



SBBSU Ph.D. ORDINANCE

SBBSU Ph.D. ORDINANCE FOR ELIGIBILITY CRITERIA, PROCEDURE FOR REGISTRATION, ALLOTMENT OF SUPERVISOR, SUBMISSION and EVALUATION OF THESIS FOR THE AWARD OF Ph.D. DEGREE

To streamline the Ph.D. programme, the regulations are framed aiming to produce quality research work in SBBSU. These Rules and Regulations have been prepared keeping in view the “University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 (notification 7th November, 2022)”

Research Advisory Committee (RAC) shall be constituted for every Ph.D. student to review and monitor the various research activities. It shall perform the functions defined as per Ph.D. Regulations and comply with UGC regulations as amended from time to time.

1. ELIGIBILITY CRITERIA FOR ADMISSION TO THE Ph.D. PROGRAMME:

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed:

- i) A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- ii) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
- iii) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- iv) A candidate is not eligible to register for the Ph.D. programme in SBBSU if he / she is already registered for any full time programme of study in any other University / Institution.

2. DURATION OF THE PROGRAMME:



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- i. Ph.D. Programme shall be for a minimum duration of three years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- ii. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- iii. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- iv. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

**** For Re-registration:** At least three months before the expiry of six years, a candidate can seek re-registration for the seventh year by submitting a Comprehensive Progress Report of the work done by him/her after paying re-registration fee as applicable. He/she will have to appear before the RDC as constituted through Director Research and as per the case; reregistration for a period of one year could be suggested. These cases will be forwarded to Vice-Chancellor for approval through Director Research. Same procedure will be followed for seeking reregistration of eighth year. Further reregistration shall be at the discretion of the Vice-Chancellor.

3. CATEGORIES OF Ph.D. CANDIDATES

There shall be two categories of Ph.D. candidates:

- (i). Full-time Ph.D. candidates (Annexure-III to be filled)
- (ii). Part-time Ph.D. candidates (Annexure-II to be filled)

* **Ph.D. through Part-time Mode-** Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled. Candidate shall obtain a "No Objection Certificate" for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

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

****Notwithstanding anything contained in these Regulations or any other law, for the time being in force, Ph.D. programmes through distance and/or online mode is not conducted.**

4. PROCEDURE FOR ADMISSION. -

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

4.1 Admission/Selection criteria to the Ph.D. programme in disciplines where UGC-NET/CSIR-NET/AIR-NEI/ICAR-NET is conducted: SBBSU admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE and similar National level tests based on an interview.

- Candidates who have already passed NET/SLET/GATE/JRF/M.Phil. degree [obtained through regular mode only] will be exempted from the entrance test.
- The University Grants Commission (UGC), vide its notification dated 27.03.2024 decided that from



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the Academic Session 2024-25, the National Eligibility Test (NET) score can be used for admission to Ph.D. programs in place of entrance tests conducted by the different Universities/HEIs. Accordingly, from the academic session 2024-25, SBBSU had used National Eligibility Test (NET) scores for admission to Ph.D. Programs.

Guidelines for admissions to Ph.D. for academic session 2024-2025 onwards:

i. Based on the scores obtained in NET, the candidates will be eligible in three categories.

Qualified for	Eligible for		
	JRF	Assistant Professor	Ph.D. Admission
Category -1: Award of JRF and appointment as Assistant Professor.	Yes	Yes	Yes
Category-2: Appointment as Assistant Professor and admission to Ph.D.	No	Yes	Yes
Category-3: Admission to Ph.D. only	No	No	Yes

ii. Admission under JRF Category will be done as per UGC Notification dated 7th November, 2022 published in the Gazette of India: Extraordinary no. 544.

iii. As per UGC Notification dated 27.03.2024, for students who qualify in Categories 2 and 3, 70% weightage will be given for test scores and 30% weightage for the interview for admission to Ph.D. program. The Ph.D. admission will be based on the combined merit of NET marks and the marks obtained in the Interview.

iv. The marks obtained in the NET by the candidates in Category 2 and 3 will be valid for a period of one year for admission to Ph.D. Programs.

v. In disciplines, where NET is not still in existence, rules and/or provisions with regard to admission in Ph.D. of the Sant Baba Bhag Singh University will continue to be operated.

The eligible candidates as notified by university after conducting scheduled interview for PhD admission can enroll themselves for Ph.D. Degree by filling up the Enrollment-cum-Admission Form.

4.2 Admission//Selection criteria to the Ph.D. programme (in disciplines where UGC-NET/CSIR-NET/AIR-NEI/ICAR-NET is not conducted)

- ✓ **Entrance test is mandatory in those disciplines in which NET is not conducted as per the orders of competent authority.**
- ✓ The exact date (s) of the examination will be notified through SBBSU website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in regional language.
- ✓ The question paper will be of MCQ type and of two hours duration. The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject- specific.
- ✓ Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- ✓ A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- ✓ **Selection Criteria:** Selection of candidates will be based on the weightage of 70 % for the entrance test



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and 30 % for the performance in the interview/viva- voce.

- ✓ Number of eligible students to be called for an interview will be based on the number of Ph.D. seats available.
- ✓ The candidates appearing in test will be selected on the basis of merit calculated as per the following selection criteria:

Selection criteria	Weightage
Marks in Entrance Test	70%
Interview	30%

- (i) At the time of interview, candidates are expected to present their research interest / area before the interview panel. Only the predetermined number of students, based upon the available recognized research supervisors (with concerned specialization/research interest) will be selected for admission to Ph.D.
- (ii) Preference will be given for admission to candidates having JRF/any other fellowship from UGC/CSIR/other Govt. agencies.
- (iii) Joining Report (**Annexure-I**) has to be filled by the student at the time of joining the coursework.

The eligible candidates as notified by university after conducting scheduled entrance and interview for PhD admission can enroll themselves for Ph.D. Degree by filling up the Enrollment-cum-Admission Form.

5. APPOINTMENT OF SUPERVISOR

Allocation of Research Supervisor:- Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- 1) Permanent faculty members working as Professor/Associate Professor of SBBSU with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in SBBSU with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

**Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of these Regulations.*

- 2) For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
- 3) Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 4) Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.



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- 5) Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- 6) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- 7) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- 8) In case of joint Registration, the Supervisor and Co-Supervisor will each share half seat for the Ph.D. candidate being supervised/jointly-supervised.
- 9) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- 10) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- 11) Subsequently, the allocation of supervisor shall be approved by the University, based upon the written request (Annexure-IV) of the candidate endorsed by the supervisor.
- 12) Provided further that no relative of the candidate such as wife, husband, son, daughter, sister, brother, wife's or husband's brother and sister, brother's son and daughter, sister's son and daughter, first cousin, nephew, grand-son, grand-daughter, or such other person as may be deemed a close relation by the Vice-Chancellor, shall be appointed as Supervisor/Co-Supervisor. An undertaking to this effect will be given by the Supervisor/Co-supervisor along with the application for enrolment.
- 13) **ADMISSION OF INTERNATIONAL STUDENTS IN Ph.D. PROGRAMME.-**
- 14) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 5.7 above.
- 15) The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
- 16) At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 5.7.

7. REQUEST FOR CHANGE OF THE SUPERVISOR

The change of Supervisor shall only be allowed during the first two years after registration. No change will be allowed after that period. The request for change of the supervisor can be entertained only in following cases:

- i. In case of extreme hardship, where it becomes almost impossible for a candidate to work with the existing Supervisor. In that case the matter may be placed before the Committee constituted by Director Research; subject to the final approval by the Vice Chancellor.
- ii. In exceptional circumstances, by the speaking orders of the competent authority.
- iii. The supervisor superannuates and is no more an employee of the university even on extension on regular basis.



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8. GUIDELINES FOR CANDIDATES SELECTED FOR ADMISSION

8.1 Course Work :- Curriculum/Credit requirements, number, duration, minimum standards for completion, etc.

- The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- The course work shall be treated as a prerequisite for Ph.D. programme.

8.2 Curriculum for Ph.D.: The coursework will be comprised of five courses. The composition of the Course is given as under:

- a) One paper on "Research Methodology" (Compulsory to all candidates, 4 credits)
- b) One papers on advanced level course of relevant subject (Discipline specific subject)(Total 4 credits)
- c) Applications of Computer in Research (1 credit)
- d) Review of Literature and Presentation Skills (1credit)
- e) Research & Publication Ethics (2 Credits)

The total credits will be 12.

Approval of Syllabus: Syllabi and Courses of reading shall be prepared and finalized by the concerned departmental Curriculum Development Committee (CDC) and duly approved through Board of Studies as per the university norms.

*All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

8.3 Candidate Admitted to Ph.D. Course Work Must Fulfil the Following Requirements:

- (i) Has been on the rolls of the department throughout the semester preceding the examination (Applicable for regular scholars).
- (ii) Every candidate has attended a minimum of 75% of the delivered number of lectures in each course.
- (iii) Candidate shall complete the prescribed course work at SBBS University for a minimum period of one semester as per the scheme of examination of Ph.D. programme.
- (iv) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.
- (v) All those who are admitted for Ph.D. shall have to pay a semester fee till the final Thesis submission. Late fee will be charged as per University norms (Annexure-XVII).

8.4 SYNOPSIS

- I. After successful completion of Pre-Ph.D. course work mentioned above, the candidate shall be eligible to submit a synopsis (Annexure-V, VI) of his proposed research work along with the title of thesis duly forwarded by the supervisor and Dean/Head of the department. The candidate has to submit five copies of synopsis, with signature of candidate, supervisor (s) and Dean/Head of the department on every of the copy. The candidate has to clear synopsis within two years of enrolment.
- II. After the approval of the Synopsis, the candidate has to submit the Registration Fee (Registration letter will be issued only after the clearance of dues).
- III. To evaluate the synopsis of candidate, Research Degree Committee (RDC) will comprise of the



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following members:

- (i) Vice Chancellor or Nominee
- (ii) Director Research (Chairman)
- (iii) Dean Academics
- (iv) Dean/HoD
- (v) Supervisor/Co-Supervisor
- (vi) One External Subject Expert
- (vii) CoE

- IV. For choosing one external subject expert in RDC, a list of minimum four external experts with complete address, contact numbers and e-mail IDs, brief resumes needs to be submitted by the Supervisor to Director Research through the Head of the department, out of which, the Vice Chancellor shall appoint one examiner.
- V. The candidate shall be required to present a seminar on the topic of his/her study in the presence of RDC. It is understood that all the deficiencies/improvements to be made in the synopsis will be settled in the meetings of RDC.
- VI. The RDC, while recommending registration of the candidate for consideration shall provide a detailed note about the suitability of the research topic as well as the methodology proposed by the candidate.
- VII. If the RDC approves the synopsis for registration to the Ph.D, a provisional registration will be considered as confirmed and a registration letter will be issued by the Director (R & D) of the University to the candidate.
- VIII. In case the RDC does not approve the topic, the case will be referred to Director Research along with reasons and justifications. In such case the candidate may avail one more opportunity with the prior permission of Director Research to resubmit the synopsis, after duly incorporating the suggestions made by the RDC, within three months. In case the synopsis is rejected second time, the candidate will have the option to apply for a fresh registration on a new topic.

8.5 Research Advisory Committee and its Functions.-

- I. There shall be a Research Advisory Committee (RAC) or an equivalent body as defined in the Statutes/Ordinances for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:
 - a) To review the research proposal and finalize the topic of research.
 - b) To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
 - c) To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- II. Research Advisory Committee (RAC) consisting of the following will evaluate the presentation of progress report of the candidate and give constructive suggestions for the improvement in the research work and to complete other formalities related to the research work of the candidate till the completion of the project.
 1. Director Research (Chairman) / Nominee
 2. Dean/Head of the Department / Coordinator of the Department
 3. Supervisor/Co-supervisors
 4. Doctorate faculty of the Department
- III. In each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to R&D cell. A copy of such recommendations shall also be provided



to the Ph.D. scholar.

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

VIII.6 PROGRESS REPORT

- I. Every enrolled candidate shall submit the progress report of his/her Ph.D. research work every six months in the prescribed format (Annexure- VII).
- II. The report will include all the progress aspects, such as surveys, tours, publications, conferences, research work, etc. The supervisor of the candidate shall endorse the progress of the candidate.
- III. Each candidate will be required to make a presentation of the six month progress before the RAC.
- IV. Minimum 6 recommended/satisfactory progress reports are mandatory before Thesis submission.

9. TITLE MODIFICATION

Change or modification of title of research by the candidate is permitted in exceptional cases. The candidate has to submit the applicable fee (Annexure XVII) to change or modify the title. A candidate may within one year of his/her registration (After Synopsis) can modify the scheme of his/her research with approval of the RAC provided that the RAC allows modifications to be made such that the modifications proposed did not involve any major change in the original scope of the subject.

10. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/CREDITS FOR AWARD OF THE DEGREE, ETC.-

- I. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (iv) of Regulation 8.3 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- II. Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Institution/department concerned, which shall also be open to all faculty members and other research scholars/students.
- III. Plagiarism in research work should be checked prior to submission of PhD thesis by the student concerned from an antiplagiarism software.
- IV. A Ph.D. scholar shall submit the thesis for evaluation; along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

11. SUBMISSION OF THESIS

A. Pre-Submission

- I. If a candidate wants to submit Ph.D. pre-thesis, he/she should inform the office of Director Research through a letter forwarded by his/her supervisor mentioning that he/she intends to submit his/her pre-thesis highlighting that all approved research objectives have been fulfilled and research finding have been published (Annexure XIX).
- II. Ph.D. scholars shall present at least **two (2) research papers in conferences/seminars** and publish at least **one (1) research papers in Scopus indexed/Web of Science indexed journal** before the submission of the Thesis for adjudication and produce evidence for the same in the form of



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presentation certificates and/or reprints.

- III. The candidate will give a pre-submission open house seminar before submission of thesis in departmental Research Advisory Committee (As per **Annexure-V, VIII**) . He/she shall produce rough draft of thesis at the time of pre-submission presentation.
- IV. Departmental RAC members rigorously evaluate the thesis draft (format, content quality, accomplishment of research objectives and other conditions) and provide the suggestive recommendations to the research scholar for improvement. A report including the copy of the presentation and recommendation of the RAC will be sent to the Director Research for further action.
- V. After departmental RAC, candidate will **submit three copies of** draft thesis for pre-submission evaluation (along with due Pre- thesis fee as applicable) in R&D cell for external evaluation of Pre-thesis. Further, once the candidate successfully accomplished his/her pre-submission seminar, no more six monthly progress reports are required.
- VI. For external evaluation of Pre-thesis, and for choosing one external subject expert for RDC, a list of minimum six external experts with complete address, contact numbers and e-mail IDs, brief resumes needs to be submitted by the Supervisor to Director Research through the Head of the department, out of which, the Vice Chancellor shall appoint one examiner.

B. Thesis Submission

- I. A candidate must submit the Ph.D. thesis within three months from the date of presentation of Pre-thesis before RDC and by incorporating the suggested changes/corrections suggested by the external expert. Thesis submission/evaluation charges shall be as per SBBS university norms and to be paid at the time of thesis submission. In case of non-submission of thesis within the stipulated period, the candidate can seek extension of further three months from the Vice Chancellor (through proper channel) with a late fee decided by SBBS University norms. No further extension will be permitted.
- II. **Six copies** of the thesis shall be submitted in compact bound form along with a soft copy (CD) duly signed and forwarded by the supervisor.
- III. The final thesis shall be presented in accordance with the specifications mentioned in Annexure V and IX.
- IV. The candidate will not be permitted to submit the Thesis for the degree unless the supervisor is satisfied that the Thesis presented is worth of consideration for the award of the Ph.D. degree.
- V. The thesis shall include a certificate of the supervisor (**Annexure-X**) and a Declaration by the candidate (**Annexure-Xa**) that the work reported in the thesis has been carried out by the candidate himself and that the material from other sources, if any, is duly acknowledged. Thesis presented by the candidate must be a part of original research work characterized either by the discovery of new facts or by fresh interpretation of facts or theories or should consist of applied work, such as developing and fabricating special instruments or apparatus and should show the candidate's capacity for critical examination and judgment and for lucid presentation.
- VI. The candidate may incorporate in his/her thesis, the contents of any work, which he/she may have published on the subject and shall inform the examiners, if he/she has done so; but he/she shall not submit his/her thesis on any work, for which a degree has already been conferred on him/her by this or any other University. The candidate may, however, incorporate in his Ph.D. thesis, any work from his/her M.Phil. dissertation with due reference to it and acknowledgement to the Supervisor, provided the work has been carried out at this University.
- VII. Provided that in case the work done through collaboration, a certificate duly signed by all collaborators and counter-signed by the supervisor concerned, to the effect that none of the collaborators has made or will make use of the joint work (published/unpublished) incorporated in this thesis for the award of any



degree/diploma of any University/Institution, shall be furnished along with the thesis. Also, he/she has to submit No Objection Certificate (NOC) from the collaborating organization.

- VIII. At the time of submission of thesis, the candidate will give a certificate on the prescribed form that there is no plagiarism in the submitted thesis. Plagiarism is the unacknowledged use of another person's work as one's own work. Plagiarism involves copying of Phrases, clauses, sentences, paragraphs, or longer extracts from published or unpublished work including from internet without acknowledgement of the source.
- IX. For external evaluation of thesis, a list of minimum nine external experts with complete address, contact numbers and e-mail IDs, brief resumes needs to be submitted by the Supervisor to Director Research through the Head of the department, out of which, the Vice Chancellor shall appoint three examiners for thesis evaluation.

12. PLAGIARISM: METHODS, DETECTION AND PROCEDURE

A. METHODS OF PLAGIARISM:

- 1) Quoting directly another person's language, data, illustration, tables, etc., acknowledgement of the source.
- 2) Copying a section of book/article/report/monograph/Dissertation/Thesis without proper citation.
- 3) Buying, stealing or borrowing assignments, experiments/results.
- 4) Paragraphing the work of others without due acknowledgements.
- 5) Using ideas of someone else without crediting the originator.
- 6) Copying, cutting and pasting from the internet or online source and submitting as one's own work without giving proper reference/citation.

***Golden Rule to avoid the Plagiarism:**

Always give the due credit to the original author (s) and give the proper citation and proper reference. Place the sentence in inverted commas, if you quote text verbatim.

B. DETECTION OF PLAGIARISM:

Candidate shall submit the report generated on the plagiarism checking software Turnitin/ Drillbit /(as suggested by UGC) of his/her draft thesis along with a soft copy (In MS Word format) of the draft thesis for the consideration of Research Degree committee. Candidate shall also submit the full plagiarism report obtained from the software.

The exclusion at the time of performing the check should be limited to the following:

- (a) Quotes (b) Bibliography (c) Phrases (d) Small similarity less than 1% (e) Mathematical Formula, (f) Name of Institutions, Departments etc.**

C. PROCEDURE FOR RECONCILIATION OF PLAGIARISM REPORTS:

- I. ➤ If a draft thesis is found plagiarized and is reported to RDC then the RDC shall call the candidate to hear the candidate's view. On hearing the candidate, the Committee shall submit its recommendations keeping in view of the following guidelines:
- I. The similarity between documents is within the limit (less than 10%) for putting some original results in proper context and all original sources are correctly cited. The similarity is not of such nature which directly affects the original findings of research. No further action is required. Candidate may be permitted to submit the thesis.
- II. Self-plagiarism: Copying/reproducing, in part or whole one's own published work without giving proper reference of that work.



“Regarding self-plagiarism or cases where published work of the student is shown Plagiarism in the check, a certificate (Self Plagiarism Exclusion Certificate (Annexure-XI) has to be issued by the supervisor specifying and attaching the articles that :

- a) have been published by the student from the Thesis work. Only these articles should be excluded from the check, no other article of student or supervisor should be excluded from the check.
 - b) similarity contents are from candidate’s previous published work without proper citation. Candidate will be required to resubmit the work with proper citations.
 - c) the published work is co-authored by the others, the researcher shall submit a consent letter from co-author(s) and publisher permitting him to use the work in his Thesis.
- Low-level plagiarism: When the plagiarism is a result of negligence or without intent to cheat and the similarity between documents marginally outside the limit, the candidate may be allowed to resubmit the work with proper citations.
 - Mid-level Plagiarism: Failure to cite proper citations, copying few paragraphs only. Intent to cheat is very low and may be due to lack of knowledge. The similarity between documents is outside the limit. The candidate may be allowed to resubmit the work with proper citation and with a warning not to repeat the mistake again otherwise registration in the programme will be cancelled.
 - High-level plagiarism: Deliberate and planned attempt to copy the work done by someone else. Large amount of data taken from someone else’s work, art work copying, source code copying etc. Intention to cheat is very clear. The candidate’s registration may be cancelled.
 - The thesis resubmitted as recommended by the Research Advisory Committee (RAC) in view of clauses (II)(a) to (c), will be again placed before RAC and the candidate will also be required to be present to substantiate the necessary improvements made by him in the thesis.

13. EVALUATION OF THESIS

- I. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least three external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. The viva-voce board shall consist of the Research Supervisor and at least one of the three external examiners. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students.
- II. The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if all three external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- III. The University shall ensure the completion of entire process of evaluation of Ph.D. thesis including the declaration of viva-voce result within period of six months.
- IV. The examiner will be free to seek clarifications on any matter from candidate's supervisor or the co-supervisor through Director Research. The Director Research will ensure the secrecy of examiner's identity and the reports submitted by the examiners.

The examiner will state in his/her report:



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- ✓ Whether he/she recommends the award of the degree to the candidate without any changes.
- ✓ Whether thesis is acceptable, subject to the satisfactory answer to the queries raised by the examiner during the final viva-voce examination.
- ✓ Whether he/she recommends re-submission of the thesis after revision. In case an examiner recommends revision of the thesis, he/she will also indicate the nature of changes.
- ✓ Whether he/she recommends rejection of the thesis.

V. In the event of an examiner making recommendations for revision/modification of the thesis, the candidate shall be free to defend his/her point of view through the Director Research. However, if the examiner is not satisfied with the candidate's defense, the candidate shall be required to carry out necessary revision/modification as finally suggested by the examiner, before his/her case is processed further. It may be added that one examiner can recommend revision of thesis only once. If a second revision is recommended by the same external examiner, it will be treated as rejection of thesis.

VI. The candidate, who is required to resubmit the thesis, must do so within one year from the date of receipt of comments of the examiner to him/her by the University, irrespective of his/her submission of defense, unless extension is specially given by the Vice-Chancellor. A resubmitted thesis will be examined by the examiner, who has recommended re-submission unless he/she himself fails to do so or declines to do so.

VII. Each examiner shall be given three months' time for evaluation of the thesis. In case report from him/her is not received, he/she may be reminded through e-mail. After the period of three months, if no report is received, the next examiner may be appointed. The first examiner will be requested to send the thesis back to the University. If in due course, the report is received from the first examiner, the report will not be considered.

14. VIVA-VOCE EXAMINATION

- 1) The candidate is required to appear in an open house viva-voce examination, which shall be compulsory for all the candidates. This will normally be conducted at SBBSU by one of the three external examiners, who have evaluated the thesis.
- 2) The Director Research/Nominee and the Supervisor of the candidate will be associated with the conduct of the viva-voce to be arranged by the university.
- 3) The quorum for holding the viva-voce examination consist of following:
 - a) Vice Chancellor or Nominee
 - b) Director Research(Chairman)
 - c) Dean/Head of the Department
 - d) Dean Academics
 - e) Supervisor/Co-supervisors
 - f) One External Subject Expert who had evaluated the thesis
 - g) Controller of Examination (CoE)
- 4) In case an external examiner communicates that he/she is unable to conduct a viva-voce, the Vice-Chancellor will appoint an examiner and a copy of the thesis will be sent to the alternate Examiner.
- 5) In case, a candidate could not defend his/her thesis successfully in the Viva-voce board in the first appearance, the board may recommend for reappearance within 30 days.
- 6) A candidate who is not successful in the second viva-voce also, his/her thesis will be rejected. The report about the performance of the candidate in the viva-voce examination shall be recorded by the external examiner(s) only.

15. AWARD OF DEGREE



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- 1) If all three examiners of the thesis have recommended the award of the degree, and the viva-voce examiner is satisfied on the basis of performance of the candidate in the oral examination, he/she may recommend the award of the degree.
- 2) The result of Ph.D. degree of a candidate is deemed to be notified on the recommendation of the Director Research through Dean Academics and Registrar for further notification to be published by Controller of Examination.
- 3) After notification of Ph.D. result, the final approval to be taken by Director Research and Controller of Examination through the Academic Council for approval of the award of Ph.D. degree.

16. DEPOSITORY WITH INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit a soft copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

17. MIGRATION FEE

- a. Candidates wishing to migrate from SBBSU to some other university will be allowed to migrate with payment of Rs 20,000/- only, as migration fee (Only if the Course work is cleared and before the Pre submission viva voce).
- b. For those candidates who wish to migrate from other university to SBBSU will only be allowed if the slot of the Supervisor is vacant, and on recommendations of Standing Equivalence Committee of the concerned discipline, which is to be approved through RAC Committee. Migration fee from some other university to SBBS University from other university is Rs 10,000/- only.

18. CANCELLATION OF REGISTRATION

- 1) The registration of a candidate for the Ph.D. programme may be cancelled on the recommendation of supervisor.
- 2) The candidate can opt for voluntary cancellation of his/her Ph.D. registration. In such event the application duly signed by the candidate and duly endorsed by the Supervisor and Head of Department shall be submitted to the RAC. The candidate shall personally appear before the Director Research and shall submit a declaration of cancellation under his/her signature. The Director Research shall then endorse the declaration of the candidate contained in his application and forward it to the relevant Research Degree Committee. The registration shall stand cancelled from the date of acceptance of the application by the Research Degree Committee.
- 3) If a candidate after registration, or during the course work, is found to be guilty of commissions and omissions amounting to misconduct like indiscipline, dereliction of duties, unbecoming behavior, insubordination etc., the registration shall be cancelled by the relevant Research Committee by way of punishment on the receipt of report from the Guide and the Head of Department. Before submitting this report to the University shall grant an opportunity to the candidate for submitting his explanation and shall conduct such enquiry as deemed necessary. Provided also that the involvement of the candidate in a criminal offence involving moral turpitude shall be treated to be misconduct and registration shall be cancelled with immediate effect on his/her conviction by the Competent Court. In such case there shall be no requirement of offering opportunity of being heard before cancellation of the registration.
- 4) Registration of candidates, who fail to submit their thesis within the stipulated period as mentioned in



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Clause 2 or who fail to apply for grant of extension, would automatically stand cancelled.

19. RE-ADMISSION

Cases where readmission could be considered:

- a. If a candidate withdraws from Ph.D. program
- b. Registration is terminated on account of un-satisfactory progress report by Research Degree committee
- c. Non-submission of his/her Ph.D. thesis in stipulated time. Such candidate shall be given one opportunity to re-admission for Ph.D. program and be exempted from appearing in the Ph.D. entrance test and credits earned by him/her during previous registration may be transferred on the recommendation of RDC. Candidate has to complete a stipulated period subject to submission of 6 satisfactory progress reports as per clause 8.6(V).
- d. If candidate's registration has been terminated on account of disciplinary action, he/she will not be allowed for re-admission. However, such students may apply for Re-registration as described in Clause 7(c).

20. GRANT OF M.PHIL. DEGREE:

SBBSU is not offering the M.Phil. (Master of Philosophy) programme.

21. ISSUING A PROVISIONAL CERTIFICATE:

Prior to the actual award of the Ph.D. degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

22. AWARD OF Ph.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS:

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be.

Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2022.

Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.



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Annexures

Annexure I	Joining Report of the Candidate
Annexure II	No Objection Certificate for Part-Time Ph.D. Candidates
Annexure III	Affidavit for the Full-Time Ph.D. Candidate duly signed by the Magistrate
Annexure IV	Application form for recognition of supervisor /co-supervisor for Ph.D. Degree
Annexure V	Thesis/Synopsis Front Page
Annexure VI	Synopsis Pattern of Ph.D.
Annexure VII	Student Progress Report
Annexure VIII	Pre-submission certificate
Annexure IX	<u>Pre-thesis/</u> Thesis pattern
Annexure X	Certificate
Annexure X (a)	Declaration/undertaking
Annexure XI	Self-plagiarism exclusion certificate
Annexure XII	Approval Performa of synopsis by research degree committee
Annexure XIII	Approval Performa of synopsis/thesis by departmental research committee
Annexure XIV	Approval Performa of pre-thesis by research advisory committee
Annexure XV	Approval Performa of thesis by research degree committee
Annexure XVI	External evaluation
Annexure XVII	Ph.D. Fee Detail
Annexure XVIII	DECLARATION/UNDERTAKING by Supervisor
Annexure XIX	Undertaking regarding completion of PhD research work



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ANNEXURE I

Joining Report of the Candidate

I hereby join for research work leading to the Ph.D. Degree in
Discipline ofDepartment of....., under University Institute
of Sant Baba Bhag Singh University, Jalandhar, India on date as a
Full-time/Part-time scholar under the supervision of

Signature of the Candidate with Date

Signature of the Supervisor/Co-Supervisor

Director R & D



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ANNEXURE II

Ref no.....

Date.....

No Objection Certificate for Part-Time Ph.D. Candidates (Should be typed on the letter head of the sponsoring organization)

To

The Vice Chancellor/Director R&D

Sant Baba Bhag Singh University
Jalandhar

Subject: No Objection Certificate

Dear Sir,

We have no objection if Mr./Ms..... designation is on Regular rolls of the organization. He/She may be admitted to the Ph.D. Program in the department of..... at Sant Baba Bhag Singh University as a part-time student for the session .

The candidate is permitted to pursue studies on a part-time basis.

His/ her official duties will permit sufficient time for the research.

If required, he/she will be relieved from the duty to complete the course work.

Signature and Seal of the Sponsoring Authority

ANNEXURE III

Ref no.....

Date.....

**Affidavit for the Full-Time Ph.D. candidate duly signed by the Magistrate
(Duly Attested by Magistrate/ Tehsildar on Stamp paper of Rs 10/-)**

To whom it may Concern

It is certified that Mr./ Ms..... S/o/D/o/W/.....resident
of..... Date of Birth.....
Aadhar No (Copy of Aadhar to be attached) is pursuing his/her PhD
in department

in Sant Baba Bhag Singh University, Jalandhar, Punjab, India for the session
further certified that:

It is

- a) I will do Ph.D. (Full Time) degree from SBBSU and will not join any job on Regular or Part-time basis for a minimum of 3 years (from the admission date)
- b) I will fulfil the 75 % attendance criterion in each semester for a minimum duration of 6 semesters.
- c) I am not indulged in any kind of criminal activities and there is no court case/police case associated with me.
- d) I will govern all the Ph.D. rules and regulations of the Sant Baba Bhag Singh University in true sprits.
- e) In case of any misleading/wrong information my candidature for the Ph.D. may be cancelled.

I certify that I have given correct information and have read all the above terms .

Signature of Candidate

Date:

Annexure IV

**APPLICATION FORM FOR RECOGNITION OF SUPERVISOR /CO-SUPERVISOR FOR
Ph.D. DEGREE**

Faculty of	Subject:
APPLICATION FOR (Please Tick)	
ALLOCATION OF SUPERVISOR <input type="checkbox"/>	CHANGE OF SUPERVISOR <input type="checkbox"/>
INCLUSION OF CO-SUPERVISOR <input type="checkbox"/>	DELETION OF CO-SUPERVISOR <input type="checkbox"/>
1. Name of the Candidate (in Capitals)	
2. Father's Name	
3. Registration Number	
4. Department	
5. Candidate's Address of Communication	
6. Contact Number	
7. Email Id	
8. Photo Copy of Admission (Letter should be enclosed)	
9. Photo Copy of Tuition Fee paid receipts (along with admission receipt) to be enclosed	
10. Synopsis submitted status	
11. Name of the Present Supervisor/Co-supervisor (to be changed), Designation, Address	12. Name of the New (Proposed) Supervisor/Co-supervisor , Address Designation,
Contact number Email Id	Contact number Email Id
13. Specialization of New Supervisor/Co-supervisor	

14. Reasons for Change of Supervisor/Co-supervision (by candidate)	Reasons and Comments from Supervisor/Co-supervisor duly signed, with Seal & Date.
--	---

I hereby accept to work under the New Supervisor/Co-supervisor and I understand that any further request for change of Supervisor/Co-supervisor will not be permitted by the University.

Date: _____ **Signature of the Research Scholar** _____

I have No Objection for change/Inclusion/Deletion of Co-supervisor

(Signature of Present Supervisor with seal)	(Signature of New Co-Supervisor with seal)
---	--

Note: List of Enclosures:

1. Application letter.
2. Admission Letter.
3. Previous Fee Receipts.

All the above mentioned list of enclosures should be submitted in duplicate.

ANNEXURE V: Thesis/Synopsis Front Page

22-24pt Bold CAP

TITLE

14Pt Bold CAP

SYNOPSIS/THESIS/PRE THESIS

SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENT FOR
THE AWARD OF

DOCTOR OF PHILOSOPHY

IN
COMPUTER SCIENCE & APPLICATIONS

SUBMITTED BY

Student Name

Registration No. – 11121114

SUPERVISED BY

Dr. Supervisor Name

Designation, Department of Computer Science & Applications



SANT BABA BHAG SINGH UNIVERSITY,
Village: Khiala, PO: Padhiana, Distt: Jalandhar

July 2019

ANNEXURE VI

SYNOPSIS PATTERN

Candidate has to prepare the synopsis as per below mentioned guidelines. Also, he/she has to submit 5 copies of the same at the time of presentation.

A. Format/Layout of Synopsis

B. Title Page

Table of Contents *

1. Introduction
2. Review of Literature
3. Proposed Research Methodology/Outline/Hypothesis/Discipline specific
4. Proposed flow of work
5. References

List of paper presented/published

*Table of Contents

CHAPTER-1: INTRODUCTION	1-20
1.1	HEADING 1 2
1.2	HEADING 2 7
CHAPTER 2: REVIEW OF LITERATURE	21-45
II.1 HEADING 1	21
CHAPTER 3: PROPOSED RESEARCH METHODOLOGY/OUTLINE/HYPOTHESIS/ DISCIPLINE SPECIFIC	46-55
I.1 HEADING 1	47
Proposed Objectives of the Study	49
Hardware & Software/Instrumentation/Study Material Requirements	50-51
Research Tools to be Used	52-54
PROPOSED FLOW OF WORK (IN FLOWCHART FORMAT)	55
REFERENCES	55-60
FULL PUBLISHED PAPER	61-70

**Chapters for thesis should be finalized at the synopsis stage duly approved through RDC with the recommendations of external examiner.*

Afterward, only in exceptional cases, supervisor may approved additional chapters through external expert recommendations.

****(The title of all entries in the Table of Contents must be in ALL CAPS.)**

C. Formatting Guidelines

1. Size of paper	A4 size white paper	
2. Binding specifications	Spiral/Tape Binding for Synopsis	
3. Layout of script	Typescript should be black printing appear on one side only with 1.5 lines spacing	
4. Type style	Times New Roman	
5. Font size	Chapter title	16pt (bold & capital letter)
	Headings	14pt(bold)
	Subheadings	12pt (bold)
	Text	12pt
6. Title of Synopsis	ALL CAPS	
7. Margins	<p>Top: 1” Right: 1”</p> <p>Bottom: 1”. Left: 1.5”</p> <p>Header: 1.3” Footer: 1.1”</p> <p>The position for the page number is at bottom-Right on the Page. Pages must be numbered in sequence. There must be no missing, blank, or duplicate pages. Specific page number formats, where applicable, are indicated below. Minimum font size is 10 point and must be consistent throughout the text. Chapter 1 must start on page 1.</p> <p>In Header: Insert logo of university at top-left followed by name of university as “SANT BABA BHAG SINGH UNIVERSITY, DISTT: JALANDHAR” at Top-Centre on the page.</p> <p>In footer: Title of the thesis must be written</p> <p>All Synopsis materials must fit within these margin requirements (including tables, headers and footers, figures, graphs and page numbers). When full page prints of photographs are desired, the image area of the print must conform to the same margins as the text.</p>	
9. Numbering of Tables, Figures and Equations		
Table, Figures and Equations should be captioned in sequence followed by Chapter number.		

For Example

Tables of Chapter 2 will be captioned as Table 2.1, Table 2.2, Table 2.3 and so on. Similarly, Tables of Chapter 3 will be labelled as Table 3.1, Table 3.2, Table 3.3 and so on.

**Table captions should be placed above the table (Bold)*

Figures of Chapter 2 will be captioned as Figure 2.1, Figure 2.2, Figure 2.3 and so on. Similarly, Figure of Chapter 3 will be labelled as Figure 3.1, Figure 3.2, Figure 3.3 and so on.

**Figure captions should be placed below the Figure (Bold and Italic)*

If there are five Equations in chapter 2 then it will be marked as Eq. 2.1, Eq. 2.2, Eq. 2.3, Eq. 2.4 and Eq. 2.5 respectively. If there are three Equations in chapter 3 then it will be marked as Eq. 3.1, Eq. 3.2, and Eq. 3.3 respectively.

10. Referencing Guidelines

There are literally hundreds of different referencing styles from which to choose when you are citing the sources of your research material. Different academic disciplines have differing priorities of what is important to the subsequent reader of an academic paper, and different publishing houses have differing rules about the citation of sources.

S. No.	Department/Discipline	Referencing Style	Link Of Reference
1	Commerce & Management	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-guidelines/references/examples

2	Sciences,	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-guidelines/references/examples
3	Engineering and Computer Science & Applications	IEEE	IEEE Citation Reference Guide
4	Languages	Modern Language Association (MLA)	https://paperpal.com/blog/academic-writing-guides/mla-format-guidelines-template-examples
5	Social Sciences/Humanities	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-guidelines/references/examples
6	Law	ILI	http://ili.ac.in/cstyle.pdf

Note:

1. The thesis template provided by INFLIBNET is attached with these guidelines. For further reference please check link mentioned below <http://shodhganga.inflibnet.ac.in/>

Annexure -VII

**STUDENT PROGRESS REPORT
(To be submitted twice in a year)**

Date.....

Name of Candidate	
Registration Number	
Institute/Department	
Programme (Discipline)	
Batch	
Title of Thesis/Dissertation	

List of Work Completed in last 6 months (Extra sheet as Appendix "I" may be attached)

.....
.....
.....

Signature of Candidate

Comments by the Supervisor/Co-Supervisor.....

.....
.....

Name & Signature of Supervisor/ Co-Supervisor

Comments by the CoD/HoD

.....
.....

Name & Signature of CoD/HoD

Comments by the Dean.....

Name & Signature of Dean

Dy. Director (R&D Secrecy)

Dy. Director (R&D Conduct)

Director (R & D)

Annexure VIII
Pre-Submission Certificate

Ref no.....

Date.....

This is to certify the Mr./Ms _____ Registration number _____
of department/Discipline _____, Sant Baba
Bhag Singh University, Jalandhar, Punjab, India has presented his/her pre-submission seminar before the
RAC on the topic _____

_____ for the requirement of submission of final Ph.D. thesis as per UGC 2022
regulations

Date:

Place:

(Seal and Signature of Supervisor)

ANNEXURE IX

Pre-thesis/Thesis Pattern of Ph.D.

Candidate has to prepare the Pre-thesis and Thesis as per below mentioned guidelines. Also, he/she has to submit 5 copies/7 copies respectively.

FOR Ph.D. THESIS/PRE-THESIS

Preliminary Pages (numbered with lower case Roman numerals):

Title Page (Should not contain any Page number)

Certificates

Dedication Page (optional) Acknowledgements

Abstract : This part of the thesis will be the most widely published and most read because it will be published in Dissertation Abstracts International. It is best written towards the end, but not at the very last minute because you will probably need several drafts. It should be a distillation of the thesis: a concise description of the problem(s) addressed and your method of solving it/them, your results and conclusions. An abstract must be self-contained. Usually they do not contain references. When a reference is necessary, its details should be included in the text of the abstract. The number of words may be limited to 2000 not exceeding four pages of spacing 1.5 and font type Times New Roman with size 12.

Table of Contents

List of Figures

List of Tables

List of publications from the Thesis/Dissertation

List of Abbreviations and Symbols Used (optional)

Glossary (optional)

Note: Depending upon the nature of study and research topic, number of chapters may vary:

- 1. In discipline of humanities (such as English, Punjabi, History, Economics and Political Science (PhD offered in SBBSU), there should not be restriction of number of chapters in PhD thesis. The no. of chapters could be upto 12 or may be different so that an extended and elaborated research observations/analysis and outcomes could be compiled by the researcher.*
- 2. In discipline of Law, number of chapters may be in a range of 06-08 chapters. It is noteworthy that, exceeding the research arena of research scholar beyond the prescribed limit of 08 chapter would solely and wholly depends on the discretion of the respective supervisor(s) or need of study.*
- 3. In discipline of Commerce, Management, the existing framework of five chapters could be followed and may increase beyond it on the discretion of research area and recommendations of respective supervisor (s).*

4. *In disciplines of Education, Physical Education, Engineering, Computer Science & Application, Basic sciences and Agriculture, the existing framework of five chapters could be followed.*
*** Chapters for thesis should be finalized at the synopsis stage duly approved through RDC with the recommendations of external examiner. Afterward, only in exceptional cases, supervisor may approved additional chapters through external expert recommendations.*

To maintain the uniform lay out of thesis, following chapters must be there apart from other discipline specific chapters.

1st Chapter: Introduction;

Last Chapter: Conclusion/ Research findings

CHAPTER-1: INTRODUCTION

1.1 HEADING 1

1.1.1 SUBHEADING 1.1

1.2 HEADING 2

CHAPTER 2:

2.1 HEADING 1

2.1.1. SUBHEAADING 2.1

CHAPTER 3:

3.1HEADING 1

3.1.1 SUBHEADING 3.1

CHAPTER 4:

IV.1 HEADING 1

4.1.1 SUBHEADING 4.1

CHAPTER 5:

CHAPTER

CHAPTER....

CHAPTER...

CHAPTER 12/last chapter no. : Conclusion/ Research findings & Future Scope/Recommendations

REFERENCES/BIBLIOGRAPHY

ANNEXURE -1 (USE ROMAN Numbering)

Plagiarism Report

Publication detail/Reprints

Any other (As per the research area)

Formatting Guidelines for Thesis/Prethesis

1. Size of paper	A4 size white paper	
2. Binding specifications	<p>THESIS: Submit (6 copies) in hard binding in Maroon /Burgundy colour with golden alphabets printed on it. The side/face of thickness of thesis should have the Name of students (at the top edge of side face), Year of submission (at the centre) and Ph.D Thesis (at the bottom of the side face).</p> <p>PRE-THESIS: Submit (3 copies) in spiral/Tape binding.</p>	
3. Layout of script	Typescript should be black printing appear on one side with 1.5 lines spacing	
4. Type style	Times New Roman	
5. Font size	Chapter title	16pt (bold & capital letter)
	Headings	14pt(bold)
	Subheadings	12pt (bold)
	Text	12pt
6. Title of Synopsis	ALL CAPS	
7. Margins	<p>Top: 1” Right: 1”</p> <p>Bottom: 1”. Left: 1.5”</p> <p>Header: 1.3” Footer: 1.1”</p> <p>The position for the page number is at bottom-Right on the Page.</p> <p>Pages must be numbered in sequence. There must be no missing, blank, or duplicate pages. Specific page number formats, where applicable, are indicated below. Minimum font size is 10 point and must be consistent throughout the text. Chapter 1 must start on page 1.</p> <p>In Header: Insert logo of university at top-left followed by name of university as “SANT BABA BHAG SINGH UNIVERSITY, DISTT: JALANDHAR” at Top-Centre on the page.</p> <p>In footer: Title of the thesis must be written</p> <p>All thesis materials must fit within these margin requirements (including tables, headers and footers, figures, graphs and page numbers). When full page prints of photographs are desired, the image area of the print must confirm to the same margins as the text.</p>	

<p>8. Numbering of sections and sub-sections</p>	<p>The numbering of Sections and Sub-sections should be done as per the following For example</p> <p>1.1 (It belongs to chapter 1 having 1st section)</p> <p>1.2 (It belongs to chapter 1 having 2nd section)</p> <p>1.2.1 (It belongs to chapter 1 having 2nd section and having 1st sub-section)</p> <p>3.1 (It belongs to chapter 3 having 1st section)</p> <p>3.2 (It belongs to chapter 3 having 2nd section)</p> <p>3.2.3 (It belongs to chapter 3 having 2nd section and having 3rd sub-section)</p>
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<p>9. Numbering of Tables, Figures and Equations</p>	<p>Table, Figures and Equations should be captioned in sequence followed by Chapter number.</p> <p>For Example</p> <p>Tables of Chapter 2 will be captioned as Table 2.1, Table 2.2, Table 2.3 and so on. Similarly, Tables of Chapter 3 will be labelled as Table 3.1, Table 3.2, Table 3.3 and so on.</p> <p>*Table captions should be placed above the table (Bold)</p> <ul style="list-style-type: none"> ➤ Figures of Chapter 2 will be captioned as Figure 2.1, Figure 2.2, Figure 2.3 and so on. Similarly, Figure of Chapter 3 will be labelled as <i>Figure 3.1, Figure 3.2, Figure 3.3</i> and so on. ➤ If there are five Equations in chapter 2 then it will be marked as Eq. 2.1, Eq. 2.2, Eq. 2.3, Eq. 2.4 and Eq.2.5 respectively. If there are three Equations in chapter 3 then it will be marked as Eq. 3.1, Eq. 3.2, and Eq. 3.3 respectively.
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<p>10. Referencing Guidelines</p>	<p>There are literally hundreds of different referencing styles from which to choose when you are citing the sources of your research material. Different academic disciplines have differing priorities of what is important to the subsequent reader of an academic paper, and different publishing houses have differing rules about the citation of sources.</p>
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S. No.	Department/Discipline	Reference Style	Internet Link for Reference Style
1	Commerce & Management	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-guidelines/references/examples
2	Sciences	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-guidelines/references/examples
3	Engineering and Computer Science & Applications	IEEE	IEEE Citation Reference Guide
4	Languages	Modern Language Association (MLA)	https://paperpal.com/blog/academic-writing-guides/mla-format-guidelines-template-examples
5	Social Sciences/	American Psychological Association (APA)	https://apastyle.apa.org/style-grammar-

	Humanities		guidelines/references/examples
6	Law	ILI	http://ili.ac.in/cstyle.pdf
11. Plagiarism		<p>Plagiarism Report (from Turnitin/URKUND/Drillbit must be attached at the end of the THESIS.</p> <p>Attach Published Papers at the end of the PRE-THESIS, THESIS.</p> <p>Note:</p> <p>(ii).The thesis template provided by INFLIBNET is attached with these guidelines. For further reference please check link mentioned below http://shodhganga.inflibnet.ac.in/</p>	

Annexure X

CERTIFICATE

This is to certify that the work presented in Thesis entitled “-----
-----” is the own work of Mr./Ms.-----, registration number ----- and
this work has been conducted in the Department of-----, Sant Baba Bhag Singh
University, Jalandhar, Punjab, India and in Department of(applicable in Co-supervisor)
under my/our supervision and not been submitted earlier to any University/Institution for any research
degree to the best of my knowledge.

Date:

Place:

Signature of Co-Supervisor (if any)

Signature of Supervisor

Name, Designation

Name, Designation

Annexure X (a)

DECLARATION/UNDERTAKING

I hereby declare that the research work embodied in the Thesis entitled
“.....” is my own contribution and results of
investigations carried out under the supervision of, in
Department..... of....., Sant Baba Bhag Singh University
from..... to This research work is original and has not been submitted earlier to any
University/ Institution for the award of any diploma or degree.

Name and Signature of Candidate

Date:

Place:

This is certified that the above statement made by the candidate is correct to the best of my/our
knowledge.

Signature of the Supervisor

The Ph.D. viva voce of Mr/Ms.....Registration no..... has been held on.....and is
accepted.

Signature of the Supervisor

Signature of External Expert

Director R&D

Annexure-XI

SELF-PLAGIARISM EXCLUSION CERTIFICATE

In the thesis submitted by.....Regd. No..... for the award of Ph.D., the content have been published in

- Chapter 1 Detail with (page no.....)
- Chapter 2 Detail with (page no.....)
- Chapter 3 Detail with (page no.....)
- Chapter 4 Detail with (page no.....)
- Chapter 5 Detail with (page no.....)
- Chapter X,,,...Detail with (page no.....)

***X last chapter**

(Give the details of the work published in Journals/Books etc)

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

The published work has been included in the thesis and has not been submitted for any degree to any University/Institute

(Signature of Candidate)

(Signature of Supervisor(s))

Annexure –XII

APPROVAL PERFORMA OF SYNOPSIS BY RESEARCH DEGREE COMMITTEE

Ref. No.....

Date.....

Name of Candidate	
Registration Number	
Institute/Department	
Programme	
Batch	
Name of Supervisor (in Capital)	
Name of co-supervisor (In Capital) If any	

Approved Title of Thesis/Dissertation.....

.....

Approved	Yes	No
----------	-----	----

Approved Objectives

.....
.....
.....
.....

Remarks, if any

Name & Signatures of RESEARCH DEGREE COMMITTEE

Vice Chancellor/Nominee of VC	
External Expert	
Dean Academics	
Dean/HoD/CoD	
Supervisor/Co-Supervisor	
CoE	

Dy. Director (R&D Secrecy)

Dy. Director (R&D Conduct)

Director (R & D)

Annexure-XIII

APPROVAL PERFORMA SYNOPSIS/THESIS BY RESEARCH ADVISORY COMMITTEE

Ref. No..... Date.....

Name of Candidate		
Registration Number		
Institute/Department		
Programme		
Batch		
Title of Thesis/Dissertation		
Name of Supervisor (in Capital)		
Name of co-supervisor (In Capital) If any		
Please tick your response	Yes	No
Thesis is as per the format of SBBSU		
All the Dues are cleared (Attach fee paid details)	Yes	No
Completed the Course Work (Attach the copy of Result)	Yes	No
Paper Published in	SCI Indexed <input type="checkbox"/> Cloned <input type="checkbox"/> UGC Care List Journals <input type="checkbox"/> Conference <input type="checkbox"/> ; Seminar <input type="checkbox"/> Remarks:.....	
Approved /SynopsisThesis	Approved Without any Change Approved With Minor Changes Approved With Major Changes Not Approved	
Remarks (Suggestions to improve the work)		
Name & Signatures of Research Advisory Committee		
Supervisor/Co-supervisor		
HoD/CoD		
Dean		
Doctorate Faculty of Department		
Director R & D/ Nominee		

Annexure –XIV

APPROVAL PERFORMA OF PRE-THESIS BY RESEARCH ADVISORY COMMITTEE

Ref. No.....

Date.....

Name of Candidate	
Registration Number	
Institute/Department	
Programme	
Batch	
Name of Supervisor (in Capital)	
Name of co-supervisor (In Capital) If any	
Title of Thesis	
Pre-Thesis	Approved Without any Change Approved With Minor Changes Approved With Major Changes Not Approved
Remarks, if any	
Name & Signatures of members of Research Advisory Committee	
Dean	
HoD/CoD	
Supervisor/Co-Supervisor	
Doctorate Faculty of Concerned Department	

Dy. Director (R&D Secrecy)

Dy. Director (R&D Conduct)

Director (R & D)

Annexure -XV

APPROVAL PERFORMA OF PRE-THESIS/THESIS BY RESEARCH DEGREE COMMITTEE

Ref. No......

Date.....

Name of Candidate	
Registration Number	
Institute/Department	
Programme	
Batch	
Title of Pre-Thesis/Thesis	
Name of Supervisor (In Capital)	
Name of Co-Supervisor (In Capital),if any	
Thesis	a. Approved Without any Change b. Approved With Minor Changes c. Approved With Major Changes d. Not Approved
Remarks	

Name & Signatures of members of Research Degree Committee

Vice Chancellor/Nominee of VC	
External Expert	
Dean Academics	
Dean/HoD/CoD	
Supervisor/Co-Supervisor	
CoE	

Dy. Director (R&D Secrecy)

Dy. Director (R&D Conduct)

Director (R & D)

Annexure -XVI

EVALUATION REPORT BY EXPERT

Ref.no.

Date:

Name of the candidate	
Registration No.	
Program/Batch	
Title of the thesis	
Name of Expert(In capital)& Address	
Thesis	Approved without changes Approved with minor changes Approved with major changes Not approved
Remarks, if any (separate sheet may be used)	
Chapter 1	
Chapter 2	
Chapter 3	
Chapter 4	
Chapter 5	
...	
...	
Chapter 12/Last chapter	

Signature of expert

Annexure-XVII

Ph.D. Fee (w.e.f July 2019 onward)

All candidates will have to pay fees as prescribed by the SBBS University for Ph.D. degree

S.NO.	Purpose	Fee (In Rs)
1	Enrolment/Enrolment-cum-Admission Form Fee	2500
2	Course work Fee	40,000
3	Course work Examination Fee	2000
4	Registration Fee(After defending the Synopsis)	15,000
5	Per Semester Fee	25,000
6	Extension fee for one year (Seventh year)	55,000
7	Topic Modification Fee	10,000
8	Late fees for paying semester fee	2000 per month
9	Late submission of six monthly progress report	1000 per month
10	Thesis submission/ evaluation fees	25,000
11	Thesis submission Late Fee (after due date)	10,000
12	Pre-thesis submission fee	8,000
13	Security Amount (Applicable from 2018 onwards) Refundable	2000/-

Approved fee structure for PhD Programme applicable from January 2026 onwards.

S. No.	Type of Fee	Revised fee (Applicable for January 2026 batch onwards)
1.	Enrolment cum-admission fee	2500
2.	Course work examination fee	2000
3.	Per semester fee	35,000
4.	Registration fee (Synopsis RDC)	20,000
5.	Pre-thesis Submission fee	20,000
6.	Thesis submission fee	30,000
Other fee (Applicable in special cases with due approval)		
7.	Topic modification fee	10000
8.	Late Thesis submission fee (after due date)	10000
9.	Migration fee	Subject to approval by the competent authority 20,000 (From SBBSU to other institution); 10,000 (From other institution to SBBSU)
10	Extension Fee	Extension beyond six years will be subject to the approval by the competent authority and extension fee will be Rs. 75000/- on yearly basis. It includes both semester's fee and annual extension fee.

Annexure XVIII
DECLARATION/UNDERTAKING BY SUPERVISOR

Name of Candidate	
Registration Number	
Institute/Department	
Programme	
Batch	
Title of Thesis	
Name of Supervisor (In Capital)	
Name of Co-Supervisor (In Capital),if any	
Remarks	

I hereby declare that the suggestions marked by RDC/external experts have been incorporated in Thesis.

(Name and Signature of Supervisor)

Annexure XIX

Undertaking regarding completion of PhD research work

To

Director R&D

SBBSU

Subject: Undertaking regarding completion of PhD research work

It is to submit that, my PhD thesis work is complete, all the objectives have been accomplished and due conditions of publication of research work and paper presented in conference is also complete. Published papers cover experimental objectives of the study

Detail of research publication is as follows:

S.No	Title of the research paper published	Name of Journal	Indexing (UGC listed, Scopus, SCI etc)	Link of research article

Paper presented in conference (National/International)

Name of Paper Presented	Name of Conference	Year	

Plagiarism of the Pre-thesis has also been checked and it fall below 10% (Certificate of plagiarism is attached at the end of Pre-thesis. All the changes suggested in RDC Pre-thesis have been duly incorporated.

Regards

Name of Scholar:

Branch/Discipline

Registration no:

Verified by Supervisor

Signature of supervisor

Signature of co-supervisor (if any)