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INDIA'S FIRST UNIVERSITY FOR STARTUP

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**REGULATIONS FOR THE DEGREE
OF
DOCTOR OF PHILOSOPHY (Ph.D.)**

2018

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SWARNIM STARTUP & INNOVATION UNIVERSITY, Gandhinagar

Rules and Regulations for the Degree of Doctor of Philosophy (Ph.D.)

1. PREAMBLE

The Degree of **Doctor of Philosophy** (Ph.D.) is the **Research Degree** of the University.

The Ph.D. degree is awarded to a candidate, who, as per University's regulations and in accordance with the UGC Regulation 2009, has submitted a thesis on the basis of original research work done by him / her in any particular discipline or more than one discipline (interdisciplinary), that makes a contribution to the advancement of knowledge or to innovative methods of application of existing knowledge, so as to contribute to the betterment of lives of the people and has had the thesis approved by suitably constituted examiners as required.

2. SHORT TITLE AND COMMENCEMENT

2.1 The Regulation shall be called "The Regulations governing the award of the Degree of Doctor of Philosophy (Ph.D.) of Swarnim Startup & Innovation University, Gandhinagar".

2.2 They shall come into force from the date of assent of the President.

2.3 The Ph.D. degree shall be awarded by the University under any one of the faculties of this University listed below:

- School of Engineering and Technology
- School of Architecture
- School of Commerce and Management Studies
- School of Ayurved
- School of Homoeopathy
- School of Para Medical Sciences
- School of Fine Arts
- School of Humanities
- School of IT & Computer Science
- School of Computer Application
- School of Applied Sciences
- School of Agriculture & Biotechnology
- School of Design
- School of Social Work

2.4 The Regulations framed are subject to modifications from time to time as decided by the Academic Council of the University.

2.5 Any disputes arising out of these regulations shall be limited to the exclusive jurisdiction of

Gandhinagar / Ahmedabad courts only.

3. ELIGIBILITY

A candidate seeking admission to the Ph.D. programme must satisfy any one of the following eligibility criteria:

- 3.1 Master's degree or equivalent in the relevant subject with 55% or equivalent CGPA, from any University recognized by the Association of Indian Universities (AIU) in India. (SC / ST / OBC candidates are eligible for a 5% relaxation in marks or equivalent CGPA). Candidates having postgraduate diploma / certificate awarded by an Indian university / institute or foreign degree / diploma / certificate awarded by a foreign university / institute should in their own interest, obtain and submit the equivalent of their diploma / degree / certificate with Master's degree of a recognized Indian University from the Association of Indian Universities (AIU), New Delhi.
- 3.2 In case of candidates holding a qualifying degree from a foreign university, registration for Ph.D. will be confirmed after determination of equivalence by the Swarnim Startup & Innovation University.
- 3.3 Master's degree or equivalent in any subject with 55% marks and five years of experience in the area of interdisciplinary research in which admission is being sought.
- 3.4 Fellow members of the Chartered Accountants of India (CA) or Institute of Costs and Works of India (ICWA) or Company Secretary of India (CFA) with 55% marks at graduation level and with 5 years of research experience after graduation (only for the Faculties of Law, Management and Humanities and Social Sciences).
- 3.5 Candidate who does not fulfill the above mentioned eligibility conditions but wants to pursue Ph.D., may be considered under the special category of enrolment, provided the Ph.D. Admission Committee is convinced about their academic prowess, professional accomplishments and their capacity to carry out research leading to the award of a Ph.D. degree. Such a candidate with at least 60% marks at the Bachelor's Degree level from any statutory Indian University or a foreign University with 10 years of research experience and having published 2 papers in peer reviewed journals may be considered eligible for admission to the Ph.D. programme at the sole discretion of the Equivalence Committee constituted by the Provost.
- 3.6 The qualifying degree should be recognized by the UGC / Association of Indian Universities / Central Council of Indian Medicine / Central Council of Homoeopathy / Indian Nursing Council / Council of Architecture / Pharmacy Council of India / All India Council for Technical Education or any other approved and recognized Scientific Bodies of the Government of India and approved by the Academic Council / Board of Management of the University for Provisional Registration for the Ph.D. Degree.

4. PROVISIONAL REGISTRATION

The Provisional Registration for Ph.D. Degree shall be made in two sessions during a calendar year preferably in January and July each year.

5. ADMISSION PROCEDURE

- 5.1 Admission shall be made through an Entrance Test and Interview.
- 5.2 The Number of vacancies shall be notified in the University website.
- 5.3 The entrance test for admission to Ph.D. programme shall be conducted twice in a year preferably in January and July.
- 5.4 In response to the notification of Swarnim Startup & Innovation University, the candidates seeking admission shall apply online / off-line in the prescribed “Application form for Ph.D. Programme”.
- 5.5 The application form can be downloaded from University website www.startupuniversity.ac.in and shall be accompanied by prescribed fee along with the relevant certificates.
To 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 centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.
- 5.6 The candidate shall also submit / upload the Abstract of Proposed Research (not exceeding 1500 words) along with the application as per the instructions on **how to submit an abstract** as given in the abstract template.
- 5.7 Candidates eligible and interested in availing the Swarnim Startup & Innovation University Junior Research Fellowship shall mark the specified section of the admission form.
- 5.8 The entrance test for the Ph.D. programme shall be multiple choice questions for 100 marks and for 2 hour duration. The candidate will also have to give a presentation on the proposed research topic and personal interview, each carrying 50 marks. The minimum passing marks for the entrance test, presentation and personal interview is 50%.

The entrance test shall comprise the following sections:

Sr.No	Section	Marks
1	Research Methodology	50

2	Subject Specific	50
	Total	100

- 5.9 A list of candidates qualifying the Entrance test shall be uploaded on the University website. The eligible and qualified candidates will be short listed for personal interview by the Ph.D. Admission Committee on the basis of merit and number of vacancies available in a Faculty.
- 5.10 The Ph.D. Admission Committee of each Faculty shall have the following members:
- Dean of Doctoral Studies & Research - Chairperson
Dean of the Faculty
Probable Guides / co-guides
Two External Experts nominated by the Provost
- 5.11 List of Six External Experts should be provided by the Dean and submitted to Dean of Doctoral Studies & Research.
- 5.12 The Ph.D. Admission Committee shall be proposed by the Dean of the Doctoral Studies & Research for the approval of the Provost.
- 5.13 Candidates shall be admitted to the Ph.D. programme on the basis of merit of the Entrance test, Presentation and Personal Interview, after taking approval from Provost.

6. EXEMPTION FROM ENTRANCE EXAMINATION

- 6.1 Candidates who have qualified UGC / SLET / NET / GATE / GPAT / CSIR (JRF / SRF) / teaching fellowship / M.Phil programme in the relevant discipline or are UGC / CSIR / RGNF / DST Inspire, NBHM Fellows, etc., shall be exempted from the entrance examination during the period of validity of the concerned test.
- 6.2 However, the candidates exempted from entrance examination are required to give presentation on the proposed research topic and appear for the Personal Interview.

7. PROVISIONAL ADMISSION

- 7.1 Availability of an Approved Research Guide
- 7.2 The allocation of Guide for the selected candidate shall be decided by the department depending on the number of candidates per faculty members, available specialization among the faculty Guides and the research interest of the candidates. The allotment / allocation of Guide shall not be left to the individual candidate or guide.
- 7.3 If necessary, based on a written request from the Research Guide, a Co-guide may be appointed by the Dean of that Faculty, with approval from Dean of Doctoral Studies & Research . The Co-guide may be from within the same Faculty or from a different Faculty of the Swarnim Startup & Innovation University.

- 7.4 The Ph.D. Admission Committee may recommend from among the provisionally admitted candidates for Swarnim Startup & Innovation University Junior Research Fellowship (JRF/ SRF) as per the norms of Swarnim Startup & Innovation University.
- 7.5 The recommendations of the Ph.D. Admission Committee for provisional admissions to Ph.D. programme and award of Swarnim Startup & Innovation University JRF / SRF shall be approved by the Provost.
- 7.6 After submission and verification of all eligibility documents and payment of the prescribed fee by the due date, the provisional admission would be confirmed by the Ph.D. Admission Committee.
- 7.7 Other than the in-service candidates of Swarnim Startup & Innovation University, the admission shall be open twice in a calendar year subject to vacancies (preferably in January and July).

8. CATEGORIES OF Ph.D. CANDIDATES

Candidates admitted to the Ph.D. programmes at Swarnim Startup & Innovation University may be categorized as follows:

- 8.1 **Full Time**
Full time Research Scholars are those who will be able to commit themselves full time to carry out their research on the campus. Full-time Research Scholars may receive a scholarship; if selected, from the Swarnim Startup & Innovation University Research Grant / UGC / AICTE / ICSSR / CSIR / DST / GUJCOST / AYUSH / ISRO / ICMR or any other sponsoring institute / agency or a Teaching Assistantship from the institute / department.
- 8.2 **Part Time (In-Service/ External)**
The Part time candidates (In-Service/ External) are those who are employed. Such candidates must submit a certificate from the Laboratory from where they are doing their Research work (If Applicable) and must submit No Objection Certificate from their employer which expressly undertakes to relieve the candidate to enable him / her to complete the Course Work. No fellowship or assistantship of any kind shall be awarded to such candidates.

9. DURATION OF STUDY

The Ph.D. programme in case of Full Time Scholars shall be for a minimum duration of three years, including course work and a maximum of five years and in case of external scholars, minimum 4 years and maximum 6 years. Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.

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

However, in case of candidates with M.Phil or equivalent, the minimum duration is reduced by one year, in both above areas.

10. SUBMISSION OF CERTIFICATES AND PAYMENT OF FEES

After submission and verification of all eligibility documents and payment of the prescribed fee by the due date, the provisional admission would be confirmed by the office of Dean, Doctoral Studies & Research of the university.

11. Ph.D. COURSE WORK

11.1 All Ph.D. Research Scholars shall undertake and complete the Ph.D. Course Work in one or two semester and self study during the Ph.D. course.

If a Ph.D. Scholar/s who is unable to complete course work during regular period, may be granted extra days to enable the Ph.D. scholar to complete the course work.

11.2 The Course Work for Ph.D. programme may comprise of lectures, surveys, design work, minor projects, seminars, assignments and / or self study courses depending on the nature of the discipline or faculty.

11.3 The Course Work shall be conducted at Swarnim Startup & Innovation University or any one of the constituent Institutes of the University or approved Research Centre by Swarnim Startup & Innovation University.

11.4 The Course Work will be divided into four broad sections as under:

Section	Title	Total Credits
I	Research Methodology I	3
II	Research Methodology II	3
III	Core Paper I	3
IV	Core Paper II	3
	Total	12

11.5 Evaluation will be done by Doctoral Research Committee by grading system.

11.6 Passing Criteria: Minimum 50 % in each of the above 4 sections.

In exceptional cases, where a Research Scholar fails to fulfill attendance requirement or fails in internal or end semester examination, he / she shall apply for an extension for completion of the Course Work in the prescribed format. The Dean of Doctoral Studies & Research may accord approval on the recommendation of the Guide for another examination to be held after six months. Such candidates will be required to pay additional examination fee as per the rules of the University.

11.7 The provisional admission of a Research Scholar who fails to complete the Course Work

requirement even in the extended period shall be cancelled.

12. EXEMPTION FROM Ph.D. COURSE WORK

The following categories of students are exempted from Course Work:

- 12.1 Candidates who have passed M.Phil. Degree / equivalent degree.
- 12.2 Candidates who have passed Ph.D. Course Work from a recognized University during last two years subject to the submission of the following documents:
 - 12.2.1 Completion certificate of the Course Work attended
 - 12.2.2 Transcripts
 - 12.2.3 No objection certificate from the University from which the scholar is seeking a transfer to this university.

13. SPLIT Ph.D. PROGRAMME

- 13.1 The split Ph.D. program is designed to provide a chance to the candidates to conduct a portion of their Ph.D. work in a recognized foreign University / Institution or a recognized Indian University / Institution with which Swarnim Startup & Innovation University has signed an academic MoU.
- 13.2 The basic objective of this scheme is to develop good research relationships and future collaborative research projects and to bring the International / National Universities, Research Institutes and Industries closer with Swarnim Startup & Innovation University through Ph.D. Programs. While eligibility, admission procedures, duration, functions of Research Advisory Committee, Research Methodology, Thesis submission and valuation of thesis will be the same as that of the general Ph.D. regulations.
- 13.3 The following would be the norms and guidelines for the split Ph.D. Program:
 - 13.3.1 The partnering institution or equivalent research center should have signed an academic MoU with Swarnim Startup & Innovation University.
 - 13.3.2 The maximum period of research that can be conducted with the partnering institution will be decided by the Ph.D. Admission Committee.
 - 13.3.3 The expert under whom the candidate proposes to work for the split Ph.D. program shall be suggested by the guide as a co-guide and would also be a member of the Ph.D. Admission Committee.

13.3.4 Candidates who receive research fellowship from any foreign university / Indian university or equivalent where MoU is not signed, may be permitted to work under this category subject to approval of the Ph.D. Admission Committee.

13.3.5 The progress report of work done by the candidate in the external institution shall be submitted to the Dean, Doctoral Studies & Research through the Guide by the external expert / co-guide.

13.3.6 All financial commitments required for carrying out the research work at the partnering institution shall be borne by the candidate.

13.3.7 The degree on successful completion would be awarded only by Swarnim Startup & Innovation University with a mention of the name of the partnering institution.

14. ETHICAL COMMITTEE CLEARANCE

14.1 Ethical committee clearance must be obtained by the candidate for performing experiments on human subjects as per the regulations of appropriate bodies. (for Medical and its allied fields)

14.2 Ethical committee clearance must be obtained by the candidate for performing experiments on animals as per the regulations of appropriate bodies.(for Veterinary and its allied fields)

15. REGISTRATION

Admission to the Ph.D. programme will be confirmed only on the successful completion of Course Work and approval of the Research Proposal by the Doctoral Review Committee (DRC).

15.1 Research Scholars who underwent Course Work shall submit a Research Proposal duly recommended by the Research Guide(s) within three months of the successful completion of Course Work.

15.2 Research Scholars who have been exempted from Ph.D. Course Work shall submit a Research Proposal within six months of the date of provisional admission, duly recommended by the Research Guide(s).

15.3 In case of non-submission of the Research Proposal within the prescribed period, the Research Scholar may apply for extension in the prescribed Proforma. The Dean of Doctoral Studies, on the recommendation of Research Guide(s) may grant an extension for a maximum period of three months. If the candidate fails to submit the Research Proposal even during the extension period, the provisional admission shall be cancelled.

15.4 The Research Proposal to be presented before the Doctoral Review Committee shall consist of the following:

15.4.1 Introduction putting forth the need and relevance of the proposed research work

15.4.2 Review of the literature

- 15.4.3 Scope and statement of the problem
- 15.4.4 Objectives of the study
- 15.4.5 Hypotheses or research questions
- 15.4.6 Methodology, tools and techniques
- 15.4.7 Schedule of the proposed research work
- 15.5 The Research Scholar shall submit 4 copies of the Research Proposal to the office of the Dean, Doctoral Studies & Research, Swarnim Startup & Innovation University. The Research Scholar shall make a presentation of the Research Proposal to the Doctoral Review Committee (DRC). The DRC shall consists of the following members:
 - 15.5.1 Dean of Doctoral Studies & Research – Chairperson
 - 15.5.2 Dean of Faculty
 - 15.5.3 Research Guide / co-guide
 - 15.5.4 Two Experts in the relevant area nominated by Provost from the list of 6 experts suggested by Guide.
- 15.6 The presentations of the Research Proposals shall be organized through on line presentation or in person in the University or at one of its constituent Institutes. However, special permission may be granted by the Provost to organize presentations at an Approved Research Centre, after considering the following:
 - 15.6.1 Number of candidates wanting to make a presentation at the Approved Research Centre.
 - 15.6.2 Facilities available at the Centre with regard to presentations and video conferencing, if required.
- 15.7 The DRC shall give one of the following recommendations after the presentation of the Research Proposal:
 - 15.7.1 Approved
 - 15.7.2 Approved with minor modifications
 - 15.7.3 To be resubmitted and presented after major modifications
 - 15.7.4 Not approved
- 15.8 In case of (a) and (b), the date of registration shall be the date of the presentation, provided the Research Scholar in case of (b) submits the revised proposal through the Guide and the Dean of the concerned Faculty within 15 days of presentation. In case of (c), a maximum period of six

months may be granted by the DRC for the resubmission of the proposal. The registration will be effective from the date of the subsequent presentation. In case of (d), the provisional admission shall be cancelled.

15.9 The title and the Research Proposal will be finalized by the DRC.

16. RECOGNITION OF GUIDE / CO-GUIDE

16.1 To be an approved Research Guide, the following conditions must be fulfilled:

16.1.1 He / She must be a regular Professor, Associate Professor, Assistant Professor or Lecturer of Swarnim Startup & Innovation University .

16.1.2 He / She must have Ph.D. Degree from recognized or approved university.

16.1.3 He/She must be a regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals. He/She must be a regular Associate/Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

16.1.4 Qualification of Co-guide will be the same as that of the Research Guide. A Co-guide may be any person within Swarnim Startup & Innovation University and must be a Recognized Research Guide of Swarnim Startup & Innovation University. In exceptional cases a faculty with good experience but without Ph.D. may also be considered as a Guide / co-guide subject to approval of the Committee, constituted by Provost.

16.2 If collaborative research work is being carried out by a Faculty of the University with the collaborating Institution being in India or abroad and if major part of the collaborative work is being done in the collaborating Institution, then the Research Guide shall be from that Institution and the Co-guide shall be from Swarnim Startup & Innovation University. Similarly, if major work is being done at Swarnim Startup & Innovation University, then the Research Guide shall be from Swarnim Startup & Innovation University and the Co-guide shall be from the other Institution.

16.3 The following is the upper limit regarding the number of Research Scholars that can be registered with a Research Guide / Co-guide for a Ph.D. programme.

Professor	: 8
Associate Professor	: 6
Asst Professor	: 4

For this purpose, the total number of scholars working under the guidance of a Guide under any University in India or Abroad will be considered. However, in first year as Guide, no one can take candidates more than 50% of upper limit prescribed. To be eligible to guide eight candidates by

Professors at least one of the scholars must have been awarded Ph.D. under the respective guide.

- 16.4 The total number of scholars for any individual as guide and or co-guide should not exceed the upper limit.
- 16.5 No relative of a candidate such as wife, husband, son, daughter, sister, brother or such other person who are deemed to be close relations shall be appointed as Research Guide / Co-guide for that candidate.
- 16.6 In cases where the Guide has less than two years to retire, a Co-guide shall be mandatory. Such co-guide becomes guide on retirement of the Guide on superannuation.

17. CHANGE OF GUIDE

The change of guide is permissible only after the approval of Provost, on recommendation of committee constituted, for this purpose by provost.

18. MONITORING PROGRESS OF RESEARCH SCHOLARS

- 18.1 A Full time Research Scholar shall be required to submit 6 half-yearly progress reports and External Scholar is required to submit 8 half-yearly reports in a specified Performa in January and July of each year along with presentation before the Doctoral Review Committee (DRC) till the submission of the final Thesis.
- 18.2 In case a Research Scholar fails to submit two consecutive half-yearly progress reports or if the progress reports of two consecutive reviews are not satisfactory, then the registration shall be cancelled. The decision of Swarnim Startup & Innovation University will be final.
- 18.3 Pre-submission Presentation: On completion of the research work, after ensuring that at least three years have been completed from the date of registration, the Ph.D. Scholar shall submit to the University, through the Research Guide(s), draft synopsis, including bibliography of the research work. The Doctoral Review Committee (DRC), on the recommendation of the Dean of Doctoral Studies & Research shall assess the work. The student will be asked to deliver an open seminar before the Doctoral Research Committee (DRC). If the DRC is satisfied about the quality of the work and finds it suitable for submission as a Ph.D. Thesis, it may advise the student to prepare a synopsis and submit 6 hard copies and a soft copy in PDF format. On the other hand, if the committee is not satisfied with the quality of work done, it may recommend revision of the work on specific lines and direct the scholar to repeat the presentation after a specified period.
- 18.4 The Research Scholar whose Thesis is approved for submission shall submit six copies of the synopsis of the Thesis along with the soft copy to the Swarnim Startup & Innovation University.

19. SUBMISSION OF THESIS

- 19.1 The Research Scholar shall be required to submit the Thesis within six months of the date of presentation in which the draft synopsis was approved. An extension of another three months may be given by the Provost on request from the Research Scholar and duly recommended by the Research Guide and Dean, Doctoral Studies & Research.

- 19.2 The Thesis shall be written in the specified format.
- 19.3 The following documents shall be submitted by the Research Scholar at the time of Thesis submission.

19.3.1 Thesis submission form signed by the scholar and the guide

19.3.2 Original report for plagiarism check signed by the Research Scholar and the Guide.

- 19.4 The Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/ seminars

Or

The Ph.D. Scholars should have 3 research paper published of which one should be in refereed journal before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

Or

The Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations

Or

If one or more patents are published, the DRC of that Ph.D. Scholar will give the equivalence for the publication.

20. VALIDITY OF REGISTRATION

- 20.1 The Research Scholar shall submit the Thesis within 5 years but not earlier than 3 years in the case of Full Time Research Scholar and within 6 years but not earlier than 4 years in the case of External Research Scholars from the date of provisional registration. Extension of TWO years beyond the minimum period of 3 years in case of Full Time scholars and 4 years in case of External scholars can be granted by DRC on recommendations of the Guide.
- 20.2 Registration of a Research Scholar, who fails to submit the Thesis within the stipulated period as mentioned above, stands cancelled.

21. PLAGIARISM

In case the research work of a Scholar is found to be copied without proper acknowledgement, credit and reference; suitable action shall be taken by the Swarnim Startup & Innovation University as per its Plagiarism Policy to uphold the sanctity and integrity of the Ph.D. Research Programme and credibility of the Swarnim Startup & Innovation University. The similarity percentage shall not exceed limit of 10%.

The Academic Council (or its equivalent body) of the Institution shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic

dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other Degree/diploma of the same Institution where the work was carried out, or to any other Institution.

22. EXAMINATION

- 22.1 The Guide shall submit a panel of eight examiners out of which four examiners will be from the State of Gujarat and four examiners from outside the Gujarat State (within India or outside India) to the Provost through the Dean, Doctoral Studies & Research while forwarding the copies of the synopsis and Thesis to the University. The examiners suggested by Guide should have a Ph.D. degree and not below the rank of Associate Professor or eminent retired Professors and must have been an approved Ph.D. guide.

The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College, of whom one examiner may be from outside the country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

Or

One of the examiner should mandatory be from outside the Gujarat state and one preferably from outside the country.

- 22.2 Also,

22.2.1 The panel must include at least 50% examiners from outside the State in case of Research Scholars from India.

22.2.2 In case of Research Scholars being foreign Citizens or Non-Resident Indians, one examiner apart from Guide could be from outside India and one examiner from India.

22.2.3 There shall be no examiner from the same organization as that of the Research Scholar.

22.2.4 There cannot be more than one examiner from one single University/Institution/Organization or place in the panel proposed by the Guide.

22.2.5 The Provost may ask Dean, Doctoral Studies & Research to include additional name(s) in the panel of examiners.

- 22.3 The Provost will appoint two examiners from the panel of examiners.

- 22.4 The examiners shall submit a detailed Assessment Report in the prescribed Performa. The

assessment report will clearly indicate:

- 22.4.1 The Thesis is recommended for the award of a Ph.D. degree.
- 22.4.2 The Thesis is recommended for the award of a Ph.D. degree after minor revision.
- 22.4.3 The Thesis is to be revised.
- 22.4.4 The Thesis is rejected.
- 22.4.5 Questions that he/she may like the Research Scholar to answer in the viva-voce, in a separate envelope.
- 22.5 In case an examiner recommends revision of the Thesis, he / she shall also indicate whether the revision suggested requires:
 - 22.5.1 Substantial changes in the Thesis before it can be accepted for a Ph.D. degree.
 - 22.5.2 Minor additions or alterations in the Thesis before its acceptance.
 - 22.5.3 The examiner may indicate whether he / she would like to re-examine the Thesis after the revision.
- 22.6 The reports of the examiners (excluding the questions suggested for viva-voce) will be opened by Dean, Doctoral Studies & Research.
- 22.7 In case both the examiners (excluding Guide) recommend rejection, the Thesis shall be rejected.
- 22.8 In case one out of the two external examiners rejects the Thesis, then the Thesis will be sent to a third examiner who will be appointed by the Provost for evaluation. The Thesis shall be accepted only if the third examiner appointed by the Provost approves it.
- 22.9 In case an examiner recommends modification to the Thesis, the Research Scholar shall carry out the necessary revision / modification as suggested by the examiner before the case is processed further.
- 22.10 The Research Scholar, who is required to re-submit the Thesis, must do so within six months from the date of receipt of the examiner's comments communicated to the Research Scholar by the University.
- 22.11 The viva voce examination shall be conducted for all the Research Scholars by the following panel members within two months of opening the reports:
 - a. Dean of Doctoral Studies & Research - Chair Person
 - b. Dean of Respective Faculty
 - c. Research Guide/s

d. One External Examiner

22.12 There shall be an open defense of the Thesis and it shall be conducted at the University. During the period, copy of thesis shall be kept in the Swarnim Startup & Innovation University Library. The University will notify the date and time of viva voce on the University's website before fifteen days.

23. AWARD OF Ph.D. DEGREE

23.1 The Committee under the Chairpersonship of the Dean of Doctoral Studies & Research shall give final recommendations for the award of a Ph.D. degree on the basis of performance in the viva voce examination and the examiners' reports. Their recommendations will be sent to the Provost for approval for the award of Ph.D. degree.

23.2 The Registrar shall publish the result and issue provisional degree in accordance with the decision of the Chairperson, Academic Council.

23.3 Along with the degree, the University shall issue a provisional certificate certifying that the degree has been awarded in accordance with the provisions of UGC Minimum Standards and Procedure for award of Ph.D. Degree, Regulation 2016 and subsequent amendments.

Depository with INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s) the Institution concerned shall submit an electronic copy of the M.Phil. dissertation / Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions / Colleges.

Prior to the actual award of the degree, the degree-awarding Institution shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

24. WITHDRAWAL OF AN AWARDED Ph.D. DEGREE

In case there is a complaint of plagiarism or any other serious academic misconduct and if upon investigation by a committee duly appointed by the Provost, the complaint is found to be correct then the Academic Council will give their observations to the Board of Governance of the Swarnim Startup & Innovation University who will decide to withdraw the Ph.D. degree awarded. In case of any dispute or discrepancy, the decision of the Board of Governance shall be final and binding.

25. INTERPRETATION AND POWER TO MODIFY

25.1 Any doubt or dispute arising out of the interpretation of these Regulations shall be referred to the Provost, whose decision shall be final and binding.

25.2 Notwithstanding all that has been stated in the above Regulations, the University shall have the right to modify any of the above regulations from time to time with prospective or immediate

effect.

26. GRANTS / PATENTS / PUBLICATIONS

26.1 The Ph.D. research work shall be the joint property of Swarnim Startup & Innovation University and the Guide / Co-guide and research Scholar.

26.2 Any Patents / Publications / Presentations / Financial Grants / etc, obtained from the Ph.D. research work shall be the right of Swarnim Startup & Innovation University.

27. GENERAL

Notwithstanding anything contained in these Regulations, all Research Scholars shall be governed by the Code of Conduct and general rules and procedures framed by the Swarnim Startup & Innovation University, and in force from time to time.