

# **SRI SRI UNIVERSITY**

## **REGULATION FOR PhD DEGREE WITH EFFECT FROM 2016**

The Doctoral of Philosophy (PhD) offered by Sri Sri University aims to impart research training to scholars and prepare them for a career in independent investigation and original research so as to enable them to make significant contribution to knowledge in their respective fields.

### **1. DEFINITION AND NOMENCLATURE**

In the Regulation unless the context otherwise require

- University means Sri Sri University
- “Programme” means Doctoral Programme leading to the award of PhD Degree
- Board of Research (BOR) means the Board constituted by the Vice Chancellor from among the Senior Faculty members either within or outside Sri Sri University. The Vice Chancellor shall be the chairperson of BOR. BOR shall consist of three members including the Chairperson.
- DRC means Departmental Research Committee of the respective departments of Sri Sri University constituted by the Vice Chancellor. The Head of the Department/ Dean shall be the chairperson of DRC. DRC shall consist of three members including the Chairperson.
- “Scholar” means the candidate admitted to the university either fulltime or part time category for pursuing research for the award of PhD degree of the University.
- “Course” means a theory subject/practical subject prescribed by the Departmental Research committee with the approval of the Vice Chancellor for the scholar to undergo as a part of the PhD programme.

### **2. CATEGORIES OF PhD CANDIDATES**

There shall be three categories of PhD Candidates

- i. **Full Time Candidates:** All candidates who pursue full time research in this University shall belong to this category.
- ii. **Part Time (Internal) Candidates:** All candidates employed in Sri Sri University who pursue part time research in this University shall belong to this category.
- iii. **Part Time (External) Candidates:** All candidates working in Industrial units, colleges, Government departments, Research organizations or other Institutions, who pursue PhD Programmes in this University while continuing to serve in their respective organizations shall belong to this category. They shall pursue research in their place of employment and/or

in this university. However they need to complete one semester course work in this university.

### **3. RESEARCH OUTSIDE THE UNIVERSITY**

During the course of the PhD Programme, for reasons recommended by the Departmental Research Committee, a candidate may be permitted by the University to spend up to one year in an Institution or on a project approved for the purpose, outside the University for carrying out research in the areas related to the subject of investigation. However on account of this, the University will not have any financial liability.

### **4. ELIGIBILITY**

- 4.1. The minimum academic qualification required for admission is that the candidate possessing a Master's degree with at least 55% marks in the concerned subject or the allied subjects from the recognized institute shall be eligible to apply for PhD Programme. The allied subjects for admission to PhD in a particular Department shall be decided by the DRC of the respective departments.
- 4.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 4.3. Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.

## **5. DURATION OF THE PROGRAMME:**

PhD programme shall be for a minimum duration of three years, including course-work and a maximum of six years.

Extension beyond the above limits will be decided by the DRC of the respective departments.

The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for PhD 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 / PhD for up to 240 days.

## **6. PROCEEDURE FOR ADMISSION**

6.1 The admission procedure shall be carried out after advertisement and all the departments shall follow the academic calendar displayed on the website of the university.

6.2 The number of vacant seats for the PhD Admission in various sub-disciplines of a department shall be decided in advance and notified on the university website and through an advertisement in the News Paper (One National & One Regional). The Head of the department shall consult the faculty members regarding the number of vacant seats available with each in that academic year. Each prospective supervisor may decide on the number of seats that he/she may like to fill in a particular year within his maximum permissible strength and inform the Head of the department accordingly.

6.3 The number of students to be admitted to the PhD programme shall not exceed the predetermined maximum number for the department.

6.4 No Candidate shall be eligible to register for the PhD programme if he/she is already registered for any full time programme of study in any other University/Institution.

6.5 Foreign nationals may be registered in a Department in a year over and above the maximum admissible strength provided they fulfill the eligibility criteria. However, at any given time, the total number of foreign students should not exceed 10% of the total admissible strength. Foreign nationals must provide evidence of language competence suited to the department they wish to join

6.6 Candidates for PhD programme should apply to the University in the prescribed proforma for application. After scrutiny, the candidates shall be called for written test and personal interview arranged by the respective DRC subject to the availability of seats.

*The selection will be based as per the following process -*

- Entrance Test for PhD programmes, shall be decided on an annual basis.
- shall admit candidates by a two stage process through:

- An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific.
- An interview/*viva-voce* to be organized wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Department Research Committee.

The interview/*viva voce* shall also consider the following aspects, viz. whether: the candidate possesses the competence for the proposed research; the research work can be suitably undertaken at the Institution/College; the proposed area of research can contribute to new/additional knowledge.

- 6.7 Candidates who have cleared a national level examination like CSIR/UGC-NET-JRF, DBT-JRF,ICMR-JRF,DST-INSPIRE or equivalent valid fellowship may appear for interview without appearing in the departmental entrance test. For such candidates the interview will be meant to identify their area of research and verification of documents.
- 6.8 Candidates who have obtained M.Phil. Degree may appear for interview directly with the same interview formalities as stated in 5.7.
- 6.9 Scientists/Professional working at defence and space institution/organization/R&D institutes of the Government of India/ State Government and with whom the University has signed a Memorandum of understanding may directly appear for interview with same formalities as stated in 6.7.
- 6.10 At the time of interview, if required, experts from allied/specialized areas may be invited. The candidates shall present and discuss their research interest/area at the time of interview.
- 6.11 The merit list of the recommended candidates shall be displayed on the website after approval by the Vice Chancellor on recommendation of DRC. There will be a waiting list in the order of merit. The DRC reserves the right not to select students for all the vacancies advertised. The department/DRC shall ensure that all university rules are followed in the admission process. The registration of students in the PhD programme shall be confirmed by the BOR based on the recommendation of the DRC. No student registered for the PhD programme shall be permitted to undertake any full-time course during the pendency of the programme.

## **7. RESIDENTIAL REQUIREMENT**

- 7.1 Normally all candidates admitted to the PhD programme will be required to stay in the institute till they complete course work and submit their thesis. However the DRC may recommend reducing the minimum residential requirement to six months after course work and till the

submission of thesis. The clause is also relaxable for permanent faculty members/ employees of Sri Sri University provided their work in the University is related to their proposed research during PhD as recommended by the respective DRC.

7.2 In order to advance research in strategic areas of national concern, scientists/professionals working at defense and space institution/organizations of the Government of India/ State Government and with whom the University has assigned a Memorandum of Understanding shall be allowed to pursue PhD while working in their respective organizations provided that the DRC recommends that their work in the parent organization is relevant to research in the concerned field.

## **8. ATTENDENCE**

A candidate is required to attend all the classes of course work for appearing in examination. A candidate with less than 75% attendance will not be allowed to appear the course work examination. However 10% may be condoned by the DRC with the approval of the Vice Chancellor on medical ground.

## **9. CONDUCT & DISCIPLINE**

9.1 Students shall conduct themselves within and outside the campus of the University in a manner befitting the students of University.

9.2 PhD students shall be guided as per the rules of conduct and discipline of the University.

## **10. COURSE WORK**

10.1 Each student shall undertake course work for a minimum of one semester consisting of two papers including Research Methodology. The course Research Methodology will be compulsory for all the candidates .The other course will be subject related advance course to be offered by the respective departments to prepare the students for PhD degree. The coursework shall be approved by the BOR on recommendation of DRC. Every department shall notify the list, content, instructional and assessment methods of courses, for PhD programme in the university website. The nomenclature/content of these courses may be specifically designed for the doctoral programme and shall not be the same as the Masters/M.Phil courses.

- The credit assigned to the PhD course work shall be of 12 credits.
- The course work shall be treated as prerequisite for PhD preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which

could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for PhD degree.

- All courses prescribed for PhD course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the DRC and the final grades shall be communicated.
- A PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

10.2 The coursework shall be transferable between the departments of the university and inter-university subject to the approval of BOR on the recommendation of DRC.

10.3 The DRC shall satisfy itself that each student has completed the requirement of course work. The University shall provide a certificate of completion of course work to each student. If the result is unsatisfactory, the student may be allowed to reappear only once, within a year. If the result is still found unsatisfactory, the DRC may recommend cancellation of his/her registration and this may be reported to the Board of Research.

10.4 After admission to PhD, the student in consultation with the Guide/ Supervisor may propose a title for PhD thesis and synopsis which has to be approved by the DRC through pre-registration seminar.

## **11. ALLOTMENT OF SUPERVISOR/ CO- SUPERVISOR AND ELIGIBILITY CRITERIA**

11.1 The Doctoral Research Committee will scrutinize the applications of the enrolled students and accordingly allot the eligible supervisor(s) on merit. The allocation of seats with the supervisors will be as per number of seats available with them in view of the available infrastructure, specialization among the eligible supervisors, and the research interest of the student as indicated during interview.

11.2 The following persons shall be eligible to work as guides for the PhD degree

- (a) Full time Professors and Associate Professors who have completed their probation in the University department with PhD degree shall be deemed as recognized teachers for guiding students for the PhD degree in their respective subjects.

- (b) Full time Assistant Professors who have completed their probation in the University departments with two years teaching experience and/or postdoctoral research and have published at least two post PhD research papers in the referred journals which are not exclusively based on/ part of PhD research work , shall be eligible to be recognized as research supervisors.
- 11.3. Those who have already been recognized as Research Supervisor by Sri Sri University are ipso facto recognized Research Supervisor under these regulations.
- 11.4. A supervisor shall continue to supervise the research work even after their relinquishing university service for taking up employment elsewhere, if the research work is in final stage of submission subject to a maximum period of six month.
- 11.5. A research supervisor shall not have more than eight PhD scholars as supervisor/co-supervisor at any given point of time.
- A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) PhD scholars. An Associate Professor as Research Supervisor can guide up to a maximum six (6) PhD scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) PhD scholars.
- 11.6. The Doctoral Research Committee shall have the power to consider the request of a candidate to change his/her Supervisor or to have co-supervisor with a “no objection” from the existing supervisor .While allowing the Co-supervisor proper justification has to be given by the DRC which will be placed before the Vice Chancellor for approval.
- 11.7. When there are two or more supervisors, one of them will be called as Principal Supervisor who will be a faculty member of the Sri Sri University. The Co- supervisor may be from the Sri Sri University or outside the University.

## **12. REGISTRATION**

- 12.1. A doctoral student will be formally registered for the degree of PhD on completion of certain steps. The registration can be done only after (a) the candidate has successfully completed all the assigned course works (b) worked out a road map of his doctoral programme and (c) deliver an open seminar talk.
- 12.2. After satisfactory clearance of the assigned course work, the student has to present his report of progress and plan of work to DRC in the form of a written document (Approximately 5 pages). Within a week of submission of the report, the Department shall arrange a seminar to be delivered by the student in the presence of the DRC members. It shall be an open seminar in the department, with invitation extended to students and faculty of all departments of the University.

- 12.3. The written document and the seminar should outline the planned research work and identify the milestones.
- 12.4. Normally the registration should be complete after six months or 12 months from date of enrolment / admission, but not later than 15 months. If the seminar performance is unsatisfactory, he/she may be re-evaluated after a lapse of 3 months or more. If he/she cannot clear the course work and seminar within 2 years from the date of admission, he / she will be required to leave the PhD Programme. In special cases with mitigating circumstances, the Vice Chancellor can grant extra time on the recommendation of the HOD/Dean.
- 12.5. The DRC will recommend for the registration depending on the performance of the student in course work, examination & pre-registration seminar. If the presentation is found unsatisfactory, the same can be given after 03 months, in which case the date of registration would also shift by the same period.

### **13. SUBMISSION OF THESIS & EVALUATION PROCESS**

- 13.1. Progress reports of the registered students must be submitted to the DRC in every six months.
- 13.2. Prior to submission of the thesis, the student shall appear for a pre-submission seminar in the department, open to all faculty members and research students. The candidate will be allowed to submit the thesis subject to the recommendation of DRC and the approval of BOR.
- 13.3. Students shall be eligible to submit their thesis after two years but within five years of registration. A six month extension for submission can be granted by the BOR on a written request by the student and recommendation of the supervisor and DRC. Any extension beyond this shall require a written justification for the delay by the student and the supervisor. The justification provided by the student and the supervisor, along with the recommendation of the DRC shall be forwarded to the BOR for considering the extension as a special case. The total span period from initial registration shall be six and half years.
- 13.4. A PhD student shall publish at least two research papers in a referred journal before submission of the thesis and produce evidence for the same in the form of an acceptance letter or a reprint.
- 13.5. The thesis must be a piece of original research work characterized either by the discovery of new facts, or by a fresh interpretation of facts or theories, In either case, it should show the student's capacity for critical examination and judgment. It must be satisfactory as far as its language and presentation is concerned.
- 13.6. The student may incorporate in the thesis the contents of any work published on the subject during the course of his/her PhD and shall indicate the same in the thesis, However, the student



shall not submit as his/her thesis any work for which a degree has been conferred on him/her by this or any other university.

- 13.7. The supervisor of the student shall, eight weeks in advance of the submission of thesis, forward seven copies of abstract of the thesis including table of contents to the head of the department for consideration by the Departmental Research Committee. The head of the department shall convene a meeting of the DRC within one month of submission of the abstract in consultation with supervisor of the thesis. The DRC will recommend the submission of thesis within 3 months from the date of pre- submission seminar. The DRC shall recommend a panel of a minimum of 10 external examiners who shall be in the rank of Professor or equivalent subject specialists in the area of research of the respective scholars. The BOR shall review the recommendations of the DRC and forward them to the examination branch within one month of the submission of the thesis. The Vice Chancellor shall appoint two examiners out of the panel so recommended for evaluation of each thesis. All the experts shall be from outside the state. However the Vice Chancellor may use his discretion in adding the additional members in the panel of the examiners.
- 13.8. The appointment of examiner/s for evaluating a PhD thesis be not repeated within a period of **one year** and this should be ensured by the Chairperson of the Departmental Research Committee.
- 13.9. Each thesis will go through a plagiarism check before submission that will be verified by the university library. The certificate of verification given by the library has to be submitted along with the thesis at the time of thesis submission in the examination branch. The student shall attach a declaration that the thesis is original and the work is free from any kind of plagiarism. He/she shall be solely responsible for any dispute or plagiarism issue arising out of the doctoral work. The supervisor shall certify that the thesis is worthy of submission for the award of PhD degree. The work for the thesis must be certified to have been carried out at that place and not been submitted elsewhere for another degree. The head of the department shall countersign the application for submission of the thesis. In case of resubmission, the same procedure may be followed. The student shall also attach a student approval form in the format provided by the UGC for grant of non-exclusive worldwide license for hosting and distributing their thesis in digital format in “**Shodhganga**” repository or any other server designed for this purpose by UGC
- 13.10. The candidate shall submit in an organized and scholarly fashion highlighting the original contribution made in his/her research work. He /She submit five hard copies of the thesis along with a soft copy in word format on CD to the controller of examination through proper channel. Besides the candidate need to submit 10 copies of synopsis along with the thesis.

- 13.11. The examiners may (i) recommend that the degree be awarded (ii) recommend degree be awarded subject to corrections to be made in consultation with the supervisor before viva voce (iii) ask for resubmission of the thesis or (iv) reject the thesis.
- 13.12. In the event that all the two examiners unanimously recommend the award of degree, the degree will be awarded subject to successful completion of viva-voce.
- 13.13. If the examiner(s) recommends minor corrections, the corrections may be incorporated before the viva-voce examination in consultation with the supervisor. Once the corrections have been made, the supervisor shall certify the same. This may be stated in the reports of the PhD thesis to be submitted to the Vice Chancellor.
- 13.14. If the corrections are major and resubmission has been recommended, the student may resubmit the revised version in consultation with the supervisor.
- 13.15. If one of the two examiners recommend the award of degree and the 2nd examiner recommends rejection, the thesis shall be referred to a 3rd examiner to be selected by the Vice chancellor from the original panel of examiners.
- 13.16. The recommendation of the 3rd examiner shall be final. A thesis, if rejected by the 3rd examiner, shall not be resubmitted or marked to any further examiner and registration of the student shall be closed.
- 13.17. The reports of the examiners will be placed before the BOR (Chaired by the Vice Chancellor) who would recommend to the examination branch for fixation of open viva-voce. The examination branch will communicate to the supervisor if any compliance to be met with for improvement/addition/deletion/suggestions as stated in the examiner's report.
- 13.18. The student shall undergo a viva-voce examination after receiving a satisfactory evaluation report that shall be openly defended. The examination branch will place the reports of the examiners to the expert members conducting PhD Viva.
- 13.19. The exam branch of the University may send all communications to the examiners viz request for consent, sending of PhD thesis for evaluation and receiving report electronically through e-mail also.
- 13.20. Three CD of the PhD thesis must be submitted to the exam branch with a copy of the result notification within thirty days of the notification, one of which has to be forwarded to the library. The examination branch will check whether the CD of the PhD thesis is operational and issue an accession code to each CD. In order to ensure that the soft copy is complete and exact replica of the print version accepted for award of PhD, the department supervisor/HOD must authenticate the CDs submitted by the student.

- 13.21. Following successful completion of the evaluation process and the announcement of the award of the PhD, the university shall submit a soft copy of the PhD thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET (or upload the same in INFLIBNET through ETD lab of the university) accessible to all institutions/universities.
- 13.22. The university shall issue a provisional certificate along with the degree certifying to the effect that the degree has been awarded in accordance with the provisions of UGC regulations.
- 13.23. Any issues concerning procedure or interpretation of the provisions contained in this ordinance shall be referred to the Vice Chancellor whose decision shall be final. All such cases shall be reported to the academic council.

#### **14 FEE STRUCTURE**

- 14.1. Research scholar shall be required to pay, in time, the fees prescribed by the university, failing which his/her name shall stand removed from the rolls if the default is more than 30 days after the due date.
- 14.2. Within a period of 30 days from the date of removal from the rolls, the candidate may be readmitted with approval of the Vice-Chancellor on an application made by the candidate, duly recommended by the research guide and on payment of all arrears of fees, readmission fee and the fine as the university may prescribe from time to time.

#### **15 WITHDRAWAL & CHANGE PROCESS**

- 15.1. If the Thesis is rejected by the Examiner(s) he/she will be allowed for registration in another topic with another supervisor undergoing the same procedure as already described. If the thesis is rejected for the second time he will be debarred for further registration on any topic in the University.
- 15.2. If the supervisor recommends for cancellation of registration of a research scholar the same will be placed before the DRC for a decision. After careful observation DRC may forward its decision to the Chairman BOR (Vice Chancellor) for necessary action. If cancellation is allowed, such cancellation would not disqualify the research scholar to continue with Doctoral Research under a new supervisor.
- 15.3. If a research scholar wishes to change the supervisor/co-supervisor within the period of registration, he has to apply to the Chairman BOR in the prescribed form with the consent of the supervisor / co-supervisor. On recommendation of DRC, BOR may allow such change by replacing the existing supervisor / co-supervisor with proposed supervisor/co-supervisor in the

DRC. The registration number of the research scholar and the date of registration shall remain valid.

15.4.If a research scholar wishes to change the area of research, he/she has to apply for fresh registration. The previous registration will be cancelled. The same practice as described earlier will be followed for fresh registration. However he/she will be exempted from entrance test and course work.

15.5.If a research scholar wishes to change the title of thesis, he/she has to apply to the Chairman BOR in the prescribed form with the recommendation of the supervisor. If BOR approved the same it will be communicated to the Controller of the Examination.

## **16 EXCEPTION**

The Academic Council may, under exceptional circumstances consider any case of research student having a minor deficiency in respect of any of the requirement stated in these regulations and relax the relevant provisions of these regulations based on merit of the cases. The ground on which such relaxation is granted shall invariably be recorded and cannot be cited as precedence.

*N.B. –Furthermore, the UGC Guidelines will be treated as the final one if any deviations found in the present PhD Regulations.*