

ORDINANCE AND REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

SRMUH has adopted University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and 2018 (1st and 2nd amendments)

SRM University Delhi-NCR, Sonapat, Haryana offers research programs in its Departments/Centers leading to the award of Degree of Doctor of Philosophy (Ph.D.). The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Engineering, Technology, Management and Humanities. The procedure and requirements spelt out in these Ordinances and Regulations embody the philosophy to ensure high standards of performance in research work at the University. Notwithstanding; these Ordinances and Regulations, various Departments and Centers may require the scholars to complete additional requirements so as to serve their particular academic goals. Ph.D. degree of SRM University Delhi-NCR, Sonapat, Haryana shall be conferred on a scholar who fulfills the requirements specified in these Ordinances and Regulations. Details are enumerated herein under:

1. GENERAL

- i. Notwithstanding anything contained in this Ordinance and Regulations, all research scholars shall be governed by the rules and procedures framed by the University and in force from time to time.
- ii. Any doubt or dispute about the interpretation of this Ordinance or Regulations shall be referred to the Vice Chancellor whose decision shall be final.
- iii. The University has the right to cancel, at any stage, the admission of the scholar who is found admitted to a course to which he/she was

not entitled in accordance with the Act, Statutes or Ordinance and Regulations in force.

- iv. All exceptions and issues not covered below may be resolved by the Director (Research)/Dean Academic Affairs followed by the decision of the Vice Chancellor.
- v. The degree of Doctor of Philosophy (Ph.D.) may be awarded for the research work conducted in any of the departments and centers of the university.

2. ELIGIBILITY FOR Ph. D. ADMISSION

Educational Qualification

- i. A scholar interested for admission to the degree for Doctor of Philosophy (Ph.D.) in any of the Departments or Centers should normally have a Master's Degree or equivalent in relevant discipline with a minimum of 55% marks (45% in case of SC/ST/ OBC (non-creamy layer) /Physically Handicapped) in aggregate (of all the years/semesters of the Master's Degree Course), or its equivalent grade 'B' in the UGC 7-point* scale or equivalent Cumulative Grade Point Average (CGPA), the equivalence to be determined by the University.

Qualification	Grade	% of Marks	Point
Outstanding	'O'	90 and above	10
Excellent	'E'	80 to less than 90	9
Very Good	'A'	70 to less than 80	8
Good	'B'	60 to less than 70	7
Fair	'C'	50 to less than 60	6
Below Average	'D'	40 to less than 50	5
Failed/Absent	'F'	Below 40	4

***Equivalent percentage of grade will be calculated according to the multiplication factor given by the Institution/University.**

3. CATEGORIES OF Ph.D. SCHOLARS

A scholar can register for the Ph.D. degree programme either as Full-Time Researcher or as a Part-Time Researcher. There shall be three categories of Ph.D. scholars.

- i. **Full Time scholars:** All scholars who pursue full time (With or without stipend or fellowship) research in this University shall belong to this category.
- ii. **Part Time (Internal) scholars:** All scholars (Teaching or Non-Teaching) employed in SRM University who pursue part time research in this University shall belong to this category.
- iii. **Part Time (External) scholars:** All scholars working in Industrial units, Colleges, Government departments, Research organizations or other Institutions, sponsored for pursuing Ph.D. Programmes in this University while continuing to serve in their respective Institutions /Organizations shall belong to this category. They shall pursue research in their place of employment and /or in this University.

3.1 Additional Eligibility Conditions for Part-Time (External) Ph.D. Admission

- i. The applicant should be an employee of an educational institute/organization/Industry and must produce No Objection Certificate (NOC) from his employer on or before the interview.
- ii. The scholar has to ensure the DRCC that his/her official duties permit him/her to devote sufficient time to research and his/her work station has adequate facilities for pursuing research.
- iii. He/She will be required to visit university (on working days) to meet his/her supervisor in the department at least twice in a month and such visit is to be reported to the chairman of DRCC for record.
- iv. A scholar is required to devote at least 10 (Ten) days continually in department for his/her research in a semester.

3.2 Conversion from Full –Time to Part-Time

All the candidates shall be considered as full time till the completion of course work. The conversion of full time to part-time may be considered by the Vice-Chancellor on the recommendation of DRCC after the completion of course work and if he/she satisfies the following conditions. However, no scholarship will be provided to part time candidates.

- i. The request from the Research Scholar in this regard to be made to the Director (Research)/Dean Academic Affairs through proper channel if he/she has already passed the prescribed course work.
- ii. His/her progress reports by his/her supervisor(s) for the previous one year must found satisfactory.
- iii. In case, he/she is holding a regular job in any organization, then he/she must obtain a 'no objection certificate' from his/her employer to continue his/her research work as a part-time Research Scholar at SRMUH that needs to be enclose along with his/her request for the conversion.
- iv. The Research Scholar may be allowed to register as a part-time scholar only after the recommendation of the DRCC and approval of Director (Research)/Dean Academic Affairs/Vice Chancellor.
- v. The full-time Research Scholar after conversion to part-time shall not be entitled for any scholarship which meant for full-time Research Scholar.

All rules and regulations of part-time programme shall be applicable for converted Research Scholar too. However, once converted, the reversal from part time to full time for such candidate will not be entertained.

4. DURATION OF THE PROGRAMME

Ph.D. programme shall be for a minimum duration of **three** years, including coursework and a maximum of **six** years, including coursework.

Programme Normal duration	Programme Extended duration
<p>Full Time/Part Time</p> <p>Minimum duration: 03 years, including coursework</p> <p>Maximum duration: 06 years, including coursework</p>	<p>May be extended with the approval of the Vice Chancellor on the recommendation of the DRCC & Research Office.</p>

It can be further extended for one more year (Two year for women scholars and persons with disability (PWD) more than 40% with the approval of the Vice Chancellor. In addition, the women scholars may be provided Maternity Leave once in the entire duration of Ph.D. upto 240 days.

Vice Chancellor may also consider granting one mercy chance in addition to normal duration under extraordinary circumstances on the recommendation of the DRC. If the extension is granted then the scholar have to re-register.

The fee structure, academic calendar, scheme of studies and examinations, examination schedule, sports calendar and cultural activity calendar etc. for the academic year shall be published in the University website.

The duration of the programme and the time for submission of thesis are counted from the date of provisional registration.

5. ADMISSION PROCESS

- i. Admission for Ph.D. Programme will be announced twice in an academic year, i.e. May and November.
- ii. *Receipt of application:* - The scholar seeking admission shall apply to the University in the prescribed Application. Application can be downloaded from the University website www.srmuniversity.ac.in and duly filled application shall be submitted with application cost and processing fee.
- iii. *Scrutiny of the applications by the concerned department:* - The applicants found eligible after scrutiny will have to take the Entrance

Test and those further shortlisted will be required to appear for interview. The applicants who have qualified UGC/CSIR/DBT (JRF/SRF) or other such national level Examinations/selections for research and have been awarded scholarship/fellowship may be exempted from the test.

- iv. Scholars with any such (iii) scholarship/fellowship may approach the Departments or Centers round the year to apply for admission to Ph.D. Programme. The respective Departmental Research Coordination Committee (DRCC) may interview the applicant to make a decision. If selected, the applicants will join a research programme and will do the Ph.D. course work in subsequent semester(s). If the JRF/SRF scholars are applying for admission along with the normal admission process of Ph. D., their merit would be prepared with the normal scholars after giving suitable percent of marks in lieu of entrance test.
- v. The foreign Embassy sponsored scholars shall also be exempted from appearing in the Entrance test. Such scholars, however, shall be required to write an Essay on Intent on any topic of his/her area of Interests in about 150-200 words at the time of interview.
- vi. The successful applicants, i.e. eligible applicants, who qualify the entrance test (qualifying marks = 50%) or otherwise exempted shall be judged by the DRCC through interview/viva-voce. The interview/viva-voce shall also consider the following aspects, viz. whether:
 - a) the scholar possesses the competence for the proposed research;
 - b) the research work can be suitably undertaken at the Institution/College/Department;
 - c) the proposed area of research can contribute to new/additional knowledge
- vii. Provided that for selection of candidates a weightage of 70% to the entrance test and 30% to the performance in the interview/viva-voce shall be given
- vii. The Vice-Chancellor may cancel the registration of a scholar at any time, after the issue of a due show-cause notice, on disciplinary or

any other grounds, which are considered to be not in consonance with the dignity and behavior of a research scholar or non-payment of tuition, hostel or any other dues.

5.1 The Entrance Test

- i. Admission to the Ph.D. programme shall be through a national level Entrance Test.
- ii. The entrance Test shall be a written examination of two (02) hours duration of one hundred (100) marks comprising following parts:
 - a) Research Methodology (50 MCQs) of 50 marks **(Common for all)**
 - b) Department/Subject Specific (50 MCQs) of 50 marks

6. ALLOCATION OF RESEARCH SUPERVISOR

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

- i. All Ph.D. scholars are required to work under the guidance of a recognized supervisor/Supervisor's from the University.
- ii. 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. To supervise the candidate two years post Ph.D. experience is mandatory. However, in special circumstances, the Vice Chancellor may relax this condition.
- iii. 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 recommendation of the DRCC and approval of the Director (Research)/Dean Academic Affairs /Vice Chancellor.
- iv. The allocation of Research Supervisor for a selected research scholar shall be decided by the Department 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.
- v. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the DRCC may appoint a supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/University/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting University/Colleges/Institutions.
 - vi. A Research Supervisor who is a Professor, at any given point of time, can supervise up to a maximum of Eight (8) Ph.D. scholars. An Associate Professor can supervise up to a maximum of six (6) Ph.D. scholars and an Assistant Professor can supervise up to a maximum of four (4) Ph.D. scholars.
 - vii. If the supervisor leaves the University, he/she may be permitted to continue as a Supervisor for his/her scholars depending upon the availability of the faculty who left the university and upon the mutual consent between the Ph.D. Scholar and supervisor, subject to the approval of the Director (Research)/Dean Academic Affairs/Vice Chancellor. Otherwise a new supervisor belonging to the same faculty of SRM University, officially nominated by the DRCC shall be appointed as the Supervisor after obtaining necessary approval from the Director (Research)/Dean Academic Affairs/Vice Chancellor.
 - viii. Qualified Teachers/ Scientist working in Universities/Research Institutions that enter into MoU with SRM University, Delhi-NCR, Sonapat, Haryana or other recognized University will be recognized for co-supervisorship as per rules in force from time to time.

7. DEPARTMENTAL RESEARCH COORDINATION COMMITTEE (DRCC)

The Departmental Research Coordination Committee (DRCC) shall consist of the following provided each qualifies to be a Ph.D. Supervisor:-

1. Dean Academic Affairs
2. Dean/Associate Dean of Concern faculty
3. Head of the Department
4. All Professors of the Department*
5. One Associate Professor of the department having Ph.D. Degree on rotation basis for a period of 2 years. If such teachers are not available in the department then the chairperson of DRCC may co-opt members from outside the department.
6. One Assistant Professor of the department having Ph.D. Degree on rotation basis for a period of 2 years.
7. One/Two External experts approved by the Vice Chancellor. **
8. Supervisors/Co-Supervisors of the scholars: They do not, however, constitute the regular members (unless covered under 5 or 6). They participate in DRCC meetings only when the cases of their respective scholars are taken up. Also, the proposed supervisor is to be invited to participate in the DRCC meeting when the case of his/her prospective scholar is taken up.

The Head of the department shall be the chairperson of the DRCC if he/she is a Professor; otherwise the Dean of the Concern Faculty will be the chairperson.

*** If any department does not have Professor, in such a case two Professors from other departments may be nominated.**

Responsibilities of the DRCC

This Committee shall have the following responsibilities:

1. To identify the subjects for the course work examination of a Ph.D. scholar.

2. To review the research proposal and finalize the topic of research.
3. To guide the research scholar to develop the study, design and methodology of research and identify the course(s) that he/she may have to do.
4. To periodically review and assist in the progress of the research work of the research scholar.
5. A research scholar shall appear before the DRCC once in every six months, with a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the DRCC to the Director (Research)/Dean Academic Affairs with a copy to the research scholar.
6. In case the progress of the research scholar is unsatisfactory, the DRCC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRCC may recommend to the Director (Research)/Dean Academic Affairs with specific reasons for necessary action against the research scholar(s).
7. To review the quality of research work on completion of research work through pre submission seminar and will give the approval for the submission of the thesis.

**** External experts shall be invited as the member of the committee only during the submission of research proposal and pre-submission seminar.**

8. RECOGNITION OF RESEARCH CENTERS

Various National and Regional Laboratories / Institutions / Organizations / Industrial Establishments/ Industries recognized by DSIR / Departments are eligible to admit scholars for Ph.D. under this University provided they possess recognition from the University. Other Institutions desirous of getting recognition must apply to the University for securing recognition as Centers of Research. The University will get these institutions assessed

through a committee before awarding the recognition, wherever necessary as per the guidelines approved by the Research Council (RC).

9. RESEARCH OUTSIDE THE UNIVERSITY

During the course of the Ph.D. Programme, for reasons approved by the DRCC, a scholar 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.

10. COURSE WORK

All research scholars shall have to complete the specified course work as per the academic semester schedule. The research scholars with PG Degree should successfully complete a minimum of **four** courses (minimum of 12 credits) prescribed by the DRCC. One course shall be on Research Methodology of 4 (Four) credits, 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. and another course will be Research and Publication Ethics of 2 (Two) credits. The other two courses shall be of advance level finalized by the DRCC relating to the area of research sought.

In the case, if scholars already hold full time (Regular) M.Phil. Degree or studied Research Methodology in his/her PG degree, he/she will be exempted from Research Methodology course.

- a) All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the department during the initial one or two semesters.
- b) At the end of the semester, there shall be an examination wherein candidates shall be examined in the courses studied by them in that semester.

- c) All research scholars while pursuing assigned course work must attend 75% of the classes in each course failing which the scholar has to repeat the concern course.
- d) The examinations for all semesters will normally be held in November/December/ and also in May/June on such dates as may be fixed by the Controller of Examinations as per the schedule provided by the University. The date(s) of commencement of examination as well as the last date(s) for the receipt of the examination forms and fees shall also be notified by the Controller of Examinations to the concerned University teaching departments. The concerned teacher should ensure that 100% syllabus is covered in his/her course before the start of semester examinations.
- e) The courses of the study and the subjects of examinations shall be as approved by the Academic Council from time to time. The medium of instructions and examination shall ordinarily be English except otherwise decided by the Academic Council. The question paper will be set in English, except otherwise decided by the DRCC concerned and approved by the Academic Council. Every candidate shall be examined in the subjects as decided by DRCC. The credits for each subject as also the contact hours per week will be mentioned in the scheme of studies approved by the Academic Council.
- f) Normal duration of Pre-Ph.D. course work is one semester only. The course work should be completed in maximum of two semesters after admission in the university/Pre-PhD course work, failing which his/her admission shall be cancelled. No mercy chance shall be considered in any circumstances.

10.1 Assessment and Evaluation:

i. Major Test (Theory Examination):

Major Test shall be of 60 Marks. Questions papers for the end semester examination shall be set by paper setters appointed by Controller of Examinations from a panel of examiners submitted by

the Chairman of the DRCC. In case a question paper is not received in time from a paper setter; Controller of Examinations shall get the paper set from an alternate examiner who is otherwise competent to do so. The evaluation of answer scripts shall be done as per procedure laid down by the University.

ii. Sessional (Internal Assessment):

Sessional (Internal Assessment) shall be of 40 Marks. Sessional (internal assessment) works shall be evaluated by the teachers of the various subjects based on the work done during semester on the basis of the following weightage:

S. No.	Components of Sessional	Weightage
Theory Courses		
1.	Assignment-1	5 Marks
	Assignment-2	5 Marks
	Tutorial Tests/ Mini project/ Performance in the class	5 Marks
	Assignment based presentation	5 Marks
2.	Sessional Test-1	10 Marks
	Sessional Test-2	10 Marks

The marks obtained in sessional are to be submitted to the Examination wing duly signed by the Head of the department on or before the close of semester examination or marks can be uploaded on the examination portal before a date fixed by the Controller of Examinations. The examination wing shall convert the marks in to equivalent grades as per the grading procedure.

iii. Registration/Continuous Absence/Re-admission

- a) Every scholar has to register himself/herself at the starting of each semester till the submission of Thesis. Teaching Department shall make the provision of Registration.
- b) On the request of scholar, admission may be cancelled at any time during the course and security amount will be refunded.
- c) If a scholar is continuously absent during entire semester without any intimation and did not deposit requisite fee of the semester, his registration/admission shall be cancelled & Re-admission will not be allowed.
- d) If candidate has registered himself/herself and requisite fee has been deposited & candidate is absent during a semester to the extent that he/she is unable to fulfill the requirement of attendance, then he/she will be permitted to complete the course work in next semester.
- iv. At the end of semester examination, the COE shall publish the result. Each successful candidate shall be issued a Detailed Marks Card of the result on having passed the semester examination.
- v. The grievance regarding question paper of end semester theory examinations shall be submitted to examinations Grievances Committee through Supervisor/Head of the Department.

11. REGISTRATION FOR Ph. D. DEGREE

Provisional Registration: On the recommendation of DRCC, the candidate shall be admitted to the Ph.D. Programme and shall be considered for provisional registration.

Registration: On the successful completion of prescribed coursework, the candidate shall be registered for Ph.D. programme.

Note- The duration of the course shall be counted from the date of provisional registration.

12. RESEARCH PLAN PRESENTATION

- i. After completing the Pre Ph.D. course work, every research scholar is required to submit and present her/his research plan proposal along with the topic for consideration of the Departmental Research Coordination Committee (DRCC) in the prescribed format.
- ii. The DRCC will evaluate the research plan proposal and her/his academic preparation and potential to carry out the work in the research proposal.
- iii. DRCC, if satisfied shall communicate it to the Director (Research)/Dean Academic Affairs for approval.
- iv. In case the proposal and presentation are found unsatisfactory, DRCC will suggest modifications in the research plan proposal. The research scholar will incorporate the necessary modifications in consultation with her/his supervisor(s) and will resubmit and present before DRCC for fresh evaluation.
- v. The research scholar will get only one chance for modifications/improvements in her/his research plan. The research plan presentation cannot be considered before successful completion of prescribed course work. In case the research plan proposal is not approved within 18 months of admission in the university it shall lead to the termination of admission to Ph.D. programme. A mercy chance may be considered by the Vice Chancellor on the recommendations of DRCC.
- vi. The supervisor of the research scholar, in consultation with the Chairman of DRCC, shall arrange for a research plan presentation and give notice of at least fifteen days in advance for the same.

13. MONITORING THE PROGRESS OF SCHOLARS

- i. The DRCC must meet at least twice in a year for each scholar until the scholar submits the synopsis of his/her thesis and the report of the DRCC shall be sent to the Director (Research)/Dean Academic Affairs

through the respective Heads of the departments and the Dean of the concerned Faculty.

- ii. Every six months commencing from the date of provisional registration, the scholar shall submit a progress report in the prescribed format to the supervisor who shall forward it to the Director (Research)/Dean Academic Affairs for information and documentation.

The progress of each scholar will be monitored by the DRCC. For this purpose, in every six months, a research scholar is required to submit through his supervisor, the semester progress report, clearly highlighting the work carried out during that semester. The progress report, giving appropriate headings, must cover

- i) Summary of the work done and results obtained in the semester under report,
- ii) The goal set for the coming semester,
- iii) The methodology to be used in achieving the goal, and
- iv) The extent of the fulfillment of the research proposal.

The research scholar should appear before the DRCC for a presentation/interview when it is evaluating his/her progress. If the two continuous progress reports of an individual scholar is adjudged as unsatisfactory, the DRCC may recommend Director (Research)/Dean Academic Affairs for necessary action and this may be led towards termination of the candidature. However, the Committee may, at its discretion, give the scholar one chance to improve his/her performance.

14. CANCELLATION OF REGISTRATION

- i. If the scholar is not able to submit the fees, the accounts section should send his/her name to the respective department and department will issue a letter to the scholar. If the scholar will not submit fees after two consecutive semesters his/her name may be stuck off from the rolls of the University after the recommendation of the Head of Department and supervisor.

- ii. If the scholar fails to submit his/her progress report after every semester, after two consecutive such semesters, DRCC may recommend the cancellation of admission.
- iii. In case two consecutive six monthly reports are unsatisfactory, DRCC may recommend cancellation of the registration.
- iv. If the supervisor feels that the scholar lacks interest and motivation for research after completion of course work, he can recommend his/her case to the DRCC and DRCC can recommend for cancellation of admission.
- v. The registration of a research scholar who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the Regulations will be cancelled by the University.

Finally, the Academic Council, on the recommendation of the DRCC, may cancel the registration of a research scholar.

15. CHANGE OF SUPERVISOR

- i. The DRCC shall consider requests from scholar or his/ her Supervisor for a change of Supervisor/ Co-supervisor. New Supervisor/ Co-supervisor shall be appointed following the normal procedure for appointment of Supervisor after seeking approval of the Director (Research)/Dean Academic Affairs/Vice Chancellor.
- ii. Change of Supervisor shall lead to change in research proposal unless the new Supervisor agrees to the same research proposal being pursued under the supervision of the previous supervisor. This condition is not applicable in case of change of Co-supervisor.

16. THE ACT OF PLAGIARISM

In the case of research scholars who have copied, as confirmed by a committee, a research Work/ thesis of Ph.D. degrees, his/her thesis shall be rejected and his/her research registration shall be terminated and also he/she shall be debarred from registering for any other programme in this University.

Zero Tolerance Policy in core area:

The core work carried out by the student, faculty, staff and researcher shall be based on original ideas and shall be covered by Zero Tolerance Policy on Plagiarism. In case Plagiarism is established in the core work claimed then Plagiarism Disciplinary Authority (PDA) of the HEI shall impose maximum penalty.

The core work shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations.

Levels of Plagiarism in non-core areas:

For all other (non-core) cases, plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Similarities upto 10% - Excluded
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

Similarity checks for exclusion from Plagiarism:-

The similarity checks for plagiarism shall exclude the following:

- i. All quoted work either falling under public domain or reproduced with all necessary permission and/or attribution.
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All small similarities of minor nature.
- iv. All generic terms, laws, standard symbols and standards equations.

17. PRE-SUBMISSION SEMINAR, SYNOPSIS AND THESIS SUBMISSION

17.1 Pre-submission Seminar

- i. A Pre-Ph.D submission is an essential requirement to assess the contents of the thesis by the DRCC. On the completion of the research work and complying with the submission requirements, the scholar

- shall submit to Supervisor(s), a copy of the extended synopsis of his research work.
- ii. If supervisor(s) is / are satisfied that the research work has been completed as per predefined objectives and the research scholar meets the eligibility criteria for Pre-Ph.D submission seminar, he/she/they shall forward the same with the certificate through the Head of the Department to the Dean of the faculty concerned.
 - iii. A research scholar can submit her/his thesis only when if he/she has published One (1) research paper in refereed journal (SCI/ESCI /SCOPUS /WOS /UGC Care listed journals/Peer Reviewed refereed Journals) and make two paper presentations in conferences/seminars.
 - iv. The synopsis and other concerned papers of the research scholar shall then be forwarded to Research Office for verification. After verification of required documents and approval of Director (Research)/Dean Academic Affairs, the Research Coordinator will forward the case to DRCC for assessing the work of the scholar.
 - v. Notice for Pre-Ph.D submission presentation shall be issued by the Research Coordinator with the approval of Director (Research)/Dean Academic Affairs, in consultation with the concerned Head of Department and supervisor(s) **at least 7 working days in advance to the date of seminar.**
 - vi. The DRCC shall assess the work of the scholar through a pre-submission seminar. This shall be an open seminar and any member of the University including scholars and visitors may participate in it. The committee would submit its recommendations of the pre Ph.D presentation along with the extended synopsis to the Research Coordinator through concerned Dean as under:
 - a) If the DRCC committee is fully satisfied with the research work completed by the research scholar, it will recommend to allow the research scholar to write his / her thesis and submit the final draft within 6 months, but, not early than 2 months from the date of the pre-submission seminar. If a scholar fails to submit the

thesis in stipulated period, then he / she will have to submit the thesis after making Pre-Ph.D. submission presentation again.

- b) If the committee is not satisfied with the research work done by the research scholar, it will advise the research scholar to make the specific changes / undertake additional research work and resubmit the extended synopsis.
- vii. The final report of the committee and all other requisites will be submitted to the Research office for records.

17.2 Submission of Synopsis

- i. Upon satisfactory completion of the research work and after the approval of DRCC, the supervisor shall forward 4 hard copies of the synopsis of the proposed thesis, a soft copy in CD/DVD/Pen drive, panel of examiners in sealed envelope along with plagiarism report to the Chairman of DRCC.
- ii. After the necessary approval, the file will be forwarded to the office of Director (Research)/Dean Academic Affairs. After verification of required documents and approval of Director (Research)/Dean Academic Affairs, the Research Coordinator will forward the required file to the Controller of Examinations for further processing.

17.3 Submission of Thesis

- i. The research scholar shall submit his/her thesis within six (6) months, but, not less than two (2) months of pre-submission seminar. The thesis must be prepared in accordance with the format and specification prescribed and should be in organized and scholarly fashion, highlighting the original contribution made in the research work of the scholar.
- ii. He/ She shall submit 4 hard copies of the thesis along with a soft copy in CD/DVD/pen drive and plagiarism report to the Research Office through proper channel. After verification of documents and approval of Director (Research)/Dean Academic Affairs, the Research

Coordinator will forward the file to the Controller of Examinations for further processing. Under no circumstances, the submission of a thesis shall be delayed except under special circumstances, where an extension may be granted by the Vice-Chancellor on the recommendation of DRCC.

- iii. While submitting for evaluation, the 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.
- iv. At the time of submission, the scholar shall also submit the examination form and a copy of the examination fee receipt. All submissions are to be made to the Head of the Department.

18. PANEL OF EXAMINERS

- i. The Supervisor shall also submit to the Chairman of DRCC, under confidential cover, a panel of eight subject experts having Ph.D. Degree and of Professor rank.
- ii. At least three of the experts should be from the eminent Institutions/Universities outside the state.
- iii. Two experts should be from the national level Institution/Universities which may include experts from abroad.

After the approval of the panel of examiners, the Chairman of DRCC shall forward the synopsis and the panel of examiners to the Director (Research)/Dean Academic Affairs through Research Coordinator for further processing.

19. BOARD OF EXAMINERS

- i. On receipt of the synopsis of the thesis and the panel of examiners, the Vice Chancellor will appoint a Board of Examiners for each

scholar from the panel. The Board of examiners will consist of the Supervisor and Co-supervisor, if any, as the internal examiners, and two external examiners.

- ii. The Controller of Examinations will send a copy of synopsis to the external examiners of the Board for seeking their consent.

20. THESIS ADJUDICATION

The Thesis shall be referred to two examiners. The name of examiners will be nominated by the Vice Chancellor from the panel of examiners recommended by the Supervisor. The Vice Chancellor, if he deems it necessary, may also nominate examiners from outside the panel.

- i. All correspondence in regard to thesis evaluation of the scholar shall be done by the Controller of Examinations.
- ii. A copy of the thesis shall be sent to the examiners after receiving their consent.
- iii. In case a member of the board, after receiving the synopsis declines to act as an examiner, a new examiner shall be appointed from the panel of examiners with the approval of the Vice Chancellor.
- iv. Each external examiner will be requested to submit a detailed assessment report and his /her recommendation within six weeks of the date of receiving the thesis. The external examiners will examine the thesis individually with a view to judge that the thesis is a piece of research work characterized by:
 - a) The discovery of new facts, or
 - b) A fresh approach towards interpretation and application of facts or theories, or
 - c) A distinct advancement in technology.
- v. Each external examiner is required to give his/her opinion about the scholar's capacity for critical examination and sound judgment. The examiners will submit the report to the Controller of Examinations on the prescribed form supplied by him clearly recommending that:

- a. The thesis is accepted for the award of the Ph. D. degree subject to the scholar's giving satisfactory answer to the queries specifically mentioned in the report, at the time of Viva-Voce examination,

or
 - b. The scholar be asked to resubmit his/her thesis in the revised form,

or
 - c. The thesis is rejected.
- vi. In the event of the thesis report not being received from an external examiner within a period of three months from the date of dispatch, in spite of a reminder after the lapse of normal six week time, the Vice Chancellor may appoint alternate external examiner from the approved list of examiners for evaluating the thesis. Before corresponding with the alternate examiner, the original examiner must be informed of the cancellation of her/his appointment

21. RESULT OF EVALUATION

The examiner shall enclose a report of 200 to 300 words, indicating the standard attained in case (a), the nature of revision in case (b) and the reasons for rejection in case (c)

On receipt of the reports from the examiners, the following procedure shall be adopted:

- a) If both the examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the oral examination.
- b) If any examiner recommends revision of the thesis, the scholar shall be permitted to revise and resubmit the thesis within 6 months. The revised thesis shall be referred to the same examiner, if the examiner has insisted the University to send the thesis back to him/her after revision for offering his/her final recommendation on the thesis. In

such a case the examiner should offer his/her comments for the second time either as recommended for the award or rejection. In case, the examiner did not insist on sending the thesis back to him, then the University may refer the revised thesis to the Guide for verification.

- c) If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice Chancellor. If the third examiner recommends the award, the thesis shall be provisionally accepted.

If the third external examiner recommends rejection, the recommendation 'rejection' shall be accepted.

If the third external examiner recommends acceptance or revision, the recommendation 'revision' shall be accepted.

- vii. Any doubt arising out of the procedure laid down above shall be referred to the Vice Chancellor for a decision. Notwithstanding anything contained above, in case where some punitive action is to be taken, the Vice Chancellor shall have the full powers to seek the opinion of any other external examiner.

The scholar shall be asked by the Controller of Examinations through Research Coordinator to proceed to the viva-voce examination if both external examiners recommend so. If one external examiner recommends viva voce and one recommends revision, then the scholar shall revise the thesis and obtain recommendation for viva voce by the external examiner concerned.

22. RESUBMISSION OF THESIS

- i. When a thesis is to be revised and resubmitted, the research scholar and Supervisor shall be informed by the Controller of Examinations through the Research Coordinator about the comments of the examiners.

- ii. The revised thesis is to be submitted within six months, but not earlier than two months.
- iii. The revised version of the thesis will be sent to the external examiners concerned for his fresh recommendations.
- iv. A fresh fee for the examination shall be paid by the scholar.

23. VIVA-VOCE EXAMINATION

- i. On receipt of the thesis examination reports from the examiners, the Controller of Examinations shall send all the reports to the Vice Chancellor for appointment of Examiner out of already appointed for thesis evaluation to conduct viva-voce examination.
- ii. On having been informed by the Controller of Examinations to appear in the viva-voce examination, the scholar is to defend her/his work/thesis orally before a committee of the examiners comprising one external examiner; and supervisor/co-supervisor as the internal examiner approved by the Vice Chancellor. The Head of the department in consultation with the supervisor/internal examiner will fix a date for holding the viva-voce examination. The questions/queries specified by the thesis examiners in their reports shall be intimated to the candidate through her/his supervisor at least one week before the date of conduct of the viva-voce examination. The date of the viva-voce examination shall be adequately notified so as to enable interested faculty, staff members and scholars to attend it.
- iii. In case of non-availability of the external examiner for conducting the viva-voce examination, the Vice Chancellor may appoint alternate examiner to conduct the viva-voce examination from the existing panel. If need be, the supervisor may suggest a fresh panel of examiners. After the viva-voce examination, both the examiners will prepare a detailed joint report giving one of the following three recommendations:
 - a. Recommended for the award of the degree,

or

b. The thesis be resubmitted after incorporating the suggested corrections,

or

c. Not recommended for the award of the degree.

The report shall be sent to the Controller of Examinations in a confidential cover.

24. AWARD OF THE Ph. D. DEGREE

- i. The scholar shall be provided a list of all corrections and modifications to be made in the thesis as suggested by the examiners. The scholar will submit to the Controller of Examinations, two hard copies and one soft copy of the corrected thesis along with (a) a copyright certificate in favour of University on prescribed form (b) a certificate by the supervisor that the necessary corrections and modifications have been made and (c) a 'No Dues Certificate' from all concerned in the prescribed form.
- ii. On receipt of the above, the Controller of Examination shall put up all the reports before the Research Degree Committee (RDC) consisting of :

Vice Chancellor	Chairman
Director (Research)/Dean Academic Affairs	Member
Dean of the concerned faculty	Member
Research Coordinator	Member
Chairperson, DRCC	Member
Controller of Examinations	Member Secretary

- iii. The committee shall examine the reports of all the examiners (thesis and viva-voce) and decide as under:
 - a) That the degree be awarded;

or

- b) That the degree be awarded on resubmission of thesis;
or
 - c) That the degree shall not be awarded
- iv. The Registrar shall notify the result as approved by the Research Degree Committee and issue a provisional certificate to the research scholar, certifying to the effect that the degree has been awarded in accordance with the provisions of UGC Regulations 2016 dated May 05, 2016.
 - v. The award of Ph.D. degree can be withdrawn by the University on the recommendations of the DRCC, in case the thesis submitted by the candidate is found to be a duplication of an old work or pirated research work.
 - vi. If, any one out of two evaluators suggests that the thesis is not worth publication, then the thesis along with the publication record will be submitted to the Research Degree Committee (RDC) and committee will further examine the quality of thesis along with publication quality and shall give recommendations, whether thesis is worth to publish or not.
 - vii. On successful completion of the evaluation process and announcement of the award of Ph.D. Degree, the Controller of Examination shall submit a soft copy of the thesis to the UGC within a period of 30 days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

25. LEAVE/ RESIDENTIAL CONDITION FOR FULL-TIME CANDIDATE

- i. A Ph.D. scholar during her/his stay at the University will be entitled to leave of 30 Days per year including 8 days casual leave and 10 days sick leave. She/he will not be entitled to mid-semester break/vacation, or summer and winter vacation. Leave beyond 30 days in an academic year may be granted to a research scholar without scholarship/fellowship in exceptional cases. The women

candidate may be provided maternity leave/child care leave once in the entire duration of Ph.D. for up to 240 days.

- ii. If in any case, the candidate takes the leave for a period of more than 60 days in an academic year, the leave period shall not be counted in total duration of course.
- iii. All leave is subject to approval of the Director (Research)/ Dean academic affairs/Vice Chancellor on the recommendation of the Supervisor /Head of the Department.
- iv. In case of the scholar drawing any Fellowship/Scholarship of outside funding agency, the leave norms, terms and conditions of the funding agency/university will apply.

26. CHANGE OF REGULATIONS

The Academic Council of SRM University Delhi-NCR, Sonapat may revise, amend or change the regulations from time to time.

27. AWARD OF Ph.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS

Award of degrees to scholars registered for the Ph.D. programme on or after July 11, 2009 till May 5, 2016 the date of Notification of University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./PH.D Degrees) Regulations, 2016 shall be governed by the provisions of the UGC (Minimum Standards and procedure for awards of Ph.D. Degree) Regulation, 2009.

28. RESEARCH COORDINATOR

The roles and responsibilities of the Research Coordinator are as under:-

- i. Monitoring of admission process of Ph.D. and submission of report to Director (Research)/Dean Academic Affairs.
- ii. Monitoring of proper function of the classes scheduled for course work
- iii. Timely conduction of Course work examination in coordination with DRCC/Examination department.

- iv. Coordinate with department(s) for the smooth and timely conduction of DRCC meeting, Pre-submission seminar, submission of final synopsis, and thesis. The department shall be submitting the minutes of meeting to the Research Coordinator and finally the Research Coordinator will be submitting the report to the Director (Research)/Dean Academic Affairs. The files related to Ph.D. programme shall be routed through Research Office.

29. TRANSITORY PROVISION

These regulations shall come into effect from July 1, 2021.