



PhD Program

STANDARD OPERATING PROCESS (SOP)

DOCUMENT DETAILS

FUNCTION NAME	PhD
PROCESS NAME	Standard Operating Procedure for PhD Program
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PROCESS OWNER	R&D Department

VERSION HISTORY

VERSION No.	MONTH and YEAR	CHANGE INITIATED
1.0	April 2024	

Process Code
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Page No.
2

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TABLE OF CONTENTS

1.0	INTRODUCTION	5
2.0	PhD PROGRAM ADMISSIONS	6
2.1	Purpose	6
2.2	Tasks	6
2.3	Processes.....	6
2.4	Process Flow Chart.....	7
2.5	Documents	8
3.0	PhD PROGRAM-PRE PHD PHASE.....	8
3.1	Purpose.....	8
3.2	Tasks	8
3.3	Processes.....	8
3.4	Process Flow Chart.....	9
3.5	Documents	10
4.0	SUPERVISOR RECOGNITION PROCESS	
4.1	Purpose.....	10
4.2	Tasks.....	10
4.3	Process	10
4.4	Process Flow Chart	11
4.5	Documents	11
5.0	ALLOCATION OF SUPERVISOR	12
5.1	Purpose.....	12
5.2	Tasks	12
5.3	Processes.....	12
5.4	Process Flow Chart.....	13
5.5	Documents	13
6.0	RESIDENCY STRUCTURE.....	13

Process Code
UPES/PHD/001

Page No.
3

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6.1	Purpose.....	13
6.2	Tasks	13
6.3	Processes.....	14
6.4	Process Flow Chart.....	14
6.5	Documents	14
7.0	DRC (Doctoral Research Committee).....	15
7.1	Purpose.....	15
7.2	Tasks	15
7.3	Processes.....	15
7.4	Process Flow Chart.....	16
7.5	Documents	16
8.0	SRC- SYNOPSIS / ABSTRACT PRESENTATION	17
8.1	Purpose.....	17
8.2	Tasks	17
8.3	Processes.....	17
8.4	Process Flow Chart.....	18
8.5	Documents	18
9.0	RESEARCH PAPER PUBLICATIONS	19
9.1	Purpose.....	19
9.2	Tasks	19
9.3	Processes.....	19
9.4	Process Flow Chart.....	20
9.5	Documents	20
10.0	THESIS SUBMISSION & EVALUATION	20
10.1	Purpose.....	20
10.2	Tasks	20
10.3	Processes.....	20
10.4	Process Flow Chart.....	21
10.5	Documents	23
11.0	DATA RESPONSIBILITY CENTRE	23
	Annexures	24

Process Code
UPES/PHD/001

Page No.
4

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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 (Geosciences), 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, **School of Liberal Studies** : PhD (Economics), PhD(Political Science), PhD (Literature), PhD (Psychology), PhD (Applied Mathematics), PhD (Applied Statistics), PhD (Communications).

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 Supervisor lines 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, Associate Dean R&D (PhD processes), Assistant Manager PhD, Residency Coordinator.

Process Code
UPES/PHD/001

Page No.
5

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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 RC's/ CH on the basis of number of supervisors available in respective schools and infrastructure facilities. These are approved by VC. Also, these numbers are presented in academic council for approval.

PhD program admission advertisement is released in a leading newspaper and regional newspaper each semester by the marketing team of UPES in coordination with R&D team.

Applications are received by PhD Admission team. The eligibility of candidates is checked, and they are listed to appear for the Research Entrance Test (RET) by PhD team. Question papers for RET written exam are created by schools and uploaded on software in coordination with SRE department. SRE department prepares the result of written exam and hands over to R&D department for conduction of interviews in coordination with the school interview panels. The PhD interview panels are suggested by Deans of schools and approved by the Vice Chancellor, Interviews are taken for RET qualified applicants on parameters laid down by Dean R&D. The composite result of written exams and interview is prepared by PhD admission team in coordination with schools research coordinators and shared with Dean R&D.

Process Code
UPES/PHD/001

Page No.
6

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Based on score of RET (70%) and Interview (30%), merit list is prepared and admission is offered according to merit list. The final result is prepared by PhD admission cell in coordination with school research coordinators and submitted to R&D office. After the approval of Vice Chancellor the offer letter are sent to the selected candidates.

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 admission and registration is done at student record department, the SAP ID creation, I card, welcome letter is created and Student Record Department will share 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 on recommendation of the schools. The de-registration is done after the approval of Vice Chancellor.

2.4 Process Flow Chart

Full Time & Part Time-Number of seats recommended by Dean R&D in consultation with school, finally approved by VC and AC.

PhD advertisements released by marketing team in national and regional newspapers.

PhD Applications are recieved by admission cell and their eligibility is confirmed by R&D department.

A list of eligible candidates for RET is prepared by the PhD team.

Schools prepare question papers for RET in coordination with SRE.

SRE conducts RET and sends result to R&D.

PhD Interview Panels of respective schools conduct interviews of RET qualified candidates.

Based on the composite score of RET (70%) and Interview (30%), a merit list is prepared.

Final result is prepared by PhD admission cell according to merit list.

After the approval of Vice Chancellor, the offer letter are sent to the selected candidates.

Process Code
UPES/PHD/001

Page No.
7

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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 SAP 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

After the selected PhD students register themselves at SRE department, the orientation program is conducted for them. 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 the respective schools in coordination with APO (Academic Planning and Operations) team.

Process Code
UPES/PHD/001

Page No.
8

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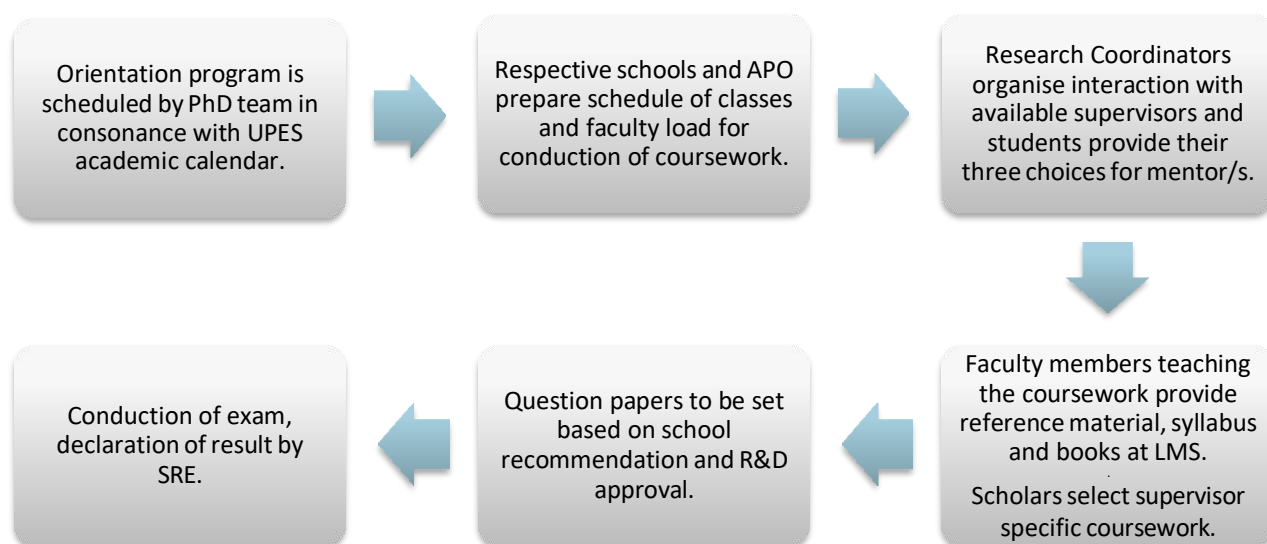
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Interaction of PhD students with the available supervisors is organised by research coordinators of respective schools in consultation with Dean R&D. Overall orientation program is monitored by PhD team. The PhD student interacts with the available recognized supervisors and provides his/her three choices for mentor/s in the prescribed performa to the RC of respective schools. The details of supervisor allocation process are mentioned in section (5).

The scholar selects supervisor specific coursework subject aligned with the PhD work in consultation with the supervisor. Research Coordinator facilitates this supervisor selection process for student. The reference material, syllabus and books, are made available at PhD LMS by the faculty member teaching the coursework. The suggested list of question paper setters to be reviewed and final list of QP setters to be sent by R&D team in coordination with the research coordinators of the schools. Examination notification, examination form filling is coordinated by PhD team in coordination with SRE department. Conduction of examinations and announcement of results is done by SRE. Further academic guidance after coursework completion provided to PhD students by PhD team.

3.4 Process Flow Chart



Process Code
UPES/PHD/001

Page No.
9

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3.5 Documents

- ✓ Residency completion Sheet
- ✓ Question paper setters approval
- ✓ Orientation schedule
- ✓ Supervisor Allocation Performa
- ✓ Result declaration approval
- ✓ Grade card

4.0 SUPERVISOR RECOGNITION PROCESS

4.1 Purpose

To recognize eligible faculty members to become PhD supervisors, available to PhD students, so as to produce good quality research work.

4.2 Tasks

- ✓ Receipt of performa of Supervisor recognition from faculty member
- ✓ Recommendation from respective RC/CH on eligibility
- ✓ The recommended list is reviewed and consolidated by the R&D department
- ✓ Approval of list by the Vice Chancellor
- ✓ Confirmation letter are sent to the approved supervisor

4.3 Processes

The faculty members, who wish to become supervisor to any PhD student of UPES, submit 'Performa of Recognition of Supervisor' to research coordinator of their school. The research coordinator verifies the details and forwards this form to R&D office for further approvals.

The criteria to become eligible Supervisor is (i) The Faculty member should have an earned PhD degree from a recognized university (ii) The Faculty member should have the specific numbers of research publications as recommended by the respective school.

Process Code
UPES/PHD/001

Page No.
10

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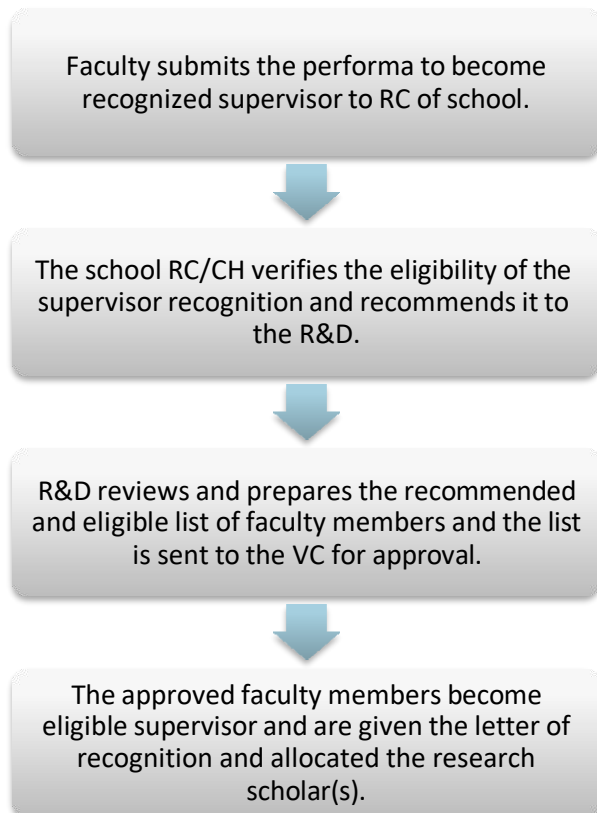
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(iii) If the faculty member was guiding PhD scholars in the previous institution, the proof of the same should be provided to become PhD supervisor at UPES.

The recommended list of eligible supervisors is reviewed by Dean R&D and sent to the Vice Chancellor for approval. Only the recognized supervisors are considered and allocated the PhD students.

4.4 Process Flow Chart



4.5 Documents

- ✓ Performa for Supervisor recognition
- ✓ Performa recommendation by the school
- ✓ Approval Process.
- ✓ Recognized Supervisor letter
- ✓ Allocation of research scholar to recognized Supervisor

Process Code
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Page No.
11

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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 filled up PhD supervisor allocation performa by PhD students (within 30 days of joining/registration)
- ✓ Out of three proposed names, the research coordinator in consultation with school/cluster recommends the best suitable supervisor.

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 broad research fields 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 RC/CH in consultation with Associate Dean R&D & Dean R&D and approved by Vice Chancellor (**Annexure 1**). The Allocation results are communicated to the supervisor and scholar by the R&D team.

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

Process Code
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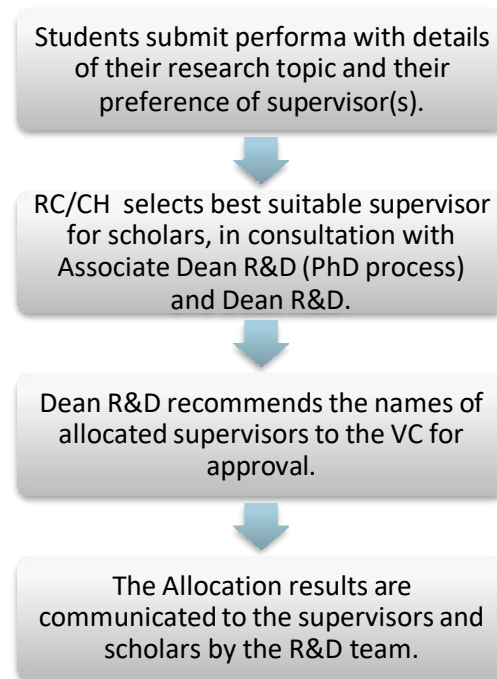
Page No.
12

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5.4 Process Flow Chart



5.5 Documents

- ✓ PhD supervisor allocation performa
- ✓ Supervisor allocation letter/ email

6.0 Teaching Assistantship

6.1 Purpose

To get Teaching load to full-time PhD students by the school & R&D department.

6.2 Tasks

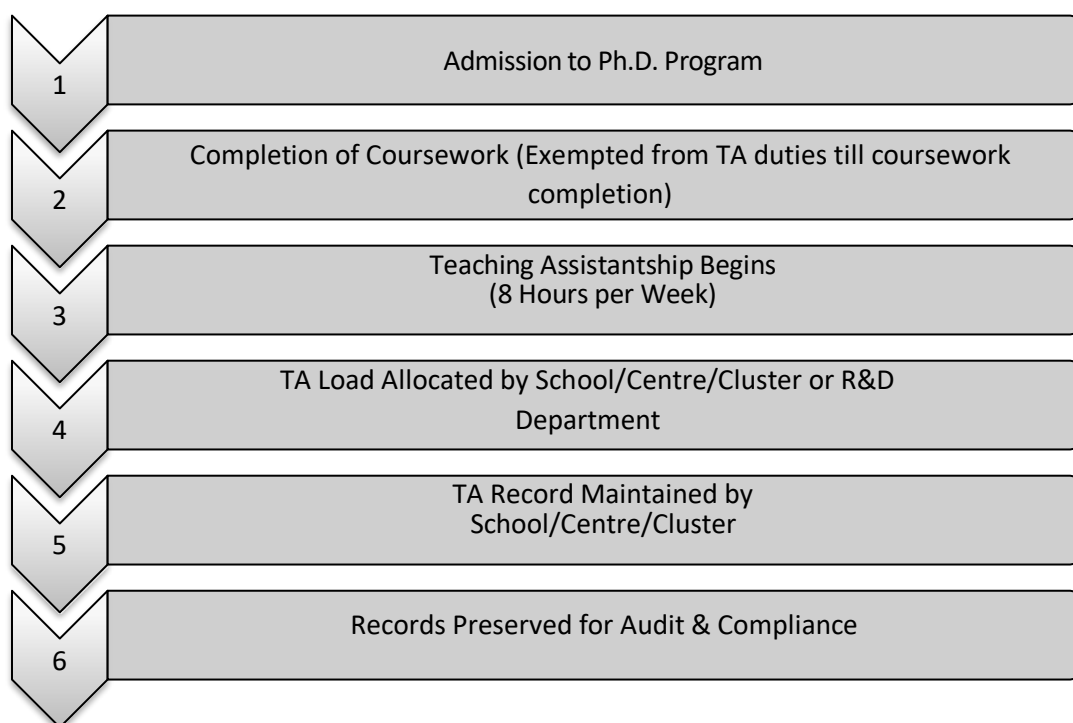
- ✓ Allocate TA duties to eligible scholars.
- ✓ Ensure that the weekly TA workload does not exceed 8-10 hours.
- ✓ Maintain proper records of TA assignments.
- ✓ Produce records whenever required for audit or compliance purposes.

6.3 Process

Upon admission to the Ph.D. program, scholars shall remain exempt from Teaching Assistantship (TA) duties during their first semester while attending the mandatory coursework classes. After the successful completion of coursework, all eligible Ph.D. scholars, irrespective of whether they are receiving a fellowship, not receiving a fellowship, or are funded under a research project, shall undertake Teaching Assistantship responsibilities for 8

hours per week. The TA workload shall be assigned by the respective School/Centre/Cluster or the Research & Development (R&D) Department, depending on academic and institutional requirements. The School/Centre/Cluster where the scholar is registered shall maintain a comprehensive record of all Teaching Assistantship allocations, including the nature of duties assigned and the duration of service, for audit and compliance purposes. Scholars whose abstracts have been approved shall be exempted from Teaching Assistantship responsibilities from the date of such approval.

6.4 Process Flow Chart



7.0 RESIDENCY STRUCTURE

7.1 Purpose

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

7.2 Tasks

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

Process Code
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Page No.
13

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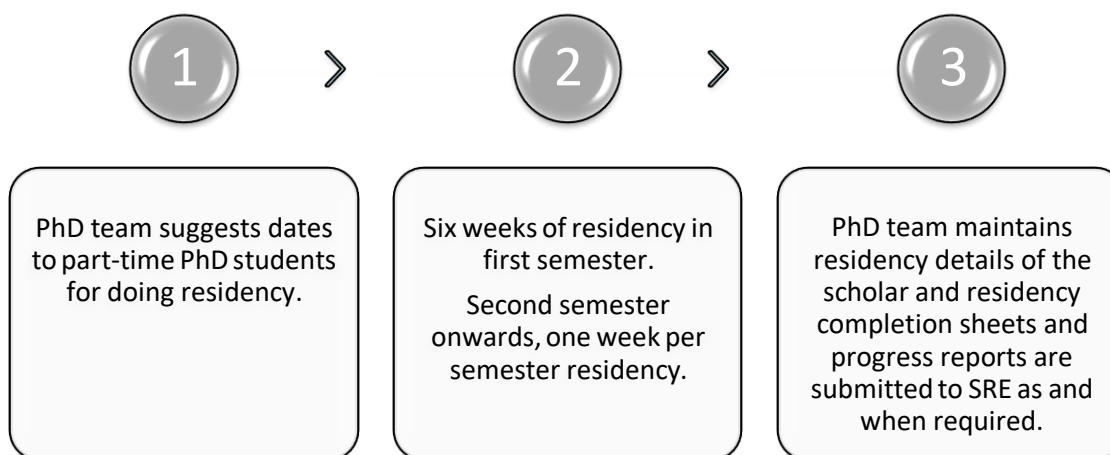
7.3 Processes

The dates are suggested by PhD team to part-time PhD students for doing residency. All scholars must 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 in R&D department maintains the attendance status of PhD student, facilitates the residency, and maintains residency completion sheets / progress report / residency appendix.

RCs to ensure proper research guidance and supervision by mentor/ Supervisor during residency. The residency details will be maintained by PhD team. The residency completion sheets and progress reports submitted to SRE for records.

7.4 Process Flow Chart



7.5 Documents

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

Process Code
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Page No.
14

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8.0 DRC (DOCTORAL RESEARCH COMMITTEE)

8.1 Purpose

Assessment of academic progress of PhD students as in consultation with supervisor (**Annexure 2**).

8.2 Tasks

- ✓ Frequency: twice per year; generally Jun/Jul or Dec/Jan
- ✓ PhD students for DRC presentation
- ✓ Recommendations from supervisor & DRC
- ✓ Conduct of DRC Presentation
- ✓ Declaration of result

8.3 Processes

DRC (Doctoral Research Committee) to be formed by RC/Cluster Head for each student in consultation with Dean R&D and Dean of school. DRC should have one faculty member from any other school/department of UPES, two subject matters experts from the cluster and supervisor(s). The Chairman should be CH/ senior faculty of the department. The DRC presentations shall be coordinated by the supervisor or on his/her request, by School Research Coordinator (RC)/Cluster Head (CH) in consultation with the concerned supervisors. The Schools shall prepare and communicate the presentation schedule and time slots to the DRC members, supervisors, and Ph.D. scholars.

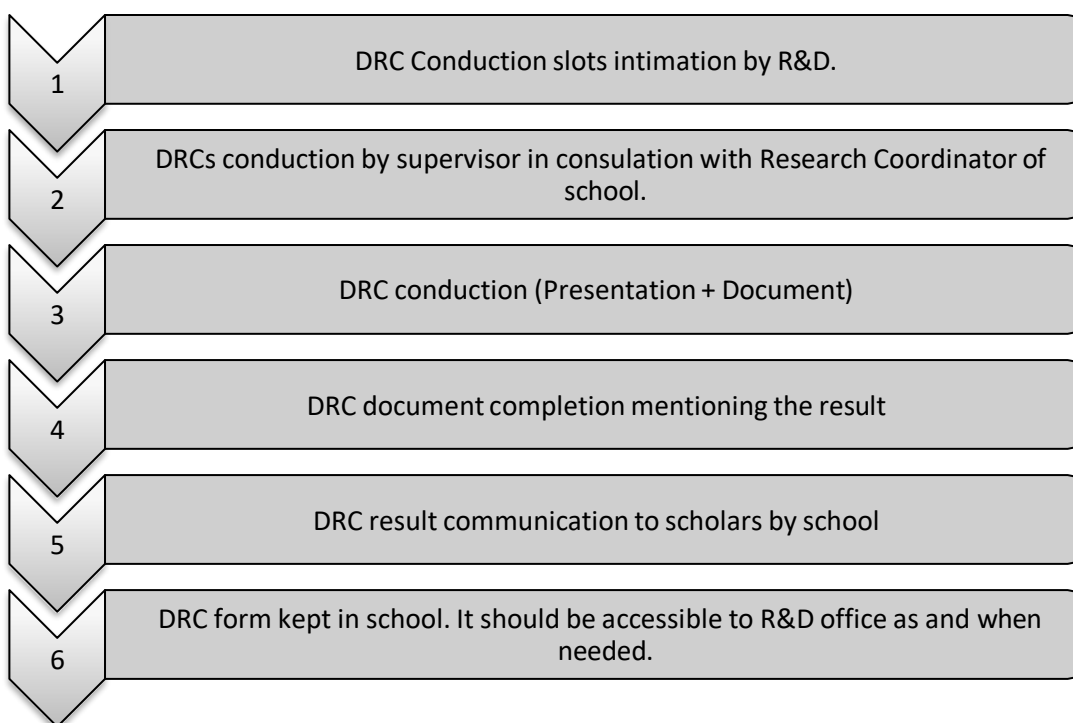
Prior to the DRC presentation, each Ph.D. scholar shall complete the prescribed DRC Progress Report and submit it to the respective supervisor along with all supporting documents. The supervisor shall verify the submitted documents and coordinate with the School RC/CH for scheduling the scholar's DRC presentation. During the DRC meeting, each scholar shall present the progress of their research work before the Departmental Research Committee, comprising the approved DRC members, the supervisor(s), and the School RC/CH. The committee shall evaluate the scholar's progress based on the quality of research work, achievement of milestones

publications (where applicable), and the proposed plan of work for the next review period. Following the presentations, the DRC members shall deliberate and record their observations and recommendations. Based on the evaluation, the committee shall declare the scholar's progress as Satisfactory or Unsatisfactory, along with any specific recommendations or corrective actions, if required.

Based on the academic progress monitoring report of the scholar, The DRC will identify the slow researchers at the closing of second year of registration as per **Annexure 3.**

The School RC/CH shall compile the final DRC results and recommendations in consultation with the DRC members and submit the consolidated report to the Office of Research & Development (R&D) for record and further processing.

8.4 Process Flow Chart



8.5 Documents

✓ Progress report

Process Code
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Page No.
16

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8.0 SRC (SCHOOL RESEARCH COMMITTEE) FOR SYNOPSIS/ ABSTRACT PRESENTATION

8.1 Purpose

To have quality research synopsis or abstract from PhD students as in consultation with supervisor.

8.2 Tasks

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

8.3 Processes

The SRC for synopsis/ abstract presentation will be held four times in a year, preferably in Feb, May, Aug and November. Dates for which are decided by PhD Team in consonance with UPES Academic Calendar. 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. The list is simultaneously shared with SRE for conduction of School Research Committee. SRE prepares the synopsis/ abstract schedule in consultation with RCs of respective schools. The time slots are communicated to schools, students, supervisors and evaluators by SRE department. SRE conducts the synopsis/ abstract presentation. Each student making presentation will have his DRC members and schools SRC present (in quorum). The comments by SRC evaluators are put by them in the SRC software. The final results are fetched from the SRC software and sent to respective RCs of respective school. The final comments and results are prepared by SRE department in consultation with school research coordinator and finally approved by Dean R&D.

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

Process Code
UPES/PHD/001

Page No.
17

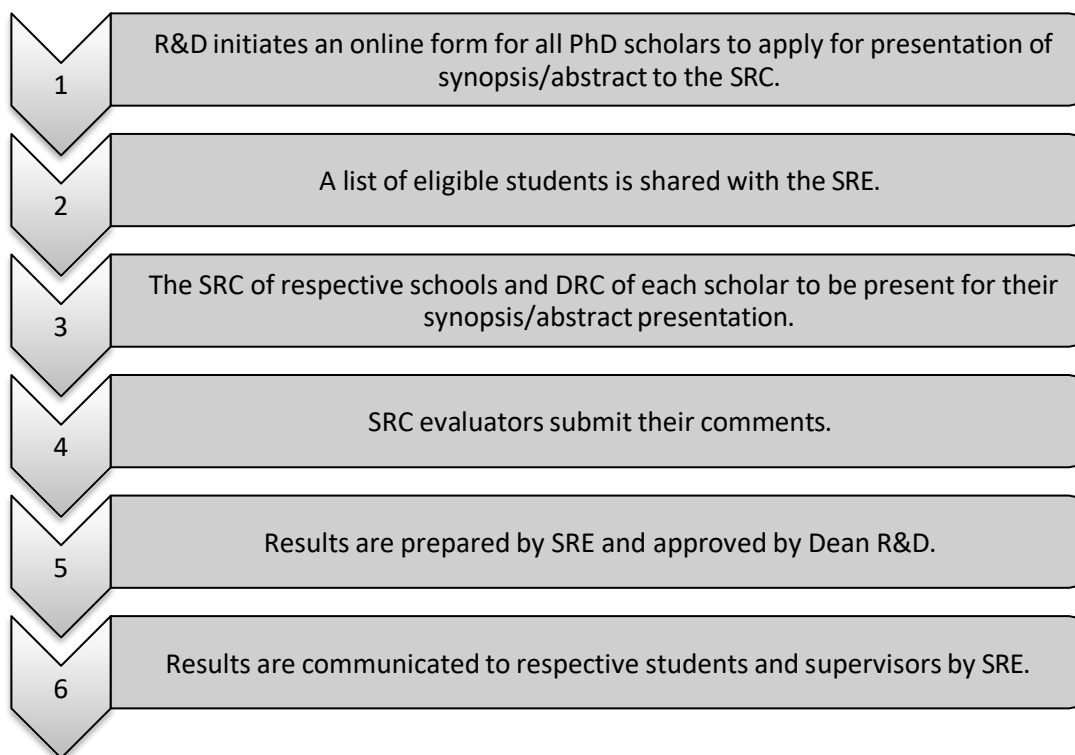
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For cases with conditional approval, student needs to submit the revised document with the supervisors recommendation. Research Coordinator ensures that the suggested modification have been addressed.

8.4 Process Flow Chart



8.5 Documents

- ✓ Copy of synopsis/ Abstract
- ✓ Progress report
- ✓ Fee Invoices
- ✓ Latest DRC Form (DRC must recommend the suitability of scholar for abstract presentation)
- ✓ SRC consolidated comments shared by the evaluators
- ✓ Revision in synopsis/ abstract perform
- ✓ List of eligible PhD students for synopsis/ abstract presentation

Process Code
UPES/PHD/001

Page No.
18

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9.0 RESEARCH PAPER PUBLICATIONS

9.1 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.

9.2 Tasks

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

9.3 Processes

Regulations for the PhD program mandate that each student will publish 2 (Two) research papers. Papers published in SCOPUS indexed journals, known impact factor-referred international/ national journals or 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. The PhD scholar must be the first named author in all the research papers.

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. 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).

DRC to review and ascertain the quality of research paper.

RCs/ 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.

Process Code
UPES/PHD/001

Page No.
19

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The details of paper publications are sent to RCs of school for verification before abstract presentation. Once approved, the research papers are sent to SRE for records and candidate is allowed to present the abstract.

9.4 Process Flow Chart

Not applicable

9.5 Documents

- ✓ Research paper Supervisor lines

10.0 THESIS SUBMISSION & EVALUATION

10.1 Purpose

To get the PhD thesis evaluated by the best available evaluators from outside UPES who may provide best quality evaluation with meaningful and quality comments/suggestions about the PhD work.

10.2 Tasks

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

10.3 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 Supervisor/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 is to be

Process Code
UPES/PHD/001

Page No.
20

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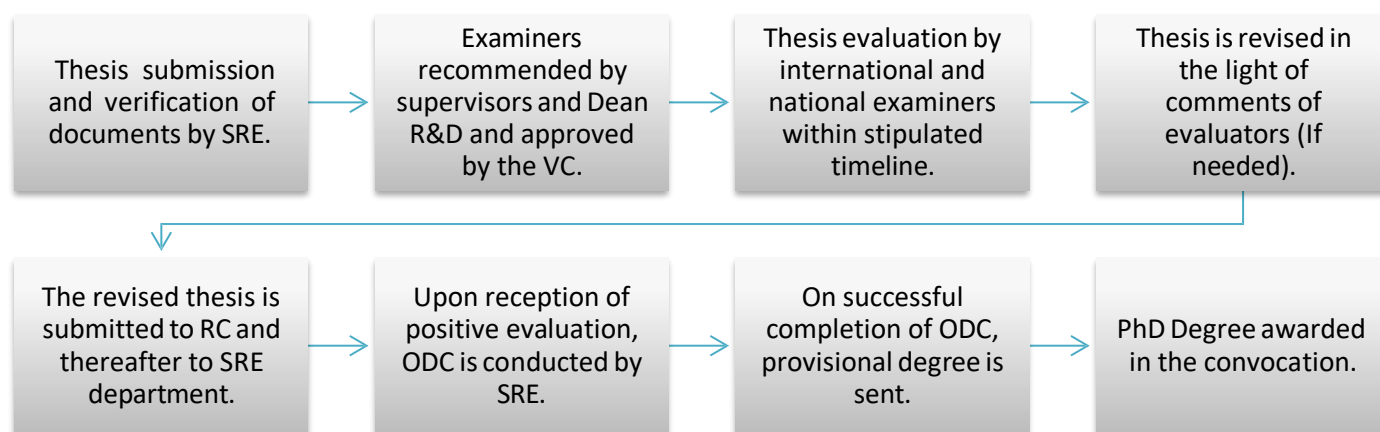
submitted to SRE department. Prior to ODC he/ she have to submit the hard bound copy (1 copy). On receipt of thesis with required documents, SRE send confirmation email to the student upon verifying plagiarism percentage by themselves and approaches supervisors for recommending names of examiners. The list of evaluators is proposed by the supervisor/DRC to the SRE department. The quality criteria of proposed supervisor, institutions have been mentioned in PhD ordinance of UPES. SRE department sends it to Dean R&D/VC for final selection of external evaluators. 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 is accepted. Upon receiving positive evaluation reports from the examiners, thesis is revised (if required). The Scholar and the supervisor get the changed thesis document verified by the research coordinator of the school and finally submitted to SRE department for conduction of ODC. On successful completion of ODC, provisional degree is sent to student by SRE.

The register of the scholars who successfully completed the PhD program is prepared by SRE and put up to Academic Council for approvals. The list is collated by SRE 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 SRE team.

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

10.4 Process Flow Chart



Process of PhD Thesis Evaluation – (Total time from Thesis submission to ODC-approx. 6 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- • 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
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
Revision of Thesis	SRE	After receiving the revisions from the evaluators, the Supervisor will submit the revised thesis to the SRE. The SRE will then forward the thesis to the Research Coordinator (RC) for approval.	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(s)</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	

Process Code
UPES/PHD/001

Page No.
22

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* These are general timelines. Delay may occur based on the response time of the external evaluators.

10.5 Documents

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

11.0 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 semester wise progress (DRC) to be maintained by schools. The same is shared with SRE pertaining to residency, progress report, published papers, DRC, SRC, eligible students at various academic progression. R&D department keeps the record of PhD ordinance, SoPs, Day to Day implementation of rules, quality check on research work, academic progress and implementation of UGC and UPES PhD regulations for the entire PhD journey of the scholars.

Process Code
UPES/PHD/001

Page No.
23

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Annexure 1**Request for Internal Supervisor Allocation for Doctoral Program**Full-Time ☐Part-Time ☐

Name of Student: _____

SAP ID: _____

Enrollment Batch: _____

Phone No. _____

Area of specialization: _____

As per my interaction with faculty member, I am Requesting to allocate the supervisor from the following list. I understand that anyone of them can be allocated as my supervisor.

Date: _____

(Signature of Student) _____

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

Research Coordinator of school**Signature with Date****Recommendation by Associate Dean R&D and 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.

Associate Dean R&D**Dr Ashwini Kumar Nangia, Dean R&D****Approved/ Not Approved****Dr Ram Sharma Vice Chancellor,
UPES****Process Code
UPES/PHD/001****Page No.
24**

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Annexure 2



Progress monitoring process of the PhD students (DRC)

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 corrective action, if required.

Tasks: Assessment of the progress of the student on every six-month 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 every six months 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 DRC 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.

Process Code
UPES/PHD/001

Page No.
25

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Semester-wise parameters for academic progression:

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

Semester	Research Activity	Satisfactory/Unsatisfactory	Remarks about a slow progress
First / second semester	Literature Survey	Yes/No	
First /second semester	Methodology Planning	Yes/No	
Till the closing of second semester	Communication of review paper	Yes/No	
First, second, third, and fourth semester	Experimental/ Empirical work continues	Yes/No	
Till the closing of fourth semester	Second research paper communicated	Yes/No	
Till the closing of sixth semester	Experimental work completed	Yes/No	
Till the closing of sixth semester	Abstract	Yes/No	

*Mostly applicable to full-time Ph.D. students

Annexure 3



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.

Process Code
UPES/PHD/001

Page No.
27

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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.

Process Code
UPES/PHD/001

Page No.
28

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