

Vol I.

ACADEMIC ORDINANCE

for

**DOCTORAL (PhD) PROGRAMMES
(RULES and REGULATIONS)**

2023

*As approved vide the Minutes of the 15th Senate Meeting of SPA Vijayawada held on
20.03.2023 at SPA Vijayawada campus (Item # 15.2)*

To be effective

for the batches admitted from A.Y 2023-2024 onwards



योजना तथा वास्तुकला विद्यालय, विजयवाड़ा
School of Planning and Architecture, Vijayawada
An Institute of National Importance, Ministry of Education Gov. of India

Survey No.4/4, ITI Road, Vijayawada-520008, Andhra Pradesh. India



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Academic Ordinance for Doctoral (PhD.) Programmes at SPA Vijayawada (Rules And Regulations)

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1. Definitions

In these Regulations, the terms used shall have the following definitions:

- 1.1 "Doctoral Degree" shall mean the Degree of Doctor of Philosophy (Ph.D.) (by the School of Planning and Architecture, Vijayawada), which may be conferred on a scholar who fulfils the requirements in accordance with these regulations, in a specified field pertaining to the courses of studies conducted by the School. The title of the thesis shall be mentioned in the said Degree.
- 1.2 "Applicant" shall mean an individual who applies for admission to the Ph.D. Programmes of the School of Planning and Architecture, Vijayawada on a prescribed Application Form.
- 1.3 "Research Scholar" shall mean a person registered for Research for the Ph.D. Degree and in compliance with all the Regulations.
- 1.4 "Controller of Examinations (COE)" shall mean Controller of Examinations appointed by the School.
- 1.5 "Course Work" shall mean courses of study prescribed by the Department through the DRC to be undertaken by a scholar registered for the Ph.D. Degree.
- 1.6 "Date of Registration" shall mean the date of payment of first semester fees on admission to the Ph. D. Programme before the prescribed deadline.
- 1.7 "Full-time Research Scholar" shall mean a person registered for the Ph.D. degree devoting full time in campus for completing the degree requirements.
- 1.8 "Part-time Research Scholar" shall mean a person who is registered for the Ph.D. Degree and will devote part of his/ her time in campus for completing the degree requirements.
- 1.9 "School" shall mean the School of Planning and Architecture, Vijayawada.
- 1.10 "Supervisor" shall mean a member of the full time Faculty of the School who has been approved by the DRC and JCDRC to supervise/ guide the research work of the Research Scholar.
- 1.11 "Co-supervisor" shall mean an additional Supervisor, wherever needed, as approved by the DRC and JCDRC, to supervise/ guide the research work of the Research Scholar. The Co-Supervisor may or may not be a fulltime Faculty of the School.
- 1.12 "Minimum Registration Period" shall mean the minimum period for which a scholar must be registered, till submission of the final thesis report.
- 1.13 "Registration Period" shall be counted from the date of first time registration to submission of final thesis report recommended by the supervisor and approved by the CPP for examination.
- 1.14 "Valid Registration" shall mean that the scholar has paid all the fees/ dues.
- 1.15 These Regulations will come into force from the Academic Session 2023-24.
Note: 'He' & 'His' imply 'he'/ 'she' and 'his'/ 'her' respectively.

2. Terminology

The following terms used in the Regulations for the Award of the Degree of Doctor of Philosophy (Ph. D.) pertain to the School of Planning and Architecture, Vijayawada, unless otherwise specified:



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- a) Director
- b) Dean (Academic)
- c) Senate
- d) Departmental Research Committee (DRC)
- e) Joint Committee of Departmental Research Committees (JCDRC)
- f) Coordinator of Ph. D. Programme (CPP)
- g) Controller of Examinations (CoE)



2.1 Departmental Research Committee (DRC)

- i. A Departmental Research Committee (DRC) shall be constituted for each Department of Studies by the Director on the recommendation of the concerned Head of the Department for a period of two years and shall consist of the following:
 - a) Chairperson* - Head of the Department.
 - b) Members - One Professor or Associate Professor or Assistant Professor with Ph.D. from each PG programme prevailing in the Department by rotation by seniority. (In case there are not sufficient/suitable faculty members in a programme of study, Director may nominate faculty from other departments of the Institute)
 - c) Members - Two outside experts with expertise in the field of Architecture or Planning.
 - d) Member - Coordinator of the Ph.D. Programme (CPP).
 - e) Member – Concerned Main Supervisor**

*Chairperson should hold completed Ph.D. degree and should be in the rank of Professor / Associate Professor and should not be a research scholar or should not be a faculty without a PhD degree. In case Head of the Department is not in the rank of Professor/Associate Professor or does not hold Ph.D. degree or in case the Head of the Department refuses to be Chairperson of DRC, the Director can appoint a suitable person as Chairperson DRC.

**The concerned Main Supervisors shall participate in the DRC meetings during the presentations and discussions of respective Ph. D. Scholars under their supervision, as a member. In case the Main supervisor is unable to be present, the Co-supervisor, if there, can be representing the Main supervisor.

- ii. At least two meetings of DRC shall be convened by the DRC Chairperson in an academic year to be held preferably towards the end of a semester, to review the progress of work of Ph.D. scholars and also to decide upon other major aspects like PhD admissions, withdrawals, supervisor selections, co-supervisor selections, etc.

2.2 Joint Committee of Departmental Research Committees (JCDRC)

- i. A Joint Committee of Departmental Research Committee (JCDRC) shall be constituted to attend to the collective/ interdisciplinary issues of high significance related to the admission, conduct and management of the Ph.D. Programme in the School. The JCDRC shall meet twice a year, following the conduct of all DRC meetings in a semester, as convened by the Member Secretary of the JCDRC. The JCDRC shall comprise of the following:

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- a) Chairman - Dean (Academic)
- b) Members - Chairperson of DRC of each Department
- c) Members - Three outside experts nominated by Chairman-Senate on advice of Dean (Academic). Experts should be senior faculty members in architecture/ planning/ expertise from specialized fields - Member
- d) Member Secretary - Coordinator of Ph.D. Programme (CPP)

2.3 Coordinator of Ph.D. Programme (CPP)

The Director shall designate a senior Faculty of the School having a PhD degree as Coordinator of Ph.D. Programme (CPP), for a period of two years, who shall report to the Dean (Academic).

The Coordinator shall keep track of each Ph.D Scholar, right from his admission, registration, completion of course work, submission of thesis synopsis and final report, defence of thesis and award of degree. His/ her main responsibility shall be to look after the interests of the Ph.D. scholars using the administrative set up of Dean (Academic) and work in close cooperation with Dean (Academic).

The Coordinator of Ph.D. Programmes (CPP) shall be member of all DRCs and member secretary of JCDRC.

2.4 Assistant Registrar (Academics and Examinations)

The Assistant Registrar – Academics and Examinations shall be appointed/nominated from a non-faculty staff member, who will be the custodian of records in the Academic and Examination section, and would be the main administrative nodal officer for the conduct of examinations, facilitating the evaluation, re-evaluation, declaration of results, preparation of grade sheets, facilitating admissions, scholarships, withdrawals, and for any other academic administrative duties as assigned by the Controller of Examinations and/or Dean Academic with the approval of the Director from time to time. The AR (Academics and Examinations) may evolve his/her team of support staff from administration, for the proper upkeep of academic records and procedures.

3. Types of Doctoral scholars

The applicants for admission to the Ph.D. programme shall be classified under any one of the following categories:

3.1 Full Time Research Scholars

a) Research Scholars with Institutional Fellowship :

These scholars shall be eligible for financial assistance by SPAV in the form of fellowship at the approved rates and guidelines as notified by MoE from time to time. The number of full time research scholars with SPAV fellowship, for every admission cycle shall be limited and not guaranteed for all, as per decision of the School. All applicants applying under this category to treat themselves as self-financed till SPAV fellowship decisions are finalised.

b) Self-financed Research Scholars:

These scholars shall be supporting themselves from their own funding arrangements and paying the requisite prevailing fees of the School at the start of every semester.

c) Sponsored Research Scholars:

These scholars shall be sponsored by their current employer, and need to be from need to be from Government / PSUs / Semi-Government / Recognized Planning or Architectural Office of repute. Such a candidate must be in service at the time of admission and must have been in employment with the sponsoring organization for at least two years at the time of admission. Candidates in service are to be relieved on 'study leave or extraordinary leave' from the organization for full-time research work at SPA Vijayawada and must furnish a "Leave cum Sponsorship Letter" along with "No Objection Certificate" from the current employer for the entire duration of PhD studies.

3.2 Part-Time Research Scholars

a) In-house faculty OR in-house staff OR in-house project staff

This category refers to students who are regular employees of SPA Vijayawada or who are working under various long term sponsored projects undertaken by SPA Vijayawada. They are expected to work for their Ph.D. programme while performing their normal duties. The regular full-time employees of SPA Vijayawada can pursue their PhD programme and shall be given 50% waiver in fees during the course of their studies.

b) Part Time Off Campus Research Scholars

This category comprises of Ph.D. scholars who are working professionals and are studying PhD at SPA Vijayawada. While working at their respective organizations, they can pursue the Ph.D. work as a student of the Institute. Such Ph.D. research scholars, after completion of the compulsory course work at SPA Vijayawada, may be allowed to join his/her parent organization, where he/she will be doing the research work while serving the parent organization and would be allowed to continue as Part Time student. Such scholars are required to produce a "No Objection Certificate" from their current employer at the time of admission application.

3.3 Foreign Research Scholars

These scholars are to be admitted under a MoU/otherwise through Embassy of the respective Government after getting approval from the Ministry of External Affairs, Government of India with No Objection Certificate from the Ministry of Education, Department of Higher Education and Government of India. All foreign research scholars to work as full-time scholars. The number of foreign research scholars to be admitted shall be limited and not guaranteed for every admission cycle, and as per decision of the School.

3.4 Change of Ph.D. Programme Status

A candidate is permitted to apply for change of category only once during the tenure, with the approval of the Director subject to submission of necessary documents along with the recommendation of the Supervisor, DRC, and JCDRC.

3.4.1 From 'Part Time Off Campus' to 'Full Time'

A student admitted to the Ph.D. programme as off campus part time candidate may on the recommendation of supervisor and DRC be allowed to convert this status to a full time programme without scholarship, if there is not sufficient progress in his/her thesis work as adjudged by the supervisor/ DRC. This should be recommended by DRC, JCDRC, and approved by Director. For the purpose of determining the maximum period of Ph.D. thesis submission, the candidate shall be counted as off campus part time student.



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3.4.2 From Full Time to Off Campus/Part Time

A student admitted to a full time Ph.D. programme may be permitted to change to an Off campus Part time Ph.D. programme by the Director. A student requesting such a conversion must:

- i. Produce a No Objection Certificate from the Head of the institution / organization, which he/she proposes to join or the organization which has sponsored him/her.
- ii. Provide detailed information about the research facilities available at the proposed organization and a certificate from the employer that these would be available to him/her for carrying out the research.
- iii. Such a request should be endorsed by the supervisor(s) and recommended by the DRC, JCDRC and Director.

Such conversion, if approved by the Director, will be subject to the following conditions:

- i. The student must submit his/her thesis within the stipulated period as applicable in full time programme.
- ii. Provision of conversion from full-time to off campus/part-time and vice-versa can be availed only once by the student during his/her Ph.D. programme, only after the completion of course work but not later than two years.
- iii. The student will not be entitled for any scholarship being offered by the GoI/Institute.

4 Admission

4.1 Eligibility

i. The applicant must have qualifying degrees as per table below - with CGPA of 6.5 on a 10-point scale (or equivalent) or 60% overall marks in case of Open/OBC/EWS candidates for the qualifying Master's degree, whereas in case of SC/ST/PH candidates, a CGPA of 6.0 on a 10-point scale (or equivalent) or 55% overall marks for the qualifying Master's degree, will be applicable or the applicable GoI norms adopted by the institute from time to time.

ii. Applicants who are applying under 3.1(c) as sponsored research scholars and are employees of government organisations / government departments / PSUs / government research organisations must have CGPA of 5.5 on a 10-point scale (or equivalent) or 50% overall marks for the qualifying Master's degree to be eligible.

iii. Applicants with only UG Degree require a minimum of 70% aggregate or CGPA of 7.5 on a 10-point scale (or equivalent) in case of Open/OBC/EWS candidates, whereas in case of SC/ST/PH candidates, a CGPA of 6.5 on a 10-point scale (or equivalent) or 65% overall marks and three year experience in teaching / research / professional practice.

iv. Since PhD admissions generally happen twice a year, the PhD programmes run for many years, and there is a limit to the number of scholars that one faculty can guide, the number of seats to be filled in each admission cycle under each PhD programmes is not fixed and shall be the final decision of the Institute.



S.No.	Nomenclature	Academic Eligibility
1	PhD in Architecture	i. Master Degree in – (a) Architecture OR (b) Urban Design OR (c) Building Engineering & Management/equivalent OR (d) Planning with appropriate specialization, AND Bachelor Degree in Architecture from any recognized University / Institutions in India* OR ii. Bachelor Degree in Architecture from any recognized University / Institutions in India.
2	PhD in Planning	i. Master Degree in Planning with appropriate specialization from any recognized University / Institutions in India* OR ii. Bachelor Degree in Planning from any recognized University / Institutions in India.
3	PhD in Building Engineering and Management	i. Master Degree in – (a) Building Engineering & Management/equivalent OR (b) Architecture OR (c) Urban Design OR (d) Planning with appropriate specialization, AND Bachelor Degree in (i) Architecture OR (ii) Bachelor Degree in Civil Engineering from any recognized University / Institutions in India* OR ii. Bachelor Degree in (i) Architecture OR (ii) Bachelor Degree in Civil Engineering from any recognized University / Institutions in India.

*For students with foreign degrees, degree equivalence certificate by AIU under MoE, Govt needs to be produced along with the application.

4.2 Admission Process

4.2.1 Admission to the Ph.D. Programmes may be held twice in a year (for start of studies in odd and even semester). The applicants shall apply for admission on the prescribed forms (clearly mentioning the type of PhD and type of candidature), and submit the application mentioning the name of proposed supervisor, along with a research write-up and other requisites mentioned in the application format as notified by the School.

4.2.2 The list of shortlisted candidates found eligible will appear for selection process which shall be in two stages:



Stage-I: All the shortlisted candidates found eligible are required to qualify in a written test conducted by the Institute. Those who qualify in the written test (by securing minimum percentage of marks in the written test as decided by the Institute) shall only be eligible for Stage-II.

Stage-II: The candidates who qualify the Stage-I shall appear for interview and deliver a presentation before the Departmental Research Committee (DRC) or sub-committees constituted by the DRC. The successful candidates shall be finally recommended for Ph.D. admission by the DRC based on Stage II assessment, i.e., the interview, presentation and research write-up enclosed with the application.

The Conduct of the process of screening and then the Stage I and Stage II, shall be done by Committees / Sub-Committees as constituted by the DRC Chairpersons for each Department, with the approval of Dean Academic and Director.

- 4.2.3 All the selections by the DRC shall be studied by the Joint Committee of Departmental Research Committee (JCDRC) and recommended for approval by Director.
- 4.2.4 The CPP in consultation with the Dean (Academic) shall finalize the list of scholars as ratified by the JCDRC for admission to the Ph.D. programme and shall submit it to the Director for approval. The scholar shall be admitted to the Ph.D. programme after the approval of the Director and on payment of the prescribed fees and compliance with all other required formalities.
- 4.2.5 The topic given in the application shall be considered as indicative of the area of research. The scholars shall have the freedom to refine the topic within twelve months of registration. In case the research topic of scholar requires multidisciplinary input, at the time of admission, the scholar shall be assigned to the department which would provide the major input to that topic and the selection of such scholars may be made by DRC. Other Departments to be associated shall also be identified simultaneously. In addition to a primary supervisor, preferably from the department to which the scholar is attached, co- supervisors (if necessary) from other associated departments/ outside the school shall also be decided by the DRC.

5 Registration

- 5.1 Every Ph.D. scholar shall pay the fees as notified by the school from time to time. In case fees is not paid, registration can be cancelled. Fees are required to be paid till the submission of the final PhD Thesis report.
- 5.2 Each scholar shall have a valid registration at the time of submission of thesis report.
- 5.3 Registration of a scholar shall be cancelled in anyone of the following eventualities, after due approval of the JCDRC:
- If the full-time scholar absents himself for a continuous period of four weeks without prior intimation and sanction of leave.
 - If he/ she withdraws from the Ph.D. Programme with an application and by filling the withdrawal format and the withdrawal is duly accepted by the DRC and JCDRC.
 - If he/ she fails to pay the fees in any semester of any academic year subject to the



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provisions contained in these Regulations.

- d) If his/ her academic progress is found unsatisfactory consecutively for three times (Ref. 11.2).
- e) If he/ she is found involved in an act of misconduct and/ or indiscipline.
- f) The Senate may also cancel the admission at any later stage if it is found that the student had supplied some false information or suppressed relevant information while seeking admission or he/she was involved in an act of unbecoming a student of the Institute. In any case the student must submit the 'No dues Form' from all concerned.

6 Course Work & Residency

- 6.1 All Ph.D. Scholars shall have compulsorily studied and passed the subject 'Research Methodology' as a three credit course offered by the Department/School, within the first one year of admission.
- 6.2 In addition, a Ph.D. candidate should earn a minimum of 06 credits from course work (by completing and passing minimum two courses/subjects of minimum 03 credits each), within the first three semesters from admission. Selection of such subjects needs to be approved by the DRC on recommendation of the supervisor, from subjects offered at PG level at the SPAV and taught by faculty having PhD degree. One of the two compulsory course (other than Research Methodology) can be a 'directed course' or a 'PG level course taken from another recognized university' and such a course can be taken up after the completion of first 2 semesters of PhD studies. In such cases the DRC needs to approve the syllabus for such 'directed courses' and subjects from another university and declare the credits of such subjects as equivalent to 03 credits at PG level of SPAV, subsequent to which the scholar may take up such courses
- 6.3 In addition to requirements at 6.1 and 6.2, scholar holding only UG degree needs to earn a minimum of 15 credits (5 theory subjects) from course work as decided by the DRC, within the first 4 semesters. Minimum CGPA of 7.0 should be earned by the scholar from the entire course work requirement.
- 6.4 Residency Requirement - Students of any category are to be resident in the city of Vijayawada or reside in the campus during the course work for the first semester, as a 'Residency Requirement'. For scholars admitted based on UG programme are to be resident in the city of Vijayawada or in the campus during the course work for the first three semesters. The DRC requires to certify the completion of 'residency requirement' through requisite scrutiny, once it is completed.

7 Finalisation of Supervisors / Co-supervisors

7.1 The Director of the School, based on the recommendations of DRC and JCDRC, shall approve the eligible Supervisors from SPA Vijayawada as mentioned below:

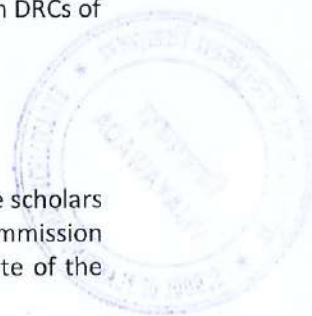
- i. Professors of the School with Ph.D. Degree
- ii. Associate Professor of the School with Ph.D. Degree
- iii. Assistant Professor of the School with Ph.D.



- 7.2 Based on the choice of the scholar as given during the admission application (clause 4.2.1) and after obtaining the consent of the concerned faculty whose name has been proposed as Supervisor by the scholar, the DRC shall recommend the names of the supervisor for each admitted student. In case a proposed faculty is not consenting to be the supervisor, or if the applicant has not indicated a proposed supervisor during application, the DRC may identify a suitable supervisor based on the area of research and available potential supervisors in the Department and after obtaining consent of the supervisor proposed by the DRC. In any case the recommendation of the supervisor's names cannot overrule clause 7.5, about the maximum number of PhD that can be guided by a faculty.
- 7.3 Upon receiving the recommendation of the DRC, the JCDRC scrutinize the same and recommend the same for the approval of the Director. The supervisors shall be notified by the DRC chairperson, after approval by the Director.
- 7.4 The Supervisors shall be appointed before the end of the first semester itself when the topic and area of the research is to be finalized by the student with the scrutiny of DRC.
- 7.5 A Supervisor will be allowed to supervise the maximum number of students as below:
- | | | | |
|------|---------------------|---|------------|
| i. | Professor | - | 8 students |
| ii. | Associate Professor | - | 6 students |
| iii. | Assistant Professor | - | 4 students |
- 7.6 Faculty can become co-supervisor to any number of PhD candidates as per procedures and provisions of the PhD rules, without impacting the maximum number of Ph.D scholars one can guide as a Main Supervisor.
- 7.7 Normally, there shall be only one Supervisor for a scholar.
- 7.8 In special cases or for multi-disciplinary topics, upon the request from the Supervisor, DRC may recommend appointment of Co-Supervisor, who may be subject experts from industry or from another educational institute or from other Department of the School.
- 7.9 In case a Supervisor informs unavailability to guide or resigns, retires, leaves the services, or dies, his/ her replacement shall be arranged within 6 weeks by the Chairperson DRC by obtaining the approval of JCDRC and Director.
- 7.10 JCDRC, with recommendation of DRC, can consider the change of Supervisor during the course of studies, only in exceptional cases, when either the Supervisor or the research scholar requests in writing to DRC and JCDRC with reasons to change.
- 7.11 Based on the research topic and the availability of guidance, the scholar can be transferred from one department to another with the mutual consent of both DRCs of the respective departments and with approval of Chairman JCDRC.

8 Fellowship/ Scholarship

- 8.1 The School shall award Fellowship/ Contingent Grants to the eligible full-time scholars only in accordance with the norms laid down by the University Grants Commission (UGC), All India Council for Technical Education (AICTE), MoE and the Senate of the



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School from time to time.

- 8.2 All full-time Ph.D. Scholars, who receive Fellowship/ Scholarship, shall be required to be involved in teaching assistance for 8 hours per week, as assigned by the respective HoD.
- 8.3 The monthly Fellowship and/or Contingency Grant shall be released only on the recommendations of the Supervisor and Head of the Department.
- 8.4 A scholar who has been awarded Fellowship/ Contingency Grant by the School shall devote his entire time to doctoral research and shall not engage himself or herself in full-time or part-time professional practice or employment with public or private institutions or organizations. An undertaking about the same needs to be submitted by the scholar.
- 8.5 Admission to the Ph.D. programme and award of fellowship are not linked. Admission to the programme does not guarantee fellowship. Those who are not awarded fellowships or whose fellowship are discontinued, can continue with the programme as self-financing scholar.
- 8.6 The Fellowship/ Contingent Grants during registration period, if awarded, shall be available only for maximum of three years, as per rules.
- 8.7 The fellowship shall be awarded every month to the students on a 'Semester-to-Semester progress' basis on the recommendation of DRC through HoD. The renewal of the fellowship for a forthcoming semester will be dependent on the satisfactory academic performance of the scholar in the previous semester, based on the recommendations of DRC.
- 8.8 Discontinuation of fellowship for a semester due to poor performance requires to be recommended by the DRC and approved by JCDRC and Director. Fellowship can be resumed after a period of discontinuation, in any subsequent semester upon the successful performance in the previous semester, based on recommendation of the DRC and approval of JCDRC and Director. During the period of discontinuation of fellowship, a student is required to pay the requisite fees and complete all other academic requirements as a 'self-financed scholar'.
- 8.9 No scholarship will be given for 'leave period' except for 'paid leaves'. A 'paid leave' for a full-time PhD scholar receiving scholarship is a leave with a prior approval from Director, where maximum duration shall not be more than 15 days in a calendar year.

9 Duration

- 9.1 Full-time scholars must submit their final report of the thesis within a maximum of five years and minimum of 2.5 years and part-time scholars within a maximum of six years and minimum of 3.5 years from the date of admission.
- 9.2 The maximum (excluding the period of leave of absence) in which a thesis can be submitted by a scholar with only UG degree after registration to the Ph.D. programme shall be 6 years for full time and 7 years for part-time scholars respectively. The minimum time (excluding the period of leave of absence) in which the final report of the thesis can be submitted by a scholar with only UG degree after registration to the Ph.D. programme shall be 4 years and 5 years for full time and part-time scholars respectively.



- 9.3 In the total duration of the doctoral studies, any PhD scholar may be allowed to take leave of absence (without scholarship for full time scholar) for a maximum period of one year in not more than two spells with a maximum of 6 months in each spell.
- 9.4 Irrespective of the leave of absence, a total maximum period of registration for full-time and part-time scholar shall be five years and six years respectively in accordance within clause 9.1.
- 9.5 The maximum period for the submission of thesis in cases meriting longer duration, may be extended up to a maximum of one year on the recommendation of the DRC and the approval of the JCDRC. Extension of maximum period is not a right of the candidate and needs to be recommended based on the merit of each case.
- 9.6 The student may be permitted for going to "Fieldwork", for data collection during the PhD, after completion of course work and residency period. Research scholars will be allowed to travel outside city for any data collections, after approval of chairperson DRC.
- 9.7 For any scholar to avail benefits of a doctoral level exchange programme with other universities, the DRC needs to recommend the detailed modalities for the period of exchange and obtain approval from JCDRC and Director.

10 Progress of Research

- 10.1 Every full time scholar shall submit a progress report of his/her work in the prescribed forms to the Supervisor at the end of every month. The Supervisor will forward the monthly progress reports with his/ her remarks for the consideration of the release of monthly Fellowship.
- 10.2 Every scholar shall submit a semester progress report of his/her work in the prescribed forms to the Supervisor, which will be forwarded with his/ her remarks for the consideration of the DRC. Towards the end of every semester, the DRC shall review the progress of every admitted scholar as an 'end semester review' by scrutinizing the progress report, any other content submitted by the scholar and the presentation of the scholar and conclude upon the progress as 'Satisfactory' or 'Unsatisfactory'. DRC shall also record suggestions/comments for each scholar.
- 10.3 If there are three successive 'unsatisfactory' reports on the progress of a scholar as reviewed by the DRC at the end of each semester as per 10.2, or in case of breach of any other prescribed rules, the Chairperson JCDRC may recommend cancellation of the registration of the scholar on the recommendation of the DRC.
- 10.4 Absence from a DRC end semester review as per 10.2 will be treated as 'Unsatisfactory' progress.

11 Preparation of Thesis

- 11.1 Only after ensuring that the scholar has completed the analysis of the research and has arrived at the research conclusions, the DRC shall recommend that 'the scholar may submit the synopsis and the complete final report to the CPP through the Head of the Department and the Supervisor(s)'.
- 11.2 The thesis shall be an original work which should signify discovery of new facts or



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indicate new techniques or new inter-relations of facts already known. The articulation of the contents should be satisfactory, both in text and graphic presentation. The respective supervisors will ensure that the thesis has been put to plagiarism check and it meets the norms. Plagiarism in any case shall not be more than 15 per cent and a certificate to this effect will be enclosed along with the final thesis, at the time of submission of thesis and viva-voce examination.

- 11.3 Based on the recommendations of the DRC (as in 11.1), within 3 months, five original copies of the synopsis with exact title of the thesis shall be submitted by the scholar to the CPP through HoD. The 5 copies to be submitted need to be soft bound along with two soft copies in digital drive.
- 11.4 The final Ph.D Thesis report shall be submitted within 6 weeks from the date of submission of synopsis, to the CPP through HoD.
- 11.5 The scholar shall be permitted to submit his thesis only when the Supervisor certifies the thesis as the scholar's original research work.

12 Thesis Submission

- 12.1 The thesis shall be written in English in the specified format and shall contain a comprehensive account of the scholar's research. It should signify discovery of facts; or indicate a fresh approach towards interpretation of facts and theories; or highlight significant contribution to knowledge or a combination of these. It should bear evidence of the scholar's capacity for critical analysis and judgment as well as his ability to carry out independent research investigation, design or development.
- 12.2 Thesis final report will be signed by Research Scholar, Supervisor, and Co-Supervisor (if applicable).
- 12.3 A scholar may submit his/ her final thesis report to the Head of The Department, within the overall duration as discussed in clause 9, on fulfilling the criteria below:
 - i. The DRC has recommended the submission of synopsis and thesis report as per clause 11.1 and the synopsis has been submitted within 3 months of the DRC's recommendation as per 11.3 with Plagiarism report, as per clause 11.2.
 - ii. Not more than 6 weeks have passed since the submission of the synopsis as per 11.4.
 - iii. He/she has paid fees as due to the Institute
 - iv. He/she have completed course work requirements and residency requirements, as required in Section 6.
 - v. Minimum two research papers must have been published emerging out of PhD thesis work (conference papers not to be considered) in peer reviewed journals.
 - vi. The supervisor and co-supervisor certify the report as per clause 11.5.
- 12.4 On completion of the thesis and 12.3 requirements, the scholar shall submit four printed and soft bound copies of the Ph.D thesis in original along with two soft copies in digital drive to CPP through HoD. In case of joint supervision, five copies of thesis shall be submitted by the scholar, as applicable.
- 12.5 The thesis shall indicate how it incorporates the results of the scholar's own research work, and the aspects in which his research is an advancement of the

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knowledge of the subject.

13 Thesis Examination

- 13.1 Based on the recommendation of the supervisor and the domain area of thesis topic, the DRC would recommend a final panel of six external domain experts with Ph.D., outside the School, to the CPP, of which two will be foreign experts of international standing in the areas to which the thesis is related. This submission should be done after the DRC recommends completion of work as per 11.1 and before the scholar submits the synopsis as per 11.3.
- 13.2 The CPP will forward the same to the Dean Academic. The Director, in consultation with the Dean Academic and the Chairperson, DRC will select three examiners from the said panel as a "thesis board", one of whom shall be a foreign expert. Copies of the synopsis shall be sent by CPP to three selected examiners along with the offer of examinership.
- 13.3 In case the Director is the thesis supervisor, the CPP will forward the recommendations to Dean Academic. The Dean Academic in consultation with DRC, Chairperson will select three examiners from the said panel as a "thesis board", one of whom shall be a foreign expert. If the Dean Academic is the supervisor of the student concerned, CPP will forward the recommendations to the Director. The Director in consultation with DRC, Chairperson will select three examiners from the said panel as a "thesis board", one of whom shall be a foreign expert. Copies of the synopsis shall be sent by CPP to three selected examiners along with the offer of examinership.
- 13.4 In case any expert declines to examine, the synopsis will be sent to another expert as identified by Director in consultation with Dean Academic and DRC Chairperson, from the panel submitted as per clause 13.2 to 13.3.
- 13.5 On acceptance to examine, the full final report will be sent by CPP to the examiners in the "thesis board". Each examiner shall be asked to submit a report to the coordinator (CPP) within 8-10 weeks giving a clear recommendation stating any one of the followings:
- The thesis is satisfactory and the viva-voce examination of the scholar may be held;
 - The thesis is satisfactory but requires minor corrections/ modifications. After these modifications the viva-voce examination of the scholar may be held without a need to send back the report to the examiner;
 - The thesis shall be referred to the scholar for major revision for reasons in the report, and thereafter the thesis shall be re-examined by the same examiners; and
 - The thesis shall be rejected for the reasons as stated.
- 13.6 Reminder(s) may be sent to the examiners by CPP after eight weeks. If report is not received after ten weeks, another final reminder may be sent for submission within next two weeks, i.e., within overall 12 weeks.
- 13.7 If the report is not received within 12 weeks of extension period, CPP will bring it to notice of Chairperson JCDRC for further necessary action. Chairperson JCDRC may send the report to another examiner from the list recommended by Chairperson JCDRC and approved by the Director.

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- 13.8 The names of the members of the "thesis board" shall be kept confidential till successful completion of the oral examination. However, on completion of Ph.D. thesis evaluation and successful submission of response to the examiners' queries, the name of the approved Indian examiner will be intimated to the supervisor/HoD as part of approved "Viva-Voce Examination Committee".

14 Conduct of Viva-Voce Oral Examination

- 14.1 Viva-voce examinations will be conducted if:
- All the examiners mention recommendations as per clause 13.5(a) or 13.5(b).
 - If any examiner(s) gives recommendation under 13.5(c), the thesis report after incorporating the comments, will be examined by the same examiner(s) and if final recommendation by this examiner 13.5(a) or 13.5(b) after re-examination, the viva-voce examinations will be conducted.
 - A thesis requiring major revisions as per under 13.5(c), may be submitted within six months of the receipt of decision. The same shall normally be examined by the examiner recommending major revisions. If the examiner is unable to re-evaluate the thesis, the Director, in consultation with the Dean, CPP and Chairperson DRC shall appoint another examiner or other examiners. In such cases additional panel of examiners may also be recommended to the JCDRC by the DRC/ CPP.
 - In such cases, the examiner requires to re-examine the revised report within a maximum of 4 weeks.
- 14.2 While recommending viva-voce examination of the scholar, the examiner may indicate the nature of questions and the issues to be clarified at the viva-voce.
- 14.3 In case of favourable recommendations, the viva-voce examination shall be conducted by the "Viva-Voce Examination Committee" comprising any one of the External Examiners, the Chairperson DRC, the Supervisor and the CPP. The Chairperson DRC shall be the convener of the Viva-Voce Examination Committee. The viva voce exam shall be conducted in person in the presence of students/scholars and faculty of the School who wish to be present at the time of viva-voce.
- 14.4 In addition to obtaining satisfactory clarification of the points raised by the examiners in their reports, the "Viva-Voce Examination Committee" shall satisfy itself that the knowledge of the scholar in the broad area of his study is satisfactory.
- 14.5 On the consideration of the report of the Viva-Voce Examination Committee, the Chairperson Viva-Voce Examination Committee shall finally decide, whether;
- The degree of Doctor of Philosophy (Ph.D.) be awarded;
 - The scholar is required to be re-examined on a later date; or
 - The degree of Doctor of Philosophy may not be awarded.
- 14.6 The Minutes of the Viva-Voce Examination Committee shall be submitted to the Chairperson JCDRC, for approval of the Director.

15 Final Submission of Thesis

- 15.1 Post viva-voce oral examination, minimum five copies of the thesis, with all

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corrections and modifications and signatures shall be submitted in hard cover with soft copy in digital drive, for the purpose of permanent record. One copy out of these shall be forwarded to the Library of the School, one copy to the Department, one copy for the Academic/Exam Section and two copies for the supervisor and the scholar.

16 Conferment of Ph.D Degree

- 16.1 Chairperson JCDRC shall recommend the minutes of the Viva-Voce Examination Committee to Chairman Senate and on approval from the Chairman Senate, Chairperson JCDRC will forward the decisions to COE for declaration of the result.
- 16.2 The Degree of Doctor of Philosophy (Ph.D.) shall be conferred to the scholar in the forthcoming Convocation with the formal approval of the Senate, after submission of 'No Dues Certificate' by the scholar.

17 Removal of Doubts

- 17.1 If any issue arising from the conduct of Ph.D. Programmes, is not covered by these Regulations, the decision of the Chairman Senate shall be final.

18 General

- 18.1 In the event of any ambiguity in the interpretations of these Regulations, decision of Chairman Senate will be final and binding.
- 18.2 Notwithstanding anything contained in these Regulations, all categories of the scholar shall be governed by the rules and procedure framed by the Senate in this regard and in force from time to time.



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28/03/23

