



SYMBIOSIS UNIVERSITY OF APPLIED SCIENCES, INDORE

(Established by Govt. of M.P. vide Act No. 23 of 2016 & Recognized by UGC u/s 2(f) of 1956 Act)

Notification No. SUAS/RO/23/087

Dated: 11/05/2023

Subject: Policy for Ph.D. Programme at Symbiosis University of Applied Sciences.

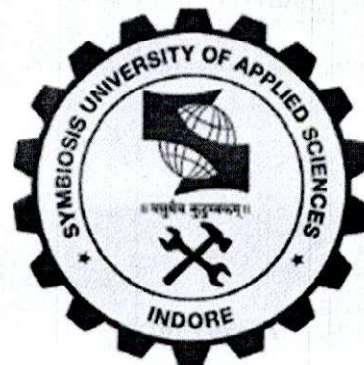
For the information of all concerned, Symbiosis University of Applied Sciences' Policy for Ph.D. Programme is hereby notified. The Policy will be as per Annexure 'A' to this Notification.

This notification will come into effect from the date of its issue.


Registrar

Copy to

1. E.A to Pro-Chancellor: for information of Pro-Chancellor
2. E.A. to Vice-Chancellor: for information of Vice-Chancellor
3. All School Directors/Program Heads
4. All Teaching and Non-Teaching Staff.
5. Chief Finance and Accounts officer
6. Head Admission and Team



Policy for Ph.D. Programme

At

Symbiosis University of Applied Sciences

In pursuance to **University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022** the **Symbiosis University of Applied Sciences** hereby proposes to enact Ph.D. Programme through research center that will benefit the University in several ways. It will help to increase the number of publications / research papers from faculty, patents from innovative research. The Ph.D. Programme through Research Center will be useful for better ranking in NAAC, NBA accreditation along with NIRF. With help in the improvement of the ranking, University will be eligible for government funded projects in future. It will be helpful for collaborations with foreign universities. Publication of advance funded projects may attract the industrial collaboration in future. The Research Fellows/ Scholars under the Ph.D. Programme at research center may be given a weekly workload for Project based learning and they may be absorbed as full-time faculty in future. Research Center will help to generate better revenue from fees. The quality of the final year projects will also improve with continuous monitoring under research cell.

Various Internal activities may be conducted under the proposed Ph.D. Programme through Research Center as under.

- a. Preparing faculties for research
 - i. Journal publication – One publication in SCI or Scopus indexed journal each year can be made compulsory and an increment can be given for the same.
 - ii. Conferences – Presentation and publication in one reputed conference each year can be made compulsory and an increment can be given for the same.
 - iii. Enrolment in Ph.D. – A short duration research methodology class can be arranged for aspiring research scholars.
- b. Preparing UG and PG students for research - A short duration research methodology class can be arranged.
 - i. Journal publication – selected students can co-author with faculties
 - ii. Conferences – selected students can present paper in conferences
- c. Classes for research – need to arrange classes for few important subjects, some inter-discipline classes need to be arranged in collaboration with other departments of the institute.
- d. Hosting conference in campus
- e. Publishing Research journal

1. RESOURCES REQUIREMENT FOR THE PROPOSED Ph.D. PROGRAMME AT RESEARCH CENTRE

a. Manpower

- i. Director Research
- ii. Supervisors (In house) – 10 as on date (Awarded Ph.D. before 2019 and 1 paper in last year)
- iii. External Experts' support/advisory
- iv. Research Associates – Few interns
- v. Staff – staff for labs

b. Infrastructure over next 3 years

- i. Journals – Elsevier or other publishers, may be shared by University
- ii. Computers – Good configuration (number depends on Research Scholars)
- iii. Software – SPSS, Turnitin, Grammarly, Mendeley, GIS etc.
- iv. Labs – Computer lab, few labs can be shared by School of Computer Science and Information Technology

c. External resource

- i. Collaboration with National universities – IIT s, IIMs
- ii. Collaboration with International universities – Australia, UK, short duration exchange programme can be done.

The proposed Fees Structure to be charged under the proposed research centre is as under.

Fees	Amount in Rs.
Registration & Entrance Test Fees	1,500
Course Work Fees	5,000
Tuition fees External Students/ Semester	40,000
Tuition fees Internal Students/ semester	30,000

The details of proposed Stipend and Rewards to be given under the research centre are as under.

Research Scholars	Stipend
20% of the admitted Scholars	Rs. 20000 to Rs. 22000

2. ELIGIBILITY CRITERIA FOR ADMISSION TO THE Ph.D. PROGRAMME

- 1) Candidates who have completed A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 60% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

OR equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year / 8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC / ST / OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- 2) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

3. Ph.D. DEGREE THROUGH PART-TIME MODE

- 1) Ph.D. programmes through part time mode will be permitted, provided all the conditions stipulated in this policy are fulfilled.
- 2) The candidate desirous of pursuing Ph.D. programme in part time mode shall submit "No Objection Certificate" from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - a. The candidate is permitted to pursue studies on a part-time basis.
 - b. His/her official duties permit him/her to devote sufficient time for research.
 - c. If required, he/she will be relieved from the duty to complete the course work.

4. DURATION OF THE PROGRAM

- 1) Ph.D. Programme shall be for a minimum duration of three (3) years Full-time, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute / Ordinance of the University; provided, however, that

the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

- 3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

5. ADMISSION PROCEDURE

- 1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines / norms in this regard issued by the UGC and other statutory / regulatory bodies concerned, and taking into account the reservation policy of the Central / State Government from time to time. Admission will be based on candidate satisfying the requirements of minimum qualifications as laid down in 2.

AND

Performance in the Ph.D. Entrance Test conducted by Symbiosis University of Applied Sciences, Indore which shall test their knowledge in the domain of business and management, general awareness, research methodology, mental aptitude, skill development and teaching aptitude. The test shall be computer based and objective.

- 2) Admission to the Ph.D. programme shall be made using the following methods:
- a) The University may admit students who qualify for fellowship / scholarship in UGC-NET / UGC- CSIR NET / GATE / CEED and similar National level tests based on an interview and/or;
 - b) The University may admit students through an Entrance Test conducted at the level of the individual the University. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject specific.
 - c) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
 - d) A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC / ST / OBC / differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
 - e) The University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
 - f) Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 30 % for the entrance test, 30 % for academic achievements & prior research experience and 40% for research proposal & the performance in the interview shall be given.

3) The University shall:

- a) Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;
 - b) Adhere to the National/State-level reservation policy, as applicable.
 - c) Maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.
- 4) Every candidate desirous of taking admission to the PhD programme should:
- a) Apply in the prescribed format along with the fees in the institution's website.
 - b) submit a tentative research proposal of 500-1000 words along with the application and the same shall be discussed in the interview.
 - c) Number of Scholars to be admitted shall be at the discretion of the university, based on the availability of the resources and academic profile of the candidates.
 - d) The selection shall be made once in a year
 - e) The selection will be based on the following criteria and the weightages assigned to them are as follows.

Criterion	Weightage (%)
Written test	30
Academic achievements & Prior research Experience	30
Research Proposal & Interview	40

5) The supporting documents at the time of admission will consist of:

- i. Certified copies of School and University degrees.
- ii. Certified copies of mark sheets or transcripts of grades obtained during the course of study for the qualifying degrees. Transcripts in languages other than Hindi and English must be submitted along with certified translations.
- iii. Copies of Work Experience Certificates (if any)

6) The areas of research Specializations offered to the scholars include

- Skill Development
- Engineering and Technology
- Management (BFSI, Retail, Logistics & Supply Chain, Analytics)
- Public Policy, Administration & Management
- Information Technology
- Data Science / Computer Science
- Interdisciplinary Sciences
- Entrepreneurship / Sustainable Management

6. ENROLLMENT AND REGISTRATION PROCESS

- a. The student shall report to the admissions office on the appointed date and complete the registration formalities that will include filling up of the requisite forms and verification of academic and other credentials. Upon completion of the same the student will be provided with a registration number which shall be his primary identity during the program
- b. The Dean Research will conduct an induction program which shall be attended by all the Research Scholars.
- c. The Dean Research shall allot the candidate a guide anytime during the coursework or upon the completion of the same. The Dean Research may initially allot an academic advisor with whom the scholar shall work closely during such allotment and the arrangement will be converted to thesis supervision unless decided otherwise by the concerned.
- d. The guide shall, in consultation with Dean Research, constitute the scholar's Research Advisory Committee (RAC); during a subsequent date after the completion of the coursework.
- e. The guide shall allot the course work to the student which shall be completed in the specified period obtaining the minimum required grades.
- f. The scholar shall be in constant communication with the guide and shall appraise the guide of his / her academic progress and take the necessary inputs to improve the same.

7. ALLOCATION OF SUPERVISORS

- 1) Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.
 - a) Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a **Research Supervisor** in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of this policy.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, The University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- 2) In case of interdisciplinary / multidisciplinary research work, if required, a Co-Supervisor from outside the Department / School / Centre / College / University may be appointed.
- 3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- 4) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in this policy are followed, and the research work does not pertain to a project sanctioned to the parent Institution / Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- 5) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under the University supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

8. PROGRAMME STRUCTURE

The Ph.D. Program has the following four components:

- Mandatory Course Work
- Comprehensive Examination
- Thesis Proposal Formulation
- Thesis Submission and Defense

Mandatory Course Work

(i) In partial fulfillment of the requirement of the PhD Program, a minimum number of Course credits are required to be earned as prescribed below. The academic calendar shall follow a semester system and each academic year will be divided into 2 semesters, in normal circumstances. The objective of the course work is to provide essential exposure to various areas of research. This basic input is followed by a series of doctoral level courses to enable the scholar to take up doctoral level independent research.

Semester	Course	Credit
I	Introduction to Research	3
	Research Methodology	3
	Research and Publication Ethics	3
	Qualitative Research	3
II	Quantitative Research	3

	Review of Literature	3
	Elective Course	3
	Skill Course	3
	Total	24
The 'elective' course is from the area of the scholars research interest		

(ii) In addition to the course work the student shall undergo training/ or are expected to attend suitable MOOCs or faculty development programs (FDP) in the following areas

- Academic and Scholarly writing
- Pedagogy course in management teaching
- Course on case writing

(iii) In addition the research scholar may also undertake any course recommended by the respective guide and Research Advisory Committee (RAC) which may be beneficial to the Scholar's area of research.

Completion of Course Work

Scholars must finish all requirements of the courses within the term in which the courses are offered. If for any reason, one is not able to complete a module or a part of it, he will be allowed to complete the same by next year. No further extension shall be granted after 2 years and failure to complete the course work in the maximum allotted time of 2 years will lead to automatic cancellation of PhD registration. However, the program duration of three years (extendable to a maximum of 5 years) will remain as it is even in case of extension is provided for the course work.

Comprehensive Examination

On completion of the course work, the scholar will appear for the comprehensive examination. The comprehensive examination at the end of the first year tests whether the scholar has obtained a satisfactory level of knowledge in his/ her field of specialization and whether s/he has satisfactorily integrated the various courses taken by him/her in the area.

Thesis Proposal Formulation

After passing the comprehensive examination, the scholar enters the thesis writing stage. The scholar first develops a thesis proposal, for which s/he identifies a research topic, gives a seminar on the thesis proposal to RAC, and gets the thesis proposal approved by the RAC.

The presentation of the proposal is to be completed within 9 months of the completion of the coursework and the comprehensive evaluation (which will be conducted within 90 days of the completion of coursework). Once accepted, the thesis proposal gets frozen. The scholar will not be allowed to change the topic of research approved in the thesis proposal. However, minor changes to the title might be effected with the permission of the RAC. The scholar is expected to complete the Introduction, Literature review and the Methodology chapters of his thesis during the submission of the thesis proposal.

Thesis Submission and Defense

On approval of the thesis proposal, the scholar works closely with the RAC on his/her thesis work. When the candidate's guide judges that the thesis is complete and meets the publication criteria, the scholar gives a seminar on the thesis work and subsequently defends the thesis orally before a thesis examination committee. The University shall appoint the research review committee, in consultation with Dean – Research, comprising the thesis

guide and other members. For a thesis to be submitted for the final evaluation the scholar has to ensure high academic standards. The minimum publication requirement for thesis submission will be 2 publication in SCOPUS indexed journals. The publication has to be related to the thesis and the same has to be certified by the research guide.

Other Issues

The respective RACs will be responsible for the monitoring of the research scholars enrolled in the area. This includes issues such as periodic performance appraisal, continuation of the fellowship, scholarship, and comprehensive examination.

The decision of the University in matters of interpretation of the rules will be final and binding on all concerned.

9. COURSE WORK – CREDIT REQUIREMENTS, NUMBER, DURATION, SYLLABUS, MINIMUM STANDARDS FOR COMPLETION, ETC.

- 1) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal / CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching / education / pedagogy / writing related to the University chosen Ph.D. subject during the University doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching / research assistantship for conducting tutorial or laboratory work and evaluations.
- 3) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

10. RESEARCH ADVISORY COMMITTEE AND IT'S FUNCTIONS

- 1) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes / Ordinances of the University for each Ph.D. scholar enrolled for the Ph.D. programme. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:
 - i. To review the research proposal and finalize the topic of research.
 - ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
 - iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- 2) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University. A copy of such recommendations shall also be provided to the Ph.D. scholar.

- 3) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

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

- 1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of **University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022**, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- 2) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the University, which shall also be open to all faculty members and other research scholars/students.
- 3) The University shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- 4) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- 5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the University. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee / faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of this policy.
- 6) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

- 7) The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

12. ISSUING A PROVISIONAL CERTIFICATE

Prior to the actual award of the Ph.D. degree, the University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of **Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.**

13. DEPOSITORY WITH INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

Sd/-
REGISTRAR

malaypookesh

TENTATIVE SCHEDULE OF Ph.D. PROGRAMME

Activity	Tentative Date
Release of Advertisement and Registration for Entrance Test	1st of June Every Year
Ph.D. Entrance Test	15th of June Every Year
Result Declaration of Entrance Test	30th of June Every Year
Registration and Conduct of Interviews	1st July to 15th July Every Year
Commencement of Ph.D. Programme	1st of August Every Year