



Ph.D. REGULATIONS
2023
SRM INSTITUTE OF SCIENCE AND TECHNOLOGY

1. DEFINITIONS AND NOMENCLATURE

In the Regulations, unless the context otherwise requires,

- (i) "SRMIST" means SRM Institute of Science and Technology
- (ii) "Programme" means Doctoral Programme leading to the award of Ph.D. in Engineering and Technology / Science and Humanities / Medical and Health Sciences/ Management/ Law/ Agricultural Sciences.
- (iii) DRCC means "Department Research Co-ordination Committee".
- (iv) "Chairperson" means the Head of the DRCC.
- (v) "Supervisor" means any faculty member of SRMIST who has been recognized by SRMIST to Supervise the research scholars.
- (vi) "Doctoral Committee" means a Committee constituted by SRMIST for each scholar to monitor the progress of his/her research work.
- (vii) "Research Co-ordinator" means Head of the Institution/ Department/Organization of the Part-time (Ext.) scholar where he/she is employed.
- (viii) "Scholar" means any candidate admitted by SRMIST either Full-time or Part-time category for pursuing research for the award of the Ph.D. degree of SRMIST.
- (ix) "Course" means a theory subject/a practical subject of the PG programme/a directed study prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Programme.
- (X) "Grade point" means a numerical weight allotted to each letter grade on a 10- point scale.

2. CATEGORIES OF Ph.D. SCHOLARS

There shall be three categories of Ph.D. scholars

- (i) Full-Time scholars: All scholars who pursue full-time research in SRMIST shall belong to this category.
- (ii) Part-Time (Internal) scholars: All scholars employed in SRMIST who pursue part-time research in SRMIST 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 SRMIST while continuing to serve in their respective Institutions/ organizations which are recognized as the Research Centres of SRMIST shall belong to this category. They shall pursue research in their place of employment and /or in SRMIST.

3. ELIGIBILITY

3.1 A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's 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 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

A candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have obtained the degree, First Class with Distinction, and a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. And qualification in any of the UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests is mandatory.

3.2 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

3.3 A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

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 Ph.D. programme shall be for a minimum duration of three years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of their Ph.D. for up to 240 days

- 4.2 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 in the same area of research, the earlier Doctoral Committee and the course works completed will hold good.
 - (ii) For those candidates who want to re-register with a different supervisor on a different area of research it will be subjected to the regulations applicable to 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 an exemption or not.
- 4.3 Part Time (Internal/External): Part-time Ph.D. programme is allowed provided all the conditions mentioned in the extant Ph.D. regulations are met.

5. ADMISSION PROCEDURE

- 5.1 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 and physical 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 SRMIST website and through advertisement.

The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed form through proper channels wherever applicable, before 31st May/30th November, each year to the Director (Admission). The application form and the necessary details are available on the SRMIST website.

- 5.2 The applications received will be sent to the respective Faculty Deans who will forward the same to the Chairpersons of the Department Research Coordination Committee (DRCC) of the departments. The DRCC will consist of recognized supervisors in the department and a recognized supervisor from another department of SRMIST nominated by the respective faculty Dean. 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. In Schools, the Dean/Chairperson of the School will be the Chairperson. The DRCC shall screen the applications and conduct the Entrance Test and interview.

The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and considering the reservation policy of the Central/State Government from time to time.

5.3 Admission to the Ph.D. programme shall be made using the following methods:

- (i) SRMIST may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED/CPAT and similar National level tests based on an interview. Junior and Senior Research Fellows (JRF/SRF) working on projects will be admitted based on Entrance Test and interview.
- (ii) SRMIST will admit students through an Entrance Test conducted at SRMIST. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.
- (iii) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time. SRMIST will decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- (iv) For the selection of candidates based on the entrance test conducted by SRMIST, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/*viva voce* will be given.

In the interview/*viva voce* organized by the DRCC, 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:

- a) The candidate possesses the competence for the proposed research;
 - b) The research work can be suitably undertaken at the Institution/College;
 - c) The proposed area of research can contribute to new/additional knowledge.
- (v) The allocation of a 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 the research interests of the scholars as indicated by them at the time of interview/*viva voce*.

- (vi) The respective DRCC will forward the list of selected candidates along with the applications of all candidates to the Dean (Research) through the Deans of the respective faculties.
- (vii) The Dean (Research) will seek the approval of the Vice Chancellor for the provisional registration of the selected candidates.
- (viii) The candidates whose registration has been approved by the Vice Chancellor shall be provisionally admitted to the Ph.D. Programme by the Dean (Research) with intimation to the concerned Faculty Dean, HOD, supervisor, the candidate, and the sponsoring institution, if any.
- (ix) 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 respective Faculty Deans through the respective Heads of the Departments. The Faculty Dean shall form the Doctoral Committee as in Doctoral Committee and its functions (10) below, get the approval of the Vice-Chancellor, and then communicate the same to the Dean (Research) for record and to the respective supervisors through the respective Heads of the departments for further action.
- (x) The date of provisional registration shall be of 2nd of January or the 1st of July of each year.
- (xi) SRMIST shall maintain the list of all the Ph.D. registered scholars on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrolment/registration.

6. RECOGNITION AND ALLOCATION OF RESEARCH SUPERVISORS

6.1 Recognition of Supervisors

Recognition of the Supervisor for guiding research work will be accorded by the Vice Chancellor, on application to the Dean (Research) through proper channels in the prescribed format with the recommendation of a subject expert identified by the Dean of the concerned faculty.

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

- (i) Permanent faculty members working as Professor/Associate Professor of SRMIST with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in SRMIST with a Ph.D., and at least three research publications in peer-reviewed or refereed journals during the preceding 5 years may be recognized as a Research Supervisor at SRMIST. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by another University under the supervision of a faculty member who is an employee of SRMIST or its affiliated Postgraduate Colleges/institutes would be in violation of these Regulations.

A minimum of two years of research or teaching experience after acquiring Ph.D. degree is essential for getting recognition as a Ph.D. supervisor. However, exemptions based on merit shall be considered and approved by the Vice-Chancellor.

- (ii) A research supervisor without Ph.D. qualification in Medical Sciences should have not less than 15 years of teaching and research experience after obtaining his/her Post Graduate qualification and shall also have not less than 10 years of Post Graduate teaching

experience as a faculty member with a minimum of two publications in the relevant or allied areas of research in indexed journals with SNIP/IF>1 in the last 3 years

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements. Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

- (iii) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- (iv) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. A research supervisor can co-supervise students in other Institutes/ Universities with prior approval from the Vice-Chancellor. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed above.
- (v) 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 available, SRMIST may relax the above condition (6.2;(i)) for recognition of a faculty as a Research Supervisor with reasons recorded in writing. In such cases, the minimum norms for quality of publication requirement may be relaxed by the Vice Chancellor for humanities, social sciences, and other areas where research culture needs more support and encouragement.
- (vi) Vice-Chancellor is conferred with special powers to relax the conditions in special cases and also to cancel or withdraw the recognition status given to a Ph.D. supervisor.
- (vii) External supervisors are not allowed. However, Co-Supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other related institutions with the approval of the Vice Chancellor.

6.3 Allocation of Supervisors

- (i) The allocation of a Research Supervisor for a selected research scholar shall be decided by the DRCC concerned depending on the number of scholars per Research Supervisor [clause 6.2; (iii)], 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 that are of inter-disciplinary nature where the Department concerned feels that the expertise in the department 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/Colleges. **(Existing in regulations)**
- (iii) 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 SRMIST 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 the research already done.

- (iv) Faculty members with less than 3 years of service before superannuation shall not be allowed to take new scholars. If faculty members are re-appointed after their superannuation, they may continue as research supervisors till the age of 70 years.

7. ADMISSION OF INTERNATIONAL STUDENTS IN THE Ph.D. PROGRAMME

- (i) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in [clause 6.2;(iv)] above.
- (ii) SRMIST will decide its own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

8. SUPERVISORS

- (i) All Ph.D. candidates are required to work under the guidance of a recognized Supervisor from SRMIST. A research supervisor can co-supervise students in other Institutes/ Universities
- (ii) The part-time (external) candidates shall be required to have, in addition to a Research Supervisor from the respective faculty of SRMIST, a recognized Co-supervisor/Research coordinator from the institution/organization/department where he/she is employed, who is responsible to provide all necessary resources and help to complete the research work in a time bound manner. The institution /organization/department where the candidate will pursue his/her research work should be recognized as a research centre by SRMIST.
- (iii) When a supervisor of a candidate happens to be away from SRMIST, for more than six months, he/she may continue to guide the candidate, but a supervisor belonging to the same faculty of SRMIST shall be officially nominated as a Co-supervisor by the DRCC of the department and forwarded through proper channels to the Vice Chancellor for approval.
- (iv) If the supervisor leaves SRMIST, he/she may be permitted to continue as a supervisor for his/her students depending upon the availability of the individual, subject to the approval of the Vice-Chancellor. Otherwise, a new supervisor belonging to the same faculty of SRMIST, officially nominated by the DRCC of the department, will be appointed as the Supervisor after obtaining the necessary approval from the Vice Chancellor.
- (v) Adjunct faculty members are allowed to co-supervise research scholars but are not permitted to be Research Supervisors

9. RECOGNITION OF RESEARCH CENTERS

Various Central and State Government funded Laboratories / Institutions / Organizations /Industrial Establishments/ Industries are eligible to allow candidates for Ph.D. registration under SRMIST following SRMIST Ph.D. Regulations provided they sign a memorandum of understanding for this activity. Other Institutions desirous of getting recognition must apply to SRMIST to get recognition as Centres of Research. SRMIST will get these institutions assessed through a committee before awarding the recognition, wherever necessary, as per the guidelines approved by the DRCC.

10. DOCTORAL COMMITTEE AND ITS FUNCTIONS

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

- (i) The Supervisor (Convener)
- (ii) Two External experts selected by the Dean of the respective faculty from a panel of six experts recommended by the Supervisors from the academia/Industries / R&D organizations.
- (iii) The Co-supervisor, if any.
- (iv) In the case of Part-time external candidates, the Co-Supervisor/Research coordinator from the organization where he/she is employed.
- (v) An expert in the allied areas of research from SRMIST, if required.
- (vi) Chairperson of DRCC of the concerned department.

This Committee will be chaired by the Chairperson/HoDs and shall have the following responsibilities:

- a. To review the research proposal and finalize the topic of research.
- b. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the courses that he/she may have to do.

11. COURSEWORK

Course Work, Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

- (i) The Credit requirement for the Ph.D. coursework is a minimum of 12(twelve) credits, including a "Research and Publication Ethics" course as notified by UGC, vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The DRCC can also recommend UGC-recognized online courses as part of the credit requirements for the Ph.D. programme. A minimum of 4 (four) credits shall be assigned to one or more courses on Research Methodology and Research and Publication ethics. All candidates shall complete a minimum of four courses.
- (ii) The courses shall be
 1. Research methodology for the subject
 2. Research and Publication Ethics
 3. A background subject related to his/her Ph.D. research
 4. An advanced subject in the area of research.
- (iii) In the case of candidates with M.Tech./M.Phil. Degree, the course work on Research Methodology may be exempted by the Doctoral Committee if they have completed the same course successfully during their M.Tech. /M.Phil. Programme. Recommendation for exemption of the course work by the DC members should be mentioned in the minutes of the meeting. The credit for this course can be accounted for in the minimum number of credits mentioned above.
- (iv) For candidates pursuing interdisciplinary Ph.D degree, course work subjects should include both PG discipline as well as the research area. Ph.D. degree will be awarded for research done under the interdisciplinary area.

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

- (iv) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC point scale in the course work to be eligible to continue in the programme.
- (v) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- (vi) All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Doctoral Committee within four semesters.

11.1. Directed Course: The directed course is done under the guidance of the Supervisor / any other faculty member. 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

- 11.2. 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
F (Fail)	0	<55 Failure due to insufficient marks in the course
Ab (Absent)	0	Failure due to non-appearance in the examination

Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-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 less than a 'C' grade in coursework, he/she has to redo that course.

12. COMPREHENSIVE EXAMINATION

- All candidates admitted to the Ph.D. programme shall take a comprehensive examination after completing the coursework prescribed by the Doctoral Committee within four semesters.
- The comprehensive examination shall be in the form of written and/or oral as recommended by the Doctoral Committee.
- 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, forwarded through proper channels, and approved by the Vice-Chancellor.
- The Supervisor shall inform the research scholar sufficiently in advance of the scope of the examination and other relevant details.
- 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 SRMIST.

13. SEMESTER REGISTRATION

All Research scholars whose registration for a research degree is in force, are required to report in person to the Supervisor each semester on the stipulated date till their submission of their thesis, in the prescribed registration form along with fee receipt and the same shall be forwarded to the Dean (Research) through the Head of the department and the Dean of the respective Faculty through online submission.

14. MONITORING THE PROGRESS OF RESEARCH SCHOLARS

- (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 Dean (Research) through online mode only. The Doctoral Committee meeting may be conducted through Google meet/zoom platform/video conferencing if a DC member is not able to attend the meeting in person.
- (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 the cancellation of the registration of the research scholar.

15. 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 SRMIST.
- (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 SRMIST.
- (iii) The registration can be cancelled on the recommendation of the committee duly constituted by the Vice-Chancellor on the charges proved being guilty of breach of professional ethics, misbehaviour, misconduct, moral turpitude, or arrested by police on serious criminal charges.

16. SUBMISSION OF SYNOPSIS

Upon satisfactory completion of the research work and after the publication of at least two research publications in peer-reviewed indexed journals approved by SRMIST, the research scholar becomes eligible to submit the synopsis of the Ph.D. work. The scholar must be the first author of those research publications and the publications shall be from the research work done to fulfil the objectives of the thesis approved by the doctoral committee. The scholar shall also make two paper presentations in conferences/seminars from the research work he/she carried out. After fulfilling the above criteria, the synopsis could be submitted after 2 years and 9 months from the date of registration by the full-time candidates and after 3 years 3 months by the part-time (internal and external) candidates.

- (i) 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.

- (ii) 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, outside the State of SRMIST campus and three from abroad) as examiners for adjudication of the Ph.D. thesis and a panel of three Indian examiners for the viva voce examination. The synopsis should have been subjected to plagiarism check by SRMIST recommended software and cleared.

17. SUBMISSION OF THESIS

- (i) The research scholar shall, within six months of submission of the synopsis, prepare the 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.
- (ii) For candidates pursuing interdisciplinary Ph.D degree, irrespective of the departments in which the candidates are carrying out research, the names of the subjects should be indicated in the thesis, but not the names of the departments.

For example: A candidate with post graduate in Chemical Engineering, but has undertaken Ph.D. in Bioinformatics in the Department of Biotechnology. Then, degree will be awarded with the names of the subjects as (Chemical Engineering –Bio informatics) and the name of the department will be excluded in the same.

- (iii) 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.
- (iv) 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 SRMIST 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.
- (v) He/She shall submit 6 hard copies of the thesis along with a soft copy on CD to the Controller of Examinations through the proper channel under the intimation to the Dean (Research). Under no circumstances the submission of the 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 Vice-Chancellor.

18. THESIS ADJUDICATION

- (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 Vice-Chancellor from among the panel of examiners recommended by the Supervisor who are not in employment of SRMIST of whom one examiner should be from outside the country and another examiner from outside the state (where SRMIST campus is located). The Vice-Chancellor, if he deems it necessary, may also nominate examiners from outside the panel.
- (ii) The Controller of Examination 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 examiner, the Controller of examination shall refer the thesis to the second examiner selected by the 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 is referred to the Supervisor for verification.
 - c) Recommended that the candidate revises the thesis as suggested in the report, and the revised thesis is 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 followed:
 - 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 if the examiner has insisted SRMIST 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 SRMIST may refer the revised thesis to the Supervisor for verification.
 - 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 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 18 (v) (b) above or in the case of any dispute, the Vice Chancellor, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by him for this purpose.
 - f) Individual cases not covered by the above regulations shall be referred to the Vice-Chancellor for his final decision.

19. 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 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. Under extraordinary circumstances, public *viva-voce* may be conducted online with the approval of the Vice-Chancellor.
- (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 the Oral examination board, and the oral examination shall be conducted as an "Open defense type" examination.
- (iv) If the performance of the candidate in the Oral examination as reported by the Oral examination board is 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 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 Vice Chancellor, if he deems it necessary, shall refer to the remarks of the Oral examination board, along with the thesis and comments of the examiners, to a committee constituted by the Vice Chancellor for this purpose and decide. The decision of the Vice Chancellor shall be final.
- (vi) SRMIST shall develop appropriate methods so as to complete the entire process of evaluation of the Ph.D. thesis within a period of six months from the date of submission of the thesis.

20. 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 SRMIST.

21. 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 SRMIST ARCHIVES.
- (ii) SRMIST shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET/Institutional Electronic Archive, 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/supervisor. However, the thesis as a whole shall not be published by the candidate without the specific approval of SRMIST.

22. CHANGE OF REGULATIONS

The Academic Council of SRMIST may revise, amend or change the regulations from time to time.