

SHRI GURU RAM RAI UNIVERSITY

[Estd. by Govt. of Uttarakhand, vide Shri Guru Ram Rai University Act no. 03 of 2017 & recognized by UGC u/s (2f) of UGC Act 1956]
PATHRIBAGH, DEHRADUN-248001, UTTARAKHAND, INDIA



M.Phil/Ph.D Ordinance (2017) (Second Amendment, 2020)

**As per UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degree)
Regulation, 2016 & Shri Guru Ram Rai University Statutes, 2017 (Chapter-III,
Section 19)**

Short Title, Applicability and Commencement

- 1) These Regulations may be called The M.Phil/Ph.D ordinance, 2017.
- 2) These Regulations shall apply to all M.Phil/Ph.D programmes offered by the Constituent School/Colleges/Institutes/Centres of the Shri Guru Ram Rai University.
- 3) These Regulations shall come into force from the Academic Session 2017-18.

Definitions

In these Regulations, unless there is something repugnant in the subject or context:

- a) **"University"** means the SGRR University (SGRRU).
- b) **"Academic Council"** means the Academic Council of SGRRU constituted under Section 23 of the SGRRU Act 2017.
- c) **"Research Committee"** means the Committee constituted by the University to approve all the research activities of the university. Each Constituent school will have its own Research Committee.
- d) **"Chairman"** means the Chairman of the Research Committee.
- e) **"Dean-Research"** means Head of Research activities of the Constituent school and Chairman of Research Committee of the university.
- f) **"Course Coordinator"** means Coordinator of the relevant programme of the Constituent School/College/Institute/Centre of the University.
- g) **"Chancellor"** means the Chancellor of the University.
- h) **"Vice Chancellor"** means the Vice Chancellor of the University.
- i) **"Pro-Vice Chancellor"** means the Pro-Vice Chancellor of the University.
- j) **"Registrar"** means the Registrar of the University.
- k) **"Controller"** means the Controller of Examination of the University.
- l) **"Dean"** means the Dean of the Constituent School/College/Centre of the University.
- m) **"Regular Student"** means a student who has registered for a full time M.Phil/Ph.D program offered by the Constituent School/College/Centre of the University and is progressing as per schedule.
- n) **"Secretary"** means Secretary of the Research Committee.

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Criteria for M.Phil/Ph.D Registration and Award of Degree

RR (Research Rule)-1: Eligibility criteria for Applicants

For admission to Ph.D program in a related subject, an applicant fulfilling the following criteria shall be treated as eligible to appear for RET (Research Entrance Test), application form is available online at University website www.sgrru.ac.in or offline

(Annexure-O-I):

- 1.1** An applicant who has passed Post Graduate Degree Examination with at least 55% marks or with an equivalent Grade Point Average (GPA). Relaxation of 5% in the required percentage of marks will be given to applicants belonging to SC/ST/OBC (non-creamy layer)/differently-abled categories.

Table 1.0: Course wise details of qualifying criteria (Annexure-O-II)

Department of Management	Master's degree in relevant discipline from a recognized University/ Institute with a minimum of 55% marks (Management and Commerce).
Department of Pharmacy	Master's degree in relevant discipline (Pharmaceutical Science and Pharmaceutical Chemistry) from a recognized University/ Institute with a minimum of 55% marks.
Department of Education	Master's degree in relevant discipline from a recognized University/ Institute with a minimum of 55% marks.
Department of Humanities	Master's degree in relevant discipline (Political Science, History, Geography, Psychology) from a recognized University/ Institute with a minimum of 55% marks.
Department of Mass Communication	Master's degree in relevant discipline from a recognized University/ Institute with a minimum of 55% marks.
Department of Science	Master's degree in relevant discipline (Biotechnology, Microbiology, Statistics, Zoology, Botany, Agronomy, Geology, Medical Biochemistry and Medical Anatomy) from a recognized University/ Institute with a minimum of 55% marks.

- 1.2** A Graduate in any branch who has developed important new technology or designed and fabricated special instrument or apparatus which are deemed by a competent judge to be a valuable contribution in the field of

Engineering/Pharmacy, may be permitted by the Research Committee (RC), on the recommendation of appropriate Board or Boards of Studies to submit his/her thesis for the Ph.D Degree in that branch. Such a candidate must have at least 5 years standing as a Bachelor of the branch concerned.

1.3 Exemption from RET:

The applicants fulfilling at least one of the following conditions will be exempted from RET:

1.3.1 Qualified in NET/SET/GATE/GPAT examination of the apex bodies as CSIR/UGC/ICAR/ICMR/DBT/AICTE.

1.3.2 M.Phil Degree in a relevant subject obtained from any Recognized University.

1.3.3 Senior citizen of age of 60 years and above with Master's degree.

1.3.4 Candidate such as Advocate/Doctor/Artist/Industry Professional/Employee of Government/Semi-Government Organizations with Post Graduate Degree (at least 55% marks) and 10 years of professional experience.

The applicants entitled for exemption from RET shall also submit the application form along with relevant supporting documents within the stipulated period (**Annexure-O-I**).

RR-2: Procedure to Conduct RET

RET will be conducted twice in a year.

2.1 Structure of RET:

2.1.1 Written test:

For RET, there would be two papers i.e. Paper-1 and Paper-2 (Paper-1 would be Research Methodology of 50 marks and Paper-2 would be Subject specific of 50 marks. Both papers will have 50 questions each with multiple choices). The Entrance Test shall be of two hour duration (i.e. 120 minutes). Applicants have to qualify in aggregate with 50% (45% in case of reserved categories) marks. After qualifying the entrance examination, the applicant has to face a viva voce of 50 marks. Selected applicants list will be displayed on university web site;

www.sgrru.ac.in

Table 2.0: Break up of marks in RET

S.N	Paper	Subject	Total Marks	Qualifying marks (percentage)
1	Paper-I	Research Methodology	50	50%(45% for the candidates belonging to SC/ST/OBC categories& SGRR Alumni)
2	Paper-II	Subject applied for Ph.D	50	
3.	Interview	Based on Research aptitude	50	50% (45% for the candidates belonging to SC/ST/OBC categories & SGRR Alumni)
4	Total Marks		150	50% (45% in case of reserved categories).

2.1.2 Personal interview:

Points to be considered during the personal interview (**Annexure-O-III**):

- a). Whether the applicant possesses requisite competence for the proposed research.
- b). Whether the research can be suitably undertaken at the University.
- c). Whether the proposed area of research can contribute to new/additional knowledge.

The University shall 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 Research scholar, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

RR-3: Registration /Admission after Interview

3.1 The eligible applicant seeking admission to the Ph.D program shall apply to the Dean-Research, Shri Guru Ram Rai University, Patel Nagar, Dehradun-248001, Uttarakhand India in the prescribed Ph.D registration form (available on University website) along with the registration fee as may be prescribed from time to time (**Annexure-O-IV**).

- 3.2** The applicant shall submit his/her Ph.D proposal along with the provisional Ph.D admission registration form.
- 3.3** The applicant shall be required to present a brief presentation before the RC.
- 3.4** Thereafter, the Committee will prepare a report on the basis of presentation. In case of any suggestion given by the Committee for improvement in the research proposal, the applicant will make changes accordingly and will present the research proposal again before the said Committee within 3 months of the earlier presentation.
- 3.5** The date of the successful presentation shall be treated as the date of provisional admission of the candidate and the candidate shall be issued provisional registration/admission letter.
- 3.6** In case of any dispute/problem, Dean-Research shall take an appropriate decision. In case where Dean-Research is Head of Place of Research, the Vice-Chancellor will take an appropriate decision.
- 3.7** The RC shall approve of the topic for research and appoint, in case of interdisciplinary subjects, co-supervisor/s recognized from SGRR University or, in special circumstances, from other recognized Institute/University.
- 3.8** The date of registration shall be the date of provisional admission. The **registration is valid for five years. Extension up to a maximum period of one year shall be given by the RC** only if considerable work has been done by the research scholar. Research scholar concerned must submit the application for extension through his/her supervisor, three months before the expiry of the registration period. Under exceptional circumstances further extension of **one year may be given by the Vice-Chancellor** on the recommendation of Dean-Research. An applicant with Disability (more than 40%) may be allowed extension of maximum two years. Women candidates will be provided maternity leave/child care leave up to 240 days once in the entire duration of Ph.D program.
- 3.9** Under exceptional circumstances, the applicant may be allowed to partially modify the title and the proposed plan of the research. The RC shall approve

such changes on the recommendation of the supervisor.

3.10 As per rules of SGRR University Ordinance, **registered applicants shall not be allowed to register simultaneously for any other degree course.**

3.11 The admission will be confirmed after the RC approves the topic. Dean-Research shall admit the students as per the rules and regulations of the University.

RR-4: Eligibility Criteria for Research Supervisor

4.1 A regular Professor of Shri Guru Ram Rai University with at least **five research** publications in refereed journals. A regular Associate/Assistant Professor of the University with a **Ph.D** degree and two research publications in refereed journals may be **recognized as Research Supervisor (Annexure-O-V).**

4.2 Faculty/Scientists who join the University after serving elsewhere with three years of regular teaching/ research experience in the relevant discipline, are also eligible to be considered for recognition Research Supervisor if they fulfill the eligibility as mentioned in 4.1.

4.3 Faculty/Scientists desirous of supervising Research scholar of other disciplines/interdisciplinary studies, shall submit an application with their detailed curriculum vitae (CV) to Dean-Research for recognition as Research Supervisor of Shri Guru Ram Rai University along with evidence of regular service and publications of research articles in the related discipline.

4.4 To decide upon recognition of Research Supervisor, Dean-Research shall refer the application (with CV and other enclosures including publications) to the Chairman, BOS to seek the opinion of the BOS members by circulation (if BOS meeting is not scheduled around that time). The Chairperson of BOS accordingly shall communicate the recommendation of BOS regarding the recognition of Research Supervisor to Dean-Research. The Dean-Research shall notify the recognition after formal approval by the Vice Chancellor.

Note: The hiring of external main Supervisor for the purpose is not allowed, Co-

Supervisor may be allowed as per Shri Guru Ram Rai University Ph.D ordinance. Co-Supervisor can be allowed in inter-disciplinary research from other department of the same University/other institution (**Rule no. 6.1 UGC Regulations 2009 amended in May 2016**). The number of candidates that can be supervised by a Supervisor/ Co- Supervisor shall be governed as per UGC norms and SGRR University ordinance (**Annexure-O-VI**).

RR-5: Course work for Ph.D registered Research scholar

The course work is compulsory and will carry 16 credits (As per UGC Regulations 2016, the credit assigned to the Ph.D course work shall be a minimum of 08 and a maximum of 16 credits). The breakup of these credits is as under:

5.1 Research Methodology (4 credits): It includes Research Methodology, Quantitative Methods, Computer Application, Tools and Techniques including Instrumentation, Communication Skills.

5.2 Research & Publication Ethics (2 credits): It includes research & publications ethical values like plagiarisms etc; it was recently introduced by UGC (December 2019) and compulsory to all universities in their pre Ph.D course work syllabus.

5.3 Subject specific course work (8 credits): There may be one or two subject specific papers.

5.4 Field work (4 credits): Seminar/ conference presentation, review literature and other academic activities.

Table 3.0: The Course Structure and the Assessment scheme

S.N.	Subject	Credits L:T:P	Total credit	Total marks	Minimum marks to be scored for successful completion
1.	Research methodology	2:1:1	4	80	40
2	Research & Publication Ethics	1:1:0	2	40	20
3.	Subject specific paper/s	4:2:2	8	160	80
4.	Field work	0:2:2	4	80	40
Total			18	360	180

Evaluation of the course work will be done by the faculties of the University.

Admitted Research Scholar shall be required to undertake course work. The course work will be for a minimum period of one semester. Research Scholar will have to qualify course work papers in first two semesters. The course work shall be treated as pre-Ph.D preparation. The University shall decide the minimum qualifying requirement for allowing a Research Scholar to proceed further with the writing of the Ph.D thesis. If found necessary, course work may be carried out by doctoral Research Scholars in related departments/institutes either within or outside the University, for which due credit will be given to them.

Research Scholar/s who have done M.Phil from any recognized University and who were admitted to M.Phil through an entrance examination and had also undertaken course work at M.Phil level, will be exempted from Pre Ph.D course work.

RR-6: Synopsis Approval Committee (SAC) Composition:

- a) Dean of concerned School (**Chairperson**)
- b) Dean-Research (member)
- c) External expert (a Professor from outside the university)
- d) Research supervisor/s (member/s)
- e) HOD of the Department (Convener)

Research scholar has to present his/her synopsis before SAC committee for the approval of research title, timeline of M.Phil/Ph.D, aims/objectives and methodology.

RR-7: Progress Report

7.1 All the registered Research Scholars shall be required to submit to the Head, Place of Research, through their Research Supervisors, elaborate progress report every six months. If a Research Scholar fails to submit three reports consecutively, his/her registration shall be treated as cancelled.

7.2 The progress reports submitted shall be placed by the Head, Place of Research before the Progress Monitoring Committee (PMC) consisting of:

7.2.1 Dean-Research

7.2.2 The Head, Place of Research (Dean of School-Chairperson),

7.2.3 HOD (Convener)

7.2.4 The Research Supervisor/s

The Committee shall scrutinize the progress reports and prepare a brief statement on the progress of Research Scholar. In case of any dispute, the Dean-Research will take final decision. Dean-Research shall maintain the record of these reports and statements.

RR-8: Cancellation of Registration

Registration of a Research Scholar shall be cancelled (in any one of the following eventualities, after due approval by Dean-Research).

8.1 If Research Scholar fails to comply with rules of attendance as stipulated.

8.2 If a Research Scholar (full time) remains absent for a continuous period of four weeks without prior intimation/sanction of leave, admission shall be

terminated (except in special cases).

- 8.3** If he/she resigns from the Ph.D. Program the resignation should be duly recommended by the Supervisor.
- 8.4** If he/she fails to renew his registration in any semester (subject to the provision contained in the University Ordinances).
- 8.5** If his/her research progress is found unsatisfactory.
- 8.6** If he/she does not clear the course work examination within specified time/grades as stipulated.
- 8.7** If he/she is found involved in an act of misconduct and/or indiscipline and termination has been recommended by a competent authority as appointed by the University.

RR-9: Submission of Thesis

Ph.D thesis should be submitted after completion of three years (36 months) from the date of registration. Following certificates shall be submitted along with the thesis:

- 9.1** 'No Dues Certificate' from the Head of the concerned Department where the research work was carried out; Account section; libraries (departmental & central) & sports section (**Annexure-O-XIII**).
- 9.2** Declaration by Research Scholar regarding originality of the research work should be given on A4 size paper and the same is to be attached with the thesis (**Annexure-O-VIII**).
- 9.3** Certificate duly signed by the Supervisor for the fulfillment of the requirement by the candidate as prescribed by the University (**Annexure-O-IX**).
- 9.4** Declaration by the Research Scholar on a non-judicial stamp paper of Rs.100/- attested by a notary regarding originality of the research work (**Annexure-O-VIII**).
- 9.5** Research papers of the Research Scholar (published/ accepted) should be related and relevant to the research work reported in the thesis.
- 9.6** Plagiarism report duly signed by the Research Scholar.

RR-10: Format for Thesis

10.1 Preparation

Research Scholars submitting the thesis are required to adhere to the following guidelines regarding paper size; text layout etc., except in special cases in which concerned Faculty Head is satisfied that it is not possible to comply with the requirements of these guidelines:

- 10.1.1** Size of the paper should be A4 (8.5" x 11.5") except for maps, drawing, and graphs.
- 10.1.2** The text should be typed on one side of the paper leaving a margin of 4 cm on left hand side and 2 cm on right hand side as well as 2 cm at the top and 2 cm at the bottom.
- 10.1.3** The text should be typed in 1.5 line spacing using normal type face/electronic typing/ PC word processing in 12 font size of Times New Roman (English Font) or Mangal/Kruti (Hindi Font); Fancy fonts are not allowed for text writing.
- 10.1.4** Optimal length of the thesis should be kept between 150-200 pages. However, in some special cases it can be less/more.

10.2 Cover layout is also specified:

Affiliation of the supervisor could be added but it should not contain administrative designation like Head of the Department/ Dean, etc. Also do not write as Dr./Prof./ Mr./Ms./Mrs./Captain etc. before the name of scholar wherever it is mentioned in the thesis **(Annexure-O-X)**.

- 10.2.1** A Ph.D Research Scholars **has to publish two research papers** in a standard refereed /UGC listed journal before the submission of the thesis/monograph.
- 10.2.2** At least three months before the date of submission of the thesis, each Research Scholar will give a pre-submission seminar (to be arranged by the Head, Place of Research at the University) on the request of the Research scholar duly endorsed by the Supervisor. The final plan of the thesis will be discussed by the Research scholars present, among whom the presence of the

research guides and the Head, Place of Research or his/her nominee is necessary.

10.2.3 In the light of the discussion during the seminar mentioned above, the Research scholar shall submit four copies of the synopsis of his/her thesis to the Dean-Research through his/her Supervisor within one month from the date of presentation of seminar. The Supervisor will recommend a list of 10 referees to the Research Section of the University (**Annexure-O-VII**).

10.2.4 Research scholar shall be allowed to submit his/her thesis after the completion of a period of two months and before six months from the date of submission of the synopsis, failing which the candidate will have to pay the prescribed fine (2000/- per month) for late submission. Late submission of thesis shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier. Research Scholar will have to submit synopsis again, if given extension.

10.2.5 The thesis shall be submitted in seven copies of compact bound form along with a soft copy (CD). (**Annexure-O-XI**)

RR-11: Appointment of Examiners

11.1 The process for appointment of examiners shall be undertaken soon after the Research Scholars submits his/her thesis.

11.2 The thesis shall be sent to the examiners and evaluated by three external examiners for the respective faculty as mentioned below:

11.2.1 For Faculty of Pharmacy:

Two examiners from within the State and one shall be from outside the State.

"The Supervisor of the Research Scholar shall be an internal examiner".

11.2.2 For other faculties:

Two examiners from within the State and one shall be from outside the State.

"The Supervisor of the Research Scholar shall be an internal examiner".

11.3 The Chairman for the Viva-Voce and the Panel for defense of the thesis shall be appointed by the Head of the Place of Research or by the

Dean of the Faculty concerned when the Head is the Supervisor, from a panel of three experts finalized/approved by the Vice-Chancellor.

11.4 If the approval of the examiners panel is delayed beyond three months, the Ph.D Research Scholar, through his Supervisor may bring this to the attention of the Vice-Chancellor directly and the Vice-Chancellor in such a case, may initiate an appropriate action in consultation with the Dean-Research ensuring that the panel is approved within a month.

11.5 The Vice-Chancellor may indicate the order of priority of examiners from 1 to 3 from the list of 10 external examiners (as per the classification for various Faculties given in clause **RR-10.2**).

RR-12: Evaluation

12.1 After the approval of the panel of examiners, Controller of Examination (COE) shall invite the first three examiners from the approved panel, to examine the thesis. COE shall forward the thesis to the examiners within a week from the date of the receipt of the acceptance letter of the examiner or the submission of thesis, whichever is later. If an examiner does not accept the invitation within thirty days from the date of dispatch of the invitation letter, the COE shall send an invitation letter, to the next examiner on the panel(**Annexure-O-XII & Annexure-O-XIV**).

12.2 The external examiners shall independently send their reports to the COE within sixty days from the date of receipt of the thesis. If an examiner fails to do so, the COE will send him/her a reminder immediately after the expiry of the said period and request him/her to submit the report within thirty days. If the examiner concerned fails to comply even within the extended period, the COE shall cancel his appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis. In the event of a request for late submission of the Examiner's report, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc., the Dean-Research will take an appropriate decision in the interest of the Research Scholar concerned.

12.3 The positive reports received from the external examiners and the Research Supervisor (Internal Examiner) shall be immediately forwarded to the Dean -Research who, after ascertaining that the reports are positive, shall arrange for viva and defense of the thesis at the earliest date, suitable to internal examiner, the nearest external examiner and the Chairperson, Head of the concerned department will be the Chairperson for the defense. The Head shall make the reports available to the candidate, the Research Supervisor at least a day before the date of the viva. In case of any problem, Dean-Research will take an appropriate decision (**Annexure-O-XV**).

12.4 Based on final reports of external examiners, the thesis will be accepted/rejected as per given in **table 4.0**.

Table 4.0: Template for Examiner's evaluation report

S.N	Examiner 1	Examiner 2	Examiner 3	Action
1	Accept	Accept	Accept	Viva Voce
2	Accept	Accept	Minor revision	Revise thesis with corrections submit within 30 days.
3	Accept	Accept/ Resubmission	Accept/ Resubmission	Resubmission within one year after incorporating suggestions. Thesis to be sent to all examiners again
4	Accept	Accept	Reject	Thesis to be sent to fourth examiner whose recommendation shall be final
5	Accept/ Resubmissio	Reject	Reject	Reject & cancel registration

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RR-13: Plagiarism charges and subsequent actions

- 13.1** If the University receives complaint of plagiarism with sufficient evidence or if any Examiner points out occurrence of plagiarism in the thesis, thesis shall be sent to a subject Expert selected by the Vice Chancellor from the panel experts forwarded by the BOS, to verify and ascertain the occurrence of plagiarism (with the help of software and by physical verification).
- 13.2** If plagiarism is proved, a show cause notice shall be issued to the Research Scholar and a copy of the same to Supervisor/s (for information only). After receiving reply of show cause notice, all documents/reports/answers to the show cause notice shall be placed before the RC for appropriate action including possible annulment of Registration of the Research Scholar and initiation of disciplinary action against the Research Scholar.
- 13.3** Unsigned and undated complaints without the address of the complainant will not be entertained by the University.
- 13.4** The University shall also strictly maintain confidentiality of the name and address of the complainant.

RR-14: Viva Voce and Defense of the Thesis

- 14.1** The date, time and the place for the viva voce and the defense of thesis shall be notified by the Head of the Place of Research at least eight days in advance. Normally, the viva voce and the defense of the thesis shall be arranged in the University Department. In exceptional cases, the Vice-Chancellor may allow the viva to be conducted at a Place of Research outside the University campus. In such a case, the procedure and norms for the conduct of viva, payments, etc. shall be as laid down by the University.
- 14.2** The defense of the thesis shall take place in the presence of all faculty members of the concerned department, research scholar and Supervisors. The Supervisor (Internal Examiner), one External Examiner and the Chairperson shall jointly

evaluate the performance of the candidate. In case of dispute, the Dean Research shall take the final decision.

- 14.3** If neither of the external examiners is able to be present at the time of the viva voce/defense, the Vice-Chancellor, on the recommendation of the Supervisor and the Dean Research shall appoint a senior research Supervisor to act as an examiner for the defense of the thesis. In case the internal examiner is not available, the Vice-Chancellor shall appoint one of the senior research Supervisor on the recommendation of the Dean Research and Head of the Place of Research.
- 14.4** The examiners present for the viva-voce and the defense of the thesis shall submit their final consolidated report along with the reply given to the queries raised by the external examiners in the written form, signed and accepted by the members of the Viva-Voce Panel to the COE.
- 14.5** In case the defense is not satisfactory, the examiners may unanimously recommend with reasons that a fresh viva-voce and defense of the thesis be organized within a period of not less than one month. If the defense is still not satisfactory, the Committee would record the reasons for the same. The Committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.

RR-15: Depository with the University Grants Commission (UGC)

- 15.1** Following the successful completion of the evaluation process and announcement for the award of Ph.D degree, the University shall submit a soft copy of the Ph.D. thesis to the University Grants Commission within a period of thirty days, for hosting the same in INFLIBNET accessible to all Colleges/Institutions/Universities.
- 15.2** The University shall issue a provisional certificate, certifying to the effect that the Degree has been awarded in accordance with the Regulations issued by the University Grants Commission as per the Notification dated 1st June 2009

and subsequent in the Gazette of India, published on 11" July 2009 and amended in May 2016.

15.3 The final result shall be officially declared by the Dean Research within eight days from the date of the receipt of the favorable report on the defense of the thesis.

RR-16: Ethical Committee for Research

Ethical committee of the University will be constituted as per UGC CPCSEA guidelines.