



SOMAIYA VIDYAVIHAR UNIVERSITY

**Established under the Somaiya Vidyavihar University Act, Mumbai
Act, 2019 (Mah. Act No.V of 2019)**

REGULATIONS FOR RESEARCH DEGREE PROGRAMME: Ph.D.

SOMAIYA VIDYAVIHAR UNIVERSITY

Ph. D. Regulations-2020

Regulations (2020) for Doctor of Philosophy Programme of Somaiya Vidyavihar University - [prepared in accordance with the provisions of the Somaiya Vidyavihar University, Mumbai Act, 2019 (Maharashtra Act No. V of 2019), the Somaiya Vidyavihar University First Statutes 2020, (Sections 3.13 and 3.14), University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016, and the amendments thereupon till 2019], approved by the Board of Management in its Third Meeting held on 12 November 2020 as per Section 34 of the University Act - Implementation - Orders Issued.

Preamble: These Regulations are drafted in accordance with the provisions of the Somaiya Vidyavihar University, Mumbai Act, 2019 (Maharashtra Act No. V of 2019), the Somaiya Vidyavihar University First Statutes 2020, (Sections 3.13 and 3.14), University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016, and the amendments thereupon till 2019. The 3rd Meeting of the Academic Council of the Somaiya Vidyavihar University, held on 28th July 2020, as item no. 6, considered the matter of doctoral research in detail, and resolved to evolve quality norms and procedures in line with national and global best practices in graduate/doctoral studies. The views emerged in the Academic Council deliberations and in the subsequent meetings of the Deans and Heads of Institutions were taken into consideration in the preparation of these Draft Regulations.

- 1. Name of the Programme:** Doctor of Philosophy (Ph. D.) - The degree awarded by the Somaiya Vidyavihar University on completion of the prescribed course work and fulfilling other requirements related to the execution of an original piece research work and submission of the doctoral thesis, in conformity with the University Grants Commission's Regulations from time to time.
- 2. Minimum Qualifications and Eligibility:** i) A Master's Degree or a Post-Graduate professional degree/diploma equivalent to Master's degree from a recognized university in India or abroad with at least 55% aggregate marks or equivalent grade, as certified by a national or international accreditation agency; ii) Fellow members of the Institute of Chartered Accountants /Institute of Cost and Work Accountants are eligible for admission to Ph. D. Degree Programme under the Faculty of Commerce and Business Studies, provided they have have a recognized Bachelor's degree, and at least 5 years work experience in their respective fields; iii) Successful completion of the doctoral program entrance test of the Somaiya Vidyavihar University, in line with the UGC guidelines [Candidates with UGC - CSIR - NET-JRF/ GATE / ICMR -JRF / DBT-JRF (BET)/INSPIRE/Prime Minister's

Fellowships and those qualified in any of the UGC recognized national or state level eligibility tests with a valid fellowship at the time of admission are exempted from this Entrance Test; their selection would be through an interview designed and conducted by the concerned Institute/Faculty]

- 3. Category of candidates:** (i) Candidates with externally funded scholarships/Fellowships; (ii) Candidates who work in funded projects within the University or in approved research centres which are collaborating with the University; (iii) Jointly guided PhD or Co-supervised PhD with International Universities; (iv) Teaching/work integrated research candidates who are the faculty/employees in pursuit of advancing their academic qualification, recommended by the Head of the Institution and the Academic Advisory Committee. This provision is for those candidates who shall take an undertaking that their routine responsibilities would be duly attended and under no circumstances compromised. The university shall reserve the rights to consider the registration of candidates who do not adhere to these guidelines; (v) Teaching and Research Associates of the Somaiya Vidyavihar University.
- 4. Somaiya Ph. D. Entrance Test:** (i) Admission to Ph. D. Programme is through an entrance examination conducted by the University combined with an interview conducted by the Research Committees of the respective constituent institutions. Those Candidates who have cleared NET/SET (Maharashtra) / GATE/JRF/GPAT examination of national apex bodies such as CSIR/ICMR/ICAR/UGC/DBT/AICTE are exempted from appearing for the written test but will be required to appear for interview at the respective departments. (ii) The written test will be conducted at Somaiya Vidyavihar University in the months of November/December and May/ June every year, for the January and July admission sessions respectively. The dates of the test will be announced on the University website. (iii) The written test will consist of 2 sections: General (40 marks), and Subject domain (60 marks). Those who clear the written test with 50% marks in each of the sections will be declared eligible for admission to the doctoral programme. Clearing the Entrance/Eligibility Test alone shall not entitle a candidate for admission to the Ph.D. Programme. The Eligibility Test and rank therein will be valid for one year, 2 sessions of admission.
- 5. Duration of the programme:** (i) The minimum duration for Regular Ph.D. shall be 3 years from the date of registration. Extension beyond the minimum period will be based on the recommendation of the Doctoral Advisory Committee (DAC). The maximum duration shall not exceed 6 years; (ii) Minimum duration for work- integrated Ph.D. Programme shall be 4 years from the date of registration. Extension beyond the minimum period will be based on the recommendation of the Doctoral Advisory Committee. The maximum duration shall not exceed 7 years.
- 6. Admission to the doctoral programme:** (i) Applications for the Ph. D. program will be

received by the University twice a year in the months of November/December and May/June, for the sessions starting from January and July, respectively. (ii) Research Scholars sponsored by external funding agencies and with national and international fellowships must submit their application in the prescribed format along with a synopsis of the project and details of funding. They will be registered for Ph.D. on the basis of an interview by an internal expert panel constituted by the Research Advisory Committee. (iii) In the case of the University faculty members with research schemes with provision for appointing research scholars, the selection of candidates will be based on the guidelines of funding agency, adopted by the University; (iv) Teachers and other internal staff members seeking admission to Ph.D. program must submit their application through proper channel, duly supported and recommended by the Head of the Department and Institution; (v) Candidates intending to carry out research in collaborative research centres must submit a no objection letter from the appropriate authority of such centre. The applications must be supported and forwarded by the research centres.

7. Registration procedure: (i) The registration has to be through one of the constituent institutions of the Somaiya Vidyavihar University; (ii) There must be one approved supervisor (guide)/ approved co-supervisor (co-guide) (if any), from the Somaiya Vidyavihar University (*Procedure for approval of research guide/co-supervisor is given under Section 8 below*); (iii) The candidate has to submit an application in the prescribed format with the copies of (a) The qualifying eligibility certificates; (b) Certificate of clearing the Ph.D. Eligibility Test, except in the case of candidates coming under category 3(i) above, who have cleared approved national/ international eligibility tests. (c) Two hard copies of the research proposal, 15 to 20 A4 pages, including a soft copy. (d) Plagiarism check/Similarity index report on the research synopsis signed by the candidate and the Research Guide. (e) The research proposal should include an introduction and background, relevant literature survey with identified research gaps, objectives, detailed methodology, expected outcomes, importance of the proposed research, research plan schedule, approximate budget and proposed funding. (f) If the proposal involves use of animals or human subjects/materials, proper ethical committee/bio- safety committee approvals, should be submitted along with the application. The Head of Institution/Research coordinator in the Institution in consultation with the Research Supervisor will form a Doctoral Advisory Committee (DAC) for each candidate, constituted as under Section 9 below. (g) The Head of Institution/Research coordinator will arrange for a protocol presentation by the candidate at the institution, before the Doctoral Advisory Committee. It is advisable to have an external expert to be a part of this meeting in order to get an outsider's perspective and feedback. (h) Once the proposal is accepted, the Research supervisor shall send the Minutes and Proceedings to the Director, Research & Development/ Dean of Research Studies in the University.

8. Recognition of Research Guides: (i) All Professors, Associate Professors, Assistant Professors or equivalent cadre researchers/scientists, and Adjunct/ Emeritus Faculty, duly appointed by the Somaiya Vidyavihar University, are eligible for recognition as Ph.D.

Research Guides, provided they have at least two independent/senior/correspondent author original research papers in national/international journals approved by the respective Board of Studies and Academic Council. The University will maintain a list of such journals recommended periodically by the Board of Studies and Academic Council. (ii) The Professors, Associate Professors, Assistant Professors, and other equivalent cadre academics and researchers, already approved by the University of Mumbai and other statutory universities in the country and abroad, as Ph.D. Guides, will be recognized as research guides of the Somaiya Vidyavihar University on a formal request from them. A compilation of all the recognized research guides as in July 2020, have been reported to the the Academic Council in its 3rd Meeting on 28 July 2020, as item number 6, Annexure 5.

- 9. Number of Research Scholars:** The maximum number of research scholars at any time under the supervision of a research guide shall be for Professor: 6; Associate Professor: 4; and Assistant Professor: 2; these numbers include the number under co-guidance also. The numbers for research guides of equivalent cadre will be correspondingly the same.
- 10. Responsibilities of Research Supervisor:** The Supervisor is expected to supervise the progress of the student at every stage of the programme. S/he is expected to inculcate ethics and good conduct of research. The other responsibilities include: the constitution of the Doctoral Advisory Committee in consultation with the Chairperson of the Committee; conducting six-monthly DAC meetings and submission of the minutes of the meetings; Forwarding a panel of 10 examiners/thesis adjudicators along with their academic profile at least 3 months before the proposed date of submission of the Ph.D. Thesis; open pre-submission presentation/ post-evaluation open defense of the candidate.
- 11. Doctoral Advisory Committee (DAC) & Its Functions:**
- (i) The Doctoral Advisory Committee has to be constituted for each research candidate, consisting of: (a) Chairman (Head of the Institution); (b) Research Coordinator for Ph.D. programme; (c) Head of the Department; Supervisor; (d) Co-supervisor (if any). [If the Ex-officio Chairman/Head of the Department are not recognized guides, the Head of the Institution can nominate recognized a research guide(s) from the University in their place(s)]; (e) Two experts from the relevant field of research nominated by the Vice-Chancellor.
- (ii) The candidate shall present the research proposal to the DAC. The committee may recommend/suggest modification/reject the proposal. If recommended, the candidate's application along with supporting documents have to be sent to the Ph. D. research coordination division, through the Dean of the respective Faculty for compilation and processing with other applications for the relevant session. The compiled list after file approval from the Vice- Chancellor shall be sent to the office of the Registrar for issuing the notification of all the registered candidates in a particular session. The Doctoral Advisory Committee has to be proactive in enhancing the quality of the research work, publications and thesis through periodic evaluation. The DAC meeting must be conducted with a minimum of 4 members participating. Specific functions of the Doctoral Advisory

Committee are: To review the research proposal and finalize the topic of research; to facilitate the research scholar in developing the study design and methodology of research; to prescribe the course(s) the research scholar has to do during the coursework.

(iii) The DAC has to periodically review and assist the progress of the research work of the research scholar; the research scholar shall present the progress of the research work before the Doctoral Advisory Committee. In case the progress of the research scholar is unsatisfactory, the Doctoral Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

(iv) The DAC will meet twice a year to monitor the half-yearly progress of research work of the candidate. The minutes of the meeting along with the Half-Yearly Progress Report will be forwarded to the Research Coordination Division for records and intimation to the Research Scholar.

(v) After the completion of the research work, the candidate will make a pre-synopsis presentation, before the DAC. This will be in an open seminar wherein teachers, research scholars and post-graduate students can participate. The Chairman of the DAC will preside over this seminar and interaction with the scholar. The DAC recommendations/ suggestions have to be communicated to the scholar after the meeting.

12. Course work:

(i) The course-work for a doctoral student has to be proposed by the Thesis Advisor/ Guide taking into account the student's background and preparation. The proposed frame of course-work must be endorsed by the Doctoral Advisory Committee (DAC).

(ii) Course-Credits for the Course Work shall be as follows: For those who have completed six to seven years of UG + PG: 12 course credits; For students who have completed five years of UG + PG: 16 course credits; For students who have completed 4 years of UG program, and eligible for direct entry into Ph. D., under special scholarships program: 21 course credits.

(iii) In addition to these course requirements, mandatory 4 credits are allocated to research methodology which could be one course or multiple courses covering such areas as general research methodology, mathematical foundations, quantitative methods, computer

applications, research ethics, statistics, and review of published research in the relevant field, training and fieldwork.

(iv) In addition to regular courses offered by the University, two additional types of courses are permitted for credit requirements: transfer courses and Massive Open Online Courses (MOOC). A transfer course is one that the student has completed in the University or in any other reputed and accredited institution, which has a course-transfer agreement with the University. Grades secured in the transfer courses or MOOCs will be converted to an equivalent grade in the University transcript. Maximum of 50% of a student's coursework may consist of transfer courses/ MOOCs..

(v) Based on the performance in each course, a student is awarded, at the end of the semester, a letter grade in each of the courses registered, in a ten-point scale. The student is expected to maintain a CGPA of 8.00.

13. Submission of Synopsis:

(i) The candidate has to give an open pre-synopsis presentation at the institution. It should be notified well in advance to enable participation of other researchers. The presence of DAC members in this meeting is mandatory.

(ii) Two first author/ senior correspondent author journal publications indexed in SCOPUS or UGC - CARE or Web of Science, in the field of research are mandatory for submitting the synopsis and thesis. The publications shall be related to the subject of the thesis, and shall be in peer- reviewed journals. One of the two papers could be a review paper. The candidate is also encouraged to attend conferences/seminars and motivated candidates may submit 2 conference proceeding papers prior to submission of synopsis and thesis. The Academic Council shall maintain an approved list of journals in each of the disciplines or subjects coming under the research purview of the University. This list will be on the basis of the recommendations of the concerned Boards of Studies and the Faculties. The members of the Academic Council can also recommend journals in the list. The approval of journals shall strictly follow the global quality norms for research journals. The articles must be published/ accepted for publication before the pre- submission presentation.

(iii) The DAC shall consider approval of the synopsis by analyzing the contribution of the research in the form of visible outputs like Publications, Patents, and conference presentations, or suggest modifications, if any. The candidate has to give due considerations to the suggestions, incorporate them appropriately, and submit the thesis with the necessary certifications from the Research Guide and the Head of the concerned Department.

14. Thesis Submission: Following documents are to be submitted along with the submission of the Ph. D. Thesis: (i) DAC recommendation; (ii) Copies of at least 2 publications accepted/published before the submission of the thesis; (iii) Copies of conference

attendance certificate; (iv) Plagiarism check/Similarity index report with the signatures of the candidate and supervisor; (v) 3 Soft-bound hard copies of the Ph.D. Thesis; (vi) One soft copy in PDF format (one or more files of less than 10 MB size each); (vii) Filled prescribed submission form with attached clearance and no-objection certificates.

15. Adjudication of the Thesis: The supervisor shall submit a panel of at least 10 examiners who are accomplished researchers in the field of study undertaken by the candidate. The Vice-Chancellor will constitute an Adjudication Board consisting of 3 examiners, selecting two from the external list, and the third being the Supervising Teacher. The university shall ascertain from the external examiners their willingness to offer themselves as examiners for a particular thesis. A copy of the synopsis of the thesis shall be sent to each of the external examiners. On acceptance of the willingness, the thesis will be sent to them for evaluation.

16. Examiners' Reports on the Thesis: The examiners shall submit a detailed critique on the thesis. Their recommendations for acceptance of the thesis must accompany a precise certificate that the candidate's work has advanced the existing knowledge on the subject and deserves the award of a Ph. D. Degree. In case, any one of the examiners is of the opinion that the thesis has failed to achieve the desired standard, and is, therefore rejected, precise reasons for such rejection must be stated by the examiner. If the examiner feels that the thesis can be accepted after revision, he/she shall state the points on which revision is needed. The external examiners may be requested to send a few questions to be asked to the candidate at the time of viva voce examination seeking clarifications on the points raised by him/her. These questions / comments shall be made available to the examiners appointed for conducting the viva- voce examination before the commencement of the viva-voce examination. If the thesis is rejected by both the external examiners, it will stand rejected and shall not be referred to any other examiner. In the event that the thesis is rejected by only one examiner, it will be referred to another examiner from the approved panel. In case the thesis is approved by this examiner, it will be considered as unanimously approved. If one or more examiners recommend re-submission of the thesis after modifications, it shall be done within a maximum period of six months from the date on which the candidate is so informed by the university. In case of re-submission / rejection / modifications, the candidate has to submit one soft copy of the thesis in PDF format (one or more files of less than 10 MB size each).

17. Open Defense of the Thesis: After the thesis has been approved by the examiners, a public defense of the thesis will be held, as well as the viva voce examination to adjudge the general proficiency of the candidate in the field of research work. The candidate shall be entitled to appear at the defense of thesis and viva voce examination only if the thesis is unanimously approved by the Board of Examiners. The board of examiners for the viva voce examination shall consist of one external and one internal examiner. Ordinarily, the

Supervisor/Co-Supervisor(s) of the thesis / any expert appointed by the university will be the internal examiner. One of the external examiners from India who assessed the thesis of the candidate will be the external examiner at the viva voce-examination. The topic, date and the time of the defense of thesis shall be announced by the University well in advance so that the faculty members and other interested in the topic of the thesis can be present. At the viva voce examination, the candidate's general proficiency in the subjects allied to the field of his study shall also be evaluated. Those attending the public defense, who are not members of the board of examiners, can participate by asking relevant questions with the permission of the examiners. The board of examiners shall take into consideration the views and criticism, if any, of the faculty members and others participating in the public defense of thesis. However, the result of the examination shall be decided solely by the members of the board of examiners.

18. **Results:** The candidate shall be declared eligible for the award of the degree of Doctor of Philosophy, only on the unanimous recommendations of the members of the board of examiners after the viva voce examination. In case, the examiners are not satisfied with the performance of the candidate in the above examinations, the candidate shall be required to reappear for another viva-voce examination after a period of two months provided such specific recommendation is made by the board of examiners.
19. **Award of the Ph.D. Degree:** The individual reports of the examiners and the consolidated recommendation from the Chairman of the Final Open Defense Viva- Voce will be placed before the Standing Committee of the Academic Council chaired by the Vice-Chancellor for the award of the Ph. D. Degree, in the next convocation.
20. **Notification of the Award of the Degree:** The office of the Registrar will issue a notification of the successful completion of the Ph.D. Degree by the candidate, wherein the name of the candidate, Registration Number, Thesis Title, Department/ Area of Studies/ Centre/Faculty/Institution, Research Supervisor and the Date of Viva-Voce will be mentioned.
21. **Publication of Thesis:** The thesis approved or not approved for the Ph.D. Degree, can be published only with the permission of the University. The university may grant permission for the publication under such conditions as it may deem fit.
22. **Uploading soft copy the Thesis in the UGC-INFLIBNET:** After the announcement of the award of the Ph. D. Degree, the University shall upload a soft copy of the Thesis to the UGC Information and Library Network (INFLIBNET), Shodhganga Website or a relevant within a period of 30 days, to make it accessible to all institutions and universities.

23. **Preservation of the Thesis:** The Thesis section of the University will forward copies of the approved Thesis, both hard and soft, to the Institute/Department/University libraries, after the announcement of the award of the degree.
24. **Certificate of UGC Regulations Compliance:** Along with the Degree Certificate, the University shall issue a Certificate to the effect that the research leading to the Ph. D. Degree has been executed and the degree awarded in accordance with the relevant regulations of the University Grants Commission in this regard.
25. **Coordination of Doctoral Research:** The overall academic coordination of research leading to Ph.D. Degree is the responsibility of the Dean/Director of Research in the University. The tests and examinations related to entrance and courseworks shall be the responsibility of the Controller of Examinations. The administration-linked responsibilities rest with the Registrar of the University.
26. **Grievance Redressal Committee:** A Committee consisting of the Dean of the concerned Faculty (Chairperson), a nominee of the Vice-Chancellor, the Head of the Institution/Dept, and the Dean/Director of Research shall address the grievances, if any, of the research scholars. If the complaint is against the role of any of the Committee members, the Vice-Chancellor will nominate other members to the committee. Based on the recommendations of the grievance redressal committee, the Vice-Chancellor will issue appropriate orders, which shall be final.
27. **Removal of Difficulties:** If any difficulty arises in implementing the provisions of these regulations, the Vice-Chancellor shall take appropriate steps to clear the difficulty, and the same may be reported to the Academic Council in a subsequent meeting.
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