



# Srinivas University

## **Educating the Next Generation**

Private University established by Karnataka State Govt. Act 42 of 2013, Recognized by UGC, New Delhi, Member of Association of Indian Universities, New Delhi)

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## **Doctor of Philosophy (Ph.D.) Regulation**

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# **SRINIVAS UNIVERSITY REGULATIONS GOVERNING THE STANDARDS & PROCEDURES FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph D).**

## **1. TITLE AND COMMENCEMENT:**

These Regulations shall be called “**SRINIVAS UNIVERSITY REGULATIONS GOVERNING THE STANDARDS AND PROCEDURES FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph D), 2018**”.

- These Regulations shall come into force from the date of assent of the Chancellor.
- The DIRECTOR - Research and Innovation Council shall be responsible for all the matters pertaining to Ph.D. programs of the SRINIVAS University.

## **2. DEFINITIONS:**

In these Regulations, unless the context otherwise requires:

- “University” means the SRINIVAS University;
- “Degree” means the degree of Doctor of Philosophy (Ph. D);
- “COLLEGE” means the College of Studies and Research of the SRINIVAS University established by Statutes and intend to work for a Degree;
- “Department” means the Department of Studies and Research of the College / Constituent Colleges of the SRINIVAS University that intends to work for a degree;
- “Dean of the College” means the Dean of the college of Studies and Research of the SRINIVAS University where a candidate works for a degree;
- “Head” means Head of the Department of Studies and Research
- “Candidate” means any person who satisfies the prescribed eligibility condition as stated in Section 5 of the Regulations and who intend to register / has registered for degree;
- “Foreign candidate” means any person who is a foreign national with a valid foreign Passport satisfying the prescribed eligibility conditions as stated in Section 5 and who intends to register/ has registered for a degree, with a valid research VISA;
- “Board of Studies” means the Board of Studies in the subject concerned/ Joint Boards of Studies in more than one subject / Interdisciplinary Board of Studies as constituted by the University;
- “Course work” means the compulsory preparatory study to be undertaken by a candidate as

prescribed by the concerned Board of Studies.

- “Guide” means the recognized supervisor for the research work of a candidate satisfying eligibility conditions as in Section 4 of Regulations;
- “Co-guide” means the recognized supervisor(s) who supervises the Ph.D work of a Candidate. Jointly with the guide satisfying eligibility conditions as in Section 4 of these Regulations;
- “Doctorial Committee” means the Committee constituted by the University to oversee the Research work of a candidate;
- “Board of Examiners” means the panel of examiners constituted by the University for adjudicating the Ph.D thesis submitted by a candidate.
- “Journal of Repute” means the journal enlisted by the Board of Studies as per the UGC guidelines in the concerned discipline / subject / group of subjects.

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

The Doctoral Committee shall consist of:

- The Guide and Co-guide if any, of the candidate
- Dean of the College of Studies and Research concerned
- The Head of the Department of Studies and Research of the University
- 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.

The Guide shall be the Chairperson of the Doctoral Committee. Wherever Guide is also the Dean of the College of Studies and Research / Head of the Department of Studies and Research of the University or Head of the Department of the Constituent Colleges of the concerned subject or another Senior Faculty Member / Scientist in the School shall be included in the Committee. In such Schools of Studies and Research / Departments wherein the number of faculty is less than two, members of the Doctoral Committee shall be chosen from sister Colleges of Studies / Department of Studies/other institutions. The Doctoral Committee shall monitor and assess

- Ph.D., Comprehensive viva as in section 6.3 below,
- Progress reports of a candidate submitted periodically
- Pre-thesis submission colloquium as in 8.1(b) of these regulations;
- Open viva-voce of the candidate as in 8.7 of these regulations.

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

- A.** Any regular Professor of the University with at least five research publications in refereed journals.
- B. Assistant Professors/Associate Professors and Scientists of equivalent cadre** working in various Colleges/departments of the University / Constituent Colleges / recognized Research Centers of the University are eligible to be recognized as Ph.D. Guides in their respective subject provided, they:
- Possess a Ph.D. In their subject;
  - Have at least three years of continuous service on a regular basis without break;
  - Have published at least three research articles in books or reputed peer reviewed journals for Associate professors and two papers for Assistant Professors in the discipline in which they are desirous of guiding candidates.
- C.** Assistant Professor / Scientists of equivalent cadre including those working in Srinivas University desirous of supervising candidates of other disciplines / interdisciplinary studies, shall submit an application with detailed curriculum vitae (CV) to the Director of Research and Innovation Council of the University along with evidence of regular service and of publications of research articles in the discipline concerned.
- D.** Teaching faculty / scientists / industry personnel, who join the University after serving elsewhere with three years of regular teaching / research experience in relevant discipline, are also eligible to be considered for recognition as guide if they satisfy the other requirements as mentioned in (a), (b) and (c).

To decide upon recognition of Guides, the Director of Research and Innovation Council shall convene a meeting of a Committee as and when required. The Committee shall have the Vice Chancellor or his / her nominee as Chairperson, the Registrar (Evaluation), the Chairperson of the concerned Board (s) of Studies, two members each of the concerned Board (s) of Studies as members. The committee shall consider applications for recognition of guides in specific discipline (s) / interdisciplinary / multidisciplinary studies as and when necessary. The Director of Research and Innovation Council shall be the convener of the Committee.

Faculty / Scientists of the University / constituent colleges who attain **superannuation or resign** their jobs will forfeit recognition as Guide / Co-guide. However, such a person shall continue to

guide those candidates who have already registered and pursuing research until such candidates complete their research work, submit the thesis and are awarded and he or she shall sign a letter of taking the responsibility accordingly before getting relieved from the University.

- (a) A Guide may **supervise not more than eight** candidates. Research Guide 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 Guide can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Guide can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.
- (b) A Guide may be permitted to recruit two more candidates in addition the specified candidates specified as in (a). Under projects funded through the University by recognized funding agencies
- (c) Foreign nationals and candidates belonging to reserved categories maybe given due opportunity while selecting candidates to register for PhD.
- (d) A Guide has to sign a declaration about the number of candidates working with him / her. Such declarations shall accompany the registration application of every candidate. A faculty who joins the University and is guiding candidates working in other Universities / Institutions shall inform the University of the same and get permission to continue guiding those candidates.
- (e) A Guide / Co guide also has to give an undertaking that he/she shall continue to be the guide till such time that the candidate complete research, submit thesis and degree is awarded.

A Guide / Co-guide who has been recognized to supervise the work in more than one subject is also governed by the preceding regulations at sub section 4.5 (a) and (b). The total candidates working under any Guide shall be the sum total of all the candidates working under his / her supervision in all the subjects.

In the Colleges wherever infrastructure requirements including chemicals / equipments / instruments are required, the concerned College Council / Department Council shall decide on the number of candidates without fellowship / stipend it can accommodate per faculty member and send this information to the Dean of Research and Innovation Council before notification for PhD admission is issued.

The College Council shall recommend the amount of Laboratory Fee to be collected from the

candidates without fellowship / stipend based on research needs of the candidate.

## 5. ELIGIBILITY CRITERIA FOR A CANDIDATE:

- Any candidate who satisfies the following conditions is eligible to seek registration for Ph.D. in the University application for provisional registration after going through these Regulations and Guidelines for Ph.D. which shall be supplied along with the application.
- A candidate shall have Master's Degree or any other Degree / Diploma of the University or any other Degree / Diploma of any other University / Institution recognized as equivalent thereto, with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or an equivalent Grade. However, this condition is relaxed to 50% in case of belonging to SC/ST/Cat.-I candidates
- A candidate shall be guided by a Research Guide recognized by the University in the concerned subject.
- In case where the research of a candidate is inter/ multi-disciplinary in nature, the candidate may opt for a Co-guide, who shall also be the recognized Guide of the University in the concerned subject. However, the main responsibility of supervising the research work is vested with the Guide and the candidate shall finalize and submit the thesis through the Guide giving due acknowledgement and credit to the Co-guide which shall also be mentioned in the Ph.D Notification by the Registrar (Evaluation) after successful completion of Ph.D.
- **Entrance Test: Admission to Ph.D. shall be through an Entrance Test and Interview.** Applications for Entrance Test shall be invited **twice a year** in the months of January & June, depending on the vacancies existing in each subject. The Director of Research and Innovation Council shall obtain details of vacancies from the Head of Colleges / Centres/ Departments / Deans of Constituent Colleges before inviting applications.
- The Entrance Test shall consist of **one paper on the broad area of Ph.D. of 100 marks** with 3 hours duration and **syllabus of the paper shall be framed by the respective Boards of Studies based on UGC / CSIR National Eligibility Test (NET) pattern.** The question paper shall have two parts of objective type- Part I consisting of 50 objective type questions of one mark each, and Part II containing 25 objective type questions (level 2) for 50 marks (i.e., each carrying 2 marks). For candidates intending to do inter / multidisciplinary research, the Entrance Test shall be a common Entrance Test in a general paper and the syllabus of the paper shall be framed by the Inter disciplinary Board of Studies. A candidate securing at least 50 marks out of 100 in the



Entrance Test shall be declared as eligible to apply for admission to Ph.D. The results of the Entrance Test shall be declared by the Dean of Research and Innovation Council who shall issue eligibility certificate to candidates attending the Entrance Test.

- Candidates who have qualified for Lectureship only in the UGC / CSIR / AICTE / NET examinations, SET examinations conducted by centre's recognized by the UGC and candidates possessing MPhil qualifications are exempted from Entrance Test. However, they shall apply with all necessary certificates and take Interview along with other candidates who have appeared for entrance test and are found eligible.
- After announcement of results of Entrance Test, the college board shall prepare consolidated alphabetical list combining
  - (i) Candidates who appeared for entrance test and are found eligible for interview;
  - (ii) Candidates who have cleared NET conducted by UGC/CSIR and such other bodies qualified for Lectureship;
  - (iii) Candidates who have qualified in SET conducted by Centres/ Universities recognized by the UGC; and
  - (iv) Candidates who possess M Phil degree.

The list of eligible candidates for interview so prepared shall be announced on the Notice Board and as well hosted in the University website.

- The College Council shall invite for interview, all candidates so listed as eligible, giving specific date, time and place. The Interview shall be for 50 marks to be conducted by the College council. Selection of candidates for provisional registration shall be based on the performance in the interview only provided further that such a selection depends on the availability of the guide in the subject / area of interest of the candidate. The College Council in consultation with Dean of respective Faculty and identified guides finalise list of selected candidates and **shall notify the List of Selected Candidates** for Ph.D. and specify last date for admission.
- **Provisional Registration:** Selected candidates shall apply for **Provisional Registration** as Doctoral Candidates after payment of stipulated fee to the University. The duly filled-in application form shall be sent to the Director of Research and Innovation Council, Srinivas University, through the Guide, Co- guide (s), if any, and the Dean of the College / Head of the Department / Dean of College along with all necessary enclosures as stipulated in the form before the last date specified by the College Council. Application forms can be had from the office of

the Director of Research and Innovation Council.

- Candidates who are not selected for a Ph.D. program have to **re-apply whenever the applications** are invited again and go through the Entrance Test afresh.
- Candidates who have qualified for UGC / CSIR JRF fellowships through UGC/CSIR NET Examinations are **exempted from the Entrance Test** and can apply directly to the Dean of Research and Innovation Council whenever they become eligible. Such applications shall be forwarded by the Dean of Research and Innovation Council to the College Council in consultation with Dean of respective Faculty shall allot a Guide to such candidates as per Section 4. (e) of these regulations.
- Director will make an arrangement to appear final round of interview with chancellor for all the qualified candidates. On the same day, Provisional Registration Letter will be issued to the candidates.

## **6. REGULAR REGISTRATION:**

**Course Work:** Course Work is an essential component of Research leading to Doctoral Degree. 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.

- Minimum four subjects
  - Research methodology should be compulsory for all disciplines
  - Second Subject from core subjects of respective discipline.
  - Third paper is on analysis of patents in core subject with Publication
  - Fourth paper – Review on Research topic and publication. One additional workshop on Research Ethics
- Maximum duration for completion of course work is 1 year (2 attempts).
- The internal assessment for the all the subjects comprise of Seminars Assignments and Internal examination. The overall marks distribution is decided by the Doctoral committee.
- The Internal Assessment (IA) for fourth paper shall comprise of seminars, assignments and Literature Review report/Publishing the Literature review in the Journal. The overall marks distribution is decided by the Doctoral committee.
- The concerned research guide shall maintain record of evidences of research progress of their research candidate.

- The course end examination shall be conducted by the Corresponding Deans of the college by taking the help of College research council and guides.

**The Scheme of Assessment of Course Work:**

Sl. No.	Title of the Course	Internal Assessment Marks	Course End Written Test Marks	Total Marks	Total Credits
01	Research Methodology.	50	50	100	4
02	Advanced Subject	50	50	100	4
03	Analysis and Interpretation of Research	50	50	100	4
04	Research and Publication Ethics and Review of Literature	50	50	100	4

Candidates who are unsuccessful in the Course Work shall be permitted to reappear for Assessment in the next semester. Provisional Registration of a candidate who fails in the Assessment of Course Work in four attempts shall be cancelled by the Director.

**6.1 First Doctoral Committee Meeting:**

(a) After successful completion of Course Work as certified by the Registrar (Evaluation), a candidate, in consultation with his / her Guide, shall prepare a Research proposal (synopsis) in consultation with his / her Guide and shall submit a copy of the synopsis to the Director through Guide and Co-guide (s), if any.

(b) The Research proposal (synopsis) shall consist of the background of the research problem, review of literature, need with justification of research problem, title of the proposed problem, definition of concepts, objectives and hypotheses of the study, methodology to be followed and techniques to be adopted for data collection and analysis, scope and limitation of the study and proposed form of research report. The candidate shall ensure that the synopsis clearly defines the objectives, methodology and state expected results and their implications in terms of filling up gaps in existing knowledge and its social / scientific relevance.

(c) The Guide shall organize a meeting of Ph.D Comprehensive viva by seeking the permission form Director

(d) Every candidate shall prepare a brief technical report comprising literature survey / review, work

plan and the scientific relevance of the proposed research and shall present it in the form of a viva before the Doctoral Committee.

(e) The Doctoral Committee is authorized to suggest changes, if necessary, in the title /scope methodology of the topic selected for research, based on the performance of the candidate in the viva

(f) The Doctoral Committee shall assess the preparedness of the candidate for the research to be undertaken and submit its report in the format. It may, however, ask the candidate to present the viva again if the performance / preparedness of the candidate in the first instance is not satisfactory. Only one re-appearance is permitted within 2 months from the date of first viva.

(g) If the Doctoral Committee does not approve the research proposal even after the second presentation, such a candidate, after a lapse of one year from the date of the second presentation, can again present the Comprehensive viva, **after fresh Provisional Registration without undergoing Course Work.**

The Chairperson of the Doctoral Committee shall inform the decision of the comprehensive viva to the Director of Research and Innovation Council of the University through Dean of the College, as well as to the candidate **within one week** of the viva. Based on the recommendations of the Doctoral Committee.

### **Registration Confirmation**

Based on the reports of Doctoral committee, Director will issue the Final Registration Letter which consists of Topic and Guide name.

## **7. PROGRESS OF WORK:**

The report of progress of research work along with recommendation of the Guide has to be submitted to the Director of Research and Innovation Council once in every Six months.

- The candidate is required to submit the following to the Director of Research and Innovation Council through the Guide and the Dean of the College / Principal of the College:
- Half yearly Progress Report of Research Work done
- Prescribed tuition and laboratory fees, as applicable,
- Recommendation of the Guide and Co-guide (if any) regarding progress of research.
- June 30<sup>th</sup> and December 31<sup>st</sup> is the last day for Progress report submission
- **Failure to submit two Consecutive Research Progress Reports** shall entail cancellation of the Registration, and this shall be notified by the Director of Research and Innovation

Council.

- The candidate shall publish at least **TWO** research articles as First author based on his / her Research Work in UGC refereed journals to be eligible to submit the final thesis.

## **8. SUBMISSION OF THESIS AND EVALUATION:**

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 five years for full time and six years for Part time candidates

### **Second Doctoral Committee Meeting (Pre-Thesis Submission Colloquium):**

- A candidate has to **submit a copy of the Synopsis** of his / her Ph.D. Thesis highlighting contents of the Thesis and enclosing evidences of two research publications in peer reviewed journals in the form of acceptance letters or published papers, to the Chairperson of the Doctoral Committee.
- The Chairperson of the Doctoral Committee shall organize **the Pre-thesis Submission Colloquium** meeting in the concerned Department in consultation with the Dean of the College within fifteen days of the receipt of the Synopsis.
- The Doctoral Committee shall advise and offer suggestions to the candidate for the finalization of the Thesis. The Doctoral Committee shall also look into the quality of two articles published in standard / reputed journals.
- The Chairperson of the Doctoral Committee shall inform the decision of the Pre-thesis Submission Colloquium to the Director of Research and Innovation Council of the University as well as to the candidate **within a week** of conducting the Colloquium.
- If the Doctoral Committee is not satisfied with the performance of the candidate in the Pre-thesis Submission Colloquium of a candidate, it may suggest necessary incorporations / modifications, if any and ask the candidate to appear for the Colloquium again **after a gap of one month.**

### **Submission of Final Synopsis of Ph.D.:**

- After successful completion of the Second Doctoral Committee meeting, a candidate shall **submit a copy of the Synopsis (Hard and soft copy)** of his / her Ph.D along with Panel of

Examiners approved in BOS/Doctoral committee. Thesis with prescribed fees is submitted to the Director of Research and Innovation Council through the Guide, Co Guide (if any) and the Dean of the College / Centre / Principal of the College. The Director will forward the same with necessary certification about progress reports & Fees paid, to the Director - Research

- Panel of examiners should contain minimum of twelve examiners drawn from different Universities, six of whom shall be from outside Karnataka / India, to the Director - Research.

#### **Submission of Ph.D. Thesis:**

- A candidate shall prepare a Thesis embodying results of original research and submit to the Director- 3 copies of his / her Ph.D. Thesis and an electronic version of the Synopsis and Thesis in pdf format (3 discs) for 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.
- A certificate duly signed by the Guide and Co-guide, if any, to the effect the candidate has produced as main author / co-author. Two research articles based on his / her research work in his / her Ph.D. thesis and that the research work and the thesis has not been previously submitted by the candidate or the Guide or the Co-guide, if any, either for award of any Degree or Diploma to this or any other University, shall be enclosed along with the Thesis.
- If any candidate fails to submit his / her Ph.D. Thesis within FIVE years for Full time and SIX years for part time, he / she may apply to University for **Extension of his / her Registration for a maximum of one more year** with the recommendation of the Doctoral Committee, through the Dean of the College / Principal of College, by remitting the prescribed fee.

#### **Anti-Plagiarism Check & Submission of the Thesis:**

- The candidate's thesis shall undergo plagiarism check as per the norms
- The plagiarism shall be checked by software approved by the university and the percentage of plagiarism (similarity Index) shall be as permitted by university owing to software limitation to identify the self-written research papers and definitions and common theory
- The candidate may be given two more chances by the University to re-submit the thesis for

plagiarism checking, if the plagiarism level is found unacceptable.

- Suitable fees shall be charged to the candidate by the University for Plagiarism checks conducted

#### **Evaluation of the Ph.D. Thesis:**

- The Thesis shall be evaluated by Guide as Internal Examiner and two External Examiners.
- Director will forward the thesis to the registrar ( Evl) after satisfaction of all the conditions. The Registrar (Evaluation) shall seek from the Chancellor appointment of at least Twelve examiners, of whom 6 are from other state(s) / abroad. Registrar (Evaluation) will take the final approval of two external examiners form Chancellor and submit the report to the Director. Director (Research) shall write seeking acceptance from all examiners approved by the Chancellor and send thesis to two examiners whose acceptance are received first, provided one of them should be outside the State / abroad.
- The Examiners shall be asked to sign a Declaration that he / she is not a relative of the candidate or the Guide or the Co-guide and that he / she has no conflict of interest in valuing the Ph.D. Thesis.
- The Examiners of the Thesis shall get a copy of the Thesis along with a copy of the Registered Synopsis and the Examiners have to examine whether the candidate has achieved the objectives mentioned in the Synopsis.

#### **Evaluation Reports:**

- The External Examiners shall send the Evaluation Report to the Registrar (Evl).
- Registrar (Evl) will forward same to Director ( Research) for further process

#### **: Decision about Evaluation:**

- If **both External Examiners reject the Thesis outright**, the Director shall notify rejection of the Thesis and cancellation of Ph.D. Registration.
- If **one** of the External Examiners **rejects** the thesis, the thesis shall be referred to **another** examiner. If this Examiner **also rejects** the Thesis, the Director shall notify **Rejection of the Thesis** and cancellation of Ph.D. Registration.
- If any one of the Examiners recommends **Revision and Revaluation** of the Thesis, then the



candidate shall revise the Thesis based on the suggestions made by the Examiner and submit the Revised Thesis, duly certified by the Guide and with payment of the prescribed fees to the Director of the University through the Guide and the Dean of the College /Principal of college. The Director shall send the Revised Thesis **within fifteen days** to the same Examiner.

- If an Examiner recommends the award of degree after incorporating the suggested revisions / corrections, such modifications shall be complied with by the candidate and Guide and ratified by the Doctoral Committee upon receipt of the letter from the Director. After ratification, the Revised Thesis shall be submitted to the Director along with the prescribed fees.
- If both External Examiners recommend acceptance of the Thesis, Director Will submit the report to the Registrar (Evaluation). Finally, Director will take the permission form Registrar (Evaluation) and ask the guide to conduct the final viva voce by contacting the external examiner.

#### **Viva Voce Exam:**

- After receipt of the above mentioned Evaluation and Consolidated Reports from the examiners, Director shall ask the Chairperson of the Doctoral Committee of the concerned candidate to conduct an open Viva-Voce examination in the presence of the members of the Doctoral Committee, members of the concerned Faculty, research scholars and students by giving wide publicity. The Proceedings of this Meeting and the original Evaluation and Consolidated Reports shall be sent to the Registrar (Evaluation) and Director within three days and the Registrar (Evaluation) has to notify the declaration of the results within one week after getting approval from the Vice Chancellor.
- If the candidate desires, the viva-voce examination may be held via video conferencing as described in (a) after payment of necessary additional fees prescribed by the University.
- In case of the death / disability / non-availability of the Guide, the Vice-Chancellor may nominate a member from the Panel of Examiners / Chairperson of respective Board of Studies to act as the Chairperson, Board of Examiners of the Thesis to adjudicate the thesis and to conduct the Viva- Voce Examination.

### **Ph.D. Notification:**

The Ph.D. Declaration Notification by the Director by consulting with Registrar (Evaluation) shall be on the Official Letter Head and shall contain:

- The Name of the candidate;
- The Discipline / Subject of the Ph.D.;
- The Names of Guide, Co-guide (s), if any;
- The Name of the School where the research work was carried out; and
- The Title of the Thesis.

The Director and Registrar (Evaluation) shall affix a Seal with the University Emblem stating that the Thesis was accepted for the award of Ph.D. Degree as per Srinivas University Ph.D Regulation,2018 and the candidate has under gone course work in accordance with UGC Regulation and issue this copy to the candidate.

### **9. CHANGE OF TITLE / GUIDE:**

- A candidate desiring to change the title of the Thesis shall apply to the Director of Research and Innovation Council with a copy of revised Synopsis and changed Title through the Guide after paying the prescribed fee.
- The Director of Research and Innovation Council shall forward the same to the Chairperson Board of Studies who shall seek the opinion of the Board of Studies for the change of title within one month. Such a change can be permitted anytime before the Pre-thesis Submission Colloquium.
- If a candidate decides to change the topic of research, his / her registration stands canceled, and the candidate has to undergo the Provisional Registration process again.
- Generally, change of Guide is not permissible. It may be permitted only under exceptional circumstances such as death / disability / other medical conditions of the Guide or legal actions on the Guide by the administration. However, if there is any written complaint about conflict between the Guide and the candidate, the Director of Research shall refer the matter to a Committee constituted by the University whose decision has to be placed before the Vice-Chancellor for final decision.

#### **10. DEPOSITORY WITH INFLIBNET:**

- 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.
- 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.

#### **11. RESIDENCE PERIOD**

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

#### **12. PUBLICATION OF THE THESIS:**

If a candidate intends to publish the Thesis, he / she shall seek the permission of the University after paying the prescribed fee.

**13.** Any issue not covered by the foregoing shall be governed by the decision of the Vice-Chancellor.

## **GUIDELINES FOR DOCTORAL RESEARCH**

The Ph.D. program of the Srinivas University entails two stages:

- Entrance Test, Provisional registration, Course Work and Registration
- Thesis Submission

The following guidelines indicate procedures to be followed to maintain certain minimum standards in doctoral work. These procedures should help in minimizing large scale variations in the formats followed in doctoral work.

### **A. ENTRANCE TEST, PROVISIONAL REGISTRATION, COURSE WORK AND REGISTRATION:**

- All candidates except those who have qualified for UGC / CSIR JRF fellowships, intending to pursue doctoral work shall apply for Entrance Test as per Section 5, as and when the University notifies such a test. Foreign candidates are exempted from Entrance Test because of Visa requirements.
- Those candidates possessing MPhil and those qualified for only Lectureship in NET Exam conducted by UGC/CSIR and also those who are qualified in SET conducted by UGC approved centre's are exempted from the Entrance Test. However, such candidates have to apply, and take interview as their merit will be considered based on the performance in the interview.
- After successful completion of the Entrance Test, candidates shall be called for Interview as and when vacancies arise and after successful completion of Interview, a candidate is allotted a Ph.D. Guide by the School Board as per Section 5 of the regulations. Mere qualification in the Entrance Test shall not necessarily entitle a candidate for Provisional Registration for Ph.D.
- After selection, a candidate has to provisionally register as per Section 5. Application for Provisional Registration may be obtained from the office of the Director of Research and Innovation Council after payment of prescribed fee. Date of Provisional Registration for foreign candidates is the date of reporting for doctoral work to the Dean of the College concerned with a valid research Visa.
- All the candidates shall compulsorily undergo course work. After successful completion of Course Work as certified by the Dean of the College as per Section 6, a candidate has to

deliver a Ph.D Comprehensive viva as per Section 6.

- Candidates shall submit Research Progress Reports and pay prescribed tuition fee / laboratory fee wherever applicable, before the end of every year from the date of Provisional Registration, without fail, as per Section 7. Failure to submit two successive Research Progress Reports / pay tuition fee entails cancellation of Registration as per Section 7.

#### **B. Ph.D THESIS SUBMISSION:**

- A candidate is eligible to submit his / her Thesis only:
  1. After completing 3 Yrs. of research work from the date of Registration, as per Section 8.
  2. After publishing / getting acceptance letters as main author / co-author, for at least 2 research articles based on his / her research work related to his / her Thesis, as per Section 7.
- A candidate has to prepare Thesis and submit a copy of synopsis and 3 set of thesis ( Hard and Soft copy), as per Section 8.
- All candidates shall pretest using anti plagiarism software, before submission of the thesis and follow the guidelines below while preparing their Theses:
- The University would cross check the malpractice / plagiarism using anti plagiarism software and shall initiate necessary disciplinary action against the candidate and the Guide, in addition to rejecting thesis.

#### **The Abstract**

An Abstract shall be included in the preliminary section of the Thesis. The abstract in the body of the Thesis shall be in the same style as that used in the rest of the Thesis and shall be placed after the Certificate page. The Abstract shall reflect the contents of the Thesis

#### **Evidence of Publication**

At the end of the Thesis, reprints of published papers or acceptance letters with manuscripts be enclosed.

### **Thesis Copies**

Five bound copies of the Thesis must be submitted and the candidate is advised to keep a copy of the same for personal use. The electronic version of Thesis is to be submitted in CD in .pdf form and a copy of the same is to be retained by the candidate.

### **Certificate**

The certificate in the enclosed format shall be provided in the Thesis.

### **Copies**

Good quality paper must be used for copies and photocopy of the final copy shall be such that it ensures consistent quality without gray or dark casts to the background. All copies shall be on white A4 paper and on one side of a paper.

### **Typeface**

Type size should be 10 point or larger. Script or ornamental fonts shall not be used. Print must be letter quality. Accent marks and hand annotations must be done, neatly in black ink.

### **Margins**

Margins on the binding edge must be 1.5 inches and all other margins must be one inch. (Pagination, headers, and/or footers may be placed within the margin, but margin from the edge of the page should be maintained as foresaid.

### **Spacing**

One and a half or double spacing is to be followed in the main body excepting in presenting foot notes, tables etc which may be single space. Final copies of the Thesis must be clear and attractive. Each copy should be reviewed for evenness and clarity of type, missing pages and crooked text.

## **ORDER AND CONTENT**

- Title page
- Certificate page - containing the signature of the candidate, guide, co-guide, if any, and

Director of the School/Principal of College.

- Certificate that the thesis has been revised and resubmitted based on suggestions by examiners, if applicable, signed by the candidate, guide, co-guide, if any, Dean of the College and /Principal of College.
- Preface and/or Acknowledgement
- Table of contents with page references
- List of tables with titles and page references
- List of illustrations with titles and page references.
- Abstract
- Text
- References
- Appendices, if any
- Bibliography or list of references, if any

### **Pagination**

Each page of the manuscript, including all blank pages, and pages with photographs, tables, figures, maps, Computer printouts shall be assigned a number. Consistent pagination, at least one-half inch from the right-hand top corner of the page, shall be used throughout the Thesis.

### **Land Scape**

For Text, Illustrations, Charts, Graphs, etc. printed in landscape form, the orientation shall be facing away from the bound edge of the paper.

### **Important to Note**

1. For the preliminary pages, small Roman numbers (i, ii, iii, iv etc.) shall be used.
2. For the remainder of the Thesis, the continuous pagination in arabic numerals shall be followed.
3. Address of the candidate / Guide must be School / College address where research was carried out. The Address shall not contain personal affiliation or any other official information / details about the candidate / Guide such as qualification, designation, etc.
4. Official logo / symbol of the Srinivas University / Research Institute must not be used anywhere

inthe Thesis.

5. No dedication of any sort is permitted anywhere in the Thesis.