



SYMBIOSIS

INTERNATIONAL UNIVERSITY

(Established under Section 3 of UGC Act of 1956 vide Notification No.F9-12/2001-U3 of the Government of India) Accredited by NAAC with 'A' Grade



Doctor of Philosophy (PhD) Programme

Rules and Regulations



SYMBIOSIS

INTERNATIONAL UNIVERSITY

(ESTABLISHED UNDER SECTION 3 OF THE UGC ACT 1956,
BY NOTIFICATION NO.F.9-12/2001-U3 GOVERNMENT OF INDIA)

ACCREDITED BY NAAC WITH "A" GRADE

Doctor of Philosophy (PhD) Programme

Rules and Regulations

Gram: Lavale, Tal: Mulshi, Dist.: Pune -412115
Tel.: +91-20-39116200 Fax: +91-20-39116206
E-mail: registrar@siu.edu.in Website: www.siu.edu.in

TABLE OF CONTENTS

| Section Number | Section Title | Page Number |
|-----------------|---|-------------|
| 1. | Short Title and Commencement | 1 |
| 2. | Categories of PhD Candidates | 1 |
| 3. | Eligibility | 2 |
| 4. | Admission Procedure | 2 |
| 5. | PhD Course Work | 4 |
| 6. | Registration | 5 |
| 7. | Research Guide | 6 |
| 8. | Monitoring Progress of Research Scholars | 7 |
| 9. | Submission of Thesis | 7 |
| 10. | Examination | 8 |
| 11. | Award of Degree | 9 |
| 12. | Withdrawal of an Awarded PhD Degree | 9 |
| 13. | Interpretation and Power to Modify | 9 |
| 14. | General | 9 |
| 15 | Annexures | 10 |
| Annexure 1 | Consent by Guide | 10 |
| Annexure 2 | Application for Seeking Extension to Complete Course Work | 11 |
| Annexure 3 | Application for Seeking Extension to Submit Research Proposal | 12 |
| Annexure 4 | Application for Recognition as a Research Guide | 13-16 |
| Annexure 5 | Application for Change of Research Guide | 17 |
| Annexure 6 | PhD Programme – Semester Registration Form | 18 |
| Annexure 7 | Half Yearly Progress Report | 19 |
| Annexure 8 | Application for Seeking Extension for Submission of Thesis Beyond Three | 20 |
| Annexure 9.1 to | Guidelines for Thesis Submission | 21-25 |
| Annexure 10 | Thesis Submission Form | 26 |
| Annexure 11 | Application for Seeking Extension to Submit PhD Thesis | 27 |
| Annexure 12 | Format for Panel of Examiners | 28 |
| Annexure 13 | Detailed Thesis Evaluation Report | 29 |
| Annexure 14 | Fee Structure | 30 |



Rules and Regulations for the Degree of Doctor of Philosophy (PhD) -w.e.f. Academic year 2013-14

Symbiosis International University (SIU) offers research programmes leading to the award of the degree of Doctor of Philosophy (PhD) in all its Faculties namely:

1. Law
2. Management
3. Computer Studies
4. Media, Communication and Design
5. Health and Biomedical Sciences
6. Humanities and Social Sciences
7. Engineering

1. Short Title and Commencement

These Regulations may be called the Regulations for the Degree of Doctor of Philosophy (PhD) from the Symbiosis International University (SIU), Pune. These regulations shall come into force with effect from the academic year 2013. These regulations shall supersede all the corresponding earlier regulations of the University. Any disputes arising out of these regulations shall be limited to the exclusive jurisdiction of Pune courts only.

2. Categories of PhD Candidates

Candidates admitted to the PhD programmes at SIU may be categorized as follows:

A. Full-time

Full-time Research Scholars are those who will be able to commit themselves full-time to carry out their research on the campus. Full-time Research Scholars may (if selected) receive a scholarship from the SIU Research Grant/ UGC/ AICTE/ any other sponsoring institute/ agency or a Teaching Assistantship from the institute/department to cover expenditure on research and living expenses.

B. Part-time

B.1 Part-time - Internal

Part-time Internal Candidates are those who are employed full-time at SIU and are permitted to pursue PhD.

B.2 Part-time - External

i) Working with Research Centres approved by SIU

These are candidates who will work under the supervision of Research Guides from Research Centres approved by SIU. They will be required to register with the University, complete the mandatory credit requirements as laid down and will then be permitted to continue their research work at SIU-Approved Research Centres. They will be required to make a presentation to the Research Committee at SIU-Approved Research Centres through which they sought registration. These Research Scholars will make presentations of progress in their research work every six months (at the end of each semester).

ii) Working with other organisations

Candidates who hold a full-time job in educational institutes/ industry/ research organisations may be permitted to pursue their PhD only at locations where SIU has Campus/Off Campus Centres. See list of SIU-Approved Research Centres here (http://siu.edu.in/Research/research_centers.php)

Further, the employer must expressly undertake to relieve the candidate to enable him/her to complete the Course Work. Such candidates must submit a No Objection Certificate from his/her organisation.



3. Eligibility

A candidate seeking admission to the PhD programme must satisfy any one of the following eligibility requirements:

- a) Master's degree or equivalent in the relevant subject with 55% marks or equivalent CGPA from any University recognized by the Association of Indian Universities (AIU) in India. (SC/ST candidates are eligible for a 5% relaxation in marks or equivalent CGPA). Candidates having postgraduate diploma/certificate awarded by an Indian university/institute or foreign degree/ diploma/ certificate awarded by a foreign university/institute should in their own interest, obtain and submit the equivalent of their diploma/ degree/ certificate with Master's degree of a recognised Indian University from the Association of Indian Universities (AIU), New Delhi. (<http://www.aiuweb.org>)
- b) In case of candidates holding a qualifying degree from a foreign university, registration for PhD will be confirmed after determination of equivalence by the SIU.
- c) Master's degree or equivalent in any subject with 55% marks and a minimum of five years of work experience, in the area of interdisciplinary research in which admission is being sought.
- d) M.Phil. with 55% marks or equivalent grade/CGPA.
- e) Fellow members of the Chartered Accountants of India (CA) or Institute of Costs and Works of India (ICWA) or Company Secretary of India, CFA (USA) with 55% marks at graduation level and with 5 years of work experience after graduation (only for the Faculties of Law, Management and Humanities and Social Sciences).
- f) Candidate who does not fulfill the above mentioned eligibility conditions, but wants to pursue PhD, may be considered under the special category of enrolment, provided the RRC is convinced about their academic prowess, professional accomplishments and their capacity to carry out research leading to the award of a PhD degree. Such a candidate, with at least 55% marks at the Bachelor's Degree level from any statutory Indian University or a foreign University, may be considered eligible for admission to the PhD programme at the sole discretion of the Vice Chancellor.

Note

International candidates (NRIs, Foreign Nationals and PIOs who have obtained Master's degree from foreign universities) are required to qualify IELTS with 6.5 score or IELA Test (Band 3) of SIU ELTIS, an equivalent test for English language proficiency.

4. Admission Procedure

- 4.1 The details regarding the entrance test and the number of vacancies in each faculty shall be notified by the University in the month of April/May. The entrance test for admission to PhD (PET) programme shall be conducted by the University once in an academic year, on any Sunday in the month of June.
- 4.2 The Candidate shall apply online for admission to PhD programme on the University's website as per the admission notification.
- 4.3 The candidate shall also upload the 'Proposed Research Idea' along with the application. The 'Proposed Research Idea' shall detail the proposed research area and plan of action.
- 4.4 **Candidates eligible and interested in availing the SIU Junior Research Fellowship shall mark the specified section of the admission form.**
- 4.5 The entrance test for the PhD programme shall be multiple choice questions for 75 marks and for 1 hour 30 minutes duration. It shall comprise of the following sections:

| Sr. No | Section | Marks |
|--------|------------------------------|-------|
| 1 | English Language Proficiency | 25 |



| | | |
|--------------------|----------------------------|-----------|
| 2 | Logical and Mental Ability | 25 |
| 3 | Research Aptitude | 25 |
| TOTAL Marks | | 75 |

- 4.6 A list of candidates qualifying the Entrance test shall be uploaded on the University website. The eligible and qualified candidates shall be short-listed for **personal interview in July** by the PhD Admission Committee, on the basis of merit and number of vacancies available in a Faculty.
- 4.7 The PhD Admission Committee of each Faculty shall have the following members:
- Dean of the Faculty - Chairperson
 - One representative of Research and Recognition Committee (RRC) of the relevant Faculty - Member
 - Two external Experts- Members
 - Head PhD Programme and Research Projects or Nominee-Secretary
- 4.8 These committees shall be proposed by the Dean of the Faculty for the approval of the Vice Chancellor.
- 4.9 Candidates shall be admitted to the PhD programme on the basis of merit of the Entrance test and Personal Interview.
- 4.10 **Exemption from Entrance Examination:** Candidates who have cleared NET/SET/SLET/ GATE/JRF/M.Phil in the relevant discipline or are UGC/CSIR/ICMR DBT*/RGNF*/MANF*/DST Inspire* & NBHM* Fellows shall be exempted from the Entrance examination during the period of validity of the concerned test. **They will however be required to appear for a Personal Interview.**
- DBT - Department of Biotechnology
 - RGNF - Rajiv Gandhi National Fellowship
 - MANF - Maulana Azad National Fellowship
 - DST - Inspire - Department of Science & Technology
 - NBHM - National Board for Higher Mathematics
- 4.11 A candidate shall be recommended by the PhD Admission Committee for **provisional admission** on the following basis:
- Individual Performance: Aggregate Marks (150) :
 - Merit from Entrance Examination - 75 marks
 - Proposed research idea and interview performance - 50 marks
 - Academic achievements (Graduate and Post graduate level) - 25 marks
 - Availability of an Approved Research Guide
- 4.12 Provisionally admitted candidates would be required to identify and consult Research Guides from the list of guides with vacancies in respective areas. After discussion and mutual agreement, the candidate would be required to submit a letter of consent signed by the Research Guide to the University. (Annexure 1)
- 4.13 If necessary, based on a written request from the Research Guide, a Co-guide may be appointed by the Dean of that Faculty, with approval from a member of the **RRC**. The Co-guide may be from within the same Faculty or from a different Faculty of the University or from outside the University.
- 4.14 The Admission Committee shall also recommend, from the provisionally admitted candidates, those selected for **SIU Junior Research Fellowship** as per the criteria laid down by the University.
- 4.15 The recommendations of the PhD Admission Committee for provisional admissions to PhD programme and award of SIU JRF shall be approved by the Vice Chancellor.
- 4.16 After submission and verification of all eligibility documents and payment of the prescribed fee by the due date, the provisional admission would be confirmed by the Symbiosis Centre for Research and Innovation (SCRI).



5. PhD Course Work

- 5.1 All PhD Research Scholars shall undertake and complete the PhD Course Work of 300 hours of contact and self-study which may be conducted over one semester or in a modular fashion.
- 5.2 The Course Work for PhD programme may comprise of lectures, laboratory experiments, design work, minor projects, seminars, assignments and/or self-study courses depending on the nature of the discipline or faculty.
- 5.3. The Course Work shall be conducted in one of the constituent Institutes of the University. However, special permission may be granted by the Vice Chancellor on the recommendation of the Dean of the Faculty, to conduct Course Work at an Approved Research Centre considering the following:
 - a) Number of Candidates at the Centre
 - b) Availability of Faculty and other resources
- 5.4 The Course Work will be divided into two broad sections as under:

| Section | Title | Total Credits |
|--------------|--|---------------|
| I | Research Methodology | 8 |
| | Quantitative Techniques and /or Numerical Methods/Qualitative Techniques or any other course deemed necessary for a Faculty. | |
| II | (a) Advanced Courses or Seminars/Workshops in the area of Research | 8 |
| | (b) Literature Review/ Presentation | 4 |
| Total | | 20 |

Note:

(i) Courses of Section I are compulsory courses for all PhD candidates except for those pursuing PhD in Law, Languages, Liberal Arts and Design. Deans of these Faculties shall decide the compulsory courses to be taken in lieu of the above courses and the total credits from this Section would be 8.

(ii) Courses of Section I may be research seminars and workshops as planned by the Dean of the Faculty concerned, or self-study courses proposed by the respective Research Guide and approved by the Dean of that Faculty.

- 5.5 Evaluation of Section I of PhD Course Work shall be through a 100% continuous evaluation system.
- 5.6 Mode of evaluation of courses under Section II shall be decided by the Dean of the concerned Faculty in consultation with the Research Guide, if necessary. It will be paper writing, presentations, project outline, assignments etc.
- 5.7 In exceptional cases, where a Research Scholar fails to fulfill attendance requirement or fails in internal or end semester examination, he/she shall apply for an extension for completion of the Course Work in a prescribed format (Annexure 2). The Dean of that Faculty concerned may accord approval on the recommendation of the Research Guide for another examination to be held after six months. Such candidates will be required to pay additional examination fees as per the rules of the University.
- 5.8 The provisional admission of a Research Scholar who fails to complete the Course Work requirement even in the extended period shall be cancelled.
- 5.9 Exemption from **PhD Course Work**



The following categories of students are exempted from Course Work:

- (i) Those who have passed a M.Phil degree through Course Work with at least B+ grade or equivalent percentage of marks and have also studied and passed a paper on Research Methodology.
 - (ii) Those who have passed PhD Course Work from a recognised University subject to the submission of the following documents to SCRI:
 - a. Completion certificate of the Course Work attended
 - b. Transcripts
 - c. No objection certificate from the University, from which the scholar is seeking a transfer to SIU
- 5.10 A Research Scholar shall be required to attend a minimum of 75% of the total lectures, tutorials, other sessions etc and successfully complete all evaluation to be eligible to receive a certificate of successful completion of PhD Course Work.

6. Registration

Admission to the PhD programme is confirmed only on the successful completion of Course Work and approval of the Research Proposal by the Doctoral Committee (DC).

- 6.1 Research Scholars who undergo Course Work shall submit a Research Proposal, duly recommended by the Research Guide(s) within three months of the successful completion of Course Work.
- 6.2 Research Scholars who have been exempted from PhD Course Work shall submit a Research Proposal within six months of the date of provisional admission, duly recommended by the Research Guide(s).
- 6.3 In case of non-submission of the Research Proposal within the prescribed period, the Research Scholar may apply for extension in the prescribed pro forma (Annexure 3). The Dean of the concerned Faculty, on the recommendation of Research Guide(s) may grant an extension for a maximum period of three months. If the candidate fails to submit the Research Proposal even during the extension period, the provisional admission shall be cancelled.
- 6.4 The Research Proposal to be presented before the Doctoral Committee shall consist of the following:
 - (i) Introduction depicting the need and relevance of the proposed work
 - (ii) Review of the literature
 - (iii) Scope and statement of the problem
 - (iv) Objectives of the study
 - (v) Hypotheses or research questions
 - (vi) Methodology, tools and techniques
 - (vii) Schedule of the proposed work
- 6.5 The Research Scholar shall submit 4 copies of the Research Proposal to the office of the **Head, PhD Programme and Research Projects, SIU**. The Research Scholar shall make a presentation of the Research Proposal to the Doctoral Committee (DC) The DC shall have the following members:
 - (i) Dean of Faculty or his/her nominee - Chairperson
 - (ii) One member of the RRC
 - (iii) Research Guide(s) - Member
 - (iv) One outside Expert in the relevant area - Member
 - (v) Head PhD Programme and Research Projects - Secretary
- 6.6 The presentations of the Research Proposals shall be organised in the University or at one of its constituent Institutes. However, a special permission may be granted by the Vice Chancellor to organise presentations at an Approved Research Centre, after considering the following:
 - a) Number of candidates wanting to make a presentation at the Approved Research Centre
 - b) Facilities available at the Centre with regard to presentations and video conferencing, if required
- 6.7 The DC shall give one of the following recommendations after the presentation of the Research Proposal:



- a) Approved
 - b) Approved with minor modifications
 - c) To be resubmitted and presented after major modifications
 - d) Not approved
- 6.8 In case of (a) and (b) the date of registration shall be the date of the presentation, provided the Research Scholar submits the revised proposal through the Research Guide and the Dean of the concerned Faculty within 15 days of presentation (in case of (b)). In case of (c) a maximum period of six months may be granted by the DC for the resubmission of the proposal. The registration will be effective from the date of the subsequent presentation. In case of (d) the provisional admission shall be cancelled.
- 6.9 The title and the Research Proposal will be finalized by the DC.
- 6.10 The recommendations of the DC shall be forwarded to the Research and Recommendation Committee (RRC)

7. Research Guide

- 7.1 To be an approved as a Research Guide at SIU, the following conditions must be fulfilled (Annexure 4):
- a) He/She must be a regular/adjunct teacher of the University holding a PhD degree, and must be below the
 - a) Age of 70 years.
 - b) He/She must have at least three years post-PhD experience in Teaching/Research.
 - c) He/She must have at least two publications in the previous three years at the time of application. The
 - d) Qualification of a Co-guide will be the same as that of the Research Guide. A Co-guide may be any person within SIU or outside SIU and must be a recognised Research Guide of SIU.
- 7.2 The University approves reputed educational Institutions and Research Organizations as Approved Research Centres. The candidates working in such Institutions are allowed to seek admission to PhD programme. Researchers who fulfill the eligibility norms of the University, and are working in such Institutions and Centres, may be recognized as Research Guides of SIU.
- 7.3 If collaborative research work is being carried out by a Faculty of the University with the collaborating Institution being in India or abroad, and if major part of the collaborative work is being done in the collaborating Institution, then the Research Guide shall be from that Institution and the Co-guide shall be from SIU. Similarly, if major work is being done at SIU, then the Research Guide shall be from SIU and the Co-guide shall be from the other Institution.
- 7.4 The following is the upper limit regarding the number of Research Scholars that can be registered with a Research Guide/Co-guide for a PhD programme.
- Professor : 8
 - Associate Professor : 6
 - Assistant Professor : 4
- 7.5 No relative of a candidate such as wife, husband, son, daughter, sister, brother or such other person--people who are deemed to be close relations--shall be appointed as Research Guide/Co-guide for that candidate.
- 7.6 In cases where the Guide has less than three years to retire, a Co-guide shall be mandatory.
- 7.7 Request for change of the Research Guide shall be entertained in the prescribed pro forma (Annexure 5) only in the following cases:
- a) The Research Guide has left the service of the University
 - b) By mutual consent of both the Research Guide and the Research Scholar.
 - c) In special circumstances, the change of the Research Guide can be approved even without the consent of the present Research Guide.



8. Monitoring Progress of Research Scholars

- 8.1 A Research Scholar shall register at the beginning of every semester on a specified date by filling Semester Registration Form (Annexure 6).
- 8.2 A Research Scholar shall be required to submit a half-yearly progress report in a specified pro forma (Annexure 7) in January and July of each year, till the submission of the final Thesis.
- 8.3 In case a Research Scholar fails to submit two consecutive half-yearly progress reports or if the two progress reports are unsatisfactory, then the registration may be cancelled. However, in all such cases, the Research Scholar may appeal to the Vice Chancellor through the Research Guide for reconsideration. The decision of the Vice Chancellor shall be final.
- 8.4 Review Presentations: On completion of approximately 50% of the proposed work, the Research Scholar shall make a review presentation to the Doctoral Committee. This will be arranged by SCRI at the request of the Research Guide.
- 8.5 Pre-submission Presentation: On completion of the research work, after ensuring that at least two years have been completed from the date of registration, the PhD Scholar shall submit to the University, through the Research Guide(s), draft synopsis, including bibliography of the research work. The Doctoral Committee, on the recommendation of Dean of concerned Faculty, shall assess the work. The student will be asked to deliver an open seminar before the Committee. If the Committee is satisfied about the quality of the work and finds it suitable for submission as a PhD Thesis, it may advise the student to prepare a synopsis and submit 6 hard copies and a soft copy in PDF format. On the other hand, if the committee is not satisfied with the quality of work done, it may recommend revision of the work on specific lines and direct the scholar to repeat the presentation after a specified period. The Research Scholar, whose Thesis is approved for submission, shall submit six copies of the synopsis of the Thesis to the Head, PhD Programme & Research Projects so that these will be sent to the proposed examiners while obtaining their acceptance to act as examiners. The Head, PhD Programme & Research Projects, on receipt of the intimation from the Research Scholar, shall take the necessary steps for the appointment of examiners.

9. Submission of Thesis

- 9.1 The Research Scholar shall be required to submit the Thesis within three months of the date of presentation in which the draft synopsis was approved. An extension of another three months may be given by the Vice Chancellor on request from the scholar recommended by the Research Guide and Dean of concerned Faculty. (Annexure 8)
- 9.2 Format of the Thesis: The Thesis shall be written in English in the specified format (Annexure 9.1 to 9.4)
- 9.3 The following documents shall be submitted by the Research Scholar at the time of submission of Thesis:
 1. Thesis submission form (Annexure 10) signed by the scholar and the guide
 2. Four copies of Thesis
 3. Six hard copies of the synopsis
 4. Soft Copies:
 - a) Entire Thesis and synopsis in PDF format (2 CDs)
 - b) Chapter-wise Thesis in PDF format (1 CD)
 - c) All publications with the list
 - d) Passport-size photograph
 5. Originality report for plagiarism check signed by the Research Scholar and the Guide.
 6. Pending fees if any



- 9.4 The Research Scholar shall submit a proof of acceptance/publication of at least one research paper, mentioning SIU affiliation, in refereed journals before submitting the Thesis.
- 9.5 Validity of Registration: The Research scholar shall submit the Thesis to SCRI within 5 years but not earlier than 2 years from the date of registration.
- 9.6 Extension of Registration: The Research Scholar shall ordinarily complete the research work within the normal period as provided in the regulations, but in genuine cases of hardship, the Dean of the concerned Faculty, on the recommendations of the Research Guide, may allow extension up to one year with the approval of the Doctoral Committee. (Annexure 11). Further, if at the end of the six-year period, the Research Scholar is found to have completed a substantial part of the Thesis or has published research papers in some refereed journals, the Vice Chancellor on the recommendation of the Dean of the concerned Faculty, may allow further extension of one year, after recording detailed and specific reasons as to why this special extension is being allowed.
- Registration of a Research Scholar, who fails to submit the Thesis within the stipulated period as above or who fails to apply for grant of extension, will automatically stand cancelled. No extension beyond the total period of seven years shall be granted in any case.
- 9.7 Plagiarism Policy: In case the research work of a Research Scholar is found to be copied without proper acknowledgement, credit and reference, suitable action shall be taken by the University as per its Plagiarism Policy to uphold the sanctity and integrity of the PhD Research Programme and credibility of the University. The Originality Report (hard copy) signed by the Research Scholar and the Research Guide, shall be submitted at the time of submission of Thesis. The similarity percentage shall not exceed limit of 21%.

10. Examination

- 10.1 The Research Guide shall submit a panel of eight examiners (Annexure 12) in the area of research to the Vice Chancellor through the Head, PhD Programme & Research Projects while forwarding the copies of the synopsis and Thesis to the University. The panel must include at least 50% examiners from outside the State. There shall be no examiner from the same organisation and city as that of the Research Scholar. The Vice Chancellor may ask Head, PhD Programme & Research Projects to include additional name(s) in the panel of examiners.
- 10.2 The Vice Chancellor will appoint two examiners from the panel, out of which one will be from outside the State where the Research Scholar pursued the Research Work.
- 10.3 All three examiners including supervisor shall submit a detailed Assessment Report in the prescribed Performa (Annexure 13) within eight weeks from the date of the receipt of the Thesis. The assessment report will clearly indicate:
- The Thesis is recommended for the award of a PhD degree.
 - The Thesis is recommended for the award of a PhD degree after minor revision.
 - The Thesis be revised.
 - The Thesis is rejected.
 - Recommended for publication Yes/No/ After modification
 - Questions that he/she may like the Research Scholar to answer in the viva-voce, in a separate envelop.

In case an examiner recommends revision of the Thesis, he/she shall also indicate whether the revision suggested requires:

- Substantial changes in the Thesis before it can be accepted for a PhD degree.
- Minor additions or alterations in the Thesis before its acceptance.
- The examiner may indicate whether he/she would like to re-examine the Thesis after the revision.



- 10.4 The reports of the examiners (excluding the questions suggested for viva-voce) will be opened by Head, PhD Programme & Research Projects.
- 10.5 In case both examiners recommend rejection, the Thesis shall be rejected.
- 10.6 In case one out of the two examiners rejects the Thesis, it will be sent to a third examiner (appointed by Vice Chancellor) for evaluation. The Thesis shall be accepted only when at least two examiners approve it.
- 10.7 In case an examiner recommends modification to the Thesis, the Research Scholar shall carry out the necessary revision/modification as suggested by the examiner before the case is processed further.
- 10.8 The Research Scholar, who is required to re-submit the Thesis, must do so within one year from the date of receipt of the examiner's comments by the University, unless an extension is specially given by the Dean of concerned Faculty. A re-submitted Thesis shall be examined by the same examiner who had recommended re-submission unless the examiner is unable to, or declines to do so.
- 10.9 The viva-voce examination shall be compulsory for all the Research Scholars and shall be conducted by the following Committee as far as possible within two months of opening the reports:
 - (i) Dean of Faculty - Chairperson
 - (ii) One of the External Examiners - Examiner
 - (iii) Research Guide(s)
 - (iv) Head PhD Programme and Research Projects - Member
 - (v) Members of the Doctoral Committee-Members
- 10.10 There shall be an open defense of the Thesis and it shall be conducted at the University.

11. Award of Degree

- 11.1 The Committee under the Chairpersonship of the Dean of concerned Faculty shall give final recommendations for the award of a PhD degree on the basis of performance in the viva-voce examination and the examiners' reports. Their commendations will be sent to the Vice Chancellor for approval for the award of PhD degree, in his/her capacity as Chairperson of the Academic Council.
- 11.2 The Registrar shall publish the result and issue provisional degree in accordance with the decision of the Chairperson, Academic Council.
- 11.3 Along with the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of UGC Minimum Standards and Procedure for award of PhD Degree, Regulation 2009.

12. Withdrawal of an Awarded PhD Degree

In case there is a complaint of plagiarism or any other serious academic misconduct and if upon investigation by a committee duly appointed by the Vice Chancellor, the complaint is found to be correct, the PhD degree already awarded shall be withdrawn. In case of any dispute or discrepancy, the decision of the Vice Chancellor shall be final and binding.

13. Interpretation and Power to Modify

- i) Any doubt or dispute arising out of the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decision shall be final and binding.
- ii) Notwithstanding all that has been stated in the above Regulations, the University shall have the right to modify any of the above regulations from time to time with prospective or immediate effect.

14. General

- 14.1 Notwithstanding anything contained in these Regulations, all Research Scholars shall be governed by the Code of Conduct and general rules and procedures framed by the University, and in force from time to time.



CONSENT BY RESEARCH GUIDE

1. I am willing to guide the Research Work of Mr/Ms on the subject if he/she is registered for PhD.
2. To the best of my knowledge, the subject selected has not been studied so far in any University.
3. The subject will lead to a valuable contribution.
4. I have (give number) Research Candidates registered under my super vision before giving consent to this candidate.
5. The candidate is not a close relation of mine as per University PhD Rules 7.5.

Signature of Research Guide

Name, Designation and Address

Date:

Contact Details

Place:

Email:

Certified that the available facilities will be extended to Mr/Ms
For Research Work if he/she is registered for PhD.

Dean of Faculty

Head, PhD Programme & Research Project

APPLICATION FOR SEEKING EXTENSION TO COMPLETE COURSE WORK

| | |
|--|------------|
| Name | PRN |
| Name of the Faculty | |
| Date of Provisional admission to the PhD programme | |
| Dates of course work | |
| Please tick the component not completed | |
| • Not Registered for Course Work | |
| • Less than 75% Attendance in Course Work | |
| • Failed in one or more written course/courses | |
| • Did not do the assigned work of other components | |
| • Could not complete Literature Review | |

Reason for the above (Please attach necessary documentary proof of the genuineness of the request)

Date: _____ Signature _____
Place: _____ Research Scholar's Name: _____

Recommendation of the Research Guide

Extension for one additional chance may be/may not be given:
Date: _____ Research Guide _____

Approved/Not Approved
Date: _____

Dean of Faculty
Head, PhD Programme & Research Projects



APPLICATION FOR SEEKING EXTENSION TO SUBMIT RESEARCH PROPOSAL

| | |
|--|--------|
| Name | PRN |
| Name of the Faculty | |
| Date of Provisional admission to the PhD programme | |
| Date of Completion of Course Work | |
| Was any extension taken for completion of CourseWork | Yes/No |
| If yes give details: | |
| | |
| Due Date of Submission of Research Proposal | |
| Extension requested up to (Specify date) | |
| Reason for seeking Extension | |
| | |

Date:

Signature:

Place:

Research Scholar's Name

Recommendation of the Research Guide

Extension for one/two/three months may be/may not be given:

Date:

Research Guide

Approved/ Not Approved

Date:

Dean of Faculty

Head, PhD Programme & Research Projects



8. Academic Qualification:

| Examination | Year of completion | Main Subject(s) | Division/Grade | Marks Aggregate & Percentage | University |
|---------------------------|--------------------|-----------------|----------------|------------------------------|------------|
| Bachelors Degree | | | | | |
| Master's Degree | | | | | |
| M.Phil | | | | | |
| PhD | | | | | |
| Title | | | | | |
| Date of Award/ submission | | | | | |
| Other Distinctions | | | | | |

9. Whether the candidate has qualified UGCNET/JRF examination (if so, give details)

.....

(a) Teaching experience

| Name of the University/ College/Institution | Designation & Scale of pay | Nature of Post: Temporary/ Permanent | Classes taught | | Period | |
|--|-------------------------------|--|----------------|--------------|--------|----|
| | | | Under graduate | Postgraduate | From | To |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |



(b) Other professional experience (in detail)

.....
.....

10. (a) Publications: Attach on separate sheet(s)

(i) Select list of the research publications in the last five years (provide photocopies, the first page of the research paper should be self-attested)

.....

(ii) Complete list of research publications (including details of authorship, year of publications, title, name of the journal, volume number, page numbers and name of publisher)

.....

(iii) List of other publications (books, chapters in edited books, review articles etc with complete details)

.....

(b) Research Supervision

(i) Supervision of awarded doctoral thesis

.....

(ii) Supervision of doctoral dissertation, under progress

.....

(iii) Supervision of awarded M.Phil. dissertations

.....

1. (a) Academic award and distinctions.....

(b) Membership of learned bodies.....

2. Recognition by other Universities as Recognition Guide

| Name of the University | Faculty | Date of Recognition (attach copy) |
|------------------------|---------|-----------------------------------|
| | | |
| | | |
| | | |
| | | |

3. Any other relevant information

Declaration:

I declare that the statements made in this application are true to the best of my knowledge and belief. Date:
Signature of the applicant.

Signature of the applicant



4. Forwarded with the remarks that the facts stated in the above application have been verified and found correct and this Institution/Organization has no objection to the candidature of the applicant being considered for Recognition as Research Guide at the Symbiosis International University.

Designation

Address

.....

.....

.....

Pin Code.

Date:

Signature

(Head of the Institution/
Organization with seal)

Telephone No.

5. List of enclosure with details

.....

.....

.....

APPLICATION FOR CHANGE OF RESEARCH GUIDE

Date:

| | |
|---|--------|
| Name: | PRN |
| Name of the Faculty | |
| Date of Provisional Admission to the PhD Programme | |
| Date of Registration | |
| Topic of PhD work | |
| Research Guide(s) | |
| 1. | |
| 2. | |
| Name of the present Research Guide | |
| Name of proposed Research Guide | |
| Is the proposed Research Guide an Approved Guide of SIU | Yes/No |
| Need/ reason for change: | |
| Signature of the scholar | |

Consent of existing and proposed Research Guides:

Present Research Guide

Proposed Research Guide

Recommendation by the Doctoral Committee and Dean of the Faculty

Member

Member

Dean of Faculty

Date:

Approved / Not Approved

Date:

Vice Chancellor



Ph.D. PROGRAMME-SEMESTER REGISTRATION FORM

Date:

| | |
|-------------------------------|------|
| Name | PRN |
| Name of the Faculty | |
| Year of Provisional Admission | |
| Year of Registration | |
| Topic of PhD work | |
| Research Guide(s) | |
| Registration in Semester I/II | Year |

Signature

Name of Research Scholar

Payment of Dues:

Fee receipt No:

Date:

Certified that no dues are pending against the Research Scholar

Authorised Signatory

Forwarded

Signature:

Name of Research Guide:

Confirmation of Registration in the semester

Registration is confirmed / Not Confirmed

Dean of Faculty

Head, PhD Programme & Research Projects

HALF YEARLY PROGRESS REPORT

Semester I/II, Year _____

| | |
|---|-----|
| Name of the Research Scholar | PRN |
| Name of the Faculty | |
| Topic of PhD work | |
| Name of the Institution where research is being conducted | |
| Date of Provisional Admission to the PhD programme | |
| Date of Registration | |
| Research Guide(s) name(s) | |

1. Progress Against Planned Work

| Semester/Half-year after Registration | Duration | | Planned Work | Actual Work |
|---------------------------------------|----------|----|--------------|-------------|
| | From | To | | |
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |
| 6. | | | | |

2. Details of Publication

| No | Title of the Paper | Journal/ Conferences | Volume & No/Venue & Dates | Page No. |
|----|--------------------|----------------------|---------------------------|----------|
| | | | | |
| | | | | |

Date: _____

Signature of the Research Scholar

3. Recommendation of Research Guide

Certified that the performance of the Research Scholar is: **Satisfactory/Not Satisfactory**

Comments: Research Guide

.....

Dean of Faculty

Head, PhD Programme & Research Projects

APPLICATION FOR SEEKING EXTENSION FOR SUBMISSION OF THESIS BEYOND THREE MONTHS FROM PRE-SUBMISSION SEMINAR

| | |
|--|----------|
| Name | PRN |
| Name of the Faculty | |
| Date of Provisional Admission to the PhD programme | |
| Date of Registration | |
| Topic of PhD Research work | |
| Research Guide(s) | 1. 2. |

Dates of Submission and Approval of Synopsis:

Synopsis Submission: Approval:

Due date for Submission of Thesis Extension required (specify) date:

Reason for seeking extension:

.....

Signature:

Research Scholar's Name:

Recommended/Not Recommended

Extension up to..... may be/ may not be given.....

Research Guide:

Dean of Faculty

Approved/ Not Approved

Date:

Head, PhD Programme & Research Projects



GUIDELINES FOR PREPARATION AND SUBMISSION OF THESIS

STRUCTURE OF WRITING THESIS

The Research Work can be written in the following parts:

1. Title Page
2. Inside Cover Page
3. Thesis Certificate (Annexure 9.3)
4. Summary
5. Acknowledgements
6. Table of Contents
7. List of Figures, Tables or Illustrations
8. List of Abbreviations
9. Structure of the Thesis (Tentative Chapter Scheme)
10. References
11. Appendices or and
12. Glossary
13. Hard copies of publications during PhD

(Note: Research Scholars should consult the Dean and the Research Guide as to whether any other discipline-specific components need to be included and if so where.)

Layout and Appearance

- The thesis should be printed on white A4 paper in Times New Roman, 12pt and the color scheme for the cover page should be as per Annexure 9.4. The Thesis may be printed on both side of the paper. Lines pacing in the abstract and the text of should be 1.5. Single spacing should be used in long tables, block quotations separated from the text, foot notes and bibliographical entries. Paragraphs should not be indented. One line space be left between paragraphs.
- Margins should be one inch or 2.5cm on all sides, and page size should be set to A4. Pages should be numbered at the bottom in the centre, using Arabic numerals (1,2,3) starting with the first page of the Thesis (i.e. the first page of the Introduction). Pages prior to this should be numbered with lowercase Roman numerals (i,ii,iii).
- Chapters should start on a new page, but sections and sub sections should not.
- Referencing style as recommended by respective Dean of Faculty.

Title Page

The title page should provide the following information in the following order/the full title of the Thesis

The Faculty and Name of the University/ Research Scholars Name

The Research Guide's Name

The Place of submission (Pune)

The Year of Submission

(Copy is attached as Appendix 9.2)



Inside cover page same as the title page.

Executive Summary

An Executive Summary is a short document that summarizes a longer report in such a way that readers can rapidly become acquainted with a large body of material without having to read it all. It usually contains a brief statement of the problem covered in the major document(s), background information, concise analysis and main conclusions. It is intended as main reflection and has been described as possibly the most important part of the report.

Acknowledgements

This page will acknowledge individuals who provided the scholar with any assistance in the preparation of the Thesis. This would include individuals/organizations in addition to the research guide.

Table of Contents

The Thesis must have a table of contents page listing chapter headings, section headings and sub headings, appendices and references as well as their corresponding page number.

List of Figures, Tables or Illustrations

If appropriate, a separate list of figures, tables, or illustrations should be included on a separate page immediately following the Table of Contents.

List of Abbreviations

If theses is makes use of a large number of abbreviations that may be unfamiliar to a reader, providing a list of them can act as a useful guide.

References and Bibliography

References of all authors whose material or research work is referred or contained in the Thesis must be written in this section using a standard format as per the specific faculty guidelines. **Bibliography is optional.**

CERTIFICATE TITLE OF THE THESIS

<bold>

Thesis Submitted to Symbiosis International University

For award of the degree of

<bold><italic>

DOCTOR OF PHILOSOPHY

<bold>

(Faculty of)

<bold>

NAME OF THE RESEARCH SCHOLAR

<bold>



Under the Guidance of

<bold>

Name of the Guide

<bold>

Designation and official Address of Research Guide

<bold>

SYMBIOSIS INTERNATIONAL UNIVERSITY Pune-412115

<bold>

YEAR

THESIS CERTIFICATE

1. The Thesis entitled"
.....
..... submitted to the Symbiosis International University, Pune for the award of PhD Degree under the Faculty of is based on my original work carried out under the guidance of from to The Research Work has not been submitted elsewhere for award of any degree.
2. The material borrowed from other source and incorporated in the Thesis has been duly acknowledged and/or referenced.
3. I understand that I would be held responsible and accountable for plagiarism, if any, detected later on.
4. Research papers published based on the research conducted out of and in the course of the study leading to PhD are appended.

Date:

Signature of Research Scholar

Counter signed by Research Guide(s)

FACULTY-WISE COLOUR SCHEME FOR COVER OF THESIS

The cover page of thesis should be black with golden print in all faculties.



THESIS SUBMISSION FORM

Date:

| | |
|----------------------------|-----|
| Name | PRN |
| Name of the Faculty | |
| Date of Registration | |
| Topic for PhD Research | |
| Name of the Research Guide | |

I hereby submit four hard bound copies of the Thesis and a CD containing the PDF format of the Thesis.

Dated

Signature of Research Scholar

Recommendation by the Research Guide

Research Guide

Designation with full contact details

For office Use only

- | | |
|--|--------|
| • Requisite fee has been received | Yes/No |
| • Half-yearly progress reports are satisfactory | Yes/No |
| • The Thesis is in prescribed format | Yes/No |
| • Has the committee recommended the submission of Thesis? | Yes/No |
| • The Proof of publication acceptance of one research papers in referred journals has been submitted | Yes/No |

Signature of the competent authority

Confirmation of Thesis Submission

Dean of Faculty

Head, PhD Programme & Research Projects

APPLICATION FOR SEEKING EXTENSION TO SUBMIT PhD THESIS

Date:

| | |
|--|--------|
| Name | PRN |
| Name of the Faculty | |
| Date of Provisional Admission to the PhD programme | |
| Date of Completion of Course Work | |
| Date of Registration | |
| Date of Approval of Synopsis of the Thesis | |
| Due Date for submission of PhD Thesis | |
| Has any Extension been approved earlier | Yes/No |
| If Yes, up to what date: | |
| Extension required up to | |
| Reason: | |

Signature:

Research Scholar's Name

Recommendation by the Doctoral Committee:

Date:

Research Guide

Recommendation of the Dean of the Faculty

Extension in time to submit Thesis up to may be/may not be given.

Recommended/Not Recommended

Date:

Dean of Faculty

Date:

Head, PhD Programme & Research Projects

FORMAT FOR PANEL OF EXAMINERS

| S. No | Name of Examiner | Designation | Telephone No & Address | E-mail, if any |
|-------|------------------|-------------|------------------------|----------------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |
| 7 | | | | |
| 8 | | | | |

Note: The examiners suggested, would be actively engaged in the area of research work concerned, and also as far as possible, not be below the rank of University Professor/Scientist in the grade of professor.

Authenticity of the rank of the examiners given in the panel shall be the sole responsibility of the supervisor. Supervisor-ship may be cancelled by the University if the designation of the expert is found wrong.

The Panel must include at least 50% of the examiners from outside the State. There should be no examiner from the same organization and city as that of the Research Scholar.

Place

Date:.....

Signature of Research Guide with Designation

DETAILED THESIS EVALUATION REPORT

Date:

Name of the Research Scholar:

PRN:

Name of the Faculty:

Title of Thesis:

Name and Affiliation of the Examiner:

Section1

Please give your comments on the following aspects of the Thesis:

Relevance of the Research Work carried out by the Research Scholar, literature review, methodology, tools & techniques used, analysis, results, discussions and conclusions and contribution of the work to the already existing body of knowledge, language and organization of the Thesis.

Section2

- a) Strengths of the work.
- b) Weaknesses of the work, if any.
- c) Are any major/minor modifications needed (Please specify).

Section3

(a) Questions to be asked/clarifications to be sought at the time of viva-voce examination

- 1.
- 2.
- 3.
- 4.

Section 4 Final Recommendations

- a) The Thesis is recommended for award of PhD degree.
- b) Thesis accepted with minor modifications suggested at 2(c) above. The Research Guide can ensure that the queries are answered at the time of viva-voce. The degree is awarded.
- c) Major modifications suggested at 2(c). Thesis is sent to me after modifications.
- d) Thesis is rejected due to weaknesses at 2(b).
- e) Recommended for publication/Publication with modifications suggested.

Date:

Signature of the Examiners

**Name, Designation and
address with full contact details**

FEE STRUCTURE*

| Programme Fees For PhD (Indian Students) | | Amount |
|---|----------|----------|
| Registration & Course Work | | ₹ 25,000 |
| Academic Fees (Per Annum) | | ₹ 20,000 |
| First Semester | ₹ 10,000 | |
| Second Semester | ₹ 10,000 | |
| Institute Deposit (Refundable) | | ₹ 10,000 |
| | | |
| Programme Fees For PhD (International Students) | | Amount |
| Registration & Course Work | | \$ 420 |
| Academic Fees (Per Annum) | | \$ 500 |
| First Semester | \$ 250 | |
| Second Semester | \$ 250 | |
| Institute Deposit (Refundable) | | \$ 170 |

* Subject to Change

- All candidates are requested to submit semester fee at the beginning of every semester.
- The fee shall be paid by a demand draft issued in favor of Symbiosis Centre for Research and Innovation, payable at Pune.
- All part-time internal candidates registered for PhD programme shall be entitled to get 50% concession in all fees except application fee



Registrar

Symbiosis International University

Gram: Lavale, Tal:Mulshi, Dist.: Pune-412115

Tel.: +91-20-39116200 Fax: +91-20-39116206

E-mail: registrar@siu.edu.in Website: www.siu.edu.in