



# SHIV NADAR UNIVERSITY

*Knowledge is the Path to Freedom*

[www.snu.edu.in](http://www.snu.edu.in)

## **Regulations for the Ph.D. Program<sup>1</sup>**

The award of a Ph.D. Degree by the University is in recognition of high scholastic achievements and independent research. Creative and productive enquiry is the basic concept underlying research work. This document outlines the rules and regulations governing the Ph.D. program, common to all Schools in the University.

### **I. Eligibility**

A Masters degree in Arts, Science, Engineering, Medicine, Education or Business with a minimum of 60% marks (first class) or an equivalent grade point. If the Masters degree is in a field other than the one to which admission to the Ph.D. program is sought, the candidate will be expected to demonstrate sufficient mastery of the fundamentals in the field through written tests, interview, etc.

These criteria may be suitably revised in case of candidates possessing a valid score in any one of the following National Examinations: CSIR-UGC NET, DBT-JRF, GATE, JEST, ICMR-JRF, NBHM etc.

### **II. Admission Procedure**

Scholars will be admitted to the Ph.D. program twice every year, at the beginning of the Monsoon (starting in August) and Spring (starting in January) semesters of the University. Applications will be invited through press advertisements and announcement on the University website: [www.snu.edu.in](http://www.snu.edu.in). The number of seats for Ph.D. in each discipline shall be notified on the University website and in press advertisements. The University shall admit doctoral scholars through an Entrance Test and/or interview. Shortlisted doctoral candidates called for interview will be expected to discuss with the Interview Committee their research interests/areas. The names of the selected candidates will be announced on the University website.

A member of the academic or non-academic staff of the University who satisfies eligibility qualifications may be considered for admission to the Ph.D. degree as a part-time candidate at the discretion of the Director of the School.

### **III. Enrolling Procedure**

The successful candidate has to register for the Ph.D. program by producing originals of the required certificates or official transcripts and payment of the registration fees

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<sup>1</sup> These rules can be amended at any time by the Academic Council of the University.

on the day prescribed for registration. Registration is to be done at the beginning of every semester.

#### **IV. Research Advisor**

The research advisor is primarily responsible for guiding the scholar in research and for the scholar's well being. The research advisor shall be a full-time faculty member of the University. Within one semester of admission to the Ph.D. program, the scholars shall talk to faculty members who have conveyed interest in the candidates, about their respective research areas, confirm their availability for serving as research guides, and submit their names, indicating order of preference, to the Head of the Department. The scholar will then be assigned a research advisor preferably from this list, with mutual consultation. The scholar may petition for change of research advisor to the Dean of Graduate Studies, whose decision in this regard shall be final. No advisor shall have, at any given point of time, more than eight Ph.D. Scholars.

In the case of a multi-disciplinary Ph.D. in a research area spanning more than one Department or School, the research advisor may opt to appoint a co-advisor from a complementary Department to assist in advising the scholar. When a research advisor proceeds on long leave from the University before completion of the scholar's Ph.D. program, the Head of the concerned Department will appoint a co-advisor in consultation with the advisor, to assist in advising the scholars. When the advisor resigns and leaves the University, another advisor will be appointed by Head of the concerned Department, in consultation with the research scholar.

In the interest of quality of research, the research advisor may associate an eminent person from industry/other universities as a co-advisor, in consultation with the Head of the concerned Department and the research scholar. In any case, the number of research advisors for a Ph.D. scholar will not exceed two.

#### **V. Doctoral Committee**

Each scholar will have a Doctoral Committee appointed by the Department upon the recommendation of the scholar's research advisor. The major role of the Committee is to monitor the progress of the work, both course work and research, of the scholar. The committee shall consist of the research advisor and two other faculty members, who are in research areas related to the proposed work of the scholar. The Chair of the Doctoral Committee shall be a member of the Committee other than the scholar's research advisor or co-advisor, and shall be appointed by the Head of the Department upon the recommendation of the research advisor.

The Doctoral Committee meets at least once every semester. The Committee will identify the courses required to be taken for credit by the scholar, and continue to monitor the progress of the scholar's work. The semester-wise report of the Committee on the scholar's progress is mandatory at the time of the registration of the scholar in each semester.

## **VI. Graduate Student Advisor**

A member of the faculty will act as the Graduate Student Advisor in each Department, who will advise the students on courses and other matters particularly in the first year, before a Research Advisor is assigned.

## **VII. Course Work**

Each scholar is required to complete, within one year of admission to the Ph.D. program, a *minimum* of 6 credits of course work at 500 level or higher. Course requirements, including research methodology, language requirements and courses with international components, as well as the minimum Grade Point Averages, for continuation in the program and for continuation of fellowship, may be prescribed by individual Schools. Details of required course work in each discipline shall be prescribed by the concerned Department. In the case of a multi-disciplinary Ph.D. in a research area spanning more than one Department or School, the details of required course work will be determined jointly by the participating Departments. Further courses beyond the requirements may be taken, for credit or for audit, either upon the recommendation of the research advisor or at the scholar's own discretion with the permission of the Doctoral Committee. If found necessary by the Doctoral Committee, part of this course work may be carried out at institutions outside the University, for which the scholar will be given due course credit. Courses taken for audit will not count towards the Grade Point Average. The total minimum registration requirements for part-time and full-time students at the University are 3 credits and 12 credits per semester, respectively, till their Qualification to Candidacy for the Ph.D. degree.

## **VIII. Qualification to Candidacy**

Upon satisfactory completion of the required course work and research methodology, the scholar shall be considered Qualified to Candidacy for the Ph.D. degree and should select a research topic for the Doctoral Thesis. Any scholar who has Qualified to Candidacy shall register for *at least* 3 credits of DTD 899 (Doctoral Thesis) each semester until graduation.

## **IX. Research Monitoring Progress**

1. The Doctoral Committee will make semester-wise assessment of the progress of the scholar's research work. 'S' grade will be awarded in DTD 899 for the semester if the scholar's progress in research is satisfactory; 'U' grade will be awarded in DTD 899 if the scholar's progress in research is unsatisfactory.
2. The Doctoral Committee shall advise the scholar in case of unsatisfactory performance in course work or research.
3. In case of continued lack of progress or initiative on the part of the scholar (two consecutive 'U' grades in DTD 899 or failure to maintain the prescribed Grade Point Average), the Doctoral Committee may recommend to the Director of the concerned School the cancellation of Fellowship or termination of the registration.
4. The Doctoral Committee is also empowered to recommend to the Director of the concerned School, any disciplinary action in case of misconduct or unethical

practices, and to recommend appropriate action in case of any dispute between the scholar and the research advisor.

#### **X. Research Seminar**

The scholar has to give one research seminar to the Department before the end of the fourth semester, prior to Advancement to Candidacy. It will be called the Comprehensive Examination, and will deal with the formulation of the research problem and survey of existing literature in the field. The scholar will be expected to demonstrate sufficient mastery of the background in the subject necessary to carry out research. The seminar will be assessed by the Doctoral Committee and will be judged as satisfactory or unsatisfactory. In the latter case, a suitable course of action will be suggested by the Doctoral Committee.

#### **XI. Advancement to Candidacy**

Ph.D. candidates shall publish at least one research paper in a refereed journal before the submission of the Doctoral Thesis, and produce evidence for the same in the form of an acceptance letter or reprint. Upon satisfactory completion of all requirements except for the Doctoral Thesis, the scholar shall be considered Advanced to Candidacy for the Ph.D. degree. Any scholar who has Qualified but not Advanced to Candidacy for the Ph.D. degree may choose to transfer to the Masters program in the appropriate discipline by completion of any additional course work and/or other requirements for that program.

#### **XII. Thesis Synopsis**

The thesis synopsis is a chapter-wise summary of the thesis. Prior to the submission of the Thesis Synopsis to the Director of the concerned School, the scholar shall, with the approval of the Doctoral Committee, give a synopsis seminar in the Department, discussing the major findings that will go into the thesis. The synopsis seminar may be open to all faculty members and research scholars, for getting feedback and comments, which may be suitably incorporated into the draft thesis with the advice of the research advisor. The Thesis Synopsis is presented by the scholar to the Doctoral Committee, and evaluated by this committee. The committee may propose revisions to the synopsis, in which case, it must be revised and resubmitted.

#### **XIII. Selection of Thesis Examiners**

The thesis by the Ph.D. scholar shall be evaluated by a panel of at least two experts from outside the University, including one from outside the state. The panel of external examiners will be appointed by the Director of the concerned School, upon the recommendation of the Doctoral Committee. The thesis synopsis is sent to the selected examiners by email, for ascertaining their willingness to examine the thesis.

#### **XIV. Thesis Submission**

The thesis should contain a comprehensive account of the candidate's research. It should bear evidence of the candidate's capacity for analysis and judgment, and ability to perform independent investigation, design or development. Two hard and

three CD copies of the thesis produced in the prescribed format are to be submitted to the Director's office within two months of the submission of the synopsis.

## **XV. Thesis Examiners' Reports**

The thesis is sent to two willing examiners for evaluation and for their comments on the originality and scientific merit of the findings of the author and to judge whether the work deserves the award of the PhD Degree of the University. Specifically they will be asked to give one of the following verdicts:

- 1) The thesis is acceptable as such without any revision. The candidate may defend his/her thesis before an Oral Examination Committee constituted for the purpose and any members of the faculty and research community who wish to be present. I recommend the award of the Ph.D. degree of the University to the candidate subject to his/her satisfying the Oral Examination Committee about the questions/clarifications I have raised in my report.
- 2) The thesis needs revisions along the lines suggested in my report. The Ph.D. degree can be awarded to the candidate only after the revisions are made to the satisfaction of the Doctoral Committee, and subsequent evaluation and recommendation by the Oral Examination Committee.
- 3) The thesis is not acceptable for reasons detailed in my report. I do not recommend the award of the Ph.D. degree of the University to the candidate.

## **XVI. Obtaining and Processing of Thesis Reports**

The Thesis Examiners' Reports shall be received by the Director's office within two months of submission of the thesis, failing which the Director of the School may appoint one or more new examiner(s).

On receipt of both the reports, the Director of the School shall convene the Doctoral Committee to discuss the reports and to take further action. The following guidelines may be observed by the Doctoral Committee in arriving at their decision:

- a) If the verdicts from both external examiners are (1), the Doctoral Committee may recommend holding the open Oral Examination.
- b) If the verdicts from the external examiners are both (3), the Director of the School may constitute a committee of experts from the University to recommend further action.
- c) If one of the verdicts alone is (3), a third examiner may be appointed. If the third report in this case is also (3), the Director of the School may constitute a committee of experts from the University to recommend further action.
- d) Oral examination can be held only when two final reports are positive.

## **XVII. Doctoral Defense**

On receipt of satisfactory evaluation reports, the Director shall approve the holding of the Oral Examination and appoint the Oral Examination Committee. The composition of the Oral Examination Committee is as follows:

- a) the Chair of the Doctoral Committee will also serve as the Chair of the Oral Examination Committee,
- b) one of the external thesis examiners,
- c) the research advisor (and co-advisor, if any), and

- d) two other members of the University faculty with research interest in related areas.

If either (a) or (b) is unavailable, the Director shall appoint a replacement. The Ph.D. scholar shall defend the thesis at a meeting open to the public, followed by a closed door Oral Examination. The Oral Examination Committee may seek answers to any questions raised in the thesis reports and public defense.

Upon completion of all stages of the Oral Examination, the Oral Examination Committee shall recommend one of the following courses of action:

- 1) that the Ph.D. degree be awarded;
- 2) that the candidate be examined on a further occasion in a manner they shall prescribe;
- 3) that the degree not be awarded.

The Chair of the Oral Examination Committee will report the result of the Oral Examination to the Director of the concerned School. If the Oral Examination Committee declares the candidate to have performed satisfactorily and recommends that the Ph.D. degree be awarded to the candidate, the Director shall forward the recommendation to the Academic Council for award of the degree. The degree shall be awarded by the Academic Council provided that:

- a) the Oral Examination Committee so recommends,
- b) the candidate submits two hard cover copies of the thesis, from amongst those submitted earlier, after incorporating all necessary modifications and corrections, including the appropriate IPR and copyright notices (Appendix A) at the beginning of the thesis, and
- c) the candidate produces a 'no dues certificate' from all concerned in the prescribed form.

Following the successful completion of the evaluation process and announcements of the award of Ph.D. degree, copies of the thesis are to be deposited in the Central library and School/Departmental Libraries along with an abstract. The University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all institutions/Universities.

On successful completion of all the requirements for the 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 to these Regulations of the UGC.

### **XVIII. Duration of Ph.D. Program**

For full-time scholars, the minimum and maximum duration of the Ph.D. program are 6 semesters and 10 semesters, respectively (not counting the Summer and Winter breaks, and including the time spent on course work). At the end of 10 semesters, the registration may be cancelled and any re-registration must have the approval of the Academic Council. The maximum residence duration specified above may be suitably relaxed for part-time scholars, as decided by the Director of the School.

A member of the academic staff who has commenced research before joining the University may, at the discretion of the Director of the School, and on the recommendation of the Doctoral Committee, be permitted to include in his/her period

of registration, part or all of the time spent on research before joining the University, up to a maximum of one year.

#### **XIX. Residence Requirements**

All scholars are to be registered at the University throughout the duration of the Ph.D. program, with the minimum registration requirements for part-time and full-time students as specified above. The scholar may perform part of the research work, for a period not exceeding two semesters, at institutions outside the University. The research scholar shall continue to be registered at the University during this period.

Scholars transferring to the University from other recognized institutions may be awarded credit for course work and research performed at the other institutions, at the discretion of the Director of the School, subject to fulfillment of all other requirements for award of the degree, as laid out above.

Research scholars who are registered in the Ph.D. program at another recognized institution may be permitted, at the discretion of the Director of the School, to perform part of their research at SNU, for a period not exceeding two semesters, under the supervision of an SNU faculty member, whose consent shall be obtained by the scholar in advance. The schedule of fees for use of any SNU facilities by the scholar shall be determined by the Registrar.

#### **XX. Leave/Temporary Withdrawal**

All research scholars will be entitled to leave for 30 days per academic year, not including leave on medical grounds. In case of extended absence from the University, the scholar must submit an application for leave (personal/academic) to the Head of the Department, forwarded by the research advisor. Approval of extended leave will be at the discretion of the Head of the Department. Research scholars shall be eligible for maternity or paternity leave for a total period not exceeding 135 days during the Ph.D. program. A scholar may temporarily withdraw from the program on account of health or family circumstances. The withdrawal request is to be forwarded by the Doctoral Committee to and approved by the Director of the appropriate School.

#### **XXI. Ethical Regulations**

The scholar is expected to maintain high ethical standards in his/her conduct and professional work. In particular, s/he is expected to observe the practice of acknowledging the sources of information reproduced in his/her thesis, reports, publications, or seminars. Any instance of plagiarism will attract severe punishment, including the cancellation of the registration for Ph.D. or cancellation of the awarded degree at any time.

The scholar shall sign an anti-ragging pledge (Appendix B) and submit it to the Director of the School at the time of registration.

A similar pledge shall also be executed in regard to harassment (sexual, gender identity, caste, religion and disability).

## **XXII. Fellowship and Teaching Responsibilities**

The following National Research Fellowships are tenable at SNU: CSIR-JRF/SRF, UGC-JRF/SRF, DBT-JRF/SRF, NBHM, INSPIRE. In addition, SNU may offer its own Fellowships.

Continuation of the Fellowship in a subsequent semester is dependent on the satisfactory progress of the scholar's work, as reported by the Doctoral Committee at the end of every semester. Fellowship stands automatically terminated at the end of 10 semesters for which the scholar is registered.

SNU recognizes that teaching is an integral part of the training of a Ph.D. scholar. Thus all scholars, including fellowship holders, may be required to take part in Teaching Assistant duties as assigned by the Department. Such duties include help in teaching laboratories, tutorial sessions in courses, grading assignments, library duties, supervision of computational labs and duties associated with the conduct of University interviews and examinations. Such assignments are made by the Head of the concerned Department. Any scholar with Teaching Assistant duties in a given semester will be required to register for a minimum of one and a maximum of 3 credits of PTC 899 (Practicum in Teaching) for that semester, for which (s)he will receive a grade of 'S' (satisfactory) or 'U' (unsatisfactory) from the course instructor or course coordinator. This grade shall not count towards the Grade Point Average, but the continuation of the fellowship will be contingent on satisfactory performance in PTC 899. The minimum teaching requirements for each category of fellowship in each discipline shall be prescribed by the School.

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## Appendices

### A. IPR and Copyright Notices

The relevant IPR/Copyright notice to be incorporated in the thesis shall be chosen from the following:

1. Theses for which formal copyright application has not been filed should carry the copyright notice:  
© Shiv Nadar University, Dadri, India, [year of submission of thesis].
2. Theses for which formal copyright application has been filed with the copyright office should carry the copyright notice:  
© Shiv Nadar University, Dadri, India, [year of submission of thesis]. All rights reserved. Copyright Registration Pending.
3. Theses for which, in addition to a formal copyright application with the copyright office, patent/design application has also been filed with the patent office. should carry the Intellectual Property Right (IPR) notice:  
Part of this thesis may be protected by one or more of Indian Copyright Registrations (Pending) and/or Indian Patent/Design (Pending) by Shiv Nadar University, Dadri, India. Shiv Nadar University restricts the use, in any form, of the information, in part or in full, contained in this thesis ONLY on written permission of the competent authority.

Notices 2 and 3 should be inserted only after the formal application(s) has/have been filed with, and the same has been confirmed by, the appropriate office(s), as the case may be.

### B. Anti-ragging Pledge

The scholar and his/her parent/guardian should sign, at the time of admission, the prescribed anti-ragging forms (Annexures I and II) as per the stipulation of the MHRD, Government of India.

**AFFIDAVIT BY THE SCHOLAR**

I, (full name of scholar with admission/registration/enrolment number)

s/o - d/o Mr./Mrs./Ms \_\_\_\_\_

1) having been admitted to Shiv Nadar University have received a copy of the AICTE regulations on Curbing the menace of Ragging in Higher Educational Institutions, 2009, (hereinafter called the “Regulations”) carefully read and fully understood the provisions contained in the said Regulations.

2) I have, in particular, perused clause 3 of the Regulations and am aware as to what constitutes ragging.

3) I have also, in particular, perused clause 7 and clause 9.1 of the Regulation and am fully aware of the penal and administrative action that is liable to be taken against me in case I am found guilty of or abetting ragging, actively or passively, or being part of a conspiracy to promote ragging.

4) I hereby solemnly aver and undertake that

a) I will not indulge in any behavior or act that may be constituted as ragging under clause 3 of the Regulations.

b) I will not participate in or abet or propagate through any act of commission or omission that may be constituted as ragging under clause 3 of the Regulations.

5) I hereby affirm that, if found guilty of ragging, I am liable for punishment according to clause 9.1 of the Regulations, without prejudice to any other criminal action that may be taken against me under any penal law or any law for the time being in force.

6) I hereby declare that I have not been expelled or debarred from admission in any institution in the country on account of being found guilty of, abetting or being part of a conspiracy to promote, ragging; and further affirm that, in case the declaration is found to be untrue, I am aware that my admission is liable to be cancelled.

Declared this \_\_\_\_\_ day of \_\_\_\_\_ month of \_\_\_\_\_ year \_\_\_\_\_

Signature of Deponent

Name

**VERIFICATION**

Verified that the contents of this affidavit are true to the best of my knowledge and no part of the affidavit is false and nothing has been concealed or misstated therein.

Verified at (place) on this the (day) of (month) (year) \_\_\_\_\_

Signature of deponent

Solemnly affirmed and signed in my presence on this the (day) of month, (year) after reading the contents of this affidavit.

OATH COMMISSIONER

**AFFIDAVIT BY PARENT/GUARDIAN**

I, \_\_\_\_\_ Mr./Mrs./Ms.  
(full name of parent/guardian) father / mother/guardian of \_\_\_\_\_ (full  
name of scholar with admission /registration/enrolment number),

1) having been admitted to Shiv Nadar University, have received a copy of the AICTE/UGC regulations on Curbing the menace of Ragging in Higher Educational Institutions, 2009, (hereinafter called the “Regulations”) carefully read and fully understood the provisions contained in the said Regulations.

2) I have, in particular, perused clause 3 of the Regulations and am aware as to what constitutes ragging.

3) I have also, in particular, perused clause 7 and clause 9.1 of the Regulations and am fully aware of the penal and administrative action that is liable to be taken against my ward in case he/she is found guilty or abetting ragging, actively or passively, or being part of a conspiracy to promote ragging.

4) I hereby solemnly aver and undertake that

a) My ward will not indulge in any behavior or act that may be constituted as ragging under clause 3 of the Regulations.

b) My ward will not participate in or abet or propagate through any act of commission or omission that may be constituted as ragging under clause 3 of the Regulations.

5) I hereby affirm that, if found guilty of ragging, my ward is liable for punishment according to clause 9.1 of the Regulations, without prejudice to any other criminal action that may be taken against my ward under any penal law or any law for the time being in force.

6) I hereby declare that my ward has not been expelled or debarred from admission in any institution in the country on account of being found guilty of, abetting or being part of a conspiracy to promote, ragging; and further affirm that, in case the declaration is found to be untrue, I am aware that my admission my ward is liable to be cancelled.

Declared this \_\_\_\_\_ day of \_\_\_\_\_ month of \_\_\_\_\_ year \_\_\_\_\_

Signature of Deponent

Name:

Address:

Telephone/Mobile No:

**VERIFICATION**

Verified that the contents of this affidavit are true to the best of my knowledge and no part of the affidavit is false and nothing has been concealed or misstated therein.

Verified at \_\_\_ (place) on this the \_\_\_\_\_(day) of \_ (month) and \_\_\_\_\_(year)

Signature of deponent

Solemnly affirmed and signed in my presence on this the (day) of month, (year) after reading the contents of this affidavit.

OATH COMMISSIONER