



Standards and Procedures for the Award of Ph.D. Degree

Ph.D. Regulations, 2024

PREAMBLE

Guru Nanak University (GNU) offers Research Programme leading to award of Ph.D. degree through its Departments, Research centres and approved collaborative research Institutions/centres. The award of Ph.D. degree shall be in recognition of high quality independent and original research resulting in discovery of new facts, or fresh approach towards interpretation and application of existing theories, knowledge to social phenomena or development of innovative products. This also includes development of techniques, ideas, and technologies for applications to the solution of problems in the areas of science and technology, business and commerce, food security, health, environment protection and defense. The work embodied in a Ph.D. thesis shall demonstrate the candidate's capacity and capability to critically analyze, logically conclude and articulate, and shall lead to significant contribution to the existing knowledge. Interdisciplinary research areas are encouraged through Co-supervision mechanisms. All candidates are expected to undertake the honor code to conduct all activities - academic and research in a manner that shall only enhance the prestige of the University. The degree of doctor of philosophy (Ph.D.) of the Guru Nanak University shall be conferred on a candidate who successfully completes all the requirements specified as per Ph.D. regulations, 2024.

General

The academic program leading to the Ph.D. degree is broad-based that involves successful completion of a mandatory course work, research work, presentations, and a research thesis. Ph.D. regulations, 2024 cover registration in the Faculties of Engineering and Technology, Computer Science & Applications, Commerce and Management, Humanities, Sciences, Applied Arts, Legal Studies, Agricultural and Horticulture, Humanities and Social Sciences, and other Faculties that may be created in future by Guru Nanak University.

1. Ph.D. PROGRAM

1.1 The GNU strictly adheres to the University Grants Commission notification dated 7th November 2022, on the subject Minimum standards and procedures for award of Ph.D. degree, namely Regulations, 2022 (No. F. No. 1-3/2021(QIP) and amendments made thereafter from time to time.

1.2 The University does not offer Ph.D. programme through distance education mode

1.3 The University admits candidates into Ph.D. programme duly approved by the Departmental Research Advisory Committee (DRAC) of the respective departments as per regulations.

2. Categories of Admission

Candidates are admitted into the Ph.D. programme of the University in the following categories:

- A. Full-Time (FT)
- B. Part-Time (PT)

A. Full-Time (FT)

- i. Candidates devoting full time to research belong to this category. A scholarship shall be provided to full time candidates subject to the availability of funds and at the discretion of Vice Chancellor (VC) of the university, such research scholars may also be given teaching load as per UGC norms
- ii. All the faculty members of GNU who are registered in the Ph. D programme offered by the University shall be treated as carrying out research in full time mode. If any faculty member, who is registered as a Research Scholar, leaves the University, his/her admission shall be converted to part-time mode.

B. Part-Time (PT)

Candidates working as teacher in educational institutions, in industry, R&D organizations, PSUs, corporate, Government officials with 5 years' experience and who are permitted for pursuing Ph.D. programme in Guru Nanak University while continuing in their job with parent organization, shall belong to this category. University may also enter into MOU with some of these organizations/institutions having research facilities

for recognizing them as Research Centers and approving supervisor/co-supervisor from these centers as per UGC guidelines.

Candidates from Industry, corporate and Govt. Officials seeking admission under this category should submit a NOC letter from their parent institution/organization along with their application. The letter shall clearly indicate:

- a. The candidate is permitted to pursue studies on a part time basis.
- b. His/her official duties permit him/her to devote sufficient time for research.
- c. If required he/she will be relieved from the duty to complete the course work.

The admission of these candidates may be cancelled if they leave the organization/industry/research institution during the programme tenure. A supporting letter duly signed by the competent authority, confirming their continuation with the parent body must be submitted periodically (every six months). These candidates will not be given any fellowship by the University. Admissions to this category will be based on performance in entrance test and interview. All other Ph.D. regulations will be applicable to these candidates.

Their admission will be considered by the University after the applicant submits a report on the proposed research work clearly indicating the problem statement, scope, literature review, methodology or approach planned etc. along with the duly filled application form. This report will be assessed by the concerned DRAC of the department. The Chairman of DRAC will arrange an Interview or video/ tele conference with the candidate to assess and recommend for pre-registration for Ph.D. program. Such candidates must have research facilities available in their organization need to have an internal guide/ Co-guide recognized by GNU from their workplace/institution, besides a guide from main campus. The candidate will have to complete mandatory course work and participate in periodic monitoring of progress/seminars/presentations.

3. Eligibility criteria for admission to the Ph.D. Programme

The following are eligible to seek admission to the Ph.D. programme:

- A. Candidates who have completed:

i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

B. Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A

relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

C. Integrated M. Tech –Ph.D. and MCA-Ph.D. Programmes

B.E/ B. Tech (60% or equivalent CGPA) and BCA (55% or equivalent CGPA) qualified candidates from a UGC recognized university/institution are eligible for admission respectively to integrated M. Tech –Ph.D. and MCA –Ph.D. programs. They will be required to complete 42 credits, including a course on research methodology besides research work. Candidates with valid NET/GATE will be given preference and exempted from entrance test. The selected candidates will be offered stipend to work as programmer/teaching laboratory assistantships. After two years based on course work and a dissertation evaluation, candidates will be awarded respective, M. Tech (by Research) and MCA (by Research) degrees. Thereafter, candidate will be entitled to exit or he/she can directly submit a Synopsis (like full time Ph.D. candidates) and register for Ph.D. They will be eligible to submit a Ph.D. thesis two years after registration. Other conditions for submission of Ph.D. thesis and evaluation shall apply. A separate entrance examination will be conducted for this category.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

4. Departmental Research Advisory Committee (DRAC)

A Departmental Research Advisory Committee will be constituted in every department as follows:

- a. Head of the Department/A senior professor (to be appointed by VC) - Chairman
- b. Head of the Department - Convener
- c. All faculty members of the Department having Ph.D. - Member

Vice- Chancellor may nominate more experts in Departmental Research Advisory Committee (DRAC).

Powers and functions of this committee shall include:

- i. to prepare research student vacancy slots list in the university department with eligible faculty as supervisors,
- ii. to coordinate with Controller of Examinations for planning and conduction of entrance test,
- iii. to interview and recommend the list of selected candidates to the Vice Chancellor through Dean (R&D) and Rector for approval,
- iv. to recommend and forward pre-registration of selected candidates to examination branch,
- v. to evaluate six monthly research progress report of research scholars of the department and suggest corrective measures,
- vi. to recommend terminations of admission when progress is unsatisfactory and candidate is not responsive,
- vii. to approve Synopsis, thesis topic and title for registration,
- viii. to approve pre-thesis submission seminar proceedings,

For meeting of DRAC convened to approve synopsis and research title, Dean of concerned faculty, Supervisor/co-supervisor of the candidate in case they are not from the Department shall be special invitee (to be invited by the Chairman of DRAC). DRAC will also consider the comments of an outside expert (to be nominated by Vice Chancellor) in the specific area of research on synopsis.

5. Selection Procedure

Notification for admission to Ph.D. programmes offered by the university and opened for admission shall be issued twice a year. Office of Dean (R & D) shall compile information on vacancies/slots from various department of the university/constituent institution and also lay out approved eligibility and admission criteria. The admission shall be made for different categories as follows:

5.1 Indian Candidates

Eligible applicants possessing the minimum educational qualification in line with the reservation policy and satisfying additional criteria, if any, set by the university from time to time shall qualify in an entrance test and an interview to be conducted by the University.

Candidates seeking admission into Ph.D. programme other than their respective PG discipline shall appear for the entrance examination and interview in the area of research they are seeking admission. A weightage of 70 % to entrance test score and 30% to interview will be given. Students who have scored 50 % marks in the entrance test will be called for the interview. (5% concession in case of SC/ST and others as per UGC norms)

The University reserves the right to allow or disallow a candidate seeking admission to Ph.D. program of other disciplines (Inter-disciplinary Research). If permitted, such candidates shall do course work in the registered discipline and the degree will be awarded only in the registered discipline.

The candidates who have qualified UGC (NET) / UGC-CSIR (JRF) examination/ SLET/ GATE/INSPIRE/GPAT/ICAR-SRF (PGS)/ Rajiv Gandhi Fellowship awardees / Maulana Azad National Fellowship/ JEST/ Teacher fellowship holder/QIP and foreign candidates sponsored by ICCR or any other department of Government of India, candidates who are awarded fellowships directly by other funding agencies for the purpose of pursuing Ph.D., will be exempted from Ph.D. entrance test. Candidates admitted in R & D projects sponsored by funding agencies of Government of India are also exempted. Such candidate can be pre-registered any time during the session depending on availability of slots/ vacancies.

For Candidates seeking admission on the basis of NET score UGC public notice bearing No. F. 4-1 (UGC- NET review committee)/ 2024 (NET)/140648 dated: 28th March, 2024, will be applicable.

Merely qualifying the Ph.D. entrance test will not entitle the candidate for admission to Ph.D. The number of candidates to be admitted to the Ph.D. programme will be notified

by the University depending on the number of slots, projects and research facilities available.

Based on the performance of the candidates in the entrance test and/or interview, the DRAC Chairman will recommend to the Vice Chancellor through Dean (R&D) and Rector, the names of such candidates found suitable for admission into the Ph.D. programme. The Vice Chancellor, after due consideration of the recommendations of the Dean (R&D) and Rector, will accord approval for the admission and pre-registration.

5.2 Foreign /NRI/PIO Candidates

Such a candidates shall submit a report on the proposed research work clearly indicating the problem statement, scope, literature review, methodology or approach planned, expected outcomes etc. along with the application. This report will be assessed by the concerned DRAC of the department and the Chairman of the DRAC will arrange an Interview or video/tele conference with the candidate to assess and recommended for pre- registration to Ph.D. programme. Eligibility of foreign candidates shall be determined on the basis of recognition of their degrees by Association of Indian Universities (AIU), New Delhi.

A candidate can have GNU approved external co-supervisor and supervisor must be from main University campus. Other ordinances governing Ph.D. program apply including course work and periodic monitoring shall apply.

Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars.

6. Allocation of Supervisor

- a) The allocation of the supervisor is decided by the DRAC in a formal manner by considering the number of scholars per supervisor, the available expertise of supervisors, and the research interest of the candidate. The allotment of supervisor shall not be left to the individual candidate or faculty.
- b) There shall be not more than two supervisors from the University for a research scholar. Co-Supervisors from within the same department or other departments of the same

institution or other institutions may be permitted with the approval of the competent authority. In case of interdisciplinary/multidisciplinary research work, if required, a Co-supervisor from outside the Department/School/Centre/Constituent college/University may be appointed. However, there may be an exception in case of funded research projects.

- c) University will enter into MOU with other Research organizations/institutions /Research laboratories for recognizing them as Research centers and approving supervisor/co-supervisor from these centers as per UGC guidelines. A duly complete proforma for allocation/approval of supervisor (Annexure-I) shall be submitted along with every pre-registration recommendation.
- d) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- e) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

6.1 Eligibility Criteria to be a Ph.D. Supervisor

- i. Permanent faculty members working as Professor/Associate Professor of the Guru Nanak University with a Ph.D.
- ii. At least three research papers in the case of Assistant professor and five papers in the case of Assoc-professor/Professor in the relevant area published in peer reviewed indexed journals.

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

6.2 Number of Scholars with a Supervisor

An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.

Each supervisor can guide up to two international research scholars, and two industry/corporate scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified above.

7. Dean Research and Development (Dean R&D)

Dean Research and Development is appointed by the Vice Chancellor from amongst the senior professors of the university with following roles and responsibilities

- i. To facilitate quality research in the University, constituent campus and recognized research centers;
- ii. Coordinate, supervise the admission of students to research programs of university and recommend to the Vice Chancellor for approval of admissions made;
- iii. Formulate, Revise or update policies of the University pertaining to funded research projects. campus policies, procedures and guidelines relating to research and development. Motivating faculty for submitting research projects to funding agencies with the coordination of DRAC and Rector;
- iv. Responsible for administration of research funding, consultancy and contract research management, in that to monitor effective utilization of funds of externally funded projects and related financial matters;
- v. Facilitate the implementation of funded research projects;
- vi. To identify research and development priorities/ identify research thrust areas, formulate a research plan and create research groups and identification of potential

new areas of research and development in coordination with consultation with Deans of faculties, Directors and HoDs to be approved by Rector and VC;

- vii. Maintain research output record of the University for annual research report;
- viii. Prepare draft MoUs with Institutions in India and abroad to encourage and support research activities amongst faculty. All the MoUs to be signed by the Registrar after draft is approved by Vice Chancellor;
- ix. Motivate faculty to initiate research projects and submit research proposals to funding agencies/ enhancement of the campus' research culture, and mechanisms that support the promotion of research performance;
- x. Management of Ph.D. program in the University and implementation of Guidelines/rules;
- xi. Lay down policies and Promote Undergraduate/ post graduate research schemes and opportunities with the support of board of studies and to be approved by RDB;
- xii. Administration and monitoring of consultancy work in the University;
- xiii. Responsible for plans and projecting requirement of research infrastructure;
- xiv. To maintain record and update UGC guide lines, including guide lines for preventing plagiarism, and certify the extent of similarity in a thesis/dissertation before submission.

8. Pre-Registration

Research Scholars listed in the selection proceedings approved by the Vice Chancellor will be assigned a supervisor by DRAC and shall pre-register into the Ph.D. after completing formalities/requirements as specified by the University. Transfer of Registration from other Universities is allowed as per UGC norms. A duly completed proforma (Annexure-II) with recommendations of supervisor and is forwarded by HOD through Dean (R & D) and Rector to the examination branch along with a proposed research area title, a summary of the proposed work (500 words) and supervisor approval form (Annexure - I). Ph.D. section will issue a pre-registration certificate to the candidate (Annexure -III) which also contains further instructions to the candidate.

9. Change of Supervisor or Appointment of Co-Supervisor

The DRAC may recommend change of Supervisor or appoint a Co-supervisor on the request of the research scholar for valid reasons recorded. In such a case the consent of the existing supervisor and proposed supervisor/co-supervisor shall be mandatory. In case any supervisor goes on long leave (more than a year) or resigns or retires from the University, the Vice Chancellor will nominate another faculty as Supervisor/Co-supervisor/administrative supervisor/care taker supervisor on the suggestion of the Chairman, DRAC through Dean R&D and Rector. If there is a change of supervisor, the submission time of the thesis will be reviewed by the DRAC and sent for approval to VC through Dean R&D and Rector.

10. Change of Status from Full Time to Part Time and Vice Versa

Candidates pre-registered under Part-Time can be converted into Full-Time and Vice-versa. Rules pertaining to the respective admissions shall prevail. Time spent as part – time scholar be treated as 2/3rd of the time spent as a Full-Time scholar. Scholars seeking conversions of registration status shall submit an application to the Dean (R&D) through the research supervisor, and Chairman DRAC. The DRAC will notify the decision of the Dean (R&D) to respective scholar. The same will be communicated to examination branch (thesis section).

If a candidate changes their status from full-time to part-time, their remaining tenure will be five years minus the time they spent as full-time. The same applies if a candidate changes from part-time to full-time.

Full-time research scholars who get permanent employment must convert their registration to part-time within six months, or their registration may be canceled. To convert, they must have completed at least one year of full-time research.

11. Course Work

Every admitted Ph.D. scholar is required to undertake pre-Ph.D. course work as per the UGC guidelines. The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” and a research methodology course. The course work for 12 credits shall be treated as pre- Ph.D. requirement.

11.1 Pre-Ph.D. Courses

- a. The DRAC of each department shall release a set of courses & syllabi approved by respective Board of Studies (BOS), covering all research options available (not more than 30 in number and preferably from the PG Programs being offered by their department), or advanced courses, which enable the candidates in selecting the required courses with consent of the supervisor and DRAC.
- b. Each Ph.D. candidate will have to undertake one course (4 credits) on Research Methodology in the subject of specialization, which will include Quantitative Methods, Computer Applications, Instrumental Techniques, Research Ethics, and reviewing of latest published research work in relevant field and Field work etc. Candidates who have already cleared a Research Methodology course as part of PG/M.Phil. programme at relevant level and provide proof of the same, may be exempted by DRAC and credits already earned are accounted.
- c. Besides research methodology, every research scholar has to complete at least 2 other courses (4 credit each) as Paper 2 and Paper 3 given by the DRAC. In the case of interdisciplinary/interdepartmental research, Paper 2 and Paper 3 shall be taken from both branches as per the areas of the research. If candidate pursuing M. Tech - Ph.D./MCA-Ph.D. integrated programme after B. Tech /MCA degree, then a total of 12 courses (42 credits) will have to be cleared.
- d. Full Time scholars (FT) can attempt Pre-Ph.D. examination after completion of 6 months from the date of pre-registration. The FT Scholars and the faculty who are registered as FT must qualify Pre- Ph.D. examinations within two years from the date of pre-registration. The FT scholars who do not comply with this requirement must

re-register for the Ph.D. programme in Part-Time (PT) mode and the entire fee payable will be applicable as prevailing at the time of re-registration. The FT scholars must repay 50% of the stipend paid before re-registration can be affected.

- e. Part Time scholars (PT) can attempt Pre-Ph.D. examination after completion of 6 months from the date of pre-registration. The PT scholar must qualify Pre- Ph.D. examinations within two and half years from the date of registration. Those who do not comply with this requirement must re-register for the Ph.D. program and the entire fee payable will be applicable as prevailing at the time of re-registration.
- f. A scholar is permitted to avail only three chances (attempts) to clear the Pre-Ph.D. examinations.
- g. In case of delay in completing course work, a scholar is not permitted to submit the thesis within one year from the date of completion of Pre-Ph.D. courses.
- h. The Ph.D. course work will evaluation will follow credit-based system.

11.2 While undertaking the course work, the following terms are defined

- i. 'Course' means a semester course.
- ii. 'Credit' means weightage assigned to a course in terms of contact hours (1 Credit theory= 1 contact hour per week/ 1 Credit practical or seminar or field work/laboratory course = 2 contact hours per week.
- iii. 'Grade' means a letter grade assigned to a candidate on a 10-point scale.
- iv. 'Cumulative Grade Point Average' (CGPA) means total weighted average of grades in all semesters = $(\sum G_i * C_i) / \sum C_i$, where G_i is the grade in the i^{th} course, and C_i are the credits in the i^{th} course.

Performance grade given in a course	Letter Grade	Grade Points	Percent score in absolute marking system
Outstanding	A+	10	>80 to 100
Excellent	A	9	>75 to 80
Very Good	B+	8	>70 to 75
Good	B	7	>60 to 70

Average	C+	6	>50 to 60
Fair	C	5	>40 to 50
Deficient	D	4	>30 to 40
Poor	E	3	>20 to 30
Very poor	F	0	0 to 20

11.3 A Ph.D. candidate will be required to obtain at least 'C' grade in each course. However, a candidate will have to obtain a CGPA of 6.0 or above, in order to be eligible to submit the thesis. A candidate getting lower grade than C in any course will have to opt another course in lieu of such a course with the approval of his/her supervisor, and will have to obtain at least 'C+' grade in this course within one year of first taking up of that course, failing which his/her pre-registration to the Ph.D. programme will be cancelled.

11.4 If necessitated, course work may be carried out by Ph.D. scholars in Departments/ Institutes either outside the University where PG courses are being offered or course work carried out in departments/institutes/ constituent colleges/ recognized Research Centers of GNU will be admissible. A certificate shall be produced by the scholar from Head of the Institution to that effect where the course work has been taken-up.

11.5 The Departmental Research Advisory Committee (DRAC) can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

12. Monitoring Research Progress:

Progress Reports and Seminar Presentations

Every scholar pursuing Ph.D. shall submit a six-monthly progress duly signed by the supervisor and forward by the Head of the Department for consideration of the DRAC.

12.1 The DRAC shall evaluate the progress report along with supervisor of his/her work and submit recommendations to Dean (R&D) along with a copy of Ph.D. scholar's progress report. A copy of recommendations shall also be provided to the Ph.D. Scholar and Supervisor

12.2 In case the progress of the Ph.D. scholar is unsatisfactory, the DRAC shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the DRAC may recommend, with specific reasons, the cancellation of the pre-registration/registration of the Ph.D. scholar from the Ph.D. programme.

12.3 Each research scholar to deliver two seminars in the department regarding progress made in his/her research work. By the time, the scholar submits his/her thesis, he/she should have given a minimum of four seminars [two seminars for research progress + one seminar for synopsis approval/registration + pre-thesis seminar for submission of summary of thesis).

12.4 Part time scholars may present their research progress seminars through webinars, by taking prior approval from the DRAC concerned. However, they should physically deliver synopsis registration approval and pre-thesis seminars.

12.5 The half-yearly progress report should cover the following aspects

- a) The review of literature.
- b) Discussion of research Work done.
- c) Research papers published/presented/communicated, if any,
- d) Review of plan of proposed research work

12.6 If any Scholar fails to attend 2 consecutive reviews without valid reasons or fails to submit the progress reports or the DRAC disapproves the progress based on the reports submitted and presented by the scholar, his / her admission may be cancelled.

13. Cancellation of Pre-Registration

The Pre-registration/Registration of the candidate will be cancelled, if he/she: -

13.1 Does not register for course work in the ongoing/immediately following semester (if admitted mid semester) without valid reasons, on his/her admission to Ph.D. may be cancelled.

13.2 Fails to maintain the required CGPA in the course work as per rules.

13.3 If the progress of the research scholar is found not satisfactory by the supervisor, DRAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRAC may recommend with specific reasons for cancellation of the pre-registration/registration of the research scholar.

13.4 Does not pay the fee/dues in time

13.5 Commits plagiarism or unethical practices in research.

13.6 Indulges in activities of indiscipline,

13.7 Absents himself/ herself from the Department without permission of the competent authority.

13.8 In case of any serious problems candidate can submit request and his/her application is recommended by the supervisor and forwarded by the Head of the Department, DRAC can take appropriate decision

14. Minimum and Maximum Duration of the Program

14.1 The minimum duration of the Ph.D. program normally is as follows:

For candidates with master's degree

- a. 3 years, for Full-time scholars
- b. 4 years, for Part-time scholars

14.2 The maximum duration of the Ph.D. program normally is as follows:

- i. After four years, the candidate application recommended by the Supervisor and forwarded by the Head of the department concerned, on the basis of recommendations the Rector may extend this period by one year followed by another year. After a period of six (6) years, from the date of pre-registration, on a further request made by the candidate, the Vice-Chancellor after considering the recommendations of the Rector may condone further delay in the submission of thesis in very special circumstances. However, the total period for completion of Ph.D. programme in such cases should not exceed eight (8) years from the date of admission to the Ph.D. programme.

- ii. Similarly, after four years, the Rector may, on the application of the female and person with disability (more than 40% disability) candidate recommended by the Supervisor and forwarded by the Head of the department concerned, extend this period by three years (one by one). After a period of seven years after the date of pre-registration, on a request made by the female candidate and person with disability (more than 40% disability), the Vice-Chancellor after considering the recommendations of the Rector may allow further relaxation of two (2) years. However, the total period for completion of Ph.D. programme in such cases should not exceed ten (10) years from the date of admission to the Ph.D. programme.
- iii. A fee will be charged as prescribed by the university from time to time for each extension in submission of thesis (Please see section 27).
- iv. If the candidate is unable to submit the thesis after the completion of the extended time period, the registration of the candidate will automatically stand cancelled after he/she has availed the extensions to be allowed by the Rector/Vice-Chancellor for submission of Ph.D. thesis.
- v. In addition, the women candidates may be provided Maternity Leave/Child Care Leave up to 240 days in the entire duration of Ph.D. programmer.

15. Submission Of Synopsis and Registration

After a candidate has made reasonable progress, he/she will be eligible to submit the synopsis after one year from the date of pre-registration and within two years from the date of pre-registration. Synopsis (maximum 20 pages) must be signed by both candidate and supervisor and recommended by the Head of the Department. However, if the candidate fails to submit synopsis within limit period from the date of pre-registration, the Dean (R and D), may grant extension of six months for submission of synopsis with a fine as prescribed by the university from time to time as late fee. Further that the maximum time limit for submission of synopsis after the date of pre-registration shall be two & half years, after that pre-registration of the candidate may be cancelled. The application for synopsis

submission (along with appropriate number of copies of synopsis) is to be submitted, by the candidate through HOD, to the chairman DRAC. The general format of synopsis is as follows:

i. **For Science and Engineering & Technology**

- a) The title of the synopsis
- b) Review of the literature
- c) Objectives
- d) Work plan/Methodology
- e) Brief summary of work completed
- f) Remaining work
- g) Bibliography

ii. **For other Faculties**

- a) Title of the synopsis.
- b) Review of the literature.
- c) Objectives/Hypothesis
- d) Research Methodology
- e) Work done and remaining work
- f) Bibliography

iii. The synopsis of the Research Scholar will be duly considered by the DRAC in a specially convened meeting for approval of Synopsis and Topic of research. The meeting shall be attended, besides members, by Dean (faculty). Report/suggestions on synopsis by an expert in the specific area, nominated by VC from a panel of three for evaluating the synopsis, are placed before DRAC for consideration. Candidate makes a presentation before DRAC. The committee examines the feasibility and justification of the proposed research work and may also suggest changes in synopsis and reconsider the modified version. The DRAC shall send its positive recommendations to the Research Degree Board (RDB).

16. Research Degree Board (RDB)

The constitution and composition of the RDB shall be as follows:

- | | |
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| a) Rector | Chairman |
| b) Dean (R and D) | Convener |
| c) All Deans of the Faculties | Members |
| d) All Professors of the Departments | Members |
| e) All Heads of the Departments | Members |
| f) Two senior most Associate Professors (having Ph.D. by rotation) | Members |
| g) Two senior most Assistant Professors (having Ph.D. by rotation) | Members |

Besides considering and approving/suggesting modification to the synopsis, the RDB may also recommend to the competent authority, from time to time, changes and modification in the existing Ph.D. ordinances. RDB in its meeting shall approve the DRAC recommendations to finalize the registration as well as approved title of the thesis. After approval of the final title by RDB, a list of registered candidates with date of registration and approved title is published by Ph.D. section; normally the date of registration will be same as date of pre-registration.

17. Cancellation Of Registration

- i. The registration of a research scholar whose progress is not found to be satisfactory by the DRAC is liable to be cancelled.
- ii. The registration of a research scholar who has not submitted his/her thesis before the end of the maximum permissible period.
- iii. If the performance of candidate is not satisfactory for two semesters consistently, DRAC may recommend for the cancellation of registration. In case of full-time scholar, DRAC may recommend to cancel the Stipend/Fellowship. Based on the recommendations of DRAC and Dean (R&D) and Rector, Vice chancellor will take the decision.

- iv. University reserves the right to cancel the registration at any point of time if found guilty of plagiarism or any valid reason, on the recommendations of RDB. If the registration of a scholar is cancelled by the University due to any of the above reasons and then the scholar would like to re-register, University may allow for re-registration based on the DRAC recommendations. However, the rules, regulations, and tuition fee of the batch for which he/she is registered will be applicable.

18. Pre-Thesis Submission Seminar and Submission of Thesis Summary and Thesis

- i. The Ph.D. thesis shall be a report, in an organized and scholarly fashion, an account of the original research work of the candidate leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge. It should also portray the candidate's ability to undertake independent research and present the findings in an appropriate manner with actual accomplishments of the work, plainly stated and honestly appraised.
- ii. Upon satisfactory completion of course work, and obtaining the marks/grade as per university rules, as the case may be, and after having accomplished the set objectives of the research work, the Ph.D. scholar will be required to give an open seminar (Colloquium) in the department before DRAC of the concerned department in the presence of faculty members and other research scholars of the department. A formal request by the candidate, through supervisor and HOD is submitted to Chairman DRAC for fixing the pre-thesis submission seminar. The feedback and comments obtained from may be suitably incorporated into the draft thesis summary. The date for the seminar will be fixed by the supervisor in consultation with the DRAC chairman with information to the Dean of concerned faculty, with at least one week notice to the faculty and the candidate, and the presence of supervisor is mandatory at the time of all presentation.
- iii. After successful presentation at seminar and fulfilling other conditions for summary submission, the candidate will submit 10 copies of summary (about 1000 words) to

examination branch and also soft copy within three months from the date of open seminar, provided that the actual date of submission of the thesis is not over. Summary is submitted along with requisite certificates (**Annexure IV**).

- iv. If any minor changes in the title at time of open seminar are recommended, these can be made with the approval of the Chairman, Research Degree Board (on the recommendation of DRAC Chairman).
- v. Upon intimation from the examination branch, Head of the Department in consultation with the supervisor will submit a panel of adjudicators (Professor Level), so that the consent of two adjudicators can be obtained before the submission of the thesis
- vi. However, if a candidate fails to submit his/her thesis within three months from the date of submission of summary, the Rector may grant extension of one month with a fine of Rs. 2500/- and the Vice-Chancellor may grant another extension of one month with a fine of Rs. 5000/- as a late fee provided that the actual date of submission of the thesis is not over
- vii. To maintain higher standards and in their own interests, research scholars are desired to publish at least two research paper in a refereed and reputed journal, with at least one research paper in SCI/Scopus indexed journal and make two paper presentations in conferences /seminars before the submission of summary of the thesis. In the case of Sciences and Engineering & Technology, it is desired that the publication of the research paper shall be in a journal with impact factor 1.0 or above.
- viii. A thesis must be based on original research resulting in either a discovery of new facts or a fresh interpretation of known facts and theories in either case, it should give evidence of the research candidate's clear understanding of the subject and his/her critical judgment, and it should be well presented. Edited texts of unpublished manuscripts or critical editions of published texts accompanied by proper collation and scholarly annotation and critical interpretation may be considered for the award of the degree of Ph.D.

- ix. A research candidate may incorporate in his/her thesis contents of any subject for which no degree other than M. Phil has been awarded by GNU or any other university. The Ph.D. thesis in the faculty of languages shall be written in the concerned language ordinarily.
- x. A Research Scholar may submit the CD/pen-drive containing chapter-wise files of thesis in the office of the Dean (R & D) for checking of plagiarism from the plagiarism checking centre which shall have latest software for plagiarism/similarity checking. A certificate based on the evaluation certifying that similarity index is within prescribed limits must accompany the thesis submission documents.
- xi. While submitting for adjudication, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor, countersigned by the Dean (R and D) 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.
- xii. The candidate shall submit four copies of Ph.D. thesis in compact size typed in One and a half space in Times New Roman, Font size 12 with double side printing except for Photographs which can be on one side of the pages together with one CD/soft copy to the examination branch (Thesis section) along with duly completed thesis submission proforma and certificates (**Annexure V**), examination fee as prescribed by the university at that time and a certificate from the supervisor, and co-supervisor if any, that the thesis is fit to be considered for evaluation for award of the degree of Ph.D. The candidate shall also submit a certificate attested by the supervisor that the thesis is entirely based on his/her own work, and that all ideas and references have been duly acknowledged.

19. Preventing Plagiarism

University strictly follows the UGC Regulation 2018 regarding “Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions”.

The University shall install UGC approved software for checking similarity / plagiarism in thesis/ research publications' manuscripts/ dissertations. A certificate based on test report issued by supervisor certifying that found similarities or within prescribed limits will have to be submitted along with other thesis submission documents. The permissible limit of similarity shall be 15% in introductory chapter, chapter on review of literature and materials and methods/experimental section, and 10% in chapter(s) covering results and discussion.

While evaluating similarity index following shall be excluded:

- a) All quoted work with necessary permission /attributions
- b) References, bibliography, table of contents, preface and acknowledgements
- c) The generic terms, laws, standard symbols/ notations, equations and instrumental procedures and protocols for assays

If any plagiarism is detected/ pointed out at a later Stage, a committee duly approved by the Vice Chancellor of university and comprising of:

- a) Rector
- b) Dean of faculty
- c) HOD
- d) An expert from the field / senior professor shall evaluate / categorize plagiarism on UGC norms follows and UGC norms for penalties shall apply. (**Annexure VI**)

Soft Copies of Ph.D. theses and dissertations will be submitted to INFLIBNET within a month after viva voce for inclusion under "Shodhganga" (e-repository).

20. Panel of Adjudicators

A panel of six adjudicators compiled by HOD in consultation with supervisor will be forwarded by COE for VC's approval and selection of adjudicators from the submitted panel. The thesis will be referred to two adjudicators chosen by the Vice-Chancellor (one from within the State, and one from outside the State) from a panel 6 adjudicators - 3 Adjudicators (Professor Cadre) from universities/institutions within the state and 3 from IIT/IISc/Central Universities/NIT (Professor Cadre) and a scientists equivalent to professor

from National Research Labs or any other reputed Universities outside the state. The submitted panel shall have following information about the adjudicators

- a) Name
- b) Academic Designation and status
- c) Postal Address
- d) Area of the specialization
- e) Phone number/Fax no and or e-mail id

In case the panel of adjudicators is not received from the Head of the department within one week from the date of submission of the summary of the thesis, the Rector Affairs will convene a meeting of the Head of the department and the supervisor of the candidate and submit the panel of examiners. In case of retired persons, their last designation shall be indicated without which the panel would be considered incomplete.

Provided that where there is no Head of the department in a subject or Head of the department is research supervisor of the candidate, the Dean, of the faculty concerned may suggest a panel of examiners in consultation with the supervisor. If no consent is received from an adjudicator within one month, a new adjudicator shall be appointed.

Controller of Examinations shall personally open the reports when all the three reports are received from the examiners. In the absence of Controller of Examinations, Dean R & D shall open the evaluation reports.

21. Evaluation of Ph.D. Thesis

21.1 Each adjudicator after examining the thesis will submit a report containing a clear recommendation as per Evaluation Proforma (**Annexure VII**) as follows:

1. The Thesis is accepted and viva-voce can be held.

OR

2. The Thesis should be referred back to the scholar for revision and re-submission before conducting viva- voce.

OR

3. The Thesis should be referred back to the scholar for revision and re-submission for re-evaluation.

OR

4. The Thesis is rejected.

21.2 In each case the examiners shall clearly submit to the University his/her critical evaluation, comments and suggestions on the Ph.D. thesis. Each examiner shall also send at least five questions to be asked from the candidate during viva voce.

21.3 Negative Reports:

- i. In case of negative/revision report from any one examiner, the Dean (R&D) through Rector will send such cases to the Vice-Chancellor for approval to refer to the following committee:
 - a) Rector
 - b) Dean R & D
 - c) Dean of the Faculty concerned
 - d) Head of Department
 - e) Supervisor of the Candidate

The committee will consider all the 2 reports and give its specific recommendation as to whether:

1. The thesis has to be revised and re-submitted

OR

2. The thesis may be accepted and viva-voce held

- ii. If both examiners reject the thesis, then the thesis shall be rejected.
- iii. In case one examiner recommends the award of Degree, and second examiner recommends revision, then the candidate shall be advised to re-submit the thesis after making necessary changes within three months.
- iv. In case major revision and reevaluation is recommended, the revised thesis must be submitted within one year from the date of intimation of the revision

of thesis to the candidate. The revised thesis shall normally be resubmitted for evaluation to the same examiner(s) who had recommended revision. If the examiner(s) recommend award of Degree, then the viva-voce examination may be held. In case the examiner(s) again recommend revision or rejection, the thesis shall be deemed as rejected.

- v. For evaluation of the thesis not more than two months be given to any examiner. If any examiner fails to send the report within two months, a new examiner is to be appointed.

Note: The evaluation process and reports of examiners must be kept confidential.

22. Viva Voce

22.1 After the Thesis is accepted an open Viva- Voce will be held in the University by a Board comprising the following members.

- | | |
|--|--------------------|
| a) HOD | Convener |
| b) One of the Adjudicators of the Thesis | Member of Examiner |
| c) Supervisor | Member |

The reports of all the external adjudicators shall be made available to the committee conducting Viva Voce. The viva-voce examination of the candidate for the Ph.D. shall be a public viva-voce where all the members and research fellows in the faculty will be invited to be present. At least four days' notice (**Annexure VIII**) will be given to the faculty members to attend the viva-voce.

The committee conducting the viva-voce of the candidate will consider the reports of all the examiners, ask questions raised in these reports and get the clarifications regarding the comments of the adjudicators and this fact be mentioned in the viva-voce report

The Vice-Chancellor may relax the above procedure if required, the special circumstances of the case so demand, which may include online participation of adjudicator/candidate.

22.2 The scholar shall address the clarifications sought by the adjudicators through their reports during Viva – voce.

22.3 The majority opinion of the Viva-voce committee is considered as below

1. The scholar be awarded the Ph.D. Degree of GNU. (**Annexure IX**)

OR

2. The scholar shall re-appear for the Viva-Voce after a stipulated period of time as specified by the Board.

22.4 Along with viva voce report, a certificate by supervisor, countersigned by HoD (Annexure X) certifying that all corrections have been incorporated is also to be submitted.

23. Award of Ph.D. Degree

Upon successful completion of Viva- Voce and on consideration of the reports of the Viva-Voce board and the Thesis adjudicators, the Vice-Chancellor may approve the Notification of the award of the provisional Ph.D. degree to the scholar. The award of the degree will be confirmed by the Board of Management (BOM).

24. Discipline

All the research scholars shall follow the discipline rules and regulations of the University.

25. Withdrawal of Ph.D. Degree

In case it is brought to the notice of the university that gross malpractices have been resorted to in a Ph.D. thesis tarnishing the image of the university and Ph.D. degree has already been awarded, the Vice Chancellor shall constitute following committee to ascertain the facts;

- | | |
|-------------------|----------|
| a) Rector | Chairman |
| b) Dean (R&D) | Member |
| c) Dean (Faculty) | Member |

- | | |
|--|--------|
| d) Chairman DRAC | Member |
| e) An expert to be nominate by Vice Chancellor | Member |

Malpractices may include one or more of the following:

- i. Gross Plagiarism
- ii. Misappropriation of unpublished data/work of someone else
- iii. Falsification or suppression of facts/information
- iv. Manipulation of data, figures, graphic representations
- v. False claims

Besides, the recipient of Ph.D. degree of the university may be indulging in directly or indirectly defaming the University.

In case the findings by committee substantiate the alleged frauds, a show- cause notice shall be issued to the concerned person and his reply along with report of committee, and evidences shall be placed before Academic Council as a special resolution for withdrawal of Ph.D. degree. The Academic Council may, by a majority of two-third of members' present, recommend the withdrawal of Ph.D. degree.

After confirmation academic council resolution by Board of management, the BOM decision is supplied to the concerned who can appeal within thirty days of receipt of decision to Chancellor.

The decision of the Chancellor on such appeal shall be final.

26. Leave Rules

Full time scholars are eligible for one casual leave per month to be sanctioned by respective HOD. The scholar is also eligible for a maximum of 15 days of medical leave per annum. A female scholar can avail maternity leave/child care leave of maximum 240 days, to be recommended by the Dean (R&D) for approval by the Vice Chancellor.

27. Shodhganga (e-Repository)

On successful completion of the evaluation process and issue of notification of the award of Ph.D. the university examination branch shall submit a soft copy of the Ph.D. thesis to the Shodhganga (E-Repository) and certificate will be issued to the candidate.

28. Fee Details (in Rs) and Fee Remittance

Fee Component	Full time Scholars	Teacher Fellows Full time	Part time Scholars
Annual Fee (Engineering, Biotechnology, Computer Applications, Computer Science, Commerce & Management streams)	1,50,000	1,10,000	1,10,000
Annual Fee (Other Streams)	1,50,000	1,10,000	1,10,000
Pre-registration fee	--	--	--
Course work fee	--	--	--
Synopsis Submission Fee	--	--	--
Thesis submission/Evaluation Fee	15,000	15,000	15,000
Fee for first one-month extension for thesis submission after summary submission	2500	2500	2500
Fee for second one-month extension for thesis submission after summary	5000	5000	5000

submission			
Fee/Fine for per year extension of tenure beyond four years for thesis submission	15000	15000	15000

29. Fee Remittance

The Candidate shall pay the examination, adjudication and viva-voce fee in favor of “Controller of Examinations, Guru Nanak University” and tuition fee for every semester through suggested collect gateway. The scholar shall pay the semester tuition fee at the beginning of every semester before registration. Without fee payment semester registration cannot be made.

30. Exceptional Reference

In all other cases not covered by the above-mentioned regulations, the matter shall be referred to the Research Degree Board and Academic Council for consideration.

31. Power To Modify

In case of any doubt or ambiguity in the interpretation of above rules, the decision of the Vice-Chancellor is final. The Research Degree Board (RDB) is competent to recommend to the Academic Council for any modifications to these regulations and the modifications will take effect only after the approval by the Academic Council.

General Guidelines for Admission to Ph.D. Program and Submission of Ph.D. Thesis

Eligibility	<p>A 2-year/4-semester Master's degree after a 4 year/ 8 semester or 3 year / 6 semester bachelor's degree programme or A 1 year/2-semester Master's degree after 4 year / 8 semester bachelor's degree programme, shall be the basic qualification for Ph.D. programme eligibility.</p> <p>Master' degree with 55% marks or equivalent CGPA out of 10 in an Engineering & Technology discipline and 55% in the case of sciences, social sciences, Commerce and management, and Humanities, from any recognized Indian or foreign University / Institution.</p> <p>Relaxation of 05 % for SC, ST, OBC (non-creamy layer), Differently abled and for EWS candidates.</p>
Admission and Pre-registration	<p>Admission is based on Ph.D. admission test and interview or having Qualified UGC (NET)/ UGC – CSIR (JRF) examination/ SLET/GATE/ INSPIRE/ GPAT/ ICAR-SRF (PGS). Rajiv Gandhi Fellowship awardees/ Maulana Azad National Fellowship /JEST /Teacher fellowship holders/QIP/ Foreign candidates sponsored by ICCR/ candidates who are awarded fellowships directly by a Govt Department/funding agencies for the purpose of pursuing Ph.D./ admitted in R & D projects sponsored by funding agencies of Govt of India will be exempted from Ph.D. eligibility test.</p> <p>A Candidate who is eligible for admission as a research student for the degree of Ph.D. will be Pre -registered under the supervision of a supervisor duly recommended by the DRAC and approved by the Vice- Chancellor.</p>
Course Work	<p>Course work is mandatory after admission to Ph.D. programme as per UGC guidelines (12 credits). A Ph.D. candidate will be required to obtain at least 'C grade' in each course, however, a candidate will have to obtain a CGPA of 6.0 or above, in order to be eligible to submit the thesis.</p>
Verification of Original	<p>Candidate will have to submit original certificates to the concerned dept. /branch (for verification Purpose) immediately after admission (i.e., Date of deposit of</p>

Documents	Fee), failing which his/her admission for Ph.D. may be cancelled. Further, those candidates, who have completed last examination from other university will also have to submit Migration Certificate within one month from the date of Admission.
Synopsis and Registration	After reasonable progress has been made a Synopsis (10 copies) to be submitted by the candidate to the concerned Department [after one year and within two years from the date of pre-registration]. The candidate has to appear before the Departmental research Advisory committee. The DRAC will consider the synopsis for approval. The committee may also suggest changes in synopsis and reconsider the modified version. The DRAC's recommendations are sent to the RDB.
M. Tech – Ph.D. and MCA-Ph.D. Integrated Programmes	<p>B. Tech (60% are equivalent CGPA) and BCA (55% or equivalent CGPA) qualified candidates from a UGC recognized university/Institution are eligible for admission, respectively to integrated M-Tech –Ph.D. and MCA –Ph.D. programs. They will be required to complete 42 credits, including a course on research methodology, besides the research work. Candidates with valid NET/GATE will be given preference. A candidate will be entitled to an exit after two years or after qualifying an aptitude test, he/she can directly submit a Synopsis and register for Ph.D. They will be eligible to submit a Ph.D. thesis two years after registration. A separate entrance exam will be conducted for this category.</p> <p>Relaxation of 05 % for SC, ST, OBC (non-creamy layer), Differently abled and for EWS candidates.</p>
RDB	RDB in its meeting shall approve the recommendations of DRAC and finalize the registration as well as approved title, the registration letter shall be issue to the concerned candidate with the approved title. However, the date of registration shall be same as that of pre- registration letter.
Duration of Course	<p>For candidates with master's degree minimum duration shall be:</p> <ul style="list-style-type: none"> • 3 years, for Full-time scholars • 4 years, for Part-time scholars

	<p>i. Three extensions can be given to male candidates, after expiry of the normal time limit. Maximum time limit of six years (including extensions) from date of pre-registration.</p> <p>ii. Maximum four extensions can be given to the female candidate and person with disability (More than 40% disability) beyond the normal time limit. (Total time limit seven years including extensions from date of pre-l registration).</p>
Progress Report	The six-monthly progress report is to be submitted by the Research Scholar duly signed by the supervisor and forward by the Head of the Department for consideration of the DRAC.
Departmental seminar	The research candidate will deliver two departmental seminars to apprise the teachers and research scholars of the Department of the progress of the research done by him/her.
Open Seminar	Before submission of summary, the candidate will have to give an open seminar in the department under the chairmanship of the Head of the Department concerned in the presence of faculty members and other research scholars of the department.
Summary	Candidate will submit 10 copies of summary (about 1000 words) and soft copy to the Examination Branch within three months from the date of Open Seminar provided that the actual date of submission of the thesis is not over.
Thesis	Candidate will have to submit the thesis within three months from the date of submission of summary provided that the time of registration is not over.
Publications before Submission of thesis	To maintain higher standards and in their own interests, it is desired that a Ph.D. Scholars publishes two papers, at least one research paper in a SCI/E-SCI/Scopus indexed journal and make two paper presentations in conferences /seminars before the submission of the thesis.

Annexure I

Supervisor Approval Form: BIODATA

Name: _____ Designation: _____ Age: _____ (Years)

Subject/Specialization: _____

Address:

Date of Joining in service as regular teacher: _____

No. of Research publications in refereed journals: _____

Academic Record:

Degree	Year	Subject and/ or Title of Thesis	University
M.A./ M.Sc./ M. Tech./M. Pharm./ MBA			
M. Phil.			
Ph.D.			

Teaching Experience:

	Year	Subject	Department
Undergraduate			
Post-graduate			
M.Phil.			

General Eligibility:

Permanent faculty members working as Professor/Associate Professor of Guru Nanak University with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Guru Nanak



University with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor.

To be forwarded by the Head of the Department/Institute.

Signature of the Supervisor

**Signature of the Head of Department
(With Seal)**

Ph.D. Pre-registration Form

Ph.D. Pre-registration in the Faculty of _____

in the subject of _____

1) Name (In block letters): _____

2) Male/Female: _____ Date of Birth: _____

3) Father's Name: _____

4) Mother's Name: _____

5) Present official address: _____

6) Permanent home address: _____

7) Unique ID (Aadhaar No. and PAN No.): _____

8) Mobile No. & E-Mail ID: _____

9) Post held (if any): _____

10) Institution in which employed: _____

(If employed, then mention the Institution name else fill 'Not Applicable')

11) Whether the research is to be done as FULL-TIME/PART-TIME: _____

12) Registration No. at GNU, Hyderabad: _____

13) Category (mention category i.e., General/SC/ST/OBC/Other): _____

14) Whether in receipt of any Fellowship/Scholarship (Yes/No): _____

(If yes, the proof must attach)

15) Academic Educational Qualifications (from Matriculation/Higher Secondary onwards):

Name of University/Board	Examination Qualified	Roll No.	Session	Marks Obtained/ Total Marks or CGPA out of ____	Results with %
10 th					
+2					
Graduation					
Post-Graduation: (M.A./ M.Sc./ M. Tech./M. Pharm./ MBA)					
M.Phil.					

16) Any other information (e.g. published work, experience of research)

17) Name of the Department of the university/ college/ approved research centre, where research work will be carried out _____

18) Proposed area of research _____

(The title of the thesis written in an Indian Language, should also invariably carry its English version)



- 19) Summary of the research problem in about 500 words. It should briefly cover tentative topic of research, introduction, aims and objectives/ hypothesis, methodology, plan of work/ chaptalization, bibliography (Must be signed by Research Scholar & Supervisor).

Certified that all the material/ information used for the preparation of Ph.D. synopsis/ summary/ Thesis is entirely my own, and all ideas and references have been duly acknowledged. If any irregularity is found in this regard, I shall be entirely responsible for the consequences.

I shall abide by the Ordinances and Regulations for the Degree of Doctor of Philosophy of Guru Nanak University and I also read the attached instructions carefully.

Affix Photo

Date: _____

Signature of the Candidate

Recommendation of the Supervisor & Head of the Department

I recommended the applicant for enrolment/ registration for the degree of Doctor of Philosophy in the Faculty of _____ in the subject of (_____).

Date: _____

Name in Block Letters

(_____)

Signature of the Supervisor with Designation

Co-Supervisor (if any) _____

Place: _____

Signature of the Head of Department

(With office stamp)

Note: The applicant must carefully read the ordinances and regulations before filling up the form. Prescribed fee of provisional Ph.D. Registration and all academic qualification documents to be **attached along with form** i.e., Matriculation Certificate, +2 DMC, Graduation DMC/Degree, Master's DMC/Degree, Research Proposal, Category Certificate (if claimed), NET/GATE/Fellowship certificate etc., No objection Certificate (if employed) and Unique ID

proof. The candidate may also read the Ph.D. Ordinances available in the website (www.gnuindia.org) with General Branch desk).

FOR OFFICE USE ONLY

Date of deposit Registration Fee _____ Verification: _____

Name of the University	Course/ Subject	Marks/ Division or CGPA	Year	Roll No./ Registration No.	Remarks
					1. Date of BOC: 2. Admission Base: 3. Migration (if any): 4. NOC (if any): 5. Category (in which candidate admitted): 6. Sup. Slot: 7. Co-sup. Slot (if any):

Fee Details:

- (1) Registration Fee:
- (2) Course work Fee:
- (3) Migration fee (if any):

The applicant is eligible to register for the degree of Ph.D. in the Faculty of _____.

He/ She is required to submit his/her thesis by _____.

Clerk Assistant System Adm./D.R.G/A.R.G. Superintendent (General)

***Note:** The fees will be charged from the candidate as prescribed by the University from time to time.

Annexure-III

Guru Nanak University, Hyderabad
(General Branch: Ph.D. Section)

No: _____

Date: _____

Name of the Candidate: _____ S/O: _____

Research Scholar in the Department of _____

Guru Nanak University, Hyderabad

Sub: Pre-registration for Ph.D. in the subject _____ in the faculty of _____

This is to inform you that your Ph.D. Pre-registration has been approved by the Vice-Chancellor as per Ph.D. ordinances and as per following Teams and Conditions.

1. Your Pre- Registration for Ph.D.as Full-Time/ Part-Time Candidate Shall take effect from _____ under following tentative title and Supervisor.

Tentative Title of Thesis (as Per DRC)	Supervisor

2. You will be required to submit your thesis normally in **Four Years** but not before the expiry of three years from the date of Pre – registration. If the thesis is not submitted in four years, extension of time for submission of thesis may be granted as per university ordinance on making a written request. The request should be recommended by the supervisor and duly forwarded by the Head of Department
3. You will be required to **undertake Course Work immediately** subsequent to the Pre-Registration (within first two semesters as per programme of the department according to the Ph.D. Ordinances). You will have to clear the Courses within the first two years of your Pre-registration. And maintain the required Grade as per ordinance, failing which your Pre- registration to Ph.D. will be cancelled.
4. A six-monthly **Progress** reports must be submitted by you duly signed by the supervisor and forward by the Head of the Department for consideration of the DRAC of the department. You will present yourself before DRAC in connection with evaluation of progress report and implement the suggestion given by DRAC. You will also maintain a complete record of research data.
5. **After reasonable** Progress, you will eligible to submit the synopsis of your research work along with request letter recommended by the Supervisor and forwarded by the Head of the Department after one year from the date of provisional registration and within two years from the date of pre-registration, and also pay the prescribed fee. However, if you fail to submit synopsis within this period, upon submitting an application the Dean, Academic Affairs may grant extension of six months for submission of synopsis with a fine, If you fail to submit the synopsis after the completion of the extended time period, your provisional registration will automatically stands cancelled. Guidelines of preparation of synopsis are available on the university website _____ under Ph.D. Ordinances.
6. **After submission of synopsis, you will have to appear before DRAC** for evaluation of the synopsis. The committee may either approve or suggest minor changes in synopsis and reconsider the modified version. The DRAC shall also send its positive recommendations to the research Degree Board (RDB), which shall approve the

recommendations of the DRAC to finalize the registration as well as approve title of the thesis.

7. Before submission of the summary of the thesis, you will have to deliver an open seminar in the department. After the seminar you will submit ten copies of the summary (about 1000 words) to the Examination Branch within three months the date of open seminar provided that the actual date of submission of the thesis has not elapsed. After submission of the summary, you must submit the thesis within three months, failing which extension of one month with fine, may be granted by the Dean. Academic Affairs. Extension of one additional month with fine may be granted subsequently by the Vice-Chancellor provided that the actual date of submission of the thesis has not elapsed.
8. It is desired that you will publish at two research paper with at least one paper in SCI/Scopus indexed Journal and other can be in a UGC approved journal and present two papers in conference/ Seminars before the submission of the thesis. It is further desired that in Science and Engineering & Technology. The publication of the research paper must be in a journal with impact factor 1.0 or above
9. On completion of the research work, you may submit the CD containing chapter –wise files to the office of the Dean (R & D) for Checking of Plagiarism from concerned section of university.
10. After clearing plagiarism check. You are required to submit four copies of the Ph.D. Thesis in compact size typed in one and a half space in Times New Roman. Font Size 12 with double side printing except for photographs, which can be on one side of the pages, together with one CD containing thesis. to the examination Branch (thesis section) along with examination fee as may be prescribed by the university at that time. A duly complete thesis submission proforma along requisite certificates (see Ph.D. ordinances) and a certificate attested by the supervisor that the thesis is entirely based on your own work and that all ideas and references have been duly acknowledged and nothing has been plagiarized are to be submitted along with thesis.



11. Your Pre-registration shall be governed by the Rules and Regulation adopted by the university from time to time. you can see and download the Ph.D. ordinances from university website. Further, you cannot appear in any other degree course during the Ph.D. course simultaneously.
12. The fines / late fee or any other fee specified above shall be charged as per university rules.

Signed In-charge
Ph.D. Section

Annexure IV

Requirements for Submission of Ph.D. Summary

Note (1): The Candidate will have to give an open seminar in the department under the Chairmanship of the Head of the Department concerned and faculty members of the department before submission of the summary of the thesis.

Note (2): The Candidate shall submit a summary of the thesis (about 1000 words) not more than three months before the actual submission of the thesis.

Documents Required

- 1) Seminar Report and Attendance Chart of the faculty members and others present during the open seminar, duly certified by Head of the Department.
- 2) Ten (10) Copies of Summary duly signed by candidate and supervisor.
- 3) CD (Compact Disc) containing document file of Summary Both in MS-Word .DOC format and in PDF format.
- 4) Photocopy of Registration Letter.
- 5) Photocopy of extension letter(s) (if availed).
- 6) Attach proof of passing the Pre-Ph.D. Course.
- 7) Photocopy of Post Graduate Degree and M.Phil. degree (if passed).
- 8) Photocopy of Published Research paper with title page of Research journal.
- 9) Application by the Candidate, addressed to Head of the Department to allow him/her to submit summary which is '**Recommended**' by supervisor and forwarded by Head of the Department to controller of Examinations.



CERTIFICATE

Certified that the Research paper(s) entitled," _____

in respect of Ms/Mr. _____, has been published in the
research Journal _____

_____ (copy of the paper attached).

It is further certified that we, the undersigned, have checked the latest SCI/Scopus /UGC-CARE
Reference List of Quality Journals for these publications

Dated:

Supervisor

Head of the Department

(With office seal)

CERTIFICATE

Certified that Ms./Mr. _____, Ph.D. research scholar of this department has made two paper presentations in conferences/ seminars as per details given below: -

1. Presented a research paper entitled _____

in conference/seminar _____

organized by _____
during _____ (copy of the certificate duly verified, attached).

2. Presented a research paper entitled _____

in conference/seminar _____

organized by _____
during _____ (copy of the certificate duly verified, attached).

It is further certified that we, the undersigned, have checked and verified that the above-mentioned presentations made by the scholar fulfills the requirements for the submission of summary of the Ph.D. thesis as per ordinances.

Dated:

Head of the Department
(With office seal)

Supervisor



(In case of change in title)

TO WHOM IT MAY CONCERN

Certified that Mr./Ms. _____ has been registered for Ph.D. in the subject of _____ vide letter No. _____ /Gen./Ph.D. dated _____ with tentative title of thesis as “ _____ ”. The title of the thesis finalized by the Supervisor and Committee after the pre-submission seminar is “ _____ ”.

Signature of supervisor
(Name & Designation)

Signature of HOD
with seal

(In case of no change in title)

TO WHOM IT MAY CONCERN

Certified that Mr./Ms. _____ has been registered for Ph.D. in the subject of _____ vide letter No. _____/Gen./Ph.D. dated _____ with tentative title of thesis as “_____”.

The title of the thesis as decided and finalized by the Supervisor and Committee after the pre-submission seminar remained the same as such, i.e., “_____”.

Signature of supervisor
(Name & Designation)

Signature of HOD
with seal

Guru Nanak University, Hyderabad

Performa for Submission of Ph.D. Thesis

1. Name of the Scholar _____
2. Father' Name _____
3. Faculty _____
4. Regd. No _____
5. Title of thesis _____

6. Supervisor and affiliations _____
7. Year of passing and percentage of Marks of M.A./M.Sc./M. Pharm/MBA/M. Com/ M. Tech/ or other program on the basis of which admission to Ph.D. program was granted

8. Date of enrolment for Ph.D. _____
9. Effective date of registration _____
(Please attach photocopy of registration letter)
10. No. of research paper(s) published _____
(Attach copies of publications)
11. Copy of plagiarism evaluation report and certificate from supervisor regarding the same
(Attach)

Date _____

Signature of the Research Scholar

Address _____

It is certified the Mr./Ms. _____ fulfills all the conditions mentioned in the Ph.D. regulations of Guru Nanak University.

- I. In no case a thesis shall be submitted before the expiry of three years from the date of obtaining the degree on the basis of which candidate became eligible.
- II. In no case a thesis shall be submitted before the expiry of the two years from the date of pre-registration and one year from the date of registration.
- III. Normally a thesis has to be submitted within four years in the case of registration in the case of regular candidate and within five years of part-time candidates; proof of any extension granted/delay condoned with copy of letter to be attached.

The candidate has already submitted eight copies of the summary of thesis and a soft copy. The thesis is being submitted within the stipulated period (if not the delay has been condoned from _____ to _____ vide letter no. _____ dated _____). The research papers of the candidate have been published/accepted for publication in the _____

(names of journals) and copies of research papers attached

Date _____

Signature of the Supervisor

Address _____

Certificate by the Head of the Department

Certified that the research paper(s) of _____ has been published / accepted for publication in journal _____

(Names of Journals) and that he/she fulfills the requirements as per existing Ph.D. regulations of GNU. He / She is therefore, allowed to deposit his/her thesis and requisite fee etc.

Dated _____

Head of the Dept. _____

Guru Nanak University, Hyderabad

Dues

(i) Annual Fee: _____

(Attach receipt or payment proof)

(ii) Thesis Submission Fee: _____

(Attach receipt or payment proof)

(iii) Penal Fee for delay in submission _____ (if applicable)

(Attach receipt or payment proof)

Date:

Signature of candidate

Address _____

Annexure VI

Categorization of plagiarism level and Penalties

Penalties as Prescribed by UGC should be applicable for established Plagiarism

Level 0: Minor similarity, no punishment

Level 1: To be asked to withdraw the manuscript/publication

Level 2:

- i. To be asked to withdraw the manuscript/publication.
- ii. To be denied right to one annual increment.
- iii. Not allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Students / Scholars for two years

Level 3:

- i. To be asked to withdraw the manuscript / publication
- ii. To be denied right to two annual increments
- iii. Not allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Students / Scholar for three Years.

Guru Nanak University, Hyderabad

Plagiarism Check Certificate

1	Name of the research scholar / Registration no.			
2	Title of thesis/dissertation			
3	Name of the supervisor			
4	Departments/ Institution			
5	Similar content (%) identified	Introduction/ Review of literature	Materials and Methods	Result/ Discussion/ Summary/ Conclusion
	Acceptable maximum limit (%)	15	15	20
6	Software used			
7	Date if verification			

Annexure-VII

Guru Nanak University, Hyderabad

Ph.D. Thesis Evaluation Report

Title of Thesis _____ submitted by
_____ for the degree of Ph.D. of Guru Nanak
University, Hyderabad (T.S).

Date _____

Signature of Adjudicator

Name and Address: _____

Recommendation

1. The thesis is accepted and Viva Voce can be held
(OR)
2. Thesis should for returned d batch to the scholar for revision / correction and
re- submission before conducting Viva Voce
(OR)
3. The thesis should be returned back to the scholar for revision and re-submission for
re-evaluation
(OR)
4. The thesis is rejected

Detailed Evaluation Report

Use extra sheet if required

Signature of adjudicator

Please provide four questions which you would like to be from candidate doing viva-voce evaluation.

Signature of adjudicator

Annexure –VIII

Circular for Viva Voce

Department of _____ Guru Nanak University, Hyderabad the
Ph.D. viva-voce examination of Mr. _____ on his thesis entitled
“ _____ ”
will be held on _____ at _____ through /in the
_____.

All the faculty members and research scholars are cordially invited to attend the same (Google meet link will be shared shortly)

Copy to:

1. Dean (R& D)
2. Dean, Faculty of _____
3. Faculty members of the Department of _____
4. Notice Board Department of _____
5. Heads of the departments of

Signed Head of the department

Annexure X

DEPARTMENT OF _____

Correction Certificate

This is certified that all corrections in the Ph.D. thesis of Mr. _____ entitled
“ _____
_____” have been incorporated.

Supervisor

Head of the Department