

**CHHATTISGARH SWAMI VIVEKANAND TECHNICAL UNIVERSITY
BHILAI**

Ordinance No. 10

(Under Section 38)

Modified Ordinance for Doctor of Philosophy

(The underlined portion in the following paragraphs is the modification/addition)

Preamble

1. The degree of Doctor of Philosophy (Ph.D.) may be granted in any discipline belonging to any Faculty of Chhattisgarh Swami Vivekanand Technical University (hereinafter: University), in which Post-Graduate studies and/or research is available at the University or at its affiliated Colleges/Institutions that are recognized as Research Centers by the University.
2. All academic matters related to Ph.D. degree shall be processed by a Departmental Research Committee (hereinafter: DRC) consisting of the following:
 - i. Head of the School/Department (Chair), for UTD or Principal/Director (Chair) for affiliated Colleges/Institutions of the University
 - ii. Head of the concerned department for affiliated college/institution provided the Head of the department holds a Doctorate degree in the relevant discipline
 - iii. Two members from the UTD/Research Center who are recognized as Ph.D. Supervisors
 - iv. One member nominated by the Kulpati

Provided that three members including the Chairman will form the quorum.

3.0 Eligibility for registration for degree of Doctor of Philosophy

A candidate for the PhD must at the time of application

- 3.1 Holds Master's degree with at least 55% marks or an equivalent grade of the University, a deemed University or any other University incorporated by any law for the time being in force and recognized by the University.

OR

He/She possesses M. Phil. degree through a regular programme from an University, a deemed university or any other university incorporated by any law for the time being in force and recognized by the university, who has at least three years of experience of research/teaching with at least three papers published in standard research journals (with ISSN) may be permitted to get registered for Ph.D. degree, even if he/she does not possess 55% marks at Master's Level.

OR

He/She holds Bachelor of Engineering/Technology/Architecture/Pharmacy Degree of a recognized University with at least 65% marks or equivalent in aggregate and possessing demonstrable research capabilities shall be eligible to seek enrollment for the Degree of PhD under special circumstances.

3.2 The requirement of marks at the Master's level may be relaxed to a maximum of 5% for SC/ST/Differently abled candidates.

3.3 The selection for admission to Ph.D. degree programme will be done through an Entrance Test to be conducted at the University level followed by personal interview of the candidate. The Entrance Test will be conducted at the University level once in an year (however looking into the number of applications the frequency of holding the Entrance Test may be increased to Twice in an year)

3.4 The requirements of entrance test is relaxed for

- i. Candidates with valid score card of UGC/CSIR (JRF) examination, NET, SLET or GATE.
- ii. Candidates possessing M.Phil. degree through a regular programme from an University, a deemed university or any other university incorporated by any law for the time being in force and recognized by the university.
- iii. Teacher fellowship holder and University/College teachers holding a regular position (regular appointment) and has completed two years of service as teacher in a department of the University/affiliated college/Institution.
- iv. Scientist of any recognized National/International Institutions having two years of research experience.

3.5 The validity of the Entrance Test will be for two years.

3.6 The cut-off marks for the entrance test will be 50%.

3.7 The modalities of the Entrance Test will be decided by the University.

3.8 The DRC shall scrutinize the candidate's eligibility for appearing at the entrance test.

4.0 Procedure for Admission/Registration

4.1 An eligible candidate (refer clause 3) must apply for registration for Ph.D. degree of his/her subject on the prescribed form obtainable on payment of prescribed fee. The application shall be considered by the DRC of the concerned UTD/School of the University/Affiliated College/Institution.

4.2 The DRC will allocate the Supervisor/Co-supervisor, with mutual consent of the candidate and Supervisor/Co-supervisor, for an eligible candidate depending on the number of students per Supervisor/Co-Supervisor, the available specialization among the faculty supervisors and the research interest of the student as indicated during personal interview of the student.

- 4.3 Supervisors must be a faculty member of the School/Teaching department of the University or a regular teacher (regular appointment) or a superannuated teacher of the University/Affiliated college/Institution previously holding a regular position.
- 4.4 Co-supervisor can be outside the jurisdiction of the University as well.
- 4.5 All eligible candidates except in 3.4 (ii) shall be required to undertake course work for a minimum period of one semester. The course work must include Research Methodology which may consist of quantitative methods and computer applications. The course content shall be designed by the Board of Studies (BoS) of the concerned subject. The course work may also involve reviewing of published research works in the relevant field.
- 4.6 The scheme of teaching and examination for the course work will be decided by the University. The contents of the course work/s specific to the area of research of the candidate are to be proposed by the Supervisor in consultation with the Co-Supervisor/s if any.
- 4.7 On the recommendation of the supervisor, the course work may be carried out by the candidates at the approved Research Center/University/any other recognized oragnisation outside the jurisdiction of the University. The candidate shall be evaluated at the end of the semester. If the candidate is not able to pass the course with minimum 50% marks in aggregate along with at least 40% marks in theory paper of the concerned subject and at least 60% marks in the internal assessment, the candidate shall be allowed to reappear at the examinations within next 12 months. The respective DRC will conduct the evaluation at the Institutional /Departmental level.
- 4.8 While granting provisional admission to the candidates to Ph.D. programme the DRC will pay due attention to the National/State reservation policy.
- 4.9 The candidate shall have to pay fees as decided by the University from time to time.
- 4.10 Provided that the teachers of the University/Affiliated colleges and teachers under the UGC/AICTE teacher fellowship scheme or any other scheme will not be required to pay the fees, except the registration fee and six-monthly progress report fee.
- Note:** *No TA/DA shall be payable to the candidates appearing at the Personal Interview. In case of postponement of the Personal Interview due to unavoidable reasons, no compensation will be provided to the candidates.*

5.0 Research Degree Committee (RDC)

The candidate shall be eligible to submit synopsis (as per the prescribed format) of his/her proposed research work, after successfully completing the course work, alongwith the title of the thesis (in six copies) duly forwarded by the Chairman of the relevant DRC. He shall be required to make an oral presentation of the proposed work before the Research Degree Committee (RDC) consisting of the following members:

- i. Kulpati or his nominee.
- ii. Dean of the faculty.
- iii. Head of the University Teaching Department/School of Studies/Institution in the subject.
- iv. Chairman, Board of Studies in the subject.
- v. One external subject expert of the rank of University Professor to be nominated by the Kulpati, ordinarily out of a panel of 5 experts given by the Chairman of the Board of Studies concerned. The term of panel shall be co-terminous with the term of Chairman Board of Studies.

External Expert and two other members will form the quorum.

Note:

- i) The Supervisor/Co-Supervisor are entitled to be present during the oral presentation of the candidate.
- ii) No TA and DA shall be payable to the candidate and the supervisor/co-supervisor (if any) for attending the RDC meeting.

6.0 The meeting of the RDC shall be held in the University office twice a year preferably in July and January. The committee shall confirm a list of approved Supervisor/Co-Supervisor along with their specialization, prepared by the DRC. This list shall be available with the Registrar/Academic Section of the University.

The committee shall formally recommend the registration of the candidate for the Ph.D. Degree.

On approval by the RDC the candidate shall be registered and enrolled as a student from the date of his/her application. He/she will also be required to pay regular tuition, library and laboratory fees (six-monthly) during his/her research tenure. The RDC has the right to suggest revision/alterations (if required) in the synopsis forwarded by the DRC.

Provided that if the RDC does not recommend a candidate for registration to Ph.D. Degree, the caution money deposited by the candidate shall be refunded.

- 7.0** A candidate shall ordinarily be permitted to work for Ph.D. degree in the subject in which he/she has obtained his/her Post-graduate degree or the Bachelor degree (as per clause 3).

Provided that research work leading to Ph.D. degree may be encouraged in allied subjects of interdisciplinary nature of the same faculty or of allied faculties. In such cases the candidate may also be permitted to work under one or two co-supervisors, along with the supervisor of the University.

- 8.0** A candidate shall pursue his/her research at the institution from where his/her application form has been forwarded under Clause 3 (b) of the Ordinance.

Provided that a candidate permitted to work in a research establishment recognized by the University shall be required to take at least one co-supervisor along with the supervisor; one of them should be the teacher of the University and the other a Teacher/Scientist/Research Officer/Director of the Institution where the candidate is actually working.

* Includes Institutions and Laboratories run and sponsored by the Union/State Governments or its agencies; and Foreign University/Institution of repute.

Provided also a candidate may be permitted to carry out his/her research/practical work in a Research Institution/Research Laboratory/Laboratory of a University recognized by the University for the purpose under the supervision of a Scientist/Director/Teacher of the Institution who or may not be the co-supervisor of the candidate.

9.0 Supervisor/Co-supervisors

The person recommended as Supervisor/Co-supervisor to guide the Research Scholar must be:

A Professor in a University Teaching Department/School of Studies.

OR

A Reader/Associate Professor of the University/ a Professor, Associate Professor/Reader in a College/Institution affiliated to the University possessing a Doctorate Degree and has published five research papers in standard Research Journals.

OR

A Lecturer/Assistant Professor of the University Teaching Department/School of Studies/Colleges affiliated to the University who has obtained a Doctorate Degree in the subject and has published at least five Research papers in standard Research Journals (with ISSN) and has at least five years of teaching experience.

However, in order to encourage research interest among teachers of this category, exemption from five years teaching experience shall be granted to those who have been awarded with research projects from the State (for example CGCOST)/National (for example DST, CSIR, UGC etc.) International (for example, WHO, Ford Foundation etc.) Sponsoring Agencies or those who have already published at least five papers SCI/SSCI/A&HCI journals (as listed and revised by Thomson Reuters from time to time).

OR

A Scientist /Director/Scholar not below the rank of a University lecturer/Assistant Professor, working in a State or Central research Institute /Organization/ Establishment/Laboratory/Library recognized by the University as a research centre, who has obtained a Doctorate Degree in the subject and published 5 research papers on concerned subject in Standard journals and has five years of experience in the respective field.

Provided that a recognized supervisor who fails to publish and research paper/publication over duration of five years shall not be eligible to enroll and new candidate under his/her supervision.

Provided that the persons who have been recognized as Supervisors/Co-supervisors shall be eligible to supervise even after their superannuation. However, in this case the superannuated faculty, with their permission of the Chairman, DRC, shall have to co-opt and additional Co-supervisor, who is in service, from the relevant research center approved by the University.

Provided also a recognized Supervisor/Co-supervisor under the repealed ordinance shall continue to be recognized as Supervisor/Co-supervisor.

The person recommended as Co-Supervisor to guide the Research Scholar must be:

- (a) A recognized Supervisor of the University
- (b) An Officer working in the University/Organization of State/Central Government who has obtained a doctorate degree in the relevant subject and has published at least five research papers in reputed journals (with ISSN) and has at least two years of experience in teaching /research.
- (c) A Scientist/Director working in a research institute/organization/ establishment/ laboratory recognized by the University as a research center, who has obtained a doctorate degree and published five research papers on concerned subject and has two years post-doctoral research experience.

Provided further that a person who is himself registered for Ph.D. degree of the University in the subject shall not be eligible to act as Supervisor/Co-supervisor in the concerned subject or member of the RDC related to the concerned subject mentioned in this Ordinance.

9.1 Any teaching department/Center/School of University/Research laboratory of State/Central Government or Government undertaking or an affiliated college/institution may apply for getting the recognition as research center for carrying out Ph.D. Degree programme on depositing the required fees for the same.

The teaching department/Center/School/affiliated college/institution, organization will be recognized as a Research Center based on the recommendations of a committee formed for this purpose.

Once an establishment has been recognized as a Research Center will continue to act as recognized Research Center of the University, however, the University will have the right to make surprise visit and if not found updated for the purpose of carrying out research programme, the organization/institution may be de-recognized as a Research Center.

10.0 Tenure of Ph.D. Work

(a) The candidate shall pursue his/her research at the approved research center under the Supervisor/Co-supervisors on the approved subject and topic. The candidate shall be permitted to submit his/her thesis not earlier than 24 months and not later than four calendar years from the date of registration. In case a candidate does not submit his/her thesis within four calendar years, from the date of registration and does not apply for extension on time, his/her registration shall stand automatically cancelled. Provided that the period for submission of thesis can be extended by one year by the Kulapati, if he/she applies for extension within one month after the expiry of registration period together with the prescribed fee. In case the candidate does not submit his/her thesis within the extended period, his/her registration shall stand automatically cancelled.

Provided also that Kulpati may permit a candidate to get re-registered on the same topic on payment of the prescribed re-registration fee. The minimum period of 24 months and attendance shall not apply to such re-registered candidate.

(b) The candidate possessing M. Phil degree or a teacher (as per clause with 3.4) 2 years teaching experience at the time of registration can submit his/her thesis after 18 months instead of 24 months as provided in clause 10 (a) of the Ordinance.

(c) The candidate shall put in at least 200 days attendance, including actual attendance he/she will earn during the course work, in the Institution or with the Supervisor.

11.0 Change of Supervisor

The candidate may be allowed to change the Supervisor by the Kulapati, on the recommendation of the committee constituted by the Kulapati for this purpose under special circumstances. No major change in the topic of research will be permitted due to changes in supervisor.

12.0 Six-monthly progress Report

The candidate shall submit every six months a record of attendance, receipt of fees paid and progress report of the work through his/her supervisor in the prescribed format. If the progress of work is not found to be satisfactory in two successive reports or no reports are received for a period of one year or the candidate fails to deposit the prescribed fees, the Kulapati may order the removal of the name of the scholar from the list of those registered for the Ph.D. degree.

13.0 Submission of Summary of Thesis

- (a) Prior to submission of the thesis, the candidate shall make a pre-Ph.D. presentation before the DRC that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor.
- (b) The candidate shall submit six copies of the summary of the thesis together with a list of at least two research papers published or accepted for publication in a standard journal through his/her Supervisor to the Registrar about two months prior to the anticipated date of submission of the thesis.
- (c) The supervisor shall submit a panel of at least six names of examiners actively engaged in the concerned area of research not below the rank of University Reader/Associate Professor or College Professor in a sealed cover to the Registrar. Provided that the panel of examiners shall be obtained from the Chairman, Board of Studies of the Subject concerned, in case the candidate is related to the supervisor.
- (d) On the receipt of the panel of examiners from the supervisor and summary from the candidate, the Registrar shall call a meeting of Examination Committee of the subject constituted as per the statute & ordinance of the University. The Committee considering the panel submitted by the Supervisors/Chairman, Board of Studies will prepare a panel of six names to act as examiners.
- (e) The term “relations” shall include: Father, Mother, Wife, Husband, Daughter, Son, Grand Son, Grand Daughter, Brother, Sister, Nephew, Niece, Grand Nephew/Niece, Uncle, Aunt, Son-in law, Sister-in law, Father-in-law, First cousin-in-law etc.
- (f) The Kulapati shall appoint two examiners from outside the state out of the panels submitted separately by the Supervisor and Examination Committee.

(g) The consent of the examiners shall be obtained by sending them the extended abstract.

14. The candidate shall submit three hard copies of his/her thesis along with the followings:
- (a) The candidate shall have to produce evidence of publication of two research papers (or evidence of acceptance for publication) based on this /her thesis work in standard journal. Such evidence (reprints of publications or acceptance letter for publication) has to be appended at the end of the thesis).
 - (b) The thesis must be accompanied by a declaration from the candidate that the thesis embodies his/her own work and he/she has worked under the Supervisor at the approved Research Center for the required period as per provisions of Clause-10 of the Ordinance.
 - (c) The certificate from the Supervisor together with Co-supervisor, if any, that the thesis fulfills the requirements of the Ordinance relating to the Ph.D. degree of the University is to be attached.
 - (d) The candidate shall also remit with the thesis the prescribed examination fee.
 - (e) Submission of Electronic copy of the Thesis/Dissertation (ETD) is mandatory at the time of submission of the Ph.D. thesis. The University shall submit a soft copy to UGC within a period of fifteen days after the award of the degree, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.
 - (f) The thesis must follow the guidelines of the University for writing the Ph.D. Thesis.

15. Evaluation Procedures following Submission of the Thesis

On receipt of the thesis along with the certificates and fee it shall be sent to the examiners already consented as per Clause 13 (g) of the Ordinance.

16. The thesis to be accepted for the award of the Ph.D. degree must comply with the following conditions.
- (a) It must be a piece of research work characterized either by the discovery of the facts or by a fresh approach towards the interpretation of facts or an innovative application in the area of engineering & technology. In either case it should evince the candidate's capacity for critical examination and sound judgment.
 - (b) It must be satisfactory in point of language and presentation of the subject matter.
17. The examiners shall categorically recommend in the prescribed proforma for acceptance, revision or rejection of the thesis together with detailed comments on the points spelled out in clause 16 of the Ordinance. The examiner must also give a list of the questions he/she wishes to ask at the viva-voce examination.
18. (a) The examiners may seek clarification of the subject matter of the thesis from the

Supervisor. The provision will be incorporated in the letter to be sent to the examiners while sending the thesis.

- (b) The Kulapati can recall the thesis from an examiner who fails to send the report within three months of the date of dispatch of the thesis and appoint another examiner.
- 19.
- (a) In case both the examiners reject the thesis or one of them rejects the thesis and the other recommends a revision the thesis shall be rejected.
 - (b) If both the examiners recommend for the revision of the thesis the candidate shall be called upon to revise the thesis in the light of the observations of the examiners.
 - (c) If one examiner approves the thesis and the other rejects it or recommends for revision, the thesis shall be sent to the third examiner drawn from the panel of the examiners by Kulapati. The opinion of the third examiner shall be final.
 - (d) In case both the original examiners accept the thesis for the award of the Ph.D. Degree or in the event of it being referred to the third examiner, the third examiner accepts the thesis for the award of Ph.D. degree, the candidate shall be called upon to appear at the viva-voce examination before a board examiners comprising of the Supervisor, Co-Supervisor (if any) and one of the two examiners selected by the Kulapati who has accepted the thesis for the award of the Ph.D. Degree. Provided that the Kulapati shall appoint the Chairman, DRC or Chairman, Board of Studies of the subject concerned to act as viva-voce examiner, in place of the Supervisor in case the candidate is related (Clause 13 e) to the Supervisor.
 - (e) The Supervisor, Co-Supervisor, Chairman of DRC, Dean of the Concerned Faculty, Chairman of Board of Studies of the subject concerned, as the case may be, shall be communicated the name of the external examiner appointed by the Kulapati to conduct the viva-voce examination at the approved Research Center where the candidate has carried out his/her research work.
Provided in special circumstances, Kulapati may appoint alternate viva-voce examiners if both the examiners are not in a position to conduct the viva-voce examination.
 - (f) The date, time and place of viva-voce examination shall be notified by the Head of the UTD/School of University/Head of the affiliating college/Institution on the concerned Notice Board about a week in advance under intimation to Registrar of the University. At the time of viva-voce examination the board of examiners shall be provided with the reports of the examiners which shall be returned along with the report of viva-voce examination and record of attendance of the examination to the Registrar.

- (g) The candidate shall present the work embodied in the thesis before the board of examiners, members of the faculty, research scholars and other interested persons. After the presentation of the research work the Board shall ask questions together with those questions which have been provided along with the reports of the examiners. Others in the audience can also ask questions and the candidate shall reply only those questions permitted by the external examiner.
- (h) In case the recommendation of the viva-voce examiner differs from that of the thesis examiner or there is difference of opinion between the viva-voce examiners, the candidate shall re-appear at a second viva-voce examination within six months. If the candidate fails to satisfy the viva-voce examiners a second time, his/her thesis shall be finally rejected. Such candidates would be required to pay the prescribed additional fee for the second viva-voce. The external examiner for second viva-voce shall be appointed by the Kulapati.

20. If the examiners recommend that the candidate be asked to revise/improve his thesis, the Kulapati shall permit the candidate to resubmit his thesis not earlier than six months and not later than eighteen months the period being counted from the date of the issue of order to the candidate. The candidate shall be provided examiner(s) reports without disclosing the names of the examiners to enable him/her to improve the thesis. All the copies of the thesis shall be returned to the candidate.

In case the candidate is allowed to resubmit the thesis he/she will have to pay the prescribed fee afresh at the time of resubmission, but it shall not be necessary for him to reproduce any certificate of further attendance at the institution at which he/she carried out the work.

The resubmitted three copies of the thesis must make clear mention that it is a revised version.

The thesis shall be got examined as far as possible, by the examiners who recommended the revision.

In case a candidate is asked to revise under clause 19 and one of the examiners recommends again for revision and the other accepts the thesis for award then the thesis shall be sent to the third examiner. If the third examiner rejects or recommends for revision the thesis shall stand rejected. In case the examiner accepts for award of Ph. D. degree then the candidate shall be awarded the Ph. D. degree on successful viva- voce examination as per provision of clause 19 of the Ordinance.

If the revised thesis required to be revised a second time it shall automatically stand rejected.

21. Maximum number of research candidates that can be registered and allowed to pursue research work under a supervisor at any particular time shall be six only. The submission of a thesis shall create a vacancy for the admission of a new candidate for Ph.D. degree under the concerned supervisor.

Provided that the candidates registered with the Co-supervisor shall not be counted for the number of candidates under a supervisor.

Provided that the candidates registered with the co-supervisor shall not exceed five candidates.

22. No research scholar shall join any other course of study or appear at any other examination conducted by any University leading to a degree (except Certificate/Diploma course of languages, Research Methodology, Statistics, and Computer Science).
23. The candidate, if so desires, is allowed to publish his/her thesis. However, such publication shall state on the title page itself that this was a thesis approved for the award of the Ph.D. degree of the University.
24. The University agrees that a Ph.D. student is the owner of the copyright in his/her thesis.
25. After the viva-voce, the recommendation of the examiners shall be reported to the Executive Council for the award of Ph.D. Degree to the candidate. One copy of the thesis will be kept in the University library and another copy will be kept in the Departmental Library of the Institution where the research work was carried out; the third copy will be returned to the Supervisor.

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 the UGC (Minimum Standards and Procedure for the Awards of M.Phil./Ph.D. Degree) Regulation, 2009

26. After the declaration of the result, the candidate on payment of prescribed fee may be provided with the copies of the reports of examiners who recommended for the award of the Ph.D. degree on payment of the prescribed fee. The reports will not disclose the identity of the examiners.

- 27.** The candidates who have been already registered for Ph. D. degree under the repealed/previous Ordinance shall continue to be governed by the provision of the repealed/previous Ordinance.

The candidates who have applied for registration but have not been registered till this Ordinance comes into force shall be governed by the provisions of this Ordinance.

- 28.** On detection of any irregularity, the University shall take suitable steps to withdraw the degree as per the provisions of the Ordinance & Statute of the University.
- 29.** In all cases Kulpati shall have powers to condone the time limit up to six months for valid reasons to be recorded therein.

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