



Regulations for the Ph.D. Program¹ (2022)

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. Categories of PhD candidates

- a. Full Time: Candidates pursue their research activity full time at Shiv Nadar (Institution of Eminence Deemed to be University)
- b. Part-time Program
 - i. Qualified candidates unable to attend Shiv Nadar IoE on a Full-Time basis may choose to pursue a part-time PhD program. Shiv Nadar IoE does not provide fellowship/assistantship to such candidates. The candidate can be self-sponsored or sponsored by other organizations. However, the research work is done at Shiv Nadar IoE.
 - ii. Staff Registration Program: Members of academic or non-academic staff of Shiv Nadar IoE pursue part-time research along with their employment at Shiv Nadar IoE.
- c. External Sponsored Program: The research student shall be employed and sponsored by an organization with appropriate R&D facilities recognised by the University and formalised through an MOU. The research work can be carried out partially or fully in the student's parent organization.

II. Full time to Part-Time mode Conversion

Once in the tenure, a student may choose to convert from full time mode to part time mode of study. The following rules and procedures shall be applicable for such cases

- a. The student cannot return to full time mode
- b. Procedure and requirement
 - i. Completion of courses and comprehensive exam
 - ii. Only at the beginning of semester
 - iii. Continues registration
 - iv. Recommendation of doctoral committee and HOD
 - v. Approved by School Dean/Director
 - vi. Financial assistance provided as full time student shall be stopped

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

III. Eligibility

A four-year Bachelor's degree or Master's degree in Arts, Science, Engineering, Medicine, Education or Business with a minimum required score (marks or grade point) to be fixed and announced by each Department/ Center/ School offering a Ph.D. program. If the Master's 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, interviews 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-JRF, DBT-JRF, GATE-JRF, JEST, ICMR-JRF, NBHM etc.

IV. Admission Procedure

Students 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. . The number of seats for Ph.D. in each discipline shall be notified on the University website. The University shall admit doctoral students 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 Dean of the School.

The admission procedure for the External Sponsored program may be independently determined by the program as per requirement and shall be governed by the associated agreement.

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

VI. Research Advisor

The research advisor is primarily responsible for guiding the student in research and for the student's well-being. The research advisor shall be responsible for overseeing the doctoral process of the student and submission reports as mandated in a timely fashion. Research Advisor shall be a regular full-time faculty of the University with at least three years of service left before superannuation and shall possess a doctoral degree.

Within two semesters of admission to the Ph.D. program, the students 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 the order of preference, to the Head of the Department. The student will then be assigned a research advisor preferably from this list, with mutual consultation. The student may petition for a change of research advisor to the Dean of Graduate Studies, whose decision in this regard shall be final. A research advisor/ Co-Advisor who is a professor, at any given time, cannot guide more than eight Ph.D. Students. An Associate professor as a research advisor can guide up to a maximum of six Ph. D. students and an Assistant Professor as a research advisor can guide up to a maximum of four Ph. D. students at any given time.

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 student. When a research advisor proceeds on long leave from the University before completion of the student'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 students.

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 student. In any case, the number of research advisors for a Ph.D. student will not exceed two. The research Co-Advisor shall possess a Doctoral degree and a terminal degree in their area of expertise.

- In case of resignation of faculty from University
 1. The faculty member shall forfeit the advisorship of the student and the head of the department shall appoint a new advisor from the University.
 2. Exception clause
 - If the student has not advanced to candidacy
 - A new advisor shall be appointed
 - The resigning faculty member may be appointed as co-advisor based on request.
 - If the student has advanced to candidacy/synopsis submission
 - The resigning faculty member may retain the advisorship on request
 - A Co-advisor (if not already present) shall be allotted who shall also function as a caretaker advisor
- Research advisor change requests from a student, post completion of comprehensive exam (or two years after registration) shall not be entertained. In case of dispute between the research advisor and the student, the School Dean in consultation with the doctoral committee shall make necessary recommendations to the office of Dean Research.

VII. Doctoral Committee

Each student will have a Doctoral Committee appointed by the Department upon the recommendation of the student's research advisor. The major role of the Committee is to monitor the progress of the work, both course work and research, of the student. 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 student. The Chair of the Doctoral Committee shall be a member of the Committee other than the student'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 student and continue to monitor the progress of the student's work. The semester-wise report of the Committee on the student's progress is mandatory at the time of the registration of the student in each semester.

VIII. Departmental 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. The Graduate Advisor shall also co-ordinate the admission process as part of the departmental admission committee, co-ordinate orientation of incoming students, co-ordinate the allocation of a research advisor and subsequent changes and monitor course requirement completion by the student.

IX. Course Work

Each student admitted after Master's Degree is required to complete, within one year of admission to the Ph.D. program, a minimum of 8 credits of course work at the postgraduate level. Students admitted after Bachelor's degree shall complete a minimum of 18 credits. Course requirements, including research methodology, language requirements, and courses with international components, as well as the Grade Point Averages, for continuation in the program and continuation of fellowship, may be prescribed by the Schools. These are minimum requirements and schools may impose and specify additional requirements. 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 audit, either upon the recommendation of the research advisor or at the student's 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 student 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 8 credits per semester, respectively, till their Qualification to Candidacy for the Ph.D. degree.

A minimum CGPA of 7.00 has to be maintained by the student at the end of the first semester for continued registration. The registration shall be terminated in case the CGPA falls below the above threshold. The schools may have additional criteria above the prescribed minimums

X. Qualification to Candidacy

Upon satisfactory completion of the required course work and research methodology, the student shall be considered Qualified to Candidacy for the Ph.D. degree and should select a research topic for the Doctoral Thesis. The minimum CGPA required for Qualification to Candidacy and continuation in the program is 7.00. The registration of the students not meeting the above requirement shall be terminated. Any student who has Qualified to Candidacy shall register for *at least* 3 credits of DTD 899 (Doctoral Thesis) each semester until graduation.

XI. Research Monitoring Progress

1. The Doctoral Committee will make a semester-wise assessment of the progress of the student's research work. 'S' grade will be awarded in DTD 899 for the semester if the student's progress in research is satisfactory; 'U' grade will be awarded in DTD 899 if the student's progress in research is unsatisfactory.
2. The Doctoral Committee shall advise the student 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 student (two consecutive 'U' grades in DTD 899 or failure to maintain the prescribed Grade Point Average), the Doctoral Committee may recommend to the Dean of the concerned School the cancellation of Fellowship or termination of the registration.
4. The Doctoral Committee is also empowered to recommend to the Dean 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 student and the research advisor.

XII. Research Seminar/Comprehensive Examination

The scholar has to give one research seminar to the Department before the end of the fourth semester, before 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 student 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. The Department/School may determine additional requirements for completion of the comprehensive examination. In case of Unsatisfactory performance in the first attempt, a second chance shall be provided within two months. In case of a second unsatisfactory performance, the scholar's registration shall be cancelled.

XIII. Advancement to Candidacy

Ph.D. candidates shall publish at least one research paper in a refereed journal and make two paper presentations in conferences/seminars 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 student shall be considered Advanced to Candidacy for the Ph.D. degree. Any student who has Qualified but not Advanced to Candidacy for the Ph.D. degree may choose to transfer to the Master's program in the appropriate discipline by completion of any additional course work and/or other requirements for that program.

XIV. 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 student 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 students, 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 student 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. The thesis synopsis shall be approved by the School Dean and forwarded to the office of Dean Research for further processing.

XV. Selection of Thesis Examiners

The thesis by the Ph.D. student shall be evaluated by a panel of at least two national/International experts from outside the University. The panel of external examiners will be appointed by the Dean of Research. The thesis synopsis is sent to the selected examiners by email, for ascertaining their willingness to examine the thesis. The Doctoral Committee shall submit details of at least eight external examiners (five national and 3 International). The examiners shall be at the level of associate professor or above. This list along with the synopsis shall be forwarded through HOD and School Dean to Research Office.

XVI. 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. A soft copy of the thesis produced in the prescribed format is to be submitted to the Dean of research office within four months of the submission of the synopsis. Hard copies may be required as per the request of the external examiners.

XVII. Thesis Examiners' Reports

The thesis is sent to at least two willing examiners for evaluation and 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. 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 minor revisions along the lines suggested in my report. The Ph.D. degree may be awarded to the candidate 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 needs major revisions as pointed out in my report. The candidate needs to clarify and incorporate the suggested revisions, and the modified thesis be sent for reevaluation.
- 4) 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.

XVIII. Obtaining and Processing of Thesis Reports

The Thesis Examiners' Reports shall be received by the Dean Research office within two months of submission of the thesis, failing which the Dean may appoint one or more new examiner(s). The Dean Research shall ascertain the suitability of received reports, discuss the recommendations with the Dean of the School and the doctoral committee of the student and make recommendations as below (not exhaustive but Dean-research would have discretion)

- To hold the Oral Examination
- Make changes to the thesis as recommended and resubmit to the Dean Research office for further processing
- Send the thesis to additional reviewers
- Reject the thesis

XIX. Doctoral Defense

The student shall address all the questions raised by the reviewers and make revisions to the thesis. The thesis report is submitted to the doctoral committee and school Dean for forwarding to the Dean Research office. On receipt of satisfactory evaluation reports, the Dean Research 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 Doctoral committee of the student,
- b) one of the external thesis examiners,
- c) the research advisor (and co-advisor, if any).

The Ph.D. student 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 Oral Examination Committee will report the result of the Oral Examination to the Dean 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 Dean of the school shall forward the recommendation to the Research office, COE office, and Registrar's office for the 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 three hardcover copies of the thesis along with a soft copy, 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 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.

XX. Duration of Ph.D. Program

- Full time:
 - Minimum: 3 years (Six semesters)
- Part-Time
 - Minimum: 3 years (Six semesters)
- Beyond **five years (10 semesters)** of registration, the students **may** be given two more years of extension based on doctoral committee recommendation.
 - The extension shall be approved one semester at a time with a full doctoral committee review.

- The registration shall be terminated if an extension request is not received as per the time frame determined by the Dean Research office.
- The registration shall be terminated in the event the student is unable to submit the thesis even after the extension period is exhausted.

XXI. Residence Requirements

- All students 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. All full-time PhD students are expected to be working at the University until their thesis submission. The fieldwork, archiving or any other department-sanctioned work related to PhD work will fall under the residency period even if the student is not available at the University. The residency requirement for a part-time program and the Sponsored program is six months which may be spread over the tenure of the program. The student may perform part of the research work, for a period not exceeding two semesters, at institutions outside the University. The research student shall continue to be registered at the University during this period.

Students 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 the award of the degree, as laid out above.

Research students 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 Shiv Nadar IoE, for a period not exceeding two semesters, under the supervision of an Shiv Nadar IoE faculty member, whose consent shall be obtained by the student in advance. The schedule of fees for use of any Shiv Nadar IoE facilities by the student shall be determined by the Registrar.

XXII. Leave/Temporary Withdrawal

All research scholars will be entitled to personal/medical leave for 30 days per academic year (and a maximum of 14 days a semester). The student may continue to receive their assistantship. The request for personal leave should be made to the research advisor (Head of the Department in case the research advisor has not been allotted) for approval.

In case of extended absence from the University; beyond 30 days up to 60 days; the scholar must apply 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. The assistantship for the leave period beyond 30 days shall not be paid. The student continues to be registered for the semester and submit progress reports as per regulation.

A scholar may temporarily withdraw from the program for a semester on account of health or family circumstances. The withdrawal request is to be forwarded by the

Doctoral Committee and recommended by the Dean of the School to be approved by the Dean of Research. The assistantship if availed shall be put on hold for the semester. The tenure of the student shall be suitably extended. Additional semester withdrawal if recommended by the doctoral committee, shall count towards the tenure, and assistantship shall not be paid for extended semesters.

Research scholars shall be eligible for maternity leave as per prevailing UGC norms. The tenure including the unpaid assistantship term may be suitably extended. The leave shall be recommended by the doctoral committee and approved by the Dean of the school. Students shall be eligible for 15 days of paternity leave to be availed in one session.

Unauthorized absence for more than 10 days may lead to automatic termination from the program.

XXIII. Ethical Regulations

The student 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 student 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).

XXIV. Fellowship and Teaching Responsibilities

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

Continuation of the Fellowship in a subsequent semester is dependent on the satisfactory progress of the student'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 student is registered.

Shiv Nadar IoE recognizes that teaching is an integral part of the training of a Ph.D. student. Thus all students, 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 student 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.

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 IoE, 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 IoE, 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 IoE, Dadri, India. Shiv Nadar IoE 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.