

GIET UNIVERSITY, GUNUPUR-765022, ODISHA, INDIA

**(Established Under Odisha. Act -23 of 2018 & Recognized by the U.G.C, Ministry of
HRD, Govt. of India)**

Ph.D. Programme Regulations

Ph.D Regulations-2019 Amended up to December -2020



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11/1/21

GIET UNIVERSITY GUNUPUR

Ph. D Regulations-2019 along with Ph. D (Amendment) Regulation-2020

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NB: Any further changes as suggested may be updated from time to time with the approval of the competent authority.

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**(Minimum standards and procedure for award of M.Phil / Ph.D Degrees) Regulation-2019
along with (Amendment) Regulations- 2020**

1.0 Definitions and Nomenclature

In the Regulations, unless the context otherwise requires,

(i) These Regulations may be called Gandhi Institute of Engineering and Technology University (GIETU) Ph.D Degree Regulations-2019 along with (Amendment) Regulations -2020" for award of the Degree of Doctor of Philosophy (Ph. D).

They shall apply to every candidate applying for admission, registration, conduct and conferment of degree of Ph.D of this University.

(ii) "Programme" means Doctoral Programme leading to the award of Ph.D. in Engineering and Technology / Management / Science and Humanities both Full Time and Part Time modes.

iii) "Scholar" means any candidate admitted by the University either under Full Time mode or Part Time mode for pursuing Doctoral Programme for the award of Ph.D. degree of the University.

(iv) "Research Advisory Committee" (RAC) means a Committee constituted by GIETU for each Scholar to monitor the progress of his/her research work.

"Departmental Research Committee" (DRC) means a Committee constituted by GIETU to monitor the Research Programmes of the Department.

(v) "Supervisor" means any faculty member of GIETU who has been recognized by GIETU to supervise the research scholars as per UGC norms.

(vi) "Course" means a theory subject/ a practical subject of PG programme/a directed study prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Programme.

2.0 CATEGORIES OF Ph.D. CANDIDATES

There shall be three categories of Ph.D. candidates

(i) Full Time candidates: All candidates who pursue full time research in GIETU shall belong to this category

(ii) Part Time (Internal) candidates: All candidates employed in GIETU who pursue part time research in GIETU shall belong to this category

(iii) Part Time (External) candidates: All candidates working in Industrial units, Colleges, Government departments, Research organizations or other Institutions, sponsored for pursuing Ph.D. Programmes in GIETU while continuing to serve in their respective Institutions/ organizations which are recognized as the Research Centers of GIETU shall belong to this category. They shall pursue research in their place of employment and /or in this GIETU.



3.0 Eligibility criteria for admission to the Ph.D programme:

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

3.1 Master's Degree holders satisfying with at least 60% marks in aggregate in engineering streams and with at least 55% marks in aggregate in Science & Humanities or its equivalent grade 'B' in the UGC-7 point scale (or an equivalent grade in a point scale wherever grading system followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under law in its home country or any other statutory in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions

3.2 Candidates who have cleared M.Phil .Course work with at least 55% marks in aggregate or its equivalent grade "B" in the UGC-7 point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil Degree shall be eligible to proceed to do research work leading to the Ph.D Degree in the same Institution.

3.3 A relaxation of 5% marks from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently –abled and other categories of candidates as per the decision of the Commission from time to time.

4. DURATION OF THE PROGRAMME

The duration of the programme and the time for submission of thesis are counted from the date of provisional admission.

4.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of five years for Full time scholars and a maximum of six years for Part time scholars.

4.2 Part Time (Internal/External): Part time Ph.D. programme is allowed provided all the conditions mentioned in the extant Ph.D. regulations are met.

4.3 Under extraordinary circumstances if the candidate fails to submit the thesis within the maximum period, further extension of the period for a maximum of two years may be granted by the Vice Chancellor, on the recommendations of the Doctoral Committee, RAC and CMRC.

After the expiry of the maximum period including the extension granted, a candidate will be permitted to Re-register as per the following regulations.

(i) For those candidates who want to re-register under the same supervisor on the same area of research, the earlier Doctoral Committee and the course works completed will hold good.

(ii) For those candidates who want to re-register with a different supervisor on a different area of research will be subjected to the regulations applicable for the fresh candidates.

(iii) If the area of research is the same, the new Doctoral Committee will decide whether the earlier course works completed can be considered for exemption or not.

4.4 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. up to 240 days.



5.0 ADMISSION PROCEDURE

(i) The number of available seats in the various specializations under different disciplines will be determined well in advance depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- supervisor ratio (as indicated in Para 6.0 (iv) laboratory, library and such other facilities and will be notified in website and through advertisement.

(ii) The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed form through proper channel wherever applicable, before 31st May/31st Dec. The application form and the necessary details are available in GIETU website.

(iii) The applications received will be sent to the respective schools who will forward the same to the Chairpersons of the Department Research Committee (DRC) of the departments. The DRC will consist of all the recognized supervisors in the department and a recognized supervisor from another department of the GIETU nominated by RAC. If the Head of the department is a recognized supervisor he/she will be the Chairperson. If not, he/she will nominate one of the recognized supervisors in the department as the Chairperson of DRC. In Schools, the Dean of the School will be the Chairperson. The DRC shall screen the applications for conduct of the Entrance Test by Central Examination cell.

(iv) The Entrance test need not be conducted for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder.

(v) The GIETU shall admit candidates by a two stage process through:

1. An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 70% subject specific and 30% of Probability-Statistics & English Communication. The Entrance Test shall be conducted at the Centre(s) notified in advance. This is scaled down to 70% of marks as per requirement of regulations.

2. An interview/viva-voce to be organized by the DRC for 30% of marks, where the candidates are required to discuss their research interest/area through a presentation before the Department Research Coordination Committee. The interview/viva voce shall also consider the following aspects, viz. whether:

2.1 The candidate possesses the competence for the proposed research;

2.2 The research work can be suitably undertaken at the Institution/College/University.

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

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

(vii) The respective DRC will forward the list of selected candidates along with the applications of all the candidates to seek the approval of the Registrar/ Vice-Chancellor for the provisional admission of the selected candidates.

(viii) The date of issue of the proceedings shall be considered as the date of admission into the programme.

(ix) The Candidates whose admission has been approved by the Registrar/ Vice Chancellor shall be provisionally admitted to the Ph.D. Programme with intimation to the concerned HOD, supervisor, the candidate, and the sponsoring institution, if any.

(x) The date of provisional registration shall be as per recommendations of DRC of each year.

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(xi) GIETU shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, and name of his /her supervisor/co T supervisor, date of enrollment and all such data as per requirement of regulatory bodies. **NOTE:** Mere submission of an application and appearance in the Ph.D entrance examination, the candidate has no right to claim for the admission into Ph.D courses. The authorities have all rights to allocate seats basing on the availability of supervisors in the respective departments.

6.0 ALLOCATION OF RESEARCH SUPERVISOR:

Recognition of Supervisors:

(i) Any regular professor of the University with at least five research publications in refereed journal and any regular Associate/Assistant Professor of the University with a Ph.D degree and at least two research publications in refereed journals may be recognized as Research Supervisor, Provided that In areas/disciplines where there is no or only a limited number of indexed journals, GIETU may relax the above condition for recognition of a faculty as Research Supervisor with reasons recorded in writing. The minimum impact factor (IF) requirements may be somewhat relaxed by the Vice Chancellor for humanities, social sciences, and other areas where a rich research culture has not yet been established.

(ii) Only a full time regular teacher of the GIETU can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same university or from other related institutions/Universities with the approval of the Research Advisory Committee and NOC from the parent serving organization. In case of nationally important institutions self declaration shall be submitted.

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

(iv) In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to GIETU to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent Supervisor and the institution for the part of research already done.

7.0 SUPERVISORS

(i) All Ph.D. candidates are required to work under the guidance of a recognized Supervisor from GIETU.

(ii) The part time (external) candidates shall be required to have, in addition to a Research Supervisor from GIETU, a recognized Co- supervisor from the institution/organization/department where he/she is employed, who is responsible to provide all necessary resources and help to complete the research work in a time bound manner.

(iii) When a supervisor of a candidate happens to be away from GIETU for more than 6 months, he/she may continue to guide the candidate, but a supervisor belonging to the same department shall be officially nominated as a Co-supervisor by the DRC of the department and forwarded through proper channel to the Vice Chancellor for approval.

(iv) If the supervisor leaves GIETU, he/she may be permitted to continue as a Co-supervisor for his/her students depending upon the availability of the individual, subject to the approval of the Vice Chancellor. A new supervisor belonging to the same department, officially nominated by the DRC of the department will be appointed as the Supervisor after obtaining necessary approval from the Vice Chancellor.

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8.0 Department Research Committee (DRC) and its functions:

8.1 There shall be a Department Research Committee (DRC) , or an equivalent body for similar purpose as defined in the Statutes/Ordinances , for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

8.1.1 To review the research proposal and finalize the topic of research;

8.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.

8.1.3 To periodically review and assist in the progress of the research work of the research scholar.

8.2 A research scholar shall appear before the DRC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted to the Research Advisory Committee with a copy to the research supervisor.

8.3 In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend with specific reasons for cancellation of the registration of the research scholar.

9.0. COURSE WORK:

The course work shall be treated as prerequisite for Ph.D. preparation. The Credit Requirements, number, duration, syllabus, minimum standards for completion, etc. are as follows:

(i) The research scholars should successfully complete a minimum of five courses (For a minimum of 14 credits) prescribed by the Doctoral Committee and approved by the concerned Boards of Studies.

Sl No	Course Code	Course Title	C
SEMESTER-I			
1	XXXXXX	Research Methodology	4
2	XXXXXX	Research Domain Specific Course-I	3
❖ 3	XXXXXX	Research & Publication Ethics	2
		Total Credits	9
SEMESTER-II			
1	XXXXXX	Research Domain Specific Course-II	3
2	XXXXXX	Seminar and Technical Presentation-II	2
		Total Credits	5

❖ Every candidate shall also be required to successfully complete Research and Publications Ethics (RPE) course (2 credits) as per UGC for awareness about publications Ethics and Publication misconducts during per-registration course work.

(ii) A minimum of four credits shall be assigned to one or more courses on Research Methodology (with a minimum of four credits) which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc.

❖ Inserted by (Amendment) Regulation-2020

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(iii) The other courses may be special courses decided by the Doctoral Committee relating to the area of research of the candidate.

(iv) For each of the courses, the maximum internal marks awarded is 30 marks. All the candidates have to appear for an Semester End Examination in each subject conducted by the Controller of examinations for 70 marks. The overall passing minimum is 55 marks.

(v) Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis. A scholar who gets less than C grade in a course work, he/she has to redo that course.

Grading System

GRADE		SCORE ON 100% POINTS	GRADE POINT
O	Outstanding	90 and above	10
E	Excellent	80 to 90	9
A	Very good	70 to 80	8
B	Good	60 to 70	7
C	Pass	55 to 60	6
F(Fail) Failure due to insufficient marks in the course	Fail	<55	0
Ab. Failure due to non- appearance in the examination	Absent	-----	0

10.0 REGISTRATION

- ❖ (i) After successful completion of the course work, a candidate shall submit a synopsis of the proposed research work to the DRC concerned through his/her supervisor within one year from the date of declaration of the result of the Pre-registration Course Work. The candidate needs to give a presentation of the synopsis before the DRC.
- ❖ (ii) The committee shall scrutinize the research proposal of the candidate and suggest for modifications, if any. The DRC shall also recommend the proposals for consideration of their registration.
- ❖ (iii) The Chairperson, DRC shall forward the applications of the candidates for Ph.D Registration along with its recommendations to the Dean (Academics).
- ❖ (iv) The proposals for registration should contain the following documents:-
 - a) Dully filled in and duly forwarded Application Forms.
 - b) Recommendation of the DRC with proposed date of effect.
- ❖ (v) The candidates from other Universities/Institutes must submit (TC & Migration) within one year from the date admission.
- ❖ (vi) Request for issue of **PROVISIONAL Ph.D REGISTRATION ORDER** be made on successful completion of allocated Ph.D course work and subsequent acceptance of presented Research Proposal and recommendations by DRC.

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- ❖ (vii) The Chairman DRC shall evolve a mechanism using well developed software to detect plagiarism and other forms of academic dishonesty.
- ❖ (viii) An external expert is to be invited in the respective domain by the Head of the Department (Chairman), for Registration and Approval of Topic as DRC member of respective scholar.
- ❖ All Research scholars whose registration for research degree is in force, are required to report in-person to the Supervisor each semester on the stipulated date till their submission of thesis, in the prescribed registration form after depositing registration fees and the same shall be forwarded to the COE through the Head's of the Department's .

❖ Inserted in 10.0 (I to viii) by (Amendment)Regulation-2020

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11.0 CANCELLATION OF REGISTRATION

- (i) The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the supervisor for any one semester is liable to be cancelled.
- (ii) The registration of a research scholar who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the Regulations will be cancelled.

12. SUBMISSION OF SYNOPSIS

(i) Upon satisfactory completion of the research work and after the publication of at least two research papers in indexed journals approved by GIETU and making two paper presentations in conferences/seminars, the research scholar is permitted to submit the synopsis of the Ph.D. work to the Controller of Examinations. The synopsis could be submitted after two years and nine months from the date of registration.

(ii) Prior to submission of the synopsis, the student shall make a pre-Ph.D. presentation in the Department that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the synopsis and thesis under the advice of the supervisor.

(iii) After the approval of the research work reported in the synopsis by the Doctoral Committee, the Supervisor shall forward 6 hard copies of the synopsis of the proposed thesis, with a soft copy on CD to the Controller of Examinations along with a panel of at least six names three from within state, and three from outside the State of GIETU campus) as examiners for adjudication of the Ph.D. thesis and a panel of three examiners for the viva voce examination.

The experts shall be from Universities/Institutions/R & D organizations/industries of repute like IITs, IISc, NITs, NIPER, IISER/NISER/SPA etc. The examiners must be of the rank of Professor/Associate Professors of IITs/IISc or its equivalent organizations.

13.0 SUBMISSION OF THESIS

(i) The research scholar shall, within six months of submission of the synopsis, prepare thesis in accordance with the format and specification prescribed. The thesis shall report, in an organized and scholarly fashion, highlighting the original contribution made in the research work of the candidate.

The thesis should be submitted after the completion of the minimum period and before the completion of the maximum period of the Ph.D. programme.

(ii) While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism after testing the thesis with a Plagiarism software recommended by GIETU and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

(iii) He/She shall submit 6 hard copies of the thesis along with a soft copy on CD to the Controller of Examinations through proper channel under the intimation to the Registrar with CC to Dean (Research) and Dean (Academic). Under no circumstances, the submission of thesis shall be delayed except under special circumstances, where an extension of three months may be granted with the recommendation of the Doctoral Committee by the Vice-Chancellor.



14.0 THESIS ADJUDICATION

(i) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners nominated by the Vice Chancellor from among the panel of examiners recommended by the Supervisor who are not in employment of GIETU, of whom one examiner should be from outside the state and another examiner from inside the state. The Vice Chancellor, if he deems it necessary, may also nominate examiners from outside the panel.

(ii) The Controller of Examination shall take such steps as deemed necessary to enable the reports of the examiners to be received as quickly as possible.

(iii) In the case of undue delay in receiving the report from the examiner, the Controller of examination shall refer the thesis to the second examiner selected by the Vice Chancellor, after waiting for three months and ensuring that the first examiner is not going to respond within a reasonable period of time.

(iv) The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:

- a) Recommended for the award of the degree of Doctor of Philosophy: Commended / highly commended.
- b) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be referred to the Supervisor for verification.
- c) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be sent to the examiner for revaluation.
- d) Not recommended.

The examiner shall enclose a report of 200 to 300 words, indicating the standard attained in case (a), the nature of revision in case (b) or (c) and the reasons for rejection in case (d).

(v) On receipt of the reports from the examiners, the following procedure shall be adopted:

a) If all the examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the oral examination.

b) If any examiner recommends revision of the thesis, the candidate shall be permitted to revise and resubmit the thesis within 6 months with the approval of the Doctoral Committee. The revised thesis shall be referred to the same examiner, if the examiner has insisted to send the thesis back to him/her after revision for offering his/her final recommendation on the thesis. In such a case the examiner should offer his/her comments for the second time either as recommended for the award or rejection. In case, the examiner did not insist on sending the thesis back to him, then GIETU may refer the revised thesis to the Supervisor for verification.

c) If one external examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice Chancellor. If the third examiner recommends the award, the thesis shall be provisionally accepted. Otherwise, the thesis shall be rejected and the registration of the candidate cancelled.

d) If both the external examiners recommend rejection, the thesis shall be rejected and the registration of the candidate be cancelled.

e) When the recommendation of the examiner on the revised thesis is not as stipulated in Clause 14 (iv)

(b) above or in the case of any dispute, the Vice Chancellor, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by the Vice Chancellor for this purpose.

f) Individual cases not covered by the above regulations shall be referred to the Vice Chancellor for his final decision.

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15.0 PUBLIC VIVA VOCE EXAMINATION

(i) The public viva-voce of the research scholar to defend the thesis shall be conducted by a Board of Examiners to be constituted by the Vice Chancellor. Only if the evaluation reports of the external examiner on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination.

(ii) The public viva-voce examination board shall include:

a) The examiner of the thesis, a member from the panel of examiners already recommended by the Supervisor.

b) An examiner from the panel of Oral Examiners already approved.

c) Supervisor of the candidate.

(iii) The convener of the Research Advisory Committee will be the Convener of Oral Examination Board and the oral examination shall be conducted as "Open defense type" examination.

(iv) If the performance of the candidate in the Oral Examination as reported by the Oral Examination Board to be NOT SATISFACTORY, the candidate may opt to reappear for the Oral examination at a later date (not later than six months from the date of the first Oral Examination). On the second occasion, the Oral Examination Board shall include one more examiner nominated by the Vice Chancellor.

(v) If the performance of the candidate in the Oral Examination on the second occasion also is reported to be NOT SATISFACTORY, the Vice Chancellor, if he deems it necessary, shall refer the remarks of the Oral Examination board, along with the thesis and comments of the examiners, to a committee constituted by the Vice Chancellor for this purpose and decide. The decision of the Vice Chancellor shall be final.

(vi) GIETU shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

16.0 AWARD OF Ph.D. DEGREE

If the performance of the research scholar in the Oral examination is satisfactory, he/she will be awarded Ph.D. degree on the recommendation of the Academic council and with the approval of the Board of Management of GIETU.

17.0 PUBLICATION OF THESIS

(i) After the viva voce examination, the candidate shall submit a copy of the thesis in CD ROM duly certified by the Supervisor that all the corrections have been duly carried out as suggested by the examiners, if any.

(ii) GIETU shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges/Universities

(iii) Papers arising out of the thesis may be published by the candidate. However, the thesis as a whole shall not be published by the candidate without the specific approval of GIETU.

18.0 Change of Regulations

The Academic Council of GIETU may revise, amend or change the regulations from time to time.

19.0 Depository with the UGC and University

Following the successful completion of the evaluation process and announcement of the award of the Ph.D. degree, the Dean (R&D) of the University shall submit a final (corrected) soft copy of the Ph.D. thesis to the UGC within a period of thirty days for hosting the same on its information and Library Network (INFLIBNET), accessible to all the institutions/ Universities.

The University shall also maintain a repository of such Ph.D. thesis in its Knowledge Center.


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Registrar