O.Ph.D.1 Eligibility criteria for admission to Ph.D. Programme

1.1. Candidates for admission to the Ph.D. Programme 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 without including the grace mark procedures or its equivalent grade 'B' in the UGC 7- point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

1.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC / ST / SEBC (Non-creamy layer) / Differently-abled and other categories of candidates as per the decision of the Government of Gujarat and other Statutory bodies, as applicable, from time-to-time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

Provided further that, if in spite of the above relaxation, the seats allotted for SC / ST / SEBC (Non-Creamy layer) / Differently Abled categories remain unfilled, a Special Admission Drive shall have to be launched, for that particular category within one month from the date of closure of admissions of General Category. It shall have to be ensured that most of the seats under these categories are filled.

1.3. Candidates who have cleared the M.Phil. Course-work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC7-point scale(or an equivalent grade in a point scale wherever grading system is followed) and are on the way to successfully completing the M.Phil. Degree shall be eligible to proceed for Research work leading to the Ph.D. Degree in the same Institution in an integrated programme. A person whose M.Phil. dissertation has been evaluated and the viva-voce is pending may be admitted to the Ph.D. Programme of the same Institution; Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. Programme.

1.4. Related / Conjunct subject(s) shall be recommended by the concerned Departmental Research Committee (DRC) and approved by the Faculty-level Research Committee. Such introduction of Related / Conjunct Subject(s) must be reported to the Council of Post-Graduate Studies and Research and the Syndicate through the concerned Board of Studies. Such introduction of Related / Conjunct Subject(s) shall have to be proposed by the department concerned to respective Departmental Research Committee (DRC).

1.5. Notwithstanding anything contained hereinabove, whenever any candidate, after possessing requisite qualification of marks not less than 55% in aggregate or its equivalent grade 'B' in the UGC7-pointscale(or an equivalent grade in a point scale wherever grading system is followed) in certain subject, applies for joining the Ph.D. Programme under the subject different from or not related to his / her post-graduation or an allied subject (Related/Conjunct Subject) under the Faculty / College / Institution, he / she may be permitted to join Ph.D. Programme in the desired subject upon recommendation from the Departmental Research Committee (DRC) and approval from the Faculty-level Research Advisory Committee (FLRAC). Such cases must be reported to the Council of Post-Graduate Studies and Research and the Syndicate for information. The application for this purpose shall have to be made by the interested candidate to the concerned Faculty. Such cases must be reported to the Council of Post-Graduate Studies and Research and the Syndicate for information.

1.6. Notwithstanding anything contained hereinabove, a person intending to register for the Ph.D. Degree of this University, working in a National Laboratory or an Institution outside the University area, recognized by this University for the purposes of imparting guidance and Research is eligible to register for Ph.D. Programme by virtue of having the requisite qualifying degree of this or any University, or an equivalent qualification having marks not less than 55% in aggregate or its equivalent grade 'B' in theUGC7-pointscale(or an equivalent grade in a point scale wherever grading system is followed). Such applications must be addressed to the concerned Departmental Research Committee (DRC), for consideration and approval by the Faculty-level Research Advisory Committee (FLRAC). Such cases must be reported to the Council of Post-Graduate Studies and Research and the Syndicate for information.

1.7. Joint Ph.D. Programmes can be offered subject to the Memorandum of Understanding with the collaborating Institution and the University that is approved by the Syndicate of the University.

O.Ph.D.2 Duration of the Programme:

2.1. Ph.D. Programme shall be for a minimum duration of Three [03] years, including course Work and a maximum duration of Six [06] years.

2.2. A Research Scholar intending to extend the period of Ph.D. registration beyond the Three [03] years / Six [06] consecutive Semesters from the date of registration / enrollment, and intends to continue the research work shall be required to apply for extension of Ph.D. registration to the Deputy Registrar (Academics), in prescribed format through the Guide for research degree, the Head of the Department and Dean / Principal / Director of the recognized Institution at least Three (03) months before the expiry of the Registration period.

2.3. Deputy Registrar (Academics) may permit such application of extension up to a maximum period of Three (03) Years / Six (06) Semesters for Ph.D. Programme at once. A Research scholar who has so extended the period for Ph.D. registration, shall be required to submit the Ph.D. Thesis within this extended period of Three (03) Years / Six (06) Semesters from the first date of registration / enrolment.

2.4. The Synopsis of the Ph.D. Thesis can be submitted after a minimum period of Two (02) Years from the date of Ph.D. registration / enrollment along with the prescribed fees to be deposited to the Deputy Registrar (Examinations) through the Guide for research degree, the Head of the concerned Department and the Dean of the concerned Faculty.

2.5. Before submission of the Synopsis, a research scholar needs to present the Synopsis before the Departmental Research Committee (DRC), at most One (01) month before the submission of the Synopsis. The Synopsis must be submitted to the Deputy Registrar (Academics) within One (01) month from the date of presentation before the Departmental Research Committee (DRC), with necessary amendment(s) / correction(s), if any, suggested by the Departmental Research Committee (DRC), as the case may be.

2.6. The minimum time limit for submitting the Ph.D. thesis shall be after Thirty (30) months from the date of Ph.D. registration/enrollment along with prescribed fees for submission of Ph.D. Thesis.

2.7. However, the Ph.D. Degree notification shall be issued only after completion of Three (03) Years from the date of registration / enrollment. The Research scholar registered for the Ph.D. degree shall be required to present an open seminar in the department, at least twice in a year to review the progress of the research work.

2.8. The Women Research scholars and Research scholars with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. Programme in the maximum duration. In addition, the women research scholars may be provided Maternity Leave / Child Care Leave once in the entire duration of Ph.D. studies for up to 240 days. Such leave period be not taken into account to count the aforesaid maximum duration of the Ph.D. Programme subject to production of necessary documentary evidences.

2.9. Notwithstanding the provision contained hereinabove in the O.Ph.D.2.2 and O.Ph.D.2.3, the Vice-Chancellor, in Special Cases, may permit the Research Scholar to submit the Synopsis and / or the Ph.D. thesis late by granting necessary renewal. Such Research Scholar is required to pay the necessary additional fees for Ph.D. Programme for each additional Year(s) / Semester(s) or a part thereof. Such action taken by the Vice-Chancellor shall be reported to the Syndicate through the Council of Post-Graduate Studies and Research for information and noting.

2.10. The Research scholar registered for Ph.D. Programme shall be required to pay the tuition and other fees as prescribed from time-to-time for all the terms from the date of registration / enrollment up to the date of submission of the thesis on production of Six-monthly Progress Report. However, submission of Six-monthly Progress Report shall not be required once the Synopsis is submitted by the Research scholar.

O.Ph.D.3 Procedure for Admission to Ph.D. Programme and Progression of Study

3.1. The University shall admit Ph.D. students through an Entrance Test conducted by The Maharaja Sayajirao University of Baroda. The Candidate who fulfils the conditions as stated in O.Ph.D.1, and has qualified in the National/State Level Eligibility Test or the Tests such as UGC-CSIR / NET / GSET / GATE / GPAT / DBT / ICMR / ICAR / JRF / NBHM / DST-INSPIRE / Teacher Fellowship Tests etc. or such other Eligibility Tests of National Level, as recognized equivalent thereto by Vice-Chancellor or has passed M.Phil. Programme shall be exempted from appearing in the Ph.D. Entrance Test conducted by The Maharaja Sayajirao University of Baroda.

3.2. The candidates otherwise fulfilling the requirements as stated in O.Ph.D.1 but have not qualified in the National/State Level Eligibility Test or the Tests such as UGC-CSIR / NET / GSET / GATE / DBT / ICMR / ICAR / JRF / Teacher Fellowship Tests etc. shall have to qualify in the Ph.D. Entrance Test (PET) of The Maharaja Sayajirao University of Baroda in the concerned subject.

3.3. The offer and conduct Ph.D. Programme, shall:

3.3.1. Decide on an annual basis a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Guide for research degree and other academic and physical facilities available, keeping in mind the norms regarding the Research scholar: Teacher ratio (as indicated in O.Ph.D.4 – 4.17.1, 4.17.2, and, 4.17.3), laboratory, library and such other facilities;

3.3.2. The concerned teacher may inform about the availability of positions for Ph.D. students through the Dean to the University and the same shall be advertised half yearly and such announcement shall have posted on the University website.

3.3.3. Notify well in advance on the institutional website and through advertisement in at least two (2) National Newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject / discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination center(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;

3.3.4. Admission to the Ph.D. Programme shall adhere to the National/State-level reservation policy, as applicable.

3.4. The admission shall be based on the criteria notified by the University, keeping in view the guidelines / norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central / State Government from time-to-time.

3.5. Notwithstanding anything contained hereinabove, a person working in a National Laboratory or an Institution outside the University area recognized by this University for purposes of giving guidance for Research and intending to register for the Ph.D. Degree of this University shall forward the application in the prescribed form for admission. Such person complying to the eligibility criteria as stated in O.Ph.D.1 and O.Ph.D.3 hereinabove is eligible for such admission by virtue of having a qualifying degree of this or any University, or an equivalent qualification having marks not less than 55% in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed). The application form duly completed and signed by the recognized Guide for research degree shall be sent through the Head of the Laboratory or the Institution to the Dean of the Faculty concerned of this University.

3.6. The University shall admit candidates for Ph.D. by a two-stage process through:

3.6.1. An Entrance Test shall be qualifying test with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of Research Methodology and 50% shall be Subject specific.

3.6.2. A Virtual/Physical interview / viva-voce to be organized by the Departmental Research Committee. The candidates are required to discuss their Research proposal / Research interest/area through a presentation before a duly constituted Departmental Research Committee.

3.6.3. The interview/viva voce shall also consider the following aspects, viz. whether:

3.6.3.1. The candidate possesses the competence for the proposed research;

3.6.3.2. The research work can be suitably undertaken at the Faculty / College / Department / Institution / Centre;

3.6.3.3. The proposed area of research can contribute to new/additional knowledge.

3.7. A student has to pay Yearly fees / Half-yearly fees, as prescribed from time-to-time, and in force, for admission required under relevant ordinances. The student shall apply for admission to the University only after obtaining the Certificate of eligibility on production of the required documents and the prescribed fees. On receipt of the completed application for registration and the prescribed fees, the University will issue a Registration Certificate showing the name of the research scholar, the date of registration, the Provisional title of research and the year in which the research scholar is entitled to submit the Thesis.

The title for the Ph.D. thesis will be finalized at the time of submission of the Synopsis, and the same will be submitted to the Office of Academic section for record.

Note:

1. All the progress reports submitted prior to the submission of the Synopsis will contain the Provisional title (or the Final title, as the case may be). However, the Synopsis will be submitted along with the Provisional title as well as the Final title.
2. The existing amount of Ph.D. Term fees (Yearly fees / Half-yearly fees) of concerned Faculty will remain in force till 31-December-2022. The same will be increased @10% on every first day of January of respective calendar year in multiple to INR10 rounded on upper side with effect from 01-January-2023 and onwards at the same rate. The component-wise increase may be made effective by appropriate calculation to maintain the upper ceiling.

3.8. The Department, Faculty and the University shall maintain the list of all the Ph.D. registered students on the website on year-wise basis. The list shall include the Name of the registered research scholars, Topic of the research, Name of the Guide for research degree / Co-guide, Date of registration / enrollment.

3.9. A research scholar for Ph.D. degree after the registration shall be required to work for a minimum period of two years under the guidance of a Guide for research degree. All those research scholars who have been permitted to work in Recognized Laboratories / Institutions etc. shall also be required to work under the Guide for research degree / Co-guide for a minimum period of two years.

3.10. Employees who are in-service in any other recognized University / College / Research institute / Industry / Organization etc. in India and have a minimum of three years teaching/research experience, will be considered for registration to Ph.D. degree only if they get 'No Objection Certificate' from the parent organization.

3.11. Permanent teachers / Temporary teachers/Employee of this University shall be required to submit the 'No Objection Certificate' from the concerned Dean of the Faculty / Principal of the College / Head of the Institution to the effect of his/her Research work shall not adversely affect the teaching assignment / administrative assignment of the concerned faculty / college / institution.

3.12. The research scholar under essentially required conditions may apply to the Departmental Research Committee to accord the permission to undertake the research work for maximum of 12 months in the Institute of the Co-guide. The same may be ordinarily permitted by the Departmental Research Committee to undertake the research work for maximum of 12 months. Any extension shall require the prior approval of Departmental Research Committee.

3.13. Deleted

3.14. Guide for research degree may propose the cancellation of Ph.D. registration in the event of the research scholar is not exhibiting / showing satisfactory progress to the Departmental Research Committee. The recommendations of Departmental Research Committee (DRC) will be suitably considered by Faculty-level Research Advisory Committee (FLRAC), which shall be empowered to cancel the registration of a research scholar. Such action shall be required to be resolved and reported to the Deputy Registrar (Academics) through Dean of the Faculty / Principal of the College / Head or Director of the Institute for making the necessary changes in the University records.

3.15. A research scholar may propose for withdrawal of his / her Ph.D. registration, for whatsoever reason(s), to the Departmental Research Committee. The recommendations of Departmental Research Committee (DRC) will be suitably considered by Faculty-level Research Advisory Committee (FLRAC), which shall be empowered to cancel the registration of a research scholar. Such action shall be required to be resolved and reported to the Deputy Registrar (Academics) through Dean of the Faculty / Principal of the College / Head or Director of the Institute for making the necessary changes in the University records.

O.Ph.D.4 Eligibility criteria and Allocation of the Guide for research degree, Co-Guide, Self-Guide and Number of Ph.D. scholars permissible per Guide for research degree

Only full time regular Teacher of The Maharaja Sayajirao University of Baroda shall act as Research Guide (Guide for research degree). However Co-Guide can be allowed in interdisciplinary areas from other departments of the University or from other related institution with the approval of Faculty-level Research Advisory Committee (FLRAC) and with due information to the Syndicate through the Council of Post-Graduate Studies & Research for noting.

Notwithstanding anything contained hereinabove, the eligible candidate other than from academics as well as from outside the University can also submit their application in specified format to the office of the Registrar and / or the Deputy Registrar (Academics) for consideration of their candidature as Co-guide. However, such applicants must have to comply to the prescribed eligibility criteria including the publication requirements in force and also in conformity with the University Grants Commission Gazette Notifications as amended from time-to-time as the case may be.

4.1. Any Professor of the University with at least five Research publications in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences shall be deemed as recognized as Guide for research degree. (Provided that he / she holds a Doctoral Degree or Equivalent research publications) in the respective subject, without referring their cases to the Council Post-Graduate Studies and Research and the Syndicate. However, such Professor shall be required to inform in writing their willingness to offer the services as Guide for research degree to the University. Their applications shall have to be forwarded through the Dean of the Faculty upon recommendation from the Head of the concerned department and the Faculty-level Research Advisory Committee (FLRAC) with all necessary documentary evidences about aforesaid criteria for their Research Publications.

Provided that in areas / disciplines where there are only a limited number of journals in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences are available or no such journals are available as such, the University may relax the above condition for recognition of a person as Guide for research degree with reasons recorded in writing. Such a case shall be reported to the Syndicate through the Council of Post-Graduate Studies and Research.

4.2. Any Associate Professor / Assistant Professor of this University with a Ph.D. degree and at least two Research publications in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences may be recognized as Guide for research degree in the respective subject, without referring their cases to the Council Post-Graduate Studies and Research and the Syndicate. However, such Associate Professor / Assistant Professor shall be required to apply in writing their willingness to offer the services as Guide for research degree to the University. Their applications shall have to be forwarded through the Dean of the Faculty upon recommendation from the Head of the concerned department and the Faculty-level Research Advisory Committee (FLRAC) with all necessary documentary evidences about aforesaid criteria for their Research Publications.

Provided that in areas / disciplines where there are only a limited number of journals in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences are available or no such journals are available as such, the University may relax the above condition for recognition of a person as Guide and / or Co-guide for research degree, as the case may be, with reasons recorded in writing. Such a case shall be reported to the Syndicate through the Council of Post-Graduate Studies and Research.

4.3. Provided further that for the applicants applying for recognition as guide for the research degree from the Faculty of Fine Arts and Faculty of Performing Arts, the existing stipulations as per the Syndicate resolution number 22 dated 29/11/2013 and Syndicate resolution number 32 dated 27/12/2013 shall remain effective.

4.4. The criterion for recognition as Guide for the research degree and that for Post-Graduate teacher under the Faculty of Medicine shall be as follows:

4.4.1. Criterion for the Guide for research degree:

The criterion for recognition as Guide for the research degree of the teachers of Faculty of Medicine shall be as per the guidelines of Medical Council of India Regulations, 2000 – (Amended up to May, 2013) as below:

"Ph.D. Degree may be instituted in all subjects wherever recognized postgraduate qualification in medical subjects are awarded by the concerned Universities subject to fulfillment of the following guidelines:

A. Ph.D. shall be awarded only after completion of M.D. or M.S. or P.G. Diploma or M.Sc. in medical subjects.
B. The period of training for Ph.D. shall be two years for candidates who possess M.D. / M.S. / P.G. / Diploma in Three (03) Years for candidates with M.Sc. (Medical subjects).
C. For starting Ph.D. course, the institution concerned shall have the following facilities namely:
    (i) Adequate facilities for experimental medicine and experimental surgery;
    (ii) Ancillary Departments, adequately equipped and well-staffed as prescribed for Postgraduate departments;

(iii) Adequate facilities for advanced research work and laboratory investigations in the departments of Biochemistry, Physiology, Microbiology, Histopathology, Radio-diagnosis etc.

A guide for the Ph.D. degree (Guide for research degree) shall have not less than fifteen year's teaching and research experience after obtaining his post-graduate qualification and shall also have not less than Ten [10] Years post-graduate teaching experience as a faculty member."

4.4.2. Criterion for the Post-Graduate teacher:

Each Clinical Unit, under the different departments of the Medical College, Baroda is considered as a whole for purposes of registration of Post-Graduate students and imparting instruction for the post-graduate courses.(While the Head of such a Unit should share the responsibility for post-graduate instruction with other recognized teachers of the Unit, he should have overall responsibility of certifying attendance statement, dissertations, etc.)

A. Professor in each full-time department be deemed recognized as a University Post-Graduate teacher for imparting instruction for the Post-graduate courses.
B. Post-graduate teacher in any subject should have 8 years of teaching experience out of which 5 years should be as the Assistant Professor and above.
C. A teacher who is not holding a Medical Post-Graduate degree shall not be allowed to guide a Post-Graduate student for the Medical degrees.

4.5. A permanent teacher working in this University and is having required eligibility for registration for the admission to the degree of Doctor of Philosophy as defined under O.Ph.D.1 and also having at least five Research publications in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences, may apply to the council of Post-Graduate Studies and Research through proper channel, for **self-guide**. Provided further that the recognition for the self-guide for the research degree shall be awarded only if there do not exist any recognized Guide for the Research degree in the concerned department.

4.6. Every recognized Guide for research degree must be attached to the Faculty / Institution of this University, and the recognition will continue so long as one answers the designation on the basis of which the recognition was granted, till the date of retirement and / or if the services of such Guide for research degree is continued as per the UGC's scheme. Those Guide for research degree whose services are extended under the scheme of statutory bodies will be permitted for registration of new research scholars within the First year of newly extended period within the aforesaid stipulation.

Notwithstanding anything contained hereinabove, the Faculty-level Research Advisory Committee (FLRAC) is empowered to allow to extend / continue the guide-ship either for a period till the Guide for research degree attains the age of 65 years or the research scholar(s) registered under such Guide for research degree completes their research work whichever is earlier. Such action shall be required to be reported to the Deputy Registrar (Academics) through proper channel for making necessary changes in the University records and is to be reported to the Syndicate through the Council of Post-graduate Studies and Research for noting.

4.7. In case of the topics which are of inter-disciplinary in nature, and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Departmental Research Committee may recommend a **Co-guide** for research degree, with the approval of the Faculty-level Research Advisory Committee (FLRAC). Such application for recognition of the Co-guide shall be granted by the Vice-Chancellor and reported to the Syndicate for information through the Council of Post-Graduate Studies and Research upon such terms and conditions as may be specified and agreed upon.

Notwithstanding anything contained hereinabove, the University will also maintain the pool of recognized Co-guides for research degree wherein the topics which are of inter-disciplinary in nature, and where the University and Post-graduate Council of Studies and Research wishes to supplement the research inputs for ensuring possible use of available expertise in the Department / Faculty / College / Institute from outside the University. Such action of the University of the creation of such pool of Co-guides shall be with the prior approval of the Post-Graduate Council of Studies and Research, upon such terms and conditions as may be specified and mutually agreed upon by the University and the concerned Co-guide. Such approval of the Co-guide must be reported to the Syndicate for information.

4.8. Further, when are search scholar registered under a guide of any subject in any department may request permission to have a **Co-guide** from any National Laboratory or Research Institution outside the University or from any other department / faculty within this university. Such request shall be considered by the Faculty-level Research Advisory Committee (FLRAC) of the Faculty.

4.9. The Departmental Research Committee, on the recommendation of the Guide for research degree, may recommend the scholars of eminence, outside the Department / Faculty / University, who shall be residing in India or abroad, as **Co-guide** from the Institution recognized for imparting the Research studies or any Institution with repute.

4.10. The allocation of Guide for research degree / Co-guide for a selected Research scholar shall be decided by the Department concerned depending on the number of scholars per Guide for research degree, the available specialization among the Guides for research degree / Co-guide and research interests of the Research scholars as indicated by them at the time of interview / viva voce.

4.11. The Departmental Research Committee shall have to recommend the application for **Co-guide** to the University through the Faculty-level Research Advisory Committee (FLRAC). The recognition of Co-guide shall be as per the stipulated rules as specified in the present O.Ph.D.4 and recognition letter shall be issued by the University.

In addition, the Academic Section of the University shall also maintain the list of Co-guide(s) as approved by the University as stipulated hereinabove.

4.12. The following shall be the guidelines to which the Council of Post-graduate studies and Research will give due consideration while recognizing External Co-guide(s) (Persons from Outside the University) for research degree as qualified for guiding research scholars for Ph. D. Degree:

4.12.1. Any person from Institutions/Laboratories or Research Institution / Industry / Government Department / Institution etc. shall be deemed recognized Co-guide(s) for research degree for guiding Ph.D. research scholars without referring their cases to the Council of Post-Graduate Studies and Research and the Syndicate, provided such persons are from Scientific / Technical / Managerial / Administrative / Government cadre and having Ph.D. degree in the respective subject. However, such person shall submit a formal application in the prescribed form to the University for recognition as a Co-guide, such application submitted for the recognition of Co-Guide will be scrutinized and approved by the following Standing Committee:

- Vice-Chancellor - Chairman
- Senior Dean - Convener (To be nominated by Vice-Chancellor)
- Senior Professor - Member (To be nominated by Vice-Chancellor)
- Two (02) members (Other than Dean) from Council of Post-Graduate Studies & Research (To be nominated by Vice-Chancellor)
- Dean of the Concerned Faculty
- Subject Expert (To be nominated by Vice-Chancellor)
- Deputy Registrar (Academic) – Member Secretary

4.12.2. He / She has obtained the Ph.D. Degree;

4.12.3. He / She should have obtained Master's Degree with at least 55% having consistently good academic record or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by the Ministry of Education, and the degree of Ph.D. has been accorded equivalence by AIU, New Delhi.

4.13. Every-recognized Co-guide may preferably be the permanent employee of the Institution / Laboratory and the recognition will continue so long as one answers the designation on the basis of which the recognition was accorded and is in the employment of the same Institution. However, if such a Co-guide has guided for Four Terms or more and if he/she is willing to continue after leaving the Institution/Laboratory recognized by this University, his/her application in this matter will be suitably considered by the University.

4.14. The Guide for research degree must ensure that the co-guide(s) should maintain the active academic interaction with the University.

4.15. Viva-voce examination of the Research scholar will be held in concerned University Department / Faculty. However, Vice-Chancellor is empowered to take appropriate decision in exigency conditions, on case-to-case basis.

4.16. In the case of a student registered in this University working under a recognized Co-guide for research degree from recognized Institutions outside the university or he / she being the Self-guide, the Dean of the concerned Faculty, in consultation with Head of the concerned Department will act as coordinator for establishing liaison between the Research scholar, the Co-guide or the self-guide, as the case may be, the Department concerned and the University. The following are the responsibilities of the coordinator for such purpose:

4.16.1. The Coordinator needs to ensure that the Research scholar comes to the University department at least twice a year to present the progress of the research work done during the year to the concerned Departmental Research Committee.

4.16.2. Coordinating for the appointment of External Examiner.

4.16.3. The Coordinator, in case of a self-guide shall take follow up with the External Examiner for the evaluation reports / correction(s) / clarification(s) / suggestion(s) related to the evaluation reports.

4.16.4. Coordinator must ensure verification of the incorporation of the suggested corrections by the self-guide.

4.16.5. Coordinating with the External Examiner and the self-guide for the Open Public Viva-voce (Open defense) Examination.

4.16.6. Coordinator need to authenticates and forward the reports on the Open Public Viva-voce (Open defense) Examination of the self-guide.

4.17. Number of Ph.D. Scholars Permissible Per Guide and Co Guide(s) for Ph.D. Research Degree:

4.17.1. A Guide for research degree who is a Professor / Co-guide, at any given point of time, cannot guide more than Eight [08] Ph.D. scholars. The new vacancy for afresh Ph.D. Registration will be created in proportion to the submission of the Ph.D. thesis of those students who have registered under the respective Guide for research degree.

4.17.2. An Associate Professor / Co-guide as Guide for research degree can guide up to a maximum of Six [06] Ph.D. scholars. The new vacancy for afresh Ph.D. Registration will be created in proportion to the submission of the Ph.D. thesis of those students who have registered under the respective Guide for research degree.

4.17.3. An Assistant Professor as Guide for research degree can guide up to a maximum of four [04] Ph.D. scholars. The new vacancy for afresh Ph.D. Registration will be created in proportion to the submission of the Ph.D. thesis of those students who have registered under the respective Guide for research degree.

4.18. Change of a Guide for research degree / Co-guide: A research scholar desirous of changing the Guide for research degree shall apply to the Faculty-level Research Advisory Committee (FLRAC)through both the existing Guide / Co-guide for research degree and the proposed Guide / Co-guide for research degree, Head of the concerned Department. Faculty-level Research Advisory Committee (FLRAC) is empowered to act on such application for changing Guide for research degree / Co-guide with the reason(s) to be recorded in writing. Such action shall be required to be reported to the Deputy Registrar (Academics) through proper channel for updating in the University records.

Provided that in the cases of retirement of a Guide / Co-guide for research degree or death of a Guide / Co-guide or long leave or prolonged sickness of a Guide / Co-guide or the cases of similar nature, a research scholar may apply to the Faculty-level Research Advisory Committee (FLRAC) for changing the Guide for research degree / Co-guide. Faculty-level Research Advisory Committee (FLRAC) is empowered to act on such application for changing Guide for research degree / Co-guide with the reason(s) to be recorded in writing. Such action shall be required to be reported to the Deputy Registrar (Academics) through proper channel for updating in the University records.

4.19. In case of relocation of an Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the Parent institution / Guide for research degree from any funding agency. The scholar will however give due credit to the parent guide and the University / Institution for the part of research already done.

4.20. Equivalence for Ph.D.: As per AICTE Notification dated 01/03/2019, the person of eminence wishing to become the Guide for research degree not holding the Ph.D. degree but have;

- 5 Research publications in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences with the criteria that each Journal having a cumulative impact index of not less than 2.0, with incumbent as the main author and all 5 publications being in the authors' area of specialization;
  OR
- An incumbent should have obtained at least two patents;
  OR
- An incumbent contributed to the increased productivity in the place of work recognized at State or National level or elected as a Fellow of any of the National academies

However, the administrative procedure of providing such equivalence for Ph.D. shall be devised by the University.

4.21. Withdrawal of recognition for Guide for research degree / Co-guide: Notwithstanding anything contained hereinabove in O.Ph.D.4, the Syndicate may, at any time, on the recommendation of the Council of Post-Graduate Studies and Research shall be empowered to withdraw the recognition of a Guide / Co-guide for research degree.

O.Ph.D.5 Course-work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.

5.1. **The course-work shall be treated as prerequisite for the award of Ph.D. degree**. All research scholars admitted to the Ph.D. Programme shall be required to complete the course-work prescribed by the Faculty / College / Department / Institute / Center during the initial one or two semesters.

5.2. The credits assigned to the Ph.D. course-work shall be a minimum of 08 credits and a maximum of 16 credits.

5.3. Faculty / College / Department / Institute / Center level Four [04] credits shall be assigned to one or more courses on Research Methodology which could cover areas such as Quantitative methods, Computer applications, Research ethics and Review of published research in the relevant field, training, field work, etc. Other shall be advanced level courses for preparing the research scholar for Ph.D. degree.

5.4. All courses prescribed for Ph.D. course-work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the concerned Faculty-level Research Advisory Committee (FLRAC) upon recommendation by the Departmental Research Committee (DRC).

5.5. The Faculty-level Research Advisory Committee (FLRAC) / Departmental Research Committee (DRC) / Institute-level Research Advisory Committee (ILRAC) shall suggest courses related to the subject within and outside the department, equivalent to at least 6 credits (1 credit = 15 hours of teaching) in the relevant area. This Faculty / Department / Institute level course-work may also include other specialized areas of studies, based on the need of approved research topic for the studies, which the Guide for research degree considers necessary and that the Research scholar must acquire the proficiency in these areas as well.

5.6. The Faculty-level Research Advisory Committee (FLRAC) / Departmental Research Committee (DRC) / Institute Level Research Advisory Committee (ILRAC), where the scholar pursues the research work, shall prescribe the course(s) to him / her, as stipulated under O.Ph.D.6 herein under, for the research scholar.

5.7. A research scholar having completed the Pre-Ph.D. course-work from another university and moving to The Maharaja Sayajirao University of Baroda, shall be exempted from the course-work. The credits so obtained shall be treated at par with the credits of this University. However, such a research scholar will have to appear in the University Entrance Examination (PET) as applicable to Fresh Candidates directly registering for Ph.D.

5.8. Candidates already holding M. Phil. degree and admitted to the Ph.D. Programme, or those who have already completed the course-work in M.Phil. and have been permitted to proceed to the Ph.D. Programme (including integrated Ph.D. Programme, if any), may be exempted by the Faculty-level Research Advisory Committee (FLRAC) / Institute Level Research Advisory Committee (ILRAC) from the Ph.D. course-work.

5.9. Grades in the course-work, including Research methodology courses shall be finalized after a combined assessment by the Faculty-level Research Advisory Committee (FLRAC) and the Department / Institute Level Research Advisory Committee (ILRAC). The certification of the final grades in prescribed format shall be communicated to the University, by the concerned Dean of the Faculty / Director of the Institute by informing the Research scholar concerned and the Guide for research degree.

5.10. The Ph.D. scholar has to obtain a minimum of 55% of marks in the prescribed Grade Point Scale (or an equivalent grade / CGPA in a point scale wherever grading system is followed) and Structure of the University in the course-work in order to become eligible to continue in the respective Programme and submit the dissertation/thesis, as the case may be.

O.Ph.D.6 The Departmental Research Committee, the Faculty-level Research Advisory Committee (FLRAC), and their functions

6.1. There shall be a **Departmental Research Committee (DRC)** for each Ph.D. scholar. The constitution of this committee is as under:

- Dean of the concerned Faculty – Chairperson
- Head of the concerned department – Co-chairperson
- Guide for Research Degree – Convener
- An Expert from the concerned subject [As nominated by Vice-Chancellor] – Member
- One Professor [Must be a Guide for Research Degree] – Member
- One Associate Professor [Must be a Guide for Research Degree] – Member
- One Assistant Professor [Must be a Guide for Research Degree] – Member

Note: Where the Guide for research degree is also the Head of the Department concerned, then a senior teacher of the Department concerned who is a recognized Guide for research degree be included in Departmental Research Committee (*DRC). Where the Guide for research degree is both Head of the Department and Dean of the Faculty concerned, then two such teachers of the Department concerned is included in the Departmental Research Committee* (*DRC). If the Department concerned does not have the required number of such teachers, then such number of senior teachers who are Guide for research degree from "other related Department(s) of the Faculty/University" concerned be included in the Departmental Research Committee* (*DRC) so that in any given situation, the Departmental Research Committee* (*DRC) consists of not less than two other such teachers in addition to the Guide for research degree.*

The Departmental Research Committee (DRC) shall meet at least once every three months, and submits the proceedings to the Dean of the concerned Faculty. The proceedings of Departmental Research Committee (DRC)shall be required to be placed before the concerned Boards of Studies as well as Faculty-level Research Advisory Committee (FLRAC) as defined herein under for information and noting about the actions within its empowerment.

This Committee shall have the following responsibilities:

i. To review the research proposal and finalize the topic of research.
ii. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he /she may have to do so.
iii. To periodically review and assist in the progress of the research work of the research scholar.
iv. To hold the interview and viva-voce for the Research scholar intending to join Ph.D. and recommend the area of research based on the review of research proposal;
v. To recommend the Guide for research degree as per the area of research of the applicant;
vi. To recommend the application of research from the candidate to undergo the research work under the interdisciplinary subject/subject not related with the qualifying post-graduate degree;
vii. To recommend the conjunct/related subject(s) for the concerned department;
viii. To suggest, recommend and prescribe the subjects and areas of Departmental Level Course-work;
ix. To review the progress of research work periodically upon the presentation from research scholar and assist in the progress of the research work of the research scholar/self-guide;
x. Deleted
xi. To vet, scrutinize and recommend the applications for the Co-guide from within the University or outside the University under a recognized Institution for imparting the Research work or an Institution of repute, if need be, and dealt with the extension of research-work outside the University;
xii. To attend the Open Public Viva-voce (Open defense) and recommend the critique, if any;
xiii. To review/examine ethical issues involved in undertaking research on the topic, it's methodology plan of the research scholar and suggest changes required (if any), as applicable.
xiv. To undertake such other duties, as recommended and entrusted upon, in order to elevate the research standards from time-to-time.

6.2. A research scholar shall appear before the Departmental Research Committee (DRC)once in six months to make the virtual/physical presentation of the progress of the research work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Departmental Research Committee (DRC)to the University with a copy to the research scholar.

6.3. In case the progress of the research scholar is unsatisfactory, the Departmental Research Committee (DRC) shall record the reasons for the same and suggest corrective measure(s). If the research scholar fails to implement these corrective measures, the Departmental Research Committee (DRC) may recommend to the Faculty-level Research Advisory Committee (FLRAC)with specific reasons for cancellation of the registration of the research scholar.

6.4. There shall be a **Faculty-level Research Advisory Committee (FLRAC) (FRAC)** at the Faculty Level for Ph.D. scholars. The constitution of this committee is as under:

- Dean of the Faculty – Chairperson
- Heads of the departments – Members
- Two Experts from the concerned subject [As nominated by Vice-Chancellor] – Members
- Two Guides for research degree from the concerned faculty (As nominated by Vice-Chancellor)– Members
- Two Professors [Must be a Guide for Research Degree] (As nominated by Vice-Chancellor) – Members
- One Associate Professor [Must be a Guide for Research Degree] – Member
- One Assistant Professor [Must be a Guide for Research Degree] – Member

The FRAC shall meet at least once every four months, and submits the proceedings to the Deputy Registrar (Academics) for placing the same before the meeting of the concerned Faculty or the Council of Post-Graduate Studies and Research, as the case may be.

Note: Those faculties having single department/subject, shall have the FRAC only.

This Committee shall have the following responsibilities:

i. To vet, scrutinize and approve the applications for the Guide for research degree as per the criteria laid down in the present Ordinance Ph.D.;
ii. To vet, scrutinize and recommend the application for Co-guide received from the Departmental Research Committee (DRC)to the University;
iii. To vet, scrutinize, approve and report the application for Research work under Interdisciplinary subject/subject not related with the qualifying post-graduate degree;
iv. Deleted
v. To consider, approve and report the matters related with the cases of cancellation/withdrawal of Ph.D. Registration intended by either the Guide for research degree or the Research scholar, as the case may be;
vi. To consider and approve the applications for change of the Guide for research degree, upon merit of the application and on case-to-case basis, and report the same to the University;
vii. To consider and approve the Departmental Level Course-work as prescribed and recommended by Departmental Research Committee (DRC);
viii. To consider, accept and report the applications of continuation of Guide for research degree after retirement from the University;
ix. To finalize the grades of the Departmental Level Course-work in consultation with the concerned department;
x. To recommend the manes of the External Examiners in those subjects/departments wherein the specific board of studies and/or subject do not exist;
xi. To oversee the overall research activity of the Faculty as a whole periodically and to undertake such other duties, as deem fit, in order to elevate the research standards of the faculty from time-to-time.

O.Ph.D.7 Evaluation and Assessment Methods, Minimum Standards / Credits for Award of the Degree

7.1. Upon satisfactory completion of course-work, and obtaining a minimum of 55% of marks in the prescribed Grade Point Scale and Structure of the University (As prescribed in O.Ph.D.5.10) the Ph.D. Scholar shall be required to undertake research work and produce a Synopsis on completion of Two (02) Years (Extendable up to a maximum period of Four (04) Years) from the date of Ph.D. registration.

7.1.1 A research scholar is required to submit the Ph.D. Synopsis Submission Fee @ INR8700/- till 31-December-2022. This Ph.D. Synopsis Submission Fee shall be INR9500/- with effect from 01-january-2023 and will be increased @5% on every first day of January of respective calendar year in multiple to INR10 rounded on upper side with effect from 01-January-2024 and onwards at the same rate.

7.2. The Research scholar, after submission of the synopsis, shall require to submit the Ph.D. thesis within a maximum period of ONE [01] year, failing which he / she need to propose for an additional period of extension, not beyond the Three [03] years / Six [06] Semesters – within the maximum permissible limit as stipulated under O.Ph.D.2. An application of extension must be forwarded through the Guide for research degree, the Head of the Department and the Dean of the Faculty / Director of the Institute, upon the recommendation of the Departmental Research Committee (DRC) / Institute-level research advisory Committee. Such application may be duly considered and permitted by the Deputy Registrar (Academics) within the stipulated period of Ph.D. registration within O.Ph.D.2.

7.3. At most One (01) month prior to the submission of the Ph.D. Synopsis, the Research scholar shall make a presentation before the Departmental Research Committee (DRC) / Faculty-level research Committee (FLRAC) / Institute-level Research Advisory Committee (ILRAC), which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the Ph.D. Thesis in consultation with the Departmental Research Committee (DRC).

7.4. The thesis can be submitted at any time during the year, after the prescribed period in this Ordinance.

7.5. The Ph.D. Thesis shall be written in English language, or otherwise when its subject matter is related to or based on a Modern European or Indian Languages, it may be written in the relevant language.

7.6. The thesis shall be submitted through the Guide for research degree, Head of the Department and the Dean of the Faculty / Director of the Institute along with a certificate signed by the research scholar and the Guide for research degree within a period as stipulated under O.Ph.D.3.

7.6.1 A research scholar is required to submit the Ph.D. Thesis Submission Fee @ INR14480/- till 31-December-2022. This Ph.D. Thesis Submission Fee shall be INR15500/- with effect from 01-january-2023 and will be increased @5% on every first day of January of respective calendar year in multiple to INR10 rounded on upper side with effect from 01-January-2024 and onwards at the same rate.

7.7. The Board of Studies concerned shall recommend a list of at least Eight [**08**] Examiners for evaluation of Ph.D. Thesis. In case of those subjects, where there does not exist any board of study, the concerned Faculty-level Research Advisory Committee (FLRAC) / Institute-level research Committee is empowered for submission of names of External Examiners as specified hereinabove.

7.7.1. The recommended referees have not been assigned the responsibility to act as referee in any 'Panels of referees' submitted by this Board of Studies since last ONE Year. (To be verified from the Office of Examination section)

7.7.2. Two [02] Examiners shall be preferably from the outside country and 06 shall be from within the country, out of which maximum 02 may be from within the State of Gujarat.

7.8. Vice-Chancellor of the University is empowered to relax this requirement, upon the academic considerations on case-to-case basis, for which the reasons to be recorded in writing, and shall be reported to the Syndicate through the Council of Post-Graduate Studies and Research.

7.9. It is desirable to have the External Examiners preferably from University Departments /Reputed Institutions / Premier Institutes, and she / he should preferably an Associate Professor / Professor.

7.10. External Examiner once appointed by Hon'ble Vice-Chancellor and assigned the responsibility to act as Evaluator for Ph.D. thesis, his/her name should not be recommended by the concerned board of study for another period of One (01) Year again. The format for the recommendation of the Panel of External Examiners must include certification for this criterion. Certification to the fulfillment of this criterion shall be obtained from the Chairman / Chairperson of the concerned board of study / Head of the department / Coordinator for the research work. In extra ordinary circumstances, Hon'ble Vice-Chancellor is authorized to relax this condition.

7.11. The panel of External Examiners shall be recommended by the Guide for research degree directly to the office of the Deputy Registrar (Academics), The Maharaja Sayajirao University of Baroda, Vadodara. The same will be placed for due consideration before the concerned Board of Studies at its meeting. The same will be finalized at the meeting itself and submitted in a sealed envelope to the Office of the Deputy Registrar (Academics), The Maharaja Sayajirao University of Baroda, Vadodara. Guide for research degree, while recommending the list of Examiners, shall have to ensure that the Examiners are well below the superannuation age (i.e. 62 Years, as of now, as amended from time-to-time by the Government of Gujarat).Concerned Guide(s) of research degree shall also be invited during the meeting of Board of studies as an invitee member or he/she shall have to be included in the chain of circulation while consideration for finalization of the Panel of External Examiners, if he/she is not the member of respective Board of studies, as the case may be.

7.12. In case, if the Board of studies is not likely to meet, the Provisional Panel of External Examiners shall be recommended by circulation among all the members of the concerned Board of studies. The Provisional Panel of referees submitted by the guide for research degree shall be sent for circulation through an email by the Office of Academic section. Following documents are to be submitted while submission of Ph.D. synopsis:

- Forwarding Letter with Outward Number, Date & Signature of the Guide, the Head, and, the Dean;
- Final Eligibility Certificate (If applicable);
- Registration Certificate;
- Course-work Certificate/M.Phil. Degree Certificate;
- Extension Letter and/or Renewal Letter (If applicable);
- Last Term Fee Slip (Paid)
- Guide Change Letter (If applicable)
- Filled Examination form (If applicable)
- Panel submission certificate

All the members of the concerned Boards of Studies will be given 10 working days' time for vetting of the submitted Panel of referees in light of the submitted Synopsis. If all the members of the Boards of Studies are in agreement for the Panel of referees, then such agreement will be communicated to the Office of Academic section. If no communication(s) is(are) received within 10 working days, from the members of the Boards of Studies, then it will be presumed that all the members of Boards of Studies are in agreement of the submitted Panel of referees, and the Office of Academic section will process the Panel of referees further.

7.13. The Ph.D. scholars must publish at least One [01] Research paper in the journals listed in UGC CARE Reference List, SCOPUS Listing or WEB of Sciences and make Two [02] Paper presentations in Conference(s) / Seminar(s) before the submission of the Ph.D. Thesis for adjudication, and submit the evidence for the same in the form of a Hard Copy and / or Soft Copy [Scanned Copy] with clear evidence for the same in the form of Presentation Certificate(s) and / or Reprint(s) if available, otherwise Acceptance letter from the Publisher/Editor, with own undertaking in writing that he / she shall submit the Presentation Certificate(s) and / or Reprint(s) before the conduct of Open Public Viva-voce (Open defense) Examination or actual release of Notification for conferring award of degree of Ph.D.

***The guideline for the submission of certification for the Research Paper in the peer-review is as follows:**

Ph.D. Scholars must submit their published papers as per the requirements according to the MSU-Ph.D. rules to the Head of the Department <u>through the Guide.</u> The Concerned Dean should constitute a committee consisting of the Guide, Head, Dean and Senior Professor of the Department (In case there is no Professor in the concerned Department then Senior Teacher of the Department who is Recognized Guide for the Research Degree.) to review the papers published by the Ph.D. scholars as a requirement for Ph.D. thesis submission and forward their recommendations to the University along with the thesis through the Dean for its consideration.

7.14. Before submission of Ph.D. Thesis, each research scholar shall be required to fulfil the requirements prescribed by the Post-Graduate Council of Studies and Research of The Maharaja Sayajirao University of Baroda, Vadodara with respect to detection of plagiarism and any other forms of Academic Dishonesty.

7.15. The Ph.D. Thesis while submitted for evaluation, shall be accompanied with the original report of the anti-plagiarism software approved by The Maharaja Sayajirao University of Baroda, Vadodara, an undertaking from the Research scholar and a Certificate from the Guide for research degree attesting to the originality of the work, vouching that there is no plagiarism and no other Academic dishonesty and that the work has not been submitted for the award of any other Degree / Diploma of The Maharaja Sayajirao University of Baroda, Vadodara, or to any other University / Institution as the case may be.

7.16. Guidelines for the requirement of number of Research publications before submission of Ph.D. Thesis, as issued by The Maharaja Sayajirao University of Baroda, Vadodara, and amended from time-to-time and displayed on the official website of the University shall be required to be complied with by the Research scholars.

7.17. The Ph.D. Thesis shall be submitted in Spiral bound/Soft bound/Book type bound form along with a soft copy [in PDF Format] as per the required format along with the following attachments:

7.17.1. 02 copies of the 'Abstract' (Other than the Synopsis) shall be submitted in prescribed format to the Deputy Registrar (Academics), The Maharaja Sayajirao University of Baroda, Vadodara. The Research scholar and the Guide for research degree shall jointly verify and ensure that the contents of the softcopy are as per the prescribed format.

7.17.2. The research scholar shall submit **02 copies** of the Ph.D. Thesis along with Softcopies (In MS-WORD and / or PDF) (In 03 separate CDs) (02 for External Examiners + 01 Proof of Submission) and produce an acknowledgement of the receipt of Deputy Registrar (Examinations), The Maharaja Sayajirao University of Baroda, Vadodara to the Guide for research degree and the Dean of the concerned Faculty and / or Director of the concerned Institution to the Deputy Registrar (Examinations), The Maharaja Sayajirao University of Baroda, Vadodara.

7.17.3. The Ph.D. Thesis shall include a Certificate of the Guide for research degree and a Declaration by the Research scholar that the research work reported in the Ph.D. Thesis has been carried out by the Research scholar himself / herself and that the material from other sources, if any, is duly acknowledged.

7.17.4. The softcopy of the Executive summary of the Ph.D. thesis consisting of the Table of contents, the brief Research methodology, the Key findings, Conclusions, and the Recommendations / Suggestions etc. along with the Bibliography and Webliography for hosting the same on the website of the University website for a period of 10 days.

Following modality will have to be followed by the Office of Examination section after forwarding the Ph.D. thesis for evaluation:

7.17.4.1. The Executive summary will be uploaded on the University website on every 10th, 20th and the 30th day of respective month.

7.17.4.2. If no suggestions / comments are received within the period of 10 days after hosting of the research work, the same will be recorded in the case.

7.17.4.3. As soon as the Joint final consolidated report on the Open Public Viva-voce (Open defense) Examination is received from the Guide for research degree and the External Examiner(s), Deputy Registrar (Examinations) is authorized for the acceptance of the thesis for the Ph.D. degree.

However, if the guide for research degree is not available due to any unforeseen reason(s) like unfortunate death, discharge from active services of the University….etc. and such like other reason(s) leading to unavailability of guide for research degree during the ongoing Ph.D. Studies after submission of the Synopsis/Ph.D. thesis, Dean of the concerned faculty shall act as a convener for the conduct of Open Public Viva-voce (Open defense) Examination, in consultation with the Head of the Department (Wherever Departmental Heads are available) and Dean of the concerned Faculty shall forward all necessary communications in this regard.

7.17.4.4. The Office of Examination section immediately notifies the Ph.D. Notification of the concerned Research scholar, after due administrative formalities.

Note: If the 10th day / 20th day / 30th day of respective month fall on the holiday – or in the month of February; the next working day will be considered for hosting of the aforesaid submission.

7.18. The Ph.D. Thesis shall be presented in accordance with the following specifications:

7.18.1. The paper used for printing shall be of A4 size.

7.18.2. Printing shall be in a standardized form on both sides of the paper and in1.5-line spacing.

7.18.3. A margin of 1.5 inches shall be on the left hand side.

7.18.4. The card for cover shall not be more than 330 GSM.

7.18.5. The title of the Ph.D. Thesis, Name of the Research scholar, Degree, and Name of the Guide for research degree, Details about Name of the concerned Faculty as well as Department or Institute, and the Month and Year of submission shall be required to be printed on the Title Page and the Front Cover of the final Ph.D. Thesis as the case may be.

7.19. The Vice-Chancellor shall nominate Two [02] External Examiners for evaluation of Ph.D. Thesis from among the names (preferably Professors or equivalent in ranks) recommended by the Council of Post-Graduate Studies and Research upon the preparation of the panel of examiners by the relevant Board of Studies/Institute-level Research Advisory Committee (ILRAC).

7.20. In case of a Self-guide or the case where there does not exist any Guide for research degree, such cases will be addressed by the Dean of the Faculty in consultation with the Head of the concerned department. In case a Self-guide happens to be the Head of the department, a senior Professor of the department or a senior Professor from the Faculty will be assigned the responsibility to coordinate and arrange for the Open Public Viva-voce (Open defense) Examination with the help of at least one of the two External Examiner.

7.21. The Ph.D. Thesis submitted by a Research scholar shall be evaluated by the Guide for research degree and at least Two External Examiners, who are not in the Employment of The Maharaja Sayajirao University of Baroda, Vadodara and/or Recognized Research Institution, of whom one examiner preferably should be from outside the Gujarat State / Country.

7.22. The External Examiners shall submit the detailed report on the evaluation of the Ph.D. Thesis and clear recommendations as per the prescribed format.

7.23. The Open Public Viva-voce (Open defense) Examination of the research scholar to defend the Ph.D. Thesis shall be conducted only if the evaluation reports of both the External Examiners are satisfactory and include a specific recommendation for conducting the Open Public Viva-voce Examination.

7.24. If the External Examiners ask for certain clarifications, before giving their clear recommendation, the Guide for research degree may get in touch with the Research scholar to obtain the required information and communicate the same to the External Examiner. In such cases, where the External Examiners reserve their recommendations and suggest an Open Public Viva-voce (Open defense) Examination and if the research scholar satisfies the Viva-voce committee [The Guide for research degree and the External Examiner (Chairperson) present], on the points raised by the two External Examiners.

7.25. If one of the External Examiner of the Ph.D. thesis reports that the Ph.D. thesis, is unsatisfactory and does not recommend Open Public Viva-voce (Open defense) Examination, the Deputy Registrar (Examinations), The Maharaja Sayajirao University of Baroda, Vadodara shall forward the Ph.D. Thesis to another External Examiner, as nominated by Vice-Chancellor, from out of the approved panel of examiners. Provided further that when it is decided to appoint third External Examiner the copies of the reports of both the External Examiners, favourable as well as adverse, be sent to the third External Examiner for the perusal, without disclosing the identity of earlier External Examiners.

7.26. The Open Public Viva-voce (Open defense) Examination shall be held only if the report of the latest External Examiner is satisfactory. If the report of the latest External Examiner is also unsatisfactory, the Ph.D. Thesis shall be rejected and the Research scholar shall be declared ineligible for the award of the Ph.D. Degree.

7.27. If both the External Examiners consider that the thesis is unacceptable for the award of the Ph.D. Degree, Open Public Viva-voce (Open defense) Examination test of the Research scholar shall be not be conducted, and the Reports of all the External Examiners shall be placed before the Syndicate. The decision of the Syndicate shall be final for non-award of the Ph.D. degree, as the case may be.

7.28. After the receipt of the reports as prescribed herein under, the Open Public Viva-voce (Open defense) Examination shall be proposed by the Guide for research degree by inviting one of the External Examiner (preferably the nearer distant External Examiner) who have evaluated the Ph.D. Thesis [In case of Virtual Open Public Viva-voce (Open defense), the Guide for research degree must invite both the External examiners for attending the virtual Public Viva-voce (Open defense)].

7.29. The Physical Open Public Viva-voce (Open defense) Examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Guide for research degree and at least One of the External Examiner [In case of Virtual Open Public Viva-voce (Open defense), the Guide for research degree must invite both the External examiners for attending the virtual Public Viva-voce (Open defense)]. Public Viva-voce (Open defense)shall be open to be attended by the members of the Departmental Research Committee (DRC), all members of the Department / Faculty / Institution, other research scholars and other interested experts/researchers as the case may be.

7.30. Open Public Viva-voce (Open defense) Examination of the Thesis:

7.30.1. The Open Public Viva-voce (Open defense) Examination shall be chaired by the External Examiner and in presence of the Guide for research degree.

7.30.2. If the External Examiner is unable to remain present at the time of the defense, the Vice-Chancellor, on the recommendation of the Guide for research degree and the Dean of the Faculty concerned, shall appoint a senior Guide for research degree to act as the Chairperson for the Open Public Viva-voce (Open defense) Examination of the Ph.D. Thesis. In case, the Guide for research degree is not available, the Vice-Chancellor shall appoint one of the senior Guide for research degree on the recommendation of the Dean of the Faculty concerned to act as an Internal Examiner for the Open Public Viva-voce (Open defense) Examination of the Ph.D. Thesis.

7.30.3. The day, date, time and the place for the Open Public Viva-voce (Open defense) Examination of Ph.D. Thesis shall be notified by the Dean of the Faculty/Director in case of an institution, at least three days in advance. Normally, the Open Public Viva-voce (Open defense) Examination of the thesis shall be arranged in the University Department. In exceptional cases, the Vice-Chancellor may allow the Open Public Viva-voce (Open defense) Examination to be conducted at a Place of Research outside the campus of The Maharaja Sayajirao University of Baroda, Vadodara. In such a case, the procedure and norms for the conduct of Open Public Viva-voce (Open defense) Examination, payments, etc. shall be as laid down by the The Maharaja Sayajirao University of Baroda, Vadodara.

7.30.4. Other members and Research scholars from the department / faculty, the members of Departmental Research Committee (DRC), and such other interested experts / researchers may also attend the same.

7.30.5. Dean of the concerned Faculty will coordinate and invite the member of the Council of Post-Graduate Studies & Research of concerned constituency while organizing the Open Public Viva-voce (Open defense) Examination, in consultation with the Internal Guide and the Head of the concerned department.

7.30.6. All Open Public Viva-voce (Open defense) Examination must be undergone in the Videography. Deans of the concerned Faculty shall be required to preserve, store and maintain the safe custody of the footage of Open Public Viva-voce (Open defense) Examination separately for each research scholar. These footages are primarily not required to be forwarded to the university, but the same may be provided on demand basis.

In case of any dispute, the Dean of the Faculty concerned shall take an appropriate decision.

7.31. In order to have the academic enrichment the members of the Council of Post-graduate Studies & Research recommends that the External Examiner visiting the department will be invited to deliver at least one lecture/interaction with the Students, Research Scholars and Staff members. Extra remuneration may be paid from the budget head of 'Academic Activity Fee' of the concerned Faculty.

7.32. After the successful completion of the Open Public Viva-voce (Open defense) Examination both the Guide for research degree and the External Examiner (Chairperson) shall prepare a joint final consolidated report on the Open Public Viva-voce (Open defense) Examination[In case of Virtual Public Viva-voce (Open defense), both the External examiners, through an email to the concerned Dean of the Faculty – Any one External examiner will act as a Chairperson] and certify that all suggested changes have been incorporated along with the reply given to the queries raised by the External Examiner in the written form, signed and accepted by the members of the Viva-voce Panel as well as the list of the persons attended the Open Public Viva-voce (Open defense) Examination in respect of the award of the Ph.D. degree immediately after the Open Public Viva-voce (Open defense) Examination is over.

However, if the guide for research degree is not available due to any unforeseen reason(s) like unfortunate death, discharge from active services of the University…. etc. and such like other reason(s) leading to unavailability of guide for research degree during the ongoing Ph.D. Studies after submission of the Synopsis/Ph.D. thesis, Dean of the concerned faculty in consultation with the Head of the respective Department (Wherever Departmental Heads are available) shall be the Convener of the Open Public Viva-voce (Open defense) Examination for preparation of a joint final consolidated report on the Open Public Viva-voce (Open defense) Examination [In case of Virtual Public Viva-voce (Open defense), both the External examiners, through an email to the Dean of the concerned Faculty] and certify that all suggested changes have been incorporated along with the reply given to the queries raised by the

External Examiner(s) in the written form, signed and accepted by the members of the Public Viva-voce (Open defense) Panel as well as the list of the persons attended the Open Public Viva-voce (Open defense) Examination in respect of the award of the Ph.D. degree immediately after the Open Public Viva-voce (Open defense) Examination is over. Dean of the concerned Faculty shall forward all necessary communications in this regard.

7.33. In case the Open Public Viva-voce (Open defense) Examination is not satisfactory, the examiners may unanimously recommend with reasons that a fresh Open Public Viva-voce (Open defense) Examination of the Ph.D. Thesis be organized within a period of not less than one month. If the Open Public Viva-voce (Open defense) Examination is still not satisfactory, the panel for Viva-voce Examination would record the reasons for the same and may recommend the resubmission of the Ph.D. Thesis with suggested changes or recommend the rejection of the Ph.D. Thesis, as the case may be.

7.34. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), The Maharaja Sayajirao University of Baroda shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions / Colleges.

7.35. Prior to the actual award of the degree, The Maharaja Sayajirao University of Baroda shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

7.36. Award of degrees to research scholars registered for the Ph.D.Programme on or after July 11th2009 till the date of Notification of these regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil / Ph.D Degree) / Regulation 2009.

7.37. An honorarium @ ₹5000/- each shall be paid for evaluation of the Ph.D. Thesis, the Guide for research degree as well as Co-guide, if any. In addition, each Examiners conducting the Open Public Viva-voce (Open defense) Examination, including the Co-guide, if any, shall be paid ₹1000/- as the honorarium.

Chronology of amendments

1. O.Ph.D.4 – 6 – PGC-6 dated 19/03/2020 – SR-13 dated 24/03/2020
2. O.Ph.D.7 – 30 – PGC-7 dated 19/03/2020 – SR-13 dated 24/03/2020
3. Amendment in O.Ph.D. – PGC-3 dated 27/07/2020 – SR-33 dated21/09/2020
4. O.Ph.D.7.17.4.3 – PGC-2 dated 24/11/2020 – SR-25 dated 30/12/2020
5. O.Ph.D.7.32 – PGC-2 dated 24/11/2020 – SR-25 dated 30/12/2020
6. O.Ph.D.3-3.7 – PGC-2 dated 22/12/2020 – SR-41 dated 30/12/2020
7. O.Ph.D.3-3.13 – PGC-2 dated 22/12/2020 – SR-41 dated 30/12/2020
8. O.Ph.D.6-6.1 (x) – PGC-2 dated 22/12/2020 – SR-41 dated 30/12/2020
9. O.Ph.D.6-6.4 (iv) – PGC-2 dated 22/12/2020 – SR-41 dated 30/12/2020
10. O.Ph.D.4-4.17.1 – PGC-3 dated 22/12/2020 – SR-41 dated 30/12/2020
11. O.Ph.D.4-4.17.2 – PGC-3 dated 22/12/2020 – SR-41 dated 30/12/2020
12. O.Ph.D.4-7.17.3 – PGC-3 dated 22/12/2020 – SR-41 dated 30/12/2020
13. O.Ph.D.7-7.12 – PGC-4 dated 22/12/2020 – SR-41 dated 30/12/2020
14. O.Ph.D.7-7.17.4.3 – PGC-5 dated 22/12/2020 – SR-41 dated 30/12/2020
15. O.Ph.D.7-7.7.1 – PGC-7 dated 22/12/2020 – SR-41 dated 30/12/2020
16. O.Ph.D.4 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
17. O.Ph.D.4.2 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
18. O.Ph.D.4.7 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
19. O.Ph.D.4.11 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
20. O.Ph.D.4-4.12.1 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
21. O.Ph.D.4.18 – PGC-6 dated 04/09/2021 – SR-42 dated 21/09/2021
22. O.Ph.D.3.7 – PGC-10 dated 24/01/2022 – SR-05 dated 31/01/2022
23. O.Ph.D.4-4.6 – PGC-5 dated 24/01/2022 – SR-05 dated 31/01/2022
24. O.Ph.D.4-4.6 – PGC-5 dated 24/01/2022 – SR-05 dated 31/01/2022
25. O.Ph.D.7-7.1.1 – PGC-9 dated 24/01/2022 – SR-05 dated 31/01/2022
26. O.Ph.D.7-7.6.1 – PGC-9 dated 24/01/2022 – SR-05 dated 31/01/2022
27. O.Ph.D.7-7.37 – PGC-8 dated 24/01/2022 – SR-05 dated 31/01/2022
28. OPh.D.7-7.13 – ECR – 13 dated 28/11/2025