



**Sanjay Ghodawat University Kolhapur  
Maharashtra, India**

**Ph.D. Program Rules and Regulations 2022-23**

(Approved by the Academic Council in 2<sup>nd</sup> meeting dated 20<sup>th</sup> April 2019)

**Sanjay Ghodawat University Kolhapur**

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## **Ph.D. PROGRAM RULES and REGULATIONS**

### **Preamble**

*These Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) have been framed on this subject with a view to fulfill the provisions in the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016, successive amendments and UGC Gazette Notification (Specification of Degrees), 2014. The University aims at ensuring a high standard for the Ph.D. conferment.*

### **Ph.D.-1 SHORT TITLE AND COMMENCEMENT**

**Ph.D.-1.1** In the Regulations, unless the context otherwise requires,

- a. "University" means Sanjay Ghodawat University Kolhapur
- b. "Program" means Doctoral Program leading to the award of Ph.D. in Engineering and Technology / Science and Commerce and Management.
- c. "DC" means Doctoral Committee.
- d. "DRAC" means Department Research Advisory Committee.
- e. "Chairperson" means the Head of the DRAC.
- f. "URC" means University Research Committee.
- g. "Supervisor" means any faculty member of the University who has been recognized by the University to supervise the research scholars
- h. "Scholar" means a candidate admitted by the University either under Full-time or Part-time category for pursuing research for the award of Ph.D. Degree of the University.
- i. "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.
- j. "AC" means Academic Council.

**Ph.D.-1.2** Sanjay Ghodawat University (SGU) offers full-time and part-time programs for the Degree of Doctor of Philosophy (Ph.D.) in the academic disciplines of Civil Engineering, Computer Science & Engineering, Electrical Engineering, Electronics Engineering, Mechanical Engineering under School of Technology, and in the academic disciplines of Chemistry, Mathematics and Physics under School of Science, Pharmacology and Pharmaceutics under School of Pharmaceutical Science, English under School of Liberal Arts, Management under school of commerce and management.

**Ph.D.-1.3** These rules and regulations shall come into force from the date of notification by the university and also be applicable for any new Ph. D. programs introduced by the University from time-to-time.

## **Ph.D.-2 CONSTITUTION OF COMMITTEES**

The University shall constitute the following Committees for monitoring the Ph. D. Program:

- a. Admission Committee
- b. University Research Committee (URC)
- c. Department Research Advisory Committee (DRAC)
- d. Doctoral Committee (DC)
- e. Viva Voce Committee and,
- f. Such other Committees, as may be required.

The composition, duties and responsibilities of the Committees are as given below:

### **Ph.D.-2.1 Admissions Committee:**

The Admissions Committee to be constituted by the Vice Chancellor for each school, shall consist of:

1. Dean of the school, -Chairman
2. Nominee of the Academic Council, -Member
3. Nominee of the Vice Chancellor, -Member
4. Member Secretary, -Registrar

### **Responsibility of Admissions Committee:**

1. Scrutinizing applications for the exemption of SGUPET.
2. Scrutinizing applications for eligibility for Ph.D. Program.

3. Conducting the SGUPET and Evaluation.
4. Preparation of the consolidated list(s).
5. Constituting an Expert team as required for Personal interview and Presentation.
6. Approving the number of candidates under each Supervisor after SGUPET and Presentation.

The tenure of the Committee shall be 2 years. The Committee shall meet as often as required.

#### **Ph.D.-2.2 University Research Committee (URC):**

The University Research Committee to be constituted by the Vice Chancellor shall consist of:

1. Vice Chancellor -Chairman
2. Two eminent researchers from premier Institutions/universities/research lab—  
Members
3. Dean Academic -Member
4. Dean of Respective schools- Members
5. Two professors/Associate professors actively involved in research nominated by  
V.C - Members
6. Dean Research -Member Secretary

#### **Responsibility of URC:**

1. To lay down the policy connecting Ph.D. regulations from time to time.
2. To resolve any issues raised by the Admission Committee or issues referred by the Registrar, SGU.
3. Scrutinizing the eligibility of Supervisor / Co-Supervisor.
4. To Change the Supervisor of a research scholar with the consent of both the present and proposed Supervisors when there is a valid reason(s).
5. To recommend change of supervisor of a research scholar to academic council, when the research scholar requests for change of Supervisor without the consent of the Supervisor. The decision of the academic council is the final.
6. Any other related matter.

The tenure of the committee shall be 3 years. The committee may meet as often as required, subject to a minimum of two meetings in an academic year.

### **Ph.D.-2.3 Department Research Advisory Committee (DRAC):**

Department Research Advisory Committee will be constituted in the department as per following guidelines:

1. Head of the department act as chairperson of this committee
2. Three senior faculty of department appointed by vice chancellor
3. One member from industry/other academic institute related to the field of research.

### **Responsibilities of DRAC:**

1. To form sub-committee that visits the place of research of research scholar and submit the report to the DRAC for recognition of the place of research.
2. Allot Co-Supervisor to a research scholar after approval from URC, when a Supervisor of a research scholar is away from the University for more than six months and upto one year with prior permission.
3. Allot Co-Supervisor as supervisor or alternate Supervisor after approval from URC, if the Supervisor of a scholar is away from the University for more than one year.
4. To appoint a new supervisor of the same University to a research scholar after obtaining necessary approval from the academic council through URC, if the supervisor leaves the University permanently.
5. To permit the supervisor who leaves the University permanently with the approval from academic council through URC to guide his/her research scholar from his/her place of work, if the research scholar is willing to continue his/her research work with the same research supervisor and the research supervisor is willing to guide him from his new place of work.

#### **Ph.D.-2.4 Doctoral Committee (DC):**

The Head of the Department shall constitute a Doctoral Committee for each candidate and shall have the following composition:

1. Head of the Department, -Chairman (or his/her Nominee approved by the VC)
2. Two domain experts, (at least one external expert) may be identified by the Head of the Department on the recommendations of the Research Supervisor from time to time.
3. Research Supervisor, -Member-Convener
4. Co-Supervisor (if any), -Member

#### **Responsibilities of DC:**

1. 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 and recommend to DRAC.
2. To periodically review and assist in the progress of the research work of the research scholar.
3. To assess the biannual report of a research scholar.
4. To suggest corrective measures if the biannual progress report of the research scholar is unsatisfactory. If the research scholar fails to implement these corrective measures, the DC may recommend with specific reasons for cancellation/termination of the registration of the research scholar to academic council through DRAC.
5. To refer the case to academic URC through DRAC for further action and/or to decide about cancellation of his/her registration, If the research scholar fails to show his/her biannual progress in research work. The decision of the Academic Council in this regard will be the final.

### **Ph.D.-2.5 Viva Voce Committee:**

The Viva Voce Committee to be constituted by the Vice Chancellor for each candidate soon after the receipt of favorable Reports from all the adjudicators, the composition of the committee shall be as follows:

1. Head of the Department, -Chairman
2. Research Supervisor, -Member
3. Co- Supervisor, if any, - Member
4. Identified Adjudicator by Vice Chancellor, -Member

### **Responsibility of Viva Voce Committee**

The Committee shall conduct the final Viva Voce for the candidate to defend his/her Ph.D. Thesis. The HOD shall submit the reports in the prescribed format to the COE for further processing.

### **Ph.D.-3 ELIGIBILITY CRITERIA FOR ADMISSION TO Ph.D. PROGRAM:**

Ph.D.-3.1 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 'B' 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.

Ph.D.-3.2 The candidates applying for Ph. D. Programs in all Engineering disciplines should have passed M. E. /M. Tech. or equivalent degree in relevant discipline with minimum Second Class awarded by any recognized University/Institute. The candidates applying for Ph. D. Programs in Physics, Chemistry and Mathematics should have passed M. Sc. or equivalent degree in the relevant subject with minimum

Second Class awarded by any recognized University/Institute. The candidates applying for Ph.D. Programs in Pharmaceutical science should have passed M. Pharm. or equivalent degree in the relevant subject with minimum Second Class awarded by any recognized University/Institute. The candidates applying for Management should have passed MBA or equivalent degree in the relevant subject with minimum Second Class awarded by any recognized University/Institute.

Ph.D.-3.3 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, shall be eligible for admission to Ph.D. program.

Ph.D.-3.4 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.

#### **Ph.D.-4 CATEGORIES OF PH.D. CANDIDATES:**

Ph.D.-4.1 There shall be two categories of Ph.D. candidates.

- i. **Full Time candidates:** All candidates who pursue full time research in this University shall belong to this category.
- ii. **Part Time candidates:** All candidates working in Industrial units, Colleges, Government departments, Research organizations or other Institutions,



sponsored for pursuing Ph.D. degree of this University while continuing to serve in their respective Institutions /organizations **recognized as Research Centers by Sanjay Ghodawat University Kolhapur** shall belong to this category. They shall pursue research in their place of employment and /or in this University

**Duration of the Ph.D. Program:**

Ph.D. program shall be for a minimum duration of three (3) years, including course work and a maximum of six (6) years.

Ph.D.-4.2 Two extensions up to maximum period of twelve months each shall be permissible in those cases which are suggested by research supervisor and DRAC. The decision for extension shall be taken by the Academic Council which is forwarded through URC.

Ph.D.-4.3 The application for extension is required to be submitted at least three months prior to the date of expiry of registration.

Ph.D.-4.4 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. program for up to 240 days.

**Ph.D.-5 RESEARCH SUPERVISORS:**

Ph.D.-5.1 Procedure for Recognition

- a) University shall invite applications periodically from eligible faculty of different departments of schools of SGU for recognition as research supervisor.
- b) Recognition of Supervisor for guiding research scholar will be accorded by the chairman Academic Council on recommendations of URC.
- c) 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 institute/university or from other related institutions/organizations/Recognized laboratories with the approval of the DRAC.

Ph.D.-5.2 Eligibility for the recognition of the Ph.D. supervisor:

- a) A Ph.D. Degree in the relevant or allied areas of research in which he/she proposes to guide the candidate.
- b) He/she should have at least 08 years of teaching/research/industrial research experience. Minimum two years of research or teaching experience after acquiring Ph.D. degree. However, exemptions shall be considered by the academic council on merit.
- c) 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 and at least two research publications in refereed journals may be recognized as Research Supervisor. 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.
- d) A minimum of two research papers published in the relevant or allied areas of research in refereed journals within a period of three years proceeding to his/her date of application for recognition.
- e) The age for recognizing as Supervisor / Co- Supervisor shall be limited to not more than 65 years as on the re-opening day of that academic year.

Ph.D.-5.3 Responsibilities of Supervisor:

- a) The Supervisor carries the major responsibility of guiding the academic progress of the candidate throughout the period of study. He / she counsels the research scholar in academic matters, and provides guidance on the nature of course work and research, the standards expected for adequacy of progress, and the quality of work.
- b) To ensure the successful and timely completion of the program, it is essential that supervisors and their research scholar maintain regular contact. Supervisors must give their students advance notice if they plan to be absent

from the University for an extended period of time, of at least six months, and make suitable arrangements for the continued supervision of the student.

- c) A research scholar having direct relation (such as husband, wife, son, daughter, father, mother, brother, sister, uncle, aunt, nephew, niece, brother-in-law, sister-in-law, first cousin) with any research supervisor will not be allotted to him/her in any case.

**Ph.D.-5.4 Number of Research Scholars per Research Supervisor:**

- a) The allocation of Research Supervisor for a selected research scholar shall be decided by the DRAC 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.
- b) 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. In addition to this, he / she can be co-guide to two Ph. D. scholars.
- c) The University shall follow the Reservation Policy of GoI and GoM as applicable from time to time, for the total number of candidates admitted to the Ph.D. program in an academic year.

**Ph.D.-5.5 Co-Supervisor:**

- a) The University shall prepare a panel of Co-supervisors chosen from amongst the leading and well-known researchers in various fields. This panel shall be prepared by invitations of expression of interest from National Laboratories, National Research institutions, Universities/institutions of India and abroad.
- b) In case of topics which are of inter-disciplinary nature where the DRAC concerned feels that the expertise in the Department has to be supplemented

from outside, the DRAC 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/School/University/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Universities.

- c) When supervisor of a candidate happens to be away from the University with prior permission, for more than 6 months, he/she may continue to supervise the candidate, but a guide belonging to the same department of the University shall be officially nominated as a co-supervisor by the DRAC with the approval of academic council.

#### Ph.D.-5.6 Recognition of Research Centers / Laboratories:

- a) Normally, a candidate admitted for the part time Ph. D. programs will also have to work within the premises of the University under the supervision of an allotted research supervisor. However, R& D labs of public, private sector undertakings, Centers of research for School of Technology, School of science, Social sciences, Pharmaceutical sciences, Humanities, Management, Liberal arts etc. duly recognized by the University as having necessary facilities after due inspection by a Sub-Committee approved by academic council.
- b) The sub-committee constituted by DRAC will visit the place of research and submit its report to the academic council through DRAC to decide about recognition of the place of research. The decision of the academic council will be the final in recognizing of research centers and laboratories.
- c) Foreign Universities and R & D Labs duly recognized by the University or with which MOU exist can be the recognized research centers.
- d) Part time candidate desires to work at any other recognized research centers or laboratories, the same may be allowed, at the discretion of the respective DRAC and AC.
- e) All the full-time and part-time candidates admitted for Ph. D. programs will be given similar facilities including the University Library and respective

Departmental Laboratories. The use of the Laboratories from other Departments shall be permitted to with the permission of the respective Heads of the Department. A formal request in this regard shall be made by the candidate with the approval of Heads of the Department of his/her parent Department.

#### **Ph.D.-6 UNIVERSITY NOTIFICATION:**

The university may announce the admission to Ph.D. programs preferably in the month of June/July of every academic year, for all the Schools along with indicating broad areas of specialization. The Number of students admitted to any school will depend upon availability of facilities/supervisors and will be decided by admission committee from time to time.

#### **Ph.D.-7 SUBMISSION OF APPLICATION AND PROCESSING:**

All eligible candidates satisfying the requirements as in Ph.D.-3 shall submit their applications for SGUPET and Ph.D. admission to the University in the prescribed format.

#### **Ph.D.-8 ADMISSION CRITERIA AND PROCEDURE:**

Ph.D.-8.1 It will be a two-step procedure comprising of:

##### **Step - I Ph.D. Entrance Test (SGU-PET)**

The syllabus of the SGU-PET shall consist of 50% of research methodology and 50% shall be subject specific. Candidates who have qualified the GATE/ SLET/ GPAT/NET (JRF) or any other national level test after post graduation with validity in the academic year of admission, may be exempted from the entrance test; however, interview (Step - II) is compulsory for all applicants. Qualifying marks in SGU-PET is 50%.

##### **Step - II Personal Interview**

Candidates who qualify step – I are eligible to personal interview. The candidates are required to discuss their research interest/area through a presentation before an interview committee constituted by Vice Chancellor.

The Personal interview shall consider the following aspects, whether

- a. The candidate possesses the competence for the proposed research work
- b. The research work can be suitably undertaken at the university
- c. The proposed area of research can contribute to new/additional knowledge.

If the candidate performance is not satisfactory in interview, one month time would be to appear before the committee or interview.

Ph.D.-8.2 The employed candidates applying for full-time and part-time programs for the Degree of Ph. D. will have to submit No Objection Certificate from their employer in the prescribed format **Annexure - II and Annexure -III**.

Ph.D.-8.3 Ph.D.Entrance test (SGUPET) paper will be for 100 marks out of which, 50 marks for research methodology and 50 marks for discipline/domain specific where student want to take admission.

Ph.D.-8.4 Interview committee will give report on the admissions of Ph.D. candidate on following basis

- a. The candidate's competency for the proposed research work
- b. Availability of resources like Ph.D. supervisor, Research Laboratories, Journals related to candidate's research in respective schools/departments
- c. Whether the proposed area of research is contributing to additional knowledge.

Ph.D.-8.5 In case of international students, the SGUPET may be arranged online and subsequent personal interviews may be held through the video conference. In addition, the international students shall be required to submit two letters of recommendation. International students shall hold valid passport/visa, clearance from MHRD and other agencies as mandated by the Government of India (GOI) throughout the duration of the course.

Ph.D.-8.6 The University reserves the right to limit the number of candidates to be admitted to the University at any time. This decision would be guided by the resources and other facilities/fiscal constraints.

Ph.D.-8.7 Validity of SGUPET: one Academic year.

## **Ph.D.-9 PROVISIONAL REGISTRATION:**

### Ph.D.-9.1 Merit Lists after Personal Interview

- a. Separate merit lists for all the General and Reserved Category candidates shall be prepared by the Admissions Committee for the candidates from the lists in Ph.D.-8.1 based on their performance in the personal interview and also in the qualifying examination in the ratio of 70:30, i.e., 70% weightage is given to SGUPER and 30% weightage to personal interview.
- b. Candidates who have cleared the national tests and those with M.Phil. Degree as per Ph.D.-8.1 shall be placed in separate lists in order of their merit in the personal interview and the qualifying examination.

### Ph.D.-9.2 Preparation of Consolidated Merit List

- a. The Admissions Committee shall prepare a consolidated merit list of candidates qualifying for Ph.D. admission immediately after the personal interview as per Ph.D.-9.1 and notify the same to the candidates.
- b. Only the candidates in the consolidated merit list shall be considered for filling the existing vacancies.

## **Ph.D.-10 ADMISSION PROCEDURE:**

- a. The Admissions Committee shall submit the consolidated merit list to the University for facilitating the provisional registration of candidates as per their rank in the list.
- b. The Admissions Committee shall arrange for interaction between the candidate selected for provisional registration and the possible Research Supervisor.
- c. All candidates unsuccessful in completing the process of admission for any reason may approach the Admissions Committee for reconsideration, if required.
- d. The Research Proposal/Outline shall consist of the state-of-the-art, objectives, methodology, work plan and relevance of the proposed research

area. The candidate shall also indicate therein, the related branch of Engineering/Technology, Architecture, Science, Management Studies, Inter-disciplinary areas and/or allied fields.

- e. Prescribed fees shall be paid by each candidate to the University for completing the provisional Ph.D registration.

### **Ph.D.-11 PH.D. PROGRAM PHASES:**

- a. Upon receiving the research proposal / outline and the panel of domain experts proposed along with the prescribed fees for the candidate, the Vice Chancellor shall constitute the Doctoral Committee as per Ph.D.-2.4.

- b. After provisional registration, the Ph.D. program of the candidate shall consist of three parts to be cleared in sequence, namely

Part-I : Coursework

Part-II : Comprehensive Vice-Voce (Research Proposal Presentation)

Part-III : Pre-Submission Colloquium, Synopsis and Thesis Submissions

Part-IV: These shall be followed by Thesis evaluation and its defense by the candidate at the end.

- c. Each candidate shall be free to apply for a change in the Research topic /Coursework for the consideration of the Doctoral Committee before the completion of Part-I. But, the candidate shall not be permitted to change the Research topic after the completion of Part-II of the program.

- d. All the Ph.D. registrations shall be provisional initially and they shall be confirmed only on the successful completion of both Part-I and Part-II.

### **Ph.D.-12 COURSE WORK DETAILS:**

#### **Ph.D.-12.1 Proposing Coursework**

- a. The candidates will have to complete mandatory Pre-Ph.D. course work as per guidelines of University and UGC. The Doctoral Committee of the



candidate shall meet within two week of admission and prescribe course work for the candidate.

Following Table provide the details of course work:

S. No	Course	Credits
1	Research Methodology (Compulsory)	4
2	Research Area Specific Course (Compulsory)	4
3	Domain Specific Course suggested by DC(Compulsory)	4
4	Domain Specific Course suggested by DC(Online)	2
5	<i>Seminar (Compulsory) related to proposed research work</i>	2

- b. Selected candidate shall complete the above course work of minimum 16 credits within a period of 1 year, the courses are given by the DC of respective research scholar and the same is approved from DRAC. However maximum period allowed to complete course work is 2 years.
- c. The candidates will also have to submit an extensive literature review report and present the same as open seminar at the Department Level. This seminar will carry two credits and it is compulsory. Preferably it will be given at the before the end of that year.
- d. However, in case the candidate fails to successfully complete the same within two years his/her provisional registration will stand cancelled and his/her Ph. D. program will be terminated at that stage without any notice. However, on recommendation of the DRAC and approval of University academic council, the delay in competition of course work on account of some unforeseen reason/s (*maximum period up to 6 months*) can be condoned.
- e. The period of provisional registration will be counted for the continued Ph. D. registration.

Ph.D.-12.2 Setting up of Question Papers

- a. Question papers shall be set by the identified examiners appointed for this purpose by the University from the panel recommended by the DRAC.
- b. Each question paper shall be set for maximum marks of 100 and it shall have similar format as prescribed for Master's degrees of SGU.
- c. The question paper setters and answer paper valuers shall have Ph.D. Degree in the relevant field.

#### Ph.D.-12.3 Evaluation of Answer Scripts

Answer scripts of all the candidates shall be valued independently by two valuers.

Ph.D.-12.4 Marks Awarded to the candidate' If the difference between the marks awarded by the two valuers is  $\leq 15\%$ , the marks awarded to the candidate shall be the average of the two valuations.

#### Ph.D.-12.5 Appoint of Third Examiner

If the difference between the marks awarded by the two examiners is  $> 15\%$ , a third examiner shall be appointed to evaluate the answer script(s) concerned. The average of the marks of the nearest two valuations shall be considered as the marks secured by the candidate. However, if one of the three evaluations is exactly midway between the other two, then the higher two marks shall be taken for averaging and the resulting average shall be awarded to the candidate.

#### Ph.D.-12.6 Prescribed Passing Standards

- a. The candidate will have to secure CGPA of at least 6.0 in the course work, failing which the admission and the provisional registration of the candidate will stand cancelled.
- b. The candidates must complete abovementioned coursework within two years from the date of provisional registration. The registration of the candidates for Ph. D. degree shall be considered as provisional till he/she successfully completes the pre-Ph. D. course work.

- c. On successful completion of the same within two years his/her provisional registration, Controller of Examinations will issue a letter of confirmation of his/her Ph. D. registration to the candidate and course work completion certificate.

#### Ph.D.-12.7 Norms for Maintaining Provisional Registration

The following norms/standards shall be applicable to all the candidates for maintaining their provisional registration:

- a. The coursework shall be completed and cleared by each candidate with a minimum of P Grade in each course conducted by the University from the date of provisional registration.
- b. The provisional registration of candidates failing to fulfill the above requirements shall be automatically cancelled. Such candidates shall seek provisional registration for Ph.D. afresh, if required.

#### **Ph.D.-13 MANDATORY RESIDENCE PERIOD FOR THE PART-TIME CANDIDATES:**

- a. A Part-Time Research candidate shall put in a minimum of Two weeks of residence in every semester at University before every review of the Doctoral Committee till the submission of the final Synopsis. This residence requirement shall be utilized by the candidate for the purpose of coursework preparation as well as formulation/investigation of the research problem and for other research related work.
- b. Each Part-Time candidate shall submit to the University through his/her DRAC a Certificate issued by the Research Supervisor/Co-Supervisor for completing the above residence requirement.

#### **Ph.D.-14 PROGRESS REPORT/PERIODIC REVIEW BY DOCTORAL COMMITTEE:**

Ph.D.-14.1 Procedure for Review

- a. The Doctoral Committee shall periodically review the research progress of the research scholar, at least once in six months until the submission of the Thesis.
- b. Each research scholar shall submit a research progress report in the standard format to the Doctoral Committee, two weeks prior to the schedule of the meeting. The half-yearly progress report shall cover the aspects such as, new data collected / obtained, methodology developed, progress in research, discussion of the work done during the review period, new findings and work plan for the future. Research papers prepared/published, if any, shall also be submitted.
- c. The Research scholar shall make oral presentation of the research progress before the Doctoral Committee every six months. And, the Doctoral Committee shall communicate the satisfactory research progress or otherwise of the candidate to the DRAC for onward transmission to the University.

**Ph.D.-15 CANCELLATION OF REGISTRATION:**

- a. The Doctoral Committee shall be free to recommend the cancellation of Ph.D. registration of the candidate if,
  - (i) Two consecutive research progress reports not adjudged to be satisfactory, and/or
  - (ii) Two consecutive research progress reports not submitted;
- b. Before recommending cancellation of registration, the Doctoral Committee shall issue a show-cause notice to the research scholar, seeking his/her explanation.
- c. If the explanation is not agreed by the Doctoral Committee, the research scholar shall be free to appeal to the Vice-Chancellor with valid reasons, seeking intervention. The decision of the Vice-Chancellor in this regard shall be final.

## **Ph.D.-16 COMPREHANSIVE VIVA-VOCE:**

### Ph.D.-16.1 Requirements to be satisfied for Comprehensive Viva-Voce

- a. In the case of full-time research scholar, the comprehensive Viva-Voce shall be conducted within three semesters from the date of provisional registration. And this can be held within five semesters from the date of provisional registration in the case of part time research scholar.
- b. Each candidate shall be required to submit a written request to the University through his/her Research supervisor for the conduct of his/her comprehensive Viva-Voce, within six months of the successful completion of Coursework (Part-I).
- c. In the case of health / employment related problems of a candidate unable to take the comprehensive Viva-Voce as above, the University shall be free to allow a further period of six months for this purpose, on receipt of a written request from the research scholar with the recommendations of his/her Research Supervisor(s) and the Doctoral Committee forwarded through the DRAC.
- d. However for whatever reason(s), if the comprehensive Viva-Voce is not completed within three years from the date of provisional registration, the admission of the candidate shall stand automatically cancelled.

### Ph.D.-16.2 Scheduling of Comprehensive Viva-Voce

The DRAC, in consultation with the Doctoral Committee and the University, shall schedule the date/time for the comprehensive Viva-Voce preferably within four weeks upon receipt of the written request from the research scholar for this.

### Ph.D.-16.3 Conduct of Viva-Voce

- a. The Doctoral Committee shall conduct the comprehensive Viva-Voce in English language only.

- b. The comprehensive Viva-Voce shall be a closed-door oral examination consisting of the Doctoral Committee members (as examiners), and the research scholar. The Doctoral Committee shall be free to invite additional examiner(s) if need be for assisting it in the Viva-Voce, chosen from amongst a panel of two experts recommended by the Research Supervisor.

#### Ph.D.-16.4 Content and Form of Viva-Voce

- a. The Comprehensive Viva-Voce shall consist of a presentation by the research scholar on his/her topic of research, including the work done till date and the proposed future work.
- b. The Doctoral Committee (and the additional examiner(s), if present) shall also test the research scholar for fundamental concepts in the coursework and applied knowledge to carry out the proposed research work.

#### Ph.D.-16.5 Performance Standards at Viva-Voce

The Doctoral Committee shall communicate the result of the Comprehensive Viva-Voce to the University through the DRAC as:

- a. The Committee is satisfied at the successful completion of Viva-Voce and the research scholar shall continue the research work. OR
- b. The Committee indicates the deficiencies in specific areas in which the research scholar needs strengthening of knowledge and suggesting a date preferably within the next three months for re-examination.
- c. If the Doctoral Committee does not recommend the continuation of research work by the research scholar even after the second attempt, the provisional registration of the research scholar shall stand cancelled automatically.

### **Ph.D.-17 CONFIRMATION OF Ph.D. REGISTRATION**

Ph.D.-17.1 After the successful completion of coursework (Part-I) and the Comprehensive Viva-Voce (Part-II), the Doctoral Committee shall recommend to the University COE for issuance of notification to the research scholar on Confirmation of Registration.

Ph.D.-17.2 The Notification shall specify the date from which the candidate's registration for the Ph.D. program is confirmed.

### **Ph.D.-18 OPEN PROGRESS SEMINAR:**

Ph.D.-18.1 Mandatory Pre-Ph.D. Seminars to be given

- a. Prior to the submission of the Synopsis (required under Part-III), each research scholar shall give two pre-Ph.D. presentations, commonly known as, open seminars at the Department.
- b. These Seminars shall be open to all the faculty members and research scholars and arranged with the object of getting feedback and comments/suggestions from them, for being suitably incorporated.

### **Ph.D.-19 PRE-SUBMISSION SYNOPSIS PRESENTATION:**

- a. The research scholar shall also present a pre-submission presentation before the Doctoral Committee, demonstrating his/her preparedness to submit the Synopsis to the University.
- b. The research scholar shall be free to submit the Synopsis to the University at this stage, together with the recommendations of the Doctoral Committee on the Open Seminars and the Pre-Submission presentation of the candidate, if both of them are satisfactory.
- c. However, if the performance of the research scholar in the Pre-Submission presentation is not satisfactory, the Doctoral Committee may point out the deficiencies, if any and ask the research scholar to repeat the presentation once more within three months. And, only on satisfactory performance at this stage, the Doctoral Committee shall be free to permit the research scholar to submit the Ph.D. thesis.

### **Ph.D.-20 PERMISSION FOR SUBMISSION OF THESIS:**

Considering the research work of the research scholar, his/her performance in the pre-submission presentation and other technical aspects, the Doctoral Committee shall be free to permit the research scholar to submit the Thesis.

### **Ph.D.-21 ANTI-PLAGIARISM CHECK AND SUBMISSION OF THE THESIS:**

- a. The research scholar's thesis shall undergo plagiarism check as per the norms of SGU.
- b. The plagiarism shall be checked by software approved by SGU and the percentage of plagiarism (similarity Index) shall be as permitted by SGU owing to software limitation to identify the self-written research papers and definitions and common theory.
- c. The research scholar may be given two more chances by the University to re-submit the thesis for plagiarism checking, if the plagiarism level is found unacceptable.

### **Ph.D.-22 EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/CREDITS FOR AWARD OF THE PH.D. DEGREE**

Ph.D.-22.1 Minimum course work requirement is specified in Ph.D.-12.1

Ph.D.-22.2 After satisfactory submission of all progress reports, and recommendations from DRAC considering plagiarism check of the content in the thesis. DRAC will recommend the submission of Ph.D. thesis to academic council for its approval.

Ph.D.-22.3 Prior to the submission of thesis, the candidate shall make a Pre-synopsis seminar before respective DRAC in the Department. The pre-synopsis seminar will be open to all faculty members and research scholars, for getting feedback and comments, which may be suitably incorporated into the draft thesis with the advice of the supervisor **ANNEXURE – VIII.**



Ph.D.-22.4 The respective Head of the Department shall notify regarding the conduct of pre-synopsis seminar at least **two weeks** in advance with a copy to Controller of Examinations. All the faculty members, research scholars and PG students from all the Departments shall be invited to attend the Pre-synopsis Seminar.

Ph.D.-22.5 Before recommendation for submission of thesis to DRAC, DRAC shall use well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

Ph.D.-22.6 The Ph.D. thesis submitted by a research scholar shall be evaluated by at least two external examiners. The thesis shall be referred to the first two examiners from the panel as nominated by the Vice-Chancellor from the panel of names recommended by the Doctoral Committee. The COE as deemed necessary to enable the reports of the Examiners to be received as quickly as possible. The examiners are expected to send, in the prescribed form, their reports within two months from the date of receipt of the thesis. The examiner shall include in his / her report an overall assessment, placing the thesis in one of the following categories:

- a. Recommended for the award of the degree of Doctor of Philosophy: Highly commended / Commended
- b. Revision required.
  - (i) Revised Thesis be resubmitted
  - (ii) Revised Thesis need not be resubmitted
- c. Rejected

The examiner shall enclose a report in about 300 words, indicating the standard attained in case (a), the nature of revision in case (b) and the reasons in case (c).

Ph.D.-22.7 The viva-voce examination is based on other things, on the critiques given in the evaluation report, shall be conducted by the head of the department with Supervisor and at least one of the two external examiners should present for this examination. Members of the DRAC, all faculty members of the Department, other research scholars and other interested experts/researchers can attend this examination.

### **Ph.D.-23 SUBMISSION OF THE THESIS:**

Ph.D.-23.1 A part time research scholar may submit his/her synopsis and thesis any time during the year, after the completion of minimum prescribed period of four years and one year after the successful completion of all pre-Ph.D. coursework. A research scholar shall submit to the COE eight copies of synopsis (about 2000 words) in order to start the processing of his/her thesis for the evaluation.

Ph.D.-23.2 The research scholar must have published at **least two** research papers in peer reviewed/ refereed international journals before the submission of the thesis for adjudication, and upload the evidence for the same in the form of acceptance letter or the reprint (pdf format). The paper accepted for publication can also be considered towards fulfillment of this requirement.

Ph.D.-23.3 The research scholar must submit in the FOUR copies of his/her Ph. D. thesis within two weeks of the submission of the copies of his/her synopsis along with prescribed Ph. D. thesis processing fees. The candidate must upload the copy of his/her Ph. D. thesis (pdf format) on the portal.

Ph.D.-23.4 After the successful completion of his/her Ph. D. program one copy of the thesis shall be kept in the University Library, one in the respective Department and one copy shall be returned by the University to each of the research scholar's research Supervisor/Co-Co supervisor.

Ph.D.-23.5 Guidelines for preparation of thesis: A research scholar submitting thesis for the Ph. D. degree is required to follow the instructions regarding the size, style and binding

of thesis. The current guidelines are given in **ANNEXURE – I**. The University may review and make some changes in the guidelines as and when change.

Ph.D.-23.6 While submitting the thesis the research scholar shall indicate whether the work is based on discovery of new facts by the research scholar or of new relations of facts observed by others and how the work leads to the general advancement of knowledge. The research scholars shall further forward a statement indicating the sources from which is information has been derived and the extent to which he/she has based his/her work on the work of others and shall indicate which portion or portions of his/ her thesis he/she claims to be original. Where a research scholars presents a joint work, he/she shall clearly state the portion which is his/her own contribution as distinguished from the portion contributed by his/her collaborator. This statement should be certified as correct by his/her research supervisor. The format of the certificate is given in the **ANNEXURE – IX and X**.

#### **Ph.D.-24 VIVA-VOCE AND OPEN DEFENSE OF THE Ph.D. THESIS:**

Ph.D.-24.1 Once the date of defense is fixed by the COE and communicated to all concerned, he shall notify the same indicating date, time and place where the open defense will be held, at least two weeks in advance.

Ph.D.-24.2 Head of the Department shall place a copy of notice of open defense indicating date, time and place where the open defense will be held, at least two weeks in advance. He shall also distribute/circulate this notice to other Departments at least two weeks before the scheduled date of open defense.

Ph.D.-24.3 The viva-voce of the Ph.D. scholar shall be arranged and conducted by the Head of the Department in the subject concerned who shall act as Chairman of the open defense committee. The invited external examiner and internal examiner (research supervisor/s) will be the members of the open defense committee. The external examiner and the internal examiner shall ask the questions to the defending research scholar. In case the concerned Head of the Department is himself is

research supervisor of the scholar being examined the Chairman will be appointed by the Vice-Chancellor on the submission brought before him by the COE.

Ph.D.-24.4 All the faculty members, research scholars and M. Tech. candidates from all the Departments shall be invited to attend the same. They may ask the questions to the defending research scholar with the permission of the Chairman. In case any dispute arises during the conduct of defense, the decision of external referee shall be the final.

Ph.D.-24.5 The research scholar must obtain the “Clearance Certificate” from all the Departments/Sections in the prescribed format of the University at least one week of scheduled open defense **Annexure -IX**.

Ph.D.-24.6 The Chairman of the open defense committee shall hand over the report duly signed by him and both the members of the open defense committee to the COE immediately after the conclusion of the open defense. The COE shall upload this report (pdf document) on the portal and shall issue the system generated provisional degree certificate to the research scholar after due verification of the contents **ANNEXURE – XI**.

Ph.D.-24.7 In case, the research scholar does not defend his thesis to the satisfaction of the open defense committee, the examiners may unanimously recommend with reasons that a fresh viva-voce and open defense of the thesis be organized within period of not less than **three months**. If the defense is still not-satisfactory the committee would record the reasons for the same and refer it to the academic council for its consideration and final decision.

Ph.D.-24.8 The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of the external examiner of Ph.D. Thesis, is unsatisfactory and does not recommend viva-voce, the

COE in consultation with vice chancellor shall send the dissertation/thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of Ph.D. degree.

Ph.D.-24.9 The research scholar may be allowed to change the title of his/her research work subject to approval academic council provided he/she applies for the change at least **three months** before the anticipated date of submission of his/her thesis or earlier. The candidate shall submit his/her application duly recommended by the supervisor, through concerned DRAC.

Ph.D.-24.10 If there is a major change in the title or the change involves an altogether different topic from what was registered, the candidate shall not be allowed submission of his thesis unless he/she works for four more terms i.e. minimum prescribed period of Ph. D. study from the date of grant of such permission. The academic council will approve the title of the thesis on recommendation of DRAC, if there is change in the topic of research.

Ph.D. -24.11 The Vice chancellor will recommend to whom synopsis/thesis to be sent for the evaluation.

### **Ph.D.-25 AWARD OF Ph.D. DEGREE:**

Ph.D.-25.1 Degree Certificates

- a. Upon the approval by the EC, the University shall issue a Provisional Ph.D. degree certificate to the research scholar certifying that the degree has been awarded in accordance with the "SGU Rules and Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) 2019-20".
- b. The University shall award the Ph.D. degree certificate to the research scholar during the forthcoming Convocation.

### **Ph.D.-26 DEPOSITORY WITH INFLIBNET:**

Ph.D.-26.1 Following the successful completion of the evaluation process and announcements of the award of provisional Ph. D. degree, the Controller of Examinations shall submit a soft copy of the Ph. D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET accessible to all Institutions/Universities.

Ph.D.-26.2 The University shall issue a certificate, certifying to the effect that the Degree has been awarded in accordance with the Regulations issued by the UGC as per the Notification dated 1st June 2009 and published in Gazette on 5th May, 2016.

Ph.D.-26.3 The Ph. D. degree shall be conferred on the research scholar in the ensuing convocation of Sanjay Ghodawat University on approval of the academic council and the Board of Management.

### **Ph.D.-27 INFRASTRUCTURE REQUIREMENTS:**

Ph.D.-27.1 Exclusive research laboratories with sophisticated equipment as specified by the Department concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted Internet, power and water supply.

Ph.D.-27.2 Earmarked library resources including latest books, Indian and International journals, e- Journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials.

Ph.D.-27.3 SGU may also access the required facilities of the neighboring Institutions/universities or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.

### **Ph.D.-28 CANCELLATION OF REGISTRATION:**

Ph.D.-28.1 The research scholar can opt for voluntary cancellation of Ph.D. registration on his/her own. In that event the application duly signed by the research scholar and duly endorsed by his/her research supervisor and DRAC shall be submitted to the COE. The research scholar shall personally appear before the COE and shall submit a declaration of cancellation in his own hand writing. The COE shall then endorse the declaration and forward the application along with the declaration to the academic council through the Registrar. The said registration shall stand cancelled from the date of approval by the academic council.

Ph.D.-28.2 If the research scholar is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties unbecoming behavior, insubordination etc., any time during the course of his Ph. D. program his/her registration may be cancelled on the receipt of report submitted by his/her research supervisor and duly endorsed by the DRAC.

Ph.D.-28.3 However, the DRAC before endorsement of such report brought before him by the research supervisor shall grant an opportunity to the research scholar for submitting his explanation and shall conduct such enquiry as deemed necessary. Such cases shall be placed before the academic council whose decision will be the final. Provided further that in the event the cancellation of registration such research scholar who has received scholarship/ financial assistance from funding agencies like UGC, AICTE, CSIR, University Fund etc., the amount so received shall be recovered from the research scholar.

Ph.D.-28.4 In case of the involvement of the research scholar in a criminal offence involving moral turpitude shall be treated to be a misconduct and his/her registration shall be cancelled with immediate effect on his/her conviction by the Competent Court.

### **Ph.D.-29 TREATMENT OF Ph.D. THROUGH DISTANCE MODE:**

Ph.D.-29.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation by UGC, for the time being in force, NO University; Institution, Deemed to be a University and College shall conduct Ph.D. Programs through distance education mode.

Ph.D.-29.2 Part-time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met.

**Ph.D.-30 BY LAWS:**

Ph.D.-30.1 The DRAC will formulate required bylaws rules, procedures and formats for smooth operation of the Ph.D. program with the approval of the academic council within the frame work of these Regulations.

Ph.D.-30.2 Notwithstanding anything stated in these Regulations, for any unforeseen issues arising, not covered by these Regulations, or in the event of differences of interpretation, the decision of the Vice-Chancellor shall be the final.

Ph.D.-30.3 These regulations shall be applicable with immediate effect to all existing Ph.D. research scholars and research scholars who admitted in future.

**Table 1.1: Annexures**



<b>Sr. No.</b>	<b>Annexure</b>	<b>Details</b>
1	Annexure -I	Guidelines for Preparation of Thesis
2	Annexure -II	No Objection Certificate (for Full-Time Candidate)
3	Annexure -III	No Objection Certificate (for Part-Time Candidate)
4	Annexure -IV	Application formfor Leave/Field Visits for Full-Time Ph. D. Candidate
5	Annexure -V	Application form for Recognition of Outside Laboratory/ Department/Centre
6	Annexure -VI	Course Registration Form
7	Annexure -VII	Bi-annual Progress Seminar Report
8	Annexure -VIII	Pre-synopsis Seminar Report
9	Annexure -IX	Format for Submission of Ph. D. Thesis
10	Annexure -X	Declaration by the Candidate
11	Annexure -XI	Report of Ph. D. Thesis Defense Committee

### **Annexure - I: Guidelines for Preparation of Thesis**

1. A candidate submitting thesis for the Ph.D. degree is required to follow the instructions (described in this section) regarding the size, style and binding of thesis. All copies of the thesis shall be presented in a permanent and legible form in typescript or print. Drawing and Diagrams should be in black ink. Paper of good quality and sufficient capacity of normal reading should be used. The size of sheets used should normally be A4. Margins at the binding edge shall not be less than 1.5” and other margins not less than 1”. One and half spacing be used in type script, except for foot notes where single spacing may be used. The title page of the thesis shall give the following information in the order listed below:

1.1 The full title of the thesis and the subtitle, if any

1.2 The full name of the author/research scholar

1.3 Name of Ph.D. Supervisor

1.4 Name of Ph.D. Co-Supervisor, if any

1.5 The degree for which the thesis is submitted

1.6 The name of the University and the name of the School/Department

1.7 The month and year of submission

2. A table of contents shall immediately follow the title pages. If a list of tables and illustrations is provided, it should follow the table of contents and should list all tables, photographs, etc. in the order in which they occur in the text. Any acknowledgments shall be on the page following the table of contents. If the thesis contains any material which the author has used before, this fact shall be indicated in a declaration immediately following the acknowledgments. There shall be an abstract of the thesis. The abstract shall follow the acknowledgment and declaration. For abbreviations not in common use a key shall be provided with the full term followed by the abbreviations in brackets.

The order of the abstract, acknowledgment, table of contents etc should be followed as per the following order:

(a) Declaration

(b) Abstract

(c) Acknowledgment

(d) Table of Contents

(e) List of Figures

(f) List of Tables

(g) List of Algorithms, if any

(h) Nomenclature

3. The thesis shall be divided approximately into chapters, sections and subsections. The system of Headings should be consistent and should provide a clear indication of changes in content, emphasis and other features which occur at each stage of the work.

4. References cited in the text may be identified by numbers typed as superscript, or if on the line, in round brackets, immediately following the relevant work or phrase in the text or by citing the author's name and the year of publication in round brackets immediately following the relevant work or phrase in the text (e.g. Sharma M. M., 1982) or use IEEE format by citing author's name followed by reference number in square bracket (e.g. M.T. Telsang [2] or Telsang [2], for two authors Telsang and Kulkarni [2], for more than 2 authors Telsang et al.[2]).

5. Appendices shall follow the main text. The style of the appendices shall be consistent with the style of the main text. The list of references should be arranged in accordance with the system of citation used. While using numbers typed as superscript the references should be listed in the order in which they are identified in the thesis whereas, while using round brackets they should be listed alphabetically by the author's surname. In both cases the list should enable the reader to identify the work cited and to locate the specific pages referred to. If bibliography is supplied it should be arranged in a logical order, for example in broad subject classes and within each class, alphabetically by author.

6. Illustrative material such as practical, diagrams, maps, illustrations, computer printout, published papers and tables shall have a binding margin of at least 1" and should, if possible, be bound in the thesis nearer the appropriate text. Illustrative material which cannot be conveniently bound in text (such as large maps, slides, sound or videotapes, cine films) shall be packaged in such a way that it can be bound with the thesis. If the amount of such material is substantial, it should be gathered into a 'supplementary volume' and packaged in a rigid container similar in format to the bound thesis. Unbound material and its packaging shall both be marked with the author's name, initials and the degree for which the work is submitted in

such a way that it can be readily linked with the thesis and it shall contain appropriate instructions for use.

7. The copies of the thesis shall be bound in cloth covered boards with leaves permanently secured. The front cover shall bear the title of the thesis, the name of the author, the name of the degree for which the thesis is submitted, the name of the respective Department and the year of submission. The spine of the thesis shall bear the name of the author, the degree for which the thesis is submitted and the year of submission. This information shall be printed along the spine in such a way that it is readable when the volume is lying flat with the front cover uppermost. If the thesis consists of more than one volume, the front cover of the spine shall also bear the number of each volume.

8. While submitting the thesis the candidate shall indicate whether the work is based on discovery of new facts by the candidate or of new relations of facts observed by others and how the work leads to the general advancement of knowledge. The candidates shall further forward a statement indicating the sources from which information has been derived and the extent to which he/she has based his/her work on the work of others and shall indicate which portion or portions of his/ her thesis he/she claims to be original. Where a candidate presents a joint work, he/she shall clearly state the portion which is his/her own contribution as distinguished from the portion contributed by his/her collaborator. This statement should be certified as correct by his/her research guide.

9. The last page immediately after the references/bibliography should be the publication list by the research scholar from the PhD work.

### **Annexure - II:No Objection Certificate (for Full-Time Candidate)**

**On Official Letter Head**

To,  
The Registrar,  
Sanjay Ghodawat University,  
Kolhapur

Sub: No Objection Certificate for joining full-time Ph. D. program

Dear Sir/ Madam,

Mr. / Ms. ----- who is working in this Institute/ Organization/  
University as----- is applying for full-time Ph. D. program for  
the session ----- . This Institute/ Organization/University have No Objection for the  
same. We are pleased to forward his/her application for admission to full-time Ph. D. program  
at Sanjay Ghodawat University Kolhapur. The employee will be relieved from his/her duties to  
join the full-time Ph. D. program, if admission is offered by Sanjay Ghodawat University  
Kolhapur.

Date: Signature:

Place: Name:

Designation:

**Seal of the Institute/ Organization/ University**

**Annexure - III:No Objection Certificate (for Part- Time Candidate)**

**On Official Letter Head**

To,  
The Registrar,  
Sanjay Ghodawat University,  
Kolhapur

Sub: No Objection Certificate for joining part-time Ph. D. Program

Dear Sir/ Madam,  
Mr. / Ms. ----- who is working in this Institute/ Organization/  
University -----as is applying for part-time Ph. D. program for the  
session----- . This Institute/Organization/University have No Objection for the same. We  
are pleased to forward his/her application for admission to part-time Ph. D. program at Sanjay  
Ghodawat University Kolhapur. We shall grant him/her leave of absence to attend the  
classes/examinations and conduct research work at Sanjay Ghodawat University Kolhapur  
during the entire Ph. D. program as per requirements, rules and regulations of the University.

Date:

Signature:

Place:

Name:

Designation:

**Seal of the Institute/ Organization/ University**

**Annexure - IV: Application form for Leave/ Field Visits for Full-Time Ph. D.  
Candidate**

Date:

To,

The Head,

School/Department----- of Sanjay Ghodawat University Kolhapur

Sub: No Objection Certificate for joining part-time Ph.D. Program

Dear Sir/ Madam,

I request you to kindly sanction Leave /Duty Leave for ----- day/days from----- to

----- for the reason-----.

Purpose of Duty Leave:

-----  
(Candidate has to submit a visit report to Head of the Department after every field visit).

**My address during the leave period:**-----  
-----

**My leave record:**

Calendar year:-----

Leave consumed----- days

Leave applied for -----days

Leave balance -----days

Thanking you,

Yours faithfully,

Signature with Name:

Roll No.:

Recommended / Not Recommended

Sanctioned / Not Sanctioned

**Guide**

**Co-guide (if any)**

**Head of the Department**

**Annexure - V: Application form for Recognition of Outside Laboratory/  
Department/ Centre**

(To be filled by the Head of the Laboratory/Department/Centre)

1. Name of the Laboratory/Department/Center with address of the institute/organization

-----  
2. Name and Address of the Institute and affiliated university-----  
-----

3. Type of the Organization (Central Govt./State Govt./Public sector/Private sector/  
Autonomous body):-----

Research Facilities Information (Write in a separate sheet if necessary and attach)

- i. Details of facilities available with list of major equipments/ instruments/ setup/  
software/ pilot plant etc.
- ii. Details of Library facilities (books and Journals):
  - (a) Total books in the related field
  - (b) Journals in the related field (attach list)
- iii. List of computational facilities available (both inside the laboratory and as common  
facility)
- iv. Details of the internet facilities available (both inside the laboratory and as common  
facility)

Certified that this information is furnished to obtain recognition for this Laboratory  
/Department / Centre from Sanjay Ghodawat University Kolhapur for Ph. D. program in the  
area of -----.

Date:

Signature of the Head of the Laboratory/Department/Centre

Name:

Designation:

**Seal of the University/Institute/Organization**

**Annexure - VI: Course Registration Form**

**Sanjay Ghodawat University Kolhapur**

Name of the Candidate:-----



Department: -----

Date of Ph. D. Admission: -----

Title of Ph. D. Thesis as approved by RC: -----

-----

-----

**Date:**

**Place: Signature of the candidate**

**Courses recommended by DRAC:**

1. -----

2. -----

Approval by the Head of the Department (Department to which Ph. D. candidate has taken the admission)

**Guide**

**Co-guide (if any)**

**Signature of Head of the Department**

Copy to: **Controller of Examinations**

### **Annexure - VII: Annual Progress Seminar 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): -----

-----  
-----

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

-----  
-----

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

a) Title of theory course with date of completion: (Please attach photo copy of grade sheet):-----

b) Title of seminar with date of completion: (Please attach photo copy of gradesheet):

-----  
-----

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): -----  
-----  
-----

15. 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

16. Any specific comments / suggestions:

Name and Signatures of the Research Committee /Evaluation Committee Members

1. Subject Expert:

2. Subject Expert:

3. Other Expert:

4. Other Expert:

Date:

Place:

### **Annexure - VIII: Pre-Synopsis Seminar 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): -----

-----  
-----

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

-----  
-----

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

a) Title of theory course with date of completion: (Please attach photo copy of grade sheet):-----

b) Title of seminar with date of completion: (Please attach photo copy of gradesheet):

-----  
-----

11. Place(s) of work after the previous progress seminar till date:

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-----

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

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

-----  
-----

14. Recommendations of the Research Committee (tick mark):

a) Thesis be accepted for submission and evaluation by examiners

b) Thesis may be accepted for submission and evaluation by examiners after minor modifications as suggested by members. The thesis need not be referred to RC again. The following member(s) of the RC will ensure incorporation /implementation of suggestions: -----

-----  
-----

c) Major modifications are suggested by RC members. The thesis may be referred to RC again within -----months after incorporation/ implementation of suggestions.

d) The thesis in the present form is rejected. The Candidate is required to work further.

15. Minor / Major modifications suggested (if any)/ Comments (if any):-----

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Name and Signatures of the Research Committee /Evaluation Committee Members

1. Subject Expert:

2. Subject Expert:

3. Other Expert:

4. Other Expert:

Date:

Place:

**Annexure - IX: Format for Submission of Ph.D. Thesis  
Certificate - 1**

This is to certify that Mr./ Ms. ----- having  
----- Registration No. Department/ School of-----  
----- has been prescribed course and he/she has qualified the  
prescribed credit requirements.

(Please attach a photo copy of mark sheet)

**Controller of Examination**

**Certificate – 2**

This is to certify that Mr./ Ms. ----- having  
----- Registration No. has paid all the fees (term fee, thesis  
examination fees, convocation fee, alumni membership fee, etc.) as per the existing Ph.D. rules.  
He/she has paid the retention fee (if applicable), till the submission of thesis.

Office Superintendent Assistant Registrar

(Student Section) (Student Section)

**Certificate - 3**

This is to certify that Mr./ Ms.----- having  
Registration No. has carried out his/her research work under my guidance and supervision  
during the period to ----- . He/She has prepared the thesis as per the  
instructions/guidelines given in the existing Ph.D. rules.

It is further certified that this thesis does not include any work which has previously been  
submitted for the award of any degree.

**Signature of Guide**

**Certificate - 4**

This is to certify that Mr./ Ms. -----has submitted all the progress reports and given progress seminars as per the existing Ph.D. Rules.

**Certificate - 5**

Forwarding remarks of Head of the Department: -----  
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**Head of the Department**

**Certificate - 6**

I submit herewith 4 copies of the thesis, together with the certificates from the StudentSection/ Examination Section/ Guide/ Registrar/ Head of the Department.

My address for communication is as follows:

-----  
-----  
-----  
-----

Phone:

Mobile:

E-mail:

**Signature of the Candidate**

To

Controller of Examinations,  
Sanjay Ghodawat University, Kolhapur

**Annexure - X: Declaration by the Candidate**



I hereby declare that the work being submitted in this thesis titled "-----  
-----"  
-----" in partial fulfilment for the requirements  
for the award of degree of "Doctor of Philosophy" and submitted in the Department/School of  
----- Sanjay Ghodawat University  
Kolhapur, is an authentic record of my own work carried out during the period -----  
----- under supervision of ----- (Name of  
Supervisor/Designation).

The matter presented in this thesis has not been submitted for award of any other degree of  
this or any other University /Institute.

**Signature of the Candidate**

Name of the Candidate: -----

Registration No.: -----

This is to certify that the above declaration made by the candidate is correct to the best of  
my/our knowledge and belief.

**Supervisor Co-Supervisor**

**Annexure - XI: Report of Ph.D. Thesis Defense Committee**

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We, the members of Defense Committee certify that the thesis entitled "-----  
-----"

submitted by ----- to the Sanjay Ghodawat University  
Kolhapur in partial fulfilment of requirement of the Ph.D. degree in the Department/School of --  
----- under the faculty of Engineering and  
Technology/Commerce and Management/Liberal Arts/Science has been examined by us and it  
is recommend that:

1. The degree be awarded
2. The candidate be further examined on an another date not later than -----

Supervisor (Internal Examiner) Co-Supervisor (if any)

External Examiner Chairman

Date:

Place:

**Forwarded to Controller of Examinations**