

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

**Operational Procedures for PhD Programme (School of Business Management)**

**1. COURSE WORK**

- Attendance norms will be applicable for the PhD course work as per SVKM's NMIMS rules. Ph.D. scholar who is unable to meet attendance requirement (80%) for each course will not be eligible to appear for term end examinations (TEE).
- The course work examinations will be conducted by concerned school/department/centre of SVKM's NMIMS as per approved teaching scheme.
- Ph.D. scholar should get minimum 55% marks (ICA+TEE) and minimum 40% in TEE for each course to be declared as pass.
- Ph.D. scholar will appear for the re-examination of the respective course/s in which he/ she has failed.

If student fails to clear the course/s in re-examination, then he/she will take readmission in the next academic year.

- In addition to passing each course of the course work, the candidate must clear Comprehensive Qualifying Examination (CQE) at the end of the course work both (written and viva components independently). The candidate in either written/viva or both components of CQE will get one more chance to appear for re-examination, failing which the candidate will be de-registered from the programme and will not be able to continue in the Ph.D. programme.

**2. REGISTRATION OF RESEARCH TOPIC**

- After successful completion of Ph.D. coursework, Thesis Advisory Committee (TAC) will be constituted as per Ph.D. guidelines of SVKM's NMIMS. Mentor/proposed research supervisor/s will submit a letter to the Dean/Director for constitution of TAC in prescribed format.
- The Dean/Director will send invitation letter on school letterhead to all TAC members in prescribed format.
- After receiving acceptance from all members, the Dean/Director will approve the constitution of TAC and a notice will prepare in prescribed format (Annexure III) and a softcopy of the same will be sent to research supervisors/s and Ph. D. scholar by email.

- Ph.D. scholar in consultation with his/her proposed research supervisor (and research co-supervisor, if any) will decide upon the topic, prepare a research proposal in prescribed format. The PhD scholar will present the proposal before the TAC. Minutes of TAC meeting will be submitted to the Dean/Director in prescribed format.
- Softcopy of minutes of TAC meeting will be sent to PhD scholar by email.
- Attendance of each TAC meeting will be maintained at school/department/centre in prescribed format.
- If TAC recommends proposal to Research Advisory Committee (RAC), the PhD scholar will submit following documents to the Dean/Director of the respective school/department/centre of SVKM's NMIMS.
  - The application in the prescribed format.
  - Consent letter of proposed research supervisor (and research co-supervisor, if any) in the prescribed format.
  - A spiral bound copy of the research proposal in the prescribed format .
  - Copy of minutes of TAC meeting
  - Similarity index report of research proposal signed by the PhD scholar and proposed research supervisor (and research co-supervisor, if any)
- Once the research proposal of the PhD scholar is approved by RAC, the Dean/Director will send the minutes of RAC meeting to the Registrar, SVKM's NMIMS who will issue the letter of registration to the PhD scholar in prescribed format.
- A copy of the registration letter will be sent to Chairperson-RAC, Dean/Director, research supervisor (and research co-supervisor, if any), personal file (maintained at school/department/centre level) and examinations department.
- The date of RAC on which the research proposal is approved will be considered as date of registration for PhD programme.
- If RAC rejects the research proposal submitted by a candidate, he/she may revise the proposal by incorporating the suggested changes/propose a new topic. Such revised proposal should be recommended by TAC to seek approval in the subsequent RAC.

### **3. MONITORING PROGRESS OF PHD SCHOLAR**

- Minimum two TAC meetings in a year will be conducted for each PhD scholar.

- PhD scholar will submit progress report in prescribed format (Annexure X) to Dean/Director minimum one week before TAC meeting.
- The progress report will be placed in TAC meeting. The progress report of PhD scholar will be signed by each TAC member with date.

#### **4. CHANGE OF TITLE OF RESEARCH TOPIC**

- PhD scholar can change title of the research topic only once in the entire duration of the PhD programme.
- If PhD scholar wants to change the title, he/she will present the details in upcoming TAC meeting. If TAC recommends change in the title, then PhD scholar will write an application to the Dean/Director of the school/centre in prescribed format (Annexure XI). The application will be placed in the upcoming RAC meeting for approval.
- If RAC approves the change of title, the Dean/Director will send the minutes of RAC meeting to the Registrar, SVKM's NMIMS who will issue the letter of change of title to the PhD scholar in prescribed format (Annexure XII).
- A copy of the letter will be sent to Chairperson-RAC, Dean/Director, research supervisor (and research co-supervisor, if applicable), personal file (maintained at school/centre level), examinations department.

#### **5. SUBMISSION OF SYNOPSIS AND THESIS**

- PhD scholar wishing to submit thesis for PhD degree can do so at any time after the completion of two years from the date of registration, but in no case later than maximum duration of PhD programme as per PhD guidelines of SVKM's NMIMS.
- If TAC recommends submission of synopsis and thesis to Research Advisory Committee (RAC), the PhD scholar has to submit the following documents to the Dean/Director of the respective school/department/centre.
  - The application in the prescribed format
  - A spiral bound copy of the synopsis in the prescribed format
  - Copy minutes of TAC meeting
  - Similarity index report of synopsis signed by the PhD scholar and research supervisor (and research co-supervisor, if applicable)
- PhD scholar will present the research work before RAC for approval of submission of synopsis followed by thesis.

- If RAC approves submission of synopsis and thesis, PhD scholar has to submit synopsis followed by thesis within 03 months. In case, PhD scholar fails to submit the thesis within 03 months' time, he/she has to take permission from Vice Chancellor for the extension of time for the submission. The maximum duration for submission of thesis will be 06 months from the date of RAC approval for thesis submission.

- The research supervisor (and research co-supervisor, if any) will submit a list of 10 examiners with their brief CV to RAC for consideration and approval.

Examiner(s) should be academicians with a good record of scholarly publications in the field from highly reputed institutions or from industry with a minimum relevant experience of 10 years and PhD degree. Out of the 10 examiners, 04/05 may be from out of state, 04/05 from within the state, and 02 may be from outside India/industry.

## **6. SUBMISSION OF SYNOPSIS AND THESIS TO THE EXAMINATION DEPARTMENT**

- The school/department/centre will not forward the synopsis and thesis of the PhD scholar who has exceeded the maximum duration for completion of his /her Ph. D. as per the Ph.D. guidelines of SVKM's NMIMS.
- After approval of RAC, the synopsis along with thesis can be submitted to the Controller of Examinations through Dean/Director of the school/department/centre any time after completion of two years of registration of the PhD student. .
- The Dean/Director of the respective school/centre will send the following documents in a properly labelled file to the examination department of SVKM's NMIMS per the list given below.

<b>Sr. No.</b>	<b>Particulars</b>
1.	Cover Letter in prescribed format
2.	Ph.D. course work marksheet
3.	Fees receipts for all academic years along with information about the fees paid by the Ph.D. scholar (Format enclosed)
4.	Information of the Ph.D. scholar and the research supervisor (and research co-supervisor, if any) (Format enclosed)
5.	Date of registration & thesis Submission (Format enclosed)
6.	Copy of RAC minutes of meeting for research topic approval
7.	Copy of RAC minutes of meeting in case of change in topic OR change of supervisor OR change of title

Sr. No.	Particulars
8.	Ph.D. registration letter
9.	Copy of RAC minutes of meeting for thesis submission approval
10.	List of 10 Examiners (Format enclosed) to be submitted in a sealed envelope signed by the Dean/Director and RAC Members
11.	*Copies of paper/s accepted/published by the PhD scholar and certified by the Research supervisor (and research co-supervisor, if applicable) and Dean/Director of the respective school/centre.
12.	Copies of granted patent/s certified by the Research supervisor (and research co-supervisor, if applicable) and Dean/Director of the respective school/centre.
13.	Similarity report of synopsis and thesis signed by research supervisor (and research co-supervisor, if applicable). [It is expected that similarity index should not be more than 10% ; if similarity index is above 10% then research supervisor (and research co-supervisor, if applicable) should give explanation with signature on reports]
14.	Undertaking & declaration regarding similarity index (Plagiarism Check) & also needs to mention that it is the student's own work - From the Ph.D. scholar
15.	Undertaking regarding similarity index (Plagiarism Check) - From the research supervisor (and research co-supervisor, if applicable)
16.	Student approval form for uploading of thesis filled as per guidelines of Shodhganga. In case of any deviation approval of Vice Chancellor is required.
17.	03 hard copies of Synopsis
18.	Softcopy of synopsis in PDF format
19.	03 hard copies of Thesis
20.	Softcopy of thesis in PDF format - Chapter wise.

\*The student will be allowed to submit the thesis and it will be sent for evaluation although he/she has not completed the requirement of two (02) publications/patents as per SVKM's NMIMS PhD guidelines. However, viva-voce will be conducted only after the publication requirements is fulfilled.

## 7. PUBLICATION OF THESIS

- SVKM's NMIMS may allow the student to publish his/ her thesis in the form of a book/ any other publications in case the student wishes so after obtaining No Objection Certificate (NOC).