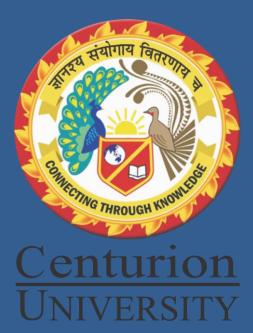# Ph.D Regulations

Centurion
UNIVERSITY

Shaping Lives...
Empowering Communities...

CENTURION UNIVERSITY   OF TECHNOLOGY AND MANAGEMENT (CUTM), ODISHA

Ph. D Regulations

(w.e.f. 2020 Academic Session)

Revised from dated 4.4.2023

CONTENTS

CENTURION UNIVERSITY OF TECHNOLOGY AND MANAGEMENT (CUTM), ODISHA

REGULATIONS FOR HIGHER DEGREES BY RESEARCH

Doctor of Philosophy (Ph. D)

1. INTRODUCTION

The Ph. D degree is the most coveted degree of the University. The quality of the degree is of utmost importance as it reflects the prestige of the University while contributing towards creating an ambience of innovation through research. In the process, it also provides a platform for the teachers to enhance their faculty of original thinking, apart from enabling them to acquire an important academic qualification.

The University offers Ph. D programme in a wide range of areas, such as **Engineering, Science, Management, Humanities, Agriculture and Social Sciences.** The main point of contact in relation to academic matters for higher degrees by research is the relevant school. Candidates should make sure that they are acquainted with the Regulations for Higher Degrees and the key staff in their faculty responsible for the academic management of Higher Degrees.

CUTM strives to nurture and enhance the development of research culture whose objectives are:

i. To facilitate the development of enhanced research training environment that focuses on the needs of the scholars.
ii. To provide human resources, infrastructure and programme support required for the successful completion of high-quality research within the stipulated time limit.

CUTM strives to provide scholars with appropriate as well as timely information and advice at all stages of their research. Appropriate opportunities will be identified for scholars to engage in productive and intellectual activities, so that they can pursue their research programmes in a truly stimulating environment which will enhance their skills and abilities.

2. AUTHORITY

Centurion University of Technology and Management, Odisha is the final authority to award Ph. D Degree to the students who have successfully completed the programme of study as outlined in these regulations.

2.1 Constitution of Committees

There are three research committees for the smooth conduct for research work.

i. University Research Committee (URC) – It is to be headed by Vice Chancellor. The other members of the committee are Research director, Registrar, Pro-VC (Academics) and Dean

Academics. The Chair (VC) can convene the meeting whenever required. The VC is free to choose any other expert as per the requirements. It is an apex body of the University.

ii. School Research Committee (SRC) – Each school will have a SRC committee. The Dean of the respective schools is one of the member of SRC. Other members to be included in the committee will be decided by the Dean of the respective schools.

The SRC will look after the areas that falls within its purview. The Dean of the respective school shall be the Chairman of the Committee. Besides the Chairman, the committee will consist of other members nominated by the chairman.

Role and Functions of SRC

The broad functions of SRC are as follows:

i. To recommend the names of a prospective supervisors for scholars based on the Research Proposal submitted.

ii. To encourage and ensure quality Ph.D. activities.

iii. To review the progress of the Ph.D of the scholars in their respective school-level.

iv. To interpret and give effect to the Regulations regarding the award of Ph.D Degree.

v. To deal with complaints submitted by a Ph.D student, Supervisor(s)/ RAC member(s).

iii. **Research Advisory Committee (RAC)**— For every student, a RAC will be framed comprising three members. The first member will be supervisor. The second member will be co-supervisor. The supervisor and co-supervisor are the mandatory members of RAC. The supervisor will nominate the other expert member(s) of RAC except co-supervisor. In case, there is no co-supervisor, then the any other two members can be any internal expert. The expert member(s) other than the supervisor or co-supervisor should be from the same discipline or associated with the similar areas of research that the scholar is working.

For each scholar, there shall be a Research Advisory Committee (DSC), the main role of which is to ensure that the scholar is engaged in an appropriate research work, makes good progress and at the end prepares a quality thesis in time.

Role and Functions of RAC

i. To examine the suitability of the candidate for registration.
ii. To decide on the course work for the Ph. D scholar.
iii. To decide the place of research work for the scholars.
iv. To monitor the research work progress of scholars.
v. To approve the submission of the Ph. D thesis.

vi.   To review the research proposal and finalize the topic of research.

vii. 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.

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

SRC and RAC will be responsible for overall quality assurance and improvement to ensure that the University is providing Ph.D students productive experience so that they complete their degree successfully and in a timely manner. They are also responsible for coordinating and monitoring the research progress of the scholar.

3. ELIGIBILITY

Candidates with following qualifications are eligible for admission to Ph. D programme. Preference will be given to candidates with GATE/ NET/ UGC/ CSIR/ URET scores.

a) **Engineering / Technology: -**
First class or equivalent marks / grades in Master's degree in Engineering / Technology in the relevant branch.

b) **Management studies: -**
First class or equivalent marks / grades in Master's degree in management.

c) **Sciences/ Humanities: -**
First class or equivalent marks or grades in Master's degree in Sciences / Humanities/ Social Sciences.

d) **Agriculture: -**
First class or equivalent marks /grades in Master's degree in Agriculture.

A relaxation of 5% marks, or an equivalent relaxation of grade will be allowed for those belonging to SC/ ST/ OBC (non-creamy layer)/ differently-abled.

Above requirements may be relaxed in the following cases, provided they have proven research records established through publication or otherwise:

i.   Faculty members of constituent campuses or any other institute of repute.

ii. Candidates working with domain specific organizations (e.g. CAs working in CA Firms).

iii. Candidates working in sponsored projects in constituent and affiliated colleges if the project duration is not less than three years.

iv. Candidates working in National laboratories, R&D Institutions of the Central/ State Government and R&D Laboratories of reputed Industries in permanent positions.

v. Candidates having long years of professional experience and exhibiting research aptitude may also be admitted to the Programme. The minimum required percentage of marks or CGPA may be relaxed for such candidates.

vi. Research Council may approve candidates having M. Phil Degree in the relevant subject.

vii. The selection will be made on the basis of overall academic career and performance in the test/seminar/interview.

3.1 Categories of Ph. D Candidates

There are two categories of Ph.D candidates. The University reserves all rights to assign candidates to either category.

i. Full Time candidates:

All candidates who pursue full time research in CUTM shall belong to this category and university may pay a fellowship depending on the performance of the scholar. The candidate will attend University on all days like any faculty member. The University would encourage students who have qualified for a national or any other scholarship to apply. They are required to meet the milestones for full time students. The milestones include, for example, timelines for completion of different stages of the research design, Annual Reviews, Doctoral colloquiums, and Pre talks. Students will also have to present their work to staff and/or group seminars, FDPs, and practice oral presentations, which will be facilitated by their supervisors and the Ph.D coordinators. They may be assigned to teach a course for undergraduate or postgraduate students.

ii. Part Time candidates:

All candidates working in Industrial units, Colleges, Government Departments, Research Organizations or other Institutions, sponsored for pursuing Ph.D Programmes in CUTM while continuing to serve in their respective Institutions/ organizations will be considered as part time candidates. They shall pursue research in their place of employment and/ or in CUTM and may be able to devote limited time to their Ph.D (two days a week). Part time students will have the same requirements as full-time students, but the timelines may be staggered to meet the various demands on their time.

4. ADMISSION PROCEDURE

4.1 Invitation for Application

The candidates desirous of pursuing Ph.D degree shall submit the application in the prescribed form with the updated CV and two pages write up on the proposed area of research wherever applicable, before 30th June / 31st December (summer and winter session), each year to the Research Cell. The application form and the necessary details are available in CUTM website. The application should be supported with a 'Statement of Purpose', which should contain the

objective, definition of the problem, proposed methodology and justification. The Application Form must be filled up online and an application fee of Rs. 2000/- (Rupees Two Thousand only) must be paid online (in the eventuality of this not being possible a DD drawn in favour of Centurion University of Technology and Management, Odisha, payable at any nationalized bank must be submitted). For interdisciplinary research, the statement of purpose should also contain information of the disciplines involved. The same will be discussed by the members of the DSC for its scope and viability from scientific and logistic point of view, in which the major part of the research work needs to be carried out. A decision will be taken as to which discipline the candidate will be registered under.

4.2 Scrutiny of Application Forms

The applications received shall be scrutinized by a Research Committee consisting of various faculty members or representatives.

4.3 Rejection of Candidature

CUTM reserves the right to reject a candidature if:
   i. They do not have the appropriate level of qualifications.
   ii. There is clear evidence that the capacity to complete a research degree programme is not present.
   iii. The appropriate supervisory capacity does not exist, that is, no applicant will be offered a place unless an appropriate supervisor is identified.

4.4 Selection Procedure

The Research Committee shall admit candidates by a two-stage process:
   i. An Entrance Test shall be conducted and a candidate has to qualify with minimum 50% marks. The Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance.

   ii. An interview/ viva-voce to be organized by the URC when the candidates are required to discuss their research interest/ area through a presentation. The interview/ viva voce shall also consider the following aspects, viz. whether:
   a) the candidate possesses the competence for the proposed research;
   b) the research work can be suitably undertaken at the Institution/ College;
   c) the proposed area of research can contribute to new/ additional knowledge.

   iii. The allocation of supervisor for a selected research scholar shall be decided by the University Research Committee 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.

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iv. The respective URC will forward the list of selected candidates along with the applications of all the candidates to the Vice-Chancellor for the provisional registration of the selected candidates.

v. The Candidates whose registration has been approved by the Vice Chancellor shall be provisionally admitted to the Ph.D Programme by the Academic administration (Research) with intimation to the concerned Faculty, supervisor, the candidate, and the sponsoring institution, if any.

vi. Every candidate, admitted to the programme, will be allotted a Registration Number, which should be quoted in all correspondence. The candidate will be enrolled in the University and must re-enroll each calendar year paying the requisite fee, until the thesis has been submitted for examination.

vii. The candidature will be deemed to have lapsed, if the candidate does not re-enroll before the cut-off date (30th June or 30th December, depending on the enrolment). Although the registration is valid for the entire period of 6 years (and beyond should the candidate seek an extension), the candidate has to re-enroll every year until the thesis has been submitted for examination. It is the responsibility of the University to ensure that confirmation of candidature/ programme of study approval takes place in a timely and effective way.

viii. There is no refund of the money, if the candidates not selected or withdraw the candidature.

5. SUPERVISION PLAN

5.1 Allocation of Supervisors

i. The allocation of Research Supervisor for a selected research scholar shall be decided by the University Research Committee 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.

ii. A professor can supervise maximum up to **eight** Ph.D scholars. An associate professor as can supervise up to a maximum of **six** Ph.D. scholars and an assistant professor can supervise up to a maximum of **four** Ph.D scholars.

iii. If the supervisor leaves CUTM, he/she may be permitted to continue as a co-supervisor for the scholar depending upon the availability of the individual, subject to the approval of the Vice Chancellor. Otherwise, a new supervisor belonging to the same faculty of CUTM, officially nominated by the School Research Committee of

the Department will be appointed as the Supervisor after obtaining necessary approval from the Vice Chancellor.

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 the university to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter 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.

5.2 Eligibility for Supervisors/Co-supervisor

(i) Permanent faculty members working as **Professor/Associate Professor** of the Higher Educational Institution with a Ph.D., and at least **five research publications in peer-reviewed or refereed journals** and permanent faculty members working as **Assistant Professors** in Higher Educational Institutions with a Ph.D, with a minimum 2 years post-Ph.D experience and **at least three research publications in peer-reviewed or refereed journals** may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-Graduate Colleges/institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

(ii)   In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.

(iii)   An eligible Professor/Associate Professor/Assistant Professor can guide up to **eight (8) / six (6) / four (4)** Ph.D. scholars, respectively, at any given time.

(iv)   In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

(v) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

5.3 Admission of International students in Ph.D. programme

(i) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 5.2 (iii) above.

(ii)   The higher educational institutions may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

(iii) At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 5.2 (iii) and clause 5.3 (i).

5.4 Responsibilities of the Supervisor

The responsibilities of the Supervisor are to advise the candidate in the conduct of their research programme (that is how best to develop and enhance their research knowledge and research generic skills) and develop the candidate's capacity for independent research and scholarship. Further, the supervisor must advise the candidate as appropriate in negotiating the requirements for programme approval and submission. Few specific responsibilities along their course of action are as follows: -

To provide a framework within which the academic work can take place by:
   i.   Setting up a regular schedule of meetings with students (not less than one per month) to allow for regular interaction and information flow;

ii. reaching agreement with students on indicators of progress being made and dates for submission of interim and final reports; and

iii. Providing regular and prompt feedback on progress to students (including written feedback on written work within two weeks unless the written work is extensive).

A. *provide academic guidance by:*

i. Providing scholarly direction;

ii. Encouraging students in their academic work;

iii. Ensuring that appropriate timetables for the completion of each phase of the work are established;

iv. Ensuring that students are given timely advice about style requirements and

v. About the mechanics of presenting a thesis,

vi. Ensuring compliance with any legal, professional, ethical or safety guidelines associated with the project;

vii. Identifying and helping students acquire any missing skills for their research.

B. *To act as assessor by:*

i. Assessing the quality of a student in order to permit provisional registration;

ii. Assessing students' skills before the end of provisional registration and ensure that any gaps are filled;

iii. Providing written reports to students at six-monthly intervals

iv. Ensuring that students are made aware of inadequate progress or inadequate work and suggesting ways of addressing such problems; and

v. Guiding students' work in the light of likely expectations on the part of examiners.

C. *To facilitate administrative compliance by:*

i. Being knowledgeable about and helping students comply with all statutes and policies and other regulations and guidelines governing the administration of the degree (e.g. suspension, study overseas, change of status, selection of examiners, examination procedures, etc.);

ii. Organizing the presentation of six-monthly reports; and

iii. Aiding with applications to the Research committees.

D. *To act as a guide to university facilities by:*

i. Encouraging students to take part in the life of the school by attendance at social and academic functions, etc;

ii. Being aware of and, when necessary, referring students to guidance and support facilities within the University; and

iii. Encouraging students to seek appropriate financial support for their project from university sources.

E. *To guide the student into wider contacts as appropriate to the discipline by:*

i. Encouraging seminar and conference presentations;

ii. Helping students make contact with other scholars in the field; and

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iii.   Helping students publish their work as appropriate.

6. COURSE WORK

A student has to complete course work of six months (one semester) duration of which the components of Research Methodology will be compulsory. The first year is considered as a pre-registration year. This will enable a student to opt for an exit path if they wish and ensure quality research outcomes for the University. Course work syllabus, list of experts and question papers have to come from the supervisors.

University Research Committee at its meeting held on 31st January 2017 has resolved to introduce credit system for the course work with a minimum required grade point of 6.0 in the 10-point scale.

The recommendations are as follows:
i.   The scholars shall be given preliminary admission and are required to obtain a grade point of 6.0 through their course work within one year of their admission to the programme enabling them to register for the research work and submission of the thesis.

ii.   The course work is to be evaluated through credit system comprising (total 14 credits):

- Research Methodology (4 credits)
- Technical writing (4 credits, which includes 2 research Papers and 1 review paper publication)
- Publication and ethics (2 credits)
- Elective subjects (4 credits)

iii.   The Research Methodology paper from module 1 to module 5 comprises common modules related to general research methodology. The next portion of the syllabus is domain specific.

iv.   For technical writing, the scholar must publish 3 papers that should reflect in Scopus/WoS/PubMed database. The scholar must be the first author for their own research work publications. Any publications containing the name of scholar before pre-admission date will not be considered as Ph.D research work publication. Likewise, any publication made by the scholar without including the names of supervisor/co-supervisor will be considered unethical and not be counted as Ph.D research work publication.

v.   The publication and Ethics syllabus is compulsory for all scholars, irrespective for their domains.

vi. The scholars will be given to choose any one elective paper for elective basket. The scholars must consult with their supervisors before choosing the elective subjects that should fit their domain areas.

vii. The provisions of (i) Thesis submission under normal circumstances (within 3 years of registration), (ii) Early submission (not before 2 years from the date of registration), (iii) Deferment, (iv) Transfer of Registration to CUTM from other universities and (v) Transfer of Registration from CUTM to other Universities shall continue.

viii. The conditions related to submission of thesis under normal conditions and extensions beyond 6 years shall remain as it is in the new regulations. Research Methodology is mandatory for all in which the doctoral students have to attend classes in the Jatni Campus.

ix. The Research Methodology course will have 40% common syllabus and 60% domain specific marking. The candidate should appear in a seminar on the research topic emphasizing the importance of the problem, review of literature, methodology and techniques to be adopted including interpretation of data and the expected outcome. The seminar will be open to all. If the Supervisor in his or her wisdom contemplates to grant exemption of the course work, has to submit justification to URC for approval.

x. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

6.1 Monitoring the Progress of Candidates

i. A research scholar shall appear before the research committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The research committee shall submit the six monthly progress reports to the Vice Chancellor with a copy to the research scholar. The research committee meeting may be conducted through online mode if a member is not able to attend the meeting.

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

6.2 Duration of Candidature

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

    i.   (a) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. (b) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme. (c) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

    ii.   If the candidate has published in SCI peer review journals (unpaid), in that case, the Vice Chancellor may allow to minimum two years for thesis submission.

    iii.   Under extraordinary circumstances if the candidate fails to submit the thesis within the maximum period, the Vice Chancellor, on the recommendations of the research committee may grant further extension of the period for a maximum of two years.

    iv.   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 for up to 180 days.

6.3 Fellowship

There is a provision of fellowship for full-time scholars and for GATE/ NET/ UGC/ CSIR/ URET qualified full-time scholars. However, the fellowship is based on the satisfactorily performance of the scholar. The fellowship will be given only full-time scholars **maximum up to a period of 3 years or submission of thesis (whichever earlier).**

6.4 Re-registration

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 RAC 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 research committee will decide whether the earlier course work completed can be considered for exemption or not.

6.5 Extension

The candidate can seek extension / renewal of registration, if required, after six years of registration. The maximum extension a candidate can get is two years (total eight years) but a woman candidate can take up to a total of 10 years to complete their Ph.D. The candidate has to apply for renewal in the prescribed format with the recommendation of the Supervisor to the Vice Chancellor. After careful scrutiny, URC may approve the extension, which will be communicated to the Director Quality Assurance Cell/ Controller of Examinations and the candidate.

The following should be included in the application for extension to candidature: Summary of the work completed an outline of the work remaining

   i.   A timeline for the completion of the remaining work
   ii.   A proposed submission date
   iii. An explanation for the delay, and
   iv.   The most recent progress report

6.6 Exceeding Maximum Duration

Candidature can be terminated on the expiry of maximum duration of candidature if there is no submission for examination by then, or where no approval for extension beyond the maximum period has been obtained from the RAC.

The Research Committee will notify the candidate, the senior supervisor and the Head of the Faculty or appropriate academic authority six months before expiry of candidature of the maximum date for submission of the thesis and that the candidature will be terminated in the event that the thesis is not submitted to the Research Committee on or before that date. For those students who have completed 6 years and have not made any progress, have to ask for extension or re- registration. If the Ph.D cell is not informed about the extension, the student will be deregistered from the Ph.D. programme.

6.7 Cancellation

   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 by CUTM.
   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 by CUTM.

6.8 Deferment

Ideally, a candidate should apply for a Ph.D program when they are definitely ready. However, sometimes life has a way of altering the best-laid plans. When that happens, a candidate should feel free to request a deferral. The candidate can seek to defer their registration, under exceptional circumstances, within two years of initial registration. The maximum period of deferment a candidate can get is **two years**, that is, the candidate can seek reinstatement anytime within six years. The candidate has to apply for reinstatement following deferral in the prescribed format with the recommendation of the Supervisor.

The supervisor will send the justification to the SRC for reinstatement. After careful scrutiny, the Vice Chancellor may approve the reinstatement, which will be communicated to the Director Quality Assurance Cell and the candidate.

The following should be included in the application for deferment of candidature: -

i.   One-page summary of the work completed
ii.   An outline of the work remaining
iii.   The most recent progress report

When the candidate seeks deferment, they will be exempt from paying fees for the period of deferment. Further, that period will not be counted for the duration of the Ph.D program. When the candidate is reinstated, they would have to pay a processing fee (to be determined at the time of reinstatement) and will have to pay the annual fees applicable at the time of reinstatement from then on, until submission.

i. **Transfer to CUTM from another University**

Candidates transferring must meet the eligibility criteria of CUTM when registered at another University. Candidates transferring from another University must notify CUTM the research period at the previous University.

The duration of candidature at CUTM will be the duration as described in the section 'Duration of Candidature', minus their period of research at the previous University. Transfers will be approved where a candidate has not crossed over one year of enrolment and subject to the progress in work. Exception will be made for CUTM faculty with the approval of VC.

If a candidate has qualified the pre-registration requirements (research methodology and other course work) from another University, this may be considered if it meets with the UGC requirements. However, the candidate will have to apply through the regular application process in order to be considered. The admission on transfer should not be considered guaranteed.

ii. **Transfer from CUTM to another University**
Candidates can seek transfer from CUTM to another University if they desire. They must have cleared all the dues and should have met all the academic requirements till

the date of transfer. The progress reports till date of seeking transfer will then be sent to the University where student is seeking admission in the Doctoral program. They have to apply in the prescribed form **(CUTM/Ph.D/2016/67.17)** and pay the processing fees of Rs.5000/- for the same.

6.9 Progress of the Study

It is mandatory for all doctoral scholars to spend at least a week in each semester at the University to work with their supervisors. The report will then be forwarded to the SRC with a recommendation on whether the candidature should be continued or whether any changes are required in the programme.

The candidate must demonstrate satisfactory progress by completing requirements as jointly decided with the supervisor throughout the candidature. The Supervisor and candidate must provide six-monthly annual progress reports in the prescribed format. It is the joint responsibility of the Supervisor and the candidate to ensure that progress reports are completed within the period.

If unsatisfactory progress is recorded, that is, the candidate has not demonstrated satisfactory progress in two consecutive reports and a recommendation of termination may be made by the RAC to the SRC. SRC can forward it to URC for taking appropriate actions. Progress reports must be treated as confidential documents whose contents can only be used for the purpose of identifying research progress and for no other reason.

6.10 Additional Requirements for the Award of Ph. D Degree

In addition to a thesis
  i.   A candidate should have completed the requisite course work
  ii. A candidate should present a seminar six monthly each year on the progress of the research or on a topic mutually agreed with the Supervisor related to the topic of research.
  iii. A candidate should publish at least one research paper in a reputed journal each year and produce evidence of the same at the time of submission of the thesis.
  iv. From 2019 admission batch onwards, **three research papers** (2 research and 1 review article) must be published by the doctoral students (both full-time and part-time) during the research period. These research papers must be reflected the **Scopus database or Scopus Author's Search**.
  v.   From 2023 admission batch onwards each scholar has to opt one elective subject.

6.11 Pre-talk

A student is eligible for pre-talk (progress review before the final Defence), after completion of three years from the Ph.D pre-registration. The pre-talk should be conducted before the start of the academic session (1st June in every year). In case, the pre-talk is held after 31st May, the

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candidate has to pay the annual fee for the coming year. In the pre-talk, it is mandatory for the student and his/her supervisor to be physically present. In case of transfer cases (from other Universities), the student has to spend a minimum of one year before appearing in the pre-talk.

The doctoral candidate must have produced a minimum of **two** peer reviewed research papers before the pre-talk, which is applicable for 2017 and 2018; minimum **two** peer reviewed research papers (Scopus/WoS/PubMed database), which is applicable to 2019 admission batches only and minimum **three** peer reviewed research papers, which is applicable from 2020 onwards. The scholar has to submit all the published papers, draft copy of the thesis, synopsis with plagiarism report with the application form for pretalk. The scholar has to submit the thesis within three months from the date of pretalk.

7. THESIS

The earliest submission process of the thesis can begin after completion of three years from the date of pre-registration. It is mandatory for each student to apply his/her research findings/ framework/ model/ recommendations and include the result/ analysis as a chapter/section in the final thesis. The scholar should have to refer the format before preparing the thesis.

The candidate before submission of the thesis shall submit a one hard copy of synopsis (not exceeding 1000 words or 10 pages) and a presentation will be made to the SRC and RAC. The thesis is to be submitted within three months of submitting the synopsis provided the SCR and RAC has accepted the synopsis and recommended for the submission of the thesis.

The thesis may be allowed to be submitted only after the candidate has successfully completed the prescribed course work, and has recommended the same.

7.1 Submission of the Thesis

One copy of the thesis in the format described above is to be submitted in hard bound and also in a pen drive to the Director Quality Assurance and Controller of Examinations along with a forwarding letter duly endorsed by the Chairman, DSC. (The candidate may be requested to submit additional hard copies if required).

At the time of submission of the thesis, the candidate should submit the following documents and shall pay the prescribed fees:

   i.   Four hard copies (in case the scholar have co-supervisor) or three hard copies (in case the scholar has only supervisor and no co-supervisor) and one soft copy [in Pen drive (PDF format)] of the Thesis prepared as per the guidelines of CUTM.
   ii. A certificate from the Supervisor to the effect that the work done by the candidate is original and is within the area of specialization.
   iii. One hard copy and soft copy of the synopsis (not more than 1000 words).
   iv. Evidence of payment clearance and library clearance to be attached.

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Following the examination and final defense, once the candidate has incorporated all the suggested amendments to the thesis, a final hard-bound copy along with an electronic copy (in PDF format) is to be submitted for archival purpose to the University Library.

8. EXAMINATION

8.1 Appointment of Board of Examiners

The supervisor shall forward a list of 6 external experts along with their designation to the Chairman of URC for evaluation of the thesis on receipt of the synopsis from the candidate three months prior to submission (that is, the list of examiners will be provided at least two months prior to submission). The Chairman of URC, the Vice Chancellor shall finalize the names of external examiners (both Indian and foreign) other than the Supervisor(s) or CUTM members for evaluation of the thesis in order of preference. The Ph.D cell shall submit the same to the Director Quality Assurance Cell and Controller of Examinations for further correspondence. The examiners shall be of high standing in the field in which the candidate's research programme is conducted.

The approved panel of examiners shall remain valid for two years from the date of approval. The Ph.D Cell shall email the synopsis of the thesis to all the examiners finalized by the Vice Chancellor within two weeks of receiving the synopsis duly recommended by the RAC and SRC. The thesis shall be sent within two weeks of receiving confirmation from the external examiners.

8.2 Examiners' Recommendation

The examiners shall individually and independently assess the thesis, prepare brief assessment reports for the guidance of the candidate and make one of the recommendations as provided in Form within 12 weeks of receiving the thesis. A reminder is to be sent thereafter, and if no response is received within 2 weeks; the Ph.D Cell has to start the process to send the thesis to another examiner in the list.

The response from all examiners will be sent to the supervisor and scholar concerned within 1 week of receiving the last evaluation.

The RAC meeting will discuss the comments of all examiners. If modifications are indicated, the same will be communicated to the supervisor and scholar. The modified thesis should be submitted to the same examiner (if required) for re-evaluation within three months. Alternatively, if one of the external examiners accepts and the other clearly rejects the thesis, the Ph.D cell have to send the thesis to another examiner in the list with his/her consent. In case the new examiner also rejects the thesis, it has to be re-cast and resubmitted. If the examiners are unanimous in accepting the thesis with minor or no modification, a date for final defense shall be fixed.

8.3 Final Defense

The final defense of the thesis shall be conducted, where the members of RAC, SRC and one external expert/examiner must be present. The Ph.D cell shall be informing to all teaching faculties and other Ph.D scholars to join the meeting of final defense. If any of the examiners are not available, then an alternative external examiner from the examiners' list shall be appointed for this purpose. All members of the RAC and SRC and Director Quality Assurance Cell and Controller of Examinations will be invited to the final defense of the scholar. In case, the Board of Examiners recommends for conduct of fresh final defense, the matter shall be placed before the RAC for a decision. Fresh final defense may be allowed by RAC after two months but within six months from the date of first examination.

The recommendation of RAC after final defense, should be sent to the Director Quality Assurance and Controller of Examinations for necessary approval from the Vice-Chancellor. The Director Quality Assurance and Controller of Examinations will notify the result after approval of the Vice-Chancellor and the candidate may be issued with a provisional certificate.

8.4 Change Process

If the thesis is rejected by the examiner(s), a candidate will be allowed for re-registration in another topic with another supervisor undergoing the same procedure as described earlier. If the thesis is rejected for the second time, then he will be debarred for further registration in any topic under the university.

If the Supervisor recommends for cancellation of registration of a candidate, the same will be placed before the RAC for a decision. After careful observation, RAC may forward its decision to the Chairman, SRC for necessary action. If cancellation is accorded, such cancellation however would not disqualify the candidate to continue with Doctoral research under a new supervisor.

If a Candidate wishes to change the Supervisor/ Co-supervisor within the period of registration, he has to apply in the prescribed format with the consent of the Supervisor/ Co-Supervisor. In case, for some reason consent from the Supervisor cannot be obtained by the candidate for change, the SRC will take a considered decision such as change of title of the thesis and joint publications with the new Supervisor. On recommendation of RAC, SRC may allow such change by replacing the existing Supervisor / Co-supervisor with proposed Supervisor/ Co- supervisor in the RAC. The registration number of the Candidate and the date of registration shall remain valid.

If a candidate wishes to change the area of research, he/she has to apply for fresh registration. The previous registration will be cancelled. The same practice as described earlier will be followed for fresh registration. However, he/she will be exempted from entrance test. If a candidate wishes to change the title of the thesis, he/she has to apply in the prescribed format with the recommendation of the Supervisor. If RAC approves, the decision is communicated to the Director Quality Assurance and Controller of Examinations under the intimation to the Chairman SRC.

8.5 Award of Degrees

Once a thesis has been declared as passed, the requirements of the Regulations have been met, and the final copy submitted, the Ph.D cell will recommend to the Director Quality Assurance and Controller of Examinations that the candidate be now admitted to the appropriate degree. The award of Ph.D will be made without any grading. The award will be presented during the University's Annual Convocation.

8.6 Awards

The Vice Chancellor's Award for the best Ph.D thesis will be presented during the convocation. Only candidates receiving **'recognition of outstanding work'** by the examiners of the thesis will be considered for this award.

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

9. FEES

Fee structure for the Ph.D program is available on the website in the admission tab of the University website.

Sub.: Extension of course work, fee payment and research registration for defaulters.

i. It is mandatory for scholars to qualify in the course work by obtaining a minimum CGPA of 6.0 (during the pre-registration year) before they are allowed to register for their candidacy.

ii. The research committee has proposed the following policy for implementation w.r.t. such scholars whose CGPA at the end of pre-registration year happens to be below 6.0.

iii. Scholars who obtained a CGPA less than 6.0 needs to improve the same by re-appearing in the course work examination in which they are either disqualified or obtained a poor grade. These scholars can opt for improvement on EOD (Examination on Demand) basis by paying the prescribed charges or appear during the next series of course work examinations conducted by the University (The internal marks scored in discipline specific RM subject remain unaltered). In case their review paper is found to be of low quality and a poor grade was awarded by the research committee resulting in a low CGPA, the scholar has to modify the paper and re-submit the same for publication in any other journal of good repute.

iv. For such scholars referred above, extension will be granted by the research committee for a period of one semester on payment of the prescribed fee to improve their CGPA. A maximum of two extensions will be allowed for any scholar and those who could not still improve their CGPA, will be automatically de-registered. In case the scholars could secure the minimum CGPA by the above process within the pre-registration year, no extension fee is required to be paid.

v. The registration of research and the duration of their research period will be made effective from the semester that succeeds the semester in which they obtain the minimum prescribed CGPA.

vi. Respective discipline coordinators shall monitor these matters with intimation to the overall coordinator and Dean, Academic Affairs.

ANNEXURES   Download Pdf - Centurion University (cutm.ac.in)

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