

Doctoral Research Programme Regulations



[Approved by the Board of Governors at its Meeting Held on 26.09.2014 vide Resolution
Ref. No.: 3.1e]

Table of Contents

D.1	Short Title and Commencement.....	4
D.2	Definitions.....	4
D. 2.1	What is expected out of Doctoral Research Thesis.....	5
D. 2.2	Outcome of M. Phil. Research Thesis.....	5
D. 3	COMMITTEES.....	5
D.3.1	Research and Innovation Council.....	5
D.3.2	Progress Review Panel (PRP).....	5
D.3.3	Moral and Ethics Committee.....	6
D.3.4	Constitution of Viva Voce Examiners.....	6
D.3.5	Constitution of Ph.D. Selection – Admission Committee.....	6
D.3.6	Coordinators of Doctoral Research Programme.....	7
D.3.7	Coordinators for Publications & IPR.....	7
D.3.8	Directorate of Sponsored Research.....	7
D.4	Research Programme.....	7
D.4.1	Nomenclature of the Programme.....	7
D.4.2	Medium of Instruction.....	7
D.4.3	Research Themes.....	7
D.4.4	Programme Duration.....	7
D.4.5	Admission of Scholars.....	8
D.4.5.1	Eligibility:.....	8
D.4.5.2	Ph.D. Application Form.....	8
D.4.5.3	Selection.....	9
D.4.5.4	Intake Capacity.....	10
D.4.5.5	Reservations.....	10
D.4.5.6	Foreign Students.....	10
D.4.5.7	Ph.D. Registration.....	10
D.4.5.8	Research Facilities and Scholar’s Care.....	11
D.4.6	Programme Fee.....	11
D.4.7	Ph.D. Programme Structure.....	12
D.4.8	Academic Calendar.....	15
D.4.9	Ph.D. Supervisor(s) and Advisor(s).....	15
D.4.10	Ph.D. Research Problem Statement.....	16
D.5	Credit Scheme and Credit Structure.....	17

D.5.1	Credit Definition.....	17
D.6	Module Details.....	17
D.6.1	Module Registration	17
D.7	Attendance and Progress Monitoring.....	17
D.7.1	Temporary Absence of Research scholars.....	17
D.7.2	Guidelines to Handle Research Scholars who are Not Regular in their Studies	18
D.7.3	Guidelines for 'Break of Studies'	18
D.8	Assessment and Quality Monitoring.....	19
D.8.1	Doctoral Programme Progress Assessment.....	19
D.8.2	Guidelines for Conducting PRP Review of a Research scholar's Progress	19
D.8.3	Guidelines for a Research scholar Failing in the PRP	19
D.8.4	Thesis Submission	20
D.8.5	Ph.D. Thesis Evaluation	21
D.8.6	Ph.D. Viva-Voce Procedure	21
D.8.7	Award of Ph.D. Degree.....	22
D.8.8	Award of M. Phil. Degree	22
D.9	Degree Certificate	23
D.9.1	Convocation	23
D.9.2	Corrections in Grade Cards and Certificate.....	23
D.9.3	Issue of Reprint Transcripts, Degree Certificate.....	23
D.9.4	Inter University Transfer of Research Scholars.....	23
D.10	Other Academic Matters.....	23
D.10.1	Missing a module / failure to complete a module.....	23
D.10.2	Roles and Responsibilities of the Research Supervisory Team	23
D.10.3	Guidelines for Change of Research Supervisor by the Research Scholar.....	24
D.10.4	Guidelines for Change of Research Topic/Title by the Research Scholar	25
D.10.5	Guidelines for Research Scholar for withdrawing from the Ph.D. Programme	25
D.10.6	Research Scholars Grievances and Redressal Committee	26
D.10.7	Guideline on IPR generated by the Ph.D. Research Scholar	26
D.10.8	Guideline for Obtaining Clearances from Ethics Committee.....	26
D.10.9	Participation in Conferences, Symposium and Publications.....	26
D.10.10	Code of Conduct	27
D.10.11	Discipline for Research Scholars	27
D.10.12	Academic Appeal by Research Scholar	27

Doctoral Research Programme Regulations of MSRUAS leading to Ph.D. Degree

D.1 Short Title and Commencement

- a) The regulations listed under this head are common for all Doctoral Programmes leading to the Ph.D. degree offered by the University.
- b) The regulations hereunder are subject to amendments by the Research and Innovation Council (RIC) of the University, from time to time, after considering the recommendations of the Board of Management. Such amendments will be effective from such date and apply to such batches of candidates, including those already undergoing the programme, as may be determined by the RIC.

D.2 Definitions

- a) "Commission" means University Grants Commission (UGC);
- b) "Statutes" mean the MSRUAS Statutes;
- c) "University" means the M. S. Ramaiah University of Applied Sciences (MSRUAS);
- d) "Faculty or Faculties" means a Faculty of the University or the Faculties, collectively, of the University;
- e) "Department" means an academic unit under the relevant Faculty offering the Ph.D. degree programme;
- f) "Programme" in these regulations means the Doctoral programme in a Faculty leading to the award of the Ph.D. degree of the University;
- g) "Supervisor" means the research supervisor who supervises and/or guides the Research Scholar;
- h) "Co-supervisor" means the additional research supervisor who supervises and/or guides the Research Scholar along with the supervisor;
- i) "Course" means a set of modules a Research Scholar is required to successfully complete to become eligible for the award of the Ph.D. degree;
- j) "Module" means a subject, either theory or practical or both, listed under the programme;
- k) "Full-Time Scholar" means Research Scholars who are spending their Full-Time on campus for a research programme;
- l) "Part-Time Scholar" means Research Scholars who are employed and are spending a part of their time on campus for a research programme.

D. 2.1 What is expected out of Doctoral Research Thesis

The doctoral research thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, interpretation/critical analysis of the results should exhibit advanced technical and research skills.

D. 2.2 Outcome of M. Phil. Research Thesis

The research thesis for M. Phil. degree should display mastery of a complex and specialized domain of knowledge and skills. The reported research work of the thesis should demonstrate expertise in the chosen field of study and research skills.

D. 3 COMMITTEES

D.3.1 Research and Innovation Council

The Research and Innovation Council (RIC) of the University is responsible for administering the Ph.D. programme. A Pro Vice Chancellor (PVC) will manage the Ph.D. programme of the University.

The RIC has the following members:

S. No.	Details	Designations
1	Vice-Chancellor	Chairperson
2	Pro-Vice Chancellor (HSG)	Member
3	Pro-Vice Chancellor (SEG)	Member-Secretary
4	Director (Sponsored Research)	Member
5	Academic Registrar (University)	Member
6	Registrar	Member
7	Academician- External	Member
8	R & D - External	Member
9	Dean (FET)	Member
10	Dean(FAD)	Member
11	Dean(FMC)	Member
12	Dean(FDS)	Member
13	Dean (FPH)	Member
14	Dean (FHMCT)	Member
15	Dean(FSH)	Member

D.3.2 Progress Review Panel (PRP)

For each Research Scholar, the PRP is constituted as follows:

- One independent Chair approved by the PVC (SEG), knowledgeable in the rules and regulations of the Ph.D. programme of the University
- Two Examiners approved by the PVC (SEG), who are reasonably conversant with the research area of the Scholar

- Supervisor(s) of the Research Scholar (one of the Supervisors will be designated as the Main Supervisor)

The independent Chair, any one of the two Examiners and the Main Supervisor form the quorum. Convening the PRP is the responsibility of the Main Supervisor. On completion of the review the Main Supervisor will forward the PRP report to the Office of the PVC.

D.3.3 Moral and Ethics Committee

All the research scholars should submit the filled in ethics declaration form during PRP-1. Depending upon the nature of the research study, the proposed methodologies and the level of risk involved, PRP can insist for full ethical approval by the ethics committee. In such cases, the full ethical approval by the ethics committee should be obtained before PRP-2.

The Ethics Committee will comprise

- PVCs (HSG & SEG)
- The Dean of any one Faculty nominated by the PVC
- Coordinators of the Ph.D. programme drawn from each of the Faculties of the University
- Two members drawn from any of the University's Faculties who will be nominated by the Vice Chancellor
- Two members external to the University

Further, the RIC may refer the individual cases to any other competent ethics committee as it deems fit

D.3.4 Constitution of Viva Voce Examiners

The panel of Examiners for conducting the Viva Voce comprises:

- An Independent Chair conversant with the rules and regulations of the University
- Two of the three approved thesis Examiners

All the members are required to form the quorum. The viva-voce will be held on the University campus. However, with the prior written approval of competent authority, video conferencing as a part of Viva Voce can be considered if the examiners express their inability to attend the Viva. In no circumstances scholar's physical absence will be exempted for Viva-Voce. In addition, along with the scholar at least one of the examiners and independent chair should always be present in the Viva-Voce.

D.3.5 Constitution of Ph.D. Selection – Admission Committee

PVCs, Deans of the Faculty and Coordinators of Doctoral Research Programme constitute selection committee for selection of candidates for Doctoral Research Programme. The selection of candidates is done as per the procedure explained in section D.4.5.3.

D.3.6 Coordinators of Doctoral Research Programme

An academic staff of each Faculty of the University nominated by the Vice Chancellor will act as the Faculty Coordinator for the Doctoral Research Programme.

D.3.7 Coordinators for Publications & IPR

An academic staff of each Faculty of the University nominated by the Vice Chancellor will act as the Faculty Coordinator for the Publications & IPR.

D.3.8 Directorate of Sponsored Research

The University would like to undertake research with national and international organizations in government, public and private sectors in thrust areas to generate knowledge for the benefit of the society. The Directorate of Sponsored Research will coordinate the University's research activities with such organizations. The Director who heads this Directorate will also report to the Pro Vice Chancellor in charge of research within the University.

D.4 Research Programme**D.4.1 Nomenclature of the Programme**

The nomenclature and the abbreviation given below shall be used for the Doctoral Degree Programme of the University:

(i) Doctor of Philosophy in <Faculty title>

In addition, the descriptive letters Ph.D. and the name of the Faculty shall be written within brackets. For example: a Doctoral degree in the Faculty of Engineering and Technology will be abbreviated as:

Ph.D. (Faculty of Engineering and Technology)

D.4.2 Medium of Instruction

The medium of instruction for the Doctoral Programme is English.

D.4.3 Research Themes

The information pertaining to the Research Themes of various Faculties of the university is available on the university website.

D.4.4 Programme Duration

The normal duration of the Doctoral Programme leading to the Ph.D. Degree is:

a) 3 to 5 years in the Full-Time Route

b) 4 to 6 years in the Part-Time Route

A Scholar taking the full-time route is expected to complete the degree within 3 to 5 years and a Part-Time Scholar taking the part-time route is expected to complete the programme within 4 to 6 years from the date of registration. The period falling between the date of first registration

for the programme and the date of official submission of the thesis, less the period(s) of 'break of studies', if any, will be considered to be the total duration of the Ph.D. programme. A Scholar who has not completed the degree within the stipulated time may seek extension and the RIC may choose to appoint the PRP of the Scholar itself as the sub-committee or any other appropriate subcommittee to look into the matter. RIC shall look into the merit of the individual cases and may decide to give extension or deny the request for extension or may recommend the submission of the thesis for the award of M. Phil degree or any other appropriate recourse. The decisions of the RIC are final in all aspects of the research programmes and in all matters pertaining to research scholars of the University.

D.4.5 Admission of Scholars

D.4.5.1 Eligibility:

A candidate seeking admission to the Ph.D. Programme should have obtained at least a second class in a Masters Degree in the subject area of research he/she intends to pursue. In addition, the candidate will also be required to secure the minimum, stipulated score in the written test and/or interview that may be specified by the RIC of the University.

Entry level qualifications for the various courses are indicated in the following table:

Sl. No	Faculty	Entry Level Qualification (at least second class)
1.	Art and Design	Masters Degree in the subject area of research
2.	Engineering and Technology	Masters Degree in the subject area of research
3.	Hospitality Management and Catering Technology	Masters Degree in the subject area of research
4.	Dental Sciences	Masters Degree in the subject area of research
5.	Pharmaceutical Sciences	Masters Degree in the subject area of research
6.	Complementary and Alternative Medicines	Masters Degree in the subject area of research
7.	Management and Commerce	Masters Degree in the subject area of research
8.	Science and Humanities	Masters Degree in the subject area of research

In multi-disciplinary research area, decisions about subject area of research related to entry level qualification can be referred to a select committee of respective Deans and PVCs.

D.4.5.2 Ph.D. Application Form

Eligible candidates may apply for the Ph.D. programme of the University. The application form including the eligibility criteria can be downloaded from www.msruas.ac.in or can be obtained directly from the Director (Admissions). The filled-in application form should be submitted to the Director (Admissions) within the prescribed date and together with the requisite application

fee. The submission of an application form does not guarantee admission to the Ph.D. programme.

D.4.5.3 Selection

Selection for admission to the Ph.D. programme will be through a written test followed by an interview as described below. The relative weightages (see Merit list below) for the written test, interview and the previous academic performance, taken together, shall form the basis for preparing the merit list of eligible candidates.

Written Test Procedure

- (i) The Written Test will cover the core concepts in the respective faculties and are designed to assess the candidates' depth of knowledge and potential to carry out research work.
- (ii) The Test will have the following, five components:
 - a. Logical and Analytical abilities
 - b. Reasoning abilities
 - c. General Knowledge
 - d. Language
- (iii) Tests/Questions may be a mixture of multiple choice, fill in the blanks, one-two line answers and short answers. They will not require long, descriptive answers.
- (iv) The use of a calculator is permitted.
- (v) The total marks for the written examination is 100 and consists of 100 questions over duration of 2 hours.

Interview Procedure

- Candidates will be asked to make a presentation outlining his/her interests and abilities for about 15 minutes. The format for the presentation can be downloaded from the website www.msruas.ac.in. The presentation will be followed by a question and answer session for duration of about 10 minutes.
- Each candidate will be evaluated on the basis of his/her oral presentation skills, ability to articulate complex ideas, how he/she would respond to hypothetical scenarios that may be posed or other appropriate method to assess the candidate's research and analytical potential.

Merit List

A final merit list will be drawn based on the;

- (i) Performance in the written test (30%)
- (ii) Interview (30%)
- (iii) Academic performance (Masters: 25%, Undergraduate: 15%)

The decision of RIC will be the final in the selection of candidates for all Ph.D. programmes.

D.4.5.4 Intake Capacity

A faculty member with a Ph.D. degree is eligible to supervise (or co-supervise) a Research Scholar. A supervisor should not have more than 6 Scholars at any given time either as a supervisor or as a co-supervisor. During the period falling between the Scholar's registration and the thesis submission, a Scholar is considered to be conducting research under the supervisor(s) guidance. Candidates are admitted to the Ph.D. Programme twice a year. On both occasions, the number of seats available for admission to the Ph.D. Programme will be decided based on the number of supervisors available and the number of vacancies available under each supervisor.

D.4.5.5 Reservations

The University will abide by the relevant government rules and regulations with respect to reservation of seats, if any, at the time of admission of candidates for the Ph.D. programme.

D.4.5.6 Foreign Students

To maintain a global learning atmosphere in the University, foreign students are encouraged to seek admission to the Ph.D. programmes offered by the University. The rules and regulations applicable to such applicants are the same as that applicable to Indian applicants. They should have master's degree qualification recognized by the association of Indian Universities in the related discipline or equivalent and proof of proficiency in English. For candidates with first and Masters degree programme with English as medium of instruction, proof of proficiency in English is not required. However, the RIC may, from time to time, specify certain additional guidelines applicable exclusively to research students from foreign countries.

D.4.5.7 Ph.D. Registration

Selected candidates (both full-time and part-time) are required to fill the Ph.D. registration form that is available in the office of the Academic Registrar (Faculty) and submit it along with the requisite fees. Research Scholars are also required to re-register at the beginning of each academic year. The Registration Renewal form is to be submitted along with the requisite annual fees. Registration forms or Registration Renewal forms submitted without payment of the corresponding fees will not be accepted. The Initial Registration forms as well as the annual Registration Renewal forms are available in the office of Academic Registrar. At the time of initial registration to the Ph.D. programme, all the selected candidates are required to sign an undertaking with respect to the IPR policy of the University, moral code of conduct and any other issues relevant to academic research programme. Part-time Scholars, in addition, have to

attach a No Objection Certificate from their employer which includes an undertaking with respect to the IPR policies of the University. Irrespective of the mode of research study opted by the research scholar (Full time or Part time), the IPR policies stated in Chapter 9 of MSRUAS statutes will be binding on the research scholars with no exceptions.

After initial registration, each candidate will be provided a 'Registration Identification Number' and an 'Identity card'. The identity card can be used for accessing other facilities of the University such as e-library, library, sports facilities, experimental facilities etc..

If a Research Scholar requires accommodation he/she may make an application at this stage in the required format.

D.4.5.8 Research Facilities and Scholar's Care

A Research Scholar will be provided with:

1. Research Supervisory team
2. A cubicle with the necessary computing facility
3. Access to internet
4. Access to Library, Journals, Laboratories and Workshop
5. Space to set up his/her experimental facility
6. Access to Reprographic facilities
7. Help to access other libraries, professors, advisors and organizations
8. Any other facilities that are essential and within the reach of the University
9. Accommodation in the University Campus on payment of the requisite fee (if requested and subject to availability).

D.4.6 Programme Fee

The Programme fee will have components as described in the programme prospectus and University website. The fee will be decided by the Board of Management with the approval of Board of Governors in accordance with the recommendations of the Fee Regulation Committee constituted by the Government of Karnataka. The fees once paid will not be refunded under any circumstances.

The continuation of a Scholar's registration in subsequent academic years is subject to payment of the prescribed fee and registration for each of those years.

Free-ships and Scholarships

The Board of Management, in consultation with the Board of Governors, may consider offering free-ships / scholarships to deserving Scholars who maintain a minimum level of performance on a yearly basis.

Research Scholars will be counseled and encouraged to avail Scholarships available from various government and other agencies exclusively for Research Scholars. As a custodian of such Scholarship funds the University will strictly adhere to the norms of the Scholarship funding agency.

The University will make efforts to provide teaching/research assistantships for deserving Research Scholars, wherever possible. The University may also create an endowment fund to offer Scholarships to deserving Research Scholars.

Research Scholars may also work on sponsored (funded) research projects for their Ph.D. and avail any related assistantships.

D.4.7 Ph.D. Programme Structure

The following table describes the Ph.D. programme structure of the University.

ML : Module Leader;

PRP: Progress Review Panel (refer to subsection on Committees)

Programme Structure for Full-Time Scholars:

Week	Module Code	Module Title	Additional Activity	Credits / hours of effort	Assessment
1	RIC600	PhD Induction and Foundation	Admission to Ph.D. Programme	00	N/A
2-6	RIC601	Research Methodology		10(150)	ML
7-11	RIC602	Technical Communication		10(150)	ML
12-16	RIC603	Literature Review-1	Supervisor Allotted	10(150)	Supervisor
17-21	RIC604	Literature Review-2		10(150)	Supervisor
22-26	RIC605	PhD-Research Problem Formulation		10(150)	PRP
27	PRP-1		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
28-32	RIC606	Research Related Module-1		10 (150)	ML
33-37	RIC607	Research Related Module-2		10(150)	ML
38-52	PhD 601	Research Module-1	Work on objective-	40(600)	PRP

			1		
53	PRP-2		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
54	Vacation				
55-66	PhD602	Research Module-2	Work on objective-2	30(450)	PRP
67-78	PhD603	Research Module-3	Work on Objective-3	30(450)	PRP
79	PRP-3		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
80-92	PhD604	Research Module-4	Work on Objective-4	30(450)	PRP
93-104	PhD605	Research Module-5	Work on Objective-5	30(450)	PRP
105	PRP-4		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
106	Vacation				
107-132	PhD606	Thesis Writing-1		50 (750)	PRP
133	PRP-5		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
134-156	PhD607	Thesis Writing-2		50 (750)	PRP
157	PRP-6		Panel reviews the performance and approves the grades awarded; Grade Card will be issued. The Panel will permit the Scholar to submit the thesis.		
158-164	PhD608	Thesis Submission & Examination Arrangement		60	RIC
165-180	PhD609	Thesis Evaluation & Viva Voce		150	Viva -Voce examiners
Total Credits				540	

Programme Structure for Part-Time Scholars:

Week	Module Code	Module Title	Additional Activity	Credits / hours of effort	Assessment
1	RIC600	PhD Induction and Foundation	Admission to Ph.D. Programme	00	N/A
2-6	RIC601	Research Methodology		10(150)	ML
7-11	RIC602	Technical Communication		10(150)	ML
12-18	RIC603	Literature Review-1	Supervisor Allotted	10(150)	Supervisor
19-26	RIC604	Literature Review-2		10(150)	Supervisor
27-34	RIC605	PhD-Research Problem Formulation		10(150)	PRP
35	PRP-1		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
36-43	RIC606	Research Related Module-1		10 (150)	ML
44-51	RIC607	Research Related Module-2		10(150)	ML
52-74	PhD 601	Research Module-1	Work on objective-1	40(600)	PRP
75	PRP-2		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
76-93	PhD602	Research Module-2	Work on objective-2	30(450)	PRP
94-111	PhD603	Research Module-3	Work on Objective-3	30(450)	PRP
112	PRP-3		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
113-132	PhD604	Research Module-4	Work on Objective-4	30(450)	PRP
133-152	PhD605	Research Module-5	Work on Objective-5	30(450)	PRP
153	PRP-4		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
154-198	PhD606	Thesis Writing-1		50 (750)	PRP
199	PRP-5		Panel reviews the performance and approves the grades awarded; Grade Card will be issued		
200-239	PhD607	Thesis Writing-2		50 (750)	PRP
240	PRP-6		Panel reviews the performance and approves the grades awarded; Grade Card will be issued.		

		The Panel will permit the Scholar to submit the thesis.			
241- 254	PhD608	Thesis Submission & Examination Arrangement		60	RIC
255-270	PhD609	Thesis Evaluation & Viva Voce:		150	Viva -Voce examiners
Total Credits				540	

Note:

The PRP will meet once in every six months for a Full-Time Scholar and once every nine months for a Part-Time Scholar.

Submission of Thesis meets the partial requirement towards the award of Ph.D. degree

For part-time research scholars sponsored by an organisation, it is necessary that the organisation should commit providing necessary infrastructure and facilities in their organisation for satisfactorily carrying out ones research work.

D.4.8 Academic Calendar

The Academic Calendar of the Ph.D. programme will be synchronized with the admission notification and selection of Ph.D. Scholars scheduled for the months of April and September of each year.

D.4.9 Ph.D. Supervisor(s) and Advisor(s)**Main Supervisor:**

A Scholar, who has completed module RIC601, is required to visit the office of the PVC and review the list of Research Supervisors and the list of potential research areas from the database maintained. Based on the Scholar's area of interest, a Research Supervisor will be allotted to the Scholar by the RIC. The PVC or his authorized representative will counsel the concerned Scholar in deciding upon a research topic. Once the Supervisor is allotted, officially, the Scholar can discuss the problem in detail and evolve a roadmap to plan the research activities together with the Supervisor. A Supervisor must have a Ph.D. degree, preferably with sufficient research and teaching experience. In case of Doctoral research programme in the Faculty of Dental science, a supervisor must have MDS plus eight years of experience. A Supervisor should not be engaged in guiding more than 6 Research Scholars at any given time (either as a Main Supervisor or as a Co-Supervisor). The relevant form for requesting allotment of the Main Supervisor is available in the office of the PVC. The Main Supervisor will necessarily be from a Faculty of the University.

Co-Supervisor:

A Scholar can have a maximum of 3 supervisors. If the Main Supervisor and the Scholar feel that they need additional help from other experts, in the subject, they should submit a written request to the RIC recommending the names of other supervisors. The RIC will take a decision in this regard. The list of supervisors is finalized before submission of the Statement of Research Problem to the RIC. An expert with a Ph.D. qualification from a reputed university and sufficient teaching/research/industrial experience (equivalent to at least an Associate Professor) but not employed in the University may also be considered for appointment as a Co-Supervisor. If the proposed Co-Supervisor is from outside the University, the Scholar and the Main Supervisor must forward the Resume along with the consent of the outside expert and with a No Objection Certificate from his/her organization to the RIC for approval. Such a Research Supervisor will not be paid any remuneration by the University as this service is considered purely as an honorary service. The External Supervisor is, however, required to follow the rules regarding confidentiality, non-disclosure and IPR policies of the University for the Ph.D. programme under consideration.

Advisor:

Research Scholars may sometimes find it essential to consult experienced individuals in industry, research organizations or academia for their research work on a regular basis even if that individual does not have the required qualification to become a Research Supervisor. Such an individual may be considered as an Advisor and he/she must be suitably acknowledged in the thesis and other publications arising out of the programme. An application for an Advisor after PRP - 3 will not be entertained by the RIC. The necessary forms to apply for Co- Supervisor(s) or Advisor(s) are available in the office of the PVC.

D.4.10 Ph.D. Research Problem Statement

A Research Scholar is required to submit his/her Statement of Research Problem as part of Module RIC605 in accordance with the guidelines for approval of the selected Problem by RIC. The relevant form for this purpose is available in the office of the PVC.

The doctoral research thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, the interpretation/critical analysis of the results should exhibit advanced technical and research skills.

D.5 Credit Scheme and Credit Structure

D.5.1 Credit Definition

15 hours of study/research work is equivalent to one credit. At the time of submission of the thesis, the Scholar must have secured at least **330** credits as per the credit accumulation sheet and must have passed **PRP reviews 1 to 6**.

D.6 Module Details

D.6.1 Module Registration

A research scholar is mandatorily required to register for RIC Modules - RIC600 (PhD Induction and Foundation), RIC601 (Research Methodology), RIC602 (Technical Communication), RIC606 (Research related module 1) and RIC607 (Research related module 2). The Research scholar is eligible for the corresponding credits upon successful completion of the registered module(s) and will be awarded credits in the subsequent PRP. If the research scholar has already completed these modules as a part of the masters or prior research programme, then the research scholar need not repeat these modules and PRP can award credits after the submission of proof of “**satisfactory**” completion.

D.7 Attendance and Progress Monitoring

Research Scholars may download the **Scholar’s Diary** from the University’s website at the time of registration to the Ph.D. programme. A Full-Time Research scholar should have at least one entry per week evidencing his having met his/her supervisor for discussion on his/her research topic (for a Part-Time Research scholar this entry should be made at least once every fortnight). A record of technical discussions and any suggested action points should also be stated in the diary. If a Research scholar is away, the Research scholar must communicate, in writing (preferably by e-mail), with the Supervisor which will also be entered in the diary. Failing to do so may make the Research scholar ineligible to register for the subsequent PRP. The original diary of the Research scholar will be in the custody of the Research scholar and he/she is expected to produce the diary for inspection during PRP reviews and at the time of thesis submission.

D.7.1 Temporary absence of Research scholars

There are no specific leave rules for either the Full-time or Part-Time Research Scholars. However, a Full-Time Research scholar who wishes to avail leave of absence due to illness and personal reasons must keep the Supervisor informed through written communication in a

format available in the office of the PVC. The above procedure is applicable only in the case of short leave of absence (less than a week). For any long leave (more than one week and less than 30 days) of absence the Research scholar (both Full-time and Part-time) should keep the supervisory team informed and the leave so availed should be entered into the Scholar's diary by the Main Supervisor. Research scholar is required to ensure that a record of leave availed by the research scholar is made available to the main supervisor. The office of the PVC should be kept informed.

D.7.2 Guidelines to Handle Research scholars who are Not Regular in their Studies

A research scholar is required to meet his/her assigned Supervisor(s) on a regular basis (weekly once for Full-Time and once every fortnight for Part-Time research scholars). If a research scholar skips two successive regular meetings without valid reasons, the supervisory team can, *suo moto*, bring it to the notice of the PVC and the PVC may advise the Research scholar to discontinue his/her studies or re-register for the next available opportunity. If the Research scholar has valid reasons, he/she is expected to submit all the evidence and supporting documents to the office of PVC through the supervisory team for its review and consideration. The Supervisory team has to send a letter to the PVC citing the Research scholar's sporadic attendance or absence, along with a signed copy of the meeting log book. The PVC may seek an explanation from the Research scholar and give him/her sufficient time (not exceeding 15 days) to provide his/her response. Based on the reply received or in the event no response is received the PVC in consultation with RIC will take a decision on whether or not to allow the Research scholar to continue the Programme.

D.7.3 Guidelines for 'Break of Studies'

If a Research scholar wishes to suspend research work for a period not exceeding one year, he/she may submit an application, through the Supervisor(s), requesting the permission of the RIC for 'break of studies'. The necessary form, for making this application, can be obtained from the office of the PVC. Along with the application, necessary documents are to be submitted supporting the reason cited for the requested 'break of studies'. The RIC may accord approval for such a case and approve the Research scholar's request to re-register at a later date. Where a Research scholar suspends studies without the prior approval of the RIC, any subsequent request for re-registration to the Programme by the Research scholar may not be entertained by the RIC. In all such cases the decision of the RIC will be final without the possibility of any kind of appeal.

D.8 Assessment and Quality Monitoring

D.8.1 Doctoral Programme Progress Assessment

Progress Review Panels

The PRP is a panel comprising members approved by the PVC for reviewing the progress of each Research Scholar. The panel consists of an independent Chair, 2 Examiners and the Supervisor(s). The panel reviews the progress of each Research scholar based on the written reports submitted by the Research scholar and a 20 minute presentation. Efforts will be made to maintain the same panel for the entire Ph.D. programme cycle of the Research scholar. The constitution of the PRP is described in the subsection D.3.2 on Committees.

D.8.2 Guidelines for Conducting PRP Review of a Research scholar's Progress

Each Research scholar is required to make a presentation on the progress made in his/her research topic to the PRP at the end of each semester in the format prescribed by the PVC. The Research scholar should submit 5 copies of the progress report to the office of the PVC at least three weeks in advance. The Supervisors are only observers at the PRP and they do not have the right to defend or prompt the Research scholar when he/she is presenting the report during the PRP. The PRP will allow the Research scholar to make a 20 minute presentation in a specified format and this is followed by about 30 minute question and answer session. At the end of the PRP session, at least 10 minutes time is reserved for Panel Members to make their recommendations to the Research scholar. At the end of the PRP, the Panel will declare the result (Pass or Fail) and award the credits earned. If the progress demonstrated by the Research scholar is considered unsatisfactory the PRP may declare the progress as Unsatisfactory which is equivalent to a 'Fail' result. The PRP is expected to submit its report to the PVC in the specified format. Based on the PRP's recommendation the office of the PVC will enter the credits earned in the Credit Accumulation Report and have it ratified by the RIC before issuing the Research scholar a signed copy of the Credit Accumulation Report.

Convening the PRP is the responsibility of the Main Supervisor and the office of the PVC will send a reminder in this connection at least three weeks in advance. After the PRP review is over, the Main Supervisor will forward the report to the office of the PVC. The office of the PVC will maintain a log book for each Research scholar.

D.8.3 Guidelines for a Research scholar Failing in the PRP

If a Research Scholar's progress is found to be unsatisfactory by the PRP, the PRP declares a 'Fail' result. The Research scholar will be advised to make up for the deficiency and present the progress in the next PRP. If a Research scholar fails, he/she loses the credits associated with the

period of six months (nine months in the case of Part-time research scholars) of his/her study. If the Research scholar fails again to make up the deficit in the extended period, he/she may be advised to discontinue his/her research studies. However, if the Research scholar has valid reasons for his/her unsatisfactory progress, the RIC may take this into consideration and provide the Research scholar with an appropriate extension of time not exceeding 6 months (nine months in the case of Part-Time Research scholars). Beyond this point, any request for further extensions will be denied.

- If a Research scholar fails to earn credits in a given PRP, he/she is allowed to attend the next PRP and make up the shortfall in credits (from the previous PRP). If a research scholar gets “Unsatisfactory” result in a given PRP in both the first and subsequent attempts, then the research scholar will not be eligible for assessment of next PRP till he/she satisfactorily completes the previously attempted PRP.
- If a Research scholar is not able to be present at a particular PRP, he/she must have taken prior, written permission from his/her supervisory team and the approval of the PVC in charge of research. If he/she has failed to do so a “FAIL” result will be declared and the Research scholar will be treated as a Research scholar who has failed in that PRP.
- The progress reports submitted by a Research scholar to the PRP should have the signatures of the members of the supervisory team. In case the members of the Supervisory Team have conflicting opinions about the progress report of research scholar, the matter must be brought to the notice of the RIC through the PVC in charge of research to resolve the issue.

D.8.4 Thesis Submission

A Research scholar is required to submit 5 copies of color-printed thesis (in the specified format available in the office of the PVC) for evaluation by the panel of examiners. The thesis is to be submitted to the office of the PVC. Along with the thesis the Supervisory team should suggest a panel of potential Examiners in the specified format which should be submitted to the PVC in a sealed envelope. At the time of thesis submission, the Research scholar should ensure that he/she has secured at least 330 credits and published in at least one refereed/cited journal or presented his/her work at least two reputed conference proceedings (the Research scholar should have personally presented the research work at the conference). The thesis submission form should accompany the thesis evaluation fee and the Research scholar must have cleared all outstanding fee dues and obtain a confirmation to this effect from the University’s Accounts Officer. The thesis has to be submitted to the Main Supervisor who, in turn, is required to

forward it with his signature. Where this procedure is not followed the Research scholar is expected to provide written justification for not doing so. The thesis submission form should be enclosed with a sealed cover which should carry the names of the up to 5 examiners from India and 5 from abroad duly evidenced by the Supervisor(s).

D.8.5 Ph.D. Thesis Evaluation

A Thesis submitted will be evaluated by three Examiners.

Examiner-1: One of the members of the Research scholar's PRP

Examiner-2: External Examiner –Indian University or Research Organization

Examiner-3: External Examiner - from any overseas University /Research Organization

From the list for Examiner-2 one of the external examiner is chosen by the PVC. Similarly, a second external examiner is chosen by the PVC from the list of Examiner-3. The PVC will also choose one of the members of research scholar's PRP (excluding the supervisory team) as Examiner-1 The Thesis will then be sent to three examiners who will be requested to evaluate it within 2 months. The RIC will decide on the honorarium for thesis evaluation. The examiners are required to submit the evaluation report in a specified format.

A **Satisfactory** report from all the three examiners is required for the thesis to be accepted and to be eligible for scheduling a Viva Voce.

D.8.6 Ph.D. Viva-Voce Procedure

A satisfactory report by all the three Examiners of the student thesis is a must for the arrangement of Viva-Voce.

If any one of the Examiners does not give a satisfactory report after the review of thesis, thesis will not be considered as accepted. However, if the examiner(s) recommend the re-submission of the thesis, then the Research scholar is required to revise the thesis based on the suggestions from the examiner(s) and re-submit the thesis within the next six months. The format for requesting a thesis re-submission is available in the office of the PVC. If the PRP finds the revised thesis to be satisfactory, the PRP may declare it as an affirmative acceptance. In case of any confusion or conflict, the PRP may choose to send the revised thesis to the same examiner(s) for re-review. If the revised thesis is accepted by the corresponding examiner(s), the Viva-Voce examination will be scheduled.

At least two of the three examiners who have evaluated the thesis and an independent chair will constitute a panel to conduct the Viva-Voce Examination. The members of the Viva - Voce examination will be constituted by the RIC (refer to subsection D.3.4) and a date for the examination will be notified to the Research scholar and the Viva - Voce examiners. The

supervisory team may attend the Viva-Voce examination if the research scholar desires so. However, the supervisory team will not participate in the examination process and decision making. The Research scholar is required to present his/her work for about 20 minutes and the format of presentation should follow the guidelines specified by the office of the PVC. The question and answer session may extend upwards of 2 hours following the presentation. The independent chair in consultation with the other examiners will prepare a report in a specified format and submit it to the PVC. Based on the recommendations of the panel of Viva-Voce examiners, a decision on award of the Ph.D. degree to the Research scholar will be made by the RIC. If the Research scholar's performance in the Viva-Voce examination is found to be **Unsatisfactory**, the panel of Viva-Voce examiners will be advised to prepare the report accordingly and submit it to the PVC to facilitate the RIC in arriving at an appropriate decision.

D.8.7 Award of Ph.D. Degree

The University will award the Ph.D. Degree to the Research scholar in the first available Convocation of the University. Nevertheless, within fifteen days of successful completion of the Viva-Voce, the PVC/RIC will issue a Provisional Certificate to the Research scholar.

D.8.8 Award of M. Phil. Degree

In certain situations the RIC may refer the matter to the PRP for considering the award of a M. Phil. Degree to a candidate who had registered for the Ph.D. programme but who has not succeeded in completing the programme requirements:

- I. A Research scholar who has earned at least 175 credits and expresses the desire to discontinue the pursuit of the Ph.D. degree has the option to convert it to M. Phil. degree and the degree will be awarded after the satisfactory completion of evaluation of M. Phil. thesis and Viva-Voce examination
- II. Where all the examiners have given an unsatisfactory report about the Ph.D. thesis; and also have not recommended the re-submission for the Ph.D. degree. In such cases, the RIC may seek the recommendations of the Research scholar's PRP or any other appropriate committee to arrive at a decision to consider the possibility of submission for M. Phil degree
- III. The Research scholar has not submitted his Ph.D. thesis even after the completion of the maximum period allowed for completion of the Ph.D. work and has at least 175 credits can be given an option to convert it to M. Phil. degree and the degree can be awarded after the satisfactory completion of evaluation of M. Phil. thesis and Viva-Voce examination

However, notwithstanding the above, RIC may deliberate in detail on case to case basis and take appropriate decisions.

D.9. Degree Certificate

The Degree certificate, issued under the University seal, will have the Research scholar's name, the name of the degree awarded, the name of the concerned Faculty and the title of the thesis.

The degree certificate will bear the signature of the Vice-Chancellor of the University.

D.9.1 Convocation

A Convocation ceremony will be held once every year. The Research scholar will be awarded the Ph.D. Degree Certificate by the Vice Chancellor or his/her nominee (Normally – a Pro Vice Chancellor) during the convocation ceremony. The degree will be awarded in the presence of the University's Mace.

Graduating Research scholars who are unable to attend the convocation can apply for award of the degree *in absentia* after paying the prescribed fee.

D.9.2 Corrections in Grade Cards and Certificate

A Research Scholar can apply for correction in any transcript and/or degree certificate issued by the University within six months from the date of issue.

D.9.3 Issue of Reprint Transcripts, Degree Certificate

In the event of a Research Scholar losing the original transcripts or degree certificate, he/she can apply for issue of re-printed documents. Re-printed transcripts will be issued against payment of the prescribed fee. The reprints will carry the caption "Duplicate"

D.9.4 Inter University Transfer of Research Scholars

Inter-University transfer of Research Scholars is not permitted.

D.10 Other Academic Matters

D.10.1 Missing a module / failure to complete a module

If a Research scholar is unable to complete a module due to any reason leading to non-assessment, the Research scholar is required to re-register for that module in the next offering.

D.10.2 Roles and Responsibilities of the Research Supervisory Team

The roles and responsibilities of the Research Supervisory team are to:

- Be conversant with the current regulations of the University academics regarding the Ph.D. degree programme and Research Scholars
- Ensure all paperwork/stages of progression are completed within the prescribed time-limits
- Ensure that Research scholars complete specified modules on time
- Be accountable to the University for the satisfactory progress of the Scholar's research programme
- Possess sufficient knowledge of the research area to provide the Research Scholar with proper guidance and advice
- Maintain regular contact with the Research Scholar and be accessible at appropriate times for consultation and ensure that the research diary is maintained by the Research scholar
- Read any written document that the Research Scholar has produced and provide constructive criticism on the work within a specified time period
- Be in a position to advise the Research Scholar on safety, IPR and ethics related issues together with the University's general and the relevant academic Regulations
- Play an active role in introducing the Research Scholar to other researchers, appropriate academic bodies and learned societies within the chosen field
- Ensure that the Research Scholar is made aware of the progress or if the standard of work is unsatisfactory and arrange for appropriate supportive action where necessary
- Devote sufficient time, after managing all other responsibilities, to dedicate to the needs of the Research Scholars
- Guide and ensure that the Research scholars prepare for PRP, prepare presentations, prepare papers for conference and journals and prepare the Thesis for submission as per the RIC's/ University's requirements
- To nurture the young faculty into research guidance for smooth conduct of research scholar's programme, a research supervisory team consisting of faculty with experience of research supervision and a young faculty with no prior experience of independent research supervision will be insisted on case to case basis.

D.10.3 Guidelines for Change of Research Supervisor by the Research scholar

A Research Scholar during the research period may find it necessary to change the Supervisor(s) for a variety of reasons including superannuation, resignation, death, incompatibility etc. In such situations, a Research scholar can request the RIC to allot a new Research Supervisor. The RIC needs to take a decision after taking into account the recommendations of the other members of the supervisory team of the Candidate. The format for making an application

requesting a change of supervisor is available in the office of the PVC. Normally, decision about the change of supervisor will be completed within 30 days of the receipt of written request. If the scheduled PRP of the research scholar falls within the duration of stated 30 days, that PRP of the research scholar will be deferred till decision is arrived about the change of supervisor. If the change of supervision results in extension of the duration of the research programme, research scholar shall bear the fee for the extended duration. However, if the change of supervision is as a consequence of unforeseen circumstances (death, resignation, termination of supervisor or suggestion for change of topic by the supervisor) which are beyond the control of research scholar, University shall decide the fee for extended duration if any.

D.10.4 Guidelines for Change of Research Topic/Title by the Research scholar

A Research Scholar may at some point of time find that it is difficult to continue with the current research topic which has already been approved at PRP-1 and would like to start with a new topic. In such an instance the Research scholar is required to submit a written request to the RIC within 18 months from the day of Registration. The RIC, after deliberations, may permit the Research scholar to take up a new study plan from RIC603 module. The topic cannot be changed by the Research scholar more than once in the Ph.D. programme cycle. If the topic change involves change of supervisor(s), the guideline suggested in Section D.10.3 should also be followed.

In some cases, while the main topic and the objectives remain the same, a minor deviation may be needed. Such a case is termed as 'Title Change'. The Research scholar along the supervisory team should bring this matter to the notice of RIC through the PRP report and have this ratified. In any event a request for title change will not be permitted more than twice in the duration of Ph.D. programme of the Research scholar.

The format for requesting a change in topic or title can be obtained from the office of PVC. In such cases, the time period that should not be accounted for the duration of the Ph.D. programme will be recommended by the respective PRP and approved by PVC in consultation with RIC.

D.10.5 Guidelines for Research scholar for withdrawing from the Ph.D. programme

For unforeseen reason(s) if the Research scholar wishes to withdraw from the Ph.D. programme, he/she is expected to submit a request letter along with the No Dues Certificate in the format specified by the office of the PVC. Only an un-conditional request letter will be entertained. Final settlements, if any, will be considered only after the approval of the request by RIC. Those who withdraw from the Ph.D. programme cannot make any claims with respect to

any subsequent publication, patent or any such Research scholarly benefits. Upon the request by the research scholar the University can issue a certificate stating the academic record of completed modules along with credits after the payment of stipulated fee.

D.10.6 Research Scholars Grievances and Redressal Committee

The provision of Research Scholars Grievances and Redressal Committee is described in Chapter 8 of the MSRUAS Statutes.

D.10.7 Guideline on IPR generated by the Ph.D. Research scholar

The provision governing Intellectual Property that is generated by a member of the University is as described in Chapter 9 of the MSRUAS Statutes.

D.10.8 Guideline for Obtaining Clearances from Ethics Committee

If a Research Scholar's work needs clearance from an Ethics Committee (for the constitution of the Ethics Committee refer to the subsection on 'Committees'), the Research Scholar and the supervisory team are expected to prepare the necessary documents for obtaining clearance with the guidance of the PVC. Research involving animal or human participants, animal or human materials, personal information, or involving clinical trials, or combinations of such studies, require Ethics Committee approval. The Ethics Committee may choose to take recommendations from a concerned expert.

D10.9 Participation in Conferences, Symposium and Publications

The University has guidelines for sponsoring staff and Research scholars who wish to attend conferences and symposia. This is applicable to Ph.D. scholars. The format for requesting permission to attend conference/workshop/symposia is available in the office of the PVC.

A Ph.D. Scholar is expected to publish at least one research paper in a renowned peer reviewed journal or personally present the research work at two reputed and well established conferences in addition to publishing the work in the proceedings of the conference. Permission to publish the research work in a journal or a conference can be requested in a specified format. Subject to the approval by the IPR and Publication committee of the University, the research scholars may be given financial assistance to present paper in refereed conferences. When the request form for permission is submitted to the office of the PVC, brief particulars of the intended publication (including the title, authors and the abstract) will be placed on the University's intra-net/web site for 15 days. If any one feels that his/her name is not included or if any one finds unacceptable or confidential information in the abstract, they are free to request a stay of the publication to the PVC. The PVC will examine the case and take a decision

on the matter and have the same ratified by the RIC. No request for stay of publications is accepted beyond the period of 15 days.

D.10.10 Code of Conduct

The provision relating to code of conduct that applies to every member of the University is as described in Chapter 8 of the MSRUAS Statutes

D.10.11 Discipline for Research Scholars

The provision relating to discipline that applies to every member of the University is as described in Chapter 8 of the MSRUAS Statutes

D. 10.12 Academic Appeal by Research Scholar

A research scholar or student can appeal against the assessment of a module or thesis whose result has been officially announced. The appeal in the written form should be submitted to the PVC in charge of Research within six days of the announcement of results. The permissible grounds for academic appeal by a research scholar are:

- During the assessment of the module in question, regulations of the program were not followed or there was an administrative error or any other significant procedural irregularity that may prejudice the performance or assessment of the student
- Evidence of unfair or improper assessment on part of one or more examiners. However the student is not permitted to question the academic judgment of the examiner or panel
- Evidence of extenuating circumstances was severe enough to have prevented the student from making an informed decision at that time whether to appear/attempt for an assessment or to apply for a deferral

The PVC shall refer the appeal by the student to RIC along with the remarks of independent chair wherever applicable. A special committee set up by the RIC will look into the facts and veracity of the incident/s cited in the appeal. The special committee shall comprise the members who do not have the conflict of interest and have not been associated with the examination or assessment of the module under question. The special committee shall submit the report to the RIC. The terms of reference shall be determined by the RIC at the time of constituting the committee. The RIC shall examine the special committee's report to arrive at a decision to adjudicate the appeal. The decision of the RIC shall be the final.

Any other issues not covered in this document will be referred to Research and Innovation Council. The decision of the Research and Innovation Council in such matters shall be final.

These Regulations may be amended from time to time by the Research and Innovation Council and approved by Board of Management.

Failure to read and understand the regulations is not an excuse.