

**K.R. Mangalam University (KRMU), Gurugram**  
**Research and Development Cell (RDC)**  
**Standard Operating Procedures (SOPs) for PhD Programme**

*Standard Operating Procedures (SOPs) for a PhD Programme, covering the process from admission to the award of the PhD degree:*

**1. Admission Process:**

**a) PhD Entrance Examination dates approval:**

*The RDC Decides the PhD Entrance Examination dates for each semester and takes approval of the same from the Vice-Chancellor.*

**b) Supervisor's Eligibility & Approval:**

i). *School Research Committee (SRC) Chairpersons will prepare the proposed list of eligible supervisors and share with Research & Development Cell (RDC) from time to time as and when someone is found eligible.*

ii). *After verification, RDC will share the final list of eligible supervisors with Registrar office within four days.*

iii). *Registrar will take the approval of final list of eligible supervisors from the Vice-Chancellor and same will be ratified by Academic Council in next immediate meeting.*

**c) Call for Submission of PhD Applications:**

i). *The RDC will prepare the PhD matrix which indicates seats available in each discipline.*

ii). *The RDC will prepare and share the PhD admission brochure with admission team, in the odd and even semester on the basis of vacant seats according to PhD disciplines at KRMU, two months prior to the entrance exam/interview dates.*

iii). *The Admission team will advertise the call for PhD admission on different platforms (like, local newspapers, national newspapers, university website, social media etc.) within one week after receiving PhD admission brochure from RDC essentially mentioning the inclusion of NET entrance exam for PhD admissions.*

iv). *Prospective candidates will fill and submit the applications through the designated portal of KRMU, along with requisite entrance fee.*

v). *Applicants are required to submit their academic transcripts on online portal of KRMU.*

vi). *Admission team will share the list of applicants and print out of applications and transcripts with RDC on every Friday after start of application process.*

**d) Application Review:**

*The RDC will review applications and check the minimum eligibility and authenticity of documents of the candidates in terms of percentage/grade at post graduate level. Candidates will be short listed as per the eligibility criteria within three days from the date of receipt of applications and transcripts, from admission team.*

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R3

**e) Selection Process (Entrance Exam/Interview):**

- i). Entrance exam will be of 70 Marks, there are two Question Papers of 35 Marks each (Part-A: Research Aptitude & Research Methodology, Part-B: Discipline Specific).
- ii). The RDC will prepare Part-A and schools will prepare Part-B as per the instructions given by the RDC, both the question papers must be ready and submitted to RDC before seven days from the exam.
- iii). The RDC will inform the date of KRMU-PET and Interview to eligible candidates and NET/GATE/SLET/GPAT/MPHIL/OTHER EQUIVALENT EXAM, qualified candidates will be exempted from KRMU-PET, however they have to appear for the Interview. RDC will intimate the KRMU-PET exempt candidates about the Interview date through mail one week in advance. **It is essential to acknowledge the applications of the exempt candidates within the three days from receiving the date of applications.**
- iv). All applicants will appear for the interview before the respective school Panel of Experts, constituted by RDC and approved by Vice-Chancellor, on the day of KRMU-PET & Interview. Panel of Experts will share the interview marks with RDC on same day of Interview.
- v). The RDC will prepare the consolidated list of marks obtained by candidates in KRMU-PET & Interview/Interview within three days from the date of KRMU-PET & Interview/Interview.
- vi). Final selection will be on the basis of marks obtained in entrance examination as well as in the Interview.

**Note: A candidate needs to score minimum 50% marks in KRMU-PET & Interview separately to qualify the entrance test. For SC/ST/OBC (Non-creamy layer)/Physically Disabled (having more than 40% disability) candidates, the minimum passing marks is 45% in KRMU-PET & Interview separately.**

- vii). The RDC will obtain approval of PhD result from Vice-chancellor within three days after the exam and share it with Office of the Registrar for notification. The same notification shall be sent to the admission office for issue of Offer letters (**Annexure-1**).

**f) Admission Offer and Registration:**

- i). Successful candidates will receive an Offer letter from the admission office through email for admission with details of fees to be paid and self-attested documents to be submitted within three days from the date of receiving notification.
- ii). The Admission team will issue the Provisional Admission Letters (**Annexure-2**) to candidates who have paid 1<sup>st</sup> Semester Fee and submitted self-attested documents. The office of the registrar will send document submission letters (**Annexure-3**) to candidates who paid the 1<sup>st</sup> semester fee and submitted self-attested documents to present themselves in the RDC office for the verification

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K.R. Mangalam University  
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R3

- of original documents mentioned in Provisional Admission Letters within one week from the date of receiving of Provisional Admission Letters.
- iii). The RDC will verify the original documents of provisionally admitted candidates and share the verified list with Office of the Registrar and admission team.
  - iv). The Office of the Registrar will generate roll number, serosoft account, Outlook email ID and issue the ID cards within three days after receiving the list from RDC and communicate credential letters to candidates (**Annexure-4**).
  - v). The Office of Registrar will issue the Admission Letters (**Annexure-5**) to candidates within one week as per the prescribed format by RDC.
  - vi). The Office of the Registrar will share the list of finally admitted candidates (known as Research Scholars) with SRC Chairpersons, RDC, Accounts, and Library, at-least one week before the Orientation Day.

## **2. Orientation Programme:**

- i). There will be an Orientation Programme through which newly admitted PhD scholars will be exposed to various aspects of the PhD programme of the University such as about the Schools, about Supervisors, about existing research facilities, and campus resources. RDC is the Nodal to conduct this programme.
- ii). The RDC will design and share the schedule of orientation programme with registered research scholars before one week of the orientation day.

## **3. Allocation of Supervisors & Coursework:**

- i). The SRC chairpersons will conduct the first SRC meeting for the Allocation of appropriate supervisor(s) and co-supervisor(s) (if any) based on the area of the interest of the research scholar(s) and share the minutes of meeting with RDC on the date as communicated by RDC. The RDC will prepare and issue, "Approval of Supervisor certificate" and "Approval of Co-supervisor certificate" to Supervisor(s) and Co-Supervisor(s) (**Annexure-6 & Annexure-7 respectively**).
- ii). Supervisors will constitute Research Advisory Committee (RAC) (**Annexure-8**), as prescribed for each and every assigned Research Scholars and share with the SRC Chairperson and RDC on the date as communicated by RDC.
- iii). Supervisors should hold the first meeting of RAC with the research scholar within one week of the RAC constitution. In this meeting RAC should advise the research scholar based on his/her interest a "working title" of the PhD thesis (**Annexure-9**) so that the research scholars start working on his/her literature survey.
- iv). Coursework registration form (**Annexure-10**) will be shared by RDC to all SRC Chairpersons on the day of first SRC meeting.
- v). SRC Chairpersons will ensure the registration of the research scholars for mandatory courses on the day of first SRC meeting. SRC Chairpersons should also ensure the registration in the recommended additional courses (**Annexure-10A**) to be completed within 10 days of the first SRC meeting.
- vi). SRC Chairpersons will share the coursework registration forms of all research scholars with RDC within 10 days of the first SRC meeting.
- vii). RDC will share the schedule of coursework with research scholars and SRC on the day of the first SRC meeting.

viii). Coursework will be held on every Saturday & Sunday as per the schedule.

**Research Synopsis Time Line for Research Scholars Exempted from Coursework:**

- i). Research scholars with MPhil degree and if already completed the coursework from any other University will apply to RDC for the exemption of coursework.
- ii). RDC will take the approval of Vice-Chancellor for such research scholars and will report the matter as agenda point in subsequent URC meeting.
- iii). Research scholars who are exempted from the coursework may submit the Research Synopsis (**Annexure-11**) based on "working title" of PhD thesis advised by RAC and will give a presentation to SRC within six months from date of registration.
- iv). Research scholars may submit the research synopsis to SRC after incorporating the suggestions of SRC (if any) in consultation with RAC within fifteen days.
- v). SRC will approve the research synopsis within fifteen days.
- vi). SRC Chairperson will share the list of approved with RDC within seven days of the meeting for the research synopsis approval.
- vii). Maximum Time Duration for the submission of research synopsis for such research scholars will be one year from the date of registration. In exceptional cases. Extension of six months is given by the Vice Chancellor on recommendation of SRC and RDC.

**4. Course Completion:**

- i). The SRC shall review and approve the Literature Survey Progress of research scholars during the semester progress meetings. **The approval of Research Plan/Synopsis is subjected to satisfactory completion of literature survey as approved by SRC.** The maximum allowable time for completing literature survey within first two semesters. SRC shall submit the completed literature survey to the RDC for examination by panel of experts drawn from within the concerned department.
- ii). The RDC will conduct the End term examinations of mandatory courses, Research Methodology (RM), Research Publication & Ethics (RPE), Quantitative Techniques (QT), Introduction to Pedagogy & Teaching (IPT) and online modules as per course work schedule. The eligibility to appear for the course work examination is 75% attendance (In special conditions, the requirement of minimum attendance may be relaxed by the Chairperson URC).
- iii). All course coordinators, who are teaching the respective courses, as appointed by RDC from time to time will submit the marks to RDC within seven days from the coursework examination.
- iv). Research scholars will submit the certificate for the, "The Primer on Intellectual Property (by WIPO: Self-Paced)", to RDC as per course work schedule.
- v). Qualifying marks of Course Work is 55% (Grade C).
- vi). The RDC will share the result of coursework to CoE Office within seven days from end term exam.
- vii). The CoE office will declare the final result within 14 days from end term exam.

viii). The CoE office will prepare and issue grade sheet of coursework examination to research scholars within one month from end term exam.

**5. Research Synopsis:**

- i). The minimum time period for submission of research synopsis (**Annexure-11**) for approval from SRC is one year and maximum duration for the approval of research synopsis is one and half year from Date of registration. In exceptional cases extension of six months (for maximum duration upto two years) may be given by the Vice Chancellor on recommendation of SRC.
- ii). Research scholars will submit the research synopsis and "working title" of research synopsis as approved by the RAC and give a presentation to SRC on the date as communicated by RDC.
- iii). Research scholars will incorporate the suggestions (if any) given by SRC in research synopsis in consultation with RAC within fifteen days from the research synopsis presentation.
- iv). The SRC will approve the research synopsis and "working title", after assuring that proposed corrections have been incorporated, within fifteen days from the final submission of research synopsis.
- v). SRC will assure that the "working title" is based on interdisciplinary research work and it shall be finally approved by Chairperson SRC.
- vi). The SRC Chairperson will submit the approved research synopsis and working title to RDC within seven days.

**6. Monitoring Research Progress of a Research Scholar:**

**a) Registration of Research Scholar in each semester:**

- i) RDC shall notify the start and end of every semester in the academic calendar of the PhD programme.
- ii) Research scholar will fill up the "Semester No Dues cum Registration Form" (**Annexure-12**) in each semester from second semester onwards and submit to RDC.
- iii) RDC will prepare the list of registered and non-registered research scholars and share with respective schools, accounts department, and registrar office for further action as instructed by RDC.
- iv) Respective SRCs are to assure that only formally registered research scholars are allowed to meet their respective Research Supervisors and assessed during the semester progress meetings.

**b) Research Work Progress:**

- (i) RAC will monitor the research scholar's semester progress report (**Annexure-13A**) on regular basis and submit the satisfactory progress report to SRC Chairperson one week before the semester progress meeting.
- (ii) Research scholar must comply with the RAC's suggestions within two weeks from the date of RAC meeting.

**c) Regular Progress Reports:**

- i). RDC to notify in the academic calendar the period within which SRCs have to conduct semester progress evaluations.

- ii). SRC will conduct the semester progress evaluation only for re-registered research scholars in the given semester.
  - iii). Research scholars will submit the six monthly progress reports (**Annexure-13B**) and give the presentation to SRC in the months of July and January. In exceptional cases (i.e. absence of students and large no. of students) SRC meetings may be extended by one month with prior approval of the Chairperson-URC.
  - iv). SRC will give their remarks as "Satisfactory (S)/Unsatisfactory (U)" on the six monthly progress report submitted by the research scholars.
  - v). Two unsatisfactory remarks in six monthly progress reports will lead to cancellation of research scholar from the rolls of the University. However research scholar may write an application to SRC chairperson with appropriate reasons for getting unsatisfactory remarks if he/she wants to continue in the PhD programme. In such cases Vice-Chancellor may give approval on the recommendation of SRC Chairperson.
  - vi). In case a research scholar has been taken off from the rolls of the university and if he/she wants to continue it will be mandatory for him/her to re-register (maximum within one year) for the PhD programme by paying the required fee.
  - vii). SRC Chairperson will submit hard and soft copies of every six monthly progress reports along with recommendation for research scholars to CoE Office & RDC, till pre-thesis presentation.
- d) Research Scholars who have completed 32 months:**
- (i) SRC chairperson will share the list of research scholars with RDC who have completed the minimum 32 months. All those research scholars who have completed their research work and intends to present it shall submit the prescribed format of "Pre-thesis submission presentation" (**Annexure-14**) to the Chairperson SRC.
  - (ii) SRC shall examine the contents of the submitted format (**Annexure-14**) and if found satisfactory, it will intimate the date and venue of the presentation to the research scholars and RDC through an official circular.
  - (iii) The chairperson RDC shall ensure the presence of the external expert in the SRC and at-least one nominee of the URC during the Pre-thesis submission presentation.
  - (iv) The SRC shall provide the remarks
- e) Research Scholars who have completed the maximum duration:**
- i). Research scholar will apply for the extension to SRC Chairperson through supervisor (If research work is not completed in six years).
  - ii). SRC Chairperson will apply for the extension of PhD duration of a Research Scholar to Chairperson Academic Council through RDC.
  - iii). RDC will share the approval of extension, if granted, with office of the Registrar for issuance of Office Order and the office of the Registrar will circulate the Office Order as per standard list.

**f) Verification of Publications by RDC:**

i). Supervisors will share the list of publications of research scholars (at-least two as a first author) and certificates for presentation in conferences/seminars by the research scholars to RDC for verification.

ii). RDC will verify publications and certificates and intimate to Supervisor.

**g) Pre-Thesis Presentation of Research Scholars:**

i). Supervisor will request to SRC for conducting Pre-PhD Thesis Presentation of research scholar who has completed all requirements as prescribed for the Pre-PhD thesis presentation (Annexure-14).

ii). Research Scholar will submit all requirements as prescribed for the Pre-PhD thesis presentation (Annexure-14) and No Dues form (Annexure-15) to SRC Chairperson.

iii). SRC Chairperson will conduct the Pre-thesis presentation after verifying no pendency as prescribed in Annexure-14 and Annexure-15.

**h) Pre-Thesis Presentation approval/not-approval:**

i). If SRC will approve the Pre-Thesis submission presentation of a research scholar. The research scholar should submit the draft PhD thesis (Annexure-16) & summary of research work (Annexure-17) within three months to CoE. If research scholar will not submit within three months he/she should apply for the, extension of next three months from SRC.

ii). If SRC will not approve the Pre-Thesis submission presentation of a research scholar, a second chance will be permitted by SRC. In second chance, if SRC will approve the Pre-dissertation presentation then research scholar should submit the draft thesis & Research Summary within three months to CoE. If research scholar will not submit within three months he/she should apply for the, extension of next three months from SRC.

iii). If SRC will not approve the Pre-Thesis submission presentation in second chance. The third chance may be granted by the Vice Chancellor on the recommendation of the SRC/RDC (In exceptional cases). In third chance, if SRC will approve the Pre-dissertation presentation then research scholar should submit the draft thesis & research summary within three months to CoE. If research scholar will not submit within three months he/she should apply for the, extension of next three months from SRC.

iv). If SRC will not approve Pre-dissertation submission presentation in third chance then the case will be submitted to URC for further action.

**7. PhD Thesis Submission:**

- i). Research scholar should submit a draft PhD thesis (Annexure-16) and a summary of research work (Annexure-17) to supervisor for review within 45 days from approval of pre-thesis presentation.
  - ii). Supervisor will review the draft PhD thesis, final title and summary of research work. After verification Supervisor will submit to RDC for cross verification within one week.
  - iii). The RDC will verify all fees and fine, if any paid, draft PhD thesis and summary of research work of research scholar and can give suggestions, if any, to supervisor within one week.
  - iv). Supervisor will communicate suggestions of RDC, if any, to research scholar. Research scholar will submit the hard copies of three spiral bound draft PhD thesis and five copies of final summary of research work to Supervisor after incorporating all suggestions of RDC, if any.
- 8. Final Evaluation and Award of PhD:**
- a) PhD Thesis & External Reviewer's Name Submission to CoE:**
- i). Research Scholar along with Supervisor will submit three spiral bound copies of draft PhD thesis (Annexure-16) and five spiral bound copies of summary of research work (Annexure-17) with soft copies of thesis and summary of research work in a pendrive to CoE within 3 days after receiving approval from SRC Chairperson.
  - ii). Supervisor will submit the names of six external examiners (Annexure-18) (at least four Professors and two Associate Professors working in the related research area. Wherever possible, three of the external examiners should be chosen from outside India.) to CoE through SRC Chairperson.
  - iii). CoE will take the approval of two external Examiners from the Vice Chancellor as per rules.
  - iv). CoE will send the submitted thesis to approved External Examiner within two weeks of submission of thesis.
- b) Final Evaluation of PhD Thesis by External Reviewers:**
- i). PhD thesis submission certificate (Annexure-19) will be issued to research scholar by CoE office within three days from date of submission. CoE office will send one copy of thesis submission certificate to SRC Chairperson and RDC.
  - ii). RDC will take follow-ups from CoE office regarding Evaluation reports (Annexure-20) of the external examiners. CoE office must ensure that the evaluation report from both the external examiners should reach within 45 days from date of dispatch of thesis.
  - iii). If both the thesis evaluation reports will not receive within 45 days, CoE will send reminder to external examiners.
- c) Evaluation Report of the Thesis:**
- i). After receiving both thesis evaluation reports from two External Examiners, CoE will share the reports with URC Chairperson if reports are favourable.
  - ii). Constitution of Oral Defence Committee (ODC) by Vice-Chancellor. (To be obtained by CoE if both the reports are favourable). ODC members are Supervisor,

External Examiner, SRC Chairperson and One member nominated by Vice-Chancellor.

iii). If external examiners given some suggestions in the reports then CoE will share the reports with SRC Chairperson, Supervisor and RDC.

vi). SRC Chairperson and Supervisors will check the Compliance of Observation/comments of external examiner if any, before Oral Defence and RDC will verify the compliance as per the reports shared by the CoE.

v). CoE will confirm the availability of one external examiner for the Oral Defense and will inform to SRC Chairperson and Supervisor.

vi). SRC Chairperson will convene the Oral Defense of research scholar as per the availability of external examiner and other members of ODC.

vii). Respective ODC will submit the report **(Annexure-21)** of Oral Defense to CoE.

viii). Research scholar will submit two hard bound copies and one soft copy of final thesis to KRMU-Library and one hard bound copy to CoE Office as per the checklist for final thesis submission **(Annexure-22)**.

ix). Librarian will issue a final thesis submission certificate **(Annexure-23)** to research scholar.

x). Librarian will upload the soft copies on INFLIBNET within 30 days of receiving the soft copy of Thesis.

xi). CoE will take the approval for the award of degree from Vice Chancellor after 21 days of upload of PhD thesis on INFLIBNET.

xii). CoE will notify the PhD result and issue a provisional degree within 15 days after approval from the Vice Chancellor.

#### **9. Convocation Ceremony:**

##### **a) Participation in Convocation Ceremony:**

i). CoE will inform to eligible research scholars about convocation ceremony.

ii). Research scholars will submit required Photo and fee (if any) to CoE office and accounts department.

iii). Research scholars will attend the convocation ceremony.

##### **b) Issuance of Degree Certificate:**

The PhD degree certificate will be awarded to research scholars during the Convocation ceremony.

#### **Note:**

i). PhD Semester fee will be paid by the research scholars till the time of PhD thesis submission.

ii). Semester fee payment last dates are 30 June and 31 December of a calendar year.

iii). Throughout the PhD programme, research scholar will be encouraged to participate in seminars, conferences, and other academic activities to enhance their research skills and knowledge. They are also encouraged to publish their research outcomes in quality journals indexed in SCOPUS/Web of Science.

- iv). A best thesis Award, to be evaluated based on certain parameters, will be given to research scholar and his supervisor (s) on the recommendation/approval of competent authority on Teacher's Day.
- v). These SOPs provide a structured framework for the successful completion of a PhD programme, ensuring that research scholars receive comprehensive guidance and support throughout their research journey.
- vi). These SOPs will be applicable to all existing PhD students.

*All correspondences with regard to Ph.D. should be addressed at:*

[dean.research@krmangalam.edu.in](mailto:dean.research@krmangalam.edu.in)

[associate.deanresearch@krmangalam.edu.in](mailto:associate.deanresearch@krmangalam.edu.in)

[phdadmissions@krmangalam.edu.in](mailto:phdadmissions@krmangalam.edu.in)