

First Amendment (2024)

(Minimum Standards and Procedure for Award of Ph.D. Degree)

Regulations, 2022

Notification

It is notified that the Academic Council has approved the First Amendment to the **"Minimum Standards and Procedure for Award of Ph.D. Degree" Regulations, 2022, by Agenda Item No. 37.21 in its 37th meeting held on 15th May 2024.** These amendments aim to enhance the academic and research experience for all our doctoral candidates and will be implemented with effect from 16th May 2024. The amendments are as under:

Sr.No.	Clauses	Particulars	Remarks
1.	2..15. Basic information Regarding Admission	<ul style="list-style-type: none"> a. Applications to all Ph.D. Programs are done online through the University's portal. b. Registration Fee is non-refundable. c. Admission of the candidates for the Ph.D. Program is based on the suitability to specific specializations and subject to fulfilling all other conditions laid down in the respective Ordinances of the University. d. Candidates must read the guidelines to ascertain their eligibility criteria. e. Departments/Centers reserve the right not to fill up the vacant seats of the Ph.D. Programs in case of non-availability of suitable candidate. f. At the time of counseling, the candidate will be required to appear in person at the respective department for verification of the original documents. The Departments/ Centres will verify the certificates/ documents submitted by the candidates before granting admission. g. Determination of eligibility and verification of documents for admission to university will be the sole purview of university. h. Candidates are advised to check the admission website of the University for all Communications and updates related to admissions. University will not be responsible for a candidate's lack of awareness of the admission guidelines, schedule, eligibility criteria, and Ph.D. admission rules. It is the sole responsibility of the candidate to keep checking the dashboard, email and admission websites regularly. Grievances resulting from lack of reading / consulting these guidelines and information published/uploaded on the website of the University and/ or Departments time to time will not be entertained. i. Non-compliance with the requirements for admission, including non-submission of relevant documents and/or non-payment of Fee/s within the stipulated date and time, the candidate will lose his/her right to admission. j. If at any stage, documents submitted by the candidate relating to the admission are found to be fake/no genuine and/or fabricated or in any other manner defective, the said candidate will not be given admission and if already 	New Clause Added

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		<p>admitted, admission will be canceled without any prior notice in this regard. If the same is found after completing the Program, his/her degree will be revoked, and appropriate legal action will be taken against him/her.</p> <p>k. A candidate's participation in the admission process will be provisional. If, at any stage, it is found that eligibility requirements are not fulfilled, the admission, if granted, shall be cancelled ipso facto and appropriate legal action will be taken against such candidate.</p> <p>l. Seats mentioned on the website may vary.</p> <p>m. Supernumerary seats shall be available as per the University rules.</p> <p>n. University will not refund Admission Fee (if paid) in case any candidate is found ineligible at any stage.</p> <p>o. The University reserves the right to cancel the admission of any candidate who violates the rules and regulations laid down by the University.</p> <p>p. No Candidate shall be eligible to register for the Ph. D. program if s/he is already registered for any full-time program of study in any University/Institution and shall not be permitted to undertake any full-time course during the pendency of the program.</p>	
2	3.3 For Faculty of Management and Commerce Studies	<p>3.3 For Faculty of Management and Commerce Studies: Master's Degree or any other degree recognized equivalent thereto in Business Administration or Economics or Commerce or Psychology or Operation Research or in allied subjects or Two years Post Graduate Diploma in Management recognized as equivalent to MBA by AICTE/AIU or Graduates having passed their final examination of the Institute of Chartered Accountants of India/CS/ICWA with 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).</p> <p>a. The candidates who have qualified GATE/JRF/UGC-NET/MPhil are exempted from taking Entrance Test for admission in Ph.D. Programme and their admissions will be subject to the following conditions:</p> <p>i. The validity is applicable from the date of issue of certificate.</p> <p>ii. The result of Entrance Test will be valid for next One Year provided the seats are available in the Faculty/Department which the candidate has applied for</p> <p>b. The candidates having valid Score of GATE/JRF/UGC NET/M.Phil qualified will be given preference in admission, in cases of similar ranks in entrance examination.</p>	New Addition
3.	3.4 Guidelines for Admission of Foreign Students	<p>3.4.1 Foreign nationals fulfilling the eligibility criteria may be registered for Ph.D. over and above the maximum admissible strength as per Clause 11.2.4 of the existing Ph.D. Regulations-2022. Foreign nationals must provide evidence of language competence suited to the department they wish to join.</p>	New Addition

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		<p>Foreign nationals are exempted from entrance test_and are required to appear in interview through online or in person mode. They may be admitted based on their research proposal presentation subject to minimum eligibility criteria of qualifying exam. Foreign students will be considered under supernumerary category.</p> <p>3.4.2 Foreign nationals should bring the equivalency of degree from Association of Indian Universities (AIU), New Delhi within a period of six months from the date of admission in the Institution.</p> <p>3.4.3 A letter of recommendation to be submitted by the foreign national from the concerned embassy before the admission interview is conducted, with due verification. Till the submission of the required documents the admission shall continue under provisional status subjected to cancellation on non-compliance</p>												
4.	Procedure for Admission	5.2.2 Notify well in advance on the University website and other platforms about all other relevant information for the benefit of the candidates.	Existing Clause Amended											
		5.2.5 Teachers and Non-teaching staff, who are in service of SGT University may appear in the Entrance Test and an Interview for admission in Ph.D. Program after filling the prescribed Admission Form before the last date of submission. These will be supernumerary seats. However, the total no. of such supernumerary seats shall not exceed 10% of the total intake in Ph.D. Program offered by the University.	New Clause Added											
		<p>5.3.1 The merit list for admission to Ph.D. shall be prepared on the basis of marks obtained by the candidate in the entrance test and of interview/Viva-Voce. The question paper of the Entrance Test shall consist of 50% questions of Research Methodology and 50% from the specific subject. <u>The students who have secured 50% marks after moderation by the moderation committee in the entrance test shall be eligible to be called for interview.</u> The Entrance Test shall be conducted by the University either offline or online mode with prior notification well in advance.</p> <p>The GATE/NET/JRF/SLET/CEED/MPhil qualified candidates will be exempted from appearing in the Entrance Test and their merit will be determined on the basis of Weightages as under:</p> <table><tr><th>Description</th><th>Weightage</th></tr><tr><td>Percentage of Marks Obtained in Senior Secondary Examination of CBSE or Equivalent</td><td>10</td></tr><tr><td>Percentage of Marks Obtained in Undergraduate Degree</td><td>20</td></tr><tr><td>Percentage of Marks Obtained in Post Graduate Degree</td><td>20</td></tr><tr><td>NET/GATE/JRF/MPhil Qualified</td><td>20</td></tr><tr><td>Maximum Marks</td><td>70</td></tr></table>	Description	Weightage	Percentage of Marks Obtained in Senior Secondary Examination of CBSE or Equivalent	10	Percentage of Marks Obtained in Undergraduate Degree	20	Percentage of Marks Obtained in Post Graduate Degree	20	NET/GATE/JRF/MPhil Qualified	20	Maximum Marks	70
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		5.3.2 <u>University may admit students who qualify for fellowship/scholarship in UGC-CSIR NET/GATE/CEED, UGC-NET in all three Categories, JEST and similar National level tests based on an interview.</u>	
	Merit List	5.3.5 The Merit List of the applicants shall be prepared based on 70% of entrance test marks and 30% interview marks for each Department, separately which will be finalized by the moderation committee. The selected candidates shall be notified through their registered email ID and shall be allowed to deposit the fees within six working days from the date of notification of the Merit List. If a candidate fails to deposit the fees, the seat(s) shall be offered to the next candidate(s) on merit allowing six working days to deposit the fees.	Existing Clause Amended
	Classes of Pre-Ph.D. Course Work	5.3.6 The date of start of Course Work shall be notified in advance on the University website and intimated to the Candidates who have deposited fees through their registered email ID. The classes of Pre-Ph.D. Course Work will be conducted on hybrid mode also.	Existing Clause Amended
5.	Fee Concession of SGT students	10.2 Candidates who completed their UG and PG from SGT: 25%	Existing Clause Amended
6.	Requirement of Paper Publish for eligibility of Supervisor/Co-Supervisor(s)	11.1 i. 3 (Three) Research Publications for Professor/Associate Professor. ii. 2 (Two) Research Publications for Assistant Professor	Existing Clause Amended
	Eligibility of Co-Supervisor	11.2.5 A person from another Institution, a public sector industry, or other reputed established industry or institutions conducting research Programmes shall also be eligible to be appointed as a Co- Supervisor provided, he/she holds a Ph.D. Degree and has established record of research evident through publications indexed in reputed data base. 11.2.6 In a Department where teachers are retiring, leaving or are proceeding on long leave on deputation or where unforeseen circumstances have necessitated change of Supervisor, the RAC shall appoint Supervisor(s)/ Joint Supervisor/ Co-Supervisor(s) as Supernumerary allotment.	New Clause Added
7.	Approval of Ethical Committee	11.7 A duly approved ethical committee to monitor and approve the research plans and their feasibility in terms of ethical and safe use of drugs/plant extracts/compound/procedure etc. on human/animal subjects before starting of the study.	New Clause Added
8.	Change of Supervisor	13.2 The new/proposed Supervisor should give a 'Certificate of Willingness' to Guide/Supervise the candidate. The Vice-Chancellor on the recommendations of the RAC shall approve the change of Supervisor and orders to this effect shall be issued by the Ph.D. Cell of the University.	Existing Clause Amended
		13.9 In case of extreme hardships where it becomes almost impossible for a candidate to continue his/her research work with the Supervisor or in case the Supervisor or the candidate requests for the change of Supervisor on valid/genuine grounds, the candidate or supervisor will represent to the RAC for consideration. However, the change in such cases will be allowed after the approval of the Vice-Chancellor.	New Clause Added

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9.	Course Work	14.3 The Research Methodology course <u>may be centrally conducted through hybrid mode</u> . However, the subject-specific/oriented part of syllabi of the pre-Ph.D. course work shall be covered by the concerned Faculties / Department.	Existing Clause Amended
10	RAC & its Function	15. There shall be a Research Advisory Committee (RAC), for <u>Each Scholar</u> , to be constituted by the concerned Dean of the Faculty and approved by the Vice-Chancellor.	Existing Clause Amended
11.	Evaluation and Assessment Methods	<p>16.3 Ph.D. scholars may be encouraged to publish their research work/paper in UGC/PubMed indexed or any other reputed journal(s) and they may also be persuaded to attend/participated in national/ international conference/ symposium, seminars before submission of Ph.D. thesis to have a better exposure.</p> <p>The type of publication/ presentation shall be in the field/ sphere of topic of Ph.D. Only those research publications, in the Journal would be considered for eligibility where the name of the Research Scholar is written as an author along with that of Supervisor(s).</p> <p>The Research Scholar must mention the affiliation to the SGT University in the research publication. For example, the specification of the Research Scholar as an author in the Research Publication may be as under:</p> <p>Example:</p> <p>RESEARCH SCHOLAR (First Author)</p> <p>a. Name of the Research Scholar, Affiliation (as Research Scholar), Department of Periodontology, Faculty of Dental Sciences, SGT University, Gurugram</p> <p>SUPERVISOR (Co-Author)</p> <p>b. Name of the Supervisor, Designation, Department, Faculty, SGT University, Gurugram.</p> <p>c. Name of the Joint/Co-Supervisor, Designation, Department, and Institution affiliation (if applicable)</p>	Existing Clause Amended
12.	Appointment of Examiners	<p>16.6 APPOINTMENT OF EXAMINERS</p> <p>a. A panel of at least six experts in the subject area of research work preferably from different States of India and minimum one from the home state would be suggested by the Supervisor/Joint supervisor/co-supervisor and placed submitted to the Dean of the concerned faculty at the time of Pre-Ph.D. presentation for its recommendations to Vice-Chancellor. The Vice-Chancellor may add/ delete any of the name(s) proposed.</p> <p>b. A person from the same Institution / Institutions/ industry where the candidate is employed cannot be appointed as an external examiner. Further a person, working or retired, from a University / Institutions/ industry to which the Supervisor and/or joint Supervisor/or co-supervisor of the candidate belongs cannot be appointed as an external examiner.</p>	New Addition

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		<p>c. The board shall consist of two external examiners. The Dean shall send the panel of examiners as suggested by supervisor and/or joint Supervisor/or co-supervisor to the Vice-Chancellor for approval and identifying the external examiners for evaluation of the thesis.</p> <p>d. On appointment of Board of Examiners, the Controller of Examination shall send Synopsis to the external examiners as approved by the Vice-Chancellor and get their consent to examine the Thesis. In case one or more examiners so appointed decline to examine the Thesis, another examiner shall be appointed out of the panel. In case the panel gets exhausted, Dean shall be requested to recommend additional names in consultation with the supervisor.</p> <p>e. In case, the Vice-Chancellor himself / herself happens to be the Supervisor, the external examiners shall be appointed by the Pro Vice-Chancellor of the Institution or the Dean of the concerned faculty.</p>	
13.	16.7 EVALUATION OF THESIS	<p>(A) Evaluation of Thesis</p> <p>(i) Controller of Examination will arrange to send the two copies of Thesis to the two external examiners as finalized in above.</p> <p>(ii) Each examiner will be requested to submit to the Controller of Examination, a detailed assessment report and his/her recommendations on prescribed pro-forma within one months of the date of receiving the Thesis.</p> <p>(iii) In any case if the assessment report is not received from an examiner within one month, a reminder would be sent to the concerned examiners by Controller of Examination. Even if the report is not received after additional two months, the Vice-Chancellor may appoint another examiner from the panel of examiners for evaluating the Thesis. The panel of examiners would be exhausted in this manner, if the report is not received from the subsequent examiners. In case the panel gets exhausted, Supervisor shall be requested to recommend additional names to the Dean for onward submission to the Vice-Chancellor.</p> <p>(iv) The examiners shall be required to state categorically whether in their individual opinions, the Thesis should be:</p> <ol style="list-style-type: none"> Accepted for the award of Ph.D. degree, or Referred to the Research Scholar for presentation in the revised form, or Rejected. <p>(v) The external examiner shall state the reasons for recommending resubmission/rejection of the Thesis. If resubmission is recommended, the examiner shall specifically indicate the modifications that need to be made in the Thesis by the Research Scholar.</p> <p>(vi) On receipt of reports from all the examiners, Controller of Examination shall place these reports before the Dean/HOD concerned, who shall peruse the reports and advise one of the following:</p> <ol style="list-style-type: none"> If the examiners are unanimous that the Thesis be accepted for award of degree, the Research Scholar is required to appear for Viva-Voce. 	New Addition

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		<p>b) If the examiners are unanimous that the Thesis is rejected or that the Thesis be submitted in a revised form the result be declared accordingly, and the Research Scholar be informed to submit the Thesis in a revised form.</p> <p>(vii) If there is no unanimity between examiners, an additional external expert shall be appointed as examiner by the Vice-Chancellor among the names suggested in the panel to examine the Thesis. The report of the additional examiner, along with all the earlier reports shall be considered by the Dean/HOD concerned, and a recommendation made to Controller of Examination, either to accept/reject the Thesis for award of degree or advise the Research Scholar to submit the Thesis in the revised form.</p> <p>(viii) In the case of the candidate being required to submit a revised Thesis, he/she shall submit the same within a period of three months from date of communication in this regard from the Controller of Examination. However, in exceptional circumstances this period may be extended by another three months, but the total revision time will not exceed six months. The revised Thesis shall be sent for assessment to the original panel of examiners. In the event of one or more or original external examiners not being available, an additional external examiner may be appointed by Vice- Chancellor. The present procedure shall be followed for the same.</p> <p>(ix) In case, the Thesis has been unanimously rejected by both the external examiners, the Research Scholar would be required to re-register for the research work as a fresh candidate, if he / she so desires.</p>	
14.	16.8 VIVA-VOCE EXAMINATION	<p>16.8. Viva-Voce Examination</p> <p>(i) A Research Scholar, whose Thesis is recommended for acceptance in accordance with based on Thesis evaluation, shall be required to defend his/ her Thesis work before the external examiner (to be appointed by the Vice-Chancellor amongst the evaluators) in the presence of Dean concerned, Head of the Department concerned, and the Supervisor(s) of the candidate. Decision regarding successful defence shall vest with the external examiner. If none of the external examiners is available for the conduct of the Viva-Voce, an alternative external examiner shall be appointed by Vice-Chancellor for this purpose in consultation with respective dean and supervisor. Attempt shall be made to conduct the Viva-Voce examination within two weeks from the information received to conduct of Viva-Voce.</p> <p>(ii) The external examiner invited for Viva-Voce shall submit his report to the Dean of the faculty for onward submission to the Controller of Examination along with suggestions/recommendations.</p> <p>(iii) On completion of all above stages of examination, the Dean and HOD shall put up the final report to the Controller of Examination in prescribed annexure.</p>	New Addition

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		(iv) In case of revision, the Controller of Examination shall provide list of all corrections and modifications required in the Thesis, including suggestions made by the examiners during the Thesis evaluation to the research scholar. The Research Scholar shall thereafter submit two hard-bound copies of the Thesis, incorporating all necessary corrections/modifications.	
15.	16.9 Award of Degree	16.9 AWARD OF DEGREE (i) The Degree shall be awarded by the Institution provided that the candidate produces a "No Dues Certificate" in the prescribed form. (ii) The Institution, along with Degree, shall also issue a certificate to the effect that the Ph.D. Degree has been awarded in accordance with the UGC Regulations titled 'UGC (Minimum Standards and Procedures for Awards of M.Phil./ Ph.D. Degree) Regulation 2022, as amended time to time.	New Addition
16.	17.Migration Policy	17. Migration Policy 17.1 A candidate who has already completed Ph.D. course work as per UGC regulations from this University or from any other State/Central Universities/Institutes of eminence or from Private Universities approved by UGC may be exempted from Ph.D. course work by the Vice-Chancellor subject to the condition that such candidate must follow the complete admission process of the Ph.D. Programme, as per the recommendations from the University Migration Committee. 17.2 The validity of such Course work will be three years from the year in which he/she passed the Ph.D. course work from the migrating university. The candidate will be required to submit the university fee for transfer of the candidature along with Registration fee as recommended in the approval letter. However, there will be course work mapping by University Migration committee and candidate may needs to undergo the coursework and appear for the course work examination as notified. (A) SOPs Any scholar from the other university which is UGC approved can apply for the migration in PhD program. There should be seats available in the migrating department. As standard operating principle the applicant needs to apply to Dean, Research and Development through proper channel with the following documents: a. Application for migration with reason for migration b. All the relevant academic documents c. NOC from the donor university d. Course completion Certificate/ any courses passed e. Detailed curriculum for mapping f. Title migration NOC if required	New Addition

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		<p>After receiving the application, RAC will assess the merit of the case and mapping is done for all the courses completed by the applicant against the courses offered at SGT University.</p> <p>Once the mapping is done and recommendations are received by the RAC the case is duly forwarded to Dean, R&D and approvals are accorded as per the recommendations received. In case any discrepancy is observed the applicant is accordingly informed for compliance.</p> <p>Orders are issued after successful completion of the process and scholar is informed for submission of fees and relevant documents.</p>	
17.	University Research Fellowship	<p>19. University Research Fellowship</p> <p>University provides research fellowship to full time devoted scholars in accordance with the guidelines. Kindly refer to the university website for more information</p>	New Addition
18.	DEPOSITORY WITH INFLIBNET	<p>21. Depository With INFLIBNET</p> <p>Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same as to make it accessible to all the Higher Educational Institutions and research institutions.</p> <p>In the event of any ambiguity in the interpretation of the provisions contained in the ordinance, the decision / interpretation made by the Vice-Chancellor for clarification of such ambiguity shall be final and binding.</p>	Existing Clause Amended
19.	Issuing Provisional Certificate A	<p>25. Issuing a Provisional Certificate</p> <p>Prior to the actual award of the Ph.D. degree, the university shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations upon receiving the prescribed fees.</p>	New Addition