



# Srinivas University

(Private University established by Karnataka State Govt. Act no. 42 of 2013, Recognized by UGC, New Delhi, Member of Association of Indian Universities, New Delhi)

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## Regulations governing the award of Doctor of Philosophy (Ph.D.) and Master of Philosophy (M.Phil.)

### 1. TITLE AND COMMENCEMENT:

1.1 These Regulations shall be called the Regulations governing the standards and procedures for the award of the degree of Doctor of Philosophy [Ph.D.] and Master of Philosophy (M.Phil.) of the Srinivas University and it complies with the UGC Notification dated 5<sup>th</sup> May 2016.

1.2 These Regulations shall come into force from the date of notification by the University subsequent to the approval by the Academic council of the University.

1.3 The Research and Innovation council has established in the university shall be responsible in the conduction of Ph.D and M.Phil. Programme.

### 2. DEFINITIONS:

University means Srinivas University

The Research and Innovation council means Admission committee constituted by the University to monitor overall research Program

Doctoral Committee means the Research Advisory Committee constituted by the University to review the research progress of a candidate for Ph.D

Course work means the compulsory preparatory study to be undertaken by a candidate as prescribed by Board of Studies;

Interview committee framed by Admission committee to conduct the initial interview and prepare the merit list of the candidates

Guide means the faculty/scientist/research supervisor recognized by the University to guide research work of a candidate who satisfies eligibility

Co-guide means the faculty/scientist/research supervisor recognized by the University who satisfies eligibility

UGC means University Grant Commission, New Delhi

Intake means the number of students sanctioned for admission to a Research Centre/Faculty of the University in a year

Refereed Journal means a reputed professional journal or literary journal or a publication in which the research articles or papers are selected for publication by a panel of expert referees in the field.

### **3. CONSTITUTION AND FUNCTIONS OF THE DOCTORAL COMMITTEE:**

3.1 The Doctoral Committee, constituted by the university, shall consist of:

- (a) The Guide and Co-guide, if any, of the candidate,
- (b) The Chairperson of the Department,
- (c) The Chairperson of the Board of Studies, and
- (d) Two Faculty Members/ Scientists of the Department/Institution suggested by the guide. The faculty members/ Scientists are those who are in the broad area of the research work proposed by the candidate and who have guided at least one Ph.D candidate. The Guide shall be the Chairperson of the Doctoral Committee. Wherever Guide is also the Chairperson of the Department/Chairperson of the Board of Studies, another Senior Faculty Member/ Scientist shall be included in the Committee. In such Departments wherein the number of faculty is less than two, members of the Doctoral Committee shall be chosen from sister Departments.

3.2 The Doctoral Committee shall monitor and assess:

- (a) Pre-registration Comprehensive viva
- (b) Progress reports of a candidate submitted periodically (once in six months)
- (c) Pre-thesis submission colloquium
- (d) Open viva-voce of the candidate with external examiners

### **4. ELIGIBILITY CRITERIA FOR RECOGNITION AS GUIDE:**

4.1 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

4.2 Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co- Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Doctoral Committee.

4.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Admission committee/Doctoral committee concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.

4.4 In case of topics which are of inter-disciplinary nature where the University concerned feels that the expertise in the University has to be supplemented from outside, the Doctoral

Committee may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

4.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

4.6 In case of relocation of an M.Phil/Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

4.7. The University shall follow the Reservation Policy of UGC as applicable from time to time, for the total number of candidates admitted to the Ph.D. programme in an academic year.

4.8 Applicants who have already registered for Ph.D. with other Universities are allowed to migrate provided they fulfil the following conditions:

- (a) The university where they have registered already is recognized by UGC,
- (b) Submit NOC (No Objection Certificate) from that university along with the original registration certificate,
- (c) Secure pass in the entrance examination conducted,
- (d) Register afresh paying the prescribed registration fee, and
- (e) Pay prescribed annual course fee at the beginning of each year.

The date of registration as shown in the NOC shall be counted for the purpose of calculating the time required to complete the course.

## **5. ELIGIBILITY CRITERIA FOR ADMISSION:**

5.1 Candidates for admission to the M.Phil./Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, 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) or an equivalent degree from a foreign educational Institution accredited by an

Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

5.2 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

5.3 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 department in an integrated programme

5.4 A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same department

## **6 DURATION OF THE PROGRAMME:**

6.1 M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters / one year and a maximum of four (4) consecutive semesters / two years.

6.2 Ph.D. programme shall be for a minimum duration of three years for full time and four years for part time candidates, including course work and a maximum of six years.

6.3 Extension beyond the above limits (one year) may be considered by the University

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

## **7 PROCEDURE FOR ADMISSION:**

7.1 It shall be notified well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats,

7.2 University shall admit through an Entrance Test followed by Interview. Candidates qualified in the UGC-NET(including JRF)/UGC-CSIR NET (including JRF) / SLET / GATE/

CAT / M.Phil or other similar national tests and having qualifying percentile scores in their respective validity periods are exempted from entrance exam.

7.3 Applications for Entrance Test shall be invited once/Twice in a year

7.4 The Entrance Test shall consist of one paper on the broad area of Ph.D. of 100 marks . Syllabus of the paper shall be framed by the respective Boards of Studies.

7.5 Qualified candidates should appear for the interview before Interview committee

The interview/viva voce shall also consider the following aspects, viz., whether:

7.5.1 The candidate possesses the competence for the proposed research;

7.5.2 The research work can be suitably undertaken at the Institution

7.5.3 The proposed area of research can contribute to new/additional knowledge.

7.6 The Interview committee shall submit the consolidated merit list to the Admission Committee for facilitating the provisional registration of candidates as per their rank in the list.

7.6 Depending upon the vacancy a guide will notify his/her consent to the candidate in order of preference prepared by him / her .Such candidates who are provisionally notified may obtain the application for provisional registration/enrolment by submitting the consent/acceptance letter from the guide who has agreed to supervise the research work. The guide should also submit a declaration about the vacancy available as per regulations. Registrar (Evaluation) will notify the same by issuing the provisional registration/Enrolment and monitor the details that regulations are adhered.

7.7 The University shall maintain the list of all the M.Phil. / Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

## **8. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/CREDITS FOR AWARD OF THE DEGREE, ETC.:**

8.1 Each candidate provisionally registered for the Ph.D. programme shall have to go through the prescribed coursework choosing four subjects, out of which one subject namely Research Methodology is compulsory. The remaining three courses shall be pertaining to their Research work as decided by the Doctoral Committee and obtain a minimum of 50 % in each course registered and 60% average in all the subjects.

8.2 The overall minimum credit requirement, including credit for the course work, for the award of M.Phil./Ph.D degree shall not be less than 24 credits.

8.3 After Successful completion of the course work candidates should complete their comprehensive viva in front of Doctoral Committee.

8.4 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses as the case may be, the M.Phil./Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.

8.5 M.Phil scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least two (2) research paper in peer reviewed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

8.6 The Admission committee shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

8.7 (a) The candidate is eligible to submit his/ her Thesis only after completing 3 years of Research Work from the date of his/ her Registration, i.e., from the date of provisional registration.

(b) A candidate shall submit the Synopsis of his/ her Ph.D. Thesis highlighting contents of the Thesis and enclosing evidences of two research publications in peer reviewed journal/s to the Chairperson of the Doctoral Committee.

(c) The Chairperson of the Doctoral Committee shall organize the Pre-thesis Submission Colloquium meeting within fifteen days of the receipt of the Synopsis. The colloquium shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Doctoral Committee.

(d) The Doctoral Committee shall advise and offer suggestions to the candidate for the finalization of the Thesis.

(e) If the Doctoral Committee is not satisfied with the Pre-thesis Submission Colloquium of a candidate, it may ask the candidate to reappear for the Colloquium again after a gap of one month.

(f) A candidate shall prepare a Thesis embodying results of original research done by him/ her and submit 2 copies of Ph.D. Thesis in soft binding form and an electronic version of the Synopsis and Thesis in .PDF format (3 CDs) for the evaluation, within 3 months from the date of submission of the Final Synopsis. Failure to submit the Thesis within this period shall entail cancellation of the Ph.D. Registration of the candidate.

(g) A candidate has to procure a certification regarding the plagiarism test conducted on the thesis.

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

8.9 The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination.

8.10 The M.Phil. dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the Institution.

The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Doctoral Committee, all faculty members of the Department, other research scholars and other interested experts/ researchers.

8.11 If the evaluation report of the external examiner in case of M.Phil. dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the university shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

8.12 The University shall develop appropriate methods so as to complete the entire process of evaluation of M.Phil. dissertation/ Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.

## **9. DEPOSITORY WITH INFLIBNET:**

9.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the Institution concerned shall

submit an electronic copy of the M.Phil. dissertation /Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

9.2 Prior to the actual award of the degree, University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

## **10. RESIDENCE PERIOD**

a) A Part-Time Research candidate shall put in a minimum of *fifteen* days of residence in every semester till the submission of the final Synopsis. This residence requirement shall be utilized by the candidate for the purpose of coursework preparation as well as formulation/investigation of the research problem.

b) Each Part-Time candidate shall submit to the University through his guide for completing the above residence requirement.

## **11. CANCELLATION OF REGISTRATION**

a) The Doctoral Committee shall be free to recommend the cancellation of Ph.D. registration of the candidate if,

a) Two consecutive research progress reports not adjudged to be satisfactory, and/or

(ii) Two consecutive research progress reports not submitted;

b) Before recommending cancellation of registration, the Doctoral Committee shall issue a show-cause notice to the candidate, seeking his/her explanation.

c) If the explanation is not agreed by the Doctoral Committee, the candidate shall be free to appeal to the Vice-Chancellor with valid reasons, seeking intervention. The decision of the Vice-Chancellor in this regard shall be final.

## **12. CHANGE OF TITLE:**

(a) A candidate desiring to change the title of the Thesis shall apply to the Research Council with revised Synopsis and changed Title through the Guide and Head of the Institute after paying the prescribed fee.

(b) The Research Council shall seek the opinion of the Doctoral Committee for the change of title. Such a change can be permitted anytime before the Pre-thesis Submission Colloquium.

(c) If a candidate decides to change the topic of research, his / her registration stands cancelled, and the candidate has to undergo the Provisional Registration process again.



### **PUBLICATION OF THE THESIS:**

If a candidate intends to publish the Thesis, he/she shall seek the permission of the University. The University will examine whether the thesis has been accepted for publishing.

### **13. OUTSTANDING ISSUES:**

Any issue not covered by the foregoing shall be governed by the decision of the Research Council.

#### **Admission FEE:**

##### **FEE Structure for the Candidates admitted during 2018 :**

- 1. Application Fee = Rs. 1,000** (To be paid at the time of submitting Application)
- 2. Registration Fee = Rs. 5,000** (To be paid by selected candidates before commencement of Course work)
- 3. Annual Fee = Rs. 60,000** (To be paid at the beginning of each year)
- 4. Coursework Exam & Certificate Fee = Rs. 2,000** (To be paid before undertaking Course work examination)
- 5. Thesis Submission & Evaluation Fee = Rs. 15,000** (To be paid before submission of Thesis)
- 6. Ph.D. Viva-voce Fee = Rs. 15,000** (To be paid by successful candidates to be paid on approval of the Thesis)
- 7. Ph.D. Provisional Certificate Fee = Rs. 1,000** (To be paid after declaration of result).

The internal candidates need to pay only 50% of the Annual Fee as compared to the external candidates.