

# **ACADEMIC REGULATIONS FOR Ph.D PROGRAMME**



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**SIKSHA 'O' ANUSANDHAN UNIVERSITY,  
BHUBANESWAR, ORISSA, INDIA**

**2007 – 2008**

**REGULATION FOR PH.D. DEGREES IN ENGINEERING, SCIENCE, PHARMACY,  
MANAGEMENT UNDER SIKSHA 'O' ANUSANDHAN UNIVERSITY,  
BHUBANESWAR**

**A. Registration for Ph.D. Degree**

**1. Eligibility**

One of the following shall be eligibility criterion for registration to Ph.D. programme of the University.

- 1.1 M.Tech./ M.Phil./ M.Parm./ M.Arch. with minimum 6.5 CGPA in 10 point scale (or equivalent percentage (60%) of marks in aggregate).
- 1.2 B.Tech./B.Pharm./M.Sc./MBA/MCA with minimum 7 CGPA in 10 point scale (or equivalent percentage of marks in aggregate) and uniformly good academic career.
- 1.3 GATE qualified candidates/NET/JRF qualified candidates.
- 1.4 A candidate would also be eligible for Ph.D. registration in any subject/ allied subject(s) other than his/her subject at the Master's level to be decided by the Doctoral Scrutiny Committee.

Above requirement may be relaxed for the following:

- 1) Faculty members having at least three years of teaching/ research experience.
- 2) Candidates working in sponsored projects in constituent and affiliated colleges if the project duration is not less than three years.
- 3) Candidates working in National laboratories, R & D Institutions of the Central/ State Government and R & D Laborites of reputed industries in permanent positions, reputed R & D centers.

**2. Qualifying Process**

- 2.1 A candidate desirous of pursuing a Ph.D. programme under SOA University shall apply in the prescribed format (Appendix-I).
- 2.2 (a) Qualifying through Entrance Test
  - i) The university shall invite application or registration to Ph.D. programme twice in a year in the month of January and July.

ii) The Registrar shall get the applications scrutinized with the help of a scrutiny committee (to be formed by the registrar with the approval of the Vice-Chancellor). Such result of securitization shall be notified before 1<sup>st</sup> February /1<sup>st</sup> August of each year and the eligible candidates would be intimated to appear at the Entrance Test. The question paper for entrance test shall carry 100 marks of one hour duration. The minimum eligibility mark shall be 40%. The entrance test shall be held twice in a year i.e. during the month February and August and the result be notified within a week.

(b) Exemption from Entrance Test

The following shall be exempted from the Entrance Test.

i) M.Tech/M.Pharm/M.Phil. Degree holders from BPUT or any other university recognized by SOA.

The candidates exempted from Entrance Test shall also apply to the Registrar in the prescribed format at Appendix-I along with other applicants in response to the Registrar's advertisement. The Registrar shall get the applications scrutinized with the help of the scrutiny committee and the list of candidates exempted from Entrance Test shall be notified before the Entrance Test.

**3. Registration**

The Registrar shall notify a consolidated list of successful candidates including those exempted from Entrance Test to the Controller of Examinations under intimation to the concerned Department/ College. The selected candidates shall apply for registration in the prescribed format (Appendix-II) within six months from the date of notification. The Registration will be accorded on the recommendation of Doctoral Scrutiny Committee (DSC) based on presentation of the synopsis by the candidate before members of DSC. The registration of candidates will be effective from the date of issue of letter of registration.

**4. Place of Research**

The research work can be conducted in any of the concerned P.G. Departments of the University/ Constituent/ colleges and in reputed research

centers recognized by the Research Committee of the University. The UG departments of constituent colleges can be considered as place of research if recognized by the SRA committee basing on the facilities available for the proposed research work. The University should prepare a list of Institution as place of research for different subjects basing on the facilities/ infrastructure available.

## **5. Supervisor / Guide**

The following categories of persons of the Universities shall be eligible to become Supervisor / Guide.

- (i) Professors / Readers / Lecturers working in the university / constituent colleges with minimum 5 years of P.G. /10 years of UG teaching experience with Ph.D degree in the concerned subject.
- (ii) Professors/ Readers/ Lecturers of other universities/ Institutes/ Research centre with above criteria. However, they have to take one co-supervisor from the regular faculty of the University/ Constituent who are in active research in the related field.
- (iii) Retired persons /Senior Scientist from BPUT/ Constituent/ other Universities/ Institutes. However, they have to take one co-supervisor from the regular faculty of the University/ Constituent colleges who are in active research in the related field.
- (iv) A supervisor is entitled to take a maximum number of 8/10 research scholars at a time including co-guidance.

## **6. Course Work**

Course work shall form an integral part of Ph.D. Programme. A candidate with M.Tech./ M.Pram has to take 2 courses (08 credits) and those with Bachelor's Degree have to take 4 courses(16 credits) with minimum of C Grade in each course. The course should be of M.Tech/M.Phil. Level and related to the field of research. The courses to be taken by the candidate should be recommended by the Doctoral Scrutiny Committee. The courses will be of self-study type and the syllabus should be prepared by the DSC conforming to the standard of M.Tech. Course in IITs/ Reputed Institutions. However, the candidates should attend special lectures of 20 hours duration to be organized by the University in two phases. The University will arrange such programmes of special lecture with the help of the guide and members of DSC. Outside experts from reputed Institutes should be invited to deliver such lectures. The university should prepare the calendar and notify the same in the web site. All process should be completed by December of each year. All such self-study courses have to be evaluated basing on a written test. The

Controller of Examination will conduct the tests and the result may be communicated to the DSC members and the candidate.

**7. Research Committee of the University (R.C.U.)**

The Research Committee of the University shall be formed by the Academic Council. It shall consist of the Vice-Chancellor as the Chairperson; seven other members drawn from different Schools of Studies (Two from Engineering, one each from Architecture, Management, Basic Science, Pharmacy, and MCA) and Registrar will be Ex-officio members. The Controllers of Examinations shall be the Convener of the RCU. Its function shall be (a) to decide the cases of adverse reports or lack of unanimous recommendation by the examiners or in case of any doubt on such matters, (b) to interpret and give effect to the Regulations regarding Doctoral Degree; (c) The RCU shall deal with complaints made by Research Scholars and Supervisor(s), (d) to deal with such other matters as may be brought before it for consideration by the Vice-Chancellor, Controller of Examinations, or any member of RCU / DSC. The Controller of Examinations shall place such matters before the RCU for a decision.

**8. Doctoral Scrutiny Committee (DSC)**

8.1 For each student, there shall be a Doctoral Scrutiny Committee (DSC) comprising of 3 members (not below the rank of reader) nominated by the Vice-Chancellor out of which two members of the DSC shall be drawn from amongst the faculty members of concerned Department of the University/ Constituent/ Affiliated Colleges having Doctoral Degree in the subject concerned / related subjects. The other member may be from other departments having worked in the related field of research. Trite senior most member of the Faculty in the DSC (Considered basing on length of service) will act as the Chairperson of the Committee.

8.2 A candidate's broad topic of research and research proposal shall be examined by the DSC to assess its suitability for Doctoral level research. In case the DSC is not satisfied with the research proposal of the candidate it may suggest definite change(s) therein and the candidate shall be required to make appropriate changes in the proposal as suggested by the DSC, which will be placed before the DSC in its subsequent meeting for a final decision. The title of the dissertation may be modified later on the recommendation of the supervisor and approval of the DSC. In all cases the candidate shall make a presentation of his research proposal in the meetings of the

DSC and faculty members of the Department. Such presentation shall be arranged by the University.

- 8.3 The Controller of Examinations shall convene meeting(s) of the Doctoral Scrutiny Committee (DSC) as per necessity and no case shall the application of any candidate be kept pending beyond six months from the date of application without being placed before the DSC.
- 8.4 The renewal of registration will be enforced after 6 years of registration. The 1<sup>st</sup> renewal will remain effective for 2 years and subsequent renewals will be for one year only. The candidate cannot avail himself/herself of renewal for more than 3 times.

## **9. Submission of Thesis**

- 9.1 A candidate can submit his/her Ph.D. thesis after the completion of 2/3 years from the date of registration provided the candidate has submitted progress report to the Controller of Examinations duly forwarded by the Supervisor/ Guide every six months.
- 9.2 A synopsis shall be submitted by the candidate before submission of the thesis and a presentation will be made to the DSC. The thesis needs to be submitted within 3 months of submitting the Synopsis.
- 9.3 A dissertation work may be allowed to be submitted provided at least two publications in journals of international repute have been made or accepted for publication.
- 9.4 A dissertation work may be allowed to be submitted provided the candidate has successfully completed the prescribed course work.
- 9.5 At least six months prior to the date of submission of the thesis a candidate shall inform the Controller of Examinations through his/her supervisor in writing.
- 9.6 At the same time, the supervisor shall confidentially submit a panel of ten experts (five foreign examiners and five Indian examiners) to the Controller of Examinations for evaluation of the thesis. The Indian examiners shall be from outside the state. The Controller of Examinations will place the said panel before the Board of Studies for approval. The Board of Studies will approve the panel with/ without modifications. However the Board can modify the panel giving adequate justification therefore. The Controller of Examinations shall place the panel approved by Board of studies before the Vice-Chancellor who shall finalize the external examiners other than the Supervisor(s) for evaluating the thesis in order of preference. After receiving recommendation from the examiners the Controller of Examinations shall again place the panel of examiners for

Viva-voce test before the Vice Chancellor. The Vice-Chancellor shall choose one of the external examiners who has examined the thesis for viva voce test. The Supervisor and / or the Co-supervisor shall be internal examiner(s) of the thesis and viva voce. If all the examiners unanimously recommend the thesis for award of the degree, the viva-voce shall be arranged. An open viva-voce examination shall be held with notification to all concerned if the thesis is accepted unanimously by all the examiners. The Chairman and members of the DSC shall be invited by the Supervisor to be present at the viva-voce. The Supervisor shall be the Chairman of the Board of Examiners. In case the Board of Examiners recommends for conduct of fresh viva-voce, the matter shall be placed before the RCU for a decision. Fresh viva may be allowed by RCU after two months from the date of first viva but within six months from the date of first viva. The Board of Examiners for the fresh viva may be decided by the Vice-Chancellor. If the examiners do not recommend award of Ph.D. to a candidate after 2<sup>nd</sup> viva, the thesis will be rejected.

- 9.7 The panel of examiners shall remain valid for two years from the date of approval by the Board of Studies.
- 9.8 At the time of submission of the thesis, a candidate shall submit the following documents and shall pay the prescribed fees:
- 9.8.1 Three copies (4 copies in case where there is co-supervisor) and one hard bound copy of the thesis.
  - 9.8.2 The original Ph.D. registration letter including the original renewal letter if any, issued by the University.
  - 9.8.3 A certificate from the Supervisor to the effect that the work done by the candidate is original and is within the area of registration.
  - 9.8.4 Five copies of the abstract (not exceeding 500 words).
- 9.9 The consent of the examiners, both Indian and foreign shall be sought by the Controller of Examinations. If the consent is not received from an examiner within six weeks, the next examiner may be contacted. E-mail/Fax addresses may be used.
- 9.10 If the consent is received from an examiner, the thesis shall be dispatched to him/her within a week requesting him/her to send the report within four months.

- 9.11 The examiners shall write their report in the prescribed format (Appendix-11) which shall be sent to them alongwith the thesis and guidelines for writing the report.
- 9.12 In case the report is not received within four months, a reminder shall be sent to the examiner. In the event of non-response from the examiner within next 2 months, the next examiner from the panel will be contacted for evaluation of the thesis.
- 9.12 The examiner shall evaluate the thesis and give the recommendation in one of the following three ways.
- i) Accepted in the present form
  - ii) Accepted with suggested modifications
  - iii) Rejected
- If an examiner suggests modification, the same must be done by the candidate and the modified thesis should be submitted to the same examiner for re-evaluation within six months,
- 9.13 The Board for the viva-voce will consist of Supervisor and/or Co-supervisor and one of the examiners who has examined the thesis under approval of the Vice-Chancellor. If the examiner of the thesis does not turn up for Viva-Voce test the Vice-Chancellor can nominate another examiner not below the rank of a Professor of the discipline concerned to conduct the Viva.
- 9.14 For award of the Ph.D. degree to a candidate the following form of recommendations are required.
- i) The three reports (Four in case of co-supervisor) from the examiners must be favorable and satisfactory performance in the Viva- voce test.
  - ii) If one of the report is not favorable, the thesis may be sent to another examiner (Indian or foreign as the case may be) from the same panel with the approval of the Vice-chancellor and his decision shall be final.
  - iii) If two or more examiners have reservations in awarding the degree, the thesis shall be rejected and the candidate shall not be awarded the Ph.D. degree.

## **10. Duration**

- i) The thesis should be submitted for evaluation within six years from the date of registration. The renewal of registration will be enforced after six years of registration. The first renewal will remain- effective for two

years and subsequent renewals will be of one year only. The candidate can avail maximum three renewals. However, grant of any renewal will be subject to the request of the candidate with recommendation of the supervisor(s) and DSC and approval of the Vice-Chancellor.

- ii) If the candidate cannot submit the thesis within stipulated time, his registration will be cancelled and he will not be allowed to pursue Ph.D. programme under the University any more.
- iii) If the thesis is rejected by the examiner(s), he will be allowed for re-registration in another topic with another supervisor under going the same procedure as earlier, if the third examiner rejects it. If the thesis is rejected for the second time then he will be debarred for further registration in any topic under the university.

## **11. Cancellation of Ph.D. Registration/Change of Topic/Supervisor**

- 11.1 If the supervisor recommends cancellation of registration of a candidate, the same will be placed before the DSC for a decision. Such cancellation however would not disqualify the candidate to continue with Doctoral research under a new guide with the approval of DSC.
- 11.2 A candidate can change the Supervisor / Co-supervisor or the topic of research within the period of registration with the consent of the Supervisor/ Co-Supervisor.
- 11.3 If a candidate wishes to change the topic of research, the matter will be placed before the RCU for a decision. If allowed for change of topic, a new DSC will be formed for the candidate. The DSC will recommend course work depending upon the area of research after satisfactory performance in the presentation.
- 11.4 Applications for minor change(s) in the title of the thesis or recommendation of the Guide shall be decided by the Controller of Examinations.

## **12. Language of Thesis**

The candidate shall be required to write the thesis in English only.

## **13. Typing and Binding of the Thesis**

A thesis shall be typed preferably on both sides of the paper and be soft-bound. A hard-bound copy will be required for preservation in the library.

- B. All pending cases shall be decided as per the provisions of the Regulation applicable on the date of application (rates will not be implemented retrospectively).

However a candidate so desires he/she shall be allowed to be considered under the present revised Regulation. Such applications shall be approved by SRC.

- C. This regulation shall come into force with effect from the date of notification.