

Ph.D Degree Regulations

SRM University - AP



SRM University-AP

Ph.D. Degree Regulations

(Applicable for all students joined since 2017)

1. Definitions and Nomenclature

In the regulations, unless the context otherwise requires,

- (i) “SRM-AP” means SRM University-AP
- (ii) “Programme” means Doctoral Programme leading to the award of Ph.D. degree in Engineering and Technology / Science and Humanities.
- (iii) DRCC means “Department Research Co-ordination Committee”
- (iv) “Chairperson” means the Head of the DRCC.
- (v) “Supervisor” means a faculty member of SRM-AP who has been recognized by SRM-AP to supervise the research scholars for Ph.D., programme.
- (vi) “Doctoral Committee” means a Committee constituted by SRM-AP for each Scholar to monitor the progress of his/her research work.
- (vii) “Scholar” means any candidate admitted for pursuing research for the award of Ph.D. degree of SRM-AP.
- (viii) “Course” means a theory subject/a practical subject of PG programme/a directed study prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Programme.

2. Category of Ph.D. candidates

There shall be full time PhD candidates, who pursue full time research in SRM-AP.

3. Eligibility

3.1 Two years of Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 60% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a

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

3.2 Candidates who have cleared the M.Phil. course work with at least 60 % marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to do research work leading to the Ph. D. Degree.

3.3 A relaxation of 5% of marks, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ differently-abled/ migrants of North Eastern states and Jammu & Kashmir.

4. Duration of the Programme

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

4.1 All Ph.D. programmes shall be for a minimum duration of three years, including course work and a maximum of five years for full time scholars.

4.2. Under extraordinary circumstances, if the candidate fails to submit the thesis within the maximum period, further extension of the period for a maximum of two years may be granted by the Pro Vice - Chancellor, on the recommendations of the Doctoral Committee, Dean of concerned Faculty and Research Coordinator.

After the expiry of the maximum period including the extension granted, a candidate will be permitted to re-register as per the following regulations.

(i) For those candidates who want to re-register under the same supervisor on the same area of research, the earlier Doctoral Committee and the course works completed will hold good.

(ii) For those candidates who wish to re-register with a different supervisor on a different area of research will be subjected to the regulations applicable for the fresh candidates.

(iii) If the area of research is the same, the new Doctoral Committee will decide whether the earlier course works completed can be considered for exemption or not.

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

5. Admission procedure

The number of available seats in the various specializations under different disciplines will be determined well in advance depending on the number of available Research Supervisors and other academic, physical and research facilities available, keeping in mind the norms regarding the scholar- supervisor ratio (as indicated in Para 6.2. iii), laboratory, library and such other facilities and will be notified in SRM-AP website and through advertisement.

(ii) The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed form through proper channel wherever applicable, **before 31st March/30th September**, each year to the Director (Admissions). The application form and the necessary details are available in SRM-AP website.

(iii) The applications received will be sent to the respective Chairpersons of the Department Research Coordination Committee (DRCC) of the departments through the Research Co-ordinator. The DRCC will consist of all the recognized supervisors in the department and a recognized supervisor from another department of the SRM-AP nominated by the respective faculty Deans. If the Head of the department is a recognized supervisor, he/she will be the Chairperson. If not, he/she will nominate one of the recognized supervisors in the department as the Chairperson of DRCC. The DRCC shall screen the applications and conduct the Entrance Test.

(iv) The Entrance test need not be conducted for those students who qualify UGC-NET (Lecturership and JRF)/UGC-CSIR NET (including JRF), NBHM, DBT-NET, ICMR-NET, ICAR-NET.

(v) The DRCC shall admit candidates by a two stage process through:

1. An Entrance Test shall be qualifying with qualifying marks as 60%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance.

2. An interview/viva-voce to be organized by the DRCC when the candidates are required to discuss their research interest/area through a presentation before the Department Research Coordination Committee. The interview/viva voce shall also consider the following aspects, viz. whether:

2.1 the candidate possesses the competence for the proposed research;

2.2 the research work can be suitably undertaken;

2.3 the proposed area of research can contribute to new/additional knowledge.

(vi) The allocation of Research Supervisor for a selected research scholar shall be decided by the DRCC 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 and also depending on the availability of research facilities.

(vii) The respective DRCC will forward the list of selected candidates along with the applications of all the candidates to the Research Coordinator.

(viii) The Research Coordinator will seek the approval of the Pro Vice-Chancellor for the provisional registration of the selected candidates.

- (ix) The Candidates whose registration has been approved by the Pro Vice - Chancellor shall be provisionally admitted to the Ph.D. Programme by the Research Coordinator with intimation to the concerned Faculty Coordinator, supervisor, and the candidate.
- (x) On receipt of the Provisional registration of the candidates, the supervisors of the students shall recommend a panel of Six names for forming the Doctoral Committee for their respective students and send the same to the Research Coordinator through the respective Department Coordinator. The Research Coordinator shall form the Doctoral Committee as in Para 9 below, get the approval of the Pro Vice - Chancellor and then communicate the same to the Department Coordinator for record and to the respective supervisors for further action.
- (xi) The date of provisional registration shall be of 1st of July or 2nd of January of each year.
- (xii) SRM-AP shall maintain the list of all the Ph.D. registered scholars on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

6. Allocation of Research Supervisor:

6.1 Recognition of Supervisors

Recognition of Supervisor for guiding research work will be accorded by the Pro Vice - Chancellor, on application to the Research Coordinator through proper channel in the prescribed format with the recommendation of a subject expert identified by the faculty coordinator.

Only a full time regular teacher of the concerned SRM-AP can serve as a supervisor.

- (i) A faculty member of SRM-AP with atleast two research publications in Q1/Q2 journals as published by Thomson Reuters in the last 3 years may be recognized as a research supervisor and a minimum of two years of research experience after acquiring Ph.D.

degree may be recognized as Research Supervisor. All publications mentioned above must be in indexed journals.

- (ii) All the supervisors must have been active researchers during the past five years. In areas/disciplines where there is no or only a limited number of indexed journals, SRM-AP may relax the above condition for recognition of a faculty as Research Supervisor with reasons recorded in writing. The minimum impact factor (IF) requirements may be relaxed by the Pro Vice - Chancellor for humanities, social sciences, and other areas.
- (iii) The external supervisors are not allowed. However, Co-Supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other institutions of national and international eminence and laboratories of CSIR, DST, DBT, DRDO, DAE, ISRO and other national institutions with the approval of the Pro Vice - Chancellor

6.2 Allocation of Supervisors

- (i) The allocation of Research Supervisor for a selected research scholar shall be decided by the DRCC 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.
- (ii) In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the DRCC has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
- (iii) A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, can guide up to three (3) M.Phil. and six (6) Ph.D. scholars. An Associate Professor as a Research Supervisor can guide up to a maximum of two (2) M.Phil. and four (4)

Ph.D. scholars and an Assistant Professor as a Research Supervisor can guide one M.Phil. and a maximum of three (3) Ph.D. scholars. Guiding research scholars is a significant investment of one's time. Care must be taken before accepting doctoral scholars considering the load on hand and the availability of time to carry out quality research.

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

7. Supervisors

- (i) All Ph.D. candidates are required to work under the guidance of a recognized Supervisor from SRM-AP.
- (ii) When a supervisor of a candidate happens to be away from SRM-AP, for more than 6 months, he/she may continue to guide the candidate, but a supervisor belonging to the same faculty of SRM-AP shall be officially nominated as a Co-supervisor by the DRCC of the department and forwarded through proper channel to the Pro Vice - Chancellor for approval.
- (iv) If the supervisor leaves SRM-AP, he/she may be permitted to continue as a supervisor for a maximum period of six months for his/her students depending upon the availability of the individual, subject to the approval of the Pro Vice - Chancellor. Otherwise a new supervisor belonging to the same faculty of SRM-AP, officially nominated by the Research Coordination Committee of the department will be appointed as the Supervisor after obtaining necessary approval from the Pro Vice - Chancellor.

8. Doctoral committee and its functions

The following members shall constitute the Doctoral Committee as approved by the Pro Vice - Chancellor.

- (i) The Supervisor (Convener)
- (ii) Two External experts from a panel of six experts recommended by the Supervisors from the academia/Industries / R&D organizations as approved by Pro Vice - Chancellor.
- (iii) The Co-supervisor, if any.
- (iv) An expert in the allied areas of research from SRM-AP, if required.
- (v) Chairperson of DRCC of the concerned department.

This Committee shall have the following responsibilities:

- a) To review the research proposal and finalize the topic of research.
- b) 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.
- c) To periodically review and assist in the progress of the research work of the research scholar.

9. Course work

All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Doctoral Committee during the initial two semesters.

- (i) The research scholars should successfully complete a minimum of four courses (minimum of 12 credits) prescribed by the Doctoral Committee and approved by the concerned Boards of Studies.
- (ii) A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer

applications, research ethics and review of published research in the relevant field, training, field work, etc.

(iii) The courses shall be (i) Research methodology for the subject (ii) A background subject related to his/her Ph.D. research (iii) An advanced subject in the area of research.

(iv) The other courses may be special courses decided by the Doctoral Committee relating to the area of research of the candidate.

(iv) In the case of candidates with M.Phil. degree, the course work on Research Methodology may be exempted by the Doctoral Committee.

9.1. **Directed Course:** The directed course is done under the guidance of the Supervisor. For the internal evaluation, there should be the following two components.

i.	5 Seminars	:	15 marks
ii.	3 Tests	:	15 Marks
	Total	:	30 Marks

The syllabus for the directed course is assigned to the above components in such a way that the entire syllabus is covered. The schedule for the course may be prepared by the Supervisor who teaches the course in the format given below and may be submitted to the Controller of Examination well in advance.

Course Code & Title:

Name of the Supervisor:

Department:

Sl.No.	Component	Syllabus	Date
1	Seminar - 1	From unit 1	
2	Seminar - 2	From unit 2	
3	Seminar - 3	From unit 3	
4	Seminar - 4	From unit 4	
5	Seminar - 5	From unit 5	
6	Test – 1	Covering Units - 1 & 2	

7	Test – 2	Covering Units - 3 & 4	
8	Test – 3	Covering All the Units	

Signature
Head of the Department

Signature
Supervisor

9.2. For each of the courses, the maximum internal mark awarded is 30 marks. All the candidates have to appear for an external (Semester) examination in each subject conducted by the Controller of examinations for 70 marks. The passing minimum is 35 marks in the semester examination. The overall passing minimum is 55 marks.

Letter Grades and Grade Points (GP)

Based on the performance in each subject, the student is awarded a final letter grade. The letter grades and the corresponding grade points are as follows.

Letter Grade	Grade Points	Range of Marks
O (Outstanding)	10	95-100
A+ (Excellent)	9	90-94
A (Very Good)	8	85-89
B+ (Good)	7	75-84
B (Above Average)	6	65-74
C (Average)	5	55-64
P (Pass)	4	50-54
F (Fail)	0	<50 Failure due to insufficient marks in the course
Ab (Absent)	0	Failure due to nonappearance in the examination

Ph.D. scholar has to obtain a minimum of C grade or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis. A scholar who gets F grade in a course work, he/she has to redo that course.

10. Comprehensive Examination

A research scholar shall take a comprehensive examination after the completion of two semesters of his/her research programme but before the completion of four semesters. The comprehensive examination is mandatory.

- (ii) The comprehensive examination shall be oral as recommended by the Doctoral Committee.
- (iii) Comprehensive examination shall be conducted by a panel of examiners which consists of the members of the Doctoral Committee along with one external examiner as recommended by the supervisors and forwarded through proper channel and approved by the Pro Vice - Chancellor.
- (iv) The Supervisor shall intimate the research scholar well in advance, the scope of the examination and other relevant details.
- (v) If the performance of the research scholar in the comprehensive examination is satisfactory, his/her provisional registration shall be confirmed. If the performance is unsatisfactory, he/she shall be given one more opportunity to appear for the examination within six months of the first examination. In case, the research scholar fails to successfully complete the comprehensive examination within the prescribed time limit, his/her provisional registration shall be cancelled by SRM-AP.

11. Semester Registration

All Research scholars whose registration for research degree is in-force, are required to report in-person to the Supervisor each semester on the stipulated date till their submission of thesis, in the prescribed registration form and the same shall be forwarded to the Research Coordinator through the Faculty Coordinator.

12. Monitoring the progress of candidates

- (i) A research scholar shall appear before the Doctoral Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Doctoral

Committee to the Research Coordinator with a copy to the research scholar. The Doctoral Committee meeting may be conducted through Skype/video conferencing if a DC member is not able to attend the meeting.

- (ii) In case, the progress of the research scholar is unsatisfactory, the Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral Committee may recommend to the respective Faculty Dean with specific reasons for cancellation of the registration of the research scholar.

13. Cancellation of Registration

- (i) The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the supervisor for any one semester is liable to be cancelled by SRM-AP.
- (ii) 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 SRM-AP.

14. Submission of Synopsis

- (i) Upon satisfactory completion of the research work and after the publication of at least two research papers in Q1/Q2 journals as published by Thomson Reuters and making two paper presentations in conferences/seminars, the research scholar is permitted to submit the synopsis of the Ph.D. work to the Controller of Examinations. The synopsis could be submitted after two years and nine months from the date of registration. In case the research scholar wishes to submit the synopsis earlier, after fulfilling the above mentioned requirement, the synopsis could be submitted, with the approval of the Pro Vice - Chancellor.
- (ii) Prior to submission of the synopsis, the student shall make a pre-Ph.D. presentation in the Department that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the synopsis and thesis under the advice of the supervisor.

- (iii) After the approval of the research work reported in the synopsis by the Doctoral Committee, the Supervisor shall forward 6 hard copies of the synopsis of the proposed thesis, with a soft copy on CD to the Controller of Examinations along with a panel of at least six names (three from India, and three from abroad) as examiners for adjudication of the Ph.D. thesis and also a panel of three Indian examiners for the viva voce examination.

15. Submission of Thesis

- (i) The research scholar shall, within six months of submission of the synopsis, prepare thesis in accordance with the format and specification prescribed. The thesis shall report, in an organized and scholarly fashion, highlighting the original contribution made in the research work of the candidate.

The thesis should be submitted after the completion of the minimum period and before the completion of the maximum period of the Ph.D. programme.

- (ii) 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 after testing the thesis with a Plagiarism software recommended by SRM-AP 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.
- (iii) At the time of submission of PhD thesis technology based mechanism using appropriate software will be implemented so as to ensure that the thesis is free of plagiarism. However, plagiarism less than 10% (such as references, bibliography, table of contents, preface, acknowledgement, etc.) could be accepted.
- (iv) He / She shall submit 6 hard copies of the thesis along with a soft copy on CD to the Controller of Examinations through proper channel under the intimation to the Research Coordinator. Under no circumstances, the submission of thesis shall be delayed except under special circumstances, where an extension of three months may be granted with the recommendation of the Doctoral Committee by the Pro Vice - Chancellor.

16. Evaluation of PhD thesis

- (i) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners nominated by the Pro Vice – Chancellor from among the panel of examiners recommended by the Supervisor who are not in employment of SRM-AP, of whom one examiner should be from outside the country and an Indian Examiner. The examiners should be academics with good record of scholarly publications in the field. The Pro Vice - Chancellor, if he deems it necessary, may also nominate examiners from outside the panel.
- (ii) The Controller of Examinations shall take such steps as deemed necessary to enable the reports of the examiners to be received as quickly as possible.
- (iii) In the case of undue delay in receiving the report from the examiners, the Controller of examinations shall refer the thesis to the second examiner selected by the Pro Vice - Chancellor, after waiting for three months and ensuring that the first examiner is not going to respond within a reasonable period of time.
- (iv) The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:
 - a) Recommended for the award of the degree of Doctor of Philosophy: Commended / highly commended.
 - b) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be referred to the Supervisor for verification.
 - c) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be sent to the examiner for revaluation.
 - d) Not recommended.

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) or (c) and the reasons for rejection in case (d).

- (v) On receipt of the reports from the examiners, the following procedure shall be adopted:

- a) If all 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 candidate shall be permitted to revise and resubmit the thesis within 6 months with the approval of the Doctoral Committee. The revised thesis shall be referred to the same examiner after revision for offering his/her final recommendation on the thesis. The revised thesis needs to be endorsed by the research supervisor.
- c) If one external 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 Pro Vice - Chancellor. If the third examiner recommends the award, the thesis shall be provisionally accepted. Otherwise, the thesis shall be rejected and the registration of the candidate cancelled.
- d) If both the external examiners recommend rejection, the thesis shall be rejected and the registration of the candidate be cancelled.
- e) When the commendation of the examiner on the revised thesis is not as stipulated in Clause 17 (v) (b) above or in the case of any dispute, the Pro Vice - Chancellor, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by the Pro Vice - chancellor for this purpose.
- f) Individual cases not covered by the above regulations shall be referred to the Pro Vice - Chancellor for his final decision.

17. Public *Viva Voce* Examination

- (i) The public viva-voce of the research scholar to defend the thesis shall be conducted by a board of examiners to be constituted by the Pro Vice - Chancellor. Only if the evaluation reports of the external examiner on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination.
- (ii) The public viva-voce examination board shall include: a) The examiner of the thesis from India or if the Indian examiner of the thesis is not available, a member from

the panel of Indian examiners already recommended by the Supervisor. b) An examiner from the panel of oral examiners already approved. c) Supervisor of the candidate.

- (iii) The convener of the Doctoral committee will be the Convener of Oral examination board and the oral examination shall be conducted as “Open defence type” examination.
- (iv) If the performance of the candidate in the Oral examination as reported by the Oral examination board to be NOT SATISFACTORY, the candidate may opt to reappear for the Oral examination at a later date (not later than six months from the date of the first Oral Examination). On the second occasion, the Oral examination board shall include one more examiner nominated by the Pro Vice - Chancellor.
- (v) If the performance of the candidate in the oral examination on the second occasion also is reported to be NOT SATISFACTORY, the Pro Vice - Chancellor, if he deems it necessary, shall refer the remarks of the Oral examination board, along with the thesis and comments of the examiners, to a committee constituted by the Pro Vice - Chancellor for this purpose and decide. The decision of the Pro Vice - Chancellor shall be final.
- (vi) SRM-AP shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of four months from the date of submission of the thesis.

After the thesis has been examined and approved, the examiners’ names and institutional addresses may appear in the final copy of the thesis, subject to prior consent of the examiners.

18. Award of Ph.D. Degree

If the performance of the research scholar in the Oral examination is satisfactory, he/she will be awarded Ph.D. degree on the recommendation of the Academic council and with the approval of the Board of Management of SRM-AP.

19. Publication of Thesis

- (i) After the viva voce examination the candidate shall submit a copy of the thesis in CD ROM duly certified by the Supervisor that all the corrections have been duly carried out as suggested by the examiners, if any, for SRM-AP ARCHIVES.
- (ii) SRM-AP shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- (iii) Papers arising out of the thesis may be published by the candidate. However, the thesis as a whole shall not be published by the candidate without the specific approval of SRM-AP.

20. Change of Regulations

The Academic Council of SRM-AP may revise, amend or modify the regulations from time to time.