

STANDARD OPERATING PROCESS for PhD PROGRAMME@ UPES

[DOCUMENT SUBTITLE]

RAKHI RUHAL

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UPES/PHD/001

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DOCUMENT DETAILS

FUNCTION NAME	PhD
PROCESS NAME	Standard Operating Procedure for PhD Programme
PROCESS CODE	UPES/PhD/001
PROCESS OWNER	

VERSION HISTORY

VERSION No.	MONTH and YEAR	CHANGE INITIATED
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Dean R & D

Registrar

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1.0 INTRODUCTION

PhD program was started by UPES in 2005 in broad domains of PhD Management (Oil & Gas, Power) and Engineering (Oil & Gas, Power). Today the domains in which UPES offers PhD are :**School of Engineering** PhD (Physics), PhD (Chemistry), PhD (Mathematics), PhD (Aerospace Engineering), PhD (Chemical Engineering), PhD (Civil Engineering), PhD (Electrical Engineering), PhD (Electronics Engineering), PhD (Mechanical Engineering), PhD (Petroleum Engineering), PhD (Safety Engineering) , **School of Business:** PhD (General Management), PhD (Energy Management), PhD (Transportation Management), PhD (Economics and International Business), **School of Computer Science:** PhD (Computer Science Engineering), **School of Law:** PhD (Law), **School of Design:** PhD (Industrial/ Transportation), PhD (User Experience and Interaction Design), **School of Health Sciences :** PhD Microbiology, PhD Pharmaceutical Sciences, PhD Pharmaceutical Chemistry, PhD Food & Nutrition

This program has a distinctive mission and focus - to promote the study of domain specific and related sectoral aspects straddling engineering/ science, management and legal areas. The course work and dissertation endeavors to address the complex inter relationships within the specific domains.

This PhD program offers an emphasis in the domain areas and is designed to prepare for career enhancement in the industry, academic enhancement and self-actualization in both full time as well as part time mode. The regulations are constantly updated as per guidelines by UGC and demands of the industry. The academic guidance to each PhD student at each stage of program is the key area of the PhD program.

The overall program is governed by the PhD team comprising of Dean R & D, Designated Professor, Assistant Dean Research in respective schools, Assistant Director PhD, Residency Coordinator.

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2.0 PhD PROGRAM ADMISSIONS

2.1 Purpose

To grant admission to the eligible candidates into PhD program and complete the registration process.

2.2 Tasks

- ✓ Generate applications for PhD program
- ✓ Check eligibility
- ✓ Conduct of RET (Research Entrance Test)
- ✓ Conduct of interview
- ✓ Registration of student

2.3 Processes

The number of PhD students to be admitted in each domain is decided by Dean R&D in discussions with Deans and ADR's on the basis of number of supervisors available in respective schools and infrastructure facilities. These are approved by VC.

PhD program admission advertisement is released in a leading newspaper and regional newspaper each semester by the PhD team.

Applications are received, their eligibility is checked and they are listed to appear for the Research Entrance Test (RET) by PhD team.

In case of any clarification required in specific eligibility criteria, same is being verified with SRC.

The eligible applicants are made to appear for an entrance test by SRE (Student Record and Evaluation). The result of same is shared with Dean R&D.

The PhD admission committee is suggested by Deans who are part of the committee and interviews are taken for RET qualified applicants on parameters laid down by Dean R&D. The result of interview scores is shared with Dean R & D by committee.

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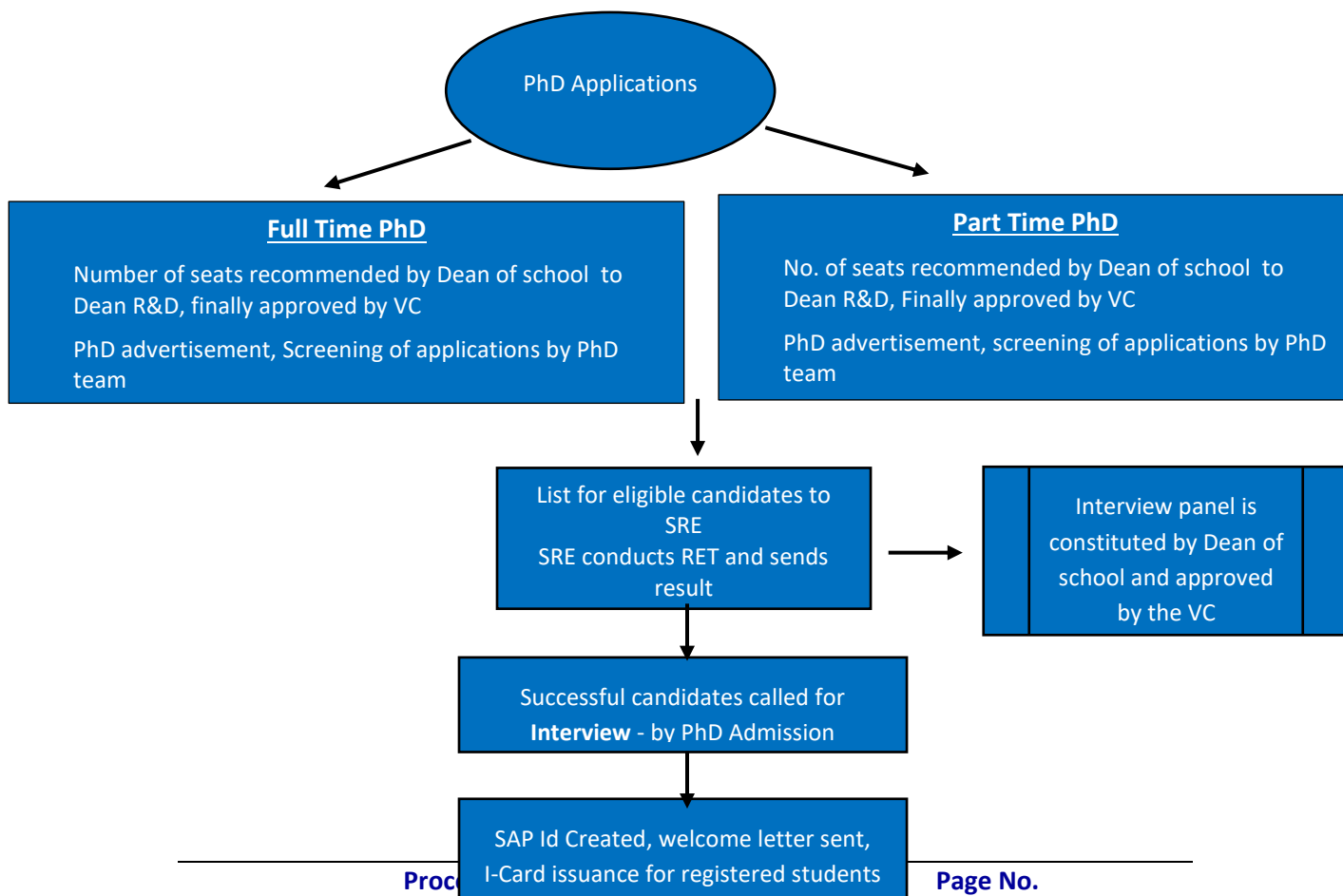
On the basis of overall score of RET and Interview, merit list is prepared and admission is offered on the basis of merit list . Full time PhD students are offered by HR department and part-time PhD students are offered by PhD team.

For any extra admissions (besides the number announced) in any domain the approval of VC is taken by Dean R&D based on number of supervisors available.

Once the applicant takes admissions, the SAP ID creation, I card, welcome letter is created by PhD team and files of admitted students is sent to SRE for records.

Any withdrawal / deregistration from program of PhD student on the basis of fee, non progress, etc. is done by the PhD team.

2.4 Process Flow Chart



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2.5 Documents

- ✓ PhD application form
- ✓ Residency declaration form
- ✓ Disclaimer
- ✓ Admission approvals

3.0 PHD PROGRAM-PRE PHD PHASE

3.1 Purpose

To facilitate and monitor the pre PhD coursework completion by admitted PhD student.

3.2 Tasks

- ✓ Conduct of orientation program
- ✓ PhD LMS creation
- ✓ PhD students meeting mentors
- ✓ Formation of DRC (Doctoral Research Committee)
- ✓ PhD coursework question papers
- ✓ PhD coursework examinations conduct
- ✓ PhD coursework result declaration

3.3 Processes

The orientation program dates are finalized by PhD team in consonance with UPES academic calendar.

The schedule of classes and the conduction of the coursework classes will be conducted by APMC team and interaction with the mentor is finalized by ADR's of respective schools in consultation with Dean R&D; when the PhD students come to the first orientation program. Overall orientation program will be monitored by PhD team.

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The PhD students interacts with the SME's and provides his/ her choice for mentor/s in the prescribed performa for PhD program, and selects coursework subject and research Work with mentor. ADR's facilitates suggesting SME's to student. The mentor probably will be the supervisor allocated to PhD student after completion of coursework.

DRC to be formed by ADR's of each student in consultation with Dean R&D and Dean of school. DRC should have one external faculty member from UPES but from any other school/department, one member from SRE. The Chairman should be HOD/ senior faculty of the department.

The reference material, syllabus and books, are made available at PhD LMS by PhD team.

The database update and SAP updating (except exam result and fee details) is done by PhD team throughout the program.

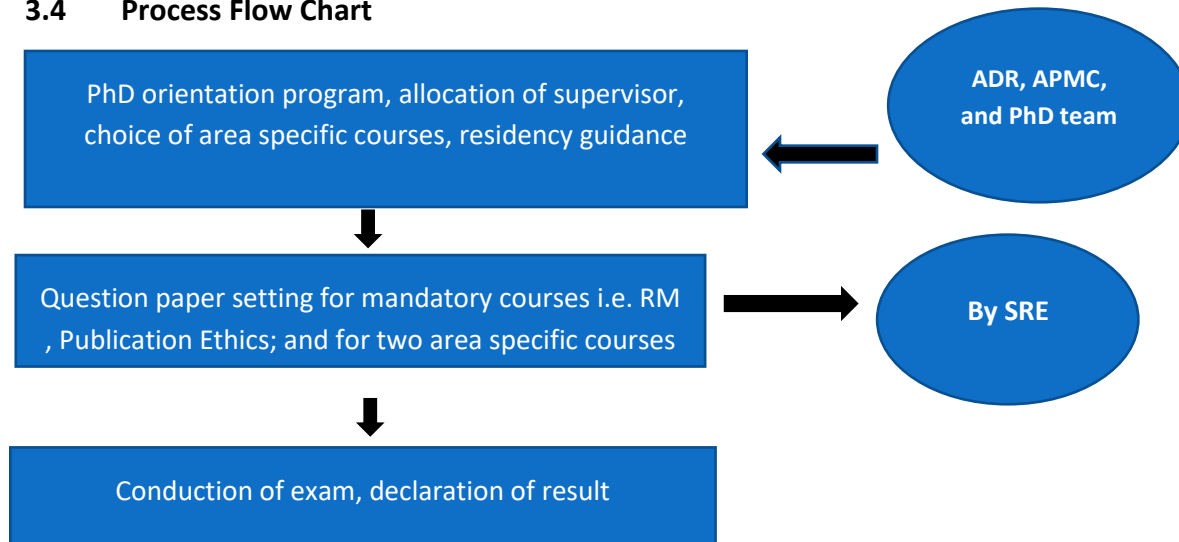
The suggested list of question paper setters to be reviewed and final list of QP setters to be sent by ADR to Dean R&D.

Examination notification, examination form filling coordinated by PhD team with SRE.

Conduct of examinations and announcement of results by SRE.

Further academic guidance after coursework completion provided to PhD students by PhD team.

3.4 Process Flow Chart



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3.5 Documents

- ✓ Residency completion Sheet
- ✓ Question paper setters approval
- ✓ Orientation schedule
- ✓ Mentor and coursework choice performa
- ✓ Result declaration approval
- ✓ Grade card

4.0 GUIDE RECOGNITION PROCESS

4.1 Purpose

To recognize eligible guides to PhD students, so as to produce quality of research work

4.2 Tasks

- ✓ Receipt of performa of guide recognition from guide
- ✓ Recommendation from respective Dean on eligibility
- ✓ The recommended list is reviewed by the guide recognition committee
- ✓ Approval of list
- ✓ Allocation of students to recognized guide and letters to guides

4.3 Processes

The faculty of respective school who wishes to supervisor any PhD student of UPES, submits 'Performa of Recognition of Guide' with ADR of respective school. The same is recommended / not recommended by Dean.

The criteria to select eligible guide is (i) The guide should have an earned PhD degree from a recognized university (ii) The guide should have published at least 5 SCI/ recommended journal

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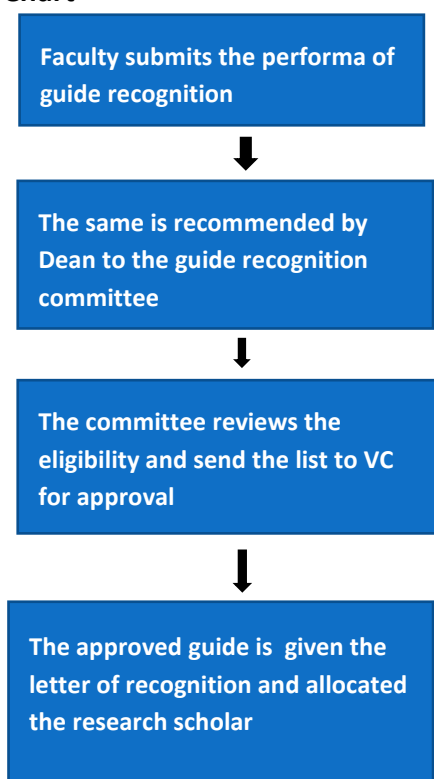
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by R & D (Professor , Associate Professor) and 3 SCI/ recommended journal by R & D (Assistant Professor) (iii) Status on currently guiding the number of students and the progress done.

The recommended list of eligible guides is reviewed by Dena R & D and then is submitted to the Guide Recognition Committee comprising of Dean R & D, Dean Academics, Dean of respective school . The list of approved guides by committee is then sent to VC for approval.

The recognized guides approved by VC only are considered and will be allocated the student.

4.4 Process Flow Chart



4.5 Documents

- ✓ Performa for guide recognition
- ✓ Guide recognition committee approval
- ✓ Recognized guides approval

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- ✓ Recognized guide letter
- ✓ Allocation of research scholar to recognized guide

5.0 ALLOCATION OF SUPERVISOR

5.1 Purpose

Allocation of supervisor best suited for the research area of PhD student to get the quality research output.

5.2 Tasks

- ✓ To obtain PhD supervisor performa by PhD students
- ✓ Allocation of supervisor
- ✓ Academic progress monitoring
- ✓ To obtain progress Report by PhD students

5.3 Processes

The PhD students who have completed coursework are recommended to submit PhD supervisor Choice Performa.

The said performa has details on his research topic and his preference of supervisor/s.

The list is collated by PhD team. The parameters of seat availability with supervisor, parity with other supervisors, preference by PhD student, the supervisor is selected by Dean R&D in consultation with Deans and approved by Vice Chancellor. **Annexure 1**

The same is communicated to PhD students by PhD team.

The six monthly academic progress will be monitored by DRC that will have an external faculty member from UPES but from different department. **Annexure 2, 3**

External supervisor (if required) will be approved by Dean R & D on recommendation from Dean and approved by VC.

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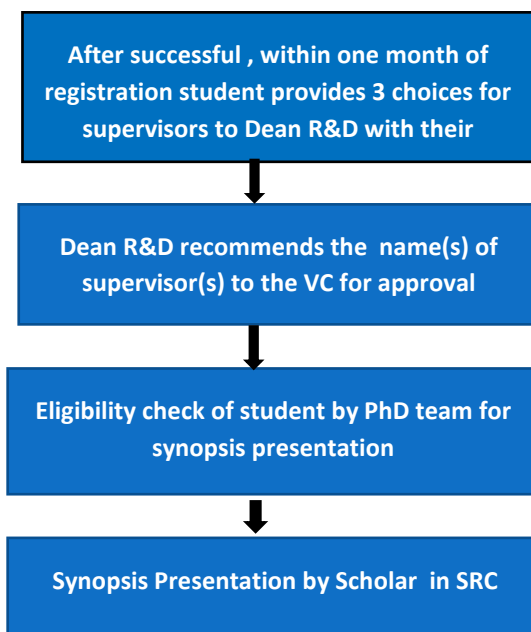
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Based on the academic progress monitoring report of the scholar, PhD team will identify, the slow researchers at the closing of second year of registration as per **Annexure 4**.

DRC (Doctoral Research Committee) will be conducted either with SRC (School Research Committee) external expert/ any other subject matter expert outside UPES will recommend some points for the improvement in research pace and quality.

5.4 Process Flow Chart



5.5 Documents

- ✓ PhD supervisor allocation performa
- ✓ Supervisor allocation letter/ email
- ✓ Consent from external supervisor
- ✓ External supervisor requirement form

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6.0 RESIDENCY STRUCTURE

6.1 Purpose

To get quality output from residency done by PhD students in terms of research.

6.2 Tasks

- ✓ Maintain residency details of each PhD student
- ✓ Conduct of residency
- ✓ Residency structure

6.3 Processes

The dates are suggested by PhD team to part-time PhD students for doing residency. All scholars have to undergo mandatory residency.

PhD students are informed every semester on residency by PhD team.

PhD students in consultation with mentor/ supervisor finalize their dates. The list is collated by PhD team and shared with respective residency coordinators.

The residency coordinator maintains the attendance status of PhD student, facilitates the residency, and maintains residency completion sheets / progress report / residency appendix.

ADR's to ensure proper research guidance and supervision by mentor/ Supervisor during residency. ADR's to explore industrial exposure of PhD students with UPES students.

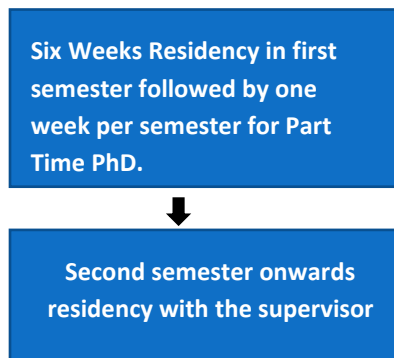
The residency details maintained by PhD team. The residency completion sheets and progress reports submitted with SRE for records.

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6.4 Process Flow Chart



6.5 Documents

- ✓ Residency completion sheet
- ✓ Progress report
- ✓ Attendance sheet
- ✓ Residency appendix
- ✓ Residency schedule

7.0 COMPREHENSIVE EXAMINATION/ SYNOPSIS / ABSTRACT PRESENTATION

7.1 Purpose

To have quality research Synopsis from PhD students as in consultation with supervisor.

7.2 Tasks

- ✓ List of eligible PhD students for synopsis presentation
- ✓ Recommendations from DRC and SRC
- ✓ Conduct of synopsis/ abstract Presentation
- ✓ Declaration of result

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7.3 Processes

The SRC for synopsis/ abstract Presentation will be held two times in a year, preferably in March and October. Dates for which are decided by PhD Team in consonance with UPES Academic Calendar. DRC will be held twice in June and December as a DRC Week.

PhD students are communicated on documents/ dates and process of synopsis/ abstract presentation by PhD team.

The list of eligible students for presentation is collated by PhD team on the basis of approval from supervisor for same with other required documents. The same is shared by PhD team with respective Deans/ ADR's with copy of synopsis/ abstract to circulate with all members of DRC/ SRC to ensure quality of research.

The list is simultaneously shared with SRE for conduct of same (with DRC of each student).

SRE prepares the synopsis/ abstract schedule in consultation with ADR's.

The time slots are communicated to schools, students and supervisors by SRE.

SRE conducts the synopsis/ abstract presentation.

Each student making presentation will have his DRC and schools SRC present (in quorum) to ascertain the quality of research. The comments with specific criteria are put by them in the SRC software. The final results are fetched from the SRC software and sent to respective ADR's for approval from respective SRC.

The final comments and results are approved by Dean R&D.

The results are communicated to respective students.

A student gets two attempts only to qualify synopsis/ abstract presentation.

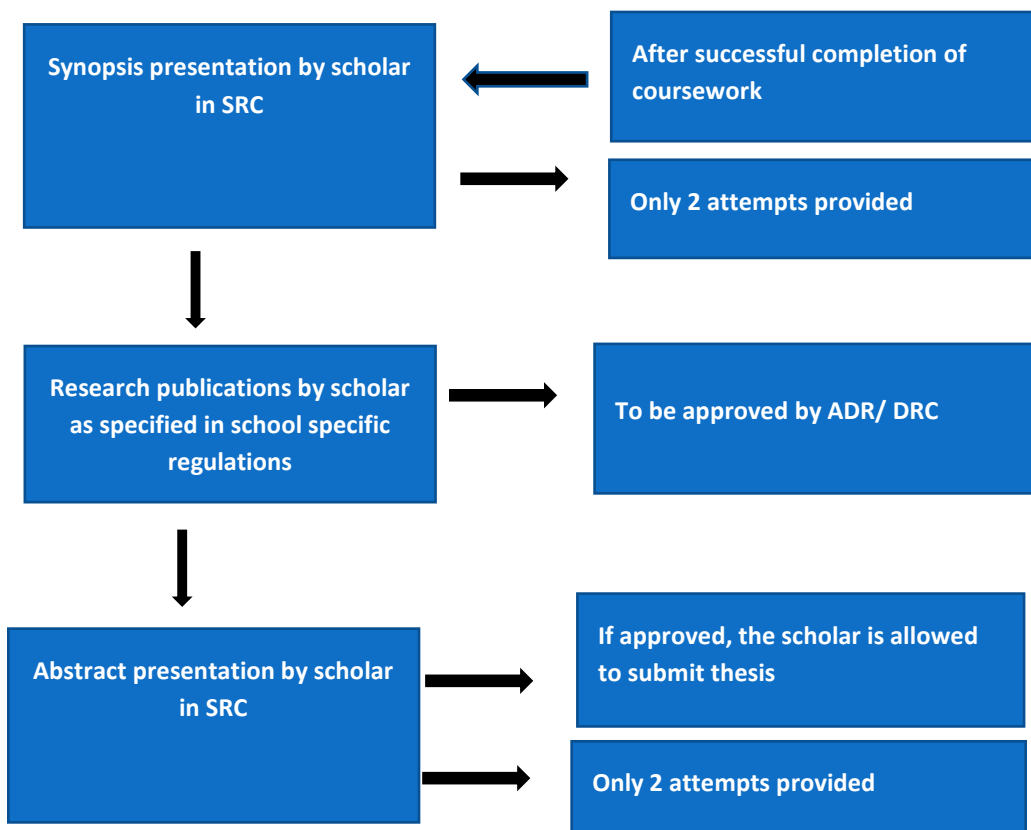
For cases with conditional approval, student needs to resubmit with revision and required format for necessary approvals with supervisor. ADR's to ensure the output of same.

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7.4 Process Flow Chart



7.5 Documents

- ✓ Copy of synopsis/ Abstract
- ✓ Progress report
- ✓ SRC software consolidated comments
- ✓ Revision in synopsis/ abstract perform
- ✓ List of eligible PhD students for synopsis/ abstract presentation

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8.0 RESEARCH PAPER PUBLICATIONS

8.1 Purpose

To have quality research paper publication by PhD students. The effort of stringency in research publications is to bring contemporary and cutting edge knowledge from the industry into the academia.

8.2 Tasks

- ✓ Research paper publication after synopsis approval
- ✓ Ascertaining quality of the research paper

8.3 Processes

Regulations for the PhD program mandate that all students will submit 2(Two) published research papers. Papers published in known impact factor-referred international/ national journals as recommended by school. These research papers must be based on the PhD work only.

The research paper published should have the name of the supervisor/ co supervisor and the same should be discussed with the supervisor.

The research paper published without the consent and name of supervisor will not be considered.

The research papers should be in line with the approved synopsis.

It will be the responsibility of the PhD student to the research papers. The plagiarism should be checked through one of the globally acceptable plagiarism checking software to ensure that the plagiarism levels do not exceed 10% overall whilst it must not be more than 1% per source. (Certificate of plagiarism to be signed by the supervisor and submitted with Dean R&D).

ADR's/ DRC to review and ascertain the quality of research paper.

ADR's/ DRC/ supervisor to encourage PhD students for participation in conferences, seminars and other colloquium of relevance and for paper presentations, besides the mandated norm, ensuring quality research publications from PhD scholars, ascertain the quality and acceptability of published papers.

The details on paper publications is sent to ADR for accepting towards abstract presentation.

Once approved, the research papers are sent to SRE for records.

8.4 Process Flow Chart

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Not applicable

8.5 Documents

- ✓ Research paper guidelines

9.0 THESIS SUBMISSION & EVALUATION

9.1 Purpose

To receive the thesis of best quality imbued with meaningful and quality research work done by PhD student with the supervisor/s.

9.2 Tasks

- ✓ Submission of final thesis with required documents
- ✓ Approval of examiners for thesis
- ✓ Thesis evaluation
- ✓ Conduct of ODC
- ✓ Award of degree

9.3 Processes

Once the PhD student is ready with the thesis submission he submits the same with required documents (fee receipts, plagiarism certificate (plagiarism percentage should not be more than 10%) and signed by internal guide/s, abstract approval letter, synopsis approval letter, coursework completion certificate, residency completion certificate, published papers, thesis submission form).

Spiral bound copies (4 hard copies) of thesis along with one soft copy in the form of CD is to be submitted with SRE. Prior to ODC he/ she have to submit the hard bound copy (1 copy) .

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*On receipt of thesis with required documents SRE send confirmation email to the student upon verifying plagiarism percentage by themselves and approaches supervisors for recommending names of examiners.

The list of recommended examiners has to be approved by Deans and Dean R & D prior to VC's approval.

Upon all approvals SRE requests the consent from examiners and upon their consent thesis is sent for evaluation.

SRE follows up with examiners for timely receipt of thesis. No delay beyond the timelines are being accepted. Any issues in the same SRE has to approach Dean R & D. No delay beyond 3 months of thesis submission to be accepted.

Upon receiving reports from examiners, ODC is held by SRE. On successful completion of ODC, provisional degree is sent to student by SRE.

The student register for final awardees is prepared by SRE and put up to Academic Council for approvals.

The list is collated by PhD team as per format for the purpose of convocation. The convocation invites/ documents required/ facilitation / degree verification and approvals for PhD convocation is done by PhD team.

** The process of automating Thesis Evaluation Process is in progress.*

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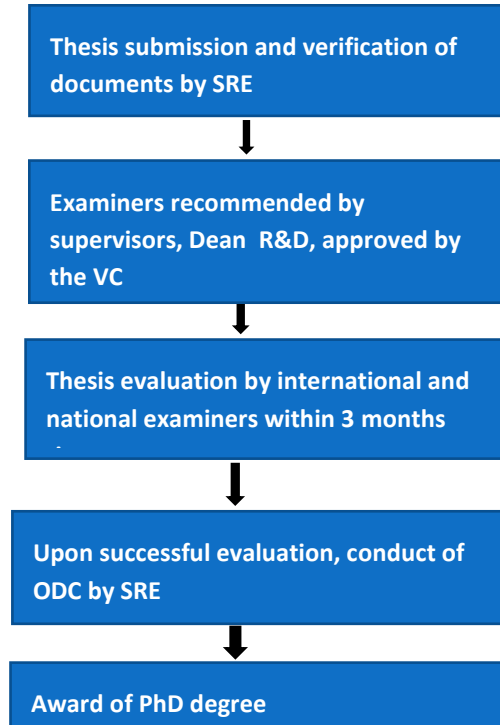
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9.4 Process Flow Chart



Process of PhD Thesis Evaluation –(Total time from Thesis submission to ODC-approx 2 months)

Activity	Role	Responsibility	Timeline
Submission of Thesis	R & D	Verify all documents and send the Thesis to SRE for Plagiarism Check	2 Days of Submission
Plagiarism Check	SRE	To check Plagiarism Check- <ul style="list-style-type: none"> • If accepted Plagiarism limit, then acknowledge the Thesis submission • If non accepted Plagiarism limit, then coordinate with supervisor 	2 Days of Receiving from R & D
Thesis Examiners	SRE	Coordinate with DRC for Examiners and get the list of approved by Dean R & D and VC <i>(Two of examiners shall be external experts and the third shall be Supervisor(s) or Co-Supervisor(s) (to be counted as one examiner). At least one of the external experts will be from outside the country)</i>	1 Week

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Thesis Evaluation	SRE	Thesis to be sent for Evaluation within one week of approval of Examiners	3 Days
Thesis Evaluation Report	SRE	To receive Thesis Evaluation detailed Report from Examiners	6 weeks
Non receipt of Thesis Evaluation Report	SRE	In case not received a reminder will be sent to Examiner In case no response received, a new examiner to be appointed and Thesis sent for evaluation	2 weeks 1 week
Examiner's Report	SRE	To forward comments to Supervisor further to be communicated to candidate by Supervisor without disclosing name of Examiners	1 week
ODC	SRE	To be coordinated and approved by URC and VC having the members below : <i>(Dean (Academic Development & Innovation) - Chairperson</i> <i>(ii) Dean R&D</i> <i>(iii) Supervisor(s)/Co- Supervisor(s)</i> <i>(iv) Two faculty members with specialization in the related area to be appointed by the Vice Chancellor</i> <i>(v) External Examiner)</i> Student to be informed at least 15 days before ODC	15 days on receipt of Final Hard bound Thesis
Thesis Rejection	SRE	In case Thesis is rejected, the student will be given 1 year to resubmit and the same process and timeline to be followed for re evaluation	

9.5 Documents

- ✓ Thesis format
- ✓ Thesis submission performa
- ✓ Provisional degree
- ✓ Degree
- ✓ Degree name approval
- ✓ Student register

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10.0 Data Responsibility Centre

Data pertaining to admissions, exam result, synopsis/ abstract presentation, published papers, thesis evaluation, convocation is maintained by SRE under supervision of Dean R & D

Data pertaining to student academic progress to be maintained by R & D. The same is shared with SRE pertaining to residency, progress report, published papers, DRC, SRC, eligible students at various academic progression.

PhD Operations

R & D	SRE
PhD admission intake, announcement, promotion, eligibility for RET, conduct of interviews and offering admission to eligible candidates.	Conduct of RET and communication of result
Student admission, LMS, library , residency, orientation	Files and documents with SRE, SAP creation
Final question paper setters list	Getting question papers made, conduct of exam and announcement of result
Eligible students for synopsis/ abstract finalisation on basis of academic progress	Conduct of synopsis/ abstract presentation and announcement of result
Guiding publication of papers to students	Documents with SRE for final publications
Thesis examiners approval	Submission and evaluation of thesis
Convocation	Convocation

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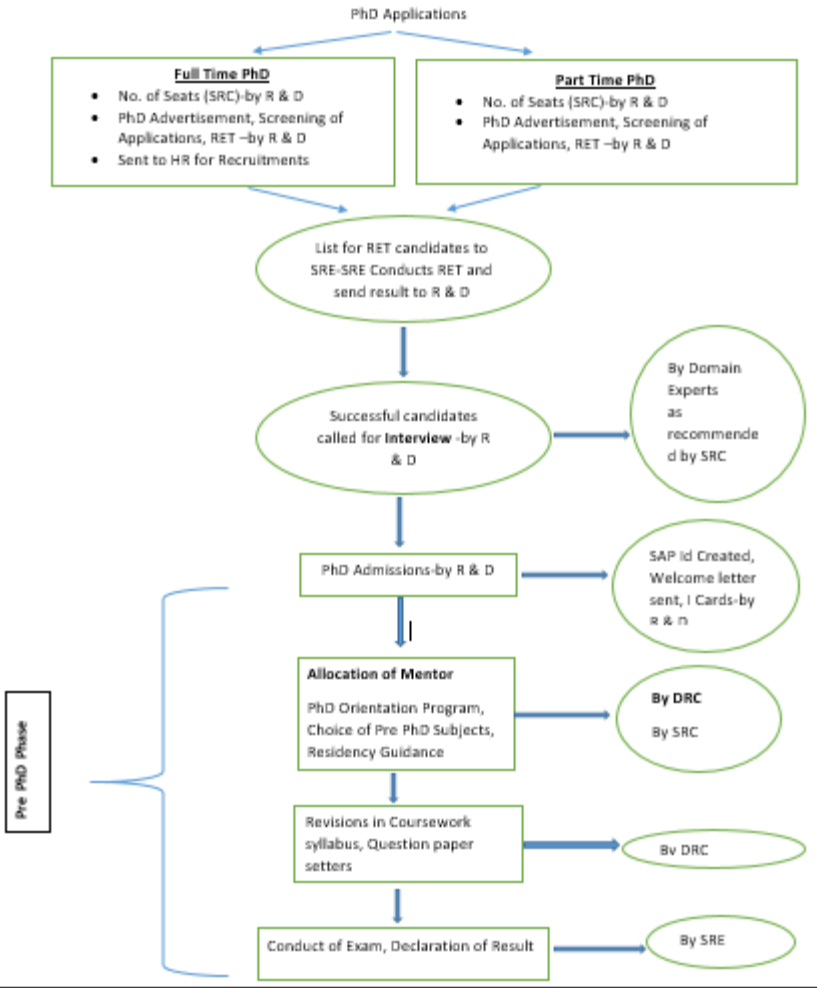
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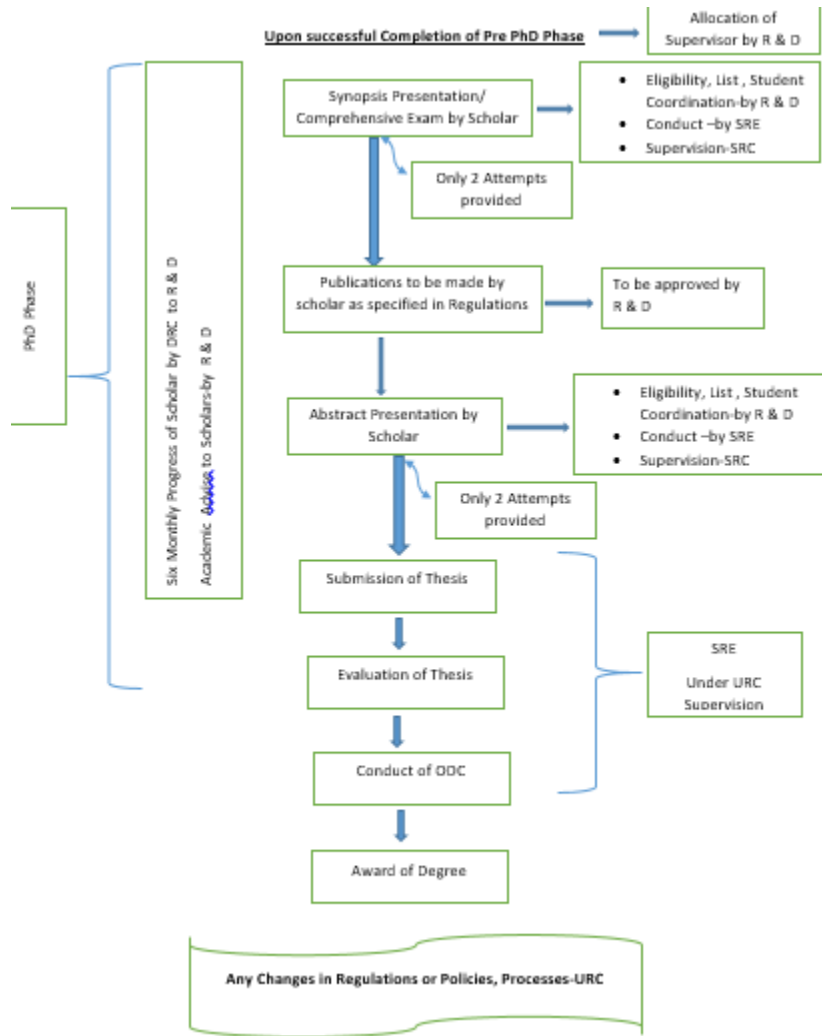
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PhD Process Flow Chart





11.0 PhD Flow Chart

Annexure 1



REQUEST FOR INTERNAL SUPERVISOR ALLOCATION FOR PHD PROGRAM

Name of Student _____ SAP ID _____

E-mail ID: _____ Phone No. _____

Area of specialization: _____

As per my interaction with faculty member, I am Requesting to allocate the supervisor from the following list for my PhD research. (**Three names are compulsory**, any of them may be recommended as supervisor).

Date: _____

(Signature of Student)

S. No.	Research Area	Name of Faculty Member
1		
2		
3		

Consent from the Proposed Supervisor/s

I have the interest in the suggested research field and I give my consent to become the supervisor/ co-supervisor of _____ SAP ID _____

Name of the Supervisor with Faculty ID

Signature with Date

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–

Consent from the Proposed Co-Supervisor (Attached) :

YES/ NO

Consent from the External Supervisor (Attached) :

YES/ NO

–

Dean of School

Recommended/ Not Recommended

Signature with Date

Recommendation by Dean R & D

On the basis of suitability of Research Interests of the PhD student and the faculty members; and the availability of seats with the faculty member (s), I hereby recommend that the above mentioned faculty member may be approved as the supervisor/s.

Dean R & D

Approved/ Not Approved

Vice Chancellor, UPES

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Annexure 2



Progress monitoring process of the PhD students

Purpose:

Progress monitoring of a PhD student is required to ensure that he/she is receiving sufficient training and supervision from his/her supervisor(s), and the university system. It also helps the university to identify the students making slow progress and suggest a corrective action, if required.

Tasks:

Assessment of the progress of the student on yearly basis

Process:

After completing the course work successfully, the monitoring period for the student will start. The scholar has to submit a detailed progress report, in the prescribed format, along with the recommendation of his/her supervisor(s) to DRC.

The DRC will call him for presentation and evaluate the progress during last six months. The academic progress of the PhD student will be assessed yearly based on pre-defined criteria (as mentioned below)*. The student will present his work in front of DRC, which will put appropriate comments stating whether the progress made by the student during last year remained satisfactory / unsatisfactory.

The report will be submitted to Dean of the School for the recommendations. It will be submitted to Dean R&D for the approval and finally to SRE repository.

Year-wise parameters for academic progression:

*The progress monitoring parameters for a PhD student have been summarized in the following table.

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S. No.	Year of progress	Parameters		Remarks about a slow progress
1.	First year	Literature survey completed First research paper/review paper communicated to SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-I journal as an outcome of literature review Methodology planned	Yes/No Yes/No Yes/No	
2.	Second year	Experimental/ Empirical studies going on well Second research paper is communicated in SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-I or as recommended by R&D department Conference paper published/ Accepted	Yes/No Yes/No Yes/No	
3.	Third year	Experimental studies going on well Third research paper is communicated in SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-I or as recommended by R&D department Abstract presentation is over and thesis is being written in parallel	Yes/No Yes/No Yes/No	

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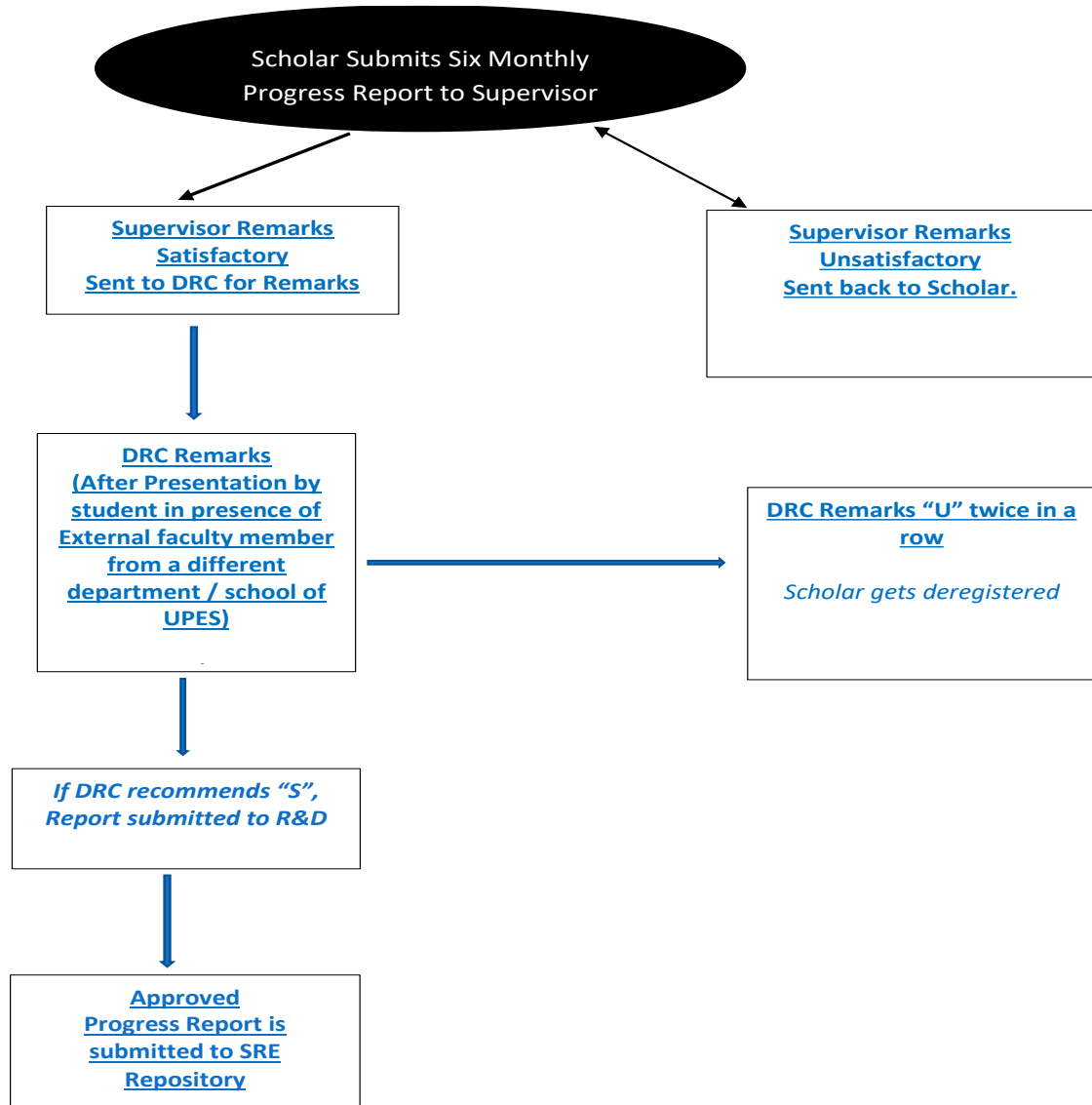
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If the targets are not met within the recommended time-lines, a special DRC will be conducted as per the policy for slow researchers.

Annexure

3



Annexure 4



Identification process of slow progressing PhD scholars

Purpose:

Timely identification of slow progressing PhD scholars is important. It helps the university system to extend all the possible help and support to the PhD scholar and resolve the problems faced by him/her. It also helps the scholars to complete the PhD work within the standard time frame.

Tasks:

Identification of slow researchers

Suggesting the ways to improvements

Process:

The duration of two years will be considered for the monitoring of the progress made by the scholar. The progress monitoring parameters will be as follows:

1. The outcome of the first year work is a literature survey based review paper in a SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-I journal.
2. At the end of the second year, the student should have communicated another research paper to an SCOPUS/ WOS/ SCI/ ABDC/UGC CARE list Group-I journal.

If a full time PhD scholar fails to publish even a single research paper, he will be considered as a slow researcher.

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A special DRC, with one external expert from outside the UPES system, will be organized at the closing of second year to find out the areas where the student needs support. The student will deliver a presentation summarizing the PhD work progress made done till date. The DRC will recommend the following:

1. The reasons for the slow progress of the student.
2. Suggestions to achieve the predefined year-wise targets.

The DRC will submit the report to Dean of the school for the recommendations and then to Dean R&D for the record. The fortnightly progress review and follow-ups of the candidate's progress will be ensured by any of the supervisor(s). If the scholar do not make any progress within one year after this special DRC. A fulltime candidate may be suggested to change the research topic. If the scholar is getting a fellowship from the university, that may also be stopped.

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