



SVKM'S
Narsee Monjee Institute of Management Studies

Deemed-to-be UNIVERSITY

Ph.D. GUIDELINES

**NMIMS (Deemed-to-be)
UNIVERSITY**

**SVKM's
NARSEE MONJEE INSTITUTE OF MANAGEMENT STUDIES
(NMIMS)
(DEEMED-TO-BE-UNIVERSITY)**

Ph.D. GUIDELINES-July 2023

[Modified as per University Grants Commission (Minimum Standards and Procedures for the Award of Ph.D. Degree) Regulations, 2022]

SVKM's NMIMS offers Ph.D. programs in various disciplines through its constituent departments, schools and centres across the campuses.

1. Title of the programme

The degree, Doctor of Philosophy (Ph.D.) will be conferred upon a candidate by SVKM's Narsee Monjee Institute of Management Studies (NMIMS), after having satisfactorily completed the prescribed course of study and meeting other conditions laid down by NMIMS.

2. Minimum eligibility criteria for admission to the Ph.D. programme:

2.1 Candidates who have successfully completed:

A 1-year/2-semester master's degree programme after 4 year/8 semester undergraduate degree or a 2-year/4-semester master's degree programme, after 3 year bachelor's degree programme or qualifications declared equivalent to the master's degree by corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in point scale wherever grading system is followed.

OR

an 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 institution.

Further relaxation will be provided as per UGC norms.

2.2 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.

Further relaxation will be provided as per UGC norms.

A person whose M.Phil. dissertation has been evaluated and recommended for award of the degree, may be admitted to the Ph.D. programme in relevant constituent department/school/centre of SVKM's NMIMS on a provisional basis even before the viva-voice or final defence completion.

3. Duration of the programme

- 3.1** Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 3.2** Extension beyond the above limits will be at the discretion of the Vice Chancellor, to extend this period by a maximum two years on an application made by the candidate supported by the research supervisor and on the recommendation of the Dean/Director of the school/centre concerned stating valid reasons for the delay. 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. 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. 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.
- 3.3** A candidate who wants to drop out of the doctoral program due to an exigency can maintain his/her candidacy valid for one year subject to prior approval of Vice-Chancellor. The said candidate will be readmitted if she/he pays the appropriate fees at the end of the period of absence. The duration of the PhD will remain as mentioned in 3.1 and 3.2.
- 3.4** In case of student exchange in PhD programme, or if any work of the research work to be carried out at National/International Research Laboratories/Institutions or Centres of Excellence, permission may be granted after successful completion of course work, recommendation by TAC and approval by RAC.
- 3.5** If research scholar fails to complete the research work in the specified duration as per 3.1 and 3.2, he/she can re-register for the research work of the PhD programme. After reregistration, the duration of the PhD will remain as mentioned in 3.1 and 3.2.

4. Procedure for admission:

- 4.1** The SVKM's NMIMS shall decide on an annual basis through their academic bodies a pre-determined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic, research, and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library, and such other facilities.
- 4.2** The admissions will be done once in a year. SVKM's NMIMS shall notify well in advance on the institutional website and through advertisement, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the prospective candidates.

4.3 Doctoral students will be admitted through national level entrance test conducted by SVKM's NMIMS. An entrance test for each department/ school/centre will be conducted separately. The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject specific.

There will be two sections in the paper of the entrance examination- Section A will contain research aptitude/methodology and Section B will contain subject specific questions.

Students who secure 50% marks in the entrance test are eligible to be called for the interview. The Entrance Test will be followed by an interview.

An interview will be organized by the SVKM's NMIMS, wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Committee formed by competent authority.

A weightage of 70% for the entrance test and 30% for the performance in the interview will be given.

Marks of both the components (entrance test and interview) will be added and ranks will be derived on the basis of total marks. The merit list will be prepared on the basis of the ranks declared by the admission department of the SVKM's NMIMS.

4.4 Candidates qualified in NET/SET/GATE/GPAT/JEST or any other examination of the apex bodies in higher/technical professional educations such as CSIR/UGC/ICMR or other equivalent examinations are exempted from the written test conducted by SVKM's NMIMS and their selection would be through interview only.

4.5 Candidates with any research fellowship from Government agencies like UGC/ICMR/CSIR/DST/SERB/DBT are exempted from the written test conducted by SVKM's NMIMS and their selection would be through interview only.

4.6 The SVKM's NMIMS will 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.

5. Course Work

There shall be at least one academic year of stipulated course work.

5.1 Minimum number of the credits required for the Ph.D. programme course work will be 16.

5.2 The coursework will be treated as a prerequisite for registration of topic for research. A minimum of four credits will be assigned to one course on "Research Methodology" and two credits will be assigned to one course on "Research and Publication Ethics"

5.3 All Ph.D. scholars who are covered under fellowship program, irrespective of discipline, shall be required to train in teaching/education /pedagogy/writing related to their chosen Ph.D. course during their doctoral period. Ph.D. scholars may also

be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial/laboratory work and evaluations.

- 5.4 All dissemination activities including External presentations and posters, popular articles conveying scientific information (or scientific articles) to the general public, production of books, commissioned research and internal presentations shall be approved by the department/school/centre level Research Committee/Dean/Associate Dean/ Director.
- 5.5 All courses prescribed for Ph.D. course work shall conform with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They will be duly approved by the academic council.
- 5.6 Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated course, may be exempted by the department/school/centre from the Ph.D. course work subject to approval from the department/school/centre.
- 5.7 For integrated Programmes like M.Sc.-Ph.D., Ph.D. course work would be included in the course structure. In case, other school/department/centre proposes to start an integrated programmes similar guidelines for the course work would be followed.
- 5.8 SVKM's NMIMS will, at its sole discretion, decide whether the course work may be carried out by the doctoral candidates in Laboratories recognized by any University/sister institutions/ Schools within or outside this University, for which due credit shall be given to them. Individual school/department/centre may be permitted by the University to design module/s as per their requirement.
- 5.9 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the course work to be eligible to continue in the programme and submit his or her thesis.

6. Recognition and Allocation of Research Supervisor:

- 6.1 Full time Professor/Associate Professor of the SVKM's NMIMS, with at least five research publications in peer-reviewed journals (SCOPUS/WOS/ABDC listed for Pharmacy, Sciences, Engineering & Management areas, UGC CARE listed for Law and other areas) and any full time Assistant Professor of the SVKM's NMIMS with a Ph.D. degree and at least three research publications in peer-reviewed journals (SCOPUS/WOS/ABDC listed for Pharmacy, Sciences, Engineering & Management areas, UGC CARE listed for Law and other areas) may be recognized as Research Supervisor. Recognized research supervisors cannot supervise Ph.D. scholars in other institutions, where they can only act as co-supervisors.
- 6.2 Provided that in areas/disciplines where there is no or only a limited number of peer reviewed or refereed journals, the SVKM's NMIMS may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- 6.3** Faculty members who fulfil the eligibility criteria 6.1/6.2 will apply for 'Recognition as Research Supervisor' to the Dean/Director of the department/school/Centre. Dean/Director will recommend the application for the approval to the Vice Chancellor, SVKM's NMIMS. The approved Supervisors will receive a letter of recognition from office of Registrar, SVKM's NMIMS.
- 6.4** SVKM's NMIMS shall not appoint any external expert as 'Supervisor' for the students who wish to pursue Ph.D. at SVKM's NMIMS.
- 6.5** Adjunct faculty members will not act as Research Supervisors and can only act as co-supervisors.
- 6.6** Co-supervisors from within the same department/school/centre or other departments/school/centre of the SVKM's NMIMS may be permitted with the approval of the Research Advisory Committee.
- 6.7** In case of interdisciplinary/multidisciplinary research work, if required, a Co-supervisor from outside the Department/School/Centre/College/University may be appointed.
- 6.8** The allocation of Research Supervisor for a selected Ph.D. scholar shall be decided by the department/school/centre concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars.
- 6.9** 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.
- 6.10** 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/College to which the scholar intends to relocate, provided all the other conditions in these regulations are followed and the research work does not pertain to the project sanctioned to the parent Institution/ Supervisor from any funding agency. In case of relocation of a female Ph.D. scholar, the permission should be taken from Supervisor and TAC for transfer of data related with PhD programme. The scholar shall, however, give due credit to the parent institution and supervisor for the part of research already undertaken. PhD student who wants to join NMIMS or who wants to shift to other institution from NMIMS, she should take NOC from the Dean/Director/Principal or competent authority of respective school/department/college/institution.
- 6.11** In case of absence of the Ph.D. supervisor for a prolonged period of time of more than 6 months, the RAC may appoint a mentor who is qualified, with the recommendation of the Dean.
- 6.12** If supervisor leaves the SVKM's NMIMS during the PhD tenure of a PhD Scholar, he/she may be assigned a new supervisor. The decision regarding allocation of new supervisor will be taken on the basis of level of completion of research work by RAC.

7. Admission of International students in Ph.D. programme.

7.1 Each supervisor can guide up to two international Ph.D. scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.9 above.

7.2 The admission procedure for international students will be same as that of national PhD student, keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

8. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.9 and clause 7.1

9. Thesis Advisory Committee (TAC) and its functions

The Dean/Director in consultation with the Research supervisor will form a Thesis Advisory Committee (TAC) for each PhD scholar. This will be formed at the department/school/centre level.

The composition of the Thesis Advisory Committee shall be as under:

- a) Ph.D. Supervisor- Convener
- b) Co-Supervisor (if any)-Member
- c) Two experts with required expertise, at least one of them should be external-member.

The external member can be from institution/organization of repute or from industry. A Ph.D. scholar shall appear before the TAC once in six months to present the progress of his/her work for evaluation and further guidance.

Functions of TAC:

- To guide the Ph.D. to develop the study design and methodology of research and identify the courses(s) that he/she may have to do. To review the problem statement, research objectives, original contribution and application of the work.
- To finalize the topic of research, review the research work proposal/synopsis, and recommend the topic and synopsis to RAC for approval.
- To periodically review and assist the progress of the research work of Ph.D. scholar.
- Each Ph.D. scholar has to submit a progress report to research supervisor every 03 months which will be placed in TAC for review/discussion.
- Each semester, a Ph.D. scholar shall appear before the TAC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The TAC will submit its report and recommendations (if any) along with a copy of Ph.D. scholar's progress report to RAC. A copy of report and recommendations (if any) will also be provided to the Ph.D. scholar.
- To recommend submission and presentation of synopsis to RAC.
- In case the progress of the Ph.D. scholar is unsatisfactory, TAC will record the reasons for the same and suggest corrective measures. If Ph.D. scholar fails to implement these corrective measures, the TAC may recommend with specific reasons, the cancellation of the registration from PhD programme to the RAC.

- If Ph.D. scholar fails to appear before TAC, two times and no progress is observed, TAC can recommend cancellation of registration of the Ph.D. scholar from PhD programme to RAC.
- If supervisor/TAC members observe misconduct/misbehaviour of Ph.D. scholar, TAC can warn him/her recording the details of misconduct. If Ph.D. scholar repeats misconduct/misbehaviour disciplinary action can be taken as per Student resource book (SRB) against the Ph.D. scholar.

10. Research Advisory Committee (RAC) and its functions

The Research Advisory Committee has to be constituted for each PhD scholar or a group of Ph.D. Scholars pursuing research in the same domain/ department.

RAC will be specific to each department/school/Centre of the SVKM's NMIMS.

The Committee shall consist of:

(i)	The Vice-Chancellor/ The Pro-Vice-Chancellor	Chairman
(ii)	The Dean /Director/In- charge of the Department/School/Centre	Member
(iii)	Two experts in the relevant areas, not below the rank of Professor/Associate Professor, one of them may be from the industry nominated by the Vice Chancellor	Member
(iv)	Research Supervisor of the Scholar	Member
(v)	The Dean (Research)/Associate Dean (Research)	Ex-officio Member
(vi)	Special Invitee as per requirement	--

In the absence of Vice- Chancellor/Pro- Vice-Chancellor, The Dean /Director/In-charge of the Department/School/Centre concerned shall be the Chairman.

The presence of external members will be mandatory to conduct RAC meeting.

Functions of RAC:

- To review the research proposal and approve the topic of research work of PhD scholar recommended by Thesis Advisory Committee. A Ph.D. scholar shall appear before the RAC to make a presentation of the proposed research work in RAC meeting for seeking approval for registration of topic of thesis.
- To approve synopsis and submission of PhD thesis. A Ph.D. scholar shall make a presentation of his/her PhD work for seeking approval for submission of thesis before RAC.
- To recommend panel of referees for thesis evaluation.
- To cancel registration of Ph.D. scholar based on recommendation of TAC due to various reasons like unsatisfactory work, indiscipline, misconduct etc.

11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:

11.1 Upon satisfactory completion of course work and obtaining the marks/grade, the Ph.D. scholar shall be required to undertake research work and submit a draft dissertation/thesis.

- 11.2** It is required that the Ph.D. scholar will publish minimum 02 first author papers based on the PhD research work peer reviewed journal/s (SCOPUS/WOS/ABDC listed for Pharmacy, Sciences, Engineering & Management areas, UGC CARE listed for Law and other areas). A granted Indian/USA/European patent will be considered equivalent to a publication.
- 11.3** Before submitting the thesis, the scholar shall make a presentation before faculty members and other PhD scholars.
- 11.4** The PhD scholar should use the software provided by the SVKM's NMIMS to detect plagiarism in thesis to be submitted and shall follow University Grants Commission Regulations on Promotion of Academic Integrity and Prevention of Plagiarism.
- 11.5** 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.
- 11.6** 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 SVKM's NMIMS. Examiner(s) should be academicians with a good record of scholarly publications in the field or from industry with a minimum relevant experience of 10 years. Wherever possible, one of the external examiners should be chosen from outside India.
- 11.7** The viva-voce examination will be conducted by the SVKM's NMIMS Examination department. The viva-voce board will consist of Dean/Director of the school/department/centre, Research Supervisor, Co-supervisor (if any) and at least one of the two external examiners. The viva-voce examination will be open to the members of the Research Advisory Committee, Thesis Advisory Committee, SVKM's NMIMS faculty members, Ph.D. scholars and other interested experts/researchers and may be conducted online.
- 11.8** 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, SVKM's NMIMS will send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination will 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 will be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- 11.9** If both the external referees submit a negative report indicating rejection of the thesis, the candidate's viva-voce shall not be conducted and he/she shall be declared to have failed to qualify for the Ph.D. degree.
- 11.10** A work that has been rejected may be resubmitted after revision within two years of the receipt of the rejection letter and subject to the payment of prescribed examination fee.

- 11.11 The Examination department of SVKM's NMIMS will complete the entire process of evaluating of 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.
- 11.12 The candidate shall be declared eligible for the award of the degree of Doctor of Philosophy, only on the unanimous recommendations of examiners after the viva voce examination. The final Ph.D. thesis defence results will be declared by the Controller of Examinations, SVKM's NMIMS.
- 11.13 In case, the examiner is not satisfied with the performance of the PhD scholar in the viva-voce examination, the PhD scholar will be required to reappear for another viva-voce examination within a maximum period of three months. Within maximum of two months of the receipt of the communication of the decision to the candidate, the candidate should write to the SVKM's NMIMS through his/her Supervisor that he/she is prepared to appear again before the examiner for the second viva-voce examination. The re-examination of the PhD scholar i.e. second viva-voce should be held by the same examiner who had conducted the viva voce examination of the same PhD scholar before. If the PhD scholar fails to satisfy the examiner at the second viva, his/her thesis shall be rejected, and the decision will be communicated to the PhD scholar within one month of the receipt of the viva-voce report from the referees.

12. Ph.D. through Part-time Mode

- 12.1 For a part-time Ph.D. programme, candidate will submit a "No Objection Certificate" to SVKM's NMIMS from the appropriate authority in the organization where the candidate is employed, clearly stating that:
- i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
- 12.2 SVKM's NMIMS will not conduct Ph.D. programmes through distance and/or online mode.

13. Issuing a Provisional certificate:

Prior to the actual award of the degree, SVKM's NMIMS will issue a provisional certificate to the effect that Ph.D. is being awarded in accordance with the provisions of SVKM's NMIMS Ph.D. guidelines.

14. Depository with INFLIBNET

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

Ashish

Dr. Ashish Daptardar
Additional Registrar

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Dr. Ramesh Bhat
Vice Chancellor

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