2.1. Master's Degree or a professional degree 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 the UGC 7- point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

2.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their master's degree prior to 19<sup>th</sup> September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

2.3. 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, will be eligible for admission to Ph.D. programme.

2.4. A candidate who has not completed Master's degree, may be allowed to appear for entrance test and interview for the Ph.D. programme. However, such candidates shall submit his/her master's degree completion certificate/results before confirmation of provisional registration.

### **3. DURATION OF THE PROGRAMME**

3.1. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

3.2. Extension beyond the above limits on the recommendation of the Vice Chancellor will be considered by the Chancellor in exceptional circumstances.

3.3. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

### **4. PROCEDURE FOR ADMISSION AND ALLOCATION OF SUPERVISOR**

4.1. The admission to Ph.D. programme will be through an entrance test conducted in the university. The entrance test may be waived for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/ICAR AICE (JRF/SRF)/SLET/GATE/ /GPAT/DBT JRF/ICMR JRF/teacher fellowship holder. However, all candidates have to fill the admission-cum entrance test forms and pay the requisite fee.

4.2. The university will decide on an annual basis through its academic body a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio, laboratory, library and such other facilities.

4.3. The university will notify well in advance on its website [www.sbsuniversity.edu.in](http://www.sbsuniversity.edu.in) and through advertisement in at least two (2) national

newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.

4.4. The university will admit candidates by a two stage process through:

4.4.1 An entrance test shall be qualified with 50% marks. The syllabus of the entrance test shall consist of 50% of research methodology and 50% shall be subject specific. The duration of entrance test shall be 2 hours and only multiple choice questions (MCQs) shall be asked in the question paper. The entrance test shall be conducted at the university; and provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (non-creamy layers)/differently-abled category in the entrance examination conducted by the University.

4.4.2 An interview/viva-voce to be organized by the university when the candidates are required to discuss their research interest/area through a presentation before a duly constituted DRC.

4.4.3. The interview/viva voce shall also consider the following aspects, viz., whether:

4.4.3.1. the candidate possesses the competence for the proposed research;

4.4.3.2. the research work can be suitably undertaken at the Institution/College;

4.4.3.3. the proposed area of research can contribute to new/additional knowledge.

4.5. Criterion of selection of Ph.D candidates shall have 70% credit to the Entrance Test and 30% to Interview/viva-voce.

4.6. A candidate qualifying Ph.D. entrance test and interview shall be allowed for provisional Ph.D. registration within one year.

4.6. Reservations are applicable as per norms of the University.

4.7. Candidate qualifying the entrance test shall have to appear in an interview. The interview board shall be constituted by the Registrar:

4.8. The allocation of Department/Supervisor/Co-Supervisor (where ever applicable) for selected candidate shall be decided by the DRC in consultation with the respective Department/Supervisor/Co-Supevisor depending on the permissible number of candidates per supervisor, specialization of supervisor and area of research interest of the candidate. Candidates called for interview/viva voce shall submit the prescribed Admission Form for Ph.D. Programme (Form II) available on the SBSU website [www.sbsuniversity.edu.in](http://www.sbsuniversity.edu.in) with related documents to the admission cell of SBSU.

Provisional Registration

i. The duly filled Admission Form for Ph.D. Programme (Form II) shall be submitted to the to the Admission Cell of SBSU. Admission cell shall forward all such applications to respective DRC of the Department for verification.

ii. An Interview Board shall finalize provisional admissions and intimate list of successful candidates to DRCs of Schools/Departments.

iii. The Provisional registered candidates shall be notified along with the schedule of the Ph.D. programme by the Admission Cell with copies to DRC and RDC.

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

## **5. RECOGNITION AND ALLOCATION OF RESEARCH SUPERVISOR**

5.1. Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree, at least two research publications in refereed journals and 3 years of postdoctoral research experience may be recognized as Research Supervisor.

A person shall be recognized as a supervisor in Physiotherapy, if he/she possesses a postgraduate degree with 10 years of teaching/research/professional experience in an approved institution.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

A full-time regular teacher shall apply for recognition by duly submitting the Ph.D., Supervisor Recognition Application Form (Form III) which is available in the SBSU website [www.sbsuniversity.edu.in](http://www.sbsuniversity.edu.in)

The list of recognized supervisor is furnished in the SBSU website at [www.sbsuniversity.edu.in](http://www.sbsuniversity.edu.in). Change of supervisors shall be considered only under special circumstances with the approval of the Vice Chancellor.

5.2. Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same university or from other related institutions with the approval of the Research Advisory Committee.

5.3. The allocation of Research Supervisor for a selected research scholar will be decided by the Department concerned depending on the number of scholars per

Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

5.4. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

5.5. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

5.6. In case of relocation of a 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.

## **6. RECOGNITION AND ALLOCATION OF RESEARCH CO-SUPERVISOR**

6.1 A Faculty member working in a department of SBS University or an Institution Approved as Research Center of SBS University is eligible to be recognized as a co-supervisor for the Ph.D. research program.

6.2. The applicant for registration as a co-supervisor shall apply to SBSU by duly filling the Form III of the Ph.D. Regulations and submitting all the required enclosures through proper channel.

6.3. A person shall be recognized as a co-supervisor in any faculty, if he/ she possesses a Ph.D. degree. A person shall be recognized as a co-supervisor in Physiotherapy, if he/she possesses a postgraduate degree with 10 years of teaching/research/professional experience in an approved institution.

6.4. The approved co-supervisor shall submit his/her consent letter while accepting the request of the candidate to officiate as co-supervise for his/her research leading to the award of Ph.D., Degree.

6.5. The faculty member registered and recognized as a co-supervisor by this University is eligible to become a supervisor after satisfying all the rules and regulations of the SBSU.

6.6. For recognition of Supervisor and Co-Supervisor, the applicant shall submit the details in the prescribed form (Form -III).

## **7. RELOCATION OF PH.D. SCHOLAR/SUPERVISOR**

7.1. In case of relocation of a female Ph.D. scholar due to her 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 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 shall, however, give due credit to the parent guide and the institution for the part of research already done.

However, in such cases where a teacher is retiring or leaving and where redistribution/reallocation of the Ph.D. students is required for the abovementioned or any other reason, the Ph. D. students shall be adjusted among the eligible existing teachers of the department by relaxing the norms by the RDC. However, in such cases where the teacher is retiring (two years or less of service is remaining) appointment of a Co-Supervisor on the recommendations of the DRC at the time of registration may be done by the RDC.

## **8. RECOGNISED DEPARTMENTS / INSTITUTIONS**

8.1 Departments / Institutions seeking approval / recognition to research program shall apply to the SBSU.

8.2. They shall submit the duly filled form (Form IV) along with supporting documentary evidences showing the possession of required facilities for the conduct of Ph.D., research program in their departments.

8.3. The Medical/Dental/Pharmacy/ other departments seeking the recognition of the departments shall have the facilities according to the needs of the research

8.4. The application of the Department/ Institution, if found satisfactory, shall be placed before the BORS/RDC for its scrutiny for placing its recommendations to the Vice Chancellor for approval.

8.5. The Department recognized for doing Ph.D., shall be reviewed once in 5 years

## **9. COURSE WORK AND ATTENDANCE REQUIREMENTS**

9.1 The credits assigned to the Ph.D. course work are 16 credits.

9.2. Candidate shall appear for the Course Work Examination after completion of 6/12 months and not exceeding 18 months from the date of provisional registration.

9.3. All courses prescribed for Ph.D. course work will be in conformity with the credit hour instructional requirement and will specify content, instructional and assessment methods. They will be duly approved by the authorized academic bodies.

9.4. The Department where the scholar pursues his/her research will prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee.

9.5 Course work includes the following courses:

Course Code	Course	Credit Points	Hours/Week	Marks
PHDC 711	Core Course 1: Research Methodology	4	4	100
PHDC 712	Core Course 2: Research and Publication Ethics	2	2	50
PHDC 713 A/B/C/D	Elective 1: Interdisciplinary: A. Computer Applications / B. Advanced Writing & Presentation Skills / C. IPR/ D. Others <sup>@</sup>	2	2	50
PHDC 714	Elective 2: Subject in the Field of Discipline <sup>§</sup>	4	4	100
PHDC 721	Elective 3: Selected Field / Subject of Research <sup>^</sup>	4	4	100

<sup>§</sup> Supervised Self Study [05 Seminars, 05 Assignments, 01 Problem Solving Class/Week (n=15); All these under the supervision of Approved Supervisor/Co-supervisor]

<sup>@</sup> Supervised Self Study [03 Seminars, 03 Assignments, 01 Problem Solving Class/Two Week (n=8); All these under the supervision of Approved Supervisor/Co-supervisor]

<sup>#</sup> As allocated by the Director/Head/Incharge/Coordinator of the University/Approved Research Center

<sup>^</sup> Require approval of DRC for selection of course.

9.6. Grades in the course work and semesters shall be computed by COE after successful completion of each semester examination and communicated RAC, DRC and RDC.

9.7. A Ph.D. scholar has to obtain a minimum of 55% of marks in the course work in each course and aggregate in order to be eligible to continue in the programme, confirmation of registration and submit the thesis.

9.8. Candidates appearing as regular students for the examination of any subject of the course work shall be required to attend at least 75% of lectures delivered and of the practical held, provided that a short fall in attendance upto 10% and 5% can be



condoned by the Head of the Department and Vice Chancellor of SBSU, respectively, for satisfactory reasons. If a candidate is in service, then such candidate shall be required to submit certificate of leaves availed from his/her employer, to justify attendance in the research center for the duration of course work.

9.9. After successfully completion of the course work the candidate shall be required to put in at least 240 days of attendance in the research center with the supervisor/Co-supervisor. The relevant declaration by the candidate and the certificate of the supervisor in the format prescribed by the University must be given at the time of thesis submission.

## 10. COMPREHESIVE EXAMINATION

10.1. Comprehensive examination includes examinations of courses PHDR 722, PHDR 723 & PHDR 724 & PHDL 725.

Course Code	Course	Credit Points	Hours/Week	Marks
PHDR 722	Literature Review for Research Work*	2	2	50
PHDR 723	Research Proposal*	2	2	50
PHDR 724	Open State of the Art Seminar and Research Proposal Defence*	2	2	50
PHDL 725	Laboratory/Field Techniques*	6	12	150

\* Under Supervision of an Approved Supervisor/Co-supervisor

10.2. Evaluation of Research Proposal & Open State of the Art Seminar and Research Proposal Defense (50+50=100 marks)

The following points must be assessed during the presentation and VIVA VOCE and credited accordingly i. Quality of Literature Review and Novelty in the topic finalized for the Ph.D. work.

ii. Critical analysis of scientific literature

iii. Relevance to the specialization

iv. Understanding of the topic

v. Quality of Written and Oral presentation.

10.3. The Viva voce shall be conducted within one month after submission of Research Proposal. Further details regarding Ph.D. course work are available in - Course Work, Examination Scheme and Syllabus - July 2020-2021.

**11. UNSUCCESSFUL COURSE WORK /COMPREHENSIVE EXAMINATION**

11.1. In case a candidate is not successful in the Course work/ Comprehensive Examination in the first attempt, the candidate shall reappear in the subsequent examinations. If successful, the provisional registration shall be confirmed.

11.2 A candidate shall appear for the re-examination, after payment of re-examination fee, if he/she has failed in any of the courses of Semester 1 and Semester 2, a maximum of two reexamination attempts are permitted.

11.3. A candidate who is unsuccessful even after re-examination shall not be permitted to continue and his/her provisional registration shall be cancelled.

11.4. The candidate must successfully complete course work/ comprehensive examination before submission of pre-thesis.

**12. CONFIRMATION OF PROVISIONAL REGISTRATION**

12.1. The provisional registration of a successful candidate shall be confirmed by the RDC on the receipt of the result of Course Work & Comprehensive Examination, duly approved by the Vice Chancellor.

12.2. Intimation regarding confirmation of provisional registration shall be communicated to the candidate through the supervisor with a copy to the co-supervisor, if any.

**13. SUBMISSION OF RESEARCH WORK REPORT**

13.1. After provisional registration, each Ph.D. candidate shall submit the semester research work reports regularly in the prescribed form (Form V) through the RAC & DRC to the Controller of Examinations as per the schedule issued along with the provisional/confirmed registration notification.

13.2. Research Work Seminar Exam shall be conducted only for such candidates who have submitted Semester Research Work Report in stipulated time.

13.3. If a candidate has not submitted two consecutive Research Work Reports and not appeared in two end semester Research Work Seminar, such candidate shall seek re-registration to the Ph.D, programme after payment of prescribed fee.

#### **14. FEE STRUCTURE**

As prescribed by the SBSU from time to time. Fee structure shall be displayed on the University Website.

#### **15. SUBMISSION OF PRE-THESIS**

15.1 The pre-thesis shall be recommended by the DRC before submission.

15.2. Pre-thesis shall be submitted through the supervisor on the prescribed date mentioned in the provisional/confirmed registration confirmation letter. The title of the thesis mentioned in the pre-thesis is the final title and the same title shall be maintained in the thesis.

15.3. Four copies of the pre-thesis, along with a soft copy in CD, shall be submitted with the prescribed fees, necessary documents, application form (Form VI) duly filled and signed by the candidate, supervisor and routed through DRC.

15.4. The pre-thesis shall be submitted as per the guidelines/formatting instructions of SBSU.

15.5. Prior to the submission of the thesis, the Ph.D. scholar shall make a presentation in the Department before the Research Advisory Committee of the University which will also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the Research Advisory Committee.

#### **16. FORMATTING OF THESIS**

16.1. The thesis shall be submitted by the candidate as per the SBSU Guidelines for formatting Ph.D. thesis which is available in the SBSU website [www.sbsuniversity.edu.in](http://www.sbsuniversity.edu.in).

#### **17. SUBMISSION OF THESIS**

17.1. Upon satisfactory completion of course work, and obtaining the prescribed marks, Ph.D. scholar will be required to undertake research work and produce a draft

thesis within a reasonable time, as stipulated by the university based on these Regulations.

17.2. Ph.D. scholars must publish at least one research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication and produce evidence for the same in the form of presentation certificates and/or reprints

17.3. Thesis shall be submitted within three months from the date of submission of pre-thesis.

17.4. Thesis shall be prepared as per SBSU guidelines for formatting Ph.D. thesis.

17.4. Prior to the submission of the thesis the research scholar shall have a plagiarism check and a certificate of plagiarism check shall be obtained from the Departmental Academic Integrity Panel (DAIP) as per the ANTI PLAGIARISM POLICY of SBSU.

## **18. EXTENSION OF TIME FOR SUBMISSION OF PRE-THESIS/THESIS**

18.1. Extension of time beyond the prescribed period shall be considered and granted for genuine reasons, if adequately substantiated.

18.2. Applications for extension of time with adequate justifications should be signed and forwarded by the supervisor and submitted to RDC through DRC before the expiry of the period prescribed for the submission of the pre-thesis/thesis.

18.3. The registration of a candidate, who is not able to submit his/ her thesis on or before prescribed time with extension, may be permitted for re-registration.

## **19. EVALUATION OF THESIS**

19.1. Ph.D. Examiners.

- a) Panel of examiners shall be suggested by the supervisor/co-supervisor.
- b) Composition of panel: Minimum five evaluator panel not below the rank of Assistant professor with 5 years of teaching and research experience in University/research institute.
- c) A panel of external examiners shall be recommended by the DRC at the time of Pre-Thesis submission in a confidential cover addressed to the Controller of Examinations by name in the prescribed format. (Form- VII)
- d) Controller of Examinations shall get the panel approved by the Vice Chancellor.

### 19.2. Evaluation of Thesis

- a) The Vice Chancellor shall appoint three members (one supervisor and two external evaluators) as Board of Examiners.
- b) The Examiners shall submit the evaluation report within three months from the date of receipt of the thesis if not, a reminder may be sent by the Controller of Examinations. The examiners shall send their evaluation report to the Controller of Examinations by name.
- c) If the report is not received by the Controller of Examinations from an examiner in the prescribed time, the thesis may be referred to next examiner of the same category.
- d) If two of the examiners commend the thesis and the third examiner does not commend, the Vice Chancellor may refer the thesis to another external examiner.
- e) The Controller of Examinations shall submit the evaluated reports to the guide for a consolidation of reports which shall include the salient features of the thesis made by the individual examiners and suggestions.

### 19.3 Rejected Thesis

- a) If the thesis is not commended by at least two examiners after the processes mentioned in section 19.2 then shall be sent for evaluation to two other examiners from the approved panel.
- b) If the thesis is not commended by at least two examiners out of total five examiners, then it is considered that the thesis is deemed as rejected.
- b) The candidate can resubmit the thesis for the second time considering the suggestions of the examiners/additional research work within six months to a maximum of one year.
- c) The resubmission of the thesis with the prescribed fee to the Controller of Examinations office and the supervisor should submit a fresh panel of examiners.

### 19.4. Open Thesis Defense

- a) A candidate whose thesis is commended by the Board of Examiners shall appear for a Open Thesis Defense.
- b) The Open Thesis Defense shall be conducted by a panel of examiners consisting of the guide who shall be the convener and one external examiner who has already evaluated the thesis or if not available then, a fresh panel submitted by the guide for conducting viva voce only. If for any reason the supervisor is unable to conduct the public viva voce examination, COE will appoint a suitable examiner from the DRC.

- c) The Open Thesis Defense is open to all and shall be conducted in the same institution normally
- d) If for any reason, the supervisor is unable to conduct the viva voce examination even two months after approval of the consolidated report on the Ph.D. thesis by the SBSU and after the appointment of the viva voce examiner, the COE shall make alternate arrangements for the same.
- e) All clarifications / questions / suggestions made by the examiners who have evaluated the thesis shall be addressed by the panel of examiners to the candidate to answer and defend his / her thesis.
- f) The convener along with the external examiners shall submit a report to the Controller of Examinations with their comments along with a list of participants (at least 20) in the Open Thesis Defense with their designation and signature.
- g) A candidate who is not successful in the Open Thesis Defense shall be permitted to reappear for a similar examination for a second time within a period of 3 months.
- h) A candidate shall not ordinarily be permitted to take the Open Thesis Defense, on more than two occasions.
- i) The candidate shall defend the thesis and answer all the questions/clarifications sought by the examiners.
- j) The candidate shall incorporate all the changes/corrections suggested by the thesis evaluators and the public viva voce examiners in the thesis and submit the same along with the corrected soft copy as prescribed within 30 days of Open Thesis Defense.

#### 19.5. Declaration of Result

Based on the viva voce report and submission of the corrected thesis, the Controller of Examinations shall declare the result after the approval of the Vice Chancellor. Provisional certificate shall be issued to the candidate on payment of prescribed fee, which shall be valid till the Convocation.

## **20. RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS**

20.1. There will be a Research Advisory Committee for each Ph.D. scholar. The Research Supervisor of the scholar will be the Convener of this Committee.

**Constitution of Research Advisory Committee  
(To be constituted for each Ph.D. Scholar)**

1	Supervisor	Chairman
2	Co-supervisor (if any)	Member (Optional)
3	One member from related subject	Member
4	Nominee of VC	Nominated Member
5	Thesis/Dissertation Coordinator of the School/Department	Ex-Officio Member

This Committee will have the following responsibilities:

20.1.1. To review the research proposal and finalize the topic of research;

21.1.2. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do;

20.1.3. To periodically review and assist in the progress of the research work of the research scholar.

20.1.4. To check formatting of Thesis/Pre-Thesis/Research Reports as per Thesis/Dissertation Guidance Document of SBSU.

20.2. A research scholar will appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the university with a copy to the research scholar.

20.3. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee will record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the university with specific reasons for cancellation of the registration of the research scholar.

## **21. DEPARTMENTAL RESEARCH COMMITTEE**

21.1. The Departmental Research Committee (DRC) will be constituted with the following members:(i) Head of the Department, Chairman (ii) 3-5 members seniority wise on rotation (iii) Observer from other Department (Nominated by VC).

21.2. The functions of Departmental Research Committee shall be as under: (i) scrutinize and verify applications and help admission cell in Ph.D. Programmes (ii) constitute Research Advisory Committee for each Ph.D. candidate. (iii) perform such functions as are required for operationalization of the research degree programmes subject to the overall supervision and guidance of the Research Degree Committee (RDC). (iv) Consider the recommendation of RAC for action as required.

21.3. The Departmental Research Committee shall meet once in every six months. 2/3<sup>rd</sup> of the members shall form the quorum for the meeting. The tenure of members of the DRC other than the Heads of Departments/ Constituent Units shall be two years. A member can be re-nominated for another term.

## **22. DEPARTMENTAL ACADEMIC INTEGRITY PANEL (DAIP)**

22.1. Each Department of SBSU shall notify a DAIP of their Department whose composition shall be as given below: a. Chairman - Head of the Department b. Member - Senior academician from outside the department, to be nominated by the Vice Chancellor of SBSU. c. Member - A person well versed with Anti plagiarism tools, to be nominated by the Vice Chancellor of SBSU.

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

22.3. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.

22.4. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

22.5. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the Institutional Academic Integrity Panel (IAIP) within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

## **23. RESEARCH DEGREE COMMITTEE (RDC)**

23.1. The role of RDC is to formulate and lay down policy guidelines for the conduct of Ph.D. degree programmes, and to ensure high standards of research work in such programmes.

23.2. The composition of the RDC shall be as follows:

(i) The Vice Chancellor or his nominee - Chairperson (ii) Registrar - Convener (iii) Chancellor's Nominee (iv) COE (v) 2-3 Deans/Director/Heads of Departments/Constituent Units to be nominated by the Vice Chancellor (vi) Secretary



(vii) 1-2 other faculty members to be nominated by the Vice Chancellor (viii) 3-7 External Experts

23.3. RDC shall have a term of two years after which it shall be reconstituted.

23.4. The RDC shall meet at twice in a year.

23.5. Fifty percent of the total membership shall form the quorum for any meeting.

23.6. Functions

(a) Formulate policies related to and oversee research for Ph.D. and post-doctoral degree programmes; (b) Formulation of guidelines for registration of students, thesis supervision, programme design, and thesis evaluation; (c) Monitoring of research indicators for such evaluation (d) Review and recommend areas/themes/topics for research

(e) Consider evaluation reports of Examiners for award of Ph.D. and Post-Doctoral degrees. (f) To consider and approve the recommendations of DRCs including waivers of and exemptions from any of these Regulations. (g) Delegation of any of its functions to the concerned DRC. (h) Preparation of the consolidated reports on research efforts of the University (i) Any other work related to research development and coordination.

## **24. INSTITUTIONAL ACADEMIC INTEGRITY PANEL (IAIP)**

24.1. SBSU shall notify an IAIP whose composition shall be as given below: a. Chairman - Pro-VC/Dean/Senior Academician of SBSU. b. Member - Senior Academician other than Chairman, to be nominated by the Vice Chancellor. c. Member - One member nominated by the Vice Chancellor from outside SBSU. Member- A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor.

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

24.3. The IAIP shall consider the recommendations of DAIP.

24.4. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.

24.5. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of SBSU.

24.6. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.

24.7. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Vice-chancellor within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.

24.8. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

## **25. FELLOWSHIP CUM TEACHING ASSISTANTSHIP**

25.1. A selected number of Ph.D. seats shall be reserved for Fellowship cum Teaching Assistantship (FTA). Candidates admitted on FTA seats will receive fellowship subjected to teaching/laboratory assistance of 8 hours/week in the Department/University.

25.2. Candidates admitted on Fellowship cum Assistantship seats shall reside in the University Campus (Hostel/Residential Quarters) till the completion of Ph.D.

25.3. FTA may have special norms or bindings which are mandatory to be followed by all FTA candidates.

## **26. DEPOSITORY WITH INFLIBNET**

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

## **27. REMOVAL OF DIFFICULTIES & DISCREPANCIES**

27.1. Any doubt or dispute about the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final.

27.2. The Vice Chancellor, with the approval of the Board of Management shall consider individual cases with special reference to discrepancies of any nature, conflict of interest and to initiate appropriate administrative actions against the candidate, supervisor and the co-supervisor.