

# **Module # 2 Mandate # 2 Research & Innovation-PhD**



***Version 1.2***

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## INDEX

1. Definitions .....	6
2. Management and Coordination .....	7
3. Organization of the Ph.D. Program .....	7
4. Categories of Ph.D Programme .....	7
5. Eligibility .....	8
6. Duration of the Program .....	9
7. Procedure for Admissions: .....	10
8. Registration:.....	13
9. Comprehensive Examination:.....	16
10. Supervisor(s)/Co-Supervisor(s): .....	16
11. Appointment of Supervisor(s)/Co- Supervisor(s):.....	17
12. Performance Monitoring:.....	17
13. Publication: .....	18
14. Pre-submission Seminar: .....	18
15. Panel of Examiners for Ph.D.: .....	19
16. Thesis Preparation and Submission: .....	19
17. Thesis Evaluation:.....	19
18. Re-submission of Thesis:.....	21
19. Oral Defense Examination (Viva-Voce):.....	21
20. Attendance: .....	23
21. Passing Grades: .....	23
22. Cancellation of Registration: .....	24
23. Disciplinary Regulations:.....	24
24. Award of Ph.D. Degree:.....	24
25. Issuance of Provisional Certificates:.....	24
26. Residual Clause:.....	24
27. Composition of DC and Its Functions: .....	25
28. Composition of SRC and Its Functions: .....	25
29. Research Advisory Committee (RAC) .....	26
30. The ACT of Plagiarism:.....	26
31. Redressal of grievance .....	26

32. Residual Provisions.....	27
Pre-requisites Doctoral Programs .....	29
10.1. Sub process – Review Process for amendment of Ph.D regulations .....	29
10.1. Sub process – Research Advisory Committee (RAC).....	30
10.2. Sub process – Finalization of Ph.D Programmes .....	32
10.3. Sub process – Advertisement .....	33
10.4. Sub process – Criteria & Procedure For Admission to Ph.D Programme.....	34
10.5. Sub Process – School Research Committee .....	37
10.6. Sub process – Registration Process For Ph.D Degree .....	38
10.7. Sub process – Orientation.....	39
10.8. Sub process – Course Work and Examination .....	40
10.9. Sub process – Progress Monitoring .....	41
10.10. Sub process – Re-Registration for Ph.D Degree .....	42
10.11. Sub process – Publication.....	43
10.12. Sub process – Pre-Submission of Thesis & Plagiarism.....	43
10.13. Sub process – Preparation, Submission and Evaluation of Thesis .....	45
10.14. Sub process – Open Defence .....	48
Proforma For Eligibility as Ph.D. Supervisor .....	52
Ph.D Programme Flowchart.....	53
Course Registration Form .....	56
Supervisor Allotment Form .....	57
Constitution of Doctoral Committee.....	58
Doctoral Committee Meeting .....	60
Half Yearly Progress Report for the Ph.D Programme.....	61
Proforma for Submission of Long Abstract/Synopsis of the Ph.D Thesis .....	63
Checklist for submission of Long Abstract/ Ph.D. thesis .....	64
No Objection Certificate .....	65
SRC Meeting.....	66

**PURPOSE:** This mandate sets the framework for the development and implementation of research activities at **Galgotias University** aims to nurture research culture in the institute by promoting research in newly emerging and challenging areas of science and engineering. It encourages the Undergraduate, Postgraduate and Doctoral degree candidates and faculties to undertake the research in newly emerging frontier areas of engineering and non-engineering including multidisciplinary fields. This will enhance the general research capability of budding technocrats by way of participating in indexed conferences, seminars, workshops, project competition, etc.



(Established under Galgotias University Uttar Pradesh Act No. 14 of 2011)

**Ph.D**  
**RULES & REGULATIONS**

**2020-21**

**GALGOTIAS UNIVERSITY**

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## 1. *Definitions*

- (a) **“Act”** means the GU (Act No....., India).
- (b) **“University”** means Galgotias University
- (c) **“Ph.D.”** shall mean the degree of Doctor of Philosophy at GU.
- (d) **“Applicant”** means an individual who applies on a prescribed application form for admission to Ph.D. Program of the University.
- (e) **“Candidate”** means a person registered for Ph.D. program.
- (f) **“Full-time Candidate”** means a candidate registered for a Ph.D. devoting full time for completing the requirements of the program (Produce no objection certificate from statutory authority in case of working candidate)
- (g) **“Part-time Candidate”** means a candidate who is registered for the Ph.D. devoting only a part of his time towards the pursuit of Ph.D. program while discharging his official/employment obligations.
- (h) **“Registration”** shall mean formal enrolment of a candidate for Ph.D. Program.
- (i) **“Registration Period”** shall mean the length of time span commencing from the date specified by SRC after its approval of the research proposal of the candidate and ending on the date of submission of the thesis/dissertation.
- (j) **“Residency Period”** shall mean the minimum period for which a candidate must work at the school on full time basis.
- (k) **“Minimum Registration Period”** means the minimum duration of time span prescribed for the Ph.D program.
- (l) **“COE”** means ‘Controller of Examinations of the University.
- (m) **“BOS”** means Board of Studies
- (n) **“DC”** means the Doctoral Committee constituted for each Ph.D candidate.
- (o) **“SRC”**, means School Research Committee.
- (p) **“RAC”** means Research Advisory Committee.
- (q) **“Supervisor”** shall mean a member of the academic staff of the University/Constituent Unit, approved by SRC guide/supervise the research work of the candidate.
- (r) **“Co-Supervisor”** means an additional Guide from the University Teaching Department/ Constituent Unit or an outside organization approved by SRC, to help in accomplishment of the research work of the candidate.
- (s) **“Course Work”** mean course units prescribed by DC to be completed by a candidate towards fulfillment of requirements of Ph.D. program.
- (t) **“Credit”** means a number indicating the weight age assigned to a course unit, project, research work or any other academic component, on the basis of contact hours per week for the learning activity.
- (u) **“Comprehensive Examination/Viva”** means a comprehensive examination/viva required to be taken by each candidate to test comprehension of his broad field of research, academic preparation and potential to carry out the proposed research plan.
- (v) **“Statutes”, “Rules” and “Regulations”** mean, respectively, the Statutes, Rules and Regulations of the University.
- (w) **“UGC”** means University Grants Commission established under University Grants Commission Act, 1956

- (x) “**Academic Council**” means the Academic Council of the University
- (y) “**Competent Authority**” means any authority in relation to the exercise of powers under these Regulations to whom or to which the power has been conferred under the Act, Statutes and Rules.

*Note: Definitions specified in the Act, the Statutes, and the Regulations shall apply unless the context requires otherwise*

## **2. Management and Coordination**

- (a) Academic Council shall coordinate and exercise general supervision over the academic policies for the Program leading to award of Ph.D., subject to the provisions of the Act, Statutes and UGC Regulations. However, RAC, SRC, DC and any other Committee(s) constituted in this behalf by the Competent Authority shall organize and manage the Program.
- (b) The overall execution of the program shall be done by the Dean PG & Ph.D (at university level).
- (c) Constitution, composition, functions and powers of these bodies will be as specified in the Act, Statutes, and Regulations.

## **3. Organization of the Ph.D. Program**

- (a) Programs leading to the Degree of Doctor of Philosophy will be offered at the Schools of the University.
- (b) Subject to the general guidance of the Academic Council, research studies in the University leading to the Degree of Doctor of Philosophy (Ph.D.) shall be overseen by the Research Advisory Committee (RAC).
- (c) The Ph.D. Program shall be organized on full time and part time basis.

## **4. Categories of Ph.D Programme**

### **(a) Full Time (Ph.D Research Scholars):**

Full Time (Ph.D Research scholars )are those who will be able to commit themselves full-time to carry out their research on the campus. Full Time (Ph.D Research scholars) may(if selected)receive a Teaching Assistance-ship from the Galgotias University Uttar Pradesh .A Teaching Assistance-ship will be given to full time(**Ph.D Research Scholars**) **after successful completion of course work for the maximum duration of 3 years.** Full time Ph.D Research scholars is eligible to receive a GU research Grant/UGC/AICTE/any other sponsoring institute/agency grant to cover expenditure on research and living expenses subject to approval from available fund. The partial scholarship will be provided to GATE qualified candidate Ph.D research scholars may also be non-stipendiary, sustaining on their own and carrying out research full-time on the campus.

### **(b) Part Time (Ph.D Candidates):**

- i. Part Time (Ph.D Candidates) will be allowed provided all the conditions mentioned in the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2016 are complied with.
- ii. All the staff members of the Schools having the requisite minimum qualifications and actively involved in relevant area of teaching/research/Industry/development can join for Ph.D. programme as a Ph.D Candidate.
- iii. Candidates working in Industry involved in R&D activities, Colleges or Research Organizations, approved by this Institute, and who are sponsored for pursuing Ph.D. Programme in this Institute while continuing their job, shall belong to this category. While they shall pursue research in their place of employment and/or in this Institute, such candidates shall spend at least one semester in the first two years from the date of Registration in this Institute. There shall be a Research Supervisor recognized by this Institute and a Joint Supervisor as per point No.16 and 17, who is responsible to provide all necessary resources and guidance to complete the research work in a time bound manner.
- iv. Further, the employer must expressly undertake to relieve the candidate for minimum period of six month to enable him/her to complete the Course Work. Such candidates must submit a No Objection Certificate from his/her organization Ph.D. Programme through distance education mode shall not be allowed in any case.

## 5. *Eligibility*

- (a) Candidates for admission to the Ph.D program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or CGPA 6.0 or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- (b) An Equivalence Committee will be constituted by Vice Chancellor to consider applications other than covered under Clause 4 recommended by SRC or otherwise who may propose other qualifications/requirements in specific areas, consistent with the norms of the statutory bodies, to the RAC for its recommendation to the Academic Council for approval.
- (c) It is desirable that the applicants, who possess minimum prescribed qualifications for admission to Ph.D. program, should have an excellent academic/professional track record in the relevant discipline.
- (d) The applicant for Part-time Ph.D. should:
  - i. Prove to the satisfaction of SRC that his official duties permit him to devote sufficient time for research.



- ii. Ensure that facilities for pursuing research are available at his place of work in the chosen field of research, wherever required.

## 6. *Duration of the Program*

- (a) The duration of the Ph.D programme and the time limit for submission of thesis are counted from the date of pre-registration vide point No.6 (e). The minimum and maximum duration of time for submission of thesis is as follows:

Duration	Minimum (n)	Maximum (N)
Full Time (Ph.D. Research Scholar)/ Part Time (Ph.D Candidates)	Three Years	Five Years

### (b) **Extension of time from the maximum duration:**

- (i) The maximum duration permitted for Research programme is (n +2 years) for all disciplines.
  - (ii) Under exceptional circumstances the recommendations of the School Research Committee for extension of time will be considered by the Research advisory committee for a maximum period of one year in spells of six months at a time. Any further extension will be only at the sole discretion of the Director based on the recommendation of the Research advisory committee.
  - (iii) Request for such extension (six months at a time) shall be applied to the Dean (PG &Ph.D), with the recommendation/s of the School Research Committee, at least one month prior to the end of the maximum period or expiry of the previous extension.
  - (iv) The Scholar is eligible to apply for extension of time only if his/her registration is already confirmed.
- (c) The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
  - (d) Research outside the Institute: During the course of the Ph.D. Programme, for reasons approved by the Departmental Research Committee, a Scholar may be permitted by the Institute to spend up to one year in an Institution/Industry or on a project approved for the purpose, outside the Institute for carrying out research in areas related to the subject of investigation/s.
  - (e) Every approved Scholar shall register by paying the initial fees prescribed and then continue to pay the prescribed fees per year, in order to keep the Ph.D. Registration alive until the thesis is submitted.

- (f) The Dean PG & Ph.D shall permit, if deemed fit for reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrants his/her absence to the programme. However, the break of study period shall not be counted for the minimum duration of the programme.
- (g) Break of study to scholars shall be granted up to a maximum period of one year not exceeding six months at a time. Such request with the recommendation of the research supervisor should reach the Dean PG & Ph.D through SRC prior to availing break of study. Break of study shall be accounted for the counting of duration of the programme (point No.6a). The scholar should remit the semester fees during the break of study period also.

## **7. *Procedure for Admissions:***

- (a) Applications for admission to Ph.D. program shall be invited through an open advertisement, for pre-determined intake for each program in the prescribed form as laid down by the University, twice in a year in December and May.
- (b) The notification will appear on the University website and through advertisement. The notification includes admission process details and all other relevant information for the benefit of the candidates.
- (c) The Office of the Dean PG & Ph.D at the University shall execute and oversee the entire admission process. Deans of respective Schools will convey number of seats available to the office of Dean PG & Ph.D which will be forwarded to Registrar office and displayed at University website along with call for admission for Ph.D Program.
- (d) Admission to Ph. D. will be two stage process:
  - (i) Ph. D. Entrance Test (PET)
  - (ii) A Personal Interview (PI)
- (e) Written test shall be conducted by CoE office and Interview to be conducted under supervision of Dean PG & Ph.D by respective School Deans along with SRC. Interview marks will be sent to CoE office. The results will be declared by CoE office. The list of selected candidates will be sent to office of Dean (PG & Research)/Registrar.
- (f) The Entrance Test shall be qualifying with qualifying marks as 50%. [The Entrance test will have 50% questions from research methodology and 50% questions from respective discipline.] The Entrance Test shall be conducted at the Centre(s), notified in advance (changes of Centre, if any, also shall be notified in advance).
- (g) University reserves all the rights to set the cut off criteria to appear for the interview.
- (h) Admission shall be subjected to the criteria of minimum qualifications as mentioned in Clause 5 and performance in the Entrance Test and presentation, as mentioned under clause 7 (c), hereinabove.
- (i) Entrance Test may be exempted for the following cases:
  - (i) Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Program through an Entrance Test.
  - (ii) Candidates who have qualified UGC-NET, GATE, UGC-CSIR NET, JRF, SLET, ICARI, GPAT
  - (iii) Candidates who were admitted previously to a Ph.D. Program at a recognized university through an Entrance Test and wish to transfer to the Ph.D. program at GU.

- (iv) Candidates from the industry having 10 years of experience or above.
- (j) In the case of international students, the Entrance Exam may be exempted and subsequent presentation / interview be held through video conferencing. In addition, the students will normally be required to submit three letters of recommendation.
- (k) The University reserves the right to limit the number of scholars to be admitted to the University at any time. The resources and other facilities/fiscal constraints would guide this decision.
- (l) Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.
- (m) SRC shall for each applicant, recommend a Doctoral Committee (DC).
- (n) A list of candidates qualifying the PET or exempted as per the rule shall be uploaded on the Institute website.
- (o) An interview/viva-voce will be organized for the finally selected candidates where they are required to discuss their research interest/area through a presentation before a duly constituted University Research Committee.
- (p) Ph.D. Transfer from other University/Institute
  - a. All transfer cases will be put before Galgotias university RAC/Committee formed by Vice chancellor for approvals.
  - b. Following NOC's are needed to be submitted
    - i. NOC from previous supervisor
    - ii. NOC from previous University/Institute Registrar/Director
    - iii. NOC from previous department where candidate is registered.
- (q) The Doctoral Committee (DC) of each faculty shall have following members.
  - (i) BOS Chairman-Chairperson (Dean of School ex-officio whosoever)
  - (ii) VC Nominee–Member
  - (iii) One internal Expert-Member (only Professor or Associate Professor)
  - (iv) One external Experts-Member
  - (v) Research Supervisor (Ex-officio) - Convener
  - (vi) Joint Supervisor (if any)– Member
  - (vii) Dean PG & Ph.D.
  - (viii) School Research/Ph.D Coordinator- Member Secretary.

- (r) The interview/viva voce shall also consider the following aspects, viz. whether:
  - (i) The candidate possesses the competence for the proposed research;
  - (ii) The research work can be suitably undertaken at the Institution/College;
  - (iii) The proposed area of research can contribute to new/additional knowledge
  
- (s) A candidate shall be recommended by the SRC of the faculty for pre-registration on the basis of the following:
  - (a) Individual Performance: Aggregate Marks (100):
    - (i) Proposed research idea and interview performance – 80 marks
    - (ii) Academic achievements (Graduate and Post Graduate Level) – 20 marks
  - (b) Availability of an Approved Research Supervisor.
  
- (t) The final result of Ph.D Admission Process will be declared on the website of the Institute. Candidates shall be provisionally admitted to the Ph.D Programme on the basis of merit of the Personal Interview.
  
- (u) The shortlisted candidate for pre-registration would be required to identify and consult research supervisor from the list of supervisors available on University website with vacancies in respective areas. The candidates are advised to contact supervisor and should submit a letter of consent signed by research supervisor to the institute.
  
- (v) After the submission of consent letter from supervisor and verification of all eligibility documents along with the payment of prescribed fees, the provisional admission will be officially conveyed to the candidate by the University.
  
- (w) If necessary, based on a written request from the Research Supervisor, a Joint Supervisor may be appointed by the Dean PG & Ph.D with approval from the members of the School Research Committee. The Joint Supervisor may be from within the same faculty or different faculty of the University or from outside University provided he/she is recognized supervisor as per the norms of the University.
  
- (x) The Research Supervisor shall furnish, a panel of six experts well versed in the field of proposed research, from the faculty of the University (not below associate professor) and other organizations from which two (or more) will be approved by the RAC for the constitution of the School Research Committee. The Joint Supervisor, if any, shall also be a member of the School Research Committee.

- (y) For approved candidates the date of pre-registration shall be the date on which the Research advisory committee has recommended the admission. Such dates shall be half-yearly viz., 15<sup>th</sup> January and 15<sup>th</sup> July, as the case may be, as per the University calendar.
- (z) After the confirmation of provisional admission all communication about the work/progress/issues related to the Research scholar must happen through the Research supervisor and SRC only.

## **8. Registration:**

The Office of Dean PG & Ph.D after considering the recommendations of SRC/COE shall approve or otherwise the registration of the candidate and convey the same to the Deans of the schools.

A summary report of the candidates registered for Ph.D shall be duly sent to the Exam Cell of the University for Enrolment of the candidate.

### **(a) Registration date:**

*The date of regular registration of the candidates shall be the date of first-time payment of the applicable fee(s). Final registration will be only after the completion of course work before that provisional registration is to be done by the scholar but minimum duration for completion of Ph.D degree shall remain as 3 years*

### **(b) Renewal of Registration:**

*Candidates will be required to renew their registration every semester by the specified date till the submission of their thesis. The renewal of registration shall be subject to completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by the DC/SRC. Student who fails to fulfill the above conditions will not be re-registered and will cease to be a research scholar.*

### **(c) Time Period Requirement for submission of the Ph.D. Thesis:**

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

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

### **(d) Re-Registration**

*After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if the Vice-Chancellor approves an extension of registration*

**(e) Galgotias Research Fellowship.**

*A full-time Ph.D. candidate is expected to devote his/her time in the School/Department during his/her entire period of study. However, this period in exceptional circumstances, can be reduced by VC on the recommendations of DC/SRC/Dean (PG & Ph.D).*

*The minimum Residency Period for part-time Ph.D. candidates in the Department/Constituent Unit shall ordinarily be one semester at the University Department/Constituent Units. Summer Term can also be utilized for this purpose. Full time research scholars will be paid stipend of Rs 15000/p.m. provided they do teaching assignment of lab work or tutorial of 8 hours per week with 90% attendance in the campus. Full time research scholars getting stipend will have to pay fee as per university norms. No stipend will be paid to part time research scholars.*

**(f) Change of Registration:**

*A candidate may be allowed for valid reasons to change his status from part-time to full-time or vice-versa on the recommendations of SRC/Dean (Research) and with the approval of the Vice Chancellor.*

**(g) Course Credit Requirements and Registration for Courses:**

- (i) Schools/Constituent Units shall draw a list of postgraduate Course Units, which can be offered to Ph.D. candidates.
- (ii) Each registered student shall undertake course work as prescribed by the DC for a minimum period of one year. The course work will be treated as pre-Ph.D course.
- (iii) A minimum 18 credits course work is mandatory for all the students provisionally admitted/registered in the Ph.D Program as per the following details:

<b>Course 1</b>	Research Methodology: (Including Quantitative methods, Computer applications, research ethics and review of published research in the relevant field, training, field work, etc.)	4 credits
<b>Course 2</b>	Writing of Research Proposal for obtaining Financial assistance from national funding agencies	1 credit
	Writing of Review paper	1 credit
	Seminars	2 credits
<b>Course 3</b>	<i>For Engineering &amp; Science Ph.D students:</i> Mathematics/Quantitative Methods/statistical methods/ Computer Applications (Mathswork/ Scilab) <i>For other Ph.D students:</i>	2 credits

	A relevant course in their discipline being approved by DC	
<b>Course 4</b>	NPTEL/subject specific courses recommended by SRC	6 credits
<b>Course 5</b>	“Research and Publication Ethics (RPE)”	2 credits
<b>TOTAL</b>		<b>18 Credits</b>

- (iv) The examination/evaluation scheme for the courses shall be as per the existing regulation of the university on examinations.
- (v) All candidates admitted to the Ph.D. program shall be required to complete the course work, as approved by the Academic Council of the institute, during the initial one or two semesters only.
- (vi) A candidate will earn credits for a Course Unit only if She/he obtains a minimum of Grade B. Further, if a candidate fails to get qualifying Grade B will be given second opportunity to improve his minimum qualifying Grade B, failing which his registration will be liable to be terminated. The Candidates will be awarded Grades as per the following rules:

<b>Letter Grade</b>	<b>Grade Point</b>	<b>Pre-determined class interval for absolute grading</b>
O (Outstanding)	10	90 and above
A+ (Excellent)	9	80 and less than 90
A (Very Good)	8	70 and less than 80
B+ (Good)	7	60 and less than 70
B (Above Average)	6	50 and less than 60
F (Fail)	0	Less than 50
Ab (Absent)	0	Absent

- (vii) The candidates registered for Ph.D. Program in Departments/Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses.
- (viii) Equivalent course credits may be transferred to GU if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the candidate at a recognized university at the similar level.

- (ix) Scholar not having a PG degree in the relevant stream of research and working in the industry in other domain is able to register in the stream in which he is working, provided he can take two more courses in addition to 18 credit course.

**9. *Comprehensive Examination:***

- (a) Each candidate, after completion of the prescribed course work, shall be required to take a comprehensive examination. The comprehensive examination will be oral examination.
- (b) The candidate will have to give a presentation about his/her research plan before members of DC. Passing of comprehensive examination is subjected to approval of research plan by DC.
- (c) Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination. If a candidate is unsuccessful again, his Ph.D. registration may be cancelled. Maximum time period for clearing comprehensive examination for full time candidate is 6 months (extendable to 12 months with the permission of Vice Chancellor only). Maximum time period for clearing comprehensive examination for part time candidate is 12 months (extendable to 18 months with the permission of Vice Chancellor only).

**10. *Supervisor(s)/Co-Supervisor(s):***

- (a) The Supervisor(s) shall be a regular/full-time faculty member of the University/ Constituent Unit with an earned Ph.D. degree and with research publications in refereed journals (five research publications at level of Professor and two publications at level of Associate/Assistant Professor).
- (b) An external/internal person with an earned Ph.D. degree and proven track record in the subject area may be appointed as a Co-Supervisor.
- (c) At any given time, a Professor shall not have more than 8 candidates, an Associate Professor more than 6 candidate, and an Assistant Professor more than 4 candidate registered under him/her the above-mentioned condition also include the candidates from outside Galgotias University, however, in such cases where teachers are retiring or leaving, the Vice Chancellor may decide to relax the norm on recommendation of the Office of the Dean PG & Ph.D.



- (d) A faculty member who is due to retire within the next two years or leaves the University in between can be appointed as a Supervisor and can continue to be the Co-Supervisor even after his retirement provided the SRC is convinced of his availability for continued guidance to the candidate. In other cases, a faculty member on retirement may continue as a Supervisor, if re-employed or appointed Emeritus Fellow; or, if the long abstract of the thesis has been submitted by the candidate. Appointment of another Supervisor, if necessary, will be as per provisions made in these regulations.
- (e) In case the Supervisor proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made by the SRC who with the approval of the Dean PG & Ph.D will appoint a new Supervisor.

#### ***11. Appointment of Supervisor(s)/Co- Supervisor(s):***

- (a) The Dean PG & Ph.D shall approve the appointment of Supervisor(s)/Co-Supervisor(s) on the basis of recommendations of the SRC.
- (b) A faculty member appointed as a Ph.D. Supervisor/Co-Supervisor is normally expected to be available to a research candidate in the University Department/Research Center till the thesis is submitted.

#### ***12. Performance Monitoring:***

- (a) The academic/research progress of each candidate shall be monitored by SRC. For this purpose each candidate shall present a progress presentation during Ph.D colloquium in front of SRC committee at the beginning of each Semester through his/her Supervisor(s). The six-monthly progress reports shall be submitted by the School Research Committee to the RAC with a copy to the research scholar.
- (b) SRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade. In case the progress of the research scholar is unsatisfactory, the School Research Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SRC may recommend to the RAC with specific reasons for cancellation of the registration of the research scholar.
- (c) If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning

would be issued to the candidate.

- (d) If a candidate gets three “U’s” or two successive “U’s”, his registration will be liable to be terminated.

### **13. *Publication:***

The student before submission of his Ph.D. thesis/monograph must have published minimum of two research papers with Galgotias University Affiliation and as first author in Scopus/SCI/UGC Care journals Only. Patents published / product developed and commercialized under start up registered on the name of candidate during Ph.D may be considered in place of research papers with final approval of University Research Committee as recommended by SRC.

### **14. *Pre-submission Seminar:***

On completion of research work and on recommendation of DC, the candidate shall submit to SRC through Supervisor(s), 2 copies of the Draft copy thesis spiral bounded after due checking of plagiarism and getting certificate of plagiarism from Head Librarian.

- (a) DC shall, in a open seminar before outside expert (from Institutes of National importance/ Premier institutions of the country NIRF ranked) in which the candidate shall be required to be present, scrutinize the long abstract and recommend the title of the thesis after revision, if necessary.
- (b) The DC will approve and forward the long abstract with its recommendations to the Dean PG & Ph.D for appointment of the thesis examiners.
- (c) If a candidate fails to submit his thesis within Two months of the approval of draft thesis, he shall be required to deliver fresh pre-submission. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean PG & Ph.D may on the recommendations made by the SRC and on individual merits of each case, grant him an extension of not more than two months.
- (d) Thesis will be submitted after completion of 6<sup>th</sup> DC along with all required documents
  - (i) All reports of all DC,
  - (ii) Plagiarism check report of draft thesis and papers
  - (iii) Hard Copy of all research Papers published with plagiarism check reports
  - (iv) Proof of submission resubmission seminar Fee of Rs 10,000
  - (v) PPT of Long Abstract

### **15. *Panel of Examiners for Ph.D.:***

- (a) A Ph.D. thesis shall be evaluated by three examiners minimum two from outside the country and one from outside Uttar Pradesh. External Experts will be from inside/outside country
- (b) The DC shall prepare the panel of examiners and shall submit the list to the COE. The Dean PG & Ph.D will accord his approval to the list of examiners on the recommendation of the COE; COE shall accord approval from the Vice Chancellor. Recommended list of examiners will be sent to the office of COE for processing for thesis evaluation.

### **16. *Thesis Preparation and Submission:***

- (a) The thesis shall be written in English unless otherwise approved by the DRC.
- (b) No part of the thesis shall have been submitted for the award of any other degree or diploma.
- (c) The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these.
- (d) Prior to the submission of the thesis, the student shall make a pre –Ph.D. presentation in the department that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s).
- (e) After clearing the viva-voce examination, two copies of the thesis in hard cover binding must be submitted. These hardbound copies shall include supplements if required in viva-voce examination, with a covering certificate of the Supervisor in prescribed proforma. For external examiner(s), the candidate shall provide additional hard bound copies of the supplement.

### **17. *Thesis Evaluation:***

- (a) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed Performa within six weeks of the date of

- receiving the thesis.
- (b) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.
  - (c) Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
    - (i) the discovery of facts; or
    - (ii) a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his opinion on the candidate's capacity for critical examination and sound judgment.
  - (d) All examiners will submit the reports on the prescribed form clearly stating one of the following:
    - (i) Recommended for the award of the degree of Doctor of Philosophy: Highly recommended.
    - (ii) The thesis is recommended for the Oral defense subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or
    - (iii) The candidate be allowed to resubmit his thesis in a revised form, or
    - (iv) Not recommended
  - (e) The Examiner shall enclose a detailed report of about 200 or 300 words (or if necessary a longer report) on the thesis, along with the evaluation form, in dictating the standard of Thesis attained in terms of Originality of work and Publications quality; the nature and details of the revision to be made in the thesis, Suggestions / Queries from Examiners on the Thesis; Questions to be raised in the Final viva voce ; critical points and basis for rejection of the thesis.
  - (f) The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for oral defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.
  - (g) The reports of all examiners shall be counted as one report.
  - (h) If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense.
  - (i) In case one of the reports recommends revision of the thesis, Clause 18 shall be applicable, and the candidate will have the option to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiners for their

recommendations.

- (j) If two of the three reports recommend revision of the thesis, the candidate will be given opportunity to revise the thesis accordingly and resubmit it normally within a period of one year for the evaluation by the same set of examiners.
- (k) If one of the reports recommends rejection, the comments and queries in the report, shall
  - (l) be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate and his thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected.
- (m) If two of the three reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.
- (n) If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after three months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed. In case the fourth examiner recommends rejection or the candidate does not accept revision, the thesis shall be rejected.
- (o) Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.
- (p) In case of ambiguous recommendations by the examiner, the Office of Dean (PG & Ph.D.) will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.

#### **18. *Re-submission of Thesis:***

- (a) In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be payable by the candidate.
- (b) The revised thesis may be submitted normally in one year from the date of intimation for resubmission.

#### **19. *Oral Defense Examination (Viva-Voce):***

- (a) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted

Committee herein after referred to as the Oral Defense Committee (ODC). The date and time of the viva-voce shall be duly notified by COE to enable the interested faculty members, staff members and students to attend it.

- (b) No examiner of viva-voce should be called for viva-voce at least for next Six Months
- (c) Composition of ODC:
  - (i) For the candidates who get unconditional recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be
  - (ii) Dean of respective School - Chairperson
  - (iii) Supervisor(s)/Co- Supervisor(s)
  - (iv) External Examiner
  - (v) In case of non-availability of the External Examiner for conducting the Viva voce examination, the next person on the approved panel of examiners shall be appointed by the Dean (Research) ODC.
- (d) COE shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the candidate at least fifteen days in advance.

- (e) In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present.
- (f) Soft copy of thesis shall be uploaded on UGC portal.
- (g) The ODC shall give its recommendations in the prescribed Performa. The ODC shall have the following options for its recommendations:
  - (i) Ph.D. degree be awarded for the reasons to be recorded
  - (ii) Ph.D. degree be awarded. However, the candidate should prepare a supplement to be added to the thesis document as specified in the report of ODC and or textual corrections, if needed.
  - (iii) Ph.D. degree be not awarded for the reasons to be recorded in the report.
- (h) In case of difference of opinion among the members of ODC, separate reports shall be submitted.
- (i) COE shall collect the report(s) of ODC in a folder, which will also contain,
  - (i) A copy of the thesis along with the Supplement, if required, and
  - (ii) All the reports of the examiners of the thesis.
- (j) The recommendations of the ODC shall be submitted to the Vice- Chancellor through Dean (PG & Ph.D) for final decision, which shall be reported to RAC and the Academic Council.
- (k) If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for his decision.

## **20. Attendance:**

For Ph.D. students, the minimum requirement of attendance for completing the Course Units, prescribed by DC, shall be the same as laid down in the Attendance Regulations for other students unless specified otherwise.

## **21. Passing Grades:**

For Ph.D. students, the minimum passing grade in each Course Units is B.

**22. *Cancellation of Registration:***

Registration of a candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor:

- (a) If his academic progress is found unsatisfactory in three consecutive monitoring reports.
- (b) If he absents himself for a continuous period of six weeks without sanction of leave.
- (c) If he withdraws from the Ph.D. program and his request is duly forwarded by the Dean of School/Registrar.

**23. *Disciplinary Regulations:***

If a Ph.D. candidate is found to be involved in an act of misconduct, misbehavior and/or indiscipline, disciplinary action will be taken by the University as per Regulations relating to maintenance of Discipline by students.

**24. *Award of Ph.D. Degree:***

- (a) A Ph.D. candidate shall be eligible for award of Ph.D. degree at Convocation after approval of the Vice Chancellor.
- (b) On successful completion of the evaluation process announcements of the award of the Ph.D. the Office of the Dean (PG & Ph.D) shall submit a soft copy of the Ph.D. thesis to the Chief Librarian within a period of 30 days for onwards transmission to the UGC for hosting the same in INFLIBNET/Shodhganga, accessible to all authorities/universities. Hard copy of the same will be placed in Central Library of the University.

**25. *Issuance of Provisional Certificates:***

After approval of the Vice Chancellor, the candidate shall be issued a Provisional Certificate for having completed the requirement of the degree on the condition that the candidate has submitted two hardbound copies of the final version of his thesis and has cleared all the dues.

**26. *Residual Clause:***

Not with standing anything contained in these Regulations, all categories of candidates shall be governed by the applicable Regulations and Guideline of the University.



**27. *Composition of DC and Its Functions:***

- (a) The DC shall comprise Supervisor(s), two other faculty members in the related field (nominated by the Dean of the concerned School/Research Centers). Each member of DC (except ex-officio member) must possess an earned Ph.D degree. One member of DC will be nominated from other Institutions than University. The supervisor will be the convener of DC. Final approval for DC has to be taken from SRC.
- (b) DC shall perform the following functions:
  - (i) review the research proposal and finalize the topic of research
  - (ii) propose the domain specific course work to be completed by the scholar
  - (iii) periodically monitor the performance of the work of the candidate and provide advice to candidate, wherever necessary.
  - (iv) conduct comprehensive examination on completion of course work consider and approve the synopsis of the thesis when submitted and recommend a panel of the examiners for the evaluation of the thesis

**28. *Composition of SRC and Its Functions:***

- (a) The composition of the School Research Committee (SRC) will be as under:
  - (i) Dean of the School – Chairperson
  - (ii) Four faculty members nominated by the Dean of respective School All
  - (iii) members must have Ph.D. degrees.
- (b) The functions of School Research Committee (SRC) shall be as under:
  - (i) scrutinize applications in executing the Ph.D admission process
  - (ii) constitute DC for each candidate
  - (iii) approve the proposed research plan of the candidate as approved by DC
  - (iv) perform such functions as are required for operationalization of the Ph.D program subject to the overall supervision and guidance of the University Research Committee (RAC)
  - (v) approve the long abstract of the thesis on its completion and the final title of the thesis.
  - (vi) consider the recommendation of DC for action as required.
- (c) SRC shall meet as and when necessary.
- (d) Fifty percent of the membership shall form the quorum for the meeting.
- (e) The tenure of members of the SRC other than the ex-officio members shall be two years. A member may be re-nominated for another term.

**29. *Research Advisory Committee (RAC)***

- (a) The role of RAC is to formulate and lay down policy guidelines for the conduct of Ph.D. program and to ensure high standards of research work.
- (b) *The composition of the Research Advisory Committee (RAC) shall be as follows:*
  - (i) Vice Chancellor – Chairperson
  - (ii) Pro Vice Chancellor
  - (iii) Dean (PG & Ph.D)
  - (iv) Two external experts
  - (v) Two Deans
  - (vi) Two faculty members
  - (vii) Controller of Examinations
- (c) The term of office of the members (other than ex-officio members) will be two years.
- (d) RAC will generally meet at least once in an academic year.
- (e) Fifty percent of the total membership shall form the quorum for any meeting.
- (f) The RAC shall perform the following functions:
  - (i) formulate policies related to Ph.D. program.
  - (ii) monitor research indicators for such evaluation.
  - (iii) review and recommend areas/themes/topics for research.
  - (iv) consider and approve the recommendations of SRC including waivers and exemptions from any of these regulations.
  - (v) delegate any of its functions to the concerned SRC.
  - (vi) perform work related to research and development in the University

**30. *The ACT of Plagiarism:***

- (a) In the case of scholars who have committed the act of plagiarism, his/her Thesis/degree shall be forfeited and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other programme in the University.
- (b) For the abatement of above such action, the recognition of his/her Supervisor as a research supervisor shall be withdrawn for a period of five years.

**31. *Redressal of grievance***

- (a) In case of any dispute between a candidate and his Research Supervisor, the Committee consisting of the following shall examine the matter and report to the VC

- of the University, whose decision shall be final.
- i. Dean of the Faculty concerned (Chairman);
  - ii. Vice Chancellors Nominee
  - iii. Dean PG & Ph.D (If the complaint is against Head/the Dean, he shall not participate in the proceedings of the meeting. In that case, additional member/s may be appointed by the Director to replace them.)
- (b) The report shall include, among other things, specific recommendations. The report shall be submitted to the Director of institute.

### **32. *Residual Provisions***

- (a) Any person who himself or any of his relatives, as defined below, is a candidate under consideration shall not participate at any level of the decision-making process: Spouse, son, daughter, brother, sister, spouse's brother/sister, brother's son/daughter, sister's son/ daughter, first cousin, grandson, granddaughter.
- (b) The Vice Chancellor may grant exemption in exceptional cases, from the operation of any of the Regulations, where necessary in special cases with valid reasons and without diluting academic standards.
- (c) Notwithstanding anything stated in these Regulations, for any unforeseen issues arising, and not covered by these Regulations or in the event of differences of interpretation, the Vice- Chancellor may take a decision, after obtaining, if necessary, the opinion/advice of a committee consisting of any or all the Deans/other officers of the University. The decision of the Vice-Chancellor shall be final.

# **GALGOTIAS UNIVERSITY**

## **Standard Operating Procedure Development**

### **Process Documentation**

#### **Module: Research & Development**

### **Table of Contents**

- 10. Process: Doctoral Programs
  - 10.1. Sub process – Review Process for amendment of Ph.D regulations
  - 10.2. Sub Process – Research Advisory Committee (RAC)
  - 10.3. Sub Process – Finalization of Ph.D Programmes
  - 10.4. Sub Process – Advertisement
  - 10.5. Sub Process – Criteria & Procedure For Admission to Ph.D Programme
  - 10.6. Sub Process – School Research Committee & Allocation of Supervisors
  - 10.7. Sub Process – Registration Process
  - 10.8. Sub Process – Orientation
  - 10.9. Sub Process – Course Work
  - 10.10. Sub Process – Progress Monitoring
  - 10.11. Sub Process – Re-Registration for Ph.D Degree
  - 10.12. Sub Process – Publications
  - 10.13. Sub Process – Pre-Submission of Thesis & Plagiarism
  - 10.14. Sub Process – Preparation, Submission and Evaluation of Thesis
  - 10.15. Sub Process – Open Defense
  - 10.16. Sub Process- Forms and Formats

**Pre-requisites Doctoral Programs**

1.	<ul style="list-style-type: none"> <li>◆ Appointment of Dean R&amp;D and Associate Dean R&amp;D by the Vice Chancellor</li> </ul>
2.	<ul style="list-style-type: none"> <li>◆ R&amp;D targets for the faculties</li> </ul>

**10.1. Sub process – Review Process for amendment of Ph.D regulations**

<b>Key Objectives</b>	<ul style="list-style-type: none"> <li>◆ Study of new Amendments for Ph.D and Post graduate programs by UGC.</li> <li>◆ Review of Galgotias University Ph.D Regulations as per the new guidelines of UGC and new research requirements in the specified domain.</li> <li>◆ Constitution and Conduction of Research Advisory Committee (RAC) meeting for approval of new amendments in the Ph.D regulations.</li> <li>◆ Implementation of new amendments suggested by RAC in Ph.D Regulations</li> </ul>
<b>Key Inputs</b>	<ul style="list-style-type: none"> <li>◆ List of Notifications and new amendments by UGC.</li> <li>◆ Old Ph.D Regulations of Galgotias University.</li> <li>◆ Review comments of all school deans running Ph.D programs on old Ph.D regulations as per the draft copy of proposed new amendments given to them by Dean PG &amp; Ph.D.</li> <li>◆ RAC approvals for changes in Ph.D regulations</li> </ul>

<b>Process description</b>	
<b>Key Activities</b>	<b>Description</b>
1. Time Period of Review of Ph.D regulations	1.1.Regulations will be reviewed every year and as per the amendments given by UGC.
2. Study of new UGC	2.1.Dean PG & Ph.D study the new amendments and notifications by UGC

amendments and review of Galgotias University Ph.D regulations	2.2. Dean PG & Ph.D review the Galgotias University Ph.D regulations based on the study of new amendments and notifications given by UGC.
	2.3. Specification and documentation of proposed changes in Galgotias University Ph.D regulations based on study of UGC amendments.
3. Proposed changes to be sent to School Deans for comments	3.1. Document of proposed changes in Ph.D regulations for comments will be sent to all Deans of school running Ph.D Programs.
	3.2. Deans will send their comments to Dean PG & Ph.D.
	3.3. Meeting will be called by Dean PG & Ph.D for discussions and finalization of Ph.D regulations with Vice Chancellor and all School Deans running Ph.D Program.
	3.4. All changes finalized in the meeting will be incorporated in Ph.D regulations by Dean PG & Ph.D.
	3.5. Research advisory Committee will be formed by Vice Chancellor
	3.6. Formation of RAC is done as per point number 10.2
	3.7. Formation and date of conduction of RAC meeting is notified by registrar to all members.
	3.8. All proposed changes will be discussed and approved by RAC in meeting.

<b>Key Outputs</b>	<ul style="list-style-type: none"> <li>◆ New amended Ph.D Regulations of Galgotias University as approved by RAC</li> </ul>
	<ul style="list-style-type: none"> <li>◆ All amendments given by UGC are incorporated.</li> <li>◆ All approvals by RAC is incorporated in Ph.D regulations.</li> </ul>

### 10.1. Sub process – Research Advisory Committee (RAC)

<b>Key Objectives</b>	<ul style="list-style-type: none"> <li>◆ To provide the guidelines for Ph.D program</li> </ul>
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<b>Key Inputs</b>	<ul style="list-style-type: none"> <li>◆ Members of the committee</li> </ul>
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<b>Process description</b>	
<b>Key Activities</b>	<b>Description</b>
<b>1. RAC Formulation</b>	<p>The composition of the Research Advisory Committee (RAC) shall be as follows:</p> <ul style="list-style-type: none"> <li>1.1 Vice Chancellor – Chairperson</li> <li>1.2 Pro Vice Chancellor</li> <li>1.3 Dean (PG &amp; Ph.D)</li> <li>1.4 Two external experts</li> <li>1.5 Deans of Schools running Ph.D Program.</li> <li>1.6 Two faculty members</li> <li>1.7 Registrar</li> </ul>
	<ul style="list-style-type: none"> <li>1.8 The term of office of the members (other than ex-officio members) will be two years</li> </ul>
	<ul style="list-style-type: none"> <li>1.9 RAC will generally meet at least once in an academic year</li> </ul>
	<ul style="list-style-type: none"> <li>1.10 For conduction of meeting fifty percent of the total membership shall form the quorum for any meeting</li> </ul>
<b>2. Functions</b>	<p>The RAC shall perform the following functions:</p> <ul style="list-style-type: none"> <li>2.1. Formulate policies related to Ph.D. program</li> <li>2.2. Monitor research indicators for such evaluation</li> <li>2.3. Review and recommend areas/themes/topics for research</li> <li>2.4. Consider and approve the recommendations of SRC including waivers and exemptions from any of these regulations</li> <li>2.5. Delegate any of its functions to the concerned SRC</li> <li>2.6. Perform work related to research and development in the University</li> <li>2.7. Finalization of Ph.D programs in different Schools will be done by RAC</li> </ul>

<b>Key Outputs</b>	<ul style="list-style-type: none"> <li>◆ RAC is Formed</li> <li>◆ Responsibilities and Functions of RAC are defined.</li> </ul>
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	<ul style="list-style-type: none"> <li>◆ Functions of RAC are defined without ambiguities.</li> <li>◆ All Members of RAC are informed.</li> </ul>
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10.2. Sub process – Finalization of Ph.D Programmes	
<b>Key Objectives</b>	<ul style="list-style-type: none"> <li>◆ To finalize the categories of Ph.D Programme.</li> <li>◆ List of all Ph.D programs to be finalized.</li> </ul>
<b>Key Inputs</b>	<ul style="list-style-type: none"> <li>◆ Name of Schools fulfilling all minimum requirements as per UGC guidelines for running Ph.D programs</li> </ul>

Process description	
Key Activities	Description
1. Categories of Ph.D Programme	<p>1.1. Full Time (Ph. D Research Scholars): Full Time (Ph. D Research scholars) are those who will be able to commit themselves full-time to carry out their research on the campus. Full Time (Ph.D Research scholars) may (if selected) receive a Teaching Assistance-ship from the Galgotias University Uttar Pradesh. A Teaching Assistance-ship will be given to full time <b>(Ph. D Research Scholars) after successful completion of course work for the maximum duration of 3 years.</b> Full time Ph.D Research scholars is eligible to receive a GU research Grant/UGC/AICTE/any other sponsoring institute/agency grant to cover expenditure on research and living expenses subject to approval from available fund. The partial scholarship will be provided to GATE qualified candidate Ph. D research scholars may also be non-stipendiary, sustaining on their own and carrying out research full-time on the campus</p> <p>1.2. Part Time (Ph.D Candidates): Part Time (Ph.D Candidates) will be allowed provided all the conditions mentioned in the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2016 are complied with</p>



	<p>1.3. All the staff members of the Schools having the requisite minimum qualifications and actively involved in relevant area of teaching/research/Industry/development can join for Ph.D. programme as a Ph.D Candidate. Sponsorship for journal printing charges</p>
	<p>1.4. Candidates working in Industry involved in R&amp;D activities, Colleges or Research Organizations, approved by this Institute, and who are sponsored for pursuing Ph.D. Programme in this Institute while continuing their job, shall belong to this category.</p>
	<p>1.5. While they shall pursue research in their place of employment and/or in this Institute, such candidates shall spend at least one semester in the first two years from the date of Registration in this Institute. There shall be a Research Supervisor recognized by this Institute and a Joint Supervisor as well, who is responsible to provide all necessary resources and guidance to complete the research work in a time bound manner</p>
	<p>1.6. Further, the employer must expressly undertake to relieve the candidate for minimum period of six months to enable him/her to complete the Course Work. Such candidates must submit a No Objection Certificate from his/her organization Ph.D. Programme through distance education mode shall not be allowed in any case</p>
2. List of Ph.D Programs	<p>2.1. List of Schools fulfilling minimum requirements as per UGC norms will be finalized.</p>
	<p>2.2. Proposed list is presented before RAC for approval</p>
	<p>2.3. RAC approved and finalized the list of Ph.D programs</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Categories of Ph.D programs</li> <li>◆ Final list of Ph.D Programs</li> </ul>
	<ul style="list-style-type: none"> <li>◆ UGC regulations are followed for finalization of Ph.D Programs.</li> <li>◆ All eligible schools for running Ph.D Programs are included in the List</li> </ul>

<b>10.3. Sub process – Advertisement</b>	
Key Objectives	<ul style="list-style-type: none"> <li>◆ Advertisement of Ph.D programs for admission</li> </ul>

Key Inputs	<ul style="list-style-type: none"> <li>◆ List of Ph.D Programs approved by RAC</li> </ul>
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Process description	
Key Activities	Description
1. Mode of Advertisement	1.1. All approved Ph.D programs are updated on Galgotias University Website
	1.2. Advertisement for admission to all Ph.D programs will be advertised in all leading news papers.
	1.3. All social media platforms may also be used for advertisement of Ph.D Programs.
2. Time of Advertisement	2.1. Advertisement will be given two times a Year in December and May

Key Outputs	<ul style="list-style-type: none"> <li>◆ Advertisement in all types of advertising media.</li> <li>◆ Advertisement can be done two times in a year.</li> </ul>
	<ul style="list-style-type: none"> <li>◆ All advertising media is covered.</li> <li>◆ All Ph.D programs are advertised.</li> </ul>

10.4. Sub process – Criteria & Procedure For Admission to Ph.D Programme	
Key Objectives	<ul style="list-style-type: none"> <li>◆ Define Eligibility Criteria</li> <li>◆ Define Process of Admission</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Minimum Qualifications</li> <li>◆ Open Advertisement</li> </ul>

Process description	
Key Activities	Description

<p>1. Defining minimum Eligibility for admission</p>	<p>1.1. University will set the minimum eligibility criteria for admission as per the UGC norms.</p>
<p>2. Minimum Qualifications</p>	<p>2.1. Minimum Qualifications are finalized:</p> <p>(i) M. Tech Degree of a University or equivalent for Ph.D. in Engineering / Technology in respective branch with 60% Aggregate Marks or CGPA not less than 6 on scale of 10.</p> <p>(ii) Master’s Degree of a University for Ph.D. in Sciences / Humanities / Social Sciences / Management / Pharmacy in respective discipline or equivalent with 60% Aggregate marks or CGPA not less than 6 on scale of 10.</p> <p>(iii) M. C. A. Degree with 60% Aggregate Marks or equivalent CGPA and two years’ experience, only for Ph. D. in Computer Science &amp; Engineering/ Information Technology Departments.</p>
<p>3. Admission prerequisite</p>	<p>3.1. Satisfying the requirements of minimum qualifications as laid down by Galgotias University.</p> <p>3.2. Performance in Interview for those who have qualified in SLET /UGC /CSIR (JRF) or equivalent national level examinations for research fellowship.</p> <p>3.3. Performance in</p> <p>(i) the PET (Ph.D Entrance Test to be conducted by Galgotias University for all those who are not qualified in any of the examinations mentioned in point (3.2) above</p> <p>(ii) the subsequent Personal Interview (PI), for short-listed candidates only based on the PET result</p>

<p>4. Exemption Criteria from PET</p>	<p>4.1. Ph. D. Entrance Test (PET) will be exempted for the following:</p> <ul style="list-style-type: none"> <li>i. Candidates with M.Phil. Qualification provided they were admitted to the M.Phil. Program through an Entrance Test</li> <li>ii. Candidates who have qualified UGC-NET, GATE, UGC-CSIR NET, JRF, SLET, ICARI, GPAT</li> <li>iii. Candidates from the industry having 10 years of experience or above.</li> <li>iv. Candidates who were admitted previously to a Ph.D. Program at a recognized university through an Entrance Test and wish to transfer to the Ph.D. program at GU.</li> <li>v. International students, but subsequent presentation / interview be held through video conferencing.</li> <li>vi. Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the program in accordance with the policy guidelines laid down by the Government of India.</li> </ul>
<p>5. Admission Procedure</p>	<p>5.1. Online PET (Ph.D Entrance Test) to be conducted by Galgotias University for all non-exempted candidates.</p> <p>5.2. All exempted and shortlisted candidates based on PET results have to undergo Personal Interview (PI).</p> <p>5.3. Admission will be decided based on performance of candidates in both PET and PI.</p> <p>5.4. Exempted candidates' admission will be decided based on PI.</p>
<p>6. Process of Conduction</p>	<p>6.1. Ph. D. Entrance Test (PET) will be conducted through Moodle.</p> <p>6.2. Testing of moodle for conduction of PET is done by moodle coordinator and Dean PG &amp; Ph.D.</p> <p>6.3. PET will have 50% questions from research methodology and 50% questions from respective discipline.</p> <p>6.4. Three panels ( One for Science, One for Engineering, One for Arts, Humanities and other domains) are created for PI.</p> <p>6.5. Personal Interview (PI) panel consist of all Deans of School in that panel two Professor and Vice Chancellor nominee.</p> <p>6.6. All three panels will be headed by one panel in charge nominated by Vice Chancellor.</p> <p>6.7. Results will be declared based on the marks in PET and PI on the next day.</p> <p>6.8. All candidates will be intimated through E-Mail regarding their results.</p> <p>6.9. Results can also be uploaded on Galgotias University Web Site.</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Criteria for admission to Ph.D Programs</li> <li>◆ List of Selected Candidates</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Minimum Qualifications</li> <li>◆ PET</li> <li>◆ PI</li> </ul>

### 10.5. Sub Process – School Research Committee

Key Objectives	<ul style="list-style-type: none"> <li>◆ Allotment of Supervisor for admitted candidates on the day of orientation</li> <li>◆ constitute DC for each candidate.</li> <li>◆ approve the proposed research plan of the candidate as approved by DC</li> <li>◆ perform such functions as are required for operationalization of the Ph.D program subject to the overall supervision and guidance of the University Research Committee (RAC)</li> <li>◆ Approve the long abstract of the thesis on its completion and the final title of the thesis.</li> <li>◆ consider the recommendation of DC for action as required</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ List of Selected candidates</li> <li>◆ Eligible Supervisor List</li> <li>◆ List of External Expert for DC.</li> <li>◆ Ph.D regulations for monitoring of progress</li> <li>◆ Synopsis submitted by Research Scholars</li> </ul>

### Process description

Key Activities	Description
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1. Supervisor Allotment	1.1. For every Ph.D student, a Ph.D supervisor will be appointed by the VC on the recommendations of Dean (PG & Ph.D) and the concerned SRC who will keep in mind the available specializations of the supervising faculty members and research interest of the student while recommending the Supervisor(s).
2. Constitution of DC.	2.1. There will be a DC for each Research Scholar which will be constituted by SRC in consultation with Dean (PG&Ph.D) and supervisor(s). The DC will consist of: (i)Dean of School (Chairman). (ii) Two expert in the field from the school. (iii) One external expert from outside the University. (iv) Respective Supervisor(s) (Convener).
3. Approval of proposed research plan and Course work	3.1. The SRC will approve the course work based and broad area of research based on research plan and synopsis submitted.
4. Progress Monitoring	4.1. SRC will conduct Ph.D colloquia in every six months in consultation with Dean (PG & Ph.D) to monitor the progress of the scholars.

Key Outputs	<ul style="list-style-type: none"> <li>◆ SRC Committee to monitor the scholars for their entire duration of Ph.D.</li> <li>◆ Formation of DC for each scholar.</li> <li>◆ Allocation of Course work and approval of research plan.</li> </ul>
	<ul style="list-style-type: none"> <li>◆ SRC</li> <li>◆ Ph.D colloquia.</li> <li>◆ Course Work</li> </ul>

#### 10.6. Sub process – Registration Process For Ph.D Degree

Key Objectives	<ul style="list-style-type: none"> <li>◆ Registration of the Candidate</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Fees Payment receipt, Educational Certificates</li> </ul>

#### Process Description

Key Activities	Description
1. Enrolment of the candidate	<p>1.1. The selected candidate has to pay the fees in admission office.</p> <p>1.2. The list of candidates who had paid their fees will be forwarded to Dean Pg &amp; Ph.D office for further process.</p> <p>1.3. The Office of Dean PG &amp; Ph.D after considering the recommendations of SRC/COE shall approve or otherwise the registration of the candidate and convey the same to the Deans of the schools.</p> <p>1.4. Eligible candidates will be notified through email about their registration and the further process to be carried out.</p> <p>1.5. Candidates will be called for orientation.</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ List of Registered candidates</li> </ul>
	<ul style="list-style-type: none"> <li>◆ All educational certificates are submitted by the candidate, Mail is sent to all registered candidates.</li> </ul>

#### 10.7. Sub process – Orientation

Key Objectives	<ul style="list-style-type: none"> <li>◆ To define the process of Ph.D for research scholars</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Ph.D Process Flow Chart, Ph.D Regulation</li> </ul>

#### Process description

Key Activities	Description
1. Presentation	<p>1.1. Dean PG &amp; Ph.D will elaborate the Ph.D Process flow chart and the Ph.D regulations</p> <p>1.2. Deans of the respective schools will brief about the facilities, Intellectual strength and the expertise of supervisors in their respective schools.</p>
2. Allocation of Supervisors	<p>2.1. SRC of all schools will allocate supervisors to all selected candidates at common place.</p> <p>2.2. All scholars will be intimated on the same day regarding their supervisor's allocation.</p> <p>2.3. Three files will be Prepared for all scholars. One file will be submitted to Dean PG &amp; Ph.D office, One remain with the School and one will be given to Scholar.</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Ph.D Scholars will be aware of the process and timeline</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Supervisors are allocated.</li> <li>◆ All students are aware about the complete process of Ph.D.</li> <li>◆ Files are prepared.</li> </ul>

### 10.8. Sub process – Course Work and Examination

Key Objectives	<ul style="list-style-type: none"> <li>◆ To complete the Course Work and examination within prescribed time</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Course Work List suggested by SRC &amp; DC</li> </ul>

### Process description

Key Activities	Description
1. Course Credit Requirements and minimum time period for completion	<p>1.1. A minimum 18 credits course work is mandatory for all the students provisionally admitted/registered in the Ph.D Program</p> <p>1.2. Each registered student shall undertake course work as prescribed by the DC for a period of one year.</p> <p>1.3. All candidates admitted to the Ph.D. program shall be required to complete the course work, as approved by the SRC, during the initial one or two semesters only</p> <p>1.4. Equivalent course credits may be transferred to GU if recommended by the Equivalence Committee constituted by Vice Chancellor for evaluation of the course work done by the candidate at a recognized university at the similar level</p>
2. Course work classes and completion	<p>2.1. Scholars have to attend classes for the courses allocated to them.</p> <p>2.2. Classes for common courses (Research Methodology, Quantitative Methods, “Research and Publication Ethics (RPE)”) will be conducted at university level for all scholars from all schools under the supervision of Dean PG &amp; Ph.D.</p> <p>2.3. Scholars can also opt for NPTEL/Swayam and other online platforms for domain specific courses with the approval from SRC.</p> <p>2.4. Scholars can also draw a list of postgraduate Course Units offered in the school and attend their classes with PG students.</p> <p>2.5. The candidates registered for Ph.D. Program in School shall also be allowed to complete the Course Unit requirements, if considered necessary, through outside School courses.</p>



	2.6. After the completion of classes students have to appear for End Term Exam (ETE) conducted by university.
3. ETE and Comprehensive Examination	<p>3.1. After the completion of Course, work classes scholars have to appear for ETE</p> <p>3.2. Each candidate, after completion of the prescribed course work, shall be required to take a comprehensive examination. The comprehensive examination will be oral examination</p> <p>3.3. The candidate will have to give a presentation about his/her research plan before members of DC. Passing of comprehensive examination is subjected to approval of research plan by DC.</p> <p>3.4. Unsuccessful candidates shall be allowed a second opportunity to clear the comprehensive examination</p> <p>3.5. Scholars will earn credits for a Course Unit only if She/he obtains a minimum of Grade B. Further, if a candidate fails to get qualifying Grade B will be given second opportunity to improve his minimum qualifying Grade B, failing which his registration will be liable to be terminated.</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Course Work Completion, Result of ETE and Comprehensive Exam</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Class attendance, MTE, ETE, Successful completion of Comprehensive Exam.</li> </ul>

### 10.9. Sub process – Progress Monitoring

Key Objectives	<ul style="list-style-type: none"> <li>◆ To monitor the research performance of candidates.</li> <li>◆ Timely completion of Ph.D degree</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Presentation</li> <li>◆ Progress Report</li> </ul>

### Process description

Key Activities	Description
1. Presentation & Report	1.1. The academic/research progress of each candidate shall be monitored by SRC. For this purpose, each candidate shall present a progress presentation during Ph.D colloquium in front of SRC committee at the beginning and end of each Semester through his/her Supervisor(s).

	<p>1.2. If due to any reasons if it is not possible to conduct progress presentation in person then progress presentation will be done online.</p> <p>1.3. Quarterly progress reports shall be submitted by the School Research Committee to the RAC with a copy to the research scholar.</p> <p>1.4. All candidates who have completed their course work have to publish or communicate at least one research paper in Scopus indexed journal related to the work done during this period of six months.</p>
2. Corrective Measures	<p>2.1. In case the progress of the research scholar is unsatisfactory, the School Research Committee shall record the reasons for the same and suggest corrective measures</p> <p>2.2. If the research scholar fails to implement these corrective measures, the SRC may recommend to the RAC with specific reasons for cancellation of the registration of the research scholar</p> <p>2.3. If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning would be issued to the candidate</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Successful conduction of Ph.D colloquia.</li> <li>◆ Six monthly progress report submitted to SRC.</li> <li>◆ Achievement of research targets by successful presentation.</li> <li>◆ Warning letter issued to scholars for unsatisfactory presentations</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Progress report</li> <li>◆ Research targets</li> <li>◆ Comments of SRC</li> </ul>

#### 10.10. Sub process – Re-Registration for Ph.D Degree

Key Objectives	◆ Re-Registration of scholars after the expiry of the maximum period
Key Inputs	◆ Date of Registration

#### Process description

Key Activities	Description
1. Re-Registration	1.1. After the expiry of the maximum period of Ph.D. registration, a candidate will be allowed to re-register only if the Vice-Chancellor approves an extension of registration

2. Change of Registration	2.1.A candidate may be allowed for valid reasons to change his status from part-time to full- time or vice-versa on the recommendations of SRC/Dean (Research) and with the approval of the Vice Chancellor
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Key Outputs	Re-registration approved/Not approved
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### 10.11. Sub process – Publication

Key Objectives	<ul style="list-style-type: none"> <li>◆ To get the minimum number of publications required for award of Ph.D degree</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Categorization of Journals, Ethics of Publishing</li> </ul>

### Process description

Key Activities	Description
1. Publication of Work	<p>1.1. The student before submission of his Ph.D thesis/monograph must have published minimum of two research papers with Galgotias University Affiliation and as first author in Scopus/SCI journals Only</p> <p>1.2. Patents published / product developed and commercialized under start up registered on the name of candidate during Ph.D may be considered in place of research papers with final approval of University Research Committee as recommended by SRC</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ Conference Paper, Journal Paper, Book Chapter &amp; Patent published</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Scopus journal, SCI journal, International Scopus indexed conference</li> </ul>

### 10.12. Sub process – Pre-Submission of Thesis & Plagiarism

Key Objectives	<ul style="list-style-type: none"> <li>◆ Approval of thesis for Final Submission</li> <li>◆ Pre-Submission Seminar Presentation</li> <li>◆ To submit Thesis for evaluation</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Draft copy of thesis with plagiarism report</li> <li>◆ List of publication</li> <li>◆ Hard Copy of Papers Published with Plagiarism Report</li> </ul>

<b>Process description</b>	
<b>Key Activities</b>	<b>Description</b>
1. Request for Pre Submission	1.1.On completion of research work and on recommendation of DC , the candidate shall submit to SRC through Supervisor(s), 2 copies of the Draft copy thesis spiral bounded after due checking of plagiarism and getting certificate of plagiarism from Head Librarian.
2. Constitution of Pre-Submission committee by SRC	2.1.SRC will constitute Pre-synopsis committee with approval from Dean (PG & Ph.D) and with the approval from VC
3. Notification	3.1.Dean PG and Ph.D will send notification to all faculties of the school and research scholars for open defense viva.
4. Pre-Submission Seminar	4.1.DC shall, in a open seminar before outside expert (from Institutes of National importance/ Premier institutions of the country NIRF ranked) in which the candidate shall be required to be present, scrutinize the long abstract and recommend the title of the thesis after revision, if necessary. 4.2.The DC will approve and forward the long abstract with its recommendations to the Dean PG & Ph.D for appointment of the thesis examiners
5. Draft Thesis Submission	5.1.If a candidate fails to submit his thesis within Two months of the approval of draft thesis, he shall be required to deliver fresh pre-submission. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean PG & Ph.D may on the recommendations made by the SRC and on individual merits of each case, grant him an extension of not more than two months.
6. Required Document for Submission of Final thesis	(i) All reports of all DC, (ii) Plagiarism check report of draft thesis and papers (iii) Hard Copy of all research Papers published with plagiarism check reports (iv) Proof of submission resubmission seminar Fee of Rs 10,000 (v) PPT of Long Abstract
Key Outputs	<ul style="list-style-type: none"> <li>◆ Recommendation of DC for final draft of thesis.</li> <li>◆ Final draft of thesis.</li> </ul>

	<ul style="list-style-type: none"> <li>◆ Plagiarism report of thesis.</li> </ul>
	<ul style="list-style-type: none"> <li>◆ All recommendations are included in final draft</li> <li>◆ Plagiarism is in the specified limit.</li> <li>◆ Required documents are attached for final submission</li> </ul>

### 10.13. Sub process – Preparation, Submission and Evaluation of Thesis

Key Objectives	<ul style="list-style-type: none"> <li>◆ Preparation of Thesis for Final submission</li> <li>◆ Final submission of thesis</li> <li>◆ Sending the Thesis for evaluation</li> </ul>
Key Inputs	<ul style="list-style-type: none"> <li>◆ Recommendations of Pre-Submission</li> <li>◆ Draft (long abstract)</li> <li>◆ Thesis</li> </ul>

### Process description

Key Activities	Description
1. Thesis Preparation	<p>1.1. The thesis shall be written in English unless otherwise approved by the DRC.</p> <p>1.2. No Part of the thesis shall have been submitted for the award of any other degree or diploma</p> <p>1.3. The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate’s capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development</p> <p>1.4. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these</p> <p>1.5. Prior to the submission of the thesis, the student shall make a pre – Ph.D. presentation in the department that shall be open to all the faculty members and research students for getting feedback and comments, which can be suitably incorporated into the draft thesis under the advice of the Supervisor(s)</p> <p>1.6. Thesis will be submitted after completion of 6th DC along with the necessary documents all required documents</p>

<p>2. Thesis Submission</p>	<p>2.1. Thesis will be submitted with the following:</p> <ul style="list-style-type: none"> <li>i. Submission of hardbound Thesis (7 copies + I USB+ Plagiarism report)</li> <li>ii. School Copy</li> <li>iii. Library</li> <li>iv. Three Copy for External Examiner</li> <li>v. One Copy to Supervisor.</li> <li>vi. One Extra thesis copy</li> </ul>
<p>3. Panel of Examiners for Ph.D</p>	<p>3.1. A Ph.D. thesis shall be evaluated by three examiners minimum two from outside the Uttar Pradesh and one from outside country. External experts will be from inside/outside the country</p> <p>3.2. The DC shall prepare the panel of examiners and shall submit the list to the COE. The Dean PG &amp; Ph.D will accord his approval to the list of examiners on the recommendation of the COE; COE shall accord approval from Vice Chancellor. Recommended list of examiners will be sent to office of COE for processing for thesis evaluation</p>
<p>4. Thesis Evaluation</p>	<p>4.1. Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed Performa within six weeks of the date of receiving the thesis</p> <p>4.2. If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel</p> <p>4.3. Each Examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:</p> <ul style="list-style-type: none"> <li>i. the discovery of facts; or</li> <li>ii. a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, and give his opinion on the candidate's capacity for critical examination and sound judgment</li> </ul> <p>4.4. All examiners will submit the reports on the prescribed form clearly stating one of the following:</p> <ul style="list-style-type: none"> <li>i. Recommended for the award of the degree of Doctor of Philosophy: Highly recommended.</li> <li>ii. The thesis is recommended for the Oral defense subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or</li> <li>iii. The candidate be allowed to resubmit his thesis in a revised form, or Not recommended</li> </ul> <p>4.5. The Examiner shall enclose a detailed report of about 200 or 300 words (or if necessary a longer report) on the thesis, along with the</p>

evaluation form, in dictating the standard of Thesis attained in terms of Originality of work and Publications quality ; the nature and details of the revision to be made in the thesis, Suggestions / Queries from Examiners on the Thesis; Questions to be raised in the Final viva voce ; critical points and basis for rejection of the thesis

- 4.6. The examiner's reports shall be forwarded to the Supervisor(s) who will inform the candidate eligible for oral defense only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners
- 4.7. The reports of all examiners shall be counted as one report. If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defense
- 4.8. In case one of the reports recommends revision of the thesis, Clause 18 shall be applicable, and the candidate will have the option to revise the thesis within one year. The revised version of the thesis would be sent to the concerned examiners for their recommendations.
- 4.9. If two of the three reports recommend revision of the thesis, the candidate will be given opportunity to revise the thesis accordingly and resubmit it normally within a period of one year for the evaluation by the same set of examiners.
- 4.10. If one of the reports recommends rejection, the comments and queries in the report, shall be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate and his thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected
- 4.11. If two of the three reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis
- 4.12. If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after three months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed. In case the fourth examiner recommends rejection or the candidate does not accept revision, the thesis shall be rejected
- 4.13. Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision
- 4.14. In case of ambiguous recommendations by the examiner, the Office of Dean (PG & Ph.D.) will approach the examiner for a clear

	recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.
5. Special case	<p>5.1. If a candidate fails to submit his thesis within Two months of the approval of draft thesis, he shall be required to deliver fresh pre-submission</p> <p>5.2. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Dean PG &amp; Ph.D may on the recommendations made by the SRC and on individual merits of each case, grant him an extension of not more than two months</p>

Key Outputs	<ul style="list-style-type: none"> <li>◆ All reports of all DC</li> <li>◆ Plagiarism check report of draft thesis and papers</li> <li>◆ Hard Copy of all research Papers published with plagiarism check reports</li> <li>◆ Proof of submission resubmission seminar Fee of Rs 10,000</li> <li>◆ PPT of Long Abstract</li> </ul>
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#### 10.14. Sub process – Open Defence

Key Objectives	◆ Open defense Viva for award of Ph.D
Key Inputs	◆ Presentation of the thesis prepared and work done

#### Process description

Key Activities	Description
1. Viva Voce	<p>1.1. If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted Committee herein after referred to as the Oral Defense Committee (ODC). The date and time of the viva-voce shall be duly notified by COE to enable the interested faculty members, staff members and students to attend it</p> <p>1.2. No examiner of viva-voce should be called for viva-voce at least for next Six Months</p>



	1.3. COE shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the candidate at least fifteen days in advance
	1.4. In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of Chairperson, questions asked by others who are present
	1.5. Soft copy of thesis shall be uploaded on UGC portal.
	1.6. The ODC shall give its recommendations in the prescribed Performa
	1.7. In case of difference of opinion among the members of ODC, separate reports shall be submitted 1.8. COE shall collect the report(s) of ODC in a folder, which will also contain <ul style="list-style-type: none"> <li>i. A copy of the thesis along with the Supplement, if required, and</li> <li>ii. All the reports of the examiners of the thesis</li> <li>iii. The recommendations of the ODC shall be submitted to the Vice-Chancellor through Dean (PG &amp; Ph.D) for final decision, which shall be reported to RAC and the Academic Council</li> </ul>

### **Report usage limitations**

This report is intended solely for the information and use of the management of GU and is not intended to be and should not be used by anyone other than these specified parties. Ernst & Young therefore assumes no responsibility to any user of the report other than GU Management. Any other persons who choose to rely on our report do so entirely at their own risk.

### **Limitations of procedures**

As it is practically not possible to study all aspects of a process in its entirety thoroughly during the limited time period of a review, based on our methodology for conducting the exercise, we conducted a review of the process and held discussions with the process owners and other key people in the process during the planning stage of audit which helped us in identifying specific areas where control weaknesses & process gaps may exist, opportunities for process improvement and/or cost reduction/revenue enhancement. Our subsequent test work, study of issues in detail and developing action plans are directed towards the issues identified.

Consequently, this report may not necessarily comment on all the function / process related matters perceived as important by the management.

The issues identified and proposed action plans in this report are based on our discussions with the people engaged in the process, review of relevant documents/records and our physical observation of the activities in the process. We made specific efforts to verify the accuracy and authenticity of the information gathered only in those cases where it was felt necessary. The work carried out and the analysis thereof is based on the interviews with the personnel and the records provided by them.

The identification of the issues in the report is mainly based on the review of records, sample verification of documents / transactions and physical observation of the events. As the basis of sample selection is purely judgmental in view of the time available, the outcome of the analysis may not be exhaustive and representing all possibilities, though we have taken reasonable care to cover the major eventualities

# Ph.D. Formats

## Ph.D. Formats Index

SN	List of Forms	Page No
1.	Proforma For Eligibility as Ph.D. Supervisor	
2.	Flow Chart	
3.	Course Registration Form	
4.	Supervisor Allotment Form	
5.	Constitution of Doctoral Committee	
6.	Doctoral Committee Meeting	
7.	Half Yearly Progress Report	
8.	Performa For Submission of Long Abstract/Synopsis	
9.	NOC from Scholars	
10.	SRC Meeting	

## Proforma For Eligibility as Ph.D. Supervisor

Name of faculty member:

Designation:

School/Department:

Total experience in years (Teaching, Industry, research):

Teaching (yrs)	Industry (yrs)	Research organization (Yrs)	Total (yrs)

Experience with Galgotias University (Yrs):

Ph.D. guidance (Scholar name, research topic, University, awarded or in process):

Name of Scholar	Supervisor/co supervisor	University	Status (Awarded/In Process)	Vacancy Available With me

**Publications (Authors, journal name, publisher, UGC/refereed/: Attach separate sheet if necessary**

### Declaration by faculty member

I hereby declare that

1. My area of specialization is \_\_\_\_\_ and details about my experience and Ph.D. guidance as furnished above are true to my knowledge.
2. I will ensure the completion of Ph.D. research scholars registered under me and will not leave the candidate/GU in between. In such cases, I will completely take the responsibility of all research scholars registered under me with GU.
3. I will also inform in writing about my change of employment to keep my candidature as a guide.
4. I will abide the rules and cooperate in guidelines of the Galgotias University.

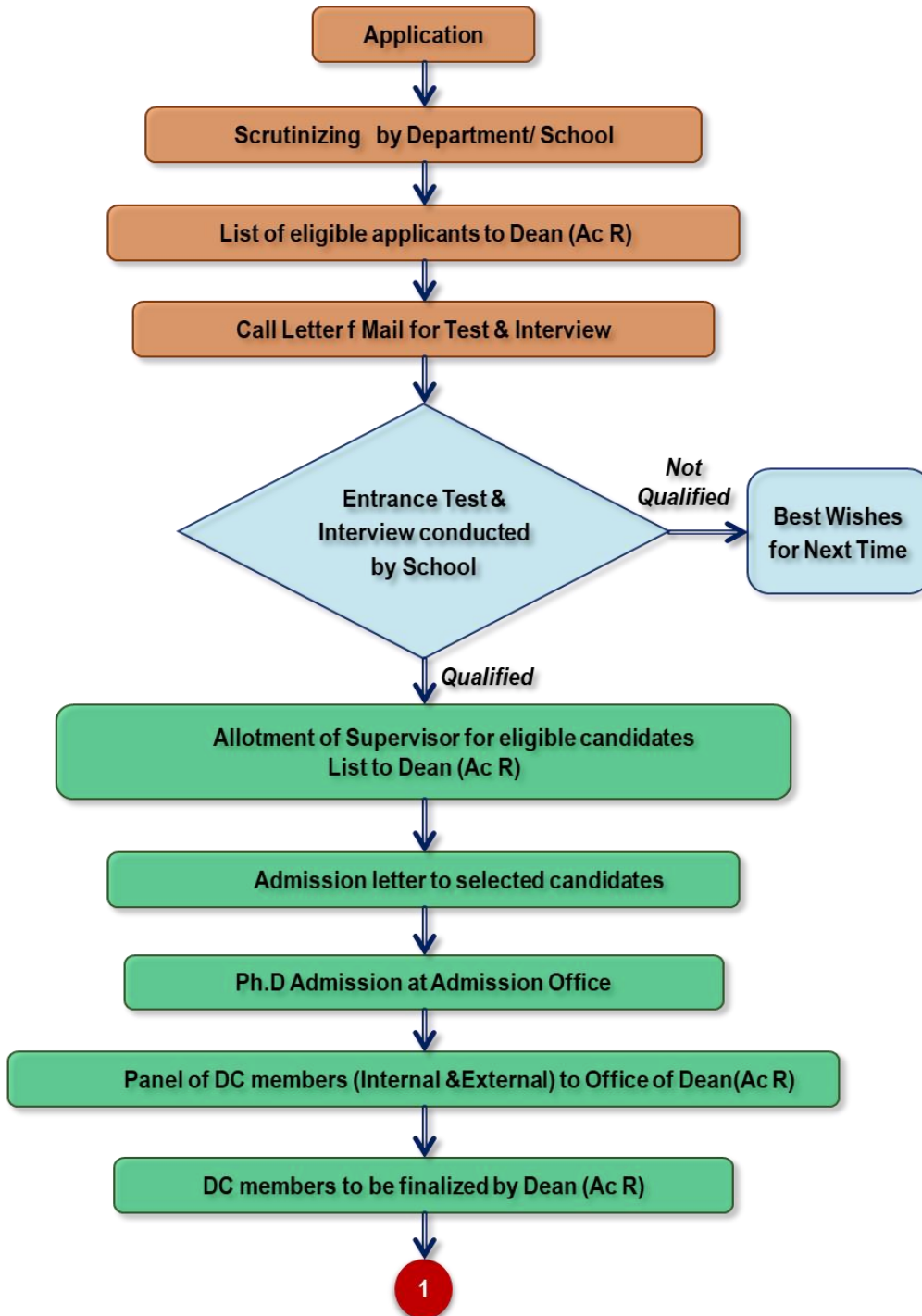
**Signature of Faculty member**

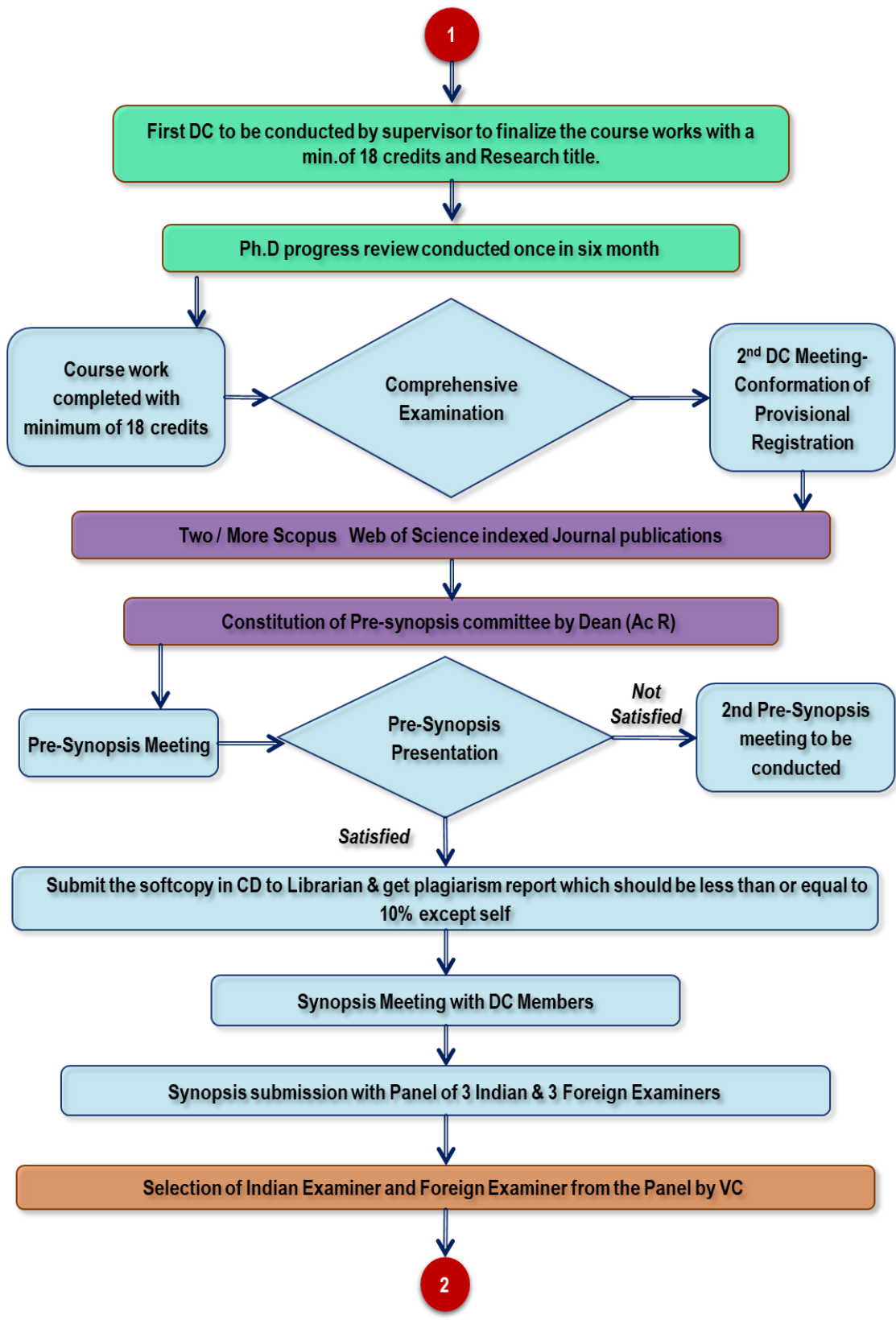
**Recommendation of Dean of School**

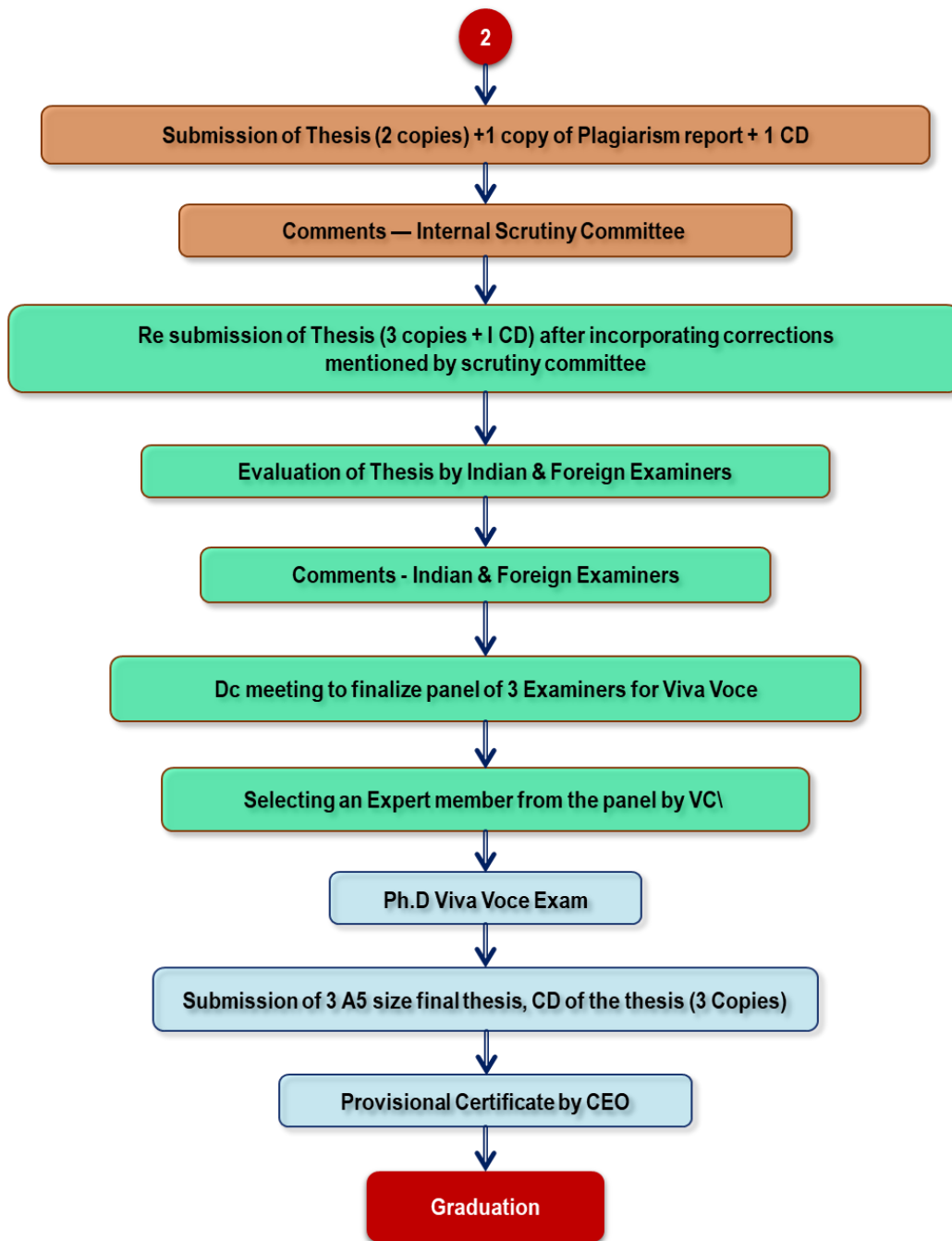
*Note: Duly filled in Proforma has to be submitted to Dean (Research) Office*

# GALGOTIAS UNIVERSITY

## Ph.D Programme Flowchart







## Course Registration Form

1. Name of School: \_\_\_\_\_

2. Name of the Ph.D Scholar (in capital letters): \_\_\_\_\_

3. Father's Name: \_\_\_\_\_

4. Enrollment No.: \_\_\_\_\_

5. Programme: Ph.D

6. Course (s) for which student is registering:

SN	Course Code	Course Name	Credit	Year & Session
1.				
2.				
3.				
4.				

Date:

(Signature of Student)  
Address and Mobile No:

(Signature of Guide)

(Signature of Dean of School)



**Supervisor Allotment Form**

(To be submitted to Dean Research)

Name of School:

1.	Name of the Ph. D. Scholar	
2.	Enrollment No.	
3.	Research Area	
4.	Brief Description of the Research Area (Maximum 250 words) Attach separate sheet	
5.	Name of the Supervisor(s)	
6.	Supervisor Contact number	
7.	Contact Number of the Research Scholar	
8.	Signature of the Student	
9.	Signature of the Supervisor (s)	

Name	Signature
_____	(Member SRC)
_____	(Member SRC)
_____	(Member SRC)
_____	(Member SRC)

(Signature, Chairperson SRC)

### Constitution of Doctoral Committee

1. Name of the Candidate and Official Address (E-mail address, Phone/Mobile Number)	
2. School where registered	
3. Category of the Scholar	(Please tick the relevant one) (i) Internal: Full Time / Part Time (ii) External: Part Time
4. Date of Registration	
5. Area of Research	
6. Likely topic of Research	
7. Guide (s)	
8. Research Advisor (if any)	

9. Panel of Experts suggested from the School where registered or other school of the University (Please suggest a minimum of three names)

Name, Designation and School	Area of Specialization
1.	
2.	
3.	
4.	

10. Panel of Experts suggested from other University/Institutions (Please suggest a minimum of three names, all from outside the School, where the candidate is registered. Bio-data of all members suggested from outside the Institute should be enclosed).

Name	Area of Specialisation	Complete address for communication (Please give Phone/Mobile, Fax & e-mail also)
1.		
2.		
3.		

Signature of Supervisor

Date:

**Nomination by the Dean**

The following are nominated as external & internal experts for Doctoral Committee

External Expert:

1.

Internal Experts:

1.

2.

Signature of the Dean of the School

(Dean Research)

**Doctoral Committee Meeting**

(Meeting: I/ II/ III)

Name of Research Scholar: \_\_\_\_\_

Registration No.: \_\_\_\_\_ Year of Admission: \_\_\_\_\_

Name of School: \_\_\_\_\_

Category (Full time/ Part time): \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Mobile No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Name of Joint Supervisor (if any): \_\_\_\_\_

Recommendations of DC (Attach separate sheet if necessary):

Name & Signatures of members present:

- 1.
- 2.
- 3.
- 4.

Signature of Convener (DC)

Signature of Dean of School

Signature of Dean (Research)

## Half Yearly Progress Report for the Ph.D Programme

**Period (from)** \_\_\_\_\_ **to** \_\_\_\_\_

*(To be prepared for a period of six months, specifying month and year)*

1.	Name of Scholar:	
2.	Admission No/Registration No	
3.	Address for Correspondence	
4.	E-mail address and Phone/Mobile number	
5.	Date of joining the Institute as research scholar	
6.	Whether Full-time/Internal Part-Time/External Part Time	
7.	Details of fee remitted (attach photo copy of the e-receipt)	
8.	Name & Address of Supervisor	
9.	Name & Address of Research Advisor (if any)	
10.	Title of the Research topic	

*A brief report of the progress achieved during the half year period*

SN	Title of the Paper	Status of the Paper	Journal/Conference	Indexing (Scopus, SCI)	Volume

**Plan of work for the next six months: Should be enclosed with the report.**

Place:

Date:

Signature of the Candidate

Signature of Supervisor

Signature of the Dean

*Remarks of the Supervisor*

Place:

Date:

Supervisor

Signature of the

*Forwarding remarks of the members of SRC of School in which the candidate is registered (use separate sheet if necessary)*

Names and signatures of Members of SRC

- 1.
- 2.
- 3.
- 4.

Chairman SRC

Dean (PG & Ph.D)

**GU/Ph.D./20-21/08**

**Proforma for Submission of Long Abstract/Synopsis of the Ph.D Thesis**

*(Note: This Performa duly filled-in in all respects should be submitted along with the synopsis)*

1. Name:
2. Address for correspondence:
3. E-mail address, Telephone/Mobile Number:
4. School in which registered:
5. Category (Internal Full-Time/Internal Part-Time/External Part-Time):
6. Date of Registration:
7. Date of Course Completion:
8. List the Courses Completed and grades obtained (Please enclose Xerox copy of the certificate issued by the COE):
9. *Date of Comprehensive Viva Voce Examination:*
10. Thesis fees payment details: *Payment Date....., Amount....., Receipt No..... (Please enclose a copy of fee receipt)*
11. *Papers published in refereed/UGC /SCI/Scopus Journals*

[List out all publications giving the full details like title of the paper, Authors, Name of the Journal, Year and Pages. A separate sheet may be used if needed. Enclose a copy of each of the papers]

Signature of the Candidate

Signature of Guide

## **Checklist for submission of Long Abstract/ Ph.D. thesis**

1. Minutes of meetings of all three DCs conducted (In original)
2. GU Ph.D. form no 7 to duly filled by candidate and signed by supervisor
3. Ph.D. Fee receipts till date (Xerox copies)
4. Xerox copy of grade sheet issued by COE as a proof of course work completed
5. Plagiarism report of Ph.D. thesis as issued by Chief Librarian
6. Copies of research papers published  
  
(Two papers in international refereed journals with GU affiliation must be published before conducting DC III – GU Ph.D. guidelines 2014)
7. Two panels of examiners (with their bio sketch) each panel consisting five examiners and having at least one examiner from outside India as recommended by SRC for approval of VC through Dean (PG & Research).
8. Soft copy and five hard copies (spiral bound) of long abstract.



*(Following format is to be printed on the letter head of the Organization where the candidate is currently working)*

### **No Objection Certificate**

This is to certify that Mr. / Ms. \_\_\_\_\_ is employed with our organization as \_\_\_\_\_. Since \_\_\_\_\_ till date \_\_\_\_\_. He / She has an experience of \_\_\_\_\_ years and \_\_\_\_\_ months in our organization. We allow / relieve him /her to join PhD in \_\_\_\_\_ at Galgotias University, Uttar Pradesh In session \_\_\_\_\_ on Full-time / Part-time basis.

It is further certified that he/she will be allowed to use facilities for research work at our Organization.

(Signature & Name of Head of Organization with seal)

Date:

## **SRC Meeting**

Name of School:

### **Minutes of Faculty Meeting**

Location:

Date:

Attendees:

Time:

#### ***Actions Taken:***

Following Resolutions are made for the upcoming School Research Committee Meeting:

1. Point-1
2. Point-2
3. Point-3
4. Point-4

Minutes Recorded by:

Members Present:

- 1.
- 2.
- 3.
- 4.
- 5.

Minutes Approved by Dean.

## **Details of Required Items for Supervisor Recognition**

1. A copy of Appointment order from GU which is self-attested
2. The provisional certificate of Ph.D Degree as appropriate
3. A copy of the Ph.D. degree, Master's degree and bachelor's degree self-attested
4. A complete Bio-data including details of teaching, research and industrial experience with designation and address details of the organization worked with, time period and duration.
5. The list of publication indicating author(s), title of the paper, journal name Vol.no., month and year, page number and main indexing of that journal.
6. Copies of minimum two best research paper (all pages) published in (Scopus) indexed refereed international journal for Assistant/Associate Professor or copies of minimum five best research paper (all pages) published in (Scopus) indexed refereed international journal for Professor
7. Each journal paper should be attached with list of indexing of the journal as a first page and highlight the scopus/other major indexing with impact factor.

## **LIST OF FILES AND FILE CONTENT AT SCHOOL LEVEL FOR Ph.D.**

### **1 Scholar File**

- (i) Registration Form
- (ii) Copy of all fee receipt
- (iii) All educational documents
- (iv) Supervisor Allocation Form
- (v) DC Constitution Form
- (vi) Course work allocation and Course work Classes attendance.
- (vii) Course work Result (If Completed)
- (viii) Comprehensive Examination Result and Course Completion certificate from COE.
- (ix) DC Minutes of Meeting.
- (x) Change of supervisor approval and consent form if any.
- (xi) Six Monthly Progress review report.
- (xii) Publication list and publication copy of paper published with plagiarism report.
- (xiii) List of conferences and training programs attended with certificates.

### **2. Supervisor File**

- (i) Supervisor Recognition form.
- (ii) Allocated Scholars.
- (iii) Number of PhD Guided with notification (Including outside of Galgotias)
- (iv) Supervisor Consent form

## **PROFORMA FOR SUBMISSION OF RESEARCH PROPOSAL**

### **Part I: General Information**

1. Project Title (should be focused not exceeding 15 words):
  
2. i. Name of Principal Investigator:  
  
ii. Name of Co-Investigator:
  
3. Collaboration if any, give details of institution(s)
  
4. Any Project(s) previously sanctioned by any funding agency? If yes give the details:

SN	Title of the Project	File No.	Name of Division and funding agency (DST/ DBT / Others mention)	Date of completion/ status	Amount (Rs lakh)	Whether final project completion report has been submitted (if yes, mention date)
1.						
2.						
3.						

5. Whether project activities require any clearance from relevant authorities in respect of any environmental/legal/ethical issues?
6. Duration (months):
7. Cost (Rs. in Lakhs): Recurring  
Non-recurring
8. Enclose the following while submitting the application form:

Duly filled application form (complete with all Annexures)- 5 hard copies plus 1 soft copy on a CD	
Bio-data of the PI & Co-I -5 copies	

### **Part II: Proposal Summary**

1. **Origin of the Proposal:** (*Maximum 1 page*)  
(*Scientific/Technical rationale for doing this work should be elaborated*)
  
2. **Objectives (Only 4-5 focused one that can be observed, measured or clearly assessable)**

i.
ii.

### **3. Review of status of Research and Development in the subject**

#### **3.1 International Status: (Maximum 2 pages)**

*(Researchers working in the area worldwide and their contributions must be properly highlighted with recent references and reviews. A correct and faithful description of the international research status must be given)*

#### **3.2 National Status: (Maximum 1 page)**

*(Same as above to cover the contribution of Indian Scientists in the project area)*

#### **3.3 Importance of the proposed project in the context of current status**

*(Maximum 1 page)*

*(Highlight what is the new area or gap which will be solved in the project in relating to what is already known. This is a very important section to project the novelty content of the proposal)*

#### **3.4 If the project is location specific, basis for selection of location be highlighted:**

*(Maximum 1/2 page)*

### **4. Work Plan:**

#### **4.1 Methodology: (Maximum of 5 pages)**

*(It should contain all the details of how each of the objectives will be addressed. This section must be detailed and have clear plans, not vague and generalized statements. It should have several schemes, tables, figures, equations etc. in addition to text, explanation and justification of why the project research plan will work)*

#### **4.2 Time Schedule of activities giving milestones through BAR diagram.**

*(Maximum 1 page)*

#### **4.3 Suggested Plan of action for utilization of research outcome expected from the project. (Maximum 1/2 page)**

#### **4.4 Environmental impact assessment and risk analysis. (Maximum 1/2 page)**

### **5. Expertise:**

#### **5.1 Expertise available with the investigators in executing the project:**

*(Maximum 1 page)*

*(Professional expertise existing with each of the investigators in terms of publications, Patents and preliminary results, to execute every component of the proposal should be highlighted)*

#### **5.2 Summary of roles/responsibilities for all Investigators:**

*(If the proposal contains more than one Investigator, it is important to clearly mention the role of each Investigator in implementing the objectives of the proposal. The Board does not encourage Investigators who do not have specific scientific role in the proposal)*

S. No.	Name of the Investigators	Roles/Responsibilities
1.		
2.		
3.		

**5.3 Key publications published by the Investigators pertaining to the theme of the proposal during the last 5 years**

**5.4 Bibliography**

**6. List of Projects submitted/implemented by the Investigators**

*(All the Investigators should list out details of the Projects submitted, implementing and completed by them. The list should start with the Projects implemented by the Principal Investigator, followed by Co-PI1, Co-PI 2 etc.)*

**6.1 Details of Projects submitted to various funding agencies:**

S. No	Title	Cost in Lakh	Month of submission	Role as PI/Co-PI	Agency	Status

### 6.2 Details of Projects under implementation

S. No	Title	Cost in Lakh	Duration	Role as PI/Co-PI	Agency

### 6.3 Details of Projects completed during the last 5 years

S. No	Title	Cost in Lakh	Duration	Role as PI/Co-PI	Agency

## 7. List of facilities required from Galgotias University for the project implementation.

### 7.1 Infrastructural Facilities

Sr. No.	Infrastructural Facility	Yes/No/ Not required Full or sharing basis
1.	Workshop Facility	
2.	Water & Electricity	
3.	Laboratory Space/ Furniture	
4.	Power Generator	
5.	AC Room or AC	
6.	Telecommunication including e-mail & fax	
7.	Transportation	
8.	Administrative/ Secretarial support	
9.	Information facilities like Internet/Library	
10.	Computational facilities	
11.	Animal/Glass House	
12.	Any other special facility being provided	

### 7.2 Equipment available with the Galgotias University/Other Institutes for the project:

Equipment available with	Generic Name of Equipment	Model, Make & year of purchase	Remarks including accessories available and current usage of equipment
PI & his group			
PI's Department			
Other Institute(s) in the region			

**7.3 Total Budget (Rs. in Lakhs):**

- Recurring Cost (Rs):
- Non-Recurring Cost (Rs):

S. No.	Item	Budget			
		1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total
<b>A</b>	<b>Recurring</b>				
	1. Manpower				
	2. Consumables				
	3. Travel				
	4. Field testing, Demo/ Training expenses (if applicable)				
	5. Contingencies/Other costs				
	6. Institutional Overheads*				
7. Any other item					
<b>B</b>	<b>Non-Recurring</b>				
	Permanent equipment				
	Construction of work shed/structures				
	Fabrication of prototype equipment				
	<b>Grand Total (A+B)</b>				

**A. Recurring:**

**1. BUDGET FOR MANPOWER**

SN	Designation	No.	Qualification & experience	Monthly emolument (Rs)	Budget (Rs. in lakhs)			
					1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total

- i. Only NET/GATE qualified candidates can be appointed as Res. Associate/SRF/JRF.
- ii. GU would not entertain any request for hike in emolument of project staff during the project period.
- iii. Limited funds may be allowed as ‘Honorarium to Experts’ for need-specific consultancy.



## 2. BUDGET FOR CONSUMABLES\*

SN	Description of consumable	Qty./Yr	Budget (Rs. in lakhs)			
			1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total

\* Includes items like chemicals, raw materials for fabrication, stationery, etc.

## 3. BUDGET FOR TRAVEL

SN	Purpose	Budget (Rs. in lakhs)			
		1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total
1	Project logistics				
2	Field activities				
3	Review meetings (if elsewhere)				

- i. International travel is not permitted
- ii. Please provide detailed justification for budget proposed under first two headings.

## 4. FIELD TESTING/DEMO/TRAININGS\*

SN	Description of field testing/demos /trainings	No/Yr	Budget (Rs. in lakhs)			
			1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total

\* Include material for technology field testing/demo, training manuals, training expenses for beneficiaries. **Note:** For training give details about the subject of training(s), no. of beneficiaries/training, duration of training days, cost /training).

## 5. BUDGET FOR CONTINGENCIES\*

SN	Item	Qty./Yr	Budget (Rs. in lakhs)			
			1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	Total

\* Includes items like computer time, secretarial assistance, documentation, cost of technology transfers/acquisitions (intellectual fees), lab/field trials, maintenance/servicing of equipment, incidental expenses, etc.

### B. Non-Recurring:

## BUDGET FOR PERMANENT EQUIPMENT/WORKSHED/STRUCTURES

SN	Equipment/Item details	Qty	Budget (Rs. in lakhs)
1.			
2.			
3.			
4.			

- i. Include installation charges, transport, taxes/duties/levies, etc. Please try to avail tax/duty exemptions as applicable to your institution/organization.
- ii. Budgetary quotations will be required for permanent equipment (estimates, if the equipment is to be fabricated locally for prototype testing etc) and other items under non-recurring head, once project is approved for financial support.
- iii. Drawings/layouts, etc. prepared by authorized professionals/agencies should be submitted for proposed work shed/structures, if applicable, and supported by documents showing availability of required land along with consent letter from the owner (Panchayat/individual/Govt./etc.).
- iv. Proper record should be maintained for the items procured under this Head.

8. Project Duration: \_\_\_\_\_ months

9. Deliverables

<b>Deliverable</b>	<b>Mark √</b>	<b>Brief description</b>
Product development/adaptation		
Process development/adaptation		
Technology package for development of the project area and local community		
Technology capability development, training & documentation (e.g. reports, papers, articles, technology manuals, patents)		
Scientific knowledge and/or data generation leading to technology development in future		
Other (Please specify)		

**10. Name and address of experts/ institution interested in the subject / outcome of the project.**

### **Part III - Technical Details**

1. **Title** (Short & Focused not exceeding 15 words):

2. **I. Statement of the problem** (200 words)

- i. State the main problem you seek to address:
- ii. Who has this problem, where does it occur?
- iii. How did you come to know of this, did the people who have problem approach you or you visualized it yourself?
- iv. Why is it important to solve it?

**II. Technology gaps & Suggested solution** (150 words):

(Describe how the proposal will lead to a novel and effective solution, **based on a scientifically and technically sound concept** and keeping in view the user needs and local availability of resources)

- i. Outline your idea or solution you plan to develop:
- ii Did you think up the technological solution within your team or was it thought up in consultation with others (who):

3. **Review of Status** - (100 words): Are you aware of any other initiative related to proposed activities to solve this problem? What were the outcomes?

*(Mention importance of the project in context of the current status, and demonstrate how the project will progress beyond the “state-of-art” or the best initiative tried by others in providing new innovative technological solution to the identified problem and user needs)*

4. **Objectives** (Only 4-5 focused that can be observed, measured or clearly assessable):

i.
ii.
iii.

5. **Methodology** ( 100 words):

*(Describe how the project will leverage livelihood/economic opportunities and solve societal challenges in a sustainable way. Also explain how, and in what way, the project will contribute to the advancement of knowledge in the subject/topic. Support with defined steps/relevant process details, e.g. flow chart, model, survey procedures, protocols, engineering design/schematic/layout plan - as applicable to achieve the stated objectives)*

6. **Work Plan** (150 words - Please also provide activities schedule – Pert Diagram):

- i. **Phase wise work plan of action with time line and deliverables in tabular form** (Describe how the proposal includes a plan for pilot application or trial in a realistic user environment of the technology/product, where the expected impacts to meet end user needs may be demonstrated to the fullest feasible extent).

- ii. **Technology Selection** (State the criteria used for selection of technology for addressing key problem(s) and the assessment of available technologies related to the project)
- iii. **Technology Development/Adoption/Modification/Capacity Building** – as applicable (Provide information on the new R&D/adapted R & D to be carried out for technology development/adoption/ modification and brief description of the technology or training package(s) to be used. Information should be provided on the scale of operation, minimum economic viable scale, estimated cost and likely benefits of the proposed technological intervention):
- iv. *Institutions/places where detailed lab/field testing or experiments will be carried out:*
- v. **Source of Technology:**

Source	Name of agency/ institution/ individual expert
Generated in-house by staff	
Generated in-house by employing outside experts	
Borrowed from an outside institution/expert	
Modification of technology/know-how being used by the beneficiaries	
Any other (please specify):	

**i. Mechanisms for Beneficiaries mobilization & Involvement:**

*(Please indicate how mobilization & participation of beneficiaries in the project work will be ensured)*

- ◆ *Formation of new technology user group or beneficiaries' group for project implementation*
- ◆ *Through demonstration of usefulness of technology or training package*
- ◆ *Involvement of beneficiaries through formation of enterprises*
- ◆ *Provision of certificates for participation/proficiency for beneficiaries*
- ◆ *Involvement of the beneficiaries as trainers and/or trainees*
- ◆ *Financial contribution by beneficiaries in project execution*
- ◆ *Material contribution (tools/raw material, labour, etc.) by beneficiaries in project execution*
- ◆ *handholding through local panchayats/welfare organizations*
- ◆ Any others (please specify):

**7. Environmental, Legal and Ethical Issues:**

*(Explain any environmental, legal and ethical compliance issues. Please mention how these will be addressed & enclose clearance certificate from concerned authorities if required)*

- 8. Deliverables** (the list below must correspond with and be derived from # 4, # 5 & #6. Please also indicate affordability of deliverables to the target beneficiaries):

Deliverable	Mark √	Brief description
Product development/adaptation		
Process development/adaptation		

Technology package for development of the project area		
Technology capability development, training & documentation (e.g. reports, papers, articles, technology manuals, patents)		
Scientific knowledge and/or data generation leading to technology development in future		
Other (Please specify)		

9. **Estimated Benefits** (100 words):

<b>Benefit</b>	<b>Mark</b> √	<b>Brief description</b>
Economic (Cost-benefit analysis)		
Employment generation		
Social		
Environmental including potential for CDM benefits		
Others (Please specify)		

*Note: Please also comments on the possible benefit sharing mechanism of project outcome by different stakeholders.*

10. Self- sustainability of the project after GU's project support is over (30 words):

11. Possibility of replication of project in similar areas (after the proposed technological solution is proven, how it will be distributed? Involving state govt. for large scale technology dissemination or via market or any other means - any entrepreneur or business person involved in the work in any manner?)

## 1. Ph.D Supervisor Details

S No	Name of Faculty	Highest Qualification	Designation	Research Area	Ph.D. students allotted outside of GU	Ph.D. students allotted in GU	Quota available	Vacancy
------	-----------------	-----------------------	-------------	---------------	---------------------------------------	-------------------------------	-----------------	---------

## 2. Ph.D School wise Information Sheet

S N	Name of PhD Scholar	Reg. no	Year and month of Enrollment	Mb. No. of PhD Scholar	Whether full time or part time	Affiliation of part time scholar	Name of Internal Supervisor	Name of External Supervisor	Affiliation of External Supervisor	Ph. No of Internal Supervisor	Ph. No of External Supervisor	Name of courses completed/pursuing	Status of course work	Name of External Expert for DC	Affiliation and Email, mb no of expert	DC conducted I/II/III	Fees paid/ dues if any	No of seminars presented (Progress report)	No of publications in journals with DOI, name of Journal and publisher	Thesis submitted or not
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