



# SRINIVAS UNIVERSITY

**Educating the Next Generation**

**Main Campus, Srinivas Nagar, Mukka, Surathkal, Mangalore – 574146.**

**Phone : 0824-2477456.**

**(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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S. No.	Course	Eligibility	Course Duration	Type
1	<b>Ph.D. (Research)</b> (in Approved subjects)	Pass in Master Degree in respective subject/ related area with minimum 55% marks. Or Pass in M.Phil. Degree in respective subject with 60% marks.	3 - 5 years	Annual

## **REGULATIONS GOVERNING THE DOCTOR OF PHILOSOPHY (Ph.D.)**

### **1. Organisation of the Ph.D. Programme:**

(a) Programmes leading to the Degree of Doctor of Philosophy will be offered at the Colleges/ Constituent Units of Srinivas University.

(b) Subject to the general guidance of the Academic Council, research studies in the University leading to the Degree of Doctor of Philosophy (Ph.D.) shall be overseen by the University Research Council (URC).

(c) The Ph.D. Programme shall be organized on full time and part time basis.

### **2. Classification of Applicants:**

An applicant for admission to the Ph.D. programme shall be classified under any one of the two categories : Internal & External.

#### **(1) Internal :**

(a) *Regular Academic Staff of the University:* Regular academic staff of Departments/Colleges of the University.

(b) *Non-academic Staff of University/Constituent Units :* Regular member of non-academic staff of the University or its Departments/Constituent Units who satisfies eligibility qualifications. Both (a) and (b) are permitted on part-time basis.

#### **(2) External :**

(a) *Self-financed Indian Candidates satisfying eligibility qualifications*

(b) *Self-financed Foreign Candidates satisfying eligibility qualifications*

(c) *Sponsored Candidates:* Sponsored candidate getting Government/Semi Govt. or other Scholarships/ Fellowships/stipends, who applies for admission through the sponsoring organization;

(d) *Working Teachers*: Regular faculty members of other Universities and recognized/approved institutions in India and abroad, possessing minimum prescribed academic qualifications;

(e) *Corporate Research Scholar*: Candidates working with reputed organizations in India and abroad having at least three years experience and possessing minimum prescribed academic qualifications;

Both (a) and (b) and (c) are permitted on full-time basis. And (d) & (e) are permitted on Part-time basis.

### **3. Minimum qualifications for admission:**

(a) The required minimum qualification for admission to a Ph.D. programme shall normally be a two year Master's Degree in the subject/relevant field with a minimum of 55% marks or equivalent grade (50 % for SC, ST or those who have minimum ten years teaching/industry experience). Or Pass in M.Phil. Degree in respective subject with 60% marks after completion of Masters Degree.

(b) In exceptional cases, Department Research Committee (DRC) may propose any other suitable qualifications/ requirements in specific areas, consistent with the norms of UGC, AICTE and other statutory bodies, to URC for its recommendation to the Academic Council for approval\*.

*\*Provided that where the minimum eligibility criteria for admission laid down by various Statutory/Regulatory bodies is higher than the minimum eligibility criteria as prescribed above, the criteria laid down by such Statutory Bodies will be followed.*

### **4. Eligibility conditions for admission:**

(a) It is desirable that the applicants who possess minimum prescribed qualifications for admission to Ph.D. programme, should also have an excellent academic/ professional attainment in the relevant discipline.

(b) The applicant for Part-time Ph.D. should:

(i) prove to the satisfaction of DRC that his official duties permit him to devote sufficient time for research.

(ii) ensure that facilities for pursuing research are available at his place of work in the chosen field of research.

(c) An applicant who was initially registered for the M.Phil. Programme of this University and whose CGPA is at least 7 in Course Work of M.Phil. programme, may be considered for admission to the Ph.D. programme without completing M.Phil. programme on specific recommendations of DRC and subject to approval by the University Research Council. In such cases, there is no need to repeat the course work for Ph.D.

(d) Candidates already registered for Ph.D. with other Universities approved by UGC can transfer the registration on producing No objection certificate from that university, and subject to the approval of the Vice chancellor. Once admitted the existing rules and regulations shall be applicable. However, the date of registration will be considered to be the original date of registration with the previous university.

(e) A valid score in the Entrance test conducted by the University is necessary in all the above cases.

### **5. Application for Admissions:**

(a) **Applications for admission to Ph.D. programmes shall be invited through an open advertisement, twice a year in July and January for each programme in the prescribed form as laid down by the University.**

(b) **Applications shall be screened and shortlisted by the DRC will have to appear for the Entrance Test to be conducted by University Research Council (URC).**

(c) Non Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the programme in accordance with the policy guidelines laid down by the Government of India.

(d) DRC shall prepare a tentative list of guides depending on the specific areas of research indicated by the shortlisted applicants.

(e) DRC shall invite each selected candidate to submit the synopsis of his proposed research in consultation with a teacher from the tentative list of guides. The synopsis shall be scrutinized.

(f) After considering the recommendations of the DRC, the University Research Council (URC) shall recommend to the University for approval of the applicant for registration to the Ph.D. programme.

(g) The verification of the Eligibility documents including Certificates of the qualifying examination is performed by the DRC and to be submitted to URC for final approval.

(h) A Score card reflecting their score in the entrance exam conducted by the University will be issued to eligible candidates by the URC.

#### **6. Constitution & Functions of Department Research Committee (DRC):**

(a) This Committee is constituted for each College of the University and shall comprise of Guide(s), two other faculty members in the related area and Dean/HOD as the Chairman.

(b) DRC shall perform the following functions:

(i) invite the candidate for scrutinizing his research proposal to ensure that the proposal is suitable.

(ii) ascertain the availability of facilities required for the proposed research.

(iii) prescribe the Course Units to be taken by the candidate, and recommend exemption from the requirement if so with justification.

(iv) recommend to URC the suitability or otherwise of the candidate and his proposal along with relevant details and documents.

(v) periodically monitor the performance of the work of the candidate and provide advice to candidate, where necessary.

(vi) approve the final synopsis of the thesis on its completion and the final title of the thesis.

(vii) recommend the panel of examiners.

#### **7. Registration:**

(a) **The University Examination section after considering the recommendations of URC shall approve the registration of the candidate and communicate it to the candidate through the Chairman of the DRC.**

(b) A summary report of the candidates registered for Ph.D. shall be duly sent to the Registrar of the University for enrolment of the candidate.

(c) The certificate of Registration will be issued to the candidate subsequently subject to remittance of the prescribed registration fee.

#### **8. Renewal of Registration:**

Candidates have to submit progress reports of their work every six months after the registration to the DRC failing which their registration stand cancelled.

#### **9. Fee Structure :**

(1) The Fee structure for the Ph.D. programme is decided by the University Research Council in consultation with Board of Governors.

(2) Fee structure for the candidates admitted for the year 2017 is provided below :

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).
- (3) Whereas internal applicants can register for research on Part-time, external applicants can register either on part time or full time as the case may be. Annual Tuition Fee may vary for part-time and full-time. The internal candidates need to pay only 50% of the Annual Fee as compared to the external candidates.

#### **10. Internal Candidates :**

Internal candidates are defined in para 2 of the regulations. However, it shall not be obligatory for the University to maintain the services of such candidates because he/she has undertaken/registered for Ph.D. research. Internal candidates who discontinue service with the University shall be considered as external thereafter and rules regarding payment of fee, period of completion etc. shall be applicable as those of external candidates.

#### **11. Time Period Requirement for submission of the Ph.D Thesis:**

(a) *Minimum Time Period:*

(i) The minimum period required to submit thesis after registration for full time Ph.D. candidates shall be three years from the date of registration & the minimum period for part-time Ph.D. candidate shall be four years. However, the minimum period of four years for Part-time Corporate/Internal Research Scholars may on the recommendations of DRC, be reduced to three years considering the relevance of experience working with reputed organizations in India or abroad / substantial number of research publications in related areas.

(b) *Maximum Period:*

The candidate registered for full time Ph.D. Programme shall be allowed to submit their thesis within five years of the date of their registration and part-time candidates within six years. Thereafter, the registration shall stand cancelled automatically unless, for valid reasons, an extension is granted by the Vice-Chancellor.

(c) For those who possess M.Phil. degree in the subject from the same or any other recognized University, the minimum period for full-time research shall also be three years and maximum period shall be five years. For part-time research the minimum period shall be three years and maximum period shall be six years.

#### **12. Re-Registration:**

A candidate will be allowed to register after the expiry of the maximum period of Ph.D. registration, only if an extension of registration is approved by the Vice-Chancellor.

#### **13. Residency Period:**

Full time candidates have to undergo residency and maintain 75% attendance. During the first two years of residency they shall be assigned for teaching and documentation.

#### **14. Change of Registration:**

(a) A candidate may be allowed for valid reasons to change his status from full-time to part-time or vice-versa on the recommendations of DRC and with the approval of the University.

(b) If a full-time candidate changes his status to part-time, the minimum period of requirement shall be three years and maximum shall be seven years.

(c) In case a candidate is registered as a part-time candidate and applies for registration as a full time candidate, the minimum period requirement shall be three years and maximum will be five years. However, only two-third of the period already spent as a part-time candidate shall be counted.

### **15. Course Work Credit Requirements and Registration for Courses:**

- (a) Departments/Constituent Units shall draw a list of post graduate Course Units which can be offered to Ph.D. candidates.
- (b) Each candidate will be required to take Course Units as prescribed by SRC and approved by the DRC.
- (c) A candidate will earn credits for a Course Unit only if he obtains a minimum of Grade B+. Further, if a candidate fails to get qualifying Grade B+ i.e., he will be given second opportunity to improve his minimum qualifying Grade B+, failing which his registration will be liable to be terminated.
- (d) The candidates registered for Ph.D. Programmes in Departments/ Constituent Units can be allowed to complete the Course Unit requirements, if considered necessary, through outside department courses.
- (e) Those who have M.Phil. from this or any recognized university are exempted from course work for the Ph.D.

### **16. Course work Examination:**

- (a) As part of course work completion, all candidates shall be required to take an examination in the prescribed manner to test his/her knowledge in his broad field of research and his academic preparation and potentials to carry out the research work. This shall be conducted by the DRC. The candidate should secure at least Grade B (60% marks) in the examination for successful completion of course work.
- (b) Unsuccessful candidates shall be allowed a second opportunity to clear the examination. If a candidate is unsuccessful again, his/her Ph.D. registration shall be cancelled.

### **17. Thesis Guide(s)**

- (i) A list of the approved in respective subjects will be constituted by the URC and maintained by the University.
- (ii) The Guide(s) shall be any full-time faculty member of the University/Constituent Unit with a Ph.D. degree and minimum of five years teaching experience and substantial research publications.
- (iii) An external person with proven merit and experience in the subject/area may be appointed as Co-Guide if the URC seems fit.
- (iv) No person who himself is registered for Ph.D. degree at the University or any other Institution would be eligible to act as a Guide or co-guide.
- (v) The maximum number of Ph.D. students who can be supervised by a faculty member at any time in the University shall be eight (8) including statutory stipulations. However, in special circumstances, the Vice Chancellor may allow relaxation in the upper limit of intake.**
- (vi) A faculty member who is due to retire within the next two years can be appointed as a Guide and can continue to be the Guide even after his retirement provided the URC is convinced of his availability for continued guidance to the candidate. However, a faculty member who was already a guide on retirement may continue as a Guide, if re-employed or appointed Emeritus Fellow. Appointment of substitute to a Guide, who cease to be on the services of the University will be as per provisions made in the regulations.
- (vii) In case the Guide proceeds on leave for twelve months or more, resigns or expires, an arrangement shall be made as provided in the Guidelines of the Research Degree Programmes.
- (viii) Once registered, the change of Guide will not be allowed.
- (ix) A faculty member appointed as a Ph.D. Guide is normally expected to be available to a research candidate in the University Department/ Constituent Unit till the thesis is submitted.

### **18. Appointment of Co-Guide(s):**



The DRC with the approval of URC may appoint more than one Guide(s) not exceeding a total of three to guide a candidate. Normally, there should not be more than two Guides from within the Department/Constituent Unit. Appointment of any other Guide(s) shall not be made after the lapse of 18 calendar months from the date of registration of the candidate.

### **19. Performance Monitoring:**

The academic/research progress of each candidate shall be monitored by DRC. For this purpose each candidate shall submit a progress report at the end of each Semester to the Chairman, DRC through his Guide(s). DRC shall evaluate the work of the candidate and award **S** (Satisfactory) or **U** (Unsatisfactory) grade.

(a) If the progress is “unsatisfactory”, on the first appearance of “U” grade, a warning would be issued to the candidate.

(b) If a candidate gets three “U’s” or two successive “U’s”, his registration is liable to be terminated.

### **20. Seminar & Publications :**

The student before submitting the final synopsis of his/her Ph.D. thesis must have published **minimum of three research papers as first author along with his/her research supervisor/(s) in refereed indexed journals. DRC shall constitute a Doctoral Committee, before which the student has to present the final synopsis in the form of a seminar to get approval to submit final Thesis.** Thereafter, a copy of the synopsis along with the copy of published papers shall be forwarded to the URC for obtaining the permission for Thesis submission.

### **21. Final Synopsis :**

(a) On completion of research work, the candidate shall submit to DRC through Guide(s), eight copies of the final synopsis of his/her thesis.

(b) The final synopsis will be submitted by the candidate normally within two months after the presentation in Seminar.

(c) DRC shall, in a meeting in which the candidate shall be required to be present, scrutinize the final synopsis for approval and approve the title of the thesis after its revision, if necessary.

(d) The DRC will forward the final synopsis with its recommendations to the University Research Council for appointment of the thesis examiners.

(e) If a candidate fails to submit his thesis within four months of the approval of final synopsis, he shall be required to submit a fresh final synopsis. However, in case a candidate fails to submit his thesis within the stipulated time and has proper justification for the delay, the Head of Department/ Constituent Unit may, on the recommendations made by the DRC and on individual merit of each case, grant him an extension of not more than two months.

### **22. Panel of Examiners for Ph.D.:**

(a) A Ph.D. thesis shall be evaluated by three examiners, two of whom shall be external and the third shall be guide or guides (to be counted as one examiner). A panel of experts in the field of study may be prepared by the URC in consultation with DRC. This panel may include Five experts from the same State and Five from other States or Abroad.

### **23. Thesis Preparation and Submission:**

(a) The thesis shall be written in English or in any other language as approved by DRC in the format and style in accordance with the guidelines for Research Degree Programmes. (b) No part of thesis shall have been submitted for the award of any other degree or diploma. (c) The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear evidence of the candidate’s capacity for analysis and judgment as well as his ability to carry out independent investigation, design or

development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge or development or a combination of these. (d) After clearing the seminar, four copies of the thesis in maroon colour with hard cover binding and two softcopies in pen-drive must be submitted. These hard bound copies with the declaration claiming originality by the candidate and certification from the guide must be submitted. A certificate of non-plagiarism shall be submitted by the candidate endorsed by the Guide(s).

#### **24. Thesis Evaluation:**

Detailed procedure for evaluation of thesis shall be prescribed in the Guidelines for Research Degree Programmes.

- (a) The Vice Chancellor may recommend three names from the Panel to evaluate the Thesis.
- (b) Each examiner shall be requested to send a detailed evaluation report and his recommendations on the prescribed proforma within six weeks of the date of receiving the thesis.
- (c) If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be substituted from the approved panel.
- (d) Each Examiner will examine the thesis to judge that the thesis is a contribution to knowledge characterized by: (i) the discovery of new facts, or (ii) a fresh approach towards interpretation and application of facts or theories existing, (iii) reveals the candidate's capacity for critical examination and sound judgment, and (iv) the literary presentation is satisfactory.
- (e) All examiners will submit the reports on the prescribed form clearly stating one of the following: (i) The thesis is recommended for the award of Ph.D., or (ii) The thesis is recommended for the award of Ph.D. Degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva Voce examination, or (iii) The candidate be allowed to resubmit his thesis in a revised form, or (iv) The thesis be rejected.
- (f) The examiners reports shall be forwarded to the Guide(s), who will inform the candidate eligible for oral defense, only those comments and queries in the reports which require explanation and answers without disclosing the identities of the examiners.
- (g) The reports of all internal examiners including the Guide and Co-guides if any shall be counted as one report.
- (h) If all the three reports recommend acceptance of the thesis, the candidate shall be eligible for oral defence.
- (i) If two of the three reports recommend revision of the thesis, the candidate will be given opportunity to revise the thesis accordingly and resubmit it normally within a period of one year for the evaluation by the same set of examiners.
- (j) If one of the reports recommends rejection, the comments and queries in the report, shall be communicated to the candidate, and the candidate shall be given an opportunity to give replies to the comments made in the report. Such reply of the candidate along with his/her thesis shall be sent to the next examiner on the panel for evaluation. If the report of the next examiner also recommends rejection, the thesis shall be rejected.
- (k) If two of the three reports recommend rejection, the thesis shall be rejected. The candidate may, however, be allowed to re-submit the thesis normally after one year, provided the title of the thesis remains unchanged. Normal procedure will be followed for the evaluation of the resubmitted thesis.
- (l) If all the three recommend rejection thesis shall be rejected.
- (m) In case one of the reports recommends revision of the thesis, the candidate will have the option to revise the thesis within one year. The revised thesis shall be submitted not earlier than six months but not later than one year. The revised version of the thesis would be sent to

all the examiners for their recommendations. However, if the URC does not consider it fit for revision, it may ask for appointment of a fresh examiner.

(n) The new examiner, when appointed, shall be Indian or Foreigner depending on whether the thesis was rejected by the Indian or the foreign examiner in the first instance. The reports of all the examiners will be sent to him without revealing the identity of the examiners along with the response of the candidate, if any, to these.

(o) If the fourth examiner recommends revision, the thesis would be suitably revised and resubmitted normally after six months and sent for examination to all the examiners except to the one in whose place the fourth examiner was appointed. In case the fourth examiner recommends rejection or his recommendation for revision is not accepted by the candidate, the thesis shall be rejected.

(p) Any doubt arising out of the procedure laid down in these regulations shall be referred to the Vice Chancellor for a decision.

(q) In case of ambiguous recommendations by the examiner, the HOD will approach the examiner for a clear recommendation. In case, a clear recommendation is not forthcoming, the matter may be referred to the Vice Chancellor for his decision.

### **25. Re-submission of Thesis:**

(a) In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be payable by the candidate;

(b) The revised thesis may be submitted normally in one year from the date of intimation for resubmission.

### **26. Oral Defence Examination (Viva-Voce):**

(1) If the thesis is recommended for award of degree, the candidate shall be required to defend his work/thesis orally (viva-voce examination) before a duly constituted Committee hereinafter referred to as the Oral Defence Committee (ODC). The date and time of the viva-voce shall be duly notified by HOD to enable the interested faculty members, staff members and students to attend it.

(2) Composition of ODC:

(a) For the candidates who get unanimous recommendations of acceptance in three reports in the first instance, the composition of the ODC shall be

(i) HOD - Chairman

(ii) Guide(s)

(iii) External Examiner (Preferably Indian)

(3) HOD shall convene a meeting of ODC on an appropriate date. The date of viva-voce shall be communicated to the candidate at least fifteen days in advance.

(4) In the viva-voce examination, the candidate shall be required to give his response to comments and questions arising out of the examiners reports apart from the queries and questions raised by members of ODC and, with permission of HOD, questions asked by others who are present.

(5) The ODC shall give its recommendations in the prescribed proforma. The ODC shall have the following options for its recommendations:

(i) Ph.D. degree be awarded.

(ii) Ph.D. degree be awarded with corrections. However, the candidate should prepare a supplement to be added to the thesis document as specified in the report of ODC and or textural corrections, if needed.

(iii) Ph.D. degree be not awarded for the reasons to be recorded in the report.

(6) In case of difference of opinion among the members of ODC, separate reports shall be submitted.

(7) HOD shall forward the report(s) of ODC to CoE/Registrar (Evaluation) in a folder which shall also contain,

(a) A copy of the thesis along with the Supplement, if required, in the report of ODC and



- (b) All the reports of the examiners of the thesis.
- (8) CoE/Registrar (Evaluation) shall obtain the recommendations of the Standing Committee of URC on the report of ODC and its accompanying documents.
- (9) The recommendations of the Standing Committee shall be submitted to the Vice-Chancellor for final decision, which shall be reported to URC and the Academic Council.
- (10) If any other matter not explicitly provided herein or of an exceptional nature arises, it may be referred to the Vice Chancellor for his decision.

**27. Attendance:**

For Ph.D. students on full time, the minimum requirement of attendance shall be the same as laid down in the Attendance Regulations for other students.

**28. Passing Grades:**

For Ph.D. students, the minimum passing grade in each Course Units on ten point scale is B + i.e. Point 7.

**29. Cancellation of Registration:**

Registration of a candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor:

- (a) If his academic progress is found unsatisfactory in three consecutive monitoring reports.
- (b) If he absents himself for a continuous period of six weeks without sanction of leave.
- (c) If he withdraws from the Ph.D. programme and his request is duly forwarded by HOD

**30. Disciplinary Regulations:**

If a Ph.D. candidate is found to be involved in an act of misconduct, misbehaviour and/or indiscipline, disciplinary action will be taken by the University as per Regulations relating to maintenance of Discipline by students.

**31. Award of Ph.D. Degree:**

(a) A Notification regarding the eligibility of the candidate for the award of Ph.D. degree in respective department of the University may be released by the CoE/Registrar (Evaluation), after the approval of the recommendation of the URC by the Vice Chancellor. However, the Ph.D. candidate shall be eligible for receiving of Ph.D. degree Certificate at University Convocation. The recommendations of the URC, have to be subsequently endorsed by the Academic Council. A provisional degree certificate may be issued by the Registrar (Evaluation) any time after Ph.D. notification on payment of prescribed Fees.

(b) On successful completion of the evaluation process and announcement of the award of the Ph.D., the URC shall submit a soft copy of the Ph.D. thesis to the University within a period of 30 days for onwards transmission to UGC for hosting the same in INFLIBNET, accessible to all authorities / University. Hard copy of the same will be placed in Central Library.

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**FEE Structure for the Candidates admitted during 2017 :**

- 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.