



Sri Balaji Society's
Sri Balaji University, Pune
UNIVERSITY FOR OPPORTUNITIES

• Discipline • Dedication • Determination

Sri Balaji University, Pune

Doctor of Philosophy (Ph.D.)

(Ph.D. Handbook)



**Research & Development Cell,
Sri Balaji University, Pune**

Notification No - (BLANK) Dated (BLANK).

Sub: Sri Balaji University, Pune [Doctor of Philosophy (Ph.D.) Programme Rules

It is hereby notified for the information of all parties concerned, that as per the decision taken by the Authorities of Sri Balaji University, Pune (SBUP), the following Rules pertaining to the regulation of the Doctor of Philosophy (Ph.D.) Programme of SBUP, for the years 2023 and later, have been approved and have been brought into force from date (BLANK).

Sri Balaji University, Pune [Doctor of Philosophy (Ph.D.)] Programme Rules will be effective from the date of publication of this Notification.

Authority: Resolution No (BLANK). Dated (BLANK)

Sd-x-x-x

Registrar, Sri Balaji University, Pune

Date –

Copy to:

- The Hon'ble Chancellor, Sri Balaji University, Pune
- The Hon'ble Vice Chancellor, Sri Balaji University, Pune
- The Head, Research & Development Cell, Sri Balaji University, Pune
- Dean, Sri Balaji University, Pune
- Dean, Management, Sri Balaji University, Pune
- Directors, BIMM, BITM, BIIB and BIMHRD,
- Principal, Schools of BBA, BBA MBA, BA, BCA, BSL, BCS, B.Sc. (Actuarial Science)
- Principal, BCACS, BLC and BJCACS

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Sri Balaji University, Pune hereby makes the following guidelines for the Ph.D. Programs being offered at the University

1. Introduction

1.1 Short title and Commencement: Sri Balaji University, Pune (SBUP) is one of the topmost institutions for Management. The following rules and regulations have been created for the effective and efficient management and supervision of the work and activities related to the Ph.D. Program of SBUP and apply to all Research Scholars who have been enrolled for the Ph.D. Program of SBUP. Sri Balaji University, Pune offers Research programs leading to the award of the Doctor of Philosophy (Ph.D.) degree in the following subjects in the Faculty of Management:

- a) **General Management**
- b) **Marketing**
- c) **Finance**
- d) **Human Resource Management**
- e) **International Business**
- f) **Systems and IT**
- g) **Business Analytics**
- h) **Supply Chain & Operations**

For the above, SBUP has created and notified the Rules for its Ph.D. Program for and from the academic years of 2023 onwards. These rules may be called the Rules for the Sri Balaji University, Pune [Doctor of Philosophy (Ph.D.) Program], these rules shall come into force with effect from the year 2023. These rules shall supersede all the corresponding earlier rules of the Ph.D. Program of SBUP and any dispute or matter arising out of these rules shall be limited to the exclusive jurisdiction of the Hon'ble District Court of Pune only.

1.2. They shall apply to every constituent Institutes/Schools/Departments of Sri Balaji University, Pune.

1.3. They shall come into force from the date of their publication in Sri Balaji University, Pune regulations.

1.4. Sri Balaji University, Pune herein after referred to as 'SBUP' for these Rules.

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2. Categories of Ph. D. Candidates

2.1 Full-time Candidates

This program is for young, fresh Management graduates having post-graduate degree (MBA or equivalent) or Diploma (PGDM) holders having their post-graduation approved by the Association of Indian Universities (AIU), New Delhi. This program is normally to be completed in 3 (three) years including coursework and its examination candidates who are interested in full-time Ph.D. under Jr. Research Fellowship will have to appear for the

test/interview. On clearing the test/ interview, candidate will be offered a fellowship which would be in the range of ₹ 40,000/- (Forty Thousand) to ₹ 60,000/- (Sixty Thousand) per month, besides an annual contingency grant of ₹ 30,000/- (Thirty Thousand) for attending conferences, etc. These scholars will be working full-time for their research program. During this period, they will assist the senior faculty in conducting in their academic duties at SBUP, besides continuing their research (**Annexure 34**). These scholars may be offered suitable positions in the University after completing their Doctoral degree (Ph.D.). The candidates who are already postgraduates with some Industrial or Academic experience or the candidates who are expected to complete their Post-Graduation before appearing for the SBUP PET Test can also apply.

2.2. Part-time Candidates

2.2.1. Industry-sponsored Ph.D. scholars:

The corporate leaders who have to deal/delve into and resolve the practical problems of the industry must be encouraged and provided opportunities to undertake Ph.D. studies on major issues confronting them professionally. It will automatically promote industry-academia collaboration which is the need of the hour. Flexibility, where necessary will be catered for, without compromising the cardinal principles of Ph.D. studies. This will also directly contribute to the delivery of post-doctorate deliberations thereby increasing the richness/validity/relevance to academics as well as problem-solving exercises in industry globally. However, making a separate group for industry-sponsored Ph.D. scholars does not mean any compromise on rules and regulations studying under SBUP. These candidates are required to submit documents, (**Annexure 01 and 02**) confirming NOC from their respective organizations for them to pursue Ph.D. in Sri Balaji University, Pune.

2.2.2. Ph.D. Scholars from other educational institutes:

Research scholars who hold full-time jobs in educational institutes and are permitted by their respective organizations to pursue their Ph.D. with SBUP may join as part-time research scholar. These candidates will pursue research under the supervision of SBUP's Research Supervisor and complete the mandatory credit requirements as laid down for coursework. These candidates will follow all the rules and regulations of the Ph.D. program in letter and spirit. However, the employer of such candidates should ensure to relieve the candidate to complete the course work. Also, a no-objection certificate must be submitted from his/her employer.

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3. Eligibility criteria for admission to the Ph.D. program:

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. program:

3.1 Eligibility criteria for admission:

Candidates for admission to the Ph.D. program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale

(or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree 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 assuring quality and standards of educational institutions.

A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those applicants belonging to SC/ST/OBC (non-creamy layer) / Differently Abled and other categories of candidates as per the policy of Government of Maharashtra from time to time, or for those who had obtained their Master's degree before 19th September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever the grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

3.2 Formation of a Corporate Research Batch Unit for the conduct of utility based research

To ensure that the utility-based research undertaken by experienced corporate managers with a minimum service of 15 years in the various domain areas/specializations in management, like Marketing, Human Resources, Finance, Business Economics, International Business, Information Technology, etc., a new batch of corporate researchers will be formed. The co-supervisors for these corporate researchers may also be from Industries. This will be a unique and novel experience in the corporate research field. The mode of conduct of the doctoral research program and the related course work will also be modified wherever necessary, for example, the corporate leaders need not frequently come to the college but our faculties may be visiting cities where the number of registered corporate researchers is more.

3.3 Submission of Consent letters for Candidates applying as external candidates

The candidates working in organizations and applying as part-time external candidates will have to submit a consent letter from the respective organization.

3.4 Qualifications regarding Candidates who are members of ICAI, ICSI and ICWAI

Candidates who are members of the Institute of Chartered Accountants of India (ICAI), Institute of Company Secretaries of India (ICSI), and The Institute of Cost Accountants of India (Erstwhile Institute of Cost and Works Accountants of India (ICWAI), their qualifications will be considered as on par to Post Graduate qualifications for Ph.D.

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4. Duration of the Programme

A researcher registered for Ph.D. program can submit his/her thesis after three years post completion of coursework. The registration will remain valid for a maximum period of 5 year Ph.D. program shall be for a minimum duration of three years, including course work, and a

maximum of five-year Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statutes/Ordinances of Sri Balaji University, Pune. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of one year for a Ph.D. in the maximum duration.

Table:1 Timeline of the Course/Course Schedule

| Details | Full-time Ph. D. Students | Part-time Ph. D. Students |
|--|--|--|
| Course Work | 1 Semester | 1 Semester |
| Submission of Research Proposal (Non-exempted candidates) | 2 months after completion of the Course Work | 3 months after completion of Course Work |
| Submission of Research Proposal (Exempted candidates) | Within 6 months of the date of provisional admission | Within 6 months of the date of provisional admission |
| Extension for submission of Research Proposal | Additional 1 month | Additional 3 months |
| Minimum Duration for Submission of the Thesis | 03 years including Coursework | 03 years including Coursework |
| Maximum duration for submission of the Thesis | 06 years including Coursework | 06 years including Coursework |

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5. Procedure for admission (Admission Process)

5.1 SBUP - PET (Ph.D. Entrance Test)

Sri Balaji University, Pune shall admit Ph.D. students through an Entrance Test (SBUP - PET) to be conducted at the level of the University. The test will be a 100-question computer-based online MCQ Test of which, 50% of the test will be based on Research Methodology and the balance 50% will be based on Specific Domain selected by the scholar.

5.2 Notification regarding SBUP PET Entrance Test and Procedure

The University shall:

5.2.1 Decide on an annual basis through their academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available research supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in Para 6.5).

5.2.2 Notify well in advance on the University website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria

for admission, the procedure for admission, examination centre where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.

5.2.3 Adhere to the State-level reservation policy, as applicable.

5.3 Admission to be based on criteria notified by SBUP

The admission shall be based on the criteria notified by Sri Balaji University, Pune keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned from time to time.

5.4 Procedure for Admission

5.4.1 Announcement of Admission:

- The candidate has to fill a form (online) along with a fees of Rs. 1500/-.
- Based on the online application form with uploaded documents, the R&D Cell informs the candidate regarding their eligibility for appearing for the SBUP-PET examination.
- Upon confirmation of eligibility for appearing SBUP-PET examination, online payment of Rs. 3,500/- (Rupees Three Thousand Five Hundred only) be made.
- In case the candidate is not shortlisted or voluntarily opts out of the admission process, the payment for SBUP_PET examination will not be refunded.
- After receipt of the exam fee the candidate can appear to SBUP-PET examination

5.4.2 An Entrance Test shall be conducted with qualifying marks of 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject-specific. The Entrance Test shall be conducted at the centre(s) notified in advance (changes of Centres, if any, also will be notified well in advance) at the level of the University as mentioned in clause 1.2; and

5.4.3 An interview/viva-voce to be organized by the constituent Institutes/ Departments of SBUP as mentioned in clause 1.2 where the candidates are required to discuss their research interest/area through a presentation before a duly constituted Research and Recognition Committee at the University departmental level.

5.4.4 Exemption from the SBUP-PET Written Test will be granted for Candidates who have 1) Written and have received Qualification Certificates from UGC/CSIR (JRF) NET/SET/SLET/GATE/Research Fellowships of Central or State Government Departments/Agencies as approved by the regulatory bodies. 2) Candidates DST-INSPIRE fellowship. 3) Candidates with DBT/JRF. 4) Candidates who have an M. Phil Degree and were admitted to the said program through a written test. The Candidates who have been exempted from the SBUP-PET Written Test will have to attend a Personal interview for admission to the SBUP Ph.D. Program.

5.5 Qualifying criteria for admission

The interview/viva voce shall also consider the following aspects, viz. whether:

5.5.2 The candidate possesses the competence for the proposed research;

5.5.3 The research work can be suitably undertaken at the constituent institutions/departments.

5.5.4 The proposed area of research can contribute to new/additional knowledge.

5.6 Maintenance of list of Ph.D. registered students

5.6.2 The University shall maintain the list of all the Ph.D. registered students on its website on a year-wise basis. The list shall include the names of the registered candidates, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrolment/registration.

5.7 Validity of registration of the Ph.D. registered students

5.7.2 Ph.D. program shall be for a minimum duration of 3 years for full-time and part-time candidates including course work, extendable to 6 years. Women candidates and candidates with disability of more than 40 percent may be allowed a relaxation of two years for a Ph.D. in the maximum duration, subject to the approval of the RAC, SBUP.

5.8 Cancellation of registration of the Ph.D. registered students

Registration for the Ph.D. Candidate shall stand cancelled:

5.8.1. If the candidate fails to complete the coursework within the specified time limit (within the 1st year of admission) the registration will stand cancelled.

5.8.2. If the candidate fails to gain approval for the submitted research proposal within 1 year of admission, registration will be automatically cancelled.

5.8.3. In case the research scholar fails to submit 2 consecutive half-yearly progress reports or if 2 progress reports are unsatisfactory or if the candidate does not appear in any annual presentation, then the registration may be cancelled on the grounds of non-compliance. However, the candidate may appeal to the Hon'ble Vice-Chancellor through the research guide who will analyze the matter and will take a decision, regarding the cancellation of the registration of the candidate, which shall be final.

5.8.4. If the candidate fails to complete a thesis and submit it within the maximum stipulated period and fails to apply for an extension, registration will be automatically cancelled.

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6 Research Supervision within SBUP (6.1 to 6.9)

6.1 Any regular Professor having affiliation with the University with at least five original research papers published in reputed journals after completion of doctoral research. And/or any regular Associate/ Assistant Professor of the University with a Ph.D. degree and at least three research publications in journals after completion of doctoral research may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited

number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

6.2 Only a full-time regular teacher of SBUP can act as a supervisor. Co-supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related Institutions/ Departments with the approval of the Research and Recognition Committee.

6.3 The allocation of a Research Supervisor for a selected research scholar shall be decided by the Research Advisory Committee depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and the research interests of the scholars as indicated by them at the time of interview/viva voce.

6.4 The scholar would be allocated appropriate Research Supervisor before their coursework.

6.5 In case of topics which are inter-disciplinary nature where the Research and Recognition Committee feels that the expertise in the Institutions/ Departments has to be supplemented from outside, then it may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-supervisor from outside SBUP on such terms and conditions as may be specified and agreed upon by the consenting Institutions/ Departments/ Industry.

6.6 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor, as a Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor, as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

6.7 Change of supervisor and transfer of students:

6.7.1 Transfer of Ph.D. students from one supervisor to another can be done subject to mutual willingness by both the original and new supervisor.

6.7.2 In case of change of supervisor is proposed without the consent of any supervisor the matter shall be referred to the Research and Recognition Committee.

6.8 In case of relocation of a Ph.D. scholar, 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 these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of the research already done.

6.9 For all matters related to research supervision, apart from the above-described Rules, the decision of the Research and Recognition Committee shall be final.

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7 Ph.D. Course Work

7.1 The credits assigned to the Ph.D. coursework is 16 credits.

7.2 The coursework shall be treated as a prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, fieldwork, etc. Other courses shall be advanced-level courses preparing the students for the Ph.D. degree.

7.3 All courses prescribed for Ph.D. coursework shall conform with the credit hour instructional requirement and shall specify content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.

7.4 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-Clause 7.1 above, of the research scholar.

7.5 All candidates admitted to the Ph.D. programs shall be required to complete the course work and earn necessary minimum credits as prescribed by the Sri Balaji University, Pune during the initial one or two semester (However, the coursework will be conducted only during the first term).

7.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. program, 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 University from the Ph.D. course work. All other candidates admitted to the Ph.D. program shall be required to complete the Ph.D. coursework prescribed by the University.

7.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research and Recognition Committee and the Research Advisory Committee.

7.8 The coursework of 16 credits is compulsory as per the UGC norms. Ensure the requisite attendance (min 75 %) and completion of assignments as per the given schedule communicated by the R&D Cell of the SBUP. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work to be eligible to continue in the program and submit the dissertation/thesis.

7.9 Publications' Requirement: A minimum of two Scopus/ABDC/WoS indexed papers shall be published by the Ph.D. scholar before submission of the Ph.D. thesis for formal evaluation by external examiner

7.10 Details of course work:

Table 2: Course Work Details

| Section | Details | Number of Credits |
|----------------------|---|--------------------------|
| | 1. Research Methodology | 8 Credits |
| I | 2. Qualitative and Quantitative Techniques, Computer Applications, Research Ethics, Reviewing of Published Research in the relevant field | |
| | 1. Advanced Courses, Seminars/Workshops in the related Area | 4 Credits |
| II | 2. Literature Review/Presentation | 4 Credits |
| Total Credits | | 16 Credits |

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8 Registration

Admission to the Ph.D. Programme of Sri Balaji University, Pune (SBUP) is confirmed only on the successful completion of Course Work and approval of the Research Proposal by the Research Advisory Committee (RAC).

8.1. Research Scholars who undergo Course Work shall submit a Research Proposal (**Annexure 03**) duly recommended by his / her Research Supervisor (**Annexure 04**) within the specified period according to the Full-Time/Part-Time status of the student after the successful completion of the Course Work.

8.2. Research Scholars who have been exempted from Ph.D. Course Work shall submit a Research Proposal within six months of the date of provisional admission, duly recommended by the Research Supervisor.

8.3. In case of non-submission of the Research Proposal within the prescribed period, the Research Scholars may apply for extension in the prescribed pro-forma (**Annexure 09**). The Dean of the Faculty, on the recommendation of Research Supervisors may grant an extension for the time period requested by the candidate, according to the full-time or part-time status of the candidate. If the candidate fails to submit the Research Proposal even during the extension period, the provisional admission shall be cancelled.

8.4. The Research Proposal to be presented before the Research Advisory Committee (RAC) shall consist of the following:

- Introduction
- Review of the literature
- Research gaps
- Research questions
- Statement of the problem
- Objectives of the study
- Hypotheses (if any)
- Scope and limitations
- Methodology, tools, and techniques
- Schedule of the proposed work
- References

8.5. The Research Scholars shall submit 4 copies of the Research Proposal to the Head, R&D Cell, SBUP duly approved and signed by the Research Supervisor.

8.6. The Research Scholars shall make a presentation of the Research Proposal to the Research Advisory Committee (RAC).

8.7. The presentations of the Research Proposals shall be organized in the University by Research & Development Cell.

8.8. The RAC shall give one of the following recommendations after the presentation of the Research Proposal:

- (a) Approved
- (b) Approved with minor modifications

(c) To be resubmitted and presented after modifications

(d) Not approved

In case of (a) and (b), the date of the confirmation of registration shall be the date of the presentation, provided the Research Scholars submit the revised proposal through the Research Supervisor and the Dean of the Faculty within 15 days of the presentation (in case of (b)). In case of (c) a maximum period of six months may be granted by the RAC for the resubmission of the proposal. The registration will be effective from the date of the subsequent presentation. In case of (d) the provisional admission shall be cancelled.

In case RAC is not able to reach consensus then Dean of the concerned faculty will make the final decision after discussion with RAC.

8.9. The title and the Research Proposal will be finalized by the RAC.

8.10. The RAC will recommend whether the proposal needs to be approved by the Independent Ethics Committee (IEC) of SBUP. If recommended so, the research proposal must be submitted to the IEC for their approval. The student and supervisor can initiate their research by the time, IEC gives its recommendation, if the proposal is recommended by RAC to IEC. However, the researchers will have to follow the instructions given by the IEC of SBUP.

8.11. All the Doctoral Research proposals, which are recommended by respective RAC to IEC will be sent to the committee by SBUP and one special meeting of IEC will be called to review the ethical aspects of proposed research studies.

8.12. The recommendations of the RAC shall be forwarded to the Research and Recognition Committee (RRC).

8.13. It must be noted that the approval given by the Research Advisory Committee to the research proposal of the student leads to the confirmation of Ph.D. registration of the scholar. After payment of admission fee, provisional admission is given which is at the initial stage indicating shortlisted for admission and is not to be considered as PhD registration.

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9 The Research Advisory Committee

9.1. Constitution: There shall be a Research Advisory Committee for each Ph.D. Student. This Committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research.
- To supervise the research scholars to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- To periodically review and assist in the progress of the research work of the research scholar
- To recommend to the Research and Recognition Committee the proposals for Ph.D. topics for approval.
- To finalize the dates of pre-submission viva voce for Ph.D. research scholar
- To encourage research activities in the department.

9.2 Research Advisory Committee (RAC) (at the department level and for each Student):

The RAC will comprise of -

- The Head of the Department - Chairman and Convener
- The Research Supervisor - Member
- Two Subject Experts - Member

9.3 Bi-Yearly presentation regarding research progress work before the RAC & subsequent suggestions:

9.3.1 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The progress review reports (**Annexure 15**) shall be submitted by the Research Advisory Committee to SBUP, a copy of which will be available to the research scholars as per the proforma of the report.

9.3.2 After every progressive presentation, the Research Supervisor will prepare the minutes of meeting (MoM) and submit it to Research Advisory Committee within two days from the date of presentation.

9.3.3 In cases, where the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall suggest the improvements which would be notified by the Research Supervisor in MoM.

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10 The Research and Recognition Committee

10.1 : Research and Recognition Committee for the Ph.D. Programme of Sri Balaji University, Pune & its responsibilities:

There shall be Research and Recognition Committee (RRC) for the Ph.D. Programme of Sri Balaji University, Pune. This Committee shall have the following responsibilities:

- To recommend Ph.D. guides for approval.
- To approve the topic of thesis or dissertation in the subject.
- To recommend to the Vice-Chancellor a panel of referees for Ph.D. thesis.
- To recommend extension of Ph.D. semesters of research scholar
- To recommend extension of Ph.D. research supervisor.
- To undertake any other task in research and development matters to recommend to the higher authorities of the University.

10.2 The RRC shall have the following members –

- Dean of the Faculty - Chairman and Convener
- Two Senior SBUP Faculty Members (PhD Guides)
- Two Experts – Members

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11 Monitoring of the Progress of the Research Scholars

11.1 The Research Scholars shall register at the beginning of every semester on a specified date by filing Semester Registration Form (**Annexure 14**). Research Scholar shall be required to submit a half- yearly progress report in a specified proforma in January and July of each year, till the submission of the final Thesis (**Annexure 15**).

11.2 The Research Scholars shall present the work to the RAC, after the submission of the progress report every six months.

11.3 In case, a Research Scholars fails to submit two consecutive half-yearly progress reports and to present the work for two consecutive semesters or if the two progress reports are unsatisfactory, then the registration may be cancelled. However, in all such cases, the Research Scholars may appeal to the Vice Chancellor, SBUP through the Research Supervisor and the Dean for reconsideration. The decision of the Vice Chancellor, SBUP shall be final.

11.4 Mid-Term Review Presentations: On completion of approximately 50% of the proposed work as evident from at least one paper (published/ accepted) in peer reviewed and Scopus indexed journals/ published patents etc. the Research Scholars shall make a review presentation to the RAC. This will be arranged by SBUP on the request of the Research Supervisor.

11.5 Pre-submission Seminar Presentation: The Research Scholars shall submit a proof of acceptance/publication of at least two research papers, mentioning SBUP affiliation, in peer reviewed and indexed journals before submitting the draft thesis. At least one of the two research papers preferably be accepted/ published in journals indexed in

Scopus/SCI/SSCI/AHCI/ABDC/ABS/FT50 at the time of thesis submission. On completion of the research work as evident from above publications and after ensuring that at least two years have been completed from the date of the confirmation of registration, the Ph.D. scholar shall submit to the SBUP, through the Research Supervisors full version of the thesis, including references of the research work. The RAC, on the recommendation of the Dean of the Faculty, shall assess the work. The student will be asked to deliver an open seminar before the Committee. If the Committee is satisfied about the quality of the work and finds it suitable for submission as a Ph.D. thesis, it may advise the student to prepare a synopsis and submit six hard copies and a soft copy in pdf format after the due approval of the Head, R&D Cell, SBUP. On the other hand, if the committee is not satisfied with the quality of work done, it may recommend revision of the work on specific lines and direct the student to repeat the presentation after a specified period.

11.6 The Research Scholar, whose thesis is approved for submission, shall submit six copies of the synopsis of the Thesis to the Head, R&D Cell, SBUP so that these will be sent to the proposed examiners while obtaining their acceptance to act as examiner. The Head, R&D Cell, SBUP, on receipt of the intimation from the Research Scholar, shall take the necessary steps for the appointment of examiner.

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12 Change of Supervisors and Transfer of Students

12.1 Transfer of Ph.D. Students from one supervisor to another supervisor can be effected if mutual willingness is given by both the original and new supervisor.

12.2 In the case of a change of supervisor or transfer of candidates is proposed without the consent of any one of the parties concerned, the matter shall be referred to the RRC of the Faculty, whose decision shall be final.

12.3 Request for change of the Research Supervisor shall be entertained in the prescribed proforma (**Annexure 17**) only in the following cases:

- The Research Supervisor has left the service of the University.
- By mutual consent of both the Research Supervisor and the Research Scholar.
- In special circumstances, the change of the Research Supervisor can be approved by the RRC even without the consent of the present Research Supervisor.

12.4 The supervisors who wish to avail leave/lien/deputation beyond a period of six months shall nominate a co-supervisor in the concerned subject for the candidate(s) registered with them and the fact intimated to SBUP in advance. Student will follow the process of inclusion of Co-supervisor (**Annexures 6 & 7**) and an application with recommendation of Supervisor and the Dean of the Faculty will be submitted for the approval of the RRC.

12.5 Change of University of Research by Students: In case of relocation of a Ph.D. Student due to valid reasons, the research work can be transferred from SBUP to some other University provided that the RAC confirms that the work done till that time is less than the half of the required work for the Ph.D. topic. If a Student has finished half of the research work with SBUP then he/she will have to complete the remaining research with SBUP. The transfer request will

be recommended by the RAC of the student to the RRC for final approval. Approval by the RRC will include the transfer of the research data to the University to which the student intends to relocate provided all the other conditions in these rules are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The student will however give due credit to the parent supervisor and the institution for the part of the research already done (**Annexure 18**).

12.6 Aspirants registered with other Universities can be transferred to SBUP Ph.D. Programme, only if the student's research proposal for a Ph.D. has been approved by the statutory body of the source University and that the source University has followed the Ph.D. Admission Process and Ph.D. course work as per the University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./Ph.D. Degrees) Regulations, 2016.

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13 Conversion of the nature of the Ph.D. Course of the Registered Research scholars (Part time to Full time and Vice Versa).

13.1 A Research Scholar, registered with Sri Balaji University, Pune (SBUP) may be permitted to convert the nature of his Ph.D. Course (Full-time to Part-time), if he/she submits evidence to the SBUP University Office or the R&D Cell, SBUP, that he/she has received employment in an academic/research/ professional/technical institution/any other company/establishment, after completion of all the recruitment process formalities for the particular job position, so mentioned by the Research Scholar in his application for the process of conversion of his Full – time Ph.D. Course to Part-Time Ph.D. Course. It is to be noted, that the Research Scholar is required to pay the prescribed fee for the process of the conversion of the nature of his Ph.D. Course with Sri Balaji University, Pune (**Annexure 19**).

13.2 Similarly, conversion of the nature of the Research Scholar's Ph.D. Course (Part – Time to Full time), may be permitted if the Research Scholar has submitted evidence to the SBUP University Office or the R&D Cell, SBUP, that he is no longer working full-time with his employer (Name of his employer, Name of the Company, Establishment, etc. to be specified) with a copy of the relieving letter regarding his employment issued by his employer with his application for the process of conversion of his Part-Time Ph.D. Course to Full-time Ph.D. Course. The application once made shall be subject to further scrutiny and the final approval or disapproval by the Hon'ble Vice Chancellor, Sri Balaji University, Pune shall be communicated to the Research Scholar (**Annexure 19**).

13.3 It is to be noted that, once the application for conversion of the Ph.D. registration (Full – time registration into Part-Time and Vice Versa) is processed and approved by the Hon'ble Vice Chancellor, the change shall be effected into being and it will be permanent and no further request from the Research Scholar for any further change or modification into the above shall be honored.

13.4 The Research Scholar is to note that he/she is to submit all factual information and evidence in support of his application to the SBUP University Office or to the R&D Cell, SBUP and the same shall be subject to strict verification and scrutiny. In case if it is found that the Research Scholar has concealed or withheld any information regarding the above or has submitted false information, it will be treated as a serious offence and the Research Scholar

stands to suffer the risk of the cancellation of his/her Ph.D. Registration with Sri Balaji University, Pune.

13.5 Further, at the time of granting Part-time registration to the Research Scholar, it should be ensured that he/she is employed and the Research

13.6 Concealing factual information to get any of the above conversions is a serious offence, and the Scholar stands the risk of cancellation of registration.

13.7 The following general rules shall apply, for this purpose:

1. The Research Scholar needs to have completed at least 2 Years as a Full-time or a Part-time Research Scholar with Sri Balaji University, Pune. (This rule can be waived by the Hon'ble Vice Chancellor, Sri Balaji University, Pune if he is satisfied that there are unforeseen circumstances, that necessitate the waiving off this minimum period, subject to due scrutiny by the Research Head, R&D Cell, Sri Balaji University, Pune or any other Authority in the University, so identified by the Hon'ble Vice Chancellor.)
2. The request for the change of the nature of the Research Scholar's Ph.D. Course (Full-time to Part-time or vice versa) has to be approved and recommended by the RAC Committee of Sri Balaji University, Pune.
3. The time spent as a full-time Research scholar will be taken into account for the purpose of the minimum registration period requirement.
4. The maximum period of registration shall remain the same as that of a full-time research scholar.
5. The Research Scholar needs to furnish a NOC Certificate from his employer, in case he or she may have been offered a regular job by his employer, or a copy of his relieving letter, regarding his employment issued by his employer in case he is no longer employed, with his application for change of the nature of his Ph.D. Course (Full-time to Part-time or vice versa), to be submitted to the R&D Cell, SBUP, or to the SBUP University Office.
6. The Chairman of the RAC Committee of Sri Balaji University, Pune has to verify, whether the Research Scholar has completed the minimum requirements, regarding his Ph.D. Course at Sri Balaji University, Pune (So specified by the R&D Cell, SBUP) has been completed by the Research Scholar so that his application for change can be processed by the SBUP University Office.
7. The change in the nature of the Research Scholar's Ph.D. Course (Full-time to Part-time or vice versa) once approved by the Hon'ble Vice Chancellor, Sri Balaji University, Pune will be communicated to the Research Scholar
8. The Change, once approved shall be permanent and no further request for change or modification by the Research Scholar will be entertained by the Hon'ble Vice Chancellor, Sri Balaji University, Pune.
9. Any disputes regarding the above shall be settled by the Hon'ble District Court at Pune having jurisdiction over the District of Pune.

13.8 Discontinuation from the Ph.D. programme: During the span of the Ph.D. programme, the students may voluntarily wish to discontinue the programme due to some reasons. This requires the recommendation of the Ph.D. supervisor, necessary clearance of fee dues, if any and the official approval of the Dean of the concerned faculty (**Annexure 20**).

14 Submission of Thesis

14.1 The Research Scholar shall be required to submit the Thesis within three months of the date of presentation in which the full thesis was approved for submission. An extension of another three months may be given by the Vice Chancellor, SBUP on a formal application form (**Annexure 28**) for the scholar recommended by the Research Supervisor and Dean of concerned Faculty.

14.2 Format of the Thesis: The thesis shall be written in the specified format (**Annexure 22**).

14.3 The following documents shall be submitted by the Research Scholar at the time of submission of the thesis:

1. Thesis submission form (**Annexure 24**) signed by the scholar and the supervisor
2. Four copies of the thesis
3. Two hard copies of the synopsis
4. Soft Copies in pen drive: Entire thesis and synopsis in PDF format and Chapter-wise thesis in PDF format, all publications with the list, passport-size photograph
5. Originality report for plagiarism check signed by the Research Scholar and the Supervisor shall be included in the thesis as an annexure.
6. No fee dues from concerned Department.

14.4 The Research Scholar shall submit proof of acceptance/publication of at least two research papers, mentioning SBUP affiliation, in peer-reviewed and indexed journals before submitting the Thesis. At least one of the two research papers preferably be accepted/ published in journals indexed in Scopus/SCI/SSCI/AHCI/ABDC/ABS/FTS0 at the time of thesis submission.

15 Extension of Registration

15.1 The Research Scholar shall ordinarily complete the research work within the normal period as provided in the rules, but in genuine cases of hardship, the Dean on the recommendations of the Research Supervisor, may allow an extension of up to one year with the approval of the RRC. (**Annexure 27**) Further, if at the end of the one-year extension given by the RRC after the confirmation of registration (total 5 years for full-time and 6 years for part-time scholars), the Research Scholar is found to have completed a substantial part of the thesis or has published research papers in some refereed journals, the Vice Chancellor, SBUP on the recommendation of the Dean, may allow further extension of one year, after recording detailed and specific reasons as to why this special extension is being allowed.

15.2 Registration of a Research Scholar, who fails to submit the thesis within the stipulated period as above or who fails to apply for a grant of extension, will automatically stand cancelled. No extension beyond the total period of six years for the full-time and seven years for the part-time students after the confirmation of the registration shall be granted in any case.

16 Adherence to Ethical Conduct during Research

16.1 The Research Scholars are to ensure that they fulfil all the laws, legal regulations, codes of conduct, rules and norms regarding the research ethics in letter and in spirit, during the course of their research as a Research scholar in SBUP. The SBUP will take serious note of any report regarding any Research scholar, if the Research scholar was found to have deviated from the norms regarding ethics or was found to have conducted his/her research in an unethical way.

16.2 The Research Scholars shall check the similarity percentage using 'TURNITIN' plagiarism checking software and shall download a copy of the originality/similarity report through the software. The scholars shall also ensure that they comply with the UGC notifications/circulars issued from time to time. In case the research work of a Research Scholar is found to be borrowed from other research/sources without proper acknowledgement, credit and reference or copied verbatim suitable action shall be taken by SBUP as per its Plagiarism Policy to uphold the sanctity and integrity of the Ph.D. Research Programme and credibility of SBUP.

16.3 The Originality Report from the authentic software tool (TURNITIN) (hard copy) signed by the Research Scholar and the Research Supervisor, shall be submitted at the time of submission of the Thesis. The similarity percentage shall not exceed limit of 10%. All the Students shall comply with the "General Guidelines for Ethical Conduct in Research" (**Annexure 29**).

17 Examination

17.1 The Research Supervisor shall submit a panel of six examiners (**Annexure 30**) along with their summarized Curriculum Vitae (CV) in the area of research to the Vice Chancellor, SBUP, through the Head, R&D Cell, SBUP, while forwarding the copies of the synopsis and thesis to the Sri Balaji University, Pune. The panel must include at least 50% examiners from outside the State. The examiner must not be associated with SBUP. The Vice-Chancellor, SBUP may ask the Head, R&D Cell, SBUP to include additional name(s) in the panel of examiner

17.2 The Research Supervisor will also submit the names and CVs of two reviewers in the area of research from Universities outside India.

17.3 The Vice-Chancellor, SBUP will appoint two examiners from the panel of six, out of which generally one examiner from the state, and one from outside the state.

17.4 All three examiners including supervisor shall submit a detailed Evaluation Report in the prescribed proforma (**Annexure 32**) within eight weeks from the date of the receipt of the Thesis. The assessment report will clearly indicate whether:

1. The Thesis is recommended for the award of a Ph.D. degree.
2. The Thesis is recommended for the award of a Ph.D. degree after minor revision.
3. The Thesis be revised.

4. The Thesis is rejected.
5. They recommended the Thesis for publication Yes/No/After modification
6. They have any questions that he/she may like the Research Scholar to answer in the viva-voce, in a separate envelope.
7. In case an examiner recommends revision of the Thesis, he/she shall also indicate whether the revision suggested requires:
8. Substantial changes in the Thesis before it can be accepted for a Ph. D. degree.
9. Minor additions or alterations in the Thesis before its acceptance.
10. The examiner may indicate whether he/she would like to re-examine the Thesis after the revision.

17.5 The reports of the examiners (excluding the questions suggested for viva-voce) will be opened by the Head, R&D Cell, SBUP.

17.6 In case both examiners recommend rejection, the Thesis shall be rejected.

17.7 In case one out of the two examiners rejects the Thesis, it will be sent to a third examiner (appointed by the Vice-Chancellor, SBUP) for evaluation. The Thesis shall be accepted only when at least two examiners approve it.

17.8 In case an examiner recommends modification to the Thesis, the Research Scholar shall carry out the necessary revision/modification as suggested by the examiner before the case is processed further.

17.9 The Research Scholar, who is required to re-submit the Thesis, must do so within one year from the date of receipt of the examiner's comments by the University unless an extension is specially given by the Dean. A re-submitted Thesis shall be examined by the same examiner who had recommended re-submission unless the examiner is unable to, or declines to do so.

17.10 Out of two names of the reviewers of the thesis is to be from a foreign University, the Vice-Chancellor, SBUP will select one name and the thesis will be sent to him/her for review. The format for the review by the thesis reviewer is given in the Annexures. The review comments must be received from the reviewer in eight weeks of the receipt of the thesis. These review comments will be sent to the Supervisor and the Student and will be discussed at the time of the viva voce of the student.

17.11 The Viva-Voce examination shall be compulsory for all the Research Scholars and shall be conducted by the RRC Committee Members as far as possible within two months of opening the reports. The following shall be required to attend the Viva Voce examination:

1. Dean of the Faculty or his / her nominee- Chairman and Convener
2. Any one of the reviewers of the thesis

17.12 There shall be an open defense Viva-Voce examination conducted at the University. The Viva Voce must be conducted within two months of the opening of reports.

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18 Depository with INFLIBNET

18.1 Following the successful completion of the evaluation process and the award of the Ph.D. Degree, an electronic copy (PDF File) of the Ph.D. thesis will be submitted to the INFLIBNET

for hosting the same so as to make it accessible to all Institutions/Colleges.

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19 Award of Degree

19.1 The Committee under the Chairpersonship of the Dean shall give final recommendations for the award of a Ph.D. degree on the basis of performance in the viva-voce examination and the examiners' reports. Their recommendations will be sent to the Vice-Chancellor, SBUP for approval for the award of a Ph.D. degree, in his/her capacity as Chairperson of the Academic Council.

19.2 The Registrar shall publish the result and issue a provisional degree in accordance with the decision of the Chairperson, Academic Council.

19.3 Along with the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of UGC Minimum Standards and Procedure for the award of Ph.D. Degree, Regulation 2016.

19.4 In case there is a complaint of plagiarism or any other serious academic misconduct and if upon investigation by a committee duly appointed by the Vice-Chancellor, SBUP, and the complaint is found to be correct, the Ph.D. degree already awarded shall be withdrawn. In case of any dispute or discrepancy, the decision of the Vice-Chancellor, SBUP shall be final and binding.

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20 Interpretation and Power to Modify

20.1 Any doubt or dispute arising out of the interpretation of these Regulations shall be referred to the Vice Chancellor, SBUP whose decision shall be final and binding.

20.2 Notwithstanding all that has been stated in the above Rules, Sri Balaji University, Pune shall have the right to modify any of the above regulations from time to time with prospective or immediate effect.

20.3 All Research Scholars shall be governed by the Code of Conduct and general rules and procedures framed by the Sri Balaji University, Pune, and in force from time to time.

20.4 Redressal of Dispute: In case the Research scholar is unable to do his Research work due to any dispute between a Research scholar and his guide, or the dispute regarding admission or any other dispute concerned with research work, the Redressal Committee consisting of the following, shall examine the matter after hearing both the parties and report to the Vice-Chancellor, whose decision shall be final. The members of the Redressal Committee shall be as follows –

- The Dean of the concerned faculty - Chairman
- One subject Expert, to be nominated by the Vice Chancellor - Member
- One member of the Academic Council nominated by the Vice Chancellor - Member
- Registrar - Member Secretary

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21 Fee Structure

21.1 Details regarding fees to be paid for SBUP PET Exam and Coursework

| Sl. no. | Details regarding fees to be paid | Fee amount |
|--------------------------|--|------------|
| 1 | Application fees for SBUP - PET (Note: Non Refundable) | ₹ 1500/- |
| 2 | SBUP PET Examination Fees (Upon confirmation of eligibility) | ₹ 3500/- |
| | | |
| 3 | Ph.D. Coursework and Coursework examination fee | ₹ 10000/- |
| Total amount to be paid: | | ₹ 15,000/- |

21.2 Details regarding fees for the Ph.D. Programme in SBUP

| Sl. no. | Details regarding fees to be paid | Fee amount |
|---------|---|-----------------------|
| I | Security Deposit (Refundable after awarding of Ph.D.) | ₹ 10,000/- |
| II | Up-to 3 years | ₹ 60,000/- (Per year) |
| III | Year 4 | ₹ 65,000/- |
| IV | Year 5 | ₹ 70,000/- |
| V | Extended Year 6 | ₹ 75,000/- |
| VI | Extended Year 7 | ₹ 80,000/- |

A Scholarship of 50% in fees will be offered to the serving or retired personnel from the Indian Army/ Navy/ Air Force (after providing the required evidence). However, they will have to pay the other fees namely the Application fee, SBUP- PET fee, Course Work fee, Course Work Exam fee, and thesis examination fees.

21.3 Details regarding fees for N.R.I.s (Non Resident Indians) and international students

| Sl. no. | Details regarding fees to be paid | Fee amount (USD) |
|---------|---|---------------------|
| I | Security Deposit (Refundable after awarding of Ph.D.) | \$ 500 |
| II | Up-to 3 years | \$ 2,500 (Per year) |
| III | Year 4 | \$ 2,750 |
| IV | Year 5 | \$ 3,000 |
| V | Extended Year 6 | \$ 3,250 |

| | | |
|----|-----------------|----------|
| VI | Extended Year 7 | \$ 3,500 |
|----|-----------------|----------|

The research scholars of the Ph.D. program have to pay the fees annually. However, Ph.D. candidates will have to pay ₹ 25,000/- as the examination fee at the time of submitting the thesis. For NRIs and international students, the examination fee at the time of submitting the thesis will be USD 2,000. This will include the cost of the evaluation, viva voce examination cum open defence, and the award of the degree for the Ph.D. program.

ANNEXURES

Annexure no: 01

SRI BALAJI UNIVERSITY, PUNE
TEMPLATE OF THE CONSENT LETTER FROM THE
ORGANIZATION OF THE PART-TIME EXTERNAL CANDIDATE
WORKING WITH OTHER ORGANIZATION

On the official letterhead of the organization

To whomsoever it may be of Concern:

This is to certify that (Name of the Employee & ID) is a bonafide employee of (Name of the Company/Organization) and has currently working with us since (Date of Joining to Current date). His/her designation is (Name of the designation).

This certificate is being issued on his/her request to enable him/her to pursue a Ph.D. in (Faculty and Specialization) from Sri Balaji University, Pune and is issued solely for his/her personal requirement and the (Name of the Company/Organization) shall not be responsible for its improper use.

We do not have any objection to the decision of (Name of the Employee & ID) to pursue a Ph.D. at Sri Balaji University, Pune and we wish him/her with our best regards for the successful completion of his/her Ph.D. Course.

For (Name of the Company/Organization)

S/d

(Name of the Authority of the Company/Organization)

Annexure no: 02

SRI BALAJI UNIVERSITY, PUNE

NO-OBJECTION CERTIFICATE FOR PH.D. CANDIDATES

(Employed only) (This should be typed on the letterhead of the employee's organization)

To

The Name of the Authority/Employer

Address of the Authority/Employer

Sub.: No-Objection Certificate for pursuing Ph.D. at Sri Balaji University, Pune

Dear Sir,

We have no objection if Mr. / Ms.....an employee of our organization/ institute (Name of the organization/ institute) is admitted to the Ph.D. Programme in the Faculty of (Name of Faculty) at Sri Balaji University, Pune. It is certified that he/ she has completed... .. year(s) of service in our organization/ institute as a regular employee.

We shall give him/her leave of absence at our organization to attend classes of course work of the Ph.D. programme at Sri Balaji University, Pune.

Signature & Seal of Head of the Organization/ Institute

Two more forms to be added –

T.C. Certificate for Ph.D. Student

Migration Certificate for Ph.D. Student

Annexure no: 03

SRI BALAJI UNIVERSITY, PUNE

Ph.D. ADMISSION YEAR -

PROPOSED RESEARCH IDEA:

| | |
|-------------------------------|--|
| Name of the Applicant | |
| Faculty | |
| Sub-stream | |
| Specialization | |
| Proposed Research Idea | |

Description: Please write the proposed research idea in not more than 500 words. This is a brief description of the research plan which should include:

Research Background.

Need for doing this research.

Proposed approach for doing research.

Benefit expected from Research outcome.

Annexure no: 04

SRI BALAJI UNIVERSITY, PUNE

CONSENT BY RESEARCH SUPERVISOR

To

The Head, R&D Cell, Sri Balaji University, Pune

Respected Sir,

I (Name of the Research Supervisor) willing to supervise the Research Work of the Research Scholar (Name of the Scholar) (SBUP Ph.D. ID -) on the subject of (Name of the Subject) if he/she has been Registered for Ph.D. in the Faculty of (Name of the Faculty).

To the best of my knowledge, the Subject chosen by the Student has not been studied so far, in any University.

The subject selected by the student will lead to a valuable contribution.

I have (Number of) Ph.D. Students to supervise and (Number of) Ph.D. Students to co-supervise who have been formally registered under my supervision before giving consent to this Candidate (Name of the Candidate).

I hereby declare that the Candidate is not a close relation of mine, as per the Ph.D. Rules of Sri Balaji University, Pune.

I also would like to make these clarifications –

Is the Student selected as JRF (Junior Research Fellow)? (Yes/No)

If the Student was selected as JRF, have the necessary resources for the conduct of research (Office space, desk/chair, other amenities) been made available for the student, post discussion with the Head, R&D, Cell, Sri Balaji University, Pune? (Yes/No)

If the Student was selected as JRF, has he/she made any special or additional requests/requirements for the conduct of his/her research at Sri Balaji University, Pune (Yes/No)

If Yes, please mention the requirements:

Name, Designation and Address of Research Supervisor:

Signature of the Research Candidate:

Signature of Research Supervisor: (Name and Designation)

Contact Number:

Email:

Date:

Place:

Certified that the available research faculties at Sri Balaji University, Pune will be extended to (Name of the Candidate) for his/her research work if he/she is Registered for Ph.D. at Sri Balaji University, Pune

S/d -

Dean of the Faculty, Sri Balaji University, Pune:

Head, R&D Cell, Sri Balaji University, Pune:

SRI BALAJI UNIVERSITY, PUNE

**PROCESS FOR THE RECOGNITION OF NEW CO-SUPERVISORS OF
SBUP FOR INTERDISCIPLINARY AND SPECIALIZED DOMAIN
RESEARCH.**

Respected Sir,

As per the UGC letter, D.O. No. F.10-6/2011(PS) Misc. dated July 6, 2015, only regular Faculty members of SBUP can supervise Ph.D. Students. The mandate of recognizing only regular faculty members as Research Supervisors must not constraint the evolution of the intellectual capital of SBUP. SBUP encourages doctoral research in interdisciplinary areas and niche areas like Design, Fashion, Media and other In that context, we value the support of external supervisors, who are experts in specific areas and would make valuable contributions to the research process and outcome.

From this perspective, we propose recognition of the external experts as Co-Supervisors for supervising Ph.D. students so that they accomplish exemplary Doctoral Research in specialized disciplines. The following process of recognition will be followed.

Eligibility

Eligibility for Co-Supervisor remains the same as the eligibility of Supervisor as stated in SBUP Ph.D. Regulations 2023 and in subsequent Regulations as and when issued by the University, it may be noted that at a time, the number of Ph.D. students under a Supervisor/Co- Supervisor will be as per Ph.D. Regulations 2016 of the UGC, clause 6.5.

Process

The following steps must be followed by different stakeholder

The Supervisor shall submit a formal recommendation letter regarding the need for a Co-Supervisor with specialization duly recommended by the Dean of the Faculty to the Head, R&D Cell, SBUP.

The Head, R&D Cell, SBUP will submit the following documents to the RRC of the respective faculty for approval:

Recommendation for Co-Supervisor by the Supervisor of Student

Application for Recognition by the prospective Co-Supervisor

The Head, R&D Cell, SBUP will formally inform the decision of RRC to the prospective Co-Supervisor and obtain his/her consent if the RRC has accepted the application.

Annexure no: 06

SRI BALAJI UNIVERSITY, PUNE

**REQUEST FOR INCLUSION OF CO-SUPERVISOR. TO BE FILLED
BY THE RESEARCH SUPERVISOR**

| Ph.D. Student's Details | |
|--|--|
| Name | |
| PRN | |
| Faculty | |
| Date of Provisional Admission | |
| Date of Registration | |
| Topic of Ph.D. Work | |
| Name of the Proposed / Approved Supervisor | |
| Reason for the inclusion of a Co-Supervisor (Give one page justification) | |

| Recommended Co-Supervisor | |
|--|--|
| Name | |
| Designation | |
| Affiliation | |
| Contact Phone No. | |
| Contact Mobile No. | |
| Contact Email Id | |
| Contact Address | |
| CV attached (Yes/No) | |
| He/she is a supervisor in any other universities/institutions? | |
| If Yes, Enter details regarding the universities/institutions. | |

| | |
|--------------------------------------|--|
| Signature of the Research Supervisor | |
| Date | |
| Place | |

| | |
|-------------------------------------|--|
| Recommended to SBUP | |
| Dean of the Faculty | |
| Date | |
| Place | |
| Recommended to the RRC, SBUP | |
| Head, R&D Cell, SBUP | |
| Date | |
| Place | |

Annexure no: 07

SRI BALAJI UNIVERSITY, PUNE

APPLICATION FOR RECOGNITION AS A RESEARCH CO-SUPERVISOR

Name of the applicant:

Applied for the Faculty of:

| Sl. No. | Name of the Faculty | Choice selected |
|---------|---------------------------|-----------------|
| 1 | Marketing | |
| 2 | Finance | |
| 3 | Human Resource Management | |
| 4 | International Business | |
| 5 | Systems and IT | |
| 6 | Business Analytics | |
| 7 | Supply Chain & Operations | |

Note: Please tick mark in the column, indicating choice of Faculty

Basic information of the Applicant:

| | |
|--|--|
| Specialization: | (Please mention the name of the Specialization you wish to work in as the Co-Supervisor) |
| Name (In BLOCK Letters): | |
| Date of Birth: | |
| Nationality: | |
| Gender: | |
| Details regarding employment: | (Please mention whether you are currently employed, and if yes in what capacity and what post you are holding at the time of sending the application, date of appointment (whether permanent, on probation or temporary) |
| SCST/OBC/Physically Handicapped: | (If yes, please support your response with the Certificate) |
| Address for correspondence (Permanent): | |

| | |
|--|--|
| Address for correspondence (Temporary/Current): | |
| Phone no: | |
| Email id: | |

Academic qualifications:

| Examination | Year of Completion | Main Subject(s) | Division/Grade | Marks scored (Aggregate & Percentage) | Name of the Institute | Name of the Affiliated University |
|-------------------|--------------------|-----------------|----------------|---------------------------------------|-----------------------|-----------------------------------|
| Bachelor's Degree | | | | | | |
| Master's Degree | | | | | | |
| M.Phil. | | | | | | |
| Ph.D. | | | | | | |

| | |
|-----------------------------------|--|
| Title of the Thesis | |
| Date of the award of Ph.D. | |

| | |
|------------------------|--|
| UGC-NET/SET/JRF | (Please enter details regarding qualification) |
|------------------------|--|

Teaching Experience:

| Sr. No. | Name of the University/College/Institution | Designation & Scale of pay | Nature of the Post (Temporary or Permanent) | Subjects handled | |
|---------|--|----------------------------|---|------------------|---------------|
| | | | | Under Graduate | Post Graduate |
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| 10 | | | | | |

Research publications/Papers written (In the last 05 years):

| Sr. No. | Title of the Paper | Authorship details | Names of Co-Authors (Mention if relevant) | Field or Area of the Topic | Name of the Journal where the Paper was published | Date of publication, Journal Volume No, Page No Other information | Details regarding the listing of the Journal (UGC-CARE, SCOPUS, Web of Science, etc.) | URL of the Journal (If available) |
|---------|--------------------|--------------------|---|----------------------------|---|--|---|-----------------------------------|
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| 8 | | | | | | | | |
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| 10 | | | | | | | | |

Other published literature by the applicant:

| Sr. No. | Other publications/works by the Applicant | Bibliographic identification details of the published work |
|---------|---|---|
| 1 | (If you have written, authored, or reviewed any book, book chapter, review article, or other published literature, please describe in brief here) | Please enter details regarding the title of the book, Chapter no, Publisher, Co-Authors (if any), Date of publication, ISSN/ISBN No, Page numbers, and any other relevant information |
| 2 | Same as above | Same as above |
| 3 | Same as above | Same as above |

| | | |
|----|---------------|---------------|
| 4 | Same as above | Same as above |
| 5 | Same as above | Same as above |
| 6 | Same as above | Same as above |
| 7 | Same as above | Same as above |
| 8 | Same as above | Same as above |
| 9 | Same as above | Same as above |
| 10 | Same as above | Same as above |

(Please attach copies of the above-mentioned documents as annexures with your application)

Intellectual Property (IP) (Copyrights/Trademarks/Patents etc.) created by the applicant:

| Sr. No. | IP Type (Patent, Trademark or Copyright) | Trademark/Copyright/Patent No. | Description of the IP | Date of application | Date of confirmation | Date of grant of the IP |
|---------|--|-----------------------------------|--------------------------|------------------------|-------------------------|----------------------------------|
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
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Research Project involvement of the applicant:

| Sr. No. | Description of the Research Project | Description of your Role (Project head/Field Investigator, etc.) in the Research Project | Duration of the Research Project | Details regarding sponsorship of the Research Project | Details regarding funding of the Research Project | Any other information pertaining to the Research Project |
|---------|--|---|---|--|--|---|
| | | | | | | |

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(Please attach copies of the above-mentioned documents/information as annexures with your application)

Any Academic Awards or Distinctions received by the applicant:

| Sr. No. | Name of the Award | Date on which the Award was given | Details about the Award | Authority/Entity who awarded the Award | Whether any Monetary amount was given with the Award |
|---------|-------------------|-----------------------------------|-------------------------|--|--|
| 1 | | | | | |
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Research supervision experience of the applicant:

| | | | |
|--|--|--|--|
| | Supervision of awarded Doctoral thesis | Supervision of Doctoral dissertations (under progress) | Supervision of awarded M.Phil. dissertations |
|--|--|--|--|

| Description | Details (Including number of students supervised) | Details (Including number of students supervised) | Details (Including number of students supervised) |
|--------------------|---|---|---|
| | | | |

Recognition by other Universities as a Doctoral Research Co-Supervisor:

| | | | | No of Students completed | | No of Students Pursuing |
|----------------|-------------------------------|---------------------------|--|--------------------------|--------------|-------------------------|
| Sr. No. | Name of the University | Faculty/Department | Date of Recognition (Attach Copy) | M.Phil. | Ph.D. | Ph.D. |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
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Any membership of Professional/Learned Bodies:

| Sr. No. | Name of the Body | Nature of Membership |
|----------------|-------------------------|-----------------------------|
| 1 | | |
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| 6 | | |

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Declaration & Signature of the applicant:

I (Name) hereby declare that all the above information mentioned by me in my application is correct and true to the best of my knowledge and belief.

Date:

Name and Signature:

Document confirming receipt of application of (Name of the applicant) for Ph.D. Research work Co – Supervision at Sri Balaji University, Pune.

To,

The Head, R&D Cell,

Sri Balaji University, Pune

Respected Sir,

Forwarded with the remarks that the facts stated in the above application have been verified and found correct and Institution/ Organization to whom (the Name of the applicant) is employed/working with, has no objection to the candidature of the applicant being considered for Recognition as Research Co-Supervisor at Sri Balaji University, Pune.

Head of the Department (Name of the Department of SBUP)

Date:

List of Enclosures with details

Annexure no: 08

SRI BALAJI UNIVERSITY, PUNE

**APPLICATION FOR GRANT OF EXTENSION FOR COMPLETION OF
COURSE WORK**

| | |
|--|--|
| Name of the student | |
| PRN | |
| Name of the Faculty | |
| Date of Provisional Admission to the Ph.D. Programme | |
| Dates of course work | |
| <i>Please tick the component not completed</i> | |
| Not Registered for Course Work | |
| Less than 75% Attendance in Course Work | |
| Failed in one or more written course/courses | |
| Did not do the assigned work of other components | |
| Could not complete Literature Review | |

Reason for the above:

(Please describe the reason why the coursework might not be able to be completed in time and support the reason with documentary evidences in support of the request)

Name and Signature of the Student:

Date:

Place:

Recommendation by the Research Supervisor:

Whether the Extension of (ONE/TWO/THREE Months) may be given to the student?

(YES / NO)

Name of the Research Supervisor and Signature

Date:

Place:

Approval/Disapproval by the Dean of the Faculty, Sri Balaji University, Pune

Signature and date

Approval/Disapproval by the Head, R&D Cell, Sri Balaji University, Pune

Signature and date

Annexure no: 09

SRI BALAJI UNIVERSITY, PUNE

**APPLICATION FOR SEEKING AN EXTENSION TO SUBMIT A
RESEARCH PROPOSAL**

| | |
|--|--------|
| Name of the student: | PRN: |
| Name of the Faculty | |
| Date of Provisional Admission to the Ph.D. Programme | |
| Date of Completion of Course Work | |
| Was any extension taken for completion of Coursework | Yes/No |
| If yes give details: | |
| Due Date of Submission of Research Proposal | |
| Extension requested up to (Specify date) | |
| Reason for seeking extension | |

Name and signature by the student.

Date:

Place:

Recommendation by the Research Supervisor:

Whether the extension for the submission of the research proposal be given to the student?

No: The Extension cannot be given

Yes. The extension can be given. (No. of Months) of extension is hereby given to the student

Name of the Research Supervisor and Signature

Date:

Place:

Approval/Disapproval by the Dean of the Faculty, Sri Balaji University, Pune

Signature and date

Approval/Disapproval by the Head, R&D Cell, Sri Balaji University, Pune

Signature and date

Annexure no: 10

Research Proposal (COVER PAGE) (Example)

Approved Title of the Research Proposal

Submitted to Sri Balaji University, Pune

For DOCTOR OF PHILOSOPHY

(Faculty of Management)

(NAME OF THE STUDENT)

(Ph.D. Registration Number)



Under the Guidance of

(Name of the Faculty), Supervisor,

Sri Balaji University, Pune

and

(Name of the Faculty), Co-Supervisor

(Name of the University)

SRI BALAJI UNIVERSITY, PUNE

S.NO.55/2-7, TATHAWADE, OFF MUMBAI-BANGALORE, BYPASS,

PUNE, MAHARASHTRA 411033

YEAR -

Annexure no: 11

SRI BALAJI UNIVERSITY, PUNE

RESEARCH PROPOSAL CERTIFICATE (EXAMPLE)

Research Proposal entitled "**Guidelines for Writing Research Proposal for Confirming Doctoral Programme Registration**" being submitted by Mr./Ms. **(Name of the Student)** **(Ph.D. Registration No (PRN No:)** to the Sri Balaji University, Pune for the registration of Ph.D. Degree under the Faculty of Management has been prepared as per the guidelines given by the R&D Cell, Sri Balaji University, Pune.

Signed by Research Scholar

Name of the Student PRN.

Signed by Research Supervisor

Name and Designation

Signed by Research Co-Supervisor

Name and Designation

Date:

Place:

SRI BALAJI UNIVERSITY, PUNE
GUIDELINES FOR WRITING RESEARCH PROPOSAL FOR
CONFIRMING DOCTORAL PROGRAMME REGISTRATION AT SRI
BALAJI UNIVERSITY, PUNE

Introduction

In this part, the importance of the proposed topic of research shall be given. Introduction may be written by presenting scientific facts, statistical information from authentic sources such as research papers from peer-reviewed journals, and authentic reports published by various organizations like the World Health Organization (WHO), United Nations (UN), Ministry of New and Renewable Energy Sources (MNRE) or similar. You may use the information available on the websites of various ministries of the Government of India (GoI) by giving proper references. A typical introduction can be four paragraphs long.

It is expected that; the research proposal meets the highest standards of academic writing. The research proposal shall have the following components.

Introduction

Review of Literature

Research Gaps

Research Questions

Statement of the Problem

Objectives of the Study

Scope and Limitations

Hypotheses (if applicable)

Methodology, tools and techniques

Schedule of proposed work.

References

A typical research proposal shall be 15-25 pages long. The introduction being 1-2 pages long, literature review of 3-4 pages, clear research methodology 2- 3 pages long. The rest

of the components may be presented in two paragraphs each. The list of references (20-30 in number) may be spread over 2- 3 pages.

Do not forget page numbering. However, there is no need to give any tables of contents, lists of figures, tables, or lists of abbreviations. There is no need to break the proposal into chapter. Since the research work is yet to commence, giving probable chapters of the thesis at this stage is not required. The scholars are supposed to submit five copies of spiral- bound copies of the proposal duly signed by the supervisor.

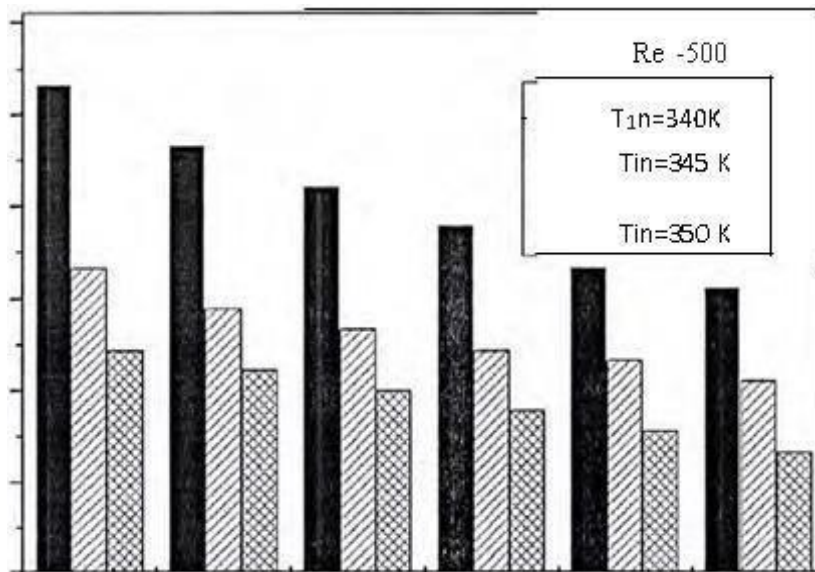
Ensure that the format of the top cover is strictly followed. The name of the student shall be as per the postgraduate degree certificate and as per the records of Sri Balaji University, Pune. The name of the married female candidate can be different from post postgraduate degree certificate in case she has given a marriage certificate/gazette declaration of change of name.

Background/Rationale

Rationale or background of work is a sub-heading in the introduction. The student is expected to build up a logical argument in this section of the research proposal. The paragraph below gives the rationale for writing a research proposal.

The purpose of writing a research proposal is to communicate your ideas of proposed research before the Research Advisory Committee (RAC) to seek its approval. The committee will assess the need for research, the originality of your ideas, your skills in critical thinking, and the feasibility of the proposed research. Hence the proposal submitted should have sufficient information about the latest happenings in the area of research, its importance, and the background. The proposal should convince the reader that, you have a good grasp of the relevant literature, you are aware of the major issues to be addressed and the methodology is sound.

The Student shall use figures, and tables to describe the facts and figures. The table captions are to be given on top of the table and figure captions at the bottom of the figures. Ensure consistency of writing captions. Further, no data shall be repeated both in tables and figures. Use either tables or figures to present the facts and figures. All the photographs, maps, and Excel plots are referred to as figures. The tables and figures must be referred to in the text of the proposal. Any table, or figure adopted from other papers must have a source mentioned below the table/ figure. Please refer to Fig 1 for citing a figure caption with a source. The source is written on the left side of the figure/ table with a reduced font size.



Particle fraction

Fig. 1. Effect of Inlet Temperature on Melting Time for Particle Fractions

(Source: Jegadheeswaran & Pohekar, 2003)

Also, write the inference you wish to draw from the above figure in 3-4 lines. The Students are advised to avoid writing any direct information available in textbooks/ reference books, websites, or reports unless analyses of the same are written and an argument is built up based on the same. In summary, use the information for building up the argument rather than merely increasing the length of your proposal.

Please refer to Table 1 for representing tabulated data. Also, ensure that for all long tables repeat the heading rows if the tables are spread over more than 1 page. Tables without proper headings may not be conveying the information properly. At times, the researchers may be tempted to present heterogeneous information in a single table, which does not serve the purpose of presenting tabulated information. The tables shall be using single spacing between the lines.

Table 1. Thermo physical Properties of PCM (RT58) and Copper

| Properties | Phase Change Material | Copper |
|--|----------------------------|--------|
| Melting temperature ($^{\circ}\text{C}$) | 55-59 | - |
| Latent heat of fusion (J/kg) | 178000 | - |
| Thermal conductivity (W/m.K) | 0.2 | 400 |
| Density (kg/m^3) | 910(solid),777 (liquid) | 8954 |
| Specific heat (J/kg.K) | 2100 | 383 |
| Dynamic viscosity (kg/m.s) | 0.0273 | - |

(Source: Jegadheeswaran & Pohekar, 2003)

It may also be noted that the researchers write the units by following SI units and there are no mistakes while typing the units. Do not forget to put zero before the decimals.

Review of Literature

This section is prepared after the candidate has studied the contemporary literature and research done in the same area as available from current research journals, published reports of the organizations, issues needing research and inquiry in any area of activity of the organization, etc. It is expected that a broad summary of the present status of work and unresolved academic issues in the area will be highlighted while giving the background of the proposed research. To identify the research gap, the candidate should refer to peer-reviewed journal latest articles from the last 4-5 year It is expected to divide the literature survey into sections and subsections. A comprehensive literature survey is helpful to gain an impression about the important aspects of the topic, identify data sources that other researchers have used, become familiar with the style of writing, identify ideas for further consideration, and identify what questions need to be asked.

It is also important to cite sources you used in your research proposal for several reasons. It convinces the reader that you have done proper research by listing sources you used to get your information. A researcher becomes a responsible Student by giving credit to other researchers and acknowledging their ideas. Citing references in the body of text also helps in avoiding plagiarism by quoting words and ideas used by other author The reader can also track down the sources you used by citing them accurately in your paper by way of footnotes, or a reference list. You must cite facts, figures, ideas, discussions, or inferences drawn by other researchers used in other publications or other information that is not common knowledge. Publications that must be cited include peer-reviewed research articles, books, book chapters, web pages, theses, etc. Preference should be given to citing articles from peer-reviewed journals. Proper credit shall be given to the original contributors by citing them. When in doubt, be safe and cite your source!

It is important (morally & legally) to acknowledge someone else's ideas or words you have used. Academic writing encourages paraphrasing information you have researched and read. Paraphrasing means re-wording something you have read into your own words. If you use someone else's words or work and fail to acknowledge them -you may be accused of plagiarism and infringing copyright. The Students are suggested to use the American Psychological Association (APA) style of referencing for citing and listing references for its simplicity and worldwide acceptance. Please ensure that everything you have cited in the text appears in your reference list given at the end of the proposal. Also, everything that appears in your reference list will have been cited in the text. Thus ensuring 100 % matching is called referencing. If the list of references includes additional material not cited in the text, then the same is referred to as Bibliography. A research proposal should have references and not a bibliography. It is the responsibility of the Student to follow and prove that he/she has followed a particular style of referencing consistently. The supervisors should ensure that the research proposal meets the standards of referencing prevailing in their discipline of studies.

Following are a few examples of citing references in the body of the text.

Multi-criteria decision-making is becoming popular in for energy projects (Pohekar, 2004). This style is to be used to cite a paper written by a single author.

Water is a necessary part of every person's diet and of all the nutrients a body needs to function, it requires more water each day than any other nutrient (Whitney & Rolfes, 2011). This style is to be used to cite two author

Deciding on a research method demands the researcher consider carefully the problem or area of investigation being researched (Watson et al., 2008). This style is to be used to cite three or more author

Resilience is seen as the ability to overcome adversary, combat stress and bounce back from hardship (Dawson, 2006; Overton, 2005). Multiple authors are to be cited by following the alphabetical order.

"The World Technology Network (WTN) exists to "encourage serendipity" -- the happy accidents of colliding ideas and new relationships that cause the biggest breakthroughs for individuals and institutions" (WTN, 2014 para. 3). This is a typical example of citing something as it is from any reference.

The Students are requested to read the detailed APA guidelines of referencing from the following weblink - http://student.ucol.ac.nz/library/onlineresources/documents/apa_supervisor_2015.pdf

Research Gaps

Identifying gaps can be regarded as the first and most important step in writing a research proposal. It is also a starting point for research. A research gap also implies a lack of empirical studies (thus involving a particular context), either from a certain theoretical perspective and/ or methodological approach. The research gap must be derived from a critical review and analysis of empirical studies/literature. Research Gaps can be extensions or challenge of the existing variables, theories, and assumptions. The researcher is supposed to generate new knowledge during his/ her doctoral studies. You may refer to Table 2 which highlights the requirements of originality at various levels of study.

Table 2. Rethinking Originality

| Degree Level | Approach | Academic Goal |
|------------------------------------|--------------|--|
| Undergraduate | Reproductive | Correctness of information presented (with an element of analysis) |
| Masters or Postgraduate Diploma | Analytical | 'Simple originality' which may include Reshaping material or considering information in other ways |
| Doctorate | Speculative | 'Creative originality' news |

(Source: Philips & Pugh, 1994)

Thus, a researcher is supposed to identify a suitable gap and carry out the research that fulfills the criteria of the addition of new knowledge by his/her own contributions. The contributions shall be made in terms of new theories that get published in the form peer peer-reviewed papers

in indexed journals. The contributions can also be in terms of patents, and new products useful for the society at large.

Research Questions

Once a broader subject research is identified and preliminary research is done on the topic a researcher is expected to do a thorough literature survey. The next logical step is to narrow the topic by asking Open-ended "how" and "why" questions. A researcher is expected to create a list of potential questions for consideration and choose the best 4-5 that interest you and provide an opportunity for further exploration. Evaluate the questions by using the following guidelines.

Is the research question one that is of interest to the researcher and potentially to others?

Is the research question researchable in terms of time frame and resources?

Is the methodology to conduct the research feasible?

Is the research question measurable and will the process produce data that can be supported or contradicted?

Is the research question too broad or too narrow?

Statement of the Problem

The statement of the problem must align with the topic of research, clearly indicating what is to be investigated. The statement need not be lengthy, but a good research problem should incorporate a compelling topic, multiple perspectives and research ability. The ultimate goal of a statement of the problem is to transform a generalized problem (something that bothers you; a perceived lack) into a targeted, well-defined problem; one that can be resolved through focused research and careful decision- making. The statement of a problem can be described in about 5-10 lines logically broken into paragraphs if needed.

Objectives of the Study

The overall purpose of research shall be divided into achievable goals and referred to as objectives. Objectives should be given as a numbered list usually indicating 4-5 objectives. The objectives are supposed to use strong words such as investigate, synthesize, develop, devise, construct, measure, produce, revise, and avoid weak words such as appreciate, consider, enquire, learn, know, understand, appreciate, listen, and perceive. The objective shall be logically organized and begin with the word "To". The researchers are expected to ensure that the objectives are Specific, Measurable, Achievable, Realistic and Time-constrained (SMART). The Students are warned not to mix objectives and methodology or any justification of the identified objectives

Scope and Limitations

Scope of research defines the extent of content/ boundaries of research that will be covered by the proposed research in order to come to more logical conclusions and give conclusive and satisfactory answers to the research. The scope has to be defined at the beginning to nullify the ambiguity about the research goals. If the researcher fails to define the scope at the initial stage itself, it is indicative that the research would eventually not meet the expectations

Limitations are meant to inform the reader about situations that restrict your methods and analyses of research. Some situations may not be under the control of researcher There may be certain shortcomings/restrictions posed by the methodology. Any limitations that might influence the results should be mentioned. Limitations may be posed due to analysis techniques, instrumentation, sample size, and time constraints.

Research Hypotheses (if applicable)

The research hypothesis is important in all research endeavors, whether qualitative or quantitative, exploratory or explanatory. A research study may have one or many hypotheses. A researcher should give both a hypothesis and a null hypothesis. It may please be noted that the null hypothesis is not the opposite of the research hypothesis. The question that is being answered statistically is "If these samples came from the same population with regard to the outcome, how likely are the obtained results?"

Methodology, Tools and Techniques

This section is meant to provide a detailed description of the methodology to be adopted for the proposed research work. A detailed description of two pages describing the actions to be taken to meet the proposed objectives is essential. The rationale for the application of specific procedures and techniques for identifying, selecting, process and analysing the information is essential. The researcher should describe the experimental setup/ instruments to be used for data collection. A detailed description of data analysis techniques shall also be provided. Please provide a clear rationale for the choice of the research methodology. Also, discuss the alternative methods proving the superiority of your chosen method. Discuss the methods of sampling. A tabulated information providing objectives, hypotheses and data requirements may be useful to the researcher. A clear list of assumptions shall also be provided. You may describe the software tool to be used for research. However, merely running a software programme may not be sufficient and hence the underlying theory of the software programme shall be given.

Precautionary Principle

The purpose of this section is to draw the attention of the Ph.D. student and the Supervisor(s) to the uncertainties involved with the possible effect of the research outcome. This section is introduced to address the uncertainties related to the effect of research outcomes in the domain or adjacent -areas, especially, in the context of humans and the environment, where in general, effects are substantial and irreversible. We wish to make it clear that our aim is not to regulate the research work but to sensitize the researchers about the possible uncertainties that might be

harmful to the humanity and environment. At first, the student and Supervisor have to deliberate on the possibility of harmful and irreversible effects of the research outcome and later the members of the Research Advisory Committee have to address that in detail so that the expert consensus can be developed and lead to further refinement of the research proposal. The University believes that such deliberation will help in developing responsible researchers through doctoral work.

This section must address the uncertainty of the effect of research outcomes in the context of humans and the environment, especially, evaluating whether the effects are substantial and irreversible. Uncertainty is created by the imperfect or unknown information. It must be noted that the uncertainty in research is not only caused by the lack of data or insufficient risk assessment, but also by indeterminacy, ambiguity, or ignorance.

Indeterminacy emerges from the fact that all the factors causing a phenomenon are not known to researchers and so, a potential harm may remain undetermined.

Ambiguity is about having contradiction in possibilities due to insufficient information

While ignorance reflects the fact that we do not know what we do not know.

Considering the complexity associated with the lack of data, indeterminacy, ambiguity and ignorance, the process of taking precautions must be addressed right from the doctoral research proposal. The proposal must communicate the result of the deliberation between the student and Supervisor on the following:

The cause and extent of scientific uncertainty at every stage of the research process. This could be in the context of imperfect or unknown information, indeterminacy, ambiguity and ignorance.

Identification and evaluation of the approaches for managing the identified scientific uncertainty. The evaluation may lead to the range from "no precaution" to "highest precaution".

Clarity on the expected outcome of the research and the harmfulness and irreversibility of the identified outcome,

The aforementioned three aspects of dealing with uncertainty must be balanced, non-discriminatory, and consistent. A provisional but objective cost-benefit analysis in terms of the contribution to discipline, humanity, and the environment must be added to the end of the section. The section must be improvised whenever new scientific information from the research or outside world is received and reviewed at every checkpoint and milestone of the doctoral research process.

If the researchers believe that there is no uncertainty leading to the harmful effect of the research outcome, they can mention so in this section. However, it is better to document that at the stage of the research proposal, no harmful effect of the research outcome could be seen.

Schedule of Proposed Work

This section is meant for providing the schedule /timeline of the proposed work. The proposed investigations shall be divided into several phases starting from the literature survey and

concluding by thesis writing and submission. Normally the literature survey is continuous. The researcher shall provide a realistic timeframe of the study ranging from 6 semesters to 8 semester The schedule shall be given in the form of a tabulation indicated below. Alternatively, the same can be given by a diagram showing phases vs semester The research should not mix up the time frame of investigations with the time frame of writing chapter Do not include coursework in the schedule of work. The timeframe starts with the approval of the research proposal.

Table 3. Schedule of Proposed Research Work

| Phase | Description | Time Frame |
|--------------|--|-----------------------|
| I | Literature survey | Continuous |
| II | Developing experimental setup/ Pilot study | MM-YY to MM-YY |
| III | Actual experimentation/ Data collection | MM-YY to MM-YY |
| IV | Predictions by CFD/ Data analyses | MM-YY to MM-YY |
| V | Predictions by ANN/Data analyses | MM-YY to MM-YY |
| VI | Development of a final model | MM-YY to MM-YY |
| VII | Thesis writing and submission | MM-YY to MM-YY |

The researcher should plan for a minimum period of four semesters from the date of confirmation in the doctoral program. An average of six semesters schedule is acceptable.

References

The reference list shows the complete details of everything you cited and appears in an alphabetical list on a separate page, at the end of your proposal. Kindly note the following while listing the references:

Provide the list of all cited references and not the bibliography.

Your reference list should identify references cited in sufficient detail so that others may locate and consult your references.

You may follow the prevailing style of referencing in your discipline of study. However, the APA style of referencing is suggested due to its simplicity and wide acceptability.

The students of the Faculty of Law may use the Harvard Bluebook style if suitable to them. It is important to be consistent when you are citing and listing references.

References should contain all the necessary parts, like names of the authors, year of publication, volume, issue, and terminal page number No part should be missing.

Punctuation marks and spaces within the references are very important. Do not segregate the references by the type of references used.

Following are indicative examples of references as per APA style.

David Killingray, The Influenza Pandemic of 1918-9 and its Impact on the British Empire, Caribbean Quarterly, Vol. 49, No. 4, COLONIALISM AND HEALTH IN THE TROPICS December 2003, pp. 30-49, <https://www.jstor.org/stable/40654422>.

Alexandra M. Stern, Martin S. Cetron and Howard Markel, Closing The Schools: Lessons From The 1918-19 US Influenza Pandemic, Centers for Disease Control and Prevention, September 2009, https://www.researchgate.net/publication/26863641_Closing_The_Schools_Lessons_From_The_1918-19_US_Influenza_Pandemic

Kirsty R. Short, Katherine Kedzierska, Carolien E. Van de Sandt, Back to the Future: Lessons Learned From the 1918 Influenza Pandemic, National Medical Library of Medicine, August 2018 <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6187080/>

Nita Madhav, M.S.P.H, AIRCURRENTS: Modeling a Modern Day Spanish Flu Pandemic, Air Worldwide, February 2013, <https://www.air-worldwide.com/SiteAssets/Publications/AIR-Currents/2013/Attachments/Modeling-a-Modern-Day-Spanish-Flu-Pandemic>

Shirshendu Roy, e-learning Scope and Trend in India, https://www.researchgate.net/publication/338913710_e-learning_Scope_and_Trend_in_India

Arnab Kundu, Dr. Kedar Nath Dey, A Contemporary Study on the Flourishing E-learning Scenarios in India, IJCRT Journal, Volume 6, Issue 02, April 2018, https://www.researchgate.net/publication/327671945_A_Contemporary_Study_on_the_Flourishing_E-learning_Scenarios_in_India

Nurul Islam, Martin D. Beer and Frances Slack, E-Learning Challenges Faced by Academics in Higher Education: A Literature Review, Journal of Education and Training Studies, Vol. 3, No. 5; September 2015, https://www.researchgate.net/publication/281767697_ELearning_Challenges_Faced_by_Academics_in_Higher_Education_A_Literature_Review

Annexure no: 13

SRI BALAJI UNIVERSITY, PUNE

**CHECKLIST TO BE SIGNED BY THE STUDENT AND THE
SUPERVISOR**

| Sr. No. | Description | | |
|----------------|--|--|--|
| 1 | The title is in Title Case | | |
| 2 | The top cover adheres to the format given | | |
| 3 | The student has written his/ her name as per SBUP records | | |
| 4 | The PRN is correct as per SBUP records | | |
| 5 | The certificate is signed by the student and the supervisor/ co-supervisor if applicable | | |
| 6 | The proposal is written covering all the required headings | | |
| 7 | Figure captions are at the bottom of the figures | | |
| 8 | Table captions are at the top of the tables | | |
| 9 | The student has given references and not the bibliography | | |
| 10 | All references are cited in the text | | |
| 11 | All cited references in the text are listed at the back | | |
| 12 | The listed references are adequate (15-40 references) | | |
| 13 | The student has given page numbers starting from the introduction | | |
| 14 | The title and research objectives are matching | | |
| 15 | The research proposal is 15-25 pages long | | |
| 16 | Acronyms are defined when they appear for the first time in the text | | |
| 17 | The introduction appropriately addresses the topic | | |
| 18 | The background builds up a good argument for research | | |
| 19 | The need for doing research is clearly spelt out | | |
| 20 | The literature review contains authentic references from peer-reviewed journals | | |
| 21 | The literature review does not cite too old references unless its citation is absolutely necessary | | |

| | | | |
|----|---|--|--|
| 22 | The research gap is identified clearly | | |
| 23 | The research questions are appropriate | | |
| 24 | The objectives are clear and are written point-wise | | |
| 25 | The hypothesis and null hypothesis are provided (if applicable) | | |
| 26 | The research methodology is given in detail (Min 2 pages) | | |
| 27 | The reason for choosing a particular research method is mentioned in the proposal | | |
| 28 | The research aims to addition of new knowledge | | |
| 29 | The timeframe is appropriate for the work | | |
| 30 | The document is free from spelling errors & grammatical error | | |

| | |
|---|--|
| Name of the Student and signature | |
| Name of the Research Supervisor and signature - | |

Annexure no: 14

SRI BALAJI UNIVERSITY, PUNE

PhD PROGRAMME-SEMESTER REGISTRATION FORM

| | | |
|---|--|--|
| 1 | PRN: | |
| 2 | Name of the Scholar | |
| 3 | Year of Provisional Admission | |
| 4 | Date of Registration | |
| 5 | Topic of Ph.D. work | |
| 6 | Research Supervisor(s) | |
| 7 | Registration in Semester (Sem. No. & Year) | |

S/d -

Name of the Research Scholar:

Signature:

Payment of Dues:

Fee Receipt No & Date:

Certified that no dues are pending against the Research Scholar

Authorized Signatory

Name of the Research Supervisor:

Signature:

Certification of Registration in the Semester

Status of Registration

CONFIRMED / NON-CONFIRMED

Approval by:

The Dean of the Faculty:

Date:

Head, R&D Cell, SBUP:

Date:

Annexure no: 15

SRI BALAJI UNIVERSITY, PUNE
DOCTOR OF PHILOSOPHY (PHD) PROGRAMME
PROGRESS REPORT

To,
Head,
Research & Development Department,
Sri Balaji University, Pune

Date:

Subject: PhD Progress Report No. _____ for the period from _____ to _____

Dear Sir / Madam,

I, the undersigned, hereby submitting the _____ (No. for eg. I / II / III etc.) progress report
for the period from _____ to _____.

The details of my registration are as under:

Title: _____

Date of registration: _____

Detailed description of research work conducted:

Brief about difficulties encountered (if any): _____

Name and Signature of Scholar

Name and Signature of Guide

SRI BALAJI UNIVERSITY, PUNE
MILESTONES OVERVIEW FOR PH.D. CANDIDATES AND
SUPERVISORS

Milestone 01

| Milestone | Requirements | Tentative Timing |
|---|---|--------------------------------|
| Milestone 1: Confirmation Of Registration at the end of Year 1 (after completion of coursework) | Presentation of Research Proposal to the Research Advisory Committee. | 9-12 months after commencement |
| | | |
| | Expectation: Research Proposal document of 3500-5000 words, including the timeline for the activities for achieving the quality, the supervisor and the student may consider to discuss the proposal with the experts in the discipline outside the advisory committee before submitting that to SBUP. In addition to the proposal, a Sample Chapter of approx. 10,000 words are also desired. | |
| | | |
| | Outcome: A viable research plan and a thesis chapter are complete. | |
| Other Requirements: Before the oral presentation of research, students must pass the course work. In the first 15 minutes Ph.D. students present their proposal to the academic community for the Confirmation of Registration. After 10 minutes of Q&A, the broader audience exits and the milestone meeting continues. | | |

| Milestone | Requirements | Tentative Timing |
|-------------------------------|---|--|
| Intermediate Milestone | Between Confirmation of Registration and Mid Term Review, Ph.D. students are required to make six-monthly presentations to Research Advisory Committee on their work. | 06 Months after Confirmation of Registration |
| | | |

| | | |
|--|---|--|
| | <p>Expectation: Present their work to an appropriate group of disciplinary peers (e.g., conference paper, reading of creative work) and submit a piece of written work {see below} for feedback beyond the advisory team (e.g., referees' reports on submission of work to a journal/ conference publication).</p> | |
| | | |
| | <p>Outcome: Written progress in Thesis Chapters - an additional Sample Chapter of approx. 10,000 words (e.g., Introduction, Literature Review, Theoretical Frameworks etc.) or a journal article/conference paper/equivalent.</p> | |

Milestone 02

| Milestone | Requirements | Tentative Timing |
|---|--|---|
| Milestone 2: Mid-Review (MR) at the End of Year 02 or 03 | Information submitted at least two weeks prior to the meeting for review by RAC. Evidence of six monthly oral presentation of research to RAC members of SBUP. | 12 - 24 months after Confirmation or Registration |
| | | |
| | <p>Expectation: More than 50% of work is completed which may include data collection and preliminary analysis of data. Chapters on the research activities performed are written. In addition, submit evidence that post-proposal, feedback on written work has been received from experts outside the advisory team (e.g. reviewers' comments on work submitted to Scopus-indexed journals).</p> | |
| | <p>Outcome: 50% of thesis complete (e.g., Introduction, Literature Review, Theoretical Frameworks, and/or Methods). At least one paper published/ accepted based on literature review, preliminary research work</p> | |

| Milestone | Requirements | Tentative Timing |
|-----------|--------------|------------------|
|-----------|--------------|------------------|

| | | |
|-------------------------------|---|-------------------|
| Intermediate Milestone | Between MR and Thesis Review, Ph.D. students are required to make six-monthly | 6 months after MR |
| | | |
| | Expectation: Present their work to an appropriate group of disciplinary peers (e.g., conference paper, reading of creative work) and submit a piece of written work (see below) for feedback beyond the advisory team (e.g., referees' reports on submission of work to a journal/conference publication). | |
| | Written progress in Thesis Chapters -an additional Sample Chapter of approx. 10,000 words (e.g., Introduction, Literature Review, Theoretical Frameworks, Methods, and Results, etc.) or a journal article/conference paper/equivalent. | |

Milestone 03

| Milestone | Requirements | Tentative Timing |
|---|---|--|
| Milestone 3: Thesis Review. End of Year 3 (Pre-Submission) | Information was submitted two weeks prior to the meeting for review. Between MR and TR, Ph.D. students are required to deliver an oral presentation of their work to the Faculty in the form of a completion seminar. | 12-24 months after MR/3 months before thesis submission. |
| | | |
| | Expectation: Full thesis ready for final submission | |
| | Outcome: At least two papers published/ accepted based on the research work. | |

Annexure no: 17

SRI BALAJI UNIVERSITY, PUNE

APPLICATION FOR CHANGE OF RESEARCH SUPERVISOR

| | |
|--|---|
| Name of the student | |
| Date of the application | |
| PRN | |
| Name of the Faculty (Law/ Mgmt. etc.) | |
| Date of Provisional Admission to the Ph.D. Programme | |
| Date of Registration | |
| Topic of Ph.D. work | |
| Research Supervisor(s) | |
| Supervisor No 01: | |
| Supervisor No 02: | |
| Name of the present Research Supervisor | |
| Name of proposed Research Supervisor | |
| Requisite fee has been received? (Yes/No) | Signature, confirmation by SBUP Accounts Dept |
| | |
| Is the proposed Research Supervisor an Approved Research Supervisor of SBUP? | (Yes/No) |
| | |
| Please explain the need or reason for change | |
| Signature of the student | |
| Date | |

Consent by the existing and the proposed Research Supervisor:

Name of the existing Research Supervisor:

Signature:

Date:

Name of the proposed Research Supervisor:

Signature:

Date:

Recommendation by the Dean of the Faculty

(Recommended / Not Recommended)

Signature:

Date:

Approval by the Vice Chancellor

Signature of the Vice Chancellor, SBUP

Date:

Annexure no: 18

SRI BALAJI UNIVERSITY, PUNE

**APPLICATION FOR CHANGE OF UNIVERSITY FROM THE OTHER
UNIVERSITY TO SRI BALAJI UNIVERSITY, PUNE**

| | |
|--|--|
| Name of the Aspirant | |
| Date of application | |
| Name of the Faculty | |
| Source University | |
| The Student's research proposal for a Ph.D. has been approved by the statutory body of the source University. Yes/No? | |
| Give Documentary Proof | |
| The source University has followed the Ph.D. Admission Process and Ph.D. course work as per the latest version of the Ph.D. Regulations so defined by the UGC. Yes/No? | |
| Less than half of the research work required for the Ph.D. Has been finished? Yes/No? | |
| There is a Supervisor recognized by SBUP is available and has a vacancy. Yes/No? | |
| Need/ reason for change (Please attach all documents supporting the reason) | |
| Aspirant Signature | |

Recommendation by the Research Supervisor

Name, Designation, contact details and address of the Research Supervisor:

Signature:

Date:

Recommendation by the Dean of the Faculty

The research topic is suitable to the SBUP's research agenda?

(Yes/No)

(Recommended/ Not Recommended)

Signature:

Date:

Approval by the Vice Chancellor

Signature of the Vice Chancellor, SBUP

Date:

Annexure: 19

SRI BALAJI UNIVERSITY, PUNE
APPLICATION FOR MODIFICATION OF THE NATURE OF THE
PH.D. COURSE (FULL-TIME to PART-TIME or VICE VERSA)
BEING PURSUED BY THE PH.D. RESEARCH SCHOLAR HERE
AT SRI BALAJI UNIVERSITY, PUNE.

Date

To,

The Hon'ble Vice Chancellor
Sri Balaji University, Pune

Subject: Application for changing of the nature of my Ph.D. Course from Full time to Part-time or vice versa due to the reason of (Reason to be mentioned by the Research Scholar)

Respected Sir,

I, (Name of the Research Scholar) pursuing my Ph.D. at Sri Balaji University, Pune in the form of (Full – time Ph.D. Course) or (Part – time Ph.D. Course) wish to change the nature of my Ph.D. Course from Full – time to Part time or vice versa due to the reason of (Mention the reason here).

I cite the following reason: (Name of the reason for requesting the change) and have enclosed the necessary supporting documents and evidences for my request.

I request you Sir, to please look into my request and if all is clear, please approve the change.

Thanking you

(Name of the Research Scholar)

Enclosures:

- 1) Relieving letter from my job issued by (Name of the Company), dated - .
- 2) Documents concerning my personal details and registration of my Ph.D. Course, here at Sri Balaji University, Pune

Annexure no: 20

SRI BALAJI UNIVERSITY, PUNE

APPLICATION FOR DISCONTINUATION AS PhD STUDENT

| | | |
|---|--|-------------------|
| Name:- | PRN:- | |
| Faculty of:- | Date of provisional Admission to the Ph.D. Programme:- | |
| | | |
| Date of Confirmation of Registration:- | The topic of the Research work:- | |
| Progress Done so far:- | | |
| Reason for Discontinuation: - | | |
| Details of Research paper/s published:- (Kindly attach proof) | | |
| Research Supervisor, Name and Signature:- | Research Co-Supervisor, if any, Name and Signature:- | Student signature |
| | | |
| Signature of the Dean of the faculty with seal:- | Has the student cleared all the dues? | |
| | Signed by SBUP Accounts Dept. | |

Recommendation by the Head, R&D Cell, SBUP

(Recommended / Not Recommended)

Signature:

Date:

Approval by the Vice Chancellor

Signature of the Vice Chancellor, SBUP

Date:

SRI BALAJI UNIVERSITY, PUNE
GUIDELINES FOR PREPARATION AND SUBMISSION OF THE
SYNOPSIS

STRUCTURE OF WRITING SYNOPSIS

The synopsis of about (15 to 20, Page A4 Size, Font size -12, Times New Roman) can be written in the following parts:

Title
Introduction
Relevance of the topic
Objectives of the research
Hypothesis for the study
Research Methodology
Research Design
Scope of the study
Limitations
Sampling Element
Sampling Method
Sample Size
Sample Adequacy
Source of Data
Design of Questionnaire (Wherever Applicable)
Data Analysis
Findings
Conclusion
Suggestions & Recommendations
Contributions of knowledge
Chapter Scheme

Research Scholar

Research Supervisor

Note: - Dear Research Scholars kindly submit two hard copies and one soft copy of the synopsis in PDF format duly signed by you and your research supervisor to Research & Development Cell.

SRI BALAJI UNIVERSITY, PUNE
GUIDELINES FOR PREPARATION AND SUBMISSION OF THE
THESIS

STRUCTURE OF THESIS (HARD COPY)

The Research Work can be written in the following parts:

Title Page- Golden embossed

Inside Cover Page- (Similar to Title page on a normal page)

Declaration

Guide Certificate

Executive Summary (2-5 Pages)

Acknowledgments

Table of Contents

List of Figures, Tables or Illustrations

List of Abbreviations

Body of the Thesis (Refer to Chapter Scheme)

Bibliography

Appendices

Glossary (If applicable)

Layout and Appearance: The thesis should be printed on white A4 paper in Times New Roman, 12pt and the colour scheme for the cover page should be as per the given format. The Thesis may be printed on both sides of the paper. Lines spacing in the abstract and the text of should be 1.5” single spacing in long tables, block quotations separated from the text, footnotes, and bibliographical entries. Paragraphs should not be indented. One-line space between paragraphs.

Margins should be one inch or 2.5cm on all sides, and page size should be set to A4. Pages should be numbered at the bottom in the Centre, using Arabic numerals (1, 2, 3) starting with the first page of the Thesis (i.e. the first page of the Introduction). Pages prior to this should be numbered with lowercase Roman numerals (i, ii, iii),

Chapters should start on a new page, but sections and sub-sections should not.

APA Referencing style to be used.

Executive Summary

An Executive Summary is a short document that summarizes a longer report in such a way that readers can rapidly become acquainted with a large body of material without having to read it all. It usually contains a brief statement of the problem covered in the major document(s), background information, concise analysis, and main conclusions. It is intended as the main reflection and has been described as possibly the most important part of the report.

Acknowledgments

This page will acknowledge Individuals who provided the Scholar with any assistance in the preparation of the Thesis. This would include individuals/organizations in addition to the Research Supervisor.

Table of Contents

The Thesis must have a table of contents page listing chapter headings, section headings and subheadings, appendices and references as well as their corresponding page number.

List of Figures, Tables or Illustrations

As applicable, a separate list of figures, tables, or illustrations should be included on a separate page immediately following the Table of Contents.

List of Abbreviations

A list of abbreviations is to be provided, in case the Ph.D. Scholar has used a large number of abbreviations that may be unfamiliar to the reader.

Bibliography

References of all authors whose material or research work is referred or contained in the Thesis must be written in this section using standard format as per the specific Faculty guidelines. Bibliography is optional.

FORMAT OF THE THESIS TITLE & AND COVER PAGE

Approved Title of the Thesis in Title Case

<bold>

Thesis Submitted to Sri Balaji University, Pune

For award of the degree of

<bold><italic>

DOCTOR OF PHILOSOPHY

<bold>

(Faculty of.....)

<bold>

NAME OF THE RESEARCH SCHOLAR*

<bold>

Under the Guidance of

<bold>

Name of the Supervisor

<bold>

Designation of Research Supervisor

<bold>

SRIBALAJI UNIVERSITY, PUNE

<bold>

YEAR

**NOTE: The Colour scheme for the Cover page of the Thesis should be BLACK
with**

GOLDEN PRINT in all Faculties

SRI BALAJI UNIVERSITY, PUNE

DECLARATION

This Thesis entitled “ _____ ”

submitted by me to the Sri Balaji University, Pune for the award of the Ph.D. Degree under the Faculty of _____ is based on my original work, carried out under the guidance of Dr. _____ from date _____ to _____. The research work has not been submitted to any other college/university for the award of any degree

All content materials used, borrowed from, or referred from other sources and incorporated into the body of the Thesis have been duly acknowledged and referenced by me in the Thesis. I understand that I, the author will be held responsible for plagiarism if any of said plagiarism is detected at a later date.

All my research papers published based on the research conducted out of and in the course of the study leading to the award of Ph.D. are duly credited to Sri Balaji University, Pune and appended to the thesis and have not been formed as the basis for the award of any degree, diploma, associateship, fellowship, title in this or any other University or institution of Higher learning in India and the world.

Signature of the Research Student: _____

Name: _____

PRN: _____

~~Counter~~ signature of the Research Supervisor: _____

Name: _____

Designation: _____

Date: _____

Place: _____

Annexure no: 23 SRI BALAJI UNIVERSITY, PUNE

THESIS CERTIFICATE

The Thesis titled _____ is being submitted by Mr./Ms. **(Name of the Scholar) (Ph.D. Registration No /PRN No:)** to the Sri Balaji University, Pune for the registration of Ph.D. Degree under the Faculty of _____ has been prepared as per the guidelines given by the R&D Cell, Sri Balaji University, Pune.

Signed by Research Supervisor

Name and Designation

Signed by Research Co-Supervisor (if applicable)

Name and Designation

Date: _____

Place: _____

THESIS SUBMISSION FORM

| | |
|---|--------------------|
| | Date: _____ |
| Name of the Scholar: | |
| PRN: | |
| Area of Research: | |
| Date of Registration: | |
| Topic for Ph.D. Research: | |
| Name of the Research Supervisor: | |

Confirmation that four Hard bound copies of the Thesis and a Pen-Drive containing the PDF Format of the Thesis (Soft copy) has been submitted to the Research & Development Cell, Sri Balaji University, Pune.

Signature of the Research Scholar:

Date:

Recommendation by the Research Supervisor

(Yes/No)

Name & Designation:

Signature:

Date:

| Sr. No. | Checklist (For office use only) | Yes/No |
|---------|---|--------|
| 1 | Has the Ph.D. Scholar paid the requisite fee? | |
| 2 | Is the Half-Yearly progress report of the Ph.D. Scholar satisfactory? | |
| 3 | Is the Thesis in the prescribed format? | |
| 4 | Has the Committee recommended the submission of the Thesis? | |

| | | |
|--|---|--|
| 5 | Has the Ph.D. Scholar provided proof of acceptance/publication of research papers authored by him/her in the Referred journals? | |
| Signature of the Competent Authority:_____ | | |

Confirmation of the submission of the Thesis

By the Dean of the Faculty, Sri Balaji University, Pune

(Yes/No)

Signature:

Date:

By the Head, Research & Development Cell, Sri Balaji University, Pune

(Yes/No)

Signature:

Date:

SRI BALAJI UNIVERSITY, PUNE**CHECKLIST FOR THE SUBMISSION OF THE PH.D. THESIS**

| | | | | |
|------------------------------------|--|---------------|-------------|----------------------|
| Scholar's Name | | | | |
| Area of Research | | | | |
| PRN | | | | |
| Mother's First Name | | | | |
| Mobile No: | | | | |
| Email ID: | | | | |
| Supervisor | | | | |
| Co-supervisor if applicable | | | | |
| Address | | | | |
| Title of Thesis | | | | |
| Sr. No. | Description | Status | Sign | Signed by |
| 1. | Approval of the RAC for submission of the Thesis | | | Head. R&D Cell, SBUP |
| 2. | Capitalization | | | Head. R&D Cell, SBUP |
| 3. | Similarity Check (Max 10%) | | | Head. R&D Cell, SBUP |
| 4. | Synopsis (Max 20 pages) | | | Head. R&D Cell, SBUP |
| 5. | Correctness of title | | | Admin Officer |
| 6. | Correctness of name | | | Admin Officer |
| 7. | Correctness of Certificate | | | Admin Officer |
| 8. | Correctness of cover page | | | Admin Officer |
| 9. | Correctness of side page | | | Admin Officer |
| 10. | No pending reports | | | R&D Coordinator |

| | | | | |
|-----------------------------|---|--------------------------|--|-----------------|
| 11. | Submission within deadline | | | R&D Coordinator |
| 12. | No dues of fees | | | OS, R&D Cell |
| 13. | No dues of library | | | SBUP Library |
| 14. | Thesis submission form signed by Supervisor | | | Supervisor |
| 15. | Thesis Submissionform signed by Dean | | | Dean |
| 17. | Three hard copies of thesis | | | R&D Coordinator |
| 18. | Candidate Sign on plagiarism report appended to the thesis | | | R&D Coordinator |
| 19. | Supervisor Sign on plagiarism report appended to the Thesis | | | R&D Coordinator |
| 20. | Soft copy in CD/DVD/ Pen drive as per the format given | | | R&D Coordinator |
| Signed by Supervisor | | Signed by Scholar | | |

SRI BALAJI UNIVERSITY, PUNE
INSTRUCTIONS FOR SUBMITTING SOFT COPY OF THESIS, USING
USB/ PEN DRIVE

General instructions: (Important Instructions)

Soft copy must be exact replica of hard copy of thesis.

Signed certificate & plagiarism report is must.

Prepare a folder with your Name, PRN, for example (Your name, Your PRN)

Provide formal photo in .jpeg

Provide rest others in .pdf formats

Do not submit data in CDs/ DVDs

Do not use abbreviation/ short form while naming pdf files

Specific instructions:

PDF Files pertaining to the thesis should be prepared as SEPARATE files and written/copied to the USB Pen drive. The PDF Files are to be prepared as such -

Title.pdf. (The file name should be Title.pdf and similar syntax be used for other files)

Guide_Certificate.pdf

Executive_Summary.pdf

Acknowledgement.pdf

Table_of_Contents.pdf

List of Nomenclature/ Abbreviations and Acronyms.pdf

List_of_Figures.pdf

List_of_Tables.pdf

Chapter 1_Introduction.pdf

Chapter 2_Literature_Review.pdf

Chapter 3_Conceptual_Framework.pdf

Chapter 4_Reserach_Methodology.pdf

Chapter 5_Results_and_Discussions.pdf

Chapter 6_Recomendations_and_Conclusion.pdf

(* If required additional chapters may be added in the same order as per the thesis)

Bibliography.pdf

Publications.pdf (List & all publications related to Ph.D. topic as one PDF file)

Similarity Report.pdf

Annexures (All annexures as one PDF file)

Synopsis.pdf

Full Thesis.pdf (Starting from the title page to last page of thesis)

Annexure no: 27

SRI BALAJI UNIVERSITY, PUNE

**APPLICATION FOR SEEKING OF EXTENSION FOR SUBMISSION
OF THE PH.D. THESIS**

Application date: _____

| | |
|--|--------|
| Name | PRN |
| Name of the Faculty | |
| Date of Provisional Admission to the Ph.D. Programme | |
| Date of Completion of Course Work | |
| Date of Registration | |
| Date of Approval of Synopsis of the Thesis | |
| Due Date for submission of Ph.D. Thesis | |
| Has any Extension been approved earlier? | Yes/No |
| If Yes, up to what date? | |
| The extension required up to? | |
| Reason: | |
| Requisite fee has been received? (YES/NO) SBUP Accounts Dept. Signature: | |

Recommendation by the Research Supervisor

(Yes/No)

Signature:

Date:

Recommendation by the Dean of the Faculty, Sri Balaji University, Pune

Extension time up to (_____Months) May/May not be given.

Signature:

Date:

Approval by the Head, R&D Cell, Sri Balaji University, Pune

(Approved/Not Approved)

Signature:

Date:

Annexure no: 28

SRI BALAJI UNIVERSITY, PUNE

**APPLICATION FOR SEEKING EXTENSION FOR SUBMISSION OF
THESIS BEYOND THREE MONTHS FROM PRE-SUBMISSION
SEMINAR**

| | |
|---|--------------------------------------|
| Name: | PRN: |
| Name of the Faculty | |
| Date of Provisional Admission to the Ph.D. Programme | |
| Date of Registration | |
| Topic of Ph.D. Research work: | |
| Research Supervisor(s) | Name: |
| | Name: |
| Requisite fee has been received Yes/No | Signed by SBUP Accounts Dept. |

Dates of the Pre-Submission Seminar:

Due date for the Submission of Thesis Extension required (Date to be specified by the Ph.D. Student): (From _____ to _____)

Reason for seeking of extension (Provide supporting evidences wherever necessary):

Name of the Research Scholar:

Signature:

Date:

Recommendation by the Research Supervisor

(Yes/No)

Signature:

Date:

Approval by the Dean of the Faculty, Sri Balaji University, Pune

Extension time up to (_____Months) May/May not be given.

Signature:

Date:

Approval by the Head, R&D Cell, Sri Balaji University, Pune

(Approved/Not Approved)

Signature:

Date:

SRI BALAJI UNIVERSITY, PUNE
GENERAL GUIDELINES FOR ETHICAL CONDUCT IN THE
PROCESS OF RESEARCH

Sri Balaji University, Pune requires its students to adhere to and be in congruence with these general guidelines for the ethical conduct of research, as per the basic principles of ethical conduct given by the Singapore Statement on Research Integrity (<https://www.tandfonline.com/doi/abs/10.1080/08989621.2011.557296?journalCode=gacr20>) and are required to ensure that they display good ethical conduct during the pursuit of research including adherence to the tenets of honesty, accountability, professional courtesy and fairness and good stewardship during the course of their research in Sri Balaji University, Pune.

All the Ph.D. Research Scholars of Sri Balaji University, Pune are required to -

Take responsibility for the trustworthiness of their research, which can be proven by adherence to the regulations, good academic practices and honest reporting of the results obtained.

Keep accurate records of the research work to prove the ownership, if the situation warrants.

Acknowledge the contribution of funding support, those who have made significant contributions to the research, and the publications used while conducting the research.

Refrain from conducting any act of misconduct or unethical practices in research as the same shall be viewed seriously by SBUP with consequences not limited to revocation of the doctoral degree at a later date also if a Student is proven to be involved in any unethical act. An indicative list of unethical practices is given below.

Refrain from the act of fabrication or creation of false data, false images, false participants, false documentation, and flawed data interpretation during the course of the research.

Refrain from falsification of data comprising of inappropriate manipulation and/or selection of data, images and/or other contents. This includes publication in fake journals, fake co-authors, fake reviewers etc.

Cite all sources properly in the Bibliography and references in the proper format and in the body of their thesis.

To ensure that the body of their work is original and is not plagiarized, that is misappropriation or usage of other authors' ideas, intellectual property, or work (written or otherwise), without permission of the original authors and or claiming said content as the author's own work.

To acknowledge any third-party support or monetary aid taken with the permission of SBUP for the purpose of the research

To ensure that they do not disclose any data/information entrusted to them without permission from the original sources, authors or SBUP as per the case may be.

To ensure that they do not violate any intellectual property during the course of their research

To ensure that they do not breach data/research confidentiality agreements with the sources, groups, samples, etc. involved in the research without their consent.

To ensure that they obey and observe the legal and reasonable ethical requirements or obligations of care for human or animal subjects, human organs or tissue used in research, or for the protection of the environment, as per the case may be.

To ensure that they do not outsource their work efforts or engage any third party for the conduct of their research in major terms.

To obey all lawfully given orders and instructions by the supervisors, SBUP personnel and any other government authority/s in the process of the research.

Annexure no: 30

SRI BALAJI UNIVERSITY, PUNE

FORMAT FOR PANEL OF PROPOSED EXAMINERS

Name of the Student & PRN No:

Faculty of:

| Sr. No. | Name of the Examiner | Designation | Telephone No & Address | E-mail id |
|--|----------------------|-------------|------------------------|-----------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |
| 7 | | | | |
| 8 | | | | |
| Reviewers from Foreign University | | | | |
| 1 | | | | |
| 2 | | | | |

Note:

1) It is necessary for Supervisors to attach the Curriculum vitae of each examiner mentioned in the list as per the proforma given for the perusal of the Honorable Vice Chancellor, Sri Balaji University, Pune.

2) The examiners suggested, would be actively engaged in the area of research work concerned, and also as far as possible, not be below the rank of University Professor/Scientist in the grade of professor.

3) Supervisors are required to mention the names of two reviewers from Foreign Universities working in the same area of the research & attach their CVs too.

4) The Panel must include at least 50% of the examiners from outside the State. There should be no examiner from the same organization and city as that of the student.

Name & Designation of the Research Supervisor:

Signature of the Research Supervisor

Place:

Date:

Annexure no: 31

SRI BALAJI UNIVERSITY, PUNE

INFORMATION ABOUT THE PROPOSED EXAMINERS

Name of the Student & PRN No:

Faculty of:

| | |
|---|-----------------------------------|
| Name of the Proposed Examiner | |
| Scholarly Interest and Expertise | Broad Area: Specific Area: |
| Designation and Official Address (Include PIN) | |
| Email IDs | |
| Phone No and Mobile No's | |
| Experience (In years) | Academic: Corporate: |
| No of Ph.D.'s Supervised | |
| No of Publications in Peer Reviewed Journals | |
| Brief write-up about the Proposed Examiner (Relevance to the Topic of the Research Contributions of the Proposed Examiner etc.) | |
| Any other Information | |

Name & Designation of the Research Supervisor:

Signature of the Research Supervisor

Place:

Date:

Annexure no: 32

SRI BALAJI UNIVERSITY, PUNE
DETAILED THESIS EVALUATION REPORT

Name of the Research Scholar:

PRN:

Name of the Faculty:

Name and affiliation of the Examiner:

Section 1

Please give your comments on the following aspects of the Thesis

Relevance of the Research Work carried out by the Research Scholar, literature review, methodology, tools & techniques used, analysis, results, discussions and conclusions, and contribution of the work to the already existing body of knowledge, language, and organization of the Thesis:

Section 2

- a) Strengths of the work:
- b) Weaknesses of the work, if any:
- c) Are any major/minor modifications needed? (Please specify):

Section 3

(a) Questions to be asked/clarifications to be sought at the time of viva-voce examination

- 1.
- 2.
- 3.
- 4.

Section 4 Final Recommendations

The thesis is (Recommended/Not Recommended) for the award of Ph.D. Degree

The thesis was accepted with minor modifications suggested in Section 2(c) above. The Research Supervisor can ensure that the queries are answered at the time of viva voce. The degree is awarded.

Major modifications are suggested in Section 2(c). The thesis is sent to me after modifications. The thesis is rejected due to weaknesses in Section 2(b).

Recommended for publication/Publication with modifications suggested.

Date:

Place:

Signature of the Examiners:

Name, Designation and Address with full contact details:

SRI BALAJI UNIVERSITY, PUNE
DETAILS REGARDING AWARD OF THE SRI BALAJI UNIVERSITY,
PUNE RESEARCH FELLOWSHIP/ JUNIOR RESEARCH
FELLOWSHIP (JRF)

1. INTRODUCTION

Sri Balaji University, Pune hereby offers the opportunity for the securing of a Research Fellowship (RF) /JRF Fellowship for candidates who qualify for the admission process, inclusive of SBUP Ph.D. Entrance Test (PET) and Personal Interaction (PI) with the Ph.D. Admission Committee of SBUP. Candidates who wish to secure a Research Fellowship / JRF Fellowship should note that qualification in the admission process itself is not a guarantee that the Fellowship will be granted to the Candidates. The SBUP Ph.D. Rules will prevail, for all related purposes, including settlement of grievances, if any by the Fellows.

2. OBJECTIVE

The objective of the SBUP RF / JRF Fellowship Scheme is to provide opportunities to competent and qualified candidates to undertake full-time advanced studies and research leading to a Ph.D. degree under the University.

3. ELIGIBILITY

The following categories of candidates will be eligible for receiving Research Fellowship from SBUP:

Junior Research Fellowship (JRF):

Fulltime Ph.D. Candidates who have qualified under the SBUP Ph.D. Admission process.

Fulltime Ph.D. Candidates who are qualified under the UGC NET Examination and have been called for the Personal Interaction (PI) Process as part of the SBUP Ph.D. Admission process.

UGC NET/SET/SLET/GATE/M.Phil. Candidates who have appeared for PI and have qualified for the Ph.D. Programme of SBUP

Recipient Candidates of the UGC/CSIR/ICMR DBT*/RGNF*/MANF*/DST Inspire* & NBHM* Fellowships and have appeared for PI and qualified for Ph.D. Programme of SBUP

can pursue their Doctoral Research Work with SBUP as Full Time Ph.D. Students along with Fellowship from the respective organizations.

Senior Research Fellowship (SRF):

Progression to SRF is considered for candidates who have demonstrated substantial progress during the JRF period.

OR

Eligible candidates must exhibit a significant contribution to their field, which may include publications, innovative findings, or other notable research outputs.

Continuation as SRF is contingent upon the successful completion of specific research milestones and the submission of significant research outputs.

SRF candidates may be entrusted with additional responsibilities, such as mentoring junior researchers/students, contributing to departmental activities, or assisting professors in development of coursework or class design.

SRF is granted after a successful evaluation of the initial JRF period, ensuring candidates have made substantial strides in their research.

4. NATURE OF ASSISTANCE AVAILABLE UNDER THE SCHEME

4.1.

The tenure of the fellowship is initially for one year extendable by one more year based on the performance of the fellow under the SBUP RF/JRF scheme. In the first year, the Fellow is expected to get a confirmation in the Ph.D. programme and required to publish at least one research paper in a peer-reviewed journal, which is indexed in Scopus. Upon the expiry of this period, the work of the Fellow will be evaluated by a committee consisting of the Dean of the Faculty, two subject experts, and the research supervisor. On the basis of the report of the committee, the tenure of the fellow shall be extended for a further a period of maximum of two years under the enhanced emoluments of the Senior Research Fellowship (SRF).

4.2.

In case the work for the first year is not found satisfactory, an additional one year will be given to him/her for improvement, if so recommended by the committee. However, during this period he/she will be designated as a Junior Research Fellow. In such cases, the research work will be evaluated again after completion of the second year. and if improvement is found, the Fellow will get one more year under the SRF. Thus, the total period of fellowship (JRF and SRF) is four years and there is no further provision for extension.

4.3.

In case the work for the first two years is not found satisfactory, the fellowship may be discontinued

4.4

Fellowship amount of ₹ 40,000 per month will be paid as SBUP RF/JRF Fellowship to the Qualified candidates. Candidates who have been recognized as Senior Research Fellows (SRF) will be paid an amount of ₹ 50,000 per month for the remainder period of their tenure as SRF. In addition, an annual contingency grant of ₹ 30,000 will be paid per year, until the completion of tenure as a Research Fellow under SBUP for attending conferences, seminars, symposiums, etc. related to their research topics. The amount so mentioned here is subject to revision, as per the instructions of SBUP from time to time.

4.5

The Research Fellows of SBUP will be working full-time under SBUP for their research program and they will be required to assist the Senior faculty in conducting their regular lectures at SBUP, besides continuing their research. These scholars may be offered suitable positions in the University after completing their Doctoral degree (Ph.D.). The candidates who are already postgraduates with some Industrial or Academic experience or the candidates who are expected to complete their Post-Graduation by the timelines as published from time-to- time.

4.6

The Research Fellows of SBUP will be required to obey the rules and regulations pertaining to them, as decreed by the University.

4.7

The Research Fellows of SBUP are required to adhere to the rules and norms regarding attendance and they will have to sign on the attendance register maintained within the SBUP R&D Cell or with their Research Supervisor. The progress and the quality of their research will be closely monitored by the Research Supervisor.

4.8

The Research Fellows of SBUP are required to inform their Research Supervisors / SBUP R&D Cell, in case they may wish to avail of leave from absence. Any unauthorized absence of the Research Fellow will be reported by the Research Supervisor to the Dean of the Faculty and the SBUP University Office.

4.9

The Research Fellows of SBUP will not be entitled to any institutional medical insurance of the University.

4.10

The Research Fellows of SBUP will be required to obey or adhere to all lawfully given orders and instructions by the senior personnel of the University.

5. REGULATIONS REGARDING LEAVE OF ABSENCE FROM SBUP

As per the HR Policy of Sri Balaji University, Pune

6. PROCEDURE FOR APPLYING FOR THE SCHEME

Sri Balaji University, Pune will notify the number of SBUP Research Fellowship/JRF seats that have been made available for the year on its website and in any two leading newspapers, in case vacancies for the same have been declared by SBUP. Any Ph.D. Candidate whose age is upto 35 years as on the date of admission can apply for the Research Fellowship during the time of his/her application for pursuing Ph.D. with SBUP.

6.1

Approval process for SBUP Research Fellowship/JRF

The award of SBUP RF/JRFs by the University will be decided on the basis of the SBUP Ph.D. Admission Process

All applications for SBUP RF/JRF shall be subject to scrutiny by a Special Committee, organized by SBUP for the purpose.

Fellowships will be awarded based on a personal interview of the candidate by the Special Committee of SBUP.

Ph.D. Candidates who have been selected by the Special Committee will be notified by the University, regarding award of Fellowship with SBUP, by email and by post.

The Ph.D. Candidates need to get consent of their Research Supervisor for the Research Fellowship.

Each Research Fellow/JRF of SBUP will be attached to one of the constituent units of SBUP, usually, the Institute where the Research Supervisor of the student is working.

The candidate must submit the Acceptance Letter duly signed by the Research Supervisor and the Dean of the Faculty to the SBUP University Office, conveying his/her acceptance to the Fellowship.

The candidate has to write and submit an Undertaking and has to get it approved by the Research Supervisor and meet the Head of the constituent institute of SBUP and show him/her the communication from the SBUP University Office regarding the offer of Fellowship, consent letter and acceptance letter for getting his/her approval on the Undertaking. The candidate must submit the prescribed Undertaking Document duly signed by the Research Supervisor, Head of the Institute and the Dean of the Faculty along with the Acceptance letter to the SBUP University Office. Both documents must be submitted within 15 days of the email communication to the Candidate.

The SBUP University Office will issue a formal offer letter of Fellowship to the candidate after receiving the acceptance letter and the undertaking document from the candidate.

The candidate and the Research Supervisor must meet the Director of the constituent institute of SBUP, where the Supervisor works, to decide about joining the institute as a Research Fellow/Junior Research Fellow of SBUP

On completion of the process, the Joining Report of the candidate duly signed by the Research Supervisor is to be sent to SBUP University Office through the Director of the constituent Institute of SBUP.

The candidate has to get confirmation from the SBUP University Office regarding his/her registration for Ph.D. after successful completion of the course work, within a period of one year from the declaration of SBUP-Ph.D. Entrance examination result. This period is not extendable.

7. PROCEDURE FOR RELEASE OF GRANTS

The Research Fellow has to submit the document letter, 'Acceptance for award of SBUP Research Fellowship /Junior Research Fellowship' and the Undertaking letter document where his/her Research Supervisor is working. On receipt of the Joining Report document, SBUP will accept the candidature of the Fellow and will release the admissible grants to the Institute that the Fellow has joined. The grant will be applicable from the date of joining the Fellow.

8. PROCEDURE FOR MONITORING THE PROGRESS OF THE SCHEME

The progress of the SBUP Research Fellows/Junior Research Fellows is monitored by their respective research Supervisors and reflected in the half-yearly monthly progress reports submitted as per SBUP Ph.D. Regulations.

The Research Supervisors of RF/JRFs are expected to monitor the progress and quality of their research closely so that good quality research outcome can be achieved by the work of the Fellow. In the duration of two years, the Fellow is expected to publish at least one research paper in a peer-reviewed Journal, which is indexed in Scopus.

The concerned Head/Director of the institution is expected to facilitate and monitor the terms and conditions of work of the Fellow continuously.

9. TERMS AND CONDITIONS OF THE SBUP RF/JRF FELLOWSHIP AWARD

The Fellow shall not accept or hold any position, paid or otherwise, or receive emoluments, salary, stipend, etc. from other sources on working days or holidays during the tenure of the award.

The Fellow, with the consent of the Research Supervisor, may assist the Supervisor/institution/SBUP in its academic work, including teaching, tutorials, evaluation, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia,

provided such work is not likely to hinder his/her research work. The supervisor has to ensure that the progress and quality of research work are not adversely affected by such work.

The total amount of time to be spent on such activities should not normally exceed one hour per day. The candidate shall be present at the institute during the prescribed working hours of the institute; however, he/she may be permitted to spend time on research-related activities, subject to the approval of Supervisor. The candidate shall abide by the rules of SBUP.

He/ She has to be a full-time researcher and submit himself/herself to the disciplinary regulations of the Institute/Department where he/she is working. Regular attendance of the fellow may be ensured by the department by keeping an attendance register.

In case a Fellow decides to appear for competitive examination, he/she would invariably seek permission from the Supervisor and inform SBUP about it.

Once a Research Fellow accepts the Fellowship and joins, it is incumbent on him/her to continue the research for the normal tenure of the fellowship or for such lesser duration in which the original objectives of the research problem have been achieved. If the Fellow decides to discontinue before the period of two years, the entire amount of the fellowship will be refunded to SBUP.

The research Fellow must send a detailed consolidated report of the research work done during the entire period of Fellowship on completion of the tenure of the Fellowship through the Supervisor to the SBUP University Office within one month.

During the tenure of the Fellowship, the Fellow shall correspond with the SBUP University only through the Supervisor, with the approval of the Dean of the Faculty of SBUP.

The Fellow shall keep SBUP informed about any submission/acceptance/publication of research papers arising out of the research work done during the tenure of the fellowship. She/he must acknowledge the support of SBUP in the publication(s). One copy each of all the research papers published must be sent to SBUP at each stage of publication/ manuscript/reprint.

The fellowship may be terminated at any time during the tenure and the decision of the RRC will be final and binding. The tenure of the fellowship is initially for two years, extendable to one more year from the date of joining, subject to satisfactory progress and quality of the research or submission of the Ph.D. thesis, whichever is earlier. No extension is permissible beyond the total tenure of three years and the awardee ceases to be an SBUP RF/JRF immediately after the expiry of the due date. Any claim/reference to this effect will be illegal and the individual may have to face disciplinary action for such an act.

For an extension, the student must apply three months before the date of completion of the extension. if delayed, the application for an extension will not be considered.

10. CANCELLATION OF SBUP RF/JRF AWARD

Fellowship Award of the candidate will be subject to cancellation in case of –

Commission of any act of misconduct under the rules and regulations of SBUP or any offence/crime under the laws by the candidate

The research work of the candidate not being up to the norms/standards considered as satisfactory as per the rules and regulations of SBUP

Failure of the candidate in any exam related to Ph.D.

Submission of false/forged documents such as mark sheets, certificates submitted to University, if the same is discovered following scrutiny of the submitted documents by SBUP.

The candidate is deemed as ineligible to pursue Ph.D. within SBUP

NOTE: The Fellow, if he wishes to discontinue his Research Fellowship with SBUP, before the completion of the period of the Fellowship will have to refund the entire amount of the funds allocated to him as part of the Fellowship, to the SBUP University Office, if such communication requesting discontinuation of Fellowship is received from the candidate to SBUP.

Annexure no: 34

SRI BALAJI UNIVERSITY, PUNE

**ACCEPTANCE LETTER DOCUMENT FOR AWARD OF SBUP
RESEARCH FELLOWSHIP/JUNIOR RESEARCH FELLOWSHIP**

Basic information:

Name of the Candidate:

PRN:

Subject and Faculty:

Date of Registration:

Name of the Research Supervisor:

Designation with full contact Details:

Address (official):

Phone number.

Email:

Details of Examination Passed (SBUP-Ph.D./UGC/JOINT CSIR-UGC/another equivalent):

JRF Fellowship already availed if any: (either in any other institution/Project/M. Phil. etc.)

Place:

Date:

Signature of the Candidate:

Signature of the Supervisor:

Name & Designation:

Signature of the Dean of the Faculty, SBUP:

Annexure no: 35

SRI BALAJI UNIVERSITY, PUNE

**UNDERTAKING BY THE SBUP RESEARCH FELLOW/JUNIOR
RESEARCH FELLOW (JRF)**

(For submission to the SBUP University Office)

(To be prepared on a Rs 500 denomination India Non-Judicial Stamp Paper)

To

The Hon'ble Vice Chancellor

Sri Balaji University, Pune

Respected Sir

I (Name of the Ph.D. Candidate), Son/Daughter/Spouse of (_____) bearing SBUP Ph.D. PRN No: (PRN No) am pursuing Ph.D. Programme in Sri Balaji University, Pune with effect from (From date to Date) under the supervision of (Name of the Supervisor, Dr. _____) in the Faculty of (Name of the Faculty) within the (Institute of SBUP) have been awarded Research Fellowship/Junior Research Fellowship under Sri Balaji University, Pune.

I hereby accept the Award of Fellowship under Sri Balaji University, Pune and declare that:

- 1) I accept the terms and conditions of the offer of Award of Research Fellowship/Junior Research Fellowship under Sri Balaji University, Pune
- 2) I will abide to the letter and in spirit of all rules and regulations of Sri Balaji University, Pune.
- 3) I will devote the whole of my time for research during the tenure of fellowship and shall put my best effort for achieving high-quality research outcome;
- 4) I will not accept or hold any position, paid or otherwise, or receive emoluments, salary, stipend, etc. from other sources on working days or holidays during the tenure of the award;
- 5) I will prepare the reports as per the SBUP Ph.D. rules and submit to my Supervisor for guidance;
- 6) I will ascribe my affiliation as a Research Fellow/Junior Research Fellow of Sri Balaji University, Pune in all Intellectual Properties (Copyrights, Designs, Patents, etc.) and publications emerging during the course of my Fellowship with Sri Balaji University, Pune.

Name of the Research Fellow/Junior Research Fellow:

PRN:

Date of joining as an SBUP RF/JRF Fellow:

Signature

Date:

Place:

Countersignatures:

Signature by the Research Supervisor:

Name of the Research Supervisor:

Signature by the Director of the Institute of Sri Balaji University, Pune:

Name and Seal:

Signature of the Dean of the Faculty, Sri Balaji University, Pune:

Name and Seal:

Annexure no: 36

SRI BALAJI UNIVERSITY, PUNE

**JOINING REPORT OF THE SBUP RESEARCH FELLOW/JUNIOR
RESEARCH FELLOW (JRF)**

(For submission to the SBUP University Office)

To

The Hon'ble Vice Chancellor

Sri Balaji University, Pune

REF:

Name of Awardee:

PRN:

SBUP Ph.D. Admission Confirmation Letter dated: (Copy to be enclosed):

Respected Sir

This is to certify that (Name of the Research Fellow/Junior Research Fellow) has joined the (Name of Institute of SBUP) for undertaking the Ph.D. Programme (of the year) under the Research Fellowship/Junior Research Fellowship Scheme of Sri Balaji University Pune on date (Name of the date).

He/she will be provided with all necessary facilities during his/her tenure of the award.

Thanking you

Name of the Director (Institute of SBUP):

Signature and Seal:

Date:

Counter signature by the SBUP Research Fellow/Junior Research Fellow

Name:

PRN & SBUP RF/JRF Award No:

Date:

Annexure no: 37

SRI BALAJI UNIVERSITY, PUNE

**PROGRESS REPORT OF THE SBUP RESEARCH FELLOW/JUNIOR
RESEARCH FELLOW FOR THE PERIOD (From date to date)**

To

The Head, Research and Development Cell

Sri Balaji University, Pune

Respected Sir,

Enclosed find the Progress Report of the SBUP Research Fellow/Junior Research Fellow (name of the Fellow) for the period dated (From date to date).

1. Name of SBUP – Research Fellow/Junior Research Fellow:
2. PRN:
3. Number and date of the award letter
4. Details (Including Topic and Area of the Research):
5. The date of registration with the university:
6. Date of commencement of research:

Name of the SBUP RF/JRF Awardee:

PRN:

SBUP RF/JRF Award No:

Number and the date of the Award Letter:

Topic of the Research being done by the Fellow:

Date of Registration within Sri Balaji University, Pune:

Date of the commencement of the research within Sri Balaji University, Pune

PART 'A' (WORK REPORT)

1. Total number of working days during the period -

2. Total number of Leaves taken by the Fellow during the period -

- a. With fellowship (From date to date):
- b. Without fellowship (From date to date):

3. Number of days the Fellow remained out of station for fieldwork travel with dates and place visited -

- a. For what purpose:
- b. Places visited:
- c. Duration of the fieldwork travel (From date to date):
- d. Whether permission was granted by the Research Supervisor or SBUP for the visit?
If Yes, enclose supporting evidence:

4. Number of days the Fellow remained present at the university/college -

5. Teaching work done by the Fellow during the period -

- a. Number of hours of lectures taken by the fellow during the period (In the UG Schools of SBUP):
- b. Number of hours of lectures taken by the fellow during the period (In the Respective MBA institutes of SBUP):
- c. Subjects handled (In the UG Schools of SBUP):
- d. Subjects handled (In the Respective MBA institutes of SBUP):

PART 'B' (RESEARCH WORK REPORT)

(Detailed information to be attached by the Research Supervisor)

1. Details of Research publications during the period by the Fellow -

- a. Name of the Articles/Papers published by the Fellow:
- b. Name of the Journal within which the Article/Paper was published with complete information related to publishing of the paper such as pages no, ISSN/ISBN No, etc.

c. Whether the Journal is UGC CARE Approved or is listed in SCOPUS/ABDC/WEB OF SCIENCE, etc.?

d. Complete copy/reprint of the Articles/Papers published:

2. Details of Monographs written by the Fellow during the period -

a. Title of the Monograph and on which area/topic the Monograph was written:

b. Details regarding the publication/publisher wherein the Monograph was published with complete information related to the publication of the Monograph:

c. Complete copy/reprint of the Monograph written by the Fellow:

3. Details of Papers written and published by the Fellow during any Conference/Symposium/Research Congress attended by the Fellow during the period -

a. Information about the Conference/Symposium/Research Congress:

b. Whether the attendance of the Fellow was communicated to or approved by SBUP for the conference?

c. Title of the Paper written and published by the Fellow:

d. Complete information related to publishing of the paper such as pages no, ISSN/ISBN No, etc:

e. Complete copy/reprint of the Paper written and published by the Fellow:

4. Books/Book Chapters written and published by the Fellow during the period -

a. Name of the Book/Book Chapter written and published by the Fellow:

b. Name of the Journal/Publication within which the Book/Book Chapter was published with complete information related to publishing of the Book/Book Chapter such as pages no, ISSN/ISBN No, etc.

c. Whether the Journal/Publication is UGC CARE Approved or is listed in SCOPUS/ABDC/WEB OF SCIENCE, etc

d. Complete copy/reprint of the Journal/Publication published:

5. Any other Research publication done by the Fellow -

a. Details about said publication:

PART 'C' (COMMENTS BY THE RESEARCH SUPERVISOR)

Comments of the Research Supervisor on the progress of the research work during the period under report:

Name & Designation of the Research Supervisor:

Signature:

Date:

Name of the SBUP RF/JRF Fellow:

PRN:

SBUP RF/JRF Award No:

Signature:

Date:

Countersignature by the Director (Institute of SBUP)

Name of the Director (Institute of SBUP):

Signature and Seal:

Date:

Annexure no: 38

SRI BALAJI UNIVERSITY, PUNE
FORM FOR SUBMISSION OF ACCOUNTS OF CONTINGENCY
GRANTS AND UTILIZATION CERTIFICATE FOR FUNDS
ALLOCATED UNDER THE SBUP RF/JRF AWARD

(For submission to the SBUP University Office)

To

The Hon'ble Vice Chancellor

Sri Balaji University, Pune

REF:

Name of Awardee:

PRN:

SBUP Ph.D. Admission Confirmation Letter dated: (Copy to be enclosed):

Respected Sir,

Enclosed find details regarding funds allocated and utilized for research purpose by the SBUP RF/JRF Awardee named (Name), bearing SBUP RF/JRF Award No: (____) during the period of (from date to date).

Following information has been submitted:

- 1. Name of Awardee:**
- 2. PRN:**
- 3. Name of the Faculty under which the Awardee is working:**
- 4. Duration period for which the account of contingency grant relates to:**
- 5. Expenditure (from date to date):**

Following details regarding expenditure have been mentioned:

| Fund utilization period: (From date ____ to date ____) | | |
|--|------------------------|-----------------|
| Sr. no. | Expenditure Head | Amount expended |
| 1 | Books and allied items | |

| | | |
|---|--|--|
| 2 | Data processing work and related items | |
| 3 | Stationary and Misc. items | |
| 4 | Travel/Field work | |
| 5 | Cost of publications | |
| 6 | Cost of attending Conferences, Symposiums, Research Congresses, etc. | |
| 7 | Miscellaneous expenditure | |
| | Total Amount utilized | |
| | Total Contingency Amount allocated during the period | |
| | Balance Contingency Amount not utilized during the period | |

6. The period for which the contingency grant is payable:

7. Certification regarding allocation of the Contingency Grant:

Certified that the expenditure of ₹_____ (Amount expended in Numbers and in Figures) arising out of the contingency grant of ₹_____ (Amount expended in Numbers and in Figures) sanctioned vide SBUP University Letter no (Letter No) dated (Date of the Letter) in respect of (Name of the SBUP RF/JRF Awardee) has been utilized for the purpose for which it was sanctioned in accordance with the terms and conditions laid down by the University. Action can be taken at a later date, in case of any objection raised by any senior officer of SBUP, resulting in the check or audit of the funds allocated has revealed any irregularities regarding the amount allocated to the SBUP RF/JRF Awardee enabling further action to be taken for refunding, adjustment or regularization of the amount under objection, by the Awardee as per the case may be.

Name of the Research Fellow/Junior Research Fellow:

PRN:

SBUP RF/JRF Award No:

Signature

Date:

Place:

Countersignatures:

Signature by the Research Supervisor:

Name of the Research Supervisor:

Signature by the Director of the Institute of Sri Balaji University, Pune:

Name and Seal: