

SRI BALAJI VIDYAPEETH

(Deemed to be University u/s 3 of UGC ACT, 1956)

Accredited by NAAC with A Grade

PILLAIYARKUPPAM, PONDICHERRY-607402.

MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) REGULATIONS 2016 AMENDED IN 2018.

PREAMBLE

Sri Balaji Vidyapeeth promotes research and developmental activities both in basic and applied aspects in various faculties of Health Sciences, viz. Medical, (Pre Clinical, Para Clinical and Clinical subjects) Dental, Nursing, Interdisciplinary Research and other Allied Health Sciences in constituent colleges / centres of this Deemed University.

1. SHORT TITLE, APPLICATION AND COMMENCEMENT:

- 1.1. These Regulations may be called SBV- Minimum Standards for the award of degree of Doctor of Philosophy (PhD) Regulations 2016 amended in 2018. These Regulation are based on and in conformity with the UGC - Minimum Standards for the award of the degree of Master of Philosophy (M.Phil.) / Doctor of Philosophy (PhD.) Regulations 2016.
- 1.2. These Regulations will apply to the constituent colleges / centres of Sri Balaji Vidyapeeth which offer PhD programmes.
- 1.3. They shall come into force from the date of approval in the Academic Council and shall be effective from the batches joining from 2018 onwards.

2. ELIGIBILITY CRITERIA FOR ADMISSION TO PhD PROGRAMME:

Subject to the conditions stipulated in these regulations, the following persons are considered eligible to seek admission to the PhD programme:

- 2.1. Master's degree holders M.Phil degree holders satisfying the criteria stipulated under Clause 2 above of these regulations.
- 2.2. Candidates who have cleared the M.Phil degree with a minimum of 55% marks in aggregate or its equivalent 'B+' in the UGC 7 point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. degree shall be eligible to proceed to do research work leading to the PhD degree. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ ST / OBC (Non Creamy Layer) / differently abled and other categories of candidates as per the decision of the UGC and SBV from time to time and in conformity with these regulations that are based on UGC Regulations 2016 - Minimum Standards for the award of Master of Philosophy (M.Phil) and Doctor of Physiology (PhD). The eligibility marks of

55% (or an equivalent grade in a 7 point scale where ever grading system is followed) and the relaxation of 5 % to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

- 2.3. A person whose M.Phil dissertation has been evaluated and the Viva Voce is still pending may be admitted to the PhD programme of Sri Balaji Vidyapeeth.
- 2.4. Candidates possessing a degree considered equivalent to M.Phil. degree of an Indian institution or 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 for the purpose of assessing, accrediting or assuring quality and Standards of educational institutions.

3. REQUIREMENT OF EXPERIENCE: (Ph.D. PART TIME)

- 3.1. Teacher candidates working in College/University departments (SBV) and such other Institutions recognized by concerned Statutory / Regulatory council with a minimum of one year of continuous teaching experience at undergraduate or post-graduate level in the subject concerned.
- 3.2. Candidates under the regulations of Part-Time shall be required to work in a department approved for research by this University while the Guide/Supervisor may or may not be working in the same department. Interdisciplinary research for such part-time internal candidates shall be allowed only with the approval of the Academic Council.
- 3.3. For PhD programme of clinical disciplines in Medicine, a minimum of One year experience in the concerned department for Diploma qualified candidates is necessary. For candidates with PG (Medical/ Dental / Nursing) Degree or equivalent there to, in the concerned subject, are exempted from this experience criterion at the discretion of the University.
- 3.4. Technocrats, Scientists, Social Scientists & Scholars with a minimum of Two years of experience in India or abroad and Educational qualifications as prescribed for Ph.D. Part-time programme, having sufficient exposure in research & development and having generated useful data/patent/knowledge as evidenced by their contributions in their respective areas of research.
- 3.5. Non-teaching staff employed in a time scale of pay in this University and other affiliated research institutions provided that(i)the candidate has a minimum of Five years of continuous work experience of which at least two years should be relevant to the field of research, proof of which is to be evidenced through two research papers published in standard journals OR (ii)the candidate has a minimum of Three years of work experience with M.Phil.in the subject concerned and published two research papers in standard journals in the subject concerned.

- 3.6. Candidates under the regulations of part-time are prohibited from taking any other remunerative assignments or joining any other course of study.
- 3.7. Candidates under Permanent academic staff of college/Universities/other educational Institutions of higher learning/ Research & Development Laboratories and organizations with a minimum of Two years of continuous teaching /research experience are eligible for PhD programme (Part Time).
- 3.8. A candidate possessing a Postgraduate/ Super Specialty degree from an accredited Overseas University and who is residing abroad or working abroad in a University/industry may also apply. Such applications shall be routed through the concerned department and placed before the Research Advisory Board. There shall be sufficient correspondence between the candidate and the supervisor to effectively evaluate the candidate potential and feasibility of supervision on the identified topic. A well written research proposal should be placed before the Research Advisory Board .
- 3.9. It is to be noted that as far as the candidature of Part Time (External) is concerned, it is mandatory that the institute or R&D unit where the candidate is presently working should have the concerned Institutional Ethics Committee and also a co-guide who fulfills the eligibility criteria in the respective work place and the department needs to be recognised by Sri Balaji Vidyapeeth.
- 3.10. Overseas Candidates who are self supporting or sponsored, seeking admission into the PhD programme should essentially possess a valid Research Visa granted by the Indian Embassy in that particular country of the candidate's origin.

4. REQUIREMENT FOR Ph.D. (FULL TIME)

- 4.1. The candidate with research grant from Extramural funding agencies (JRF, SRF qualified, GATE, ICMR, INSPIRE) and non-stipendiary candidates are eligible.

5. DURATION OF THE PROGRAMME:

- 5.1. The duration of the PhD programme will be as follows;

FULL TIME:

The duration of the Ph.D. Full Time programme shall be a minimum period of three years and a maximum of six years from the date of provisional registration.

PART TIME:

Part Time candidates shall have to complete a minimum of four years and are allowed a maximum of Seven years from the date of provisional registration.

5.2. RELAXATION IN THE DURATION OF THE PROGRAMME

Women candidates and persons with Disability (More than 40% disability duly certified) may be allowed a relaxation of two years for PhD programme in the maximum duration. In addition, Women Candidates may be granted Maternity Leave / Child Care Leave once in the entire duration of the PhD programme for up to a maximum of 240 days, a period not counted for the total duration.

NOTE: It is to be noted that SBV does not offer PhD programme under Distance / Online Mode.

6. PROCEDURE FOR ADMISSION:

- 6.1. Sri Balaji Vidyapeeth shall admit PhD students through an Entrance / Screening Test conducted at the level of the University. SBV will conduct a Selection interview for those students who qualify UGC - NET (including JRF / UGC - CSIR NET / JRF / SLET / GATE / Teacher Fellowship / M.Phil).
- 6.2. SBV will decide on an annual basis through its academic bodies a predetermined and manageable number of PhD scholars to be admitted depending on the number of available Research Supervisors and other infrastructure, academic facilities available keeping in mind the scholar-Teacher ratio. SBV will notify well in advance on the institutional website / through advertisement in dailies, the number of seats for admission, subject wise / discipline wise distribution of available seats, criteria for admission, procedure for admission, examination centres and other relevant information to be furnished for the benefit of the candidates.
- 6.3. A candidate should score a minimum of 50% at the Entrance test in order to qualify for the Screening test. The syllabus of the Entrance test will consist of 50% of Research Methodology and 50% on the specific subject. The interview / screening test will consider the ability of the candidate to exhibit the competence for the proposed research, the feasibility of the study / research work which can be suitably undertaken at any of the centres / constituent colleges of SBV and the proposed area of research towards augmentation of the existing knowledge.
- 6.4. The shortlisted candidates have to appear for an interview and give a seminar as per the requirement of the Research Advisory Board/ University.
- 6.5. Candidates admitted under MoU between SBV and a University / Institution in India or abroad where specific clause(s) exist for registration of candidates to Ph.D. degree by the University and those selected under

international cultural/educational exchange schemes of Government of India/UN bodies are exempted from taking the admission test.

- 6.6. All the candidates applying for admission to Ph.D. programme should submit at the time of interview, a clear written proposal of the research to be conducted, giving sufficient background material and the proposed line of research. In case of candidates working outside the University, the Guide will be from SBV and a Co-guide duly recognized by the University may be permitted, if necessary, in addition to the University Guide/Supervisor on the recommendation of Research Advisory Committee. The part time candidates should produce a No Objection Certificate (NOC), from the head of the institute where the candidate is working, at time of applying.

Research Proposal:

The Research proposal should emphasize on research plan by including the Following:-

1. Introduction to the proposed research
2. A detailed literature survey
3. Research gaps/ lacunae and the Identified need for the study.
4. Aims and objectives
5. Methodology
6. Significance of the proposed research and the expected out come.
7. Schedule of the Research plan.
8. Pilot Study (If deemed necessary)
9. Expenditure likely to be incurred and source of funding.
10. References.

The Research Proposal should be self explanatory and be of Five to Ten pages on A4 size with 1 inch margin all around. The font to be used is Times New Roman, 12 with 1.5 line spacing. The references should be in the Vancouver format and all of them need to be essentially cited in the text.

Mere possession of required educational and other qualifications alone cannot be claimed as a right for admission to the Ph.D. Programme in Sri Balaji Vidyapeeth, Pondicherry.

SBV will maintain the list of all the PhD registered students on the website by indicating the Scholars on year wise basis. The list will include the name of the registered candidate, Unique Identification number of the candidate, topic of PhD research, name of the supervisor / co-supervisor and date of enrollment / registration.

7. RECOGNISED SUPERVISOR/ GUIDES FOR PhD PROGRAMME

The faculty who fulfill the eligibility criteria as per UGC / SBV regulations can apply for Guide Recognition to the Office of the Registrar.

Eligibility Criteria for Supervisors / Guides:

Any regular Professor (Non PhD) in any of the constituent colleges / centres with a minimum of Five research publications in refereed journals and any regular Associate / Assistant Professor in any of the constituent colleges / centres / Central Library with a doctorate degree (PhD) and a minimum of Two research publications in refereed journals will be recognized as Research Supervisor / Guide for PhD programme.

Faculty in other academic departments/ Scientists with PhD/D.Sc in Central Interdisciplinary Research Facility (CIDRF), Animal House and Central Library of a rank at least equivalent to that of Assoc./ Assistant Professor and having the prescribed qualification / Experience mentioned for teaching faculty/ PhD with at least two publications in reputed peer reviewed journals may be recognized as a supervisor to guide Full time / Part-time research scholars in the subject or field of his /her own specialization, even if the department in which he/ she is working is not recognised as a centre by the University for conducting research leading to PhD degree.

Faculty/ Scientists working outside the University who possess the requisite credentials as mentioned above on applying for Co-Guide recognition will be duly considered for co-guideship.

Guidelines for Guide / Supervisor recognition in inter- disciplinary research:

In inter-disciplinary/ multi - disciplinary subjects (e.g. Medical Genetics, Biophysics, Biotechnology, Medical Education, Medical Informatics, Music Therapy, Yoga Therapy etc.), a person who possesses qualification(s) or experience/ expertise in some other or related disciplines can apply for recognition as Guide in an additional/ different/allied subject and when the Academic council, based on the recommendations by the Dean (Research) approves of the person's merit, then he/ she will be approved as a recognized Guide of Sri Balaji Vidyapeeth.

Note:

In such of those areas / disciplines where there are or only a limited number of refereed journals, SBV will reserve the right to relax the eligibility for the recognition of a faculty / staff as Research Supervisor with the valid reasons recorded in writing. (Clause 6.1 of UGC - Minimum Standards and procedure for award of M.Phil / PhD degrees Regulations, 2016.)

Only a full time faculty in any of the constituent colleges / centres can function as Research Supervisors / Guide. However co-supervisors may be allowed from other departments within the same institute or from other departments in any of the constituent institutes / centres with the due approval accorded by the Research Advisory Committee.

Allocation of Guides/ Co-guides:

It is the prerogative of the Research Advisory Board to allocate the Research Guide, who is duly recognized by this University in relevance to the research interest of the candidate.

Co-guides should be co-opted, based on the recommendation of the guide and the collaborating departments subject to the approval of the Research Advisory Committee. For Part Time candidates it is mandatory to have a co-guide from the institute where the research work is being carried out.

Number of candidates permitted for a Guide:

At any given point of time for the purpose of guidance of PhD thesis, a Guide (Professor) can have a maximum number of Eight (8) doctoral students enrolled.

If the guide happens to be an Associate Professor he can guide a maximum of Six (6) PhD scholars at any given point of time and for Assistant Professors, a maximum of Four (4) scholars can be guided at any point of time for the PhD programmes.

The number of candidates under a particular guide at any given point of time will be till the submission of Synopsis by a candidate. Upon the successful submission of the synopsis by a PhD candidate, the Guide will be entitled to take up one more doctoral candidate.

Age limit for the guides:

The upper age limit for a recognized PhD guide is Seventy (70) years. The guides are not allowed to take new doctoral candidates under their supervision when they are above sixty seven (67) years of age.

If in case the Research Supervisor superannuates during the course of PhD of the Scholar, the Guide can continue to remain so, provided at the time of superannuation, the candidate had put in Three years of PhD research. If the candidate has not completed three years, the candidate has to apply for change of guide as per regulations.

Conflict of Interest:

The guide and the co-guides should not be related to the candidate.

Absence of guide (Prolonged period):

In the case of absence of the guide for a prolonged period, the Vice-Chancellor reserves the right to appoint another eligible faculty as guide, but with the recommendations of the Research Advisory Board, subject to the *post facto* approval at the subsequent Academic Council meeting.

Change of guide:

In case the guide leaves the University permanently or on deputation or otherwise for a period of more than one (1) year, the candidate may be permitted to change the topic of research if necessary, along with the further change of guide upon the approval of Vice-Chancellor. Duration of the research remains the same if the topic of research is retained. If there is a change in the topic, the minimum duration of research will be decided by the Research Advisory Committee. Change of guide will be permitted only under exceptional circumstances such as non availability of the guide for more than one (1) year. Furthermore, under extraordinary circumstances, the change of guide may be permitted with the approval of the Vice-Chancellor and also based on the recommendations of the Research Advisory Board.

8. DUTIES OF THE RECOGNISED GUIDE / SUPERVISOR:

- The Guide will be Convener of the Research Advisory Committee.
- The Guide should give the consent for officiating as a Guide for the candidate to be registered.
- The Guide shall sign all the papers, declarations, certifications, authentications, log books and other related documents pertaining to the registration, submission of synopsis and thesis of the registered candidate.
- The Guide shall serve as a Supervisor / Convener to interact with the University.
- The Guide shall supervise and interact with the University for those candidates who have already submitted the Thesis till the final decision is arrived.
- The Guide shall also be the convener of the Public Viva Examination Committee.
- The Guide shall interact with the Co-guide who may be entrusted to continue the research work of the candidate when the selected Guide is not in a position to do the same under the following situations:

- When the Guide has completed 70 yrs. and till a new recognized Guide takes over.
 - When the Guide is on long leave (three months and above).
 - When the Guide is sick or on Medical leave.
 - Other unforeseen circumstances.
- Till a new guide is selected and appointed with the approval of the Vice-Chancellor, the Co - guide shall assist the candidates in his/ her research work.
 - The change of Guide shall be considered under special circumstances with proper permission from the Dean - Research and the candidate will be allotted a new Guide in accordance with the Ph.D., Rules & Regulations in force.
 - The change of guide is generally permitted after the approval of the provisional registration and before the completion of the part one methodology examination as approved by the Academic Council.
 - Only one change of guide is permissible under ordinary circumstances.
 - In case of detection of any discrepancy, conflict of interest, unethical activities, academic dishonesty etc. it is the prerogative of the University to initiate appropriate administrative and disciplinary actions amounting to cancellation and debarring of the guideship at any stage.
 - The recognized guides of Sri Balaji Vidyapeeth will renew their guideship once in Five (5) years based upon the request made by them and also based on the progress of candidates being supervised by them. The renewal of Guide recognition will be based on the Regulations in force at that time.

DUTIES OF THE CO- GUIDE

In order to promote Interdisciplinary research and Part Time, a Co-Guide (Joint Supervisor) can be appointed based on the recommendations of the Research Advisory Committee. The number of candidates registered under co-guide shall not be taken into consideration while counting the permissible number of candidates registered under him / her, as guide for PhD. However the main guide shall be responsible for facilitating the successful completion of the Doctoral Programme. The Co-Guide will have the responsibility in certifying the sustained research progress of the candidate, his / her attendance and the formative assessment pertaining to the Interdisciplinary research and part Time External. **The presence of Co-guide(s) either in person or through teleconference is mandatory at the Research Advisory Committee meetings.**

9. RESEARCH ADVISORY COMMITTEE (RAC)

**Research Advisory Committee: (To meet in June/ July and
December/ January every year)**

SBV will have Research Advisory Committee (RAC) for each PhD scholar. The following is composition of RAC,

Guide	- Convener
Co-Guide (s)	- Member (s)
Head of the department	- Member
Subject Expert (2 Members)	- External Members

9.1. FUNCTIONS OF RAC:

- To Review the research proposal and finalise the topic of research.
- To guide the Research Scholar in developing the study design and methodology of research and identify the course (s) that he / she will have to do.
- RAC in its first meeting should finalise the contents of course work 2 and specify the split up of Marks and Grades required of the candidate. To review the clearance from the IHEC / IAEC to see whether appropriate clearance / waiver has been obtained by the candidate.
- To confirm whether the work being carried out by the candidate is as per the proposal / protocol approved by the IHEC / IAEC.
- RAC at the end of the first year should forward the Grades/ marks of Course work 2 to the Controller of Examinations for finalisation of the results.
- To periodically review and assist the progress of the research work of the research scholar.
- The RAC shall consider the recommendations / modifications if any by the concerned Institutional Research Council/ Ethics Committees on valid grounds.
- RAC will periodically review the authenticity of the research work being carried out by its scholar. At an extraordinary of the RAC held specifically for this purpose, the RAC will certify that the research work has been completed satisfactorily, the Raw Data has been duly verified and that the candidate may be allowed to prepare / submit the thesis and also the candidate be prepared to present the research work at the Colloquium.

The names suggested by the Guide would be nominated as the subject experts (External Experts) by The Dean- Research / Vice-Chancellor. The first meeting of the Research Advisory Committee shall be held within Two months following provisional registration and at this meeting, the committee shall finalise the Thesis Topic to be submitted to the respective Institute Ethics Committees for approval. Also, the committee should stipulate the course work that the candidate needs to take as requirement towards the Part I Methodology Examination.

The Committee shall in its presence conduct a departmental seminar where in the candidate makes a power point presentation on the protocol pertaining to the thesis work. The protocol of the proposed thesis (corrected) shall be submitted before the completion of the Six months period from the date of provisional registration. The subsequent committee meetings should be held twice in a year in the month of June/ July and December / January every year to scrutinize the annual progress made by the candidate. When the research work is nearing the final stage, the committee after duly examining the progress made by the candidate shall recommend for the submission of the synopsis. In addition the Committee shall suggest a panel of Examiners (5 Indian and 5 overseas) for the evaluation of the thesis to Vice-Chancellor who in turn would select two examiners (1 Indian & 1 Overseas) and forward it to the Controller of Examinations for further action.

The Research Advisory Committee can recommend minor changes in the topic of thesis, if any, at a later stage to the respective Ethics Committee for approval. The decision of IHEC/IAEC in this regard will be the final.

10. ETHICS CLEARANCE / WAIVER

Following the recommendation at the First Research Advisory Committee meeting, the protocol has to be submitted to the respective Institutional Ethics Committees (IHEC/ IAEC) for ethical clearance/ waiver for the topic. The certificate of clearance has to be submitted to Dean Research within ONE year from the date of provisional registration of the candidate

Note: The clearance / Waiver has to be obtained from the Ethics Committee of the institute where the research work is being carried out.

11. COURSE WORK

11.1. The course work shall be treated as a prerequisite for PhD preparation. A minimum of 4 credits shall be assigned to one or more courses on Research Methodology which would cover areas such as Quantitative methods, Computer applications, Research Ethics and Review of Published research in the relevant field, training, Field work, etc. Other courses shall be of advanced level preparing the students for PhD degree.

For PhD

Sl.No	Course Title	Credit Value	Summative Assessment	Marks	Minimum Marks/ Grade for passing	Evaluation done by
Methodology Examination	Research Methodology (Research Techniques, Biostatistics, Research Ethics)	4	University Examination	100	55% (B+ Grade)	University
Course Work 2	Chosen area of Research (Review of Literature, Recent developments in the topic of research, Need for the study and Research problems in Broad based perspectives.	6	University Examination	100	55% (B+ Grade)	Research Advisory Committee

11.2. For such of the candidates who had completed the Course work (Research Methodology) in their M.Phil, exemption may be granted in the PhD Methodology exam (Research Methodology) alone. However they have to mandatorily take the course work 2 in guide paper / Special paper.

11.3. All courses prescribed for PhD shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.

- 11.4. The department where the scholar pursues his / her research shall prescribe the course (s) to him / her, based on the recommendations of the Research Advisory Committee, as stipulated under sub clause 9.1. of these regulations.
- 11.5. All candidates admitted to the PhD programmes shall be required to complete the course work prescribed by the Department / Research Advisory Committee during the initial one year.
- 11.6. The credits in the course works pertaining to PhD programme, including Research Methodology and the specified areas of research shall be declared by the Controller of Examinations, upon approval of the passing Board and the final grades shall be communicated to the candidates. The guide / department should refrain from spelling out the grades obtained by the candidates until the official results are declared.
- 11.7. PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade (B+ Grade).

Cumulative grade point average (CGPA) based on 8 point system

Marks obtained by candidate (a)	Equivalent grade letter (b)	Grade descriptor (c)	Grade point (d)	Credit for the course (d)	Credit point (credit x grade) (cxd)
85 % and above	O +	Outstanding	10		
75-84	O	Excellent	9		
65-74	A+	Very good	8		
60-64	A	Good	7		
55-59	B+	Above average	6		
50-54	B	Average pass	5		
40-49	C	Conditional pass	4		
39 and below	F	Fail			

Example of calculation:

Course	Marks obtained	Grade letter	Grade point	Credit for the course	Credit point
1	55	B+	6	6	6 x 6 = 36
2	52	B	5	6	6 x 5 = 30
3	68	A+	8	6	6 x 8 = 48
4	72	A+	8	6	6 x 8 = 48
5	50	B	5	2	5 x 2 = 10
6	80	O	9	2	9 x 2 = 18
Total				28	190

Total credit points = Sum of all the credits obtained by the candidate = 190

SGPA = Total credit points for the semester divided by the sum of all credits of the courses of the semester = $190/28 = 6.79$

CGPA = Total credit points for the whole course divided by the sum of all credits for the whole course.

Pass Marks:

1. Candidate should secure not less than 55% marks or its equivalent grade (B+) in each theory paper at the University Examination.

NOTE TO THE PhD SCHOLARS:

It is to be noted that the PhD Scholars should complete the course work within ONE year of their provisional registration. However if the candidate fails to complete the Part I Methodology Examination in the first attempt, he or she will be given one more chance to complete the same. PhD Registration will automatically cease if the candidate fails to complete the Part I Methodology Examination (Research Methodology and Course work) within TWO years of his / her provisional registration. The candidate will be required to appear in the ensuing attempt only in the failed paper.

The topics shall cover the following:

Paper- I : Principles of Research Methodology and Biostatistics (Common Paper to all candidates)

- 1) General Research Methodology.
- 2) Bio-statistical Methods in Medical Research.
- 3) Ethical aspects of Medical Research.

Animal Experimentation and Instrumentation (where ever applicable may be incorporated in Course Work 2.

Exemption from Research Methodology Examination:

Candidates already holding M.Phil degree and admitted to the PhD programme, or those who have already completed the course work in M.Phil (Equal to 4 credits) on Research Methodology and have been permitted to proceed to the PhD in integrated course, may be exempted from the PhD Research Methodology Examination alone. All candidates admitted to the PhD programme shall be required to complete the PhD course work 2 (Topic Specific) as prescribed.

12. CREDIT CALCULATIONS AND ATTENDANCE FOR PhD SCHOLARS (PART TIME / FULL TIME)

Total No of Credits 1. Research methodology - 4 Credits (At University Level)
 2. Course Work (Topic Specific) - 6 Credits (At RAC Level)

	Total Credits	Personal Contact Hours	Self Study Hours
Research Methodology (University level)	4 Credits	4 Credits 25 X 2.5 hrs= 62.5 hours	-
Course Work 2 (RAC Level)	6 credits	2 credits 2X16 =32 hours	4 credits 4X32 = 128 hours

FIRST YEAR

	10 days (November)	10 days (March)	10 days (July)	Doctoral Comm. review	Total hours	Credits
Course Work 2 (RAC Level)						
(Contact Class)	1 hr - Res. Meth.	1 hr - Res. Meth	1 hr - Res. Meth	6 hours	32 Hours	2 Credits
(Self Study)	2 hrs - Review of Literature	2 hrs - Review of Literature	2 hrs - Review of Literature		62 hours	4 credits

	2 hrs - Group Discussion. Journal Club	2 hrs - Group Discussion. Journal Club	2 hrs - Group Discussion. Journal Club		62 hours	
--	---	---	---	--	-------------	--

1 hour of Contact Class for Guide paper a day

2 hours for Review of Literature for Research Methodology) a day

2 hours of Journal Club+ Group Discussion + Review of Literature for Guide Paper a day

Total hours a day = 6 hours X 30 days a year = 180 hours for 3 months

SECOND YEAR (AT RAC LEVEL)

	10 days (November)	10 days (March)	10 days (July)	Doctoral Comm. review
Review of Literature	1 hr	1 hr	1 hr	12 hours
Manuscript preparation	2 hrs	2 hrs	2 hrs	
Journal Club	2 hrs	2 hrs	2 hrs	
Total	5 hrs per day	5 hrs per day	5 hrs per day	162 hours

THIRD YEAR (AT RAC LEVEL)

	10 days (November)	10 days (March)	10 days (July)	Doctoral Comm. review
Review of Literature	1 hr	1 hr	1 hr	12 hours
Manuscript preparation	2 hrs	2 hrs	2 hrs	
Data Compilation	2 hrs	2 hrs	2 hrs	
Synopsis Preparation	2 hrs	2 hrs	2 hrs	
Total	7 hrs per day	7 hrs per day	7hrs per day	222 hours

FOURTH YEAR (AT RAC LEVEL)

	10 days (November)	10 days (March)	10 days (July)	Doctoral Comm. review	Colloquium Presentat ion
Review of Literature	1 hr	1 hr	1 hr		
Manuscript Finalisation	2 hrs	2 hrs	2 hrs	12 hours	4 hours
Data Analysis	2 hrs	2 hrs	2 hrs		
Synopsis Finalisation	2 hrs	2 hrs			
Dissertation Writing			2 hrs		
Total	7 hrs per day	7 hrs per day	7hrs per day		226 hours

- For Full Time candidates, apart from the above mentioned schedule, the Full Time PhD Scholar should sign the attendance maintained in the concerned department on all working days of the institute. He / she is expected to put in a minimum of 80% attendance both for the Part I Methodology Examination (Research Methodology and Course work) and the submission the Synopsis / Thesis, failing which the scholar will not be permitted to take up the University Examination at the end of the first year and to submit the thesis in the remaining years. A PhD Full Time Scholar may be permitted for data collection, conducting experiments, training techniques, attending conference for a period not exceeding SIX months during the entire duration of the programme. The PhD Guide should mandatorily send the bi-annual attendance report of the candidate to the Office of the Registrar along with the RAC Report.
- For Part Time (External) candidates, the requirement of attendance will be strictly based on the above schedule. The candidates should mandatorily be present in the headquarters of the University in the days / months mentioned above. A minimum of 30 days of attendance every year from the period of registration till the submission of thesis, at the head Quarters is mandatory. He / she is expected to put in a minimum of 80% attendance in

his / her place of research both for the Part I Methodology Examination (Research Methodology and Course work) and the submission the Synopsis / Thesis, failing which the scholar will not be permitted to take up the University Examination at the end of the first year and to submit the thesis in the remaining years. The Co-Guide at the place where the candidate is working should mandatorily certify the bi-annual attendance report of the candidate and the guide should necessarily send the same along with the RAC report.

- For Part Time (Internal) candidates, the requirement of attendance will be strictly based on the above schedule. The candidates should mandatorily be present in the headquarters of the University in the days / months as mentioned above. He / she is expected to put in a minimum of 80% attendance in his / her place of research both for the Part I Methodology Examinations (Research Methodology and Course work) and the submission the Synopsis / Thesis, failing which the scholar will not be permitted to take up the University Examination at the end of the first year and to submit the thesis in the remaining years. The Guide should mandatorily send the bi-annual attendance report of the candidate along with the RAC report.

NOTE: A separate attendance register should be maintained by the Guide for the Full Time and Part Time (Internal) Candidates and the Co-guide has to maintain a separate attendance register for the Part Time (External) candidates at the place of research. This copy has to be attached with the attendance report.

The guide has to mandatorily attach the SIX monthly attendance reports along with the Research Advisory Committee Report which takes place once in every 6 months.

CRITERIA FOR OBTAINING CERTIFICATE OF EQUIVALENCE FOR RESEARCH METHODOLOGY COURSE (4 CREDITS)

As per this regulation, a mandatory requirement of completing 4 credits is a prerequisite for appearing in Part I - Research Methodology Examinations. Such of those candidates who are unable to attend the classes on Research Methodology and Bio-statistics conducted by the Deanery of Research, SBV at the headquarters have to necessarily submit a **course equivalent certificate** wherein the candidates earning a minimum of 4 credits (1 credit = 15 personal instructional hours or 30 hours of Heutagogy (Self Learning)). However if it is facilitated through online mode, the certificate of equivalence should be approved the duly formed committee for this purpose by SBV.

13. CONFIRMATION OF PROVISIONAL REGISTRATION

The provisional registration of a candidate for Ph.D Degree shall be confirmed upon the receipt of the successful completion of the Part I Methodology Examinations (Research Methodology & Course work) within 1 year of their registration. However the candidates who fail to complete the Part I Methodology Examinations within One year shall be allowed to complete the same within the end of the second year of their provisional registration.

CANCELLATION OF REGISTRATION

- In case the progress of the Research Scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Research Scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the SBV with specific reasons leading to the cancellation of the PhD registration of the research scholar.
- Further if the candidate fails to appear in Research Advisory Committee meet on two consecutive occasions or if the RAC does not meet on two consecutive occasions the Registration of the candidate will automatically get cancelled.
- Failure of the candidate to submit the clearance from the Institute Ethics Committee (where the candidate is carrying out his/ her research), within 1 year from the provisional registration will lead to cancellation of the PhD registration. However under extraordinary circumstances and suitable justification, the time limit can be extended by the candidate's Research Advisory Committee.
- Failure of the PhD candidate to complete the Part I Methodology Examinations (Research Methodology and course work)) within Two years from his / her date of provisional registration will automatically lead to the cancellation of the candidate's registration.
- If the candidate fails to pay the annual fees even beyond 6 months from the stipulated time a warning for the same will be issued and if the candidate still remains a defaulter even after 3 months from the period of warning, the same will initiate severe action against the candidate even to the extent of cancellation of his or her registration.
- The registration of the research scholar will automatically cease if he / she resorts to adopting unfair means.

14. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS / CREDITS FOR AWARD OF THE DEGREE, ETC

14.1. Upon satisfactory completion of Part I Methodology Examinations (Research Methodology and Course work), and obtaining the marks / Grades prescribed in Sub clause 12 of these regulations, the PhD scholar shall be required to undertake research work and produce a draft dissertation / thesis within a reasonable time, as laid down by SBV on the basis of these regulations.

14.2. **Colloquium:** Prior to the submission of the Synopsis, the scholar will make a presentation in the department concerned and in the presence of Research Advisory Committee (RAC). This Colloquium is open to all faculty members and other research scholars. The Colloquium will be notified only after the submission of the following

- a. Face sheet certified by the RAC in its final meeting.
- b. Certified Raw data of all the research work carried out during the entire period till the submission of Synopsis.
- c. Proof of One publication in peer review, indexed journals
- d. Proof of two presentation at the National / International conferences (Poster/ Paper)
- e. Proof of Ethics Clearance / Waiver
- f. Pass in Part I Methodology Examinations (Research Methodology and course work) Exam or proof of exemption from the same.
- g. The feedback and comments obtained at the Colloquium may be suitably incorporated into the draft Synopsis / Thesis in consultation with the Research Advisory Committee (RAC).

14.3. PhD scholars must publish a minimum of One Research paper in refereed journals and make Two Paper / Poster presentations in conferences / seminars prior to the submission of the dissertation / thesis for adjudication and produce the evidence for the same in the form of Presentation Certificates and or Reprints.

15. SYNOPSIS

Not less than three months prior to the submission of the thesis, the PhD candidate will submit to the university four (4) copies of the synopsis of the thesis, duly forwarded by the guide based on the recommendations of the Research Advisory Committee. The copies should be sent along with the application, filled in format and prescribed fee in the form of demand draft drawn in favour of Sri Balaji Vidyapeeth, payable at Pondicherry.

The Synopsis should be in a condensed form and highlight aims and objectives, work completed, results / outcome and Overview of the theses. The candidate shall also submit the electronic version (Read only format) of the synopsis. The submission of the Synopsis will follow upon due certification by the RAC at the colloquium.

16. PANEL OF EXAMINERS

The Synopsis should be sent to Two External Evaluators (One within the Country and another Overseas). The External Evaluators will be selected by the Vice-Chancellor from a panel of 5 names each suggested by the Guide. Vice- Chancellor in turn will forward the names of the external evaluators by mentioning the first, second and third choice. The Controller will forward the synopsis to the concerned evaluators requesting for their concurrence to evaluate the thesis giving a timeline of 30 days. An extension of 15 days is allowed for obtaining the concurrence.

17. THESIS SUBMISSION

The PhD programme culminates in the submission of a compilation in the form of thesis. The thesis should be a substantial work of original research carried out by the candidate under the guidance of the research guide concerned.

A plagiarism check duly certified by the Dean - Research should necessarily be incorporated in the thesis. The permitted maximum percentage of plagiarism is Ten percent (10%).

The thesis in soft bound copies (2 nos) has to be submitted to the Controller of Examinations through the Registrar, for onward transmission to the external evaluators.

The title page of the thesis, cover format, etc., should strictly conform to the format of presentation and the thesis (all copies) should carry a declaration by the candidate a certificate duly signed and issued by the guide and co-guide, if any and Plagiarism certificate endorsed by the guide. **and the Ethics Clearance Certificate / Waiver Certificate and Pass certificate of the Part I Methodology Examinations.**

Supplementary papers to the Thesis such as copies of reprints of publication as contribution to the knowledge of the subject may also be appended to the thesis by the research scholar. It is mandatory that each PhD candidate need to publish/get the acceptance letter of at least One publication and Two paper / poster presentations out of their Ph.D.

research and the same need to be appended in the Ph.D. thesis.

The approved thesis incorporating all the suggestions/corrections suggested by the examiners if any and the letter of certification stating the execution of correction by the guide, should be submitted as Hard bound copies Eight (8 nos) and electronic Form (Read only format) to the Controller of Examinations through the Registrar not later than 6 months from the date of submission of synopsis. The Public Viva Voce will be notified only after 15 days of receiving the final hard bound copies of the thesis.

The Thesis shall ordinarily be submitted within the stipulated time line in accordance with the course duration as mentioned under the duration of the programme. Where a research scholar has submitted the synopsis but is unable to submit the thesis within the time prescribed (6 months), extension of time for submission of thesis may be granted by the Vice-Chancellor subject to maximum of One year for valid reasons, on payment of penal fees as may be prescribed. The candidate has to now submit the thesis only following the approval of the Research Advisory Committee and this time the thesis should be sent to a new set of external evaluators from the panel already submitted. The new evaluators will be selected by the Vice-Chancellor from the panel already submitted.

In the event of a Patentable work arising out of the thesis, it is to be noted that a provisional patent has to be filed ahead of the submission of the thesis

18. THESIS EVALUATION

The thesis submitted will be forwarded to the two external evaluators in the form of hard copy as well as the electronic format. The report sent by the external evaluators will be in the following format,

1. The thesis to be accepted for the award of PhD degree in the present form.
2. The thesis to be accepted for the award of PhD degree following minor corrections/ revisions.
3. The thesis can be passed after obtaining clarifications at the time of Public Viva-Voce.
4. The thesis be revised and resubmitted for evaluation.
5. The thesis be rejected.

If the thesis is approved, each evaluator may seek clarifications and pose questions, if any, to be answered at the time of open/ public Viva voce.

When evaluators differ in their opinion while evaluation of thesis:

In case both the evaluators have not commended, the thesis shall be rejected and the registration cancelled.

In case one of the two evaluators has not commended, then the thesis shall be again referred to a third evaluator either Indian or Overseas (Chosen by the Vice-Chancellor) as the case may be from the panel of evaluators already submitted. If the third evaluator commends the thesis, the candidate shall be allowed to take up the Public Viva-Voce examinations. If the third examiner does not commend the thesis, it shall be rejected and the registration cancelled.

Upon receiving the satisfactory reports from the Evaluators, the Controller of Examinations will seek a consolidated report of the same from the guide and the guide has to send a consolidated report following which the Public Viva-Voce will be notified. The Public Viva-Voce board will comprise of the Guide who will be the convener. The board will also include Dean - Research, SBV, one External member (Evaluator of thesis) and the head of the department concerned. In case if the head of the department happens to be the guide, the Dean - Research will nominate a senior member of the staff from the same department.

The report of the Public Viva- Voce has to be sent to the Controller of Examinations by the Convenor along with the recommendations of all the members and the outcome of the public Viva-Voce should not be revealed at the venue of the Public Viva-Voce by any of the members of the Public Viva-Voce Board.

19. REVISION AND RESUBMISSION OF THESIS

If the examiner recommends change / further work, the thesis will be referred to the same examiner, following compliance, for his /her opinion - overseas / Indian examiner and his / her recommendations would be deemed final, if the submission is within the prescribed period.

If the examiner/examiners explicitly suggest the need for revision and resubmission for further examination, then the revised thesis duly certified by the Guide, Research Advisory Committee/Board shall be sent to the same examiner for further evaluation. In the absence of such a statement or if the examiner concerned specifically instructs that the revised thesis need

not be sent back to him / her, the revised thesis duly certified by the Guide, Research Advisory Committee and the Dean / Board shall be accepted and the candidate would be allowed to take up the open/ public viva- voce.

The candidate should essentially revise and resubmit the thesis and in any case not later than Three months from the date of communication from the University.

If the thesis is recommended to be revised by one or both the examiners, the points of revision would be indicated clearly in the report. The necessary corrections should be carried out and the revised version sent to the concerned examiner (s). Following this, if the revised version is found unsatisfactory, the thesis would be summarily rejected. If the thesis following revision is accepted by the Board of Examiners (Evaluation), an open/ public viva-voce examination will be conducted by the viva-voce board.

20. EXTENSION OF TIME

Such of those scholars who do not submit the Synopsis / Thesis within the stipulated period should apply for extension, with a requisition, three months prior to the stipulated period. Extension of time would be considered by the Dean (Research), based on the recommendation of the Guide and the Research Advisory Committee. The penal fees should be paid as prescribed by SBV from time to time.

Following approval, the candidates would be eligible for extension of time for a maximum period of one year.

The scholar will have to enroll as a fresh candidate if he / she fails to submit the thesis within the maximum extension period of one year when granted.

Special Extension: If a scholar requires a few more months following the expiry of maximum extension period for the submission of the thesis as per the evaluation of the Guide and duly recommended by the Research Advisory Committee, as a case that is exceptional, registration may be considered viable based on the decision of the Vice-chancellor, so as to enable the scholar submit the thesis. In any case, the period of time granted shall not exceed six months from the period of expiry of the granted Extension Period failing which the registration will automatically cease.

21. NUMBER OF CHANCES

A candidate will not be permitted to submit a thesis for the degree on more than two occasions. Also, the candidate (scholar) will not be permitted to appear for the Public Viva-Voce examination on more than two occasions.

22. OPEN (PUBLIC) VIVA-VOCE

a). Upon receiving the satisfactory reports of the evaluation, the public viva-voce examination will be convened by the Guide, in consultation with the external examiner following the notification from the Registrar. The Public Viva-Voce board shall essentially comprise of the Guide (Convener), one external examiner who had evaluated the thesis and the head of the department. If the Head of the Department happens to be the Guide, the Dean (Research) will nominate a senior faculty of the concerned department. Upon receiving the communication from the University stating that the thesis has been approved, the Guide / Supervisor shall coordinate and conduct the public viva-voce examination for the candidate.

b).The Public Viva-Voce will be open to all those who are interested in the concerned research topic/ subject area. The notice should be circulated to all the colleges / Universities in the area and uploaded in SBV website at least ten days prior to the conduct of the viva-voce. Attendance details of those who had attended the public viva-voce should be dispatched to the Registrar, with a copy addressed to the Dean (Research).

c). For reasons beyond control, if the Indian examiner (External) is unavailable to conduct the viva-voce, the University may appoint an eminent person (as an alternative), preferably from the panel of examiners that had been submitted previously, for conducting the viva-voce.

d). The maximum time limit for conducting viva-voce examination shall be three months from the date of consolidation of reports received from the External Evaluators. If the candidate fails to take the viva-voce examination within three months on valid grounds, the Vice- Chancellor can permit a maximum of three more months as extension period, upon receiving specific request with justification from the Guide and routed through the Research Advisory Committee. However, if the candidate fails to take the viva-voce even after the extension, the Ph.D., registration gets cancelled.

e). The viva-voce can be held on any working day of the University. However, no viva-voce shall be held until TWO weeks following the availability of the final version of the thesis at the Office of the Controller of Examinations and the University Library.

f). In case the Viva examiner is not in a position to travel to the University, the Guide/ Supervisor can arrange the Viva-voce, but with the participation of the Viva examiner through Video conferencing.

g). In the Public Viva-voce, the Guide/ Supervisor will formally introduce the examiners to the audience. The candidate shall have a minimum of Thirty minutes Power Point presentation of the thesis. Following the presentation, the Viva examiners shall initiate the discussion that would be followed by the questions posed by the faculty present and the general public.

h). Following the conduct of the Viva-Voce examination, the Guide who is the convener shall officially convey to the Controller of Examinations, SBV, the result of such examination endorsed by all the members of the Public viva-Voce board immediately after the completion of the Public Viva-Voce. The result will be published officially by the Controller of Examinations following the approval of the Vice-Chancellor of the University and the candidate shall be declared to have qualified for the PhD degree.

i). A candidate who is not successful in the Public Viva-Voce examination may be permitted to undergo the Viva voce examination a second time, but within a period of Three months. In the event of the candidate failing again, the registration will be summarily cancelled.

J). The proceedings of the Public Viva-Voce should be video graphed by the Audio - Visual Unit of SBV (Expenses to be borne by the candidate) and the DVD handed over, in the unedited format, to the Office of the Registrar. The DVDs would be the sole property of SBV and would normally not be given to the candidate or the guide, unless directed by the court of law.

23. AWARD OF DEGREE

The University shall duly consider the reports and decide on the worthiness of the candidate for receiving the degree of Doctor of Philosophy and initiate action in accordance with the decision.

The University shall include the following details in the PhD degree certificate awarded to the candidates,

- a. Full title of the PhD thesis and
- b. The Faculty under which the degree is awarded.

Regarding the faculty, the faculty of the qualifying degree and the research work will be considered and the decision will be taken on a case to case basis.

Prior to actual award of the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions, as laid down in UGC Regulations in force.

24. THESIS REPOSITORY WITH UGC

Following the successful completion of the evaluation process and announcement of the award of PhD degree, the University shall submit a soft copy of the abstract of the PhD thesis to the UGC within a period of Thirty (30) days for hosting the same in INFLIBNET, accessible to all the institutions/ Universities.

25. PUBLICATION OF THESIS

The thesis is a public domain document and the research embodied in the thesis may be published in part in peer reviewed journals or in the form of monograph.

26. SPECIAL PROVISION

In case of relocation of a women PhD scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University 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 doesnot pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar shall however give due credit to the parent guide and the institution for the part of research already done.

27. POWER TO REMOVE ANY DIFFICULTY

If any difference of opinion develops between the PhD scholar and the guide/ Supervisor at any given time during the course of the PhD programme, the appellate authority will be the Research Advisory Board. On recommendation of the RAB, the decision of the Vice-Chancellor shall be final and binding.

The Vice-Chancellor / Academic Council have the powers to remove any difficulty while implementing this programme, not withstanding whatever said above.

FEE DETAILS (From the batches joining from 2018 onwards)

PhD (Full Time, Part Time (Internal, External))	- Rs. 50,000/- Per Annum
PhD Application Fee	- Rs.5000/-
Examination Fees	- Rs.10,000/- Per paper
Synopsis Submission Fees	- Rs.10,000/-
Thesis Submission Fees	- Rs. 30,000/-
Extension Fees	- Rs. 20,000/- (For a period of every 3 months)
Special Extension Fees	- Rs.30,000/- (For a period of every 3 months after the expiry of the Extension period)

NOTE: SBV reserves the right to revise the above fees as and when required.

