

SRM UNIVERSITY - AP, ANDHRA PRADESH

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07th July 2023

PH. D. REGULATIONS APPLICABLE FOR ALL STUDENTS

ADMITTED SINCE 2018

1 Definitions and Nomenclature

In the regulations, unless the context otherwise requires,

- i. "SRM-AP" means SRM University-AP, Andhra Pradesh.
- ii. "Programme" means Doctoral Programme leading to the award of PhD degree from any School of SRM University-AP.
- iii. DRC means "Department Research Committee" constituted at department level to coordinate the admission of the PhD programme.
- iv. "Chairperson" means the Head of the DRC.
- v. "Supervisor" means a faculty member of SRM-AP assigned to supervise the research fellows for PhD, programme.
- vi. "Doctoral Committee" means a committee constituted by SRM-AP for each Research Fellow to monitor the progress of his/her research work.
- vii. "Research Fellow" means any research scholar admitted for pursuing research for the award of PhD degree of SRM-AP.
- viii. "Dean" means Dean of the school unless mentioned otherwise.
- ix. "Course" means one of the specified units which comprise a programme of study.
- x. "Coursework" means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the PhD Degree.

2 Category of PhD Research Fellows

- 2.1 **Full-time research fellow:** The research fellow who carries out their research full time on the campus at SRM University-AP and registered as a Full-Time student.



2.2 Part-Time research fellow: The research fellow registered at university and working at other organizations duly recognized by the university and registered as a Part-Time student.

(Note: PhD programme through part-time mode is permitted, provided all the conditions stipulated in these regulations are fulfilled.

3 Eligibility

The following are eligible to seek admission to the PhD programme:

- 3.1 Candidates who have completed: A 1-year/2-semester master degree programme after a 4-year/8-semester bachelor degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 60% marks in aggregate (55% marks in aggregate for School of Liberal Arts and Social Science) or its equivalent grade in a point scale.
- 3.2 Candidates who have completed a 4-year/8-semester bachelor's degree programme with a minimum of 80% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
- 3.3 Candidates who have completed the M.Phil. programme with at least 60% mark in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- 3.4 For foreign nationals/degrees, the candidate must submit a well-documented proof that the qualifying master's degree earned by him/ her in the foreign university, is equivalent to that of an Indian master's degree from Association of Indian Universities and/or Internal Committee Constituted by the University for this purpose. After confirmation of joining the PhD Programme with the university, the process will be same as that for Indian students.
- 3.5 For part-time research fellow, the following conditions are applicable in addition to the academic eligibility.
 - There shall be an external co-supervisor (in addition to the supervisor assigned from the university) who is qualified to be a PhD supervisor as per

SRM University-AP norms at the place where the part-time research fellow is working.

- An NOC from employing organization regarding the candidate's registration for PhD programme at SRM-AP shall be submitted to the university upon admission to the said programme.

4 Duration of the Programme

- 4.1 PhD programme shall be of minimum three (3) years including course work and a maximum duration of six (6) years from the date of admission to the PhD Programme.
- 4.2 Under extraordinary circumstances, if the research fellow 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 Vice Chancellor, on the recommendations of the Doctoral Research Committee and Dean of the School.
- 4.3 The persons with disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration.
- 4.4 Female research fellows who availed maternity leave may be provided, additional six months to complete the PhD programme.

5 Procedure for Admission

- 5.1 The number of available seats in various specializations under different disciplines will be determined and notified by the office of Dean Research well in advance depending on (i) the number of available Research Supervisors and (ii) academic, physical, and research facilities available in the university to conduct the research.
- 5.2 The university will notify on its website and other print and social media about research areas, eligibility process for admission and all other relevant information.
- 5.3 The candidates desirous of pursuing PhD degree shall submit their applications in the prescribed form online/offline. The application form and the necessary details will be available in SRM-AP website.



5.4 Each department will constitute a Departmental Research Committee (DRC) to coordinate the PhD program. The constitution of DRC is given below.

- HOD/Professor from the Department Nominated by the Dean - Chairperson
- 2 to 4 Faculty members from the department by rotation - Members
- PhD Coordinator of the Department - Convenor

5.5 The DRC will be responsible for PhD admissions, Supervisor allocation and Recommendation for change of Supervisor etc., conversion from Full-Time status to Part-Time, Extension of period, etc. at the department level.

5.6 The applications received will be sent to the respective Chairpersons of the DRC by the Office of the Dean – Research to screen the applications and the selection process.

5.7 The DRC shall admit research fellows by a two-stage selection process through:

5.7.1 In the first stage, an entrance test will be conducted. The test could be descriptive or MCQ or combination of both based as mandated by the department. 50% weightage will be given to research methodology/reasoning and the rest 50% to core/discipline specific subjects. For a candidate with inter-disciplinary background, the subject specific portion will be decided by the department accordingly.

(**Note:** For Full-time research fellows, candidates who have qualified UGC-NET (Lectureship and JRF)/UGC-CSIR NET (including JRF), NBHM, DBT-NET, ICMR-NET, ICAR- NET, and valid GATE score are exempted from the entrance test. For part-time research fellows, professionals having more than 10 years of experience and at leadership positions are exempted from the entrance test with approval of the Vice Chancellor.)

Candidates must secure at least 50% marks in the entrance test to become eligible for the interview. However, the DRC may consider the relaxation depending upon the difficulty level of the question paper.



5.7.2 In the second stage, candidates will be called for a personal interview. The DRC will decide on the number of eligible candidates to be called for an interview as follows:

An interview will be conducted by the DRC where the candidates are required to discuss their research interests/areas through a presentation before the committee. The interview shall also consider the following aspects, viz. whether:

- a. the candidate possesses the competence for the proposed research,
- b. the research work can be suitably undertaken,
- c. the basic knowledge related to proposed area of research,
- d. the candidate's motivation for research.

5.7.3 The merit list for the selection will be prepared based on candidates marks in previous degrees, performance in the entrance test and interview. The weightage may vary from school to school. Wherever entrance test is exempted, its weightage will be added to the weightage of Interview component.

5.8 The respective DRC will forward the list of selected candidates, along with the applications of all the candidates, to the Office of Dean-Research.

5.9 The Office of Dean-Research will seek the approval of the Vice Chancellor to release the provisional admission offers to the selected candidates under intimation to the Dean of concerned school.

5.10 The list of selected candidates will be submitted to the Office of the Dean - Academic Affairs for enrolment as per the provisional admission letter.

5.11 The allocation of Research Supervisor for a selected research fellow shall be decided by the fellow within a week but not later than one month after joining the programme. The supervisor allocation should be duly approved by the Dean of the School with recommendation of the DRC Chairperson.



6 Eligibility Criteria to be a Research Supervisor/Co-Supervisor

- 6.1 Regular faculty working as Professor/ Associate Professor of the University with a PhD degree and working at least five (5) research publications in peer-reviewed or refereed journals and a regular faculty working as Assistant Professor of the university with a PhD degree and having at least three (3) research publications in peer-reviewed or refereed journals may be recognized as Research Supervisor.
- 6.2 Each department will submit a list of approved supervisors with approval of the Dean of the Respective School to the Office of Dean-Academic Affairs.
- 6.3 In case of interdisciplinary research work, if required, a Supervisor/Co-Supervisor from outside the Department/School/ SRM-AP recognized Academic Centre may be appointed on the recommendations of the Dean of the School and with the approval of the Vice Chancellor.
- 6.4 An eligible Professor/ Associate Professor/ Assistant Professor can guide up to eight (8) / six (6) / four (4) PhD research fellows, respectively, at any given time. Guiding more than the defined limit is allowed only with the approval of the Vice Chancellor through the recommendation of the Dean of the respective school.
- 6.5 Change of supervisor may be permitted if the research fellow wants to change the supervisor on genuine grounds, duly recommended by the DRC with approval from the Dean of the School.
- 6.6 When a supervisor of a research fellow happens to be away from SRM-AP, for more than 6 months, he/she may continue to guide the research fellow provided a co-supervisor is appointed by the DRC with the approval of the Dean of the School.
- 6.7 If the supervisor leaves SRM-AP, the supervisor may be changed or permitted to continue for a period of six (6) months with the recommendation of the DRC and approval of the Dean of the School but not beyond one year subject to the approval of the Vice Chancellor, provided a co-supervisor from the department is also appointed.



7 Doctoral Committee and its Functions

7.1 For each registered PhD research fellow (both full-time and part-time), the constitution of a Doctoral Committee (DC) duly approved by the Dean of the school shall be as follows:

- Chairperson of DRC of the concerned department – Chairperson,
- An internal expert recommended by the Supervisor from same department,
- An external expert in the allied areas of research from another department or other School of SRM-AP or other institutions outside SRM-AP,
- The Co-supervisor, if any,
- The Supervisor - Convener,

7.2 Both internal and external experts would be selected by the Dean from a list three experts against each category submitted by the supervisor.

7.3 In the case of inter-disciplinary research, the internal experts may be drawn from synergy departments.

7.4 The functions of the Doctoral Committee (DC) will be as follows:

- To review the research proposal and finalize the topic of research,
- To guide the research fellow in developing the study design and methodology of research and identify the course(s) that he/she may have to do,
- To periodically review and assist in the progress of the research work of the research fellow,
- To recommend change of status from full-time to part-time to DRC,
- To recommend change of supervisor to DRC,
- To recommend for any leave for field work/laboratory work outside SRM University – AP,
- Any other academic activity related to PhD research,

7.5 Each semester, a research fellow shall appear before the Doctoral Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Doctoral Committee shall submit its recommendations along with a copy of research fellow's progress report to the

Chairperson DRC. A copy of such recommendations shall also be provided to the research fellow. The first doctoral committee meeting must be conducted within six months from the date of enrolment of the fellow.

- 7.6 In case the progress of the research fellow is unsatisfactory, the Doctoral Committee shall record the reasons for the same and suggest corrective actions. If the research fellow fails to implement these corrective measures, the Doctoral Committee may recommend, with specific reasons, the cancellation of the registration of the research fellow from the PhD programme.
- 7.7 The minutes of meetings of all the doctoral committee will be submitted to Office of the Dean - Academic Affairs by the Supervisor for records in the personal files of research fellow.

8 Semester Registration

- 8.1 All research fellows are required to register for PhD programme for each semester on the date of registration as given in the academic calendar. This needs to be followed till the date of submission of the thesis.
- 8.2 If a full-time research fellow does not report to the supervisor for more than a month without any approved leave of absence, his/her registration is liable to be cancelled.
- 8.3 If the progress of a research fellow (both full-time and part-time) is not satisfactory, his/her registration is liable to be cancelled.
- 8.4 If a research fellow who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the regulations, his/her registration is liable to be cancelled.



9 Course Work

9.1 All research fellows admitted to the PhD programme shall be required to complete the course work, as prescribed by the Doctoral Committee. The guidelines regarding minimum credit requirements are given in Table - 1.

Table 1. Minimum Credit Requirements for the PhD Programme

Sl. No	Qualification	Minimum Credit Requirements	Remarks
1	2-year master's degree programme after a 3-year bachelor's degree programme for Science, Arts, Humanities, Social Sciences, Liberal Arts and Management programmes	12 credits	The course work is expected to be completed during the first two semesters and, in any case, not more than 18 months from the date of joining.
2	2-year master's degree programme after a 4-year bachelor's degree programme for all the programmes	12 credits	
3	1-year master's degree programme after a 4-year bachelor's degree programme to engineering programme	18 credits	The course work is expected to be completed during the first three semesters and, in any case, not more than 24 months from the date of joining.
4	4-year bachelor's degree programme (Direct Admissions)	24 credits	

9.2 A minimum of 4 credits shall be assigned to one or more courses on Research Methodology and Publication Ethics.

9.3 All the courses shall be of Post-Graduation or Equivalent level and will largely be related to PhD research to advance his/her knowledge in the area of research chosen.

9.4 The Doctoral Committee can also recommend online courses as part of the credit requirements for the PhD programme.

9.5 The Doctoral Committee may also recommend additional courses over and above the minimum requirements.

9.6 All research fellows, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen PhD subject during their doctoral period. The training programmes may be conducted by the Office of Dean Research or the Teaching Learning Centre.

9.7 The PhD course work may be offered as a Regular/ Self-study course.

- **Regular Course:** Regular course is the course offered by the university in their UG/PG/PhD curriculum and evaluation of the course is followed as per the curriculum.
- **Self-Study Course:** If the proposed course is not offered by the university across the programmes, then the Self-Study course is done under the guidance of the Supervisor or other faculty from the university. The syllabus of the self-study course shall be duly approved by the Vice Chancellor.

9.8 Letter Grades and Grade Points (GP): Based on the performance in each course, the student is awarded a final letter grade. The letter grades and the corresponding grade points as given in Table - 2.

Table 2. Letter Grades and Grade Points (GP)

Letter Grade	Grade Point	Remarks
O	10	Outstanding
A+	9	Excellent
A	8	Very Good
B+	7	Good
B	6	Above Average
C	5	Average
F	0	Failure due to insufficient marks
Ab	0	Failure due to non-appearance in examination
I	0	Failure due to insufficient attendance

9.9 If a course is offered as a regular course, then the relative grading system is followed. If a course is offered as a self-study course, then the absolute grading is followed as given in Table – 3.



Table 3. Grade Points and its Mark Range

Grade	Grade Points	Marks range
O (Outstanding)	10	91-100
A+ (Excellent)	9	81-90
A (Very Good)	8	71-80
B+ (Good)	7	61-70
B (Above Average)	6	56-60
C (Average)	5	50-55
F (Fail)	0	<50 Failure due to insufficient marks in the course
Ab (Absent)	0	Failure due to non-appearance in examination
I (Incomplete)	0	Failure due to insufficient attendance in the course.

9.10 A research fellow who gets 'F' or equivalent grade in a course has to re-register for that course.

9.11 A research fellow must secure at least 'Grade B' in each course to qualify to appear for the comprehensive examination.

10 Comprehensive Examination and Research Proposal

10.1 A research fellow 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.

10.2 The comprehensive examination shall be oral/written as recommended by the Doctoral Committee.

10.3 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 supervisor(s) and approved by the Dean of the school.

10.4 The Supervisor shall intimate the research fellow well in advance about the scope of the examination and other relevant details.

10.5 If the performance of the research fellow 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 the six months of the first examination. In case, the research fellow fails to successfully complete the comprehensive examination within the prescribed time limit, his/her provisional registration shall be cancelled by SRM-AP.

10.6 After clearing the comprehensive examination, the research fellow is required to defend his research proposal within three months to the doctoral committee.

11 Submission of Synopsis

11.1 Upon satisfactory completion of coursework, comprehensive examination and the research proposal as prescribed in the DC committee, the research fellow shall produce a draft of the synopsis.

11.2 The research fellow shall make a presentation before the doctoral committee, which shall also be open for all faculty members and other research fellows/students.

11.3 The completion of research work shall include publication of two research papers in Scopus Q1/Q2 journals or A*/A/B journals as per ABDC list.

11.4 The minimum duration to submit synopsis shall be two years and nine months from the date of provisional registration. Prior approval from the Vice Chancellor is required for any deviations in duration as mentioned above.

11.5 Along with the submission of synopsis, the supervisor in consultation with DRC is required to submit a list (in a sealed cover) of five national and five international external examiners (duly signed by all members of DC) for evaluation of the thesis to the Controller of Examination. The supervisor shall forward the synopsis duly recommended by the doctoral committee via three hard copies and one soft copy in a confidential cover duly recommended by the Chairperson DRC to the Controller of the Examinations for the conduct of examination.



12 Submission of Thesis

- 12.1 The research fellow shall prepare the thesis within six months from submitting synopsis, highlighting the novelty, contributions and advancements made by the fellow in the respective field.
- 12.2 The research fellow shall submit the thesis after completing the minimum period of three years and before completion of maximum period as prescribed in Section 4. Any deviation in the submission of thesis needs prior approval from the Vice Chancellor with the recommendation from the Dean of the School.
- 12.3 The research fellow shall submit an undertaking in accordance with his/her supervisor that the work carried out by the research fellow is original and this work is not considered for submission elsewhere for any degree/diploma. In addition, a plagiarism report of the thesis duly signed by the research fellow and the supervisor(s) as per university guidelines shall be submitted by the research fellow.
- 12.4 The candidate will submit the thesis after the plagiarism check as per the University Plagiarism Policy. The plagiarism check certificate duly signed by the research fellow and the supervisor(s) is to be attached with the thesis.
- 12.5 The research fellow shall submit the thesis as three hard copies and a soft copy in pdf through proper channel to the Controller of the Examinations.

13 Evaluation of PhD Thesis

- 13.1 The Vice Chancellor shall select the examiner based on the suggested examiners list. If it is necessary, the Vice Chancellor may appoint examiners outside the panel recommended by the Supervisor.
- 13.2 In case of any delay in receiving the report for more than 2 months, the Controller of Examinations shall send the thesis to the next examiner in the list duly approved by the Vice Chancellor.
- 13.3 The examiner shall submit report with an overall assessment placing the thesis in one of the categories and accordingly the decision on thesis as given in Table - 4.



Table 4. Decision on the Thesis

Status	Revision Required	Decision
Accepted	No	Accepted for the defence, defence can be held
Recommend with minor revision	Yes, Supervisor shall ensure revisions are made (within 2 months)	Defence can be held after supervisor certifies that the changes have been carried out.
Recommended with major revision	Yes, supervisor and examiner shall ensure revisions are carried out (within 6 months)	To be sent for further review. If accepted, defence can be held. If minor changes are suggested, then defence can be held after supervisor certifies that the changes were carried out.
Not recommended	Nil	New thesis to be submitted only once after 1-year and no later than 2 years from the date of intimation.

13.4 On receipt of the reports from both the examiners, the following procedure shall be adopted to decide on the Viva voce or next course of action as given in Table - 5.

Table 5. Decision on the Viva Voce

First Examiner Report	Second Examiner Report	Third Examiner	Final Decision
Accept/ Minor Revision	Accept/Minor Revision	Not Required	Accepted, Viva-Voce can be held
Accept/ Major Revision/ Minor Revision	Reject	Thesis will be sent for evaluation to a third examiner	If the third examiner accepts / suggests a revision, it will be considered for acceptance, else it will be rejected.
Reject	Reject	Not Required	New thesis to be submitted only once after 1 year and no later than 2 years from the date of intimation.

13.5 In case of any deviations / disputes regarding in the revised thesis, the Vice Chancellor shall be deemed to constitute a committee to examine the same.

14 Public Viva Voce Examination

14.1 If the evaluation reports of the external examiner on the thesis are satisfactory, then the public viva-voce of the research fellow to defend the thesis shall be conducted by a board of examiners to be constituted by the Vice Chancellor.

14.2 The public viva-voce examination board shall include:

- Dean of the School - Chairperson
- At least one 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 submitted by the Supervisor.
- Chairperson DRC.
- Co-supervisor if any
- Supervisor or the Convenor of Doctoral Committee - Convener

14.3 The oral examination shall be conducted as "Open defence type" examination.

14.4 If the performance of the research fellow in the oral examination as reported by the oral examination board is NOT SATISFACTORY, then the research fellow may opt to reappear for the oral examination later (not later than two 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 Vice Chancellor.

14.5 If the performance of the research fellow in the oral examination on the second occasion also is reported to be NOT SATISFACTORY, the Vice Chancellor, if deemed necessary, shall refer the remarks of the oral examination board, along with the thesis and comments of the examiners, to a committee constituted by Vice Chancellor for this purpose and decide the next course of action. The decision of the Vice Chancellor shall be final.

14.6 SRM-AP shall develop appropriate methods to complete the entire process of evaluation of PhD thesis within a period of six months from the date of submission of the thesis.

15 Award of PhD Degree

If the performance of the research fellow in the oral examination is satisfactory, he/she will be awarded PhD degree on the recommendation of the Academic Council and with the approval of the Board of Management of SRM-AP.

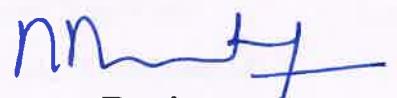


16 Publication of Thesis

- 16.1 After the viva voce examination, the research fellow shall submit three hardcopies and a softcopy in pdf form of the final thesis 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 with a copyright.
- 16.2 SRM-AP shall submit an electronic copy of the PhD thesis to the INFLIBNET/Shodhganga for hosting the same to make it accessible to all Institutions/Colleges.
- 16.3 Research papers arising out of the thesis may be published by the candidate with due affiliation of SRM-AP. However, the thesis shall not be published by the candidate without the specific approval of SRM-AP.

17 Change of Regulations

- 17.1 The Academic Council of SRM-AP may revise, amend, or modify the regulations from time to time.
- 17.2 The latest available UGC PhD regulations will be referred for any clause not covered in SRM-AP PhD regulations.
- 17.3 Any discrepancy regarding the above regulations or any other regulations which are not covered shall be referred to the Vice Chancellor for his final decision.



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