



CENTURION UNIVERSITY OF TECHNOLOGY AND MANAGEMENT

REGULATIONS FOR HIGHER DEGREES BY RESEARCH



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CENTURION UNIVERSITY OF TECHNOLOGY AND MANAGEMENT (CUTM), ODISHA

REGULATIONS FOR HIGHER DEGREES BY RESEARCH

Doctor of Philosophy (PhD)

1. INTRODUCTION

The information presented here pertains to the Doctor of Philosophy (PhD) programme of Centurion University of Technology & Management. We hope that these regulations are as accessible and user-friendly as we can make them. The PhD 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 acquire an important academic qualification. In order to maintain the standard of PhD degree at a high level, it is necessary that a transparent procedure is followed.

The University offers PhD Programme in a wide range of areas in Engineering, Science, Management, Humanities and Social Science. 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 will strive to nurture and enhance the development of a research culture whose objectives are:

- to facilitate the development of enhanced research training environment that focuses on the needs of candidates.
- to provide human resources/ infrastructure and programme support required for the successful completion of high quality research within the stipulated time limit.

CUTM will strive 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 & intellectual activities, so that they can pursue their research programmes in a truly stimulating environment which will enhance their skill set and abilities.



2. AUTHORITY

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

The University will also be the final authority in awarding Honorary Degrees, Doctor of Literature (DLitt) and Doctorate by Publication. The Director Quality Assurance Cell and Controller of Examinations will be overall in charge of coordinating the examination process for PhD Degree.

Research Advisory Committee (RAC)

It is an apex body of the University. The Vice Chancellor will be the chair along with other members. The members of the committee are Dean Academic, one External Member and two senior most faculty members of the University selected by the VC.

Two Committees of the University will guide matters relating to the Higher Degree by Research, the **Research Committee (RC)** and the **Doctoral Scrutiny Committee (DSC)**. These two committees will be responsible for overall quality assurance and improvement to ensure that the University is providing PhD students productive experience so that they complete their degree successfully and in a timely manner. They are also responsible for coordinating and monitoring the examination process and recommending the degree. A team of relevant functionaries of the University will from time to time re-visit policy guidelines pertaining to the Higher Degree Programmes and amend it if required. The regulations/ policy guidelines have to be approved for implementation by the Academic Council of the University.

2.1. Research Committee (RC)

The Research Committee (RC) of the University is the highest body to coordinate the Doctoral Programme. The RC will look after the areas that fall within its purview. The Dean Academic shall be the Chairman of the Committee. Besides the Chairman, the committee will consist of four other members (preferably in the rank of Professor/ Associate Professor), to be nominated by the Vice-Chancellor.



2.1.1. Role and Functions of RC

The main role of RC is to encourage and ensure quality PhD activities. The broad functions of RC are as follows:

- a) To approve the name of a prospective guide as Supervisor for a Candidate based on the bio-data and the Research Proposal submitted.
- b) To approve the composition of the Doctoral Scrutiny Committee (DSC) for each candidate.
- c) To review the progress of the PhD Programme based on the progress reports submitted by Doctoral Scrutiny Committee (DSC) of a candidate.
- d) To approve the submission of PhD thesis and the list of examiners for a student.
- e) To interpret and give effect to the Regulations regarding the award of PhD Degree.
- f) To deal with complaints submitted by a PhD student, Supervisor(s)/ DSC member(s).

2.2. Doctoral Scrutiny Committee (DSC)

For each scholar, there shall be a Doctoral Scrutiny 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.

The Chairman of DSC shall be nominated by the Chairman of the RC from amongst the members of the committee (other than the Supervisor(s)). The other members will be the Supervisor(s) of the scholar, two faculty members from the same discipline known to be working in similar areas from CUTM/ other Universities, nominated by the Chairman of the RC and two members from different disciplines but in a broadly related field, nominated by the Chairman of respective RC.

2.2.1. Role and Functions of DSC

- a) To conduct a Registration Seminar of the candidate to examine the suitability of the candidate for registration.
- b) To decide on the course work for the PhD student.



- c) To decide the place of research for a student.
- d) To hold periodic presentation meetings for scholars and monitor their progress.
- e) To hold the Synopsis Submission Seminar for scholars and approve the submission of the PhD thesis.
- f) To recommend the list of examiners to the Chairman RC for approval.
- g) To analyse the examiners' reports and either recommend re-submission, rejection or fix the date for Oral Defence Examination.
- h) To conduct the Oral Defence Examination and make appropriate recommendation.

Constitution of Committees

- 1. Research Advisory Committee (RAC)** - is to be headed by VC. The members of the committee are Dean Academic, one External Member and two senior most faculty members of the University. The chair (VC) will convene the meeting whenever required. The VC is free to choose any other expert as per the requirement.
- 2. Research Committee (RC)** – The Dean Academic of the University is the chair. Dean R&D (PKD Campus), Director Research, Pro VC Management and Dean Basic Sciences are the members of the committee.
- 3. Doctoral Scrutiny Committee (DSC)** - For every student, there is a DSC comprising three members including the guide.

3. ELIGIBILITY

Candidates with following qualifications are eligible for admission to PhD programme.

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.

c. Sciences / Humanities:-

First class or equivalent marks or grades in Master's degree in Sciences/Humanities/Social Sciences with valid GATE/ NET/ UGC/CSIR/URET scores.

d. Agriculture:-

First class or equivalent marks /grades in Master's degree in Agriculture.

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 and affiliated colleges or any other institute of repute.
- (ii) Candidates working with domain specific organisations (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.

Note: *In case of candidates belonging to SC/ ST category, they are eligible for admission if they have secured at least 55% marks in the qualifying examination*

4. APPLICATION

4.1. Invitation for Application

Each HOD of the University will recommend to the RC about the number of doctoral students in different areas within the discipline that can be admitted each year in their departments after which, the Registrar of the University shall invite applications for registration to PhD Programme once a year in the month of January. A candidate desirous of pursuing a PhD programme under CUTM shall apply in the PhD Application form (*CUTM/PhD/ 2015/ 67.1*) with the Current CV and two page write up on the proposed area of research. The application should be supported with a ‘Statement of Purpose’ which should contain the objective, definition of the problem, proposed methodology and justification. ***The filled up Application Form must be attached with a DD of Rs. 2000/- (Rupees Two Thousand only)*** drawn in favour of ***Centurion University of Technology and Management, Odisha***, payable at any nationalized bank.



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 by the Admissions Office shall be scrutinized by a committee consisting of the Deans of various Faculties or by representatives nominated by them.

4.3. Rejection of Candidature

CUTM reserves the right to reject a candidature if:

- a) They do not have the appropriate level of qualifications.
- b) There is clear evidence that the capacity to complete a research degree programme is not present.
- c) The appropriate supervisory capacity does not exist, that is, no applicant will be offered a place unless an appropriate supervisor is identified.

5. ADMISSION

Candidates whose selection is approved by the Research Committee (RC) and the Doctoral Scrutiny Committee (DSC) of the University after a due process will be intimated by the Registrar of the University about the formalities of admission to the PhD Programme. The commencement of the candidature will be in the month of June. 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-enrol each calendar year paying the requisite fee, until the thesis has been submitted for examination.

The candidature will be deemed to have lapsed if the candidate does not re-enrol before the cut-off date (**30th June**). Although the registration is valid for the entire period of 3 years (and beyond should the candidate seek an extension), the candidate has to re-enrol every year until such time as the thesis has been submitted for examination. It is the responsibility of the



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University to ensure that confirmation of candidature/ programme of study approval takes place in a timely and effective way.

All documents pertaining to the candidate, the proceedings of Research committee of the University (RCU) and the Doctoral Scrutiny Committee (DSC) shall be maintained by the Controller of Examinations and the Quality Assurance Cell of the University.

Non-compliance of the formalities by the candidate within the prescribed time limit will lead to cancellation of admission.

5.1. Registration Seminar

The Registration Seminar includes one written examination and a presentation of research proposal. The Chairman of the DSC will intimate the candidate about the date of registration seminar on his/ her research proposal. The presentation should contain the background, objective/ hypotheses, a brief literature review, methodology, application, references etc. A candidate's broad topic of research and research proposal shall be examined by the DSC to assess its suitability. In case the DSC is not satisfied with the research proposal of the candidate, it may suggest specific change(s). The candidate shall be required to make appropriate changes in the proposal as suggested by the DSC, and have it approved by the DSC through another presentation. For the new scholars (2017 onwards) - after one year of enrolment in the PhD programme, the scholar must produce a paper/ article based on literature review for publication in the Centurion Journal of Multi-disciplinary Research

5.2. 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. This will enable a student to opt for an exit path and also ensure quality research outcomes for the University. Course work syllabuses, list of experts and question papers have to come from the guides.

1. The Ph. D. scholars admitted to CUTM, as part of fulfilment for the Ph.D. degree are required to get qualified in two subjects (Paper I and Paper II, in addition to Research Methodology subject). While scholars belonging to Science and Engineering are appearing at a written examination conducted annually by the University Examination section, the scholars belonging to Humanities and Management have a choice of written examination pattern or submission of a Special Study and publication of a contemporary review paper as substitutes to Paper I and Paper II respectively.



2. CUTM's Research Committee (RC) 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.

- (a) The scholars shall be given preliminary admission and are required to obtain a grade point of 6.0 through their course work within two years of their admission to the programme enabling them to register for the research work and submission of the thesis.
- (b) The course work is to be evaluated through credit system comprising of 2 Papers and a review paper publication, each having 4 credits as per below given details.
 - i. Paper I - Specialization specific Research Methodology paper.
 - ii. Paper II - Foundation course paper relevant to the area of research.
 - iii. Paper III - Contemporary review paper publication in CUTM or other refereed Journal.
- (c) Existing syllabus of Research Methodology paper to be modified with two modules common to all disciplines comprising of topics related to general research methodology in Module I and topics related to literature review, thesis writing and publication in Module II. Module III shall contain topics related to methodology, tools of data collection, analysis, interpretation and presentation of results specific to the disciplines of (i) Engineering and Physical Sciences, (ii) Computer Science and Mathematics, (iii) Pharmaceutical Sciences and Chemistry, (iv) Agriculture and Life Sciences, (v) Humanities, Management and Social Sciences.
- (d) The process of (i) identification and evaluation pattern for Papers I & II (written examination or special report), (ii) submission of 6 monthly reports, (iii) annual reviews, (iv) pre-talk before submission of synopsis, and (v) paper publication in journals with scholar (as first author) and supervisors as authors shall continue. Any paper containing authors other than scholar and supervisors, and papers published to pre-admission date will not to be counted.
- (e) 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.
- (f) The conditions related to submission of thesis under normal conditions and extensions beyond 5 years shall remain as it is in the new regulations also.



Along with Research Methodology course, one more course for doctoral students with M.Tech and M.Phil degrees is applicable. Similarly, for doctoral students with MBA, M.Sc and MA degrees, they have to undertake two additional courses along with Research Methodology. Research Methodology is mandatory for all in which the doctoral students have to attend classes either in the Jatni Campus (during weekends over a span of over 2 months – August – November) or for a period of 8 days at a stretch in the month of November at the Parlakhemundi Campus.

The examination papers will be set by external examiners. The Research Methodology course will have 40% internal and 60% external 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 DSC for approval.

5.3. Place of Research

The DSC should allot the Place of Research for the candidate in consultation with the student, supervisor/ co-supervisor. The research work can be conducted in any of the concerned Departments of the University/ Constituent/ Affiliated colleges and in reputed research centres recognized by the Research Committee of the University. The Primary pre-requisite in selecting the place of research is the availability of key equipment/ computational facilities etc for the proposed work. If the place of research is not approved earlier by the University, the DSC would recommend the same to RC for approval.

With the completion of the above, the DSC would recommend the case of the candidate to the Director Quality Assurance Cell and Controller of Examinations under intimation to RC for registration of the candidate to the PhD programme.

5.4. Duration of Candidature

The candidature is valid for three years from the date of registration. The minimum duration of candidature will be two years. Although the registration is valid for the entire period of three years (and beyond should the candidate seek an extension), the candidate has to re-enrol every year until such time as the thesis has been submitted for examination.

5.5. Extension

The candidate can seek extension/ renewal of registration, if required, after two years of registration. The maximum extension a candidate can get is two years (total five years).

The candidate has to apply for renewal in the prescribed form (*CUTM/PhD/ 2015/ 67.11*) with the recommendation of the Supervisor to the Chairman, DSC. The DSC will send the justification to the RC for renewal. After careful scrutiny, RC may approve the extension, which will be communicated to the Director Quality Assurance Cell and 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
 - A timeline for the completion of the remaining work
 - A proposed submission date
 - An explanation for the delay, and
 - The most recent progress report

5.6. Exceeding maximum duration

Candidature can be terminated by the Research Committee 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 Research Committee.

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 have completed 5 years and have not made any progress, have to ask for extension or re-registration. If the PhD cell is not informed about the extension, the student will be de - registered from the PhD programme.

5.7. Cancellation:-

If the Candidate cannot submit the thesis within the stipulated time (including extension period), his registration will be cancelled and he/she will not be allowed to pursue PhD programme under the University any more.

5.8. Deferment:-

Ideally, a candidate should apply for a PhD program when they are definitely ready. But 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 five years. The candidate has to apply for reinstatement following deferral in the prescribed form (**CUTM/PhD/ 2016/ 67.16**) with the recommendation of the Supervisor to the Chairman, DSC. The DSC will send the justification to the RC for reinstatement. After careful scrutiny, RC may approve the reinstatement, which will be communicated to the Director Quality Assurance Cell and Controller of Examinations and the candidate.

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

1. One page summary of the work completed
2. An outline of the work remaining
3. 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 PhD 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, till submission.

5.9. 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.

5.9 a. 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/PhD/ 2016/ 67.17**) and pay the processing fees of Rs.5000/- for the same.



6. SUPERVISION

- a) The Chairman of respective RC will notify the names of Prospective Supervisors with detailed contact address and their proposed projects for the knowledge of the candidates.
- b) The selected candidates may contact the prospective supervisors, discuss with them about their interest and shall apply for registration in the prescribed form (*CUTM/ PhD/ 2015/ 67.1*) within six weeks from the date of notification, giving the names, maximum of three supervisors in order of preference with the area of work.
- c) The RC will allot one Senior Supervisor and one Co-supervisor (if requested for) as per the choice given by the candidate and availability of the Supervisors. If Supervisors are not available as per the choice of the candidate, the same is to be intimated to the candidate and the candidate has to give another list of Supervisors of his choice.
- d) For interdisciplinary research, the Senior Supervisor will be from the discipline in which the candidate is registered and the Co-supervisor will be from the other discipline involved.
- e) Once the allotment of Senior Supervisor and Co-supervisor (if any) is made to a Candidate, RC will form one DSC for the candidate and nominate the Chairman of the DSC.
- f) The Internal Supervisor will be the Main Supervisor and the External Supervisor will be the Co-supervisor.

6.1. Eligibility criteria for Supervisors

- a) Professors/ Associate Professors/ Lecturers working at the University/ in the constituent/ affiliated colleges with a minimum 5 years of PG/ 10 years of UG teaching experience and a PhD degree in the concerned subject.
- b) Professors/ Associate Professors/ Lecturers of other universities/ Institutes with above criteria. However, candidates have to take one Co-supervisor from the regular faculty of the University/ Constituent/ Affiliated colleges who are in active research in the related field.
- c) Retired persons/ persons of eminence from CUTM/ Constituent/ Affiliated colleges/ other Universities/ Institutes.
- d) Scientist of reputed research centres or other organizations having PhD degree in the concerned/ affiliated subject and possesses sufficient research experience (to be determined by number of publications).

However, candidates have to take one Co-supervisor from the regular Faculty of the University/ Constituent/ Affiliated colleges who are in active research in the related field.



The RC will approve Supervisors based on their qualification, research experience and publications.

6.2. Responsibilities of the Supervisor

The responsibilities of the Supervisor are to advise and guide 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:-

1. To provide a framework within which the academic work can take place by:
 - a) Setting up a regular schedule of meetings with students (not less than one per month) to allow for regular interaction and information flow;
 - b) reaching agreement with students on indicators of progress being made and dates for submission of interim and final reports; and
 - c) Providing regular and prompt feedback on progress to students (including written Feedback on written work within two weeks unless the written work is extensive).
2. To provide academic guidance by:
 - a) Providing scholarly direction;
 - b) Encouraging students in their academic work;
 - c) Ensuring that appropriate timetables for the completion of each phase of the work are established;
 - d) Ensuring that students are given timely advice about style requirements and
 - e) About the mechanics of presenting a thesis;
 - f) Ensuring compliance with any legal, professional, ethical or safety guidelines associated with the project;
 - g) Identifying and helping students acquire any missing skills for their research.



3. To act as assessor by:

- a) Assessing the quality of a student in order to permit provisional registration;
- b) Assessing students' skills before the end of provisional registration and ensure that any gaps are filled;
- c) Providing written reports to students at six-monthly intervals
- d) Ensuring that students are made aware of inadequate progress or inadequate work and suggesting ways of addressing such problems; and
- e) Guiding students' work in the light of likely expectations on the part of examiners.

4. To facilitate administrative compliance by:

- a) 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.);
- b) Organizing the presentation of six-monthly reports; and
- c) Aiding with applications to the Research committees.

5. To act as a guide to University facilities by:

- a) Encouraging students to take part in the life of the school by attendance at social and academic functions, etc;
- b) Being aware of and, when necessary, referring students to guidance and support facilities within the University; and
- c) Encouraging students to seek appropriate financial support for their project from University sources.

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

- a) Encouraging seminar and conference presentations;
- b) Helping students make contact with other scholars in the field; and
- c) Helping students publish their work as appropriate.

6.3. Supervisor's Workload

A supervisor is entitled to take a maximum number of 08 Candidates at a time (Maximum five students as Senior/ Principal Supervisor and another three as Co-supervisor)



7. PROGRESS OF THE STUDY

It is mandatory for all the doctoral scholar to spend 5-6 days in each semester, at the University to work with their guides. Progress reporting will involve a written report to the DSC by the Senior Supervisor and a report from the candidate, written jointly or independently. The candidate must have the opportunity to comment and/or acknowledge of having seen and discussed the supervisor's report. In case of independent reports both the candidate and the supervisor should have the opportunity to see and comment on each other's reports. The report will then be forwarded to the RC 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 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 time frame.

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 DSC to the RC. 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.

7.1. Additional requirements for the award of PhD degree

In addition to a thesis

- a candidate should have completed the requisite course work
- a candidate should present a seminar each year on the progress of the research or on a topic mutually agreed with the Supervisor related to the topic of research
- it is desirable that 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.

A minimum of two articles in referred journals (peer reviewed) has to be published or accepted for publication, before the pre-talk of the doctoral student.

Pre-talk

A student is eligible for pre-talk (progress review before the final defence), after completion of two years of Ph.D 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 candidate has to pay the annual fee for the coming year. In the pre-talk, it is mandatory for the student and his/her guide 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.

In the pre-talk, a synopsis of 20 pages (5 copies) in soft and hard copy has to be submitted. After the talk, a clearance is given by the DSC for finalization of the thesis with a time frame.

8. THESIS

The earliest submission process of the thesis can begin after completion of two years from the date of registration. It is mandatory for each student to apply his/her research findings / framework/ mode/ recommendations and include the result / analysis as a chapter /section in the final thesis.

A synopsis in five copies (not exceeding 1000 words) shall be submitted by the candidate before submission of the thesis and a presentation will be made to the DSC. The thesis is to be submitted within **three months** of submitting the synopsis provided the DSC 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 DSC having recommended the same.

For the purposes of a research award, a thesis is normally defined as a proposition that is maintained by an argument. This argument should be logical, systemic and orderly, should proceed through inference where one part of the argument leads to the next and so on.

8.1. Characteristics of a Thesis

A thesis:

- Is an essay of defined length written in English (in circumstances demanded by the nature of the research program, the candidate may seek the permission of the RC through the DSC to submit the thesis in a language other than English)
- Which is not merely a statement of a problem, but analyses a problem and argues a case for its solution; it may be a fresh approach towards interpretation of facts and theories
- Contributes to knowledge as defined by a specific discipline or disciplines, after reviewing the existing knowledge (usually known as the literature review). Contributions of other authors have to be duly acknowledged

A thesis:

- has to be typed on A4 size paper with 1.5 line spacing in Times New Roman or compatible font in size 11
- has to be submitted for examination in loosely bound form; it is normally organised in chapters, and must accord with standard rules of argument, grammar, punctuation and written expression
- it can use images, charts, graphs, diagrams which are essential to the argument and can be printed on paper.



- it may contain footnotes and appendices to contribute to or provide additional evidence for the argument/ thesis
- for purposes of intellectual property all matter directly quoted from other sources should be clearly referenced
- no part of the thesis or supplementary published work, shall have been submitted for the award of any other degree/ diploma

A thesis shall contain the following:

- A title page setting out
 - a) The full title of the thesis
 - b) Full name and Degrees of the candidate
 - c) Name of the Faculty associated with the work
 - d) Name of the University
 - e) Month and year when the thesis is submitted for the degree
- A declaration by the student (Annexure)
- Acknowledgments, if any
- A table of the contents of the thesis and, where applicable, lists of diagrams, tables, etc contained therein
- A synopsis/ summary of the research in not more than 1000 words
- The main text of the thesis not exceeding 100,000 words
- A list of references conforming to a recognised international standard



8.2. Format Required for Research Theses/Thesis Format Guide Print format

The print copy of every thesis deposited shall have:

- Be a clean and clearly printed copy with no marking comments.
- Be on good quality plain white paper of A4 size.
- Have numbered pages.
- Have margins of least 2cm and no more than 4cm on the binding edge of the page. Margins must be left justified. All manuscript materials must fit within these margin requirements (including tables, headers and footers, figures, graphs and page numbers). When full-page prints of photographs are desired, the image area of the print must conform to the same margins as the text.

Electronic format

The electronic copy of a thesis shall:

- a) If possible, be a single PDF file.
- b) Be identical in content and as close as possible in layout to the print copy deposited in the Library (with the possible exception of any third party copyright material).
- c) Be of a reasonable file size.

8.3. Submission of the thesis

The thesis in the format described above is to be submitted in 5 copies including one hard bound copy to the Director Quality Assurance Cell and Controller of Examinations along with a forwarding letter duly endorsed by the Chairman, DSC.

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

- (i) The original PhD registration letter including the original renewal letter, if any, issued by the University.
- (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) Five copies of the synopsis (not more than 1000 words) with one soft copy.



(iv) Required fee in form of bank draft.

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

9. EXAMINATION

9.1. Appointment of Board of Examiners

The DSC shall forward a list of 8 experts (five foreign examiners and three Indian examiners) to the Chairman RC, along with their Curriculum Vitae, 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 Board of Examiners will comprise of three external supervisors (two from within India and one from outside) who shall be experts in the subject of the thesis. The Chairman RC shall place the approved panel to the Vice Chancellor who shall finalize the names of external examiners (both Indian and foreign) other than the Supervisor(s) for evaluation of the thesis **in order of preference**. The Chairman RC 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 Director Quality Assurance Cell and Controller of Examinations shall mail the synopsis of the thesis to both the examiners (one foreign, one Indian) within two weeks of receiving the synopsis duly recommended by the DSC.

The thesis shall be sent to the examiners (both external i.e. foreign and Indian as well as the internal i.e. supervisor(s)) within two weeks of receiving the confirmation from the external examiners.



9.2. 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 No. (*Form CUTM/PhD/ 2015/ 67.10*) within 12 weeks of receiving the thesis. A reminder is to be sent thereafter, and if no response is received within 2 weeks, the Director Quality Assurance Cell and Controller of Examinations are to start the process to send the thesis to another examiner in the list.

The response from all examiners will be sent to the Chairman, DSC within 1 week of receiving the last evaluation (from both external and internal examiners). The DSC Chairman convenes a meeting of DSC within one week of receiving the reports of the Examiners and related papers from the Director Quality Assurance Cell and Controller of Examinations.

The DSC meeting will discuss the comments of all examiners. If modifications are indicated, the same will be communicated to the scholar for modification. 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 DSC will recommend to the Director Quality Assurance Cell and Controller Examinations 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 Oral defence shall be fixed.

9.3. Oral Defence

An open oral defence of the thesis shall be conducted by the same committee (and the committee consisted of DSC + one Indian examiner +one expert (Department)) constituted for conducting the examination of the thesis. 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 DSC and concerned RC, Director Quality Assurance Cell and Controller of Examinations will be invited to the Oral Defence examination. In case, the Board of Examiners recommends for conduct of fresh Oral Defence Test, the matter shall be placed before the RC for a decision. Fresh Oral Defence may be allowed by RC after two months but within six months from the date of first examination.



The recommendation of DSC after Oral Defence, should be sent to the Director Quality Assurance Cell and Controller of Examinations for necessary approval from the Vice-Chancellor.

The Director Quality Assurance Cell and Controller of Examinations will notify the result after approval of the Vice-Chancellor and the candidate may be issued with a provisional certificate.

9.4. Change Process

If the thesis is rejected by the examiner(s), he/she 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 DSC for a decision. After careful observation, DSC may forward its decision to the Chairman, RC 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 to the Chairman, DSC in the prescribed form (*CUTM/PhD/ 2015/ 67.13*) 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 RC will take a considered decision such as change of title of the thesis and joint publications with the new Supervisor. On recommendation of DSC, RC may allow such change by replacing the existing Supervisor/ Co-supervisor with proposed Supervisor/ Co-supervisor in the DSC. 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 to the Chairman DSC in the prescribed form (*CUTM/PhD/ 2015/ 67.14*) with the recommendation of the Supervisor. If DSC approves, the same be communicated to the Director Quality Assurance Cell and Controller of Examinations under the intimation to the Chairman RC.



10. AWARD OF DEGREES

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

11. AWARDS

The **Vice Chancellor's Award for the best PhD 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.

12. FEES

Fee Structure for the Batches going to be admitted from 2017-18 are:

- I. Pre-registration Year : Admission fee - Rs. 25,000/-, Annual Fee - Nil.
- ii. Normal examination fees for three compulsory papers shall be applicable. For special exam, in case scholar is unable to attend due to medical or other emergencies (with due approval of the Research Committee), the examination fee shall be Rs.5,000 per paper.
- iii. Years I to V : Admission fee - Nil, Annual Fee - Rs. 60,000/-.
- iv. Extension period : Extension fee - Rs. 25,000/-, Annual Fee - Rs. 60,000/- or the existing fee whichever is higher.
- v. Thesis Examination Fees : Thesis Submission Fee - Rs. 50,000/-,
Air Lifting Charges - Rs. 5,000/- on actual or
which is higher,
Oral Defence Fee - Rs. 30,000/- or as fixed.

Notwithstanding anything contained in the above in exceptional cases, the Vice Chancellor in consultation with the members of the Trust can review and take a decision which is final.

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

1. Ph. D. regulations have been modified w.e.f. the academic session 2017 - 18 and as a part of the same it is mandatory for the scholars to get qualified in the course work requirement by obtaining a minimum CGPA of 6.0 before they are allowed to register for their candidacy. In the modified regulations, **no mention has been made with regard to those who fail to fulfil this mandatory requirement.**
2. Keeping this in view, 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.
 - (a). Scholars who obtained a CGPA less than 6.0 need 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 CUTM journal.
 4. (b).For such scholars referred above, extension will be granted by the research committee for a period of one semester on payment of Rs. 25,000/- 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.
 5. (c).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.
 6. (d).Respective discipline coordinators shall monitor these matters with intimation to the overall coordinator and Dean, Academic Affairs.



Appendix-I Application for PhD Programme

Form No. CUTM/ PhD/ 2017/ 67.1

Section A-Candidate Information			
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:			
Father/Husband's Name:			
Permanent Address:			
Contact No:		E-mail ID:	
Date of Birth:			

Section B-Educational Qualification (HSCE onwards)					
Degree	University/ Board	Year of Passing	Class/ Division	% of marks/ CGPA	Major subject(s)

Section C-Work Experience Information
Work Experience (if any):
Nature of Work Experience:
Discipline and area in which research is to be conducted:
Proposed title of the thesis:

Supervisor's Information



Supervisor Name	Highest Degree	Institution of Affiliation	Area of Specialization
Supervisor Signature of Consent		Date:	
Co-supervisor Name	Highest Degree	Institution of Affiliation	Area of Specialization
Co-supervisor Signature of Consent		Date:	

<p>Certified that the undersigned has no objection to providing necessary resources/ facilities of the Institute/ Department to the candidate to pursue his Doctoral Research work as a registered candidate at CUTM, Orissa.</p>			
Signature of the of the Head of Institute/ Dept		Date:	
Name of the Institute/ Dept		Seal	

<p>Section F – Undertaking by the Candidate</p> <p>(i) I would be willing to work on the above subject. The entire results of the work shall be the joint intellectual property of the University and the candidate. The first rejection of publication rights will be that of the University.</p> <p>(ii) Certified that the subject proposed for the PhD work has not been submitted to any other University/ Institute for registration for PhD/ DSc/ DLitt degree; in case facts to the contrary are found, I will be willing to quit the University</p>			
Signature of the Candidate		Date:	

A proposal (two pages only) on PhD project and current CV to be attached with the application form



Section G- Details of Bank Draft (DD)			
DD No.	Date	Amount (Rs.)	Name of the Bank with Branch

The application form to be emailed to phd.cit@cutm.ac.in

Hard copy to be posted to:

Director of Research,
PhD Cell
Centurion University of Technology and Management (CIT)
At- Ramachandrapur
Po- Jatni, Bhubaneswat
Dist – Khurda
Pin - 752050
Odisha
India



Appendix-II Application for Ethical Review and Risk Assessment of Research Involving Human Participants

Form No. CUTM/PhD/ 2017/ 67.2

REGISTER NUMBER (office use only): HR ____ / H / ____

Important Information for all applicants:

- This Application is meant for both faculty and student scholars conducting independent or sponsored research, and for persons pursuing their PhD under Centurion University of Technology and Management.
- PhD scholars are advised to submit the completed form by the end of the first semester.
- For Postgraduate and Industry Funded Projects, the forms are required to be submitted within 15 days of the commencement of Research.
- All completed forms need to be submitted to Research Committee.
- Applicants are advised to follow the *Guidelines for Applications* prior to submitting this application.
- Applicants should refer to the *Human Research Risk Assessment* form.
- Ensure all questions are appropriately answered in plain language. If some of the points are not applicable then write NA against those points.
- All applications must be signed and authorised by all relevant parties. Applications will not be reviewed without appropriate authorisation.
- Approval will only be finalised once applications and copies of all required documentation have been received by the Research Committee (RC).
- Full submission details, including the number of application copies to submit, are provided in the *Guidelines for Applications*
- To avoid unnecessary delays, please ensure a full application (signed original copy and hard copies, attachments and supplementary forms) is received by the RC by the submission deadline.
- Double sided copying is preferred.

For further information, including The *Guidelines for Applications*, all documents and supplementary forms, refer to the Centurion University website: <http://www.cutm.ac.in/academics/research.php> or contact staff of the Research Committee Group at deanacademic@cutm.ac.in or smita.mishra@cutm.ac.in.



YOU ARE REMINDED THAT YOUR PROJECT MAY NOT COMMENCE WITHOUT FORMAL WRITTEN APPROVAL FROM THE APPROPRIATE RESEARCH COMMITTEE.

Forwarding Details

All hard copy applications to be delivered to:

Centurion University Research Committee:

Centurion University, PO: Jatni, Bhubaneswar, Khurda-752050, Orissa, India

Or

deliver in person to:

Secretary of Research Committee

Centurion University, At - Ramchandrapur, PO: Jatni, Bhubaneswar
Khurda-752050, Orissa, India



SECTION 1 - PROJECT OVERVIEW

1.1 Project Title

1.2 Project Summary *(Include brief details of aims, methods and significance of the project in plain language. Max of 250 words)*

1.3 Project Risk Level *(Refer to Note-1 Risk Assessment form)*

<input type="checkbox"/> Negligible risk	<input type="checkbox"/> Low risk	<input type="checkbox"/> High risk
--	-----------------------------------	------------------------------------



1.4 Period for which approval is sought	
Date that data collection is expected to be completed:	From: To:

1.5 How will the research be funded for PhD students (tick one)? Indicate source of funding*	
<input type="checkbox"/> UGC Fellowship <input type="checkbox"/> CISF Fellowship <input type="checkbox"/> Other Scholarship <input type="checkbox"/> Self-financed <input type="checkbox"/> Other <input type="checkbox"/> NA	Details: Details: Details: Details: Details
<i>If the research is unfunded, indicate how the project can proceed.</i>	

*If this is not applicable for Postgraduate Students or Faculties please tick NA

1.6 Is the research a collaborative effort with another organization?
<input type="checkbox"/> Yes <input type="checkbox"/> No
If YES, does the research need to undergo formal review by the collaborating organization's RC? <input type="checkbox"/> Yes <input type="checkbox"/> No
If YES, provide details:



SECTION 2 - PROJECT INVESTIGATORS

2.1 Chief Investigator (CI)-A : *The CI-A is the person responsible for the completion and submission of the application.*

Title and Name:		
School/Department/Centre:		
Phone:	Office:	Mob:
CUTM email address:		

Qualifications, experience and/or skills relevant to the project.

2.2 **Chief Investigator** **Associate Investigator** **Mentor Investigator 1** *(select one)*

Title and Name:		
School/Department/Centre or External organisation:		
Phone:	Office:	Mob:
CUTM email address:		

Qualifications, experience and/or skills relevant to the project.

Chief Investigator **Associate Investigator** **Mentor Investigator 2**

Title and Name:		
School/Department/Centre or External organisation:		
Phone:	Office:	Mob:
CUTM email address:		

Qualifications, experience and/or skills relevant to the project.

Chief Investigator **Associate Investigator** **Mentor Investigator 3**

Title and Name:		
School/Department/Centre or External organization:		
Phone:	Office:	Mob:
CUTM email address:		



Qualifications, experience and/or skills relevant to the project.

**Copy and attach additional page if more investigators are included. Do not include student investigators in this section (Please refer Sec 2.3)*

2.3 Research Involving Students

a) Are any students involved in the research project?

Yes No

If YES, is the project: (tick one)

- A STUDENT PROJECT for the degree in which the student is enrolled?
- A STAFF PROJECT that involves a student(s) undertaking some part of the project (e.g. data collection, data analyses)?
- Other, provide details:

b) If the research is a STUDENT PROJECT, what type?

- PhD
- Postgraduate
- Industry Funded

c) If the project is for a PhD, Postgraduate Degree has this project been approved by the Postgraduate Research Committee?

Yes No

If No, indicate why approval for the project is being sought prior to gaining approval from the Postgraduate Research Committee (refer to Guidelines for Applications).



d) Details of all student investigators involved in the project

Student 1

Student ID:	Name:
School/Department/Centre:	
Phone:	
CUTM email address:	

Student's experience/qualifications relevant to the procedures and techniques to be used in the research and/or to working with the specific target population:

Student 2

Student ID:	Name:
School/Department/Centre:	
Phone:	
CUTM email address:	

Student's experience/qualifications relevant to the procedures and techniques to be used in the research and/or to working with the specific target population:

Student 3

Student ID:	Name:
School/Department/Centre:	
Phone:	
CUTM email address:	

Student's experience/qualifications relevant to the procedures and techniques to be used in the research and/or to working with the specific target population:



Student 4	
Student ID:	Name:
School/Department/Centre:	
Phone:	
CUTM email address:	
Student's experience/qualifications relevant to the procedures and techniques to be used in the research and/or to working with the specific target population:	

Copy and attach additional page if more student investigators included

e) What arrangements are in place for the supervision of student(s) when undertaking project activities?

2.4 Involvement of OTHER individuals/ organisations in the project

a) Will any individuals who are not members of the research team be involved in the conduct of this project?

Yes No

If YES, provide details of their involvement and procedures in place to protect confidentiality of participants and data.



SECTION 3 - NATURE OF THE PROJECT

3.1 Type of Project		
a) Is the project a pilot study?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b) Is the project a part of a larger study?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c) Is the project a quality assurance or evaluation project?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

3.2 Intrusiveness of Project		
a) Does the research collect potentially sensitive data (e.g. related to a sensitive topic or CUTM; sensitive organisational strategies)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b) Does the research involve deception or limited disclosure of information?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c) Does the research involve covert observation of participants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
d) Does the research involve disclosure of information which may be prejudicial to participants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
e) Does the research involve accessing student academic records?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
f) Does the research involve any uploading, downloading or publishing on the internet?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
g) Does the research involve gaining access to personal information from the records of State department/ agency or private organization? <i>If YES, the research must meet the Guidelines</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

SECTION 4 - PROJECT DESCRIPTION

4.1 Aims of the project

4.2 Relevant background and rationale for the project (maximum 500 words in plain language)



4.3 Research Design

(e.g. type of qualitative or quantitative research framework, different phases, interventions or participant groups in the research)

Empty box for research design details.

4.4 Methodology and procedures

Include specific details relating to any measures, interventions, techniques, and/or equipment used in the research. Provide step-by-step details of the procedures with particular reference to what participants will be asked to do. Provide details separately for different phases or conditions of the research or, where appropriate, different participant groups.

Empty box for methodology and procedures details.

4.5 Type(s) of data to be collected

Provide general details of all types of data to be collected from participants (tick all that apply).

<input type="checkbox"/> Questionnaire / survey responses*	
<input type="checkbox"/> Individual interview responses*	
<input type="checkbox"/> Group interview or focus group responses*	
<input type="checkbox"/> Participants observation	
<input type="checkbox"/> Accessed student academic records or data	
<input type="checkbox"/> Archival data	
<input type="checkbox"/> Other data, give details:	

** Attach copies of questionnaires and/or interview schedules to this application*



4.6 Photographing and video recording of participants

a) Does the research involve photographing or video recording of participants?
 Yes No

If YES, provide details:

b) Will identifying photographs or video recordings of participants be made available in the public domain at any time during or after the research (e.g. conference or other form of public presentation, publication, thesis)?
 Yes No

4.7 Who will be collecting the data? (give details for all types of data collected)

4.8 Where will the data be collected? (give details for all types of data collected)

4.9 How will the data be analysed? (give details for all types of data collected)



SECTION 5 - PARTICIPANTS

5.1 Participant Details - Group 1

Details of specific participant population:	
Number of participants:	
Age range of participants:	
Source of participants:	

Participant Details - Group 2

Details of specific participant population:	
Number of participants:	
Age range of participants:	
Source of participants:	

Participant Details - Group 3

Details of specific participant population:	
Number of participants:	
Age range of participants:	
Source of participants:	

Participant Details - Group 4

Details of specific participant population:	
Number of participants:	
Age range of participants:	
Source of participants:	



5.2 Provide a rationale for the sample size

--

5.3 Does the project include any specific participant selection and/or exclusion criteria beyond those described above in 5.1?

Yes No

If YES, provide details:

--

5.4 Will documentation about the research (e.g. Information to Participants form and Consent form, questionnaires) translated into a language other than English?

Yes No

If YES, provide details of who will translate the documents and what procedures are in place to ensure the accuracy of the translation.

--

SECTION 6 - RECRUITMENT OF PARTICIPANTS

6.1. Will individuals other than members of the research team be involved in the recruitment of participants?

Yes No

If YES, provide details including what their involvement entails:

--



6.2 How will potential participants be approached and informed about the research and how will they notify the investigators of their interest in participating?

NOTE: Please refer to Note-2 for “Information to Participants Involved in Research” Form. Attach this copy and any flyers or other advertising material to be used in the research on (CUTM template).

6.3 Will potential participants be given time to consider and discuss their involvement in the project with others (e.g. family) before being requested to provide consent?

Yes No

If NO, give reasons:

6.4 How will informed consent be obtained from participants? (tick one)

Participants be required to sign a consent form

Consent will be implied e.g.by return of completed questionnaire

Verbal consent will be obtained and recorded (audio, visual or electronic)

Other, provide details:

6.5 Provide procedural details for obtaining informed consent

NOTE: Please refer to Note-3 for Consent Form.

6.6 Does the research involve participants who are in dependent or unequal relationships with any member(s) of the research team or recruiting organization/agency (e.g. researcher/client, teacher/student, employer/employee)?

Yes No



If YES, what is the nature of the dependent or unequal relationship?

What measures will be taken to ensure that participants' voluntary consent is not compromised by the relationship?

What procedures are in place to ensure that the dependent or unequal relationship does not disadvantage or prejudice any participants?

6.7 DOES any other dual relationship exist between any researcher and potential or actual participants? (e.g. a member of the research team is also a colleague or friend of potential participants)

Yes No

What is the nature of the dual relationship?

How will ethical issues arising from the dual relationship be addressed?

6.8 Will you be offering reimbursement or any form of incentive to participants (e.g. payment, voucher) which are not part of the research procedures?

Yes No

If YES, provide details:

6.9 Is approval required from an external organization (e.g. for recruitment of participants, data collection use of premises)?



Yes No

If yes, provide information relating to procedures for obtaining approval from the organization(s) and attach evidence of approval.

SECTION 7 - RISKS ASSOCIATED WITH THE RESEARCH

7.1 Are there any SOCIAL RISKS beyond the normal experience of everyday life, in either the short or long term, from participation in the research? If YES, provide details.

Yes No

High probability risks:

Low probability risks:

How will the risk(s) be minimized?

How will these risks be managed if an adverse event were to happen?

7.2 Does the research involve any risks to the researchers?

Yes No

If YES, provide details and describe strategies in place to minimize and manage risks.

7.3 Does the research involve any risks to individuals who are not part of the research, such as a participant's family member(s) or social community?

Yes No

If YES, provide details and describe strategies in place to minimize and manage those risks.



7.4 Legal issues and risks associated with the research (refer to Guidelines for Applications)

Are there any legal issues or legal risks associated with any aspect of the research that require specific consideration? (i.e. are significant or out of the ordinary), including those related to:

- a) participation in the research
- b) the aims and nature of the research
- c) research methodology and procedures, and /or
- d) the outcomes of the research

Yes No

If YES, provide details?

How will the legal issues and/or risk(s) be managed?

7.5 Risk-Benefit Statement: If you consider the participants to be ‘at risk’, give your assessment of how the potential benefits to the participants or contributions to the general body of knowledge would outweigh the risks.

Empty box for Risk-Benefit Statement response.

SECTION 8 - DATA PROTECTION, STORAGE AND ACCESS

8.1 Indicate how the data will be kept to protect the confidentiality/privacy of the identities of participants and their data, including all hardcopies and electronic forms?

- All data will be anonymous. No personally identifying information will be collected from participants.
- Data will be coded and non-identifiable. Any personally identifying information collected from participants will not be retained.
- Data will be coded and re-identifiable. Personally identifying information will be kept separately to participants’ data and can be used to identify participants such as in the case of an adverse event.
- Some or all of the retained data will include personally identifying information.



8.2 Who will be responsible for the security of confidential data, including consent forms, collected in the course of the research?

8.3 How will the data be disposed?

SECTION 9 - DISSEMINATION/PUBLICATION OF RESEARCH RESULTS

9.1 Indicate how the results of this research will be reported or published.

<input type="checkbox"/> Thesis	<input type="checkbox"/> Research report to collaborating organizations
<input type="checkbox"/> Journal article(s)	<input type="checkbox"/> Conference presentation(s)
<input type="checkbox"/> Book	<input type="checkbox"/> Recorded performance
<input type="checkbox"/> Uploading on the University Website	<input type="checkbox"/> Other, give details:



9.2 Are there any restrictions on publications or reports resulting from this project?

Yes No

If yes, provide details:

SECTION 10 - OTHER DETAILS

10.1 In your opinion, are there any other issues involved in the research?

Yes No

If yes, provide details:

10.2 Additional information/comments to support this application?

SECTION 11 - DECLARATIONS AND SIGNATURES

I/ we, the undersigned, declare the following:

- I/ we accept responsibility for the conduct of the research project detailed above in accordance with the principles outlined in the
 1. CUTM Regulation for Higher Degrees by Research ;
 2. The protocols and procedures as approved by the RC;
 3. Relevant legislation and regulations.
- I/ we will ensure that RC approval is sought using the Changes/ Amendments to Research Project form, if:
 1. Proposing to implement change to the research project ;
 2. Changes to the research team are required.
- I/ we have read the CUTM Regulation for Higher Degrees by Research prior to completing this form.
- I/ we certify that all the investigators/ student researchers involved the research projects have the appropriate qualifications, experience, skills and training necessary to undertake their roles.
- I/ we understand and agree that research documents and/or records and data may be subject to inspection by the CUTM RC, or an independent body for audit and monitoring purposes.
- I/ we understand that information relating to this research, and about the investigators, will be held by the CUTM Office for Research and on the Research Database. This information will be used for reporting purposes only and managed according to the relevant Privacy Law of India.

Signature of Chief Investigator - A

Name:		Date:
Signature:		

Signature of Chief Investigator/ Associate Investigator/ Mentor Investigator 1

Name:		Date:
Signature:		



Signature:	
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Signature of Chief Investigator/ Associate Investigator / Mentor Investigator 2	
Name:	Date:
Signature:	

Signature of Chief Investigator/ Associate Investigator / Mentor Investigator 3	
Name:	Date:
Signature:	

Signature of Chief Investigator/ Associate Investigator / Mentor Investigator 4	
Name:	Date:
Signature:	

Signature of STUDENT Investigator 1	
Name:	Date:
Signature:	

Signature of STUDENT Investigator 2	
Name:	Date:



Signature:	
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Signature of STUDENT Investigator 3		
Name:		Date:
Signature:		

Signature of STUDENT Investigator 4		
Name:		Date:
Signature:		

Approval : Signature of Head of Department/School/Director of Institute/Centre		
<p>IMPORTANT: The Head of School/Department cannot sign approval for research where he/ she is listed as an investigator.</p> <p>In these circumstances, please seek approving signature from the Dean (Research) VC or other appropriate member of staff.</p>		
Name:		Date:
Signature:		
School/Department/ Institute/Centre:		

IMPORTANT:

Only applications signed by all members of the research team and approved by the Head of School/Department/Institute/Centre will be considered by the RC.

Note-1

RISK ASSESSMENT

Proposed Research Proposal involves:-

A) High Risk

If any of the statement is true then the research involves High Risk

- Risk to participants that are more serious than minor discomfort
- Participants under age of 18
- Participants who are in dependent or unequal relationships with any member(s) of the research team or recruiting organization
- Procedure that may expose participants to civil, criminal or legal proceedings
- Identification of participants are displayed or presented in the report
- Deception of Participants
- Conflict between researcher and participants

B) Negligible Risk

If either of the statement is true then the research involves Negligible Risk

- Collection of anonymous or non-sensitive questionnaire or observational data that causes no foreseeable risk or discomfort to participant
- Use of non-sensitive and non-identifiable data of a person from a existing database and no risk is projected for the involved person

C) Low Risk

If the research involves neither High Risk nor Negligible Risk then the research involves Low Risk



Note-2

INFORMATION TO PARTICIPANTS INVOLVED IN RESEARCH

You are invited to participate in a research project entitled [Provide project title].

This project is being conducted by a student researcher [Provide student's name] _____ as part of a [Provide course details, for example Honours /PhD study] _____ at CUTM under the supervision of [Provide supervisor's title and name] _____ from [Provide details of faculty] _____.

OR

This project is being conducted by [title and name of CUTM staff] _____ from [details of faculty] _____ at CUTM University.

Project explanation [Provide a short summary of the project]

What will I be asked to do? [List down details of what participants will be requested to do and how much time will be involved]



<p>What will I gain from participating? [Explain potential benefits including payment/reimbursement to participants]</p>
<p>How will the information I give be used? [List the information is to be used by the researcher]</p>
<p>What are the potential risks of participating in this project? [Provide a clear indication of any potential risks associated with participating in the project]</p>
<p>How will this project be conducted? [Provide a brief explanation of methodology in simple language]</p>
<p>Who is conducting the study?</p> <p>[List details of organization/s involved in the project]</p> <p>.....</p> <p>[List details of the Chief Investigator including contact details]</p> <p>.....</p>



[List details of the Student Researcher (if applicable) including contact details]

Any queries about your participation in this project may be directed to the Chief Investigator listed above.



Note-3

CONSENT FORM

Please tick to confirm

- 1.I confirm that I have read and understood the information sheet.

2. I confirm that the objectives of the study of the research, together with any risks and safeguards associated with the procedures have been fully explained to me

- 3.I understand that my participation is voluntary and that I will cooperate on every aspect.

4. I understand that information and data collected during the study may be looked at by responsible individuals. I give permission for these individuals to have access to my information.

5. I agree to take part in the research study.

Name of Participant	Date	Signature
Name of Person taking consent (if different from researcher)	Date	Signature
Researcher	Date	Signature



Appendix-III Information Sheet for Prospective Supervisors

Form No. CUTM/PhD/ 2017/ 67.3

Section A- Background Information:			
Name:		Designation:	
Organisation Name:			
Organisation Contact Details: (email/ Tel. No)			
Date of Obtaining PhD and/ or Higher Degree:			

Section B- Experience Information:			
a) Teaching (subject and years of experience):			
Under graduate:			
Post graduate:			
b) Research:			
I. Independent:			
II. Details of earlier PhD guidance, if any:			
II. Details of any publications, patents, etc.:			
V. Details of any sponsored Projects (agency, duration, funds):			
V. Selected References:			
Signature:		Date:	



Appendix-IV Six-Monthly Progress Report

Form No. CUTM/PhD/ 2017/ 67.4

Important Information for all

- a) This report will monitor the progress of candidates and identify any issues or problems at an early stage. This will ultimately enhance the quality of MPhil-PhD programmes.
- b) The only students exempt from this process are those enrolled for less than 30 days. Students ‘under examination’ must complete a report for the six-monthly period prior to submission
- c) Where questions don’t apply answer, “Not Applicable”
- d) Forms completed in May refer to the period between 1st January - 30th June
- e) Forms completed in November refer to the period between 1st July - 31st December
- f) **Procedure:**
 - 1. **Candidate** need to complete **Sections A, B** and (where applicable) **C** and forward to the **Primary Supervisor**
 - 2. **Section C**-This section needs to be completed if you hold or have held a scholarship for your current degree that is paid through **Centurion Scholarship Office**
 - 3. **Supervisors** need to complete **Sections D** and **E**
 - 4. **Candidate** and **Primary Supervisor** discuss and jointly complete **Section F**
 - 5. **Head of School(or delegate)** needs to complete **Section G**
 - 6. The completed report needs to be held on the student’s file in the **Office**.

Note: If you are unable to note any concerns in this report, there are a number of people who could assist: the Postgraduate Coordinator in your School, your Administrative Supervisor (for PhD candidate), the Associate Dean/Vice- Chancellor (PG Research).



Section A-Candidate Information			
Please Tick: May Report <input type="checkbox"/>		or November Report <input type="checkbox"/>	
		Year 20__	
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:		Degree:	
Scholarship Holder: Yes <input type="checkbox"/> No <input type="checkbox"/>			
Enrolment Status:		Full Time: <input type="checkbox"/>	Part Time: <input type="checkbox"/>
Thesis Working Title:			
Primary Supervisor:			
Secondary Supervisor/s:			
Date of Initial Enrolment:			
Expected Date of Completion:			
Date of Research Proposal Approval(if applicable): Or Date of submission for Research Proposal Approval:			
<i>If you are a MPhil student, please go straight to Section B</i>			
<i>PhD Students only:</i>			
1. Registration Type: Provisional <input type="checkbox"/> Full <input type="checkbox"/>			
2. Have you made a seminar presentation to your school? Not yet presented <input type="checkbox"/> or Presented on Date <input type="checkbox"/>			
3. Have you completed any course work related to your degree in the last six months? Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, Please give the course Name, Code and Results			
4 Is your thesis on track (Please explain within 1000 words)? Yes <input type="checkbox"/> No <input type="checkbox"/> If no, please discuss with your supervisor.			



Section B-Candidate

· What have you achieved in the last six-month period? Outline your progress against established goals/milestones and comment on any difficulties that may have hindered your progress

· Have you submitted work to your supervisors in the past six months? Yes No
If no, please explain.

· Overall, how helpful do you find the feedback (written or verbal) you received from your supervisors?
Very helpful Helpful Moderately helpful Unhelpful
Please comment if you wish.

· How often and by what means (e.g. email, meetings) have you maintained contact with your primary supervisor?

· Has the contact you have had with your supervisors appropriate for your needs? Yes No
If no, please comment on what steps you have taken to let your supervisor/s know?

· How often have you meet and discussed your research with your co-supervisor/secondary supervisor?
Often Sometimes Never N/A
If often or sometimes, comment on the level of involvement of your co-supervisor/secondary supervisor:

· What kinds of guidance from your supervisor/s have you found most helpful?



<p>• Do you have any particular concerns that you would welcome more help with (either from your supervisor/s, your school or from your University)?</p> <p>• Are there any issues or concerns that you raised your supervisor/s, school or University in a previous report that have not been resolved?</p>
<p>• Please assess your overall progress over the last six months.</p> <p>Exceeded my expectations <input type="checkbox"/> About where I thought I would be <input type="checkbox"/></p> <p>Progressing slowly <input type="checkbox"/> Not Progressing <input type="checkbox"/></p> <p>If you wish to comment on your answer, please do so.</p>
<p>• Do you have sufficient resources (financially, library, computer, laboratory etc) to support your research? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If no, Please comment. Detail any additional resources required.</p>
<p>• On average how many hours per week (including weekends) have you dedicated to your thesis/research during this reporting period?</p>
<p>• Have you been in paid employment during this reporting period? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, for how many hours per week on average?</p>
<p>• List any publications, conference presentations or attendances, artistic presentations or performances since your last six-monthly report.</p>
<p>• Please provide an outline of your goals/milestones for the next six months. Include a timeline.</p>



<p>• In the past six months, where have you primarily been living?</p> <p>Paralakhemundi <input type="checkbox"/> Jatni <input type="checkbox"/> Other places in India <input type="checkbox"/> Overseas <input type="checkbox"/></p>
<p>• At this stage, are there any issues or other reasons seeking to withhold access to your thesis?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>• If yes, please explain.</p>

Section C-Candidate: Scholarship Information
Name of Scholarship:
Date when scholarship commenced:



Section D- Primary Supervisor or Co-supervisor

1. Report on what the candidate has achieved in the last six-month period. Outline the candidate’s progress against established goals/milestones and comment on any difficulties which may have hindered progress.

2. Please rate the overall quality of the candidate’s work over the last six months.
Excellent Good Satisfactory Less Than Satisfactory Below Standard

3. Please rate the candidate’s overall progress since the last six-monthly report.
Excellent Good Satisfactory Less Than Satisfactory Below Standard

4. How often and by what means is contact (e.g. email, meetings) made with your student for supervision?

5. How satisfied are you with the frequency of contact you have with your student?
Not satisfied Satisfied Not satisfied

6. How satisfied are you with the means of contact?
Very satisfied Satisfied Not satisfied
Please comment on supervisory arrangements if you wish.

7. If the candidate is not progressing as expected, specify what action the candidate needs to take and a time frame within which the issues must be resolved.

8. Comment on candidate’s outline of goals/milestones for the next six months.

Primary Supervisor or Co-Supervisor’s Signature

Date



Section E- Other Co-supervisor or Secondary Supervisor

Please add any comments on the candidates progress

Co-Supervisor's or Secondary Supervisor's Signature

Date

Section F-Candidate and Primary Supervisor

1. We have read and discussed this report. Yes No

If no please comment.

2. We have agreed on a strategy or plan for the next six months. Yes No

If no please comment.

Candidate's Signature

Date

Primary Supervisor's Signature

Date



Section G-Head of School or delegated authority(this may be the Chairman of The Research Committee)

· I have reviewed the report and am satisfied with the progress of the candidate

Please explain

or

Where there are issues for resolution, I have noted the proposed actions as stipulated by the primary supervisor (Section D) and will monitor outcomes.

or

I will recommend to the School Research Committee that the candidature be deterred for the following reasons:

Name

Signature

Date



Appendix- V **Six-month Progress Report for thesis Students on suspension**

Form No. CUTM/PhD/ 2017/67.5

Important Information for all

- a) This report is required to enhance the quality of the PhD programme by monitoring the progress of candidates and identifying any issues or problems at an early stage.
- b) Forms completed in May refer to the period between 1st January-30th June
- c) Forms completed in November refer to the period between 1st July-31st December

Procedure:

1. **Supervisor/s** completes **Section A and B**
2. **Head of School (or delegate)/ Dean PG Studies** completes **Section C**
3. **The completed report is to be held on the student's file.**



Section A-Supervisor			
Please Tick: May report <input type="checkbox"/> or November report <input type="checkbox"/> Year 20__			
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:		Degree:	
Enrolment Status:	Full Time: <input type="checkbox"/>	Part Time: <input type="checkbox"/>	
Thesis Working Title:			
Primary Supervisor (If different from CUTM Supervisor):			
Secondary Supervisor/s:			
Date of Initial Enrolment status:			
Expected Date of Completion:			
Section B-Supervisor			
1. Candidate is on suspension from _____ to _____ (e.g.:1 Jan 2012)			
<ul style="list-style-type: none"> Please mention student's progress from the last six-monthly report up until now. 			
Supervisor's signature:		Date:	
Section C-Head of School Dean PG Studies (this may be the Doctoral/ School Research Committee Chair)			
Please add any comments on the candidates progress			
Signature:		Date:	



Appendix- VI Six-month Progress Report for thesis Students recently returned from suspension

Form No. CUTM /PhD/ 2017/ 67.6

Important Information for all candidates

- a) This report is required to enhance the quality of the PhD programme by monitoring the progress of candidates and identifying any issues or problems at an early stage.
- b) Reporting periods are January to June and July to December.
- c) Candidates recently returned from suspension (within 1 month of the start of the reporting period) should complete this form. Otherwise complete the standard six-monthly progress report form

Procedure:

1. **Candidate** completes **Sections A and B** and forwards to the Primary Supervisor
2. **Supervisor/s** completes **Section C**
3. **Head of school** (or delegate) completes **Section D**
4. If the candidate is a Scholarship Holder, the Faculty Office (home *Faculty Office*) forwards a scanned copy or photocopy to the Director Quality Assurance. (*scholarship manager in original*)
5. The completed report is held on the student's file in the Faculty Office.

Section A-Candidate Information			
Please Tick:	January report <input type="checkbox"/>	or	July report <input type="checkbox"/>
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:		Degree:	
Enrolment Status:	Full Time: <input type="checkbox"/>	Part Time:	<input type="checkbox"/>
Thesis Working Title:			
CUTM Supervisor Name:			
Primary Supervisor (If different from CUTM Supervisor):			



Name of other Supervisor/s:			
Date of return from suspension of status:			
Section B-Candidate			
1. Comment on your progress from the last six-monthly report up until now.			
2. Please provide an outline of your goals/ milestones for the next six months. Include a time line.			
Section C-Supervisor			
1. Comment on progress from the last six-monthly report up until now.			
2. Comment on the candidate's outline of goals / milestones for the next six months.			
Supervisor's signature:			Date:
Section D-Head of School or delegated authority (this may be the Doctoral/ School Research Committee Chair)			
Please add any comments on the candidates progress			
Signature:			Date:



Appendix- VII Thesis Progress Meeting Form

Form No. CUTM/ PhD/ 2017/ 67.7

Important Information for all PhD candidates

- a) This form will be monitor the progress of candidates and identify any issues or problems at an early stage. This will ultimately enhance the quality of MPhil-PhD programmes.
- b) Prior to the Progress Meeting, the student should circulate a written progress report at least one week before the meeting
- c) *The form completed and signed, within one year of the Thesis Proposal and Comprehensive Exam meeting, and yearly thereafter.*

Procedure

1. **Candidates** need to complete all **Sections A, B** and **C** of this form

Section A-Candidate Information

Thesis Progress Meeting No:	Date: ____ Year 20__
Candidate's Last Name:	Candidate's ID No:
Candidate's First Name:	
Enrolment Status:	Full Time: <input type="checkbox"/> Part Time: <input type="checkbox"/>
Thesis Working Title:	
Primary Supervisor:	
Secondary Supervisor/s:	
Date of Initial Enrolment:	



Section B-Activities planned since last meeting

1.List the things you were about to do since last meeting:

2. Have you completed any course work since last meeting? Yes No
If Yes, Please give details:

If No, Please give details:

3. Have you made any seminar presentation to your supervisor? Yes No
Please give the synopsis of your seminar

5.Any other developments since last meeting:



6. List any work submitted to your supervisor since the last meeting:
7. Please mention if you have received any feedback from your supervisor on the drafts: Give details.
<input type="checkbox"/> <input type="checkbox"/>
8. Do you think your thesis is on track (Please explain within 1000 word limit)?

1. List the things that you are planning for your next meeting : (Please mention the scheduled date along side with activities)



2. Your next milestone:

3. When do you plan to have the next meeting and what do you plan to present?



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Appendix-VIII Supervisor's statement for PhD Thesis submission

Form No. CUTM/ PhD/ 2017/ 67.8

Important Information for all

- a) This form is to be completed by the CUTM Supervisor when the candidate applies for the thesis to be examined.
- b) The form is to be submitted, by the candidate, with the thesis, in the event that the supervisor support the candidate's decision to submit,
- c) One Copy should be forwarded to Research Committee for updating record.
- d) The purpose of this form is to ensure that submitted thesis is sufficiently well presented to undergo timely examination.
- e) In the event that a supervisor is unwilling to certify that a thesis satisfies the purpose, written comments detailing the supervisor's concern should be attached to the form.
- f) In situations where the supervisor declines to complete this form, a candidate may approach the Dean, or nominee, to consider the thesis.
- g) Candidates are required to countersign the form to indicate awareness of the supervisor's comments.
- h) "Thesis" refers to all material presented for examination; in most cases this will be a standard thesis but there are exceptions, for example, an exhibition or portfolio of musical compositions presented by some candidates.
- i) This form MUST accompany the thesis on submission



Section A-Candidate Information	
Candidate's Last Name:	Candidate's ID No:
Candidate's First Name:	
Enrolment Status:	Full Time: <input type="checkbox"/> Part Time: <input type="checkbox"/>
Thesis Working Title:	
Date of submission for Research Proposal Approval:	
Section B-Supervisor's Statement	
CUTM Supervisor Name:	
Primary Supervisor:(If different from CUTM Supervisor)	
Name of other Supervisor/s:	
Certification:	
Presentation of thesis:	
· In my opinion the thesis is sufficiently well prepared to be examined.	Yes <input type="checkbox"/> No <input type="checkbox"/>
· I certify that in accordance with doctoral thesis guidelines, the thesis does not exceed the prescribed maximum word limit;	Yes <input type="checkbox"/> No <input type="checkbox"/>
or	
· Prior approval has been sought to go beyond the word limit.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Responsibility for research:	
I hereby certify to the best of my knowledge that:	
· the research and writing embodied in the thesis are those of the candidate except where due reference is made in the text;	Yes <input type="checkbox"/> No <input type="checkbox"/>



<ul style="list-style-type: none"> · any assistance provided during the research phase has been appropriately described and acknowledged; Yes <input type="checkbox"/> No <input type="checkbox"/> · any editorial assistance in the writing of the thesis has been appropriately described and acknowledged. Yes <input type="checkbox"/> No <input type="checkbox"/> 			
Ethics clearance:			
<ul style="list-style-type: none"> · I confirm that all ethics clearances have been obtained for this project. Yes <input type="checkbox"/> No <input type="checkbox"/> 			
Nomination of examiners:			
<ul style="list-style-type: none"> · I confirm that I have submitted the nomination of examiners Yes <input type="checkbox"/> No <input type="checkbox"/> · If NO, please specify the date by which this form will be received. 	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Date of Receipt</div>		
Supervisor's signature:		Date:	



Appendix-IX Certificate from Supervisor Accompanying Thesis for Submission

Form No. CUTM/ PhD/ 2017/ 67.9

CERTIFICATE

This is to certify that the thesis entitled “_____” being submitted by Ms/ Mr _____ to the Centurion University of Technology and Management, Orissa, for the award of the degree of Doctor of Philosophy in (name of discipline) is a bonafide research work carried out by her/ him under our/ my supervision. The results presented in this thesis have not been submitted elsewhere for the award of any other degree.

*In our/ my opinion, this work has reached the standard fulfilling the requirements for the award of the degree of **Doctor of Philosophy** in accordance with the regulations of the University.*

Signature:

Date:



Appendix-X Summary of Examiners Report

Form No. CUTM/ PhD/ 2017/ 67.10

A summary in this format should accompany the examiner's full report to the Research Committee. Criteria to be used as the basis of recommendations and advice on the format of your report are provided in separate guidelines. Written reports are required to be 1-2 pages in length. Reasons for recommendation 4 and 5 should stand scrutiny in an appeal process.

Name of Candidate:

Title of Thesis:

Examiner:

Recommendation:

Recommendation 1 The thesis be classified as **PASSED** with no requirement for correction or amendment and the candidate be awarded the degree of Doctor of Philosophy

Recommendation 2 The thesis be classified as **PASSED SUBJECT TO MINOR AMENDMENTS or SPECIFIC AMENDMENTS** being made to the satisfaction of the Research Committee, without further examination. The candidate must make minor textual corrections or rewrite specific sections of the thesis as recommended by the examiner/s also during the oral defence.

Recommendation 3 The thesis be classified as **DEFERRED FOR MAJOR REVISION** and re-submitted for completion of the examination following revision and/ or extra work as recommended by the examiner/s. The thesis will need to be re-examined. Please indicate if you would be prepared to re-examine it.



I am prepared to re-examine this thesis if it is re-submitted within 12 months. I

am not prepared to re-examine this thesis.

Recommendation 4 The thesis be classified as **FAILED** and the candidates NOT be awarded the degree of Doctor of Philosophy and NOT be permitted to revise and resubmit the thesis for re-examination.

Commendation:

If you believe it is merited, please tick one box only:

The thesis of the highest merit and at the forefront internationally in its field

The thesis is strongly competitive at international level

The candidate's thesis will be considered as an example of outstanding work when either box is checked.

Signature of the Examiner:

Place:

Date:



Guidelines to Examiners of Theses

1. INTRODUCTION

These guidelines are intended to assist examiners of theses for the degree of PhD by research in their decisions. In particular, they are intended to guide the examiner (especially, international experts) not familiar with the standards required for that particular degree to reach a just decision which does not disadvantage the candidate.

Examiners are expected to be active in research and scholarship, thus ensuring that their knowledge in the field is current, and should be familiar with the supervision and examination process for research theses.

The Board of Examiners will comprise of one (or two) internal examiner(s), normally the Supervisor(s) and two external examiners (one from within India and one international) who shall be experts in the subject of the thesis. Examiners will individually and independently assess the thesis, prepare assessment reports for the guidance of the candidate and recommend to the Doctoral Scrutiny Committee (DSC) one classification from those described in Appendix V of the guidelines. The majority view of the examiners shall normally be accepted by the DSC and if examiners disagree significantly, the DSC would recommend to the Director Quality Assurance Cell and Controller Examinations to invite a third examination from the panel to examine the thesis.

If an examiner is unable to complete the examination within the stipulated time another examiner from the panel may be invited to examine the work.

The requirements although spelt out in the regulations, it is being reiterated for the benefit of the examiners that the length of a PhD thesis is about 100,000 words.



2. Criteria for evaluation Master of Philosophy/ Doctor of Philosophy by Research

These Degrees are intended to provide candidates the opportunity to develop their potential for research and provide the community with graduates of enhanced ability, knowledge and diversity of experience particularly in the skills of problem identification and specification, problem solution and presentation.

In a PhD thesis the candidate is required to demonstrate competence in:

- A deep and thorough understanding of the relevant techniques in the field of research;
- The chosen field through judicious selection and application of methods to yield a significant body of work;
- Capacity to critically evaluate and effectively present this body of work;
- Independence of thought and approach;
- Has made an original contribution to knowledge.

3. Roles and Responsibilities of PhD Candidate

- candidates should plan and execute their search project within the expected time period
 - candidates should take the initiative in raising with supervisors any problems or difficulties with the project or its supervision;
 - To facilitate administrative compliance
1. candidates should become familiar with, and abide by, university, faculty and school statutes and policies and any other written guidelines and regulations for the degree such as applying for approval needed to spend time away from the University as part of the enrolment, and suspension of enrolment (for further information refer Student Hand Book)
 2. this includes becoming familiar with the administrative requirements of the Faculty Student and Academic Services Office; and



3. candidates must adopt at all times safe working practices relevant to the field of research; and complying with any institutional occupational health and safety policies.
 - To meet ethical guidelines
 1. candidates must become familiar with all relevant ethical guidelines for the conduct of research and ensure that the necessary approvals are obtained from ethics committee.
 2. candidates should accept final responsibility for the academic content of the thesis.
 - To participate in university intellectual life
 1. candidates should participate in the opportunities offered by the school to be part of that intellectual community by attending seminars, presenting their work and interacting with the staff and other postgraduate students; and
 2. Candidates should become involved, where appropriate in academic activities by sharing the teaching load of the department concerned.
 3. In coordination with the guide the candidate should attend seminars to present papers and publish papers in reputed, referred International/National Journals having high impact value before final submission of the work.



Appendix-XI Form for Extension/ Renewal of Registration

Form No. CUTM/PhD/ 2017/ 67.11

Section A-Candidate Information	
Candidate's Last Name:	Candidate's ID No:
Candidate's First Name:	
PhD Registration No:	
Thesis Working Title:	

Section B-Information			
Scheduled Period of Completion of the Work:			
Reasons for Non-completion in Due Time:			
Expected time of Completion of Work:			
Expected timeframe for submission of thesis and period of extension sought:			
Signature of Candidate:		Date:	
Recommendation of the Supervisor:			
Signature of the Supervisor:		Date:	
Recommendation of the DSC:			
Signature of the Chairman, DSC:		Date:	



Appendix-XII Form for Appointment of External Supervisors

Form No. CUTM/ PhD/ 2017/ 67.12

Important Information for all applicants

- a) This form should be used for appointment of External Supervisor for PhD candidates
- b) The purpose of this form is to ensure that the interests of the external supervisor, the candidate and the College are adequately protected.
- c) This form will be kept in student record
- d) Please provide a copy of the External Supervisor's CV

Procedure:-

1. **Candidate** need to complete **Sections A,B** and (if applicable) **C**
2. **Section C**-This section needs to be completed by **Person making this request** along with the approval from Associate Dean

Our University is extremely grateful to these external supervisors for their willingness to invest their time and energy in the demanding yet satisfying task of PhD principal supervision.



Section A-Student Information (whom the External Principal Supervisor will supervise)	
Candidate's Last Name:	Candidate's ID No:
Candidate's First Name:	
Thesis Working Title:	
Primary Supervisor:	
Name of other Supervisor/s:	
Date of Initial Enrolment:	
Expected Date of Completion:	

Section B-Details of External Supervisor(who is to be appointed)	
Name of the External Supervisor:	
Address of the External Supervisor:	
Name of appointee's university or institution and appointee's position:	
Period of External Supervisor commence on:	
Period of External Supervisor finishes on:	
Signature:	Date:

Section C-Details of Request	
Person making this request:	
Please explain why the person is appropriate:	
Name:	
Signature:	Date:
Approved by Associate Dean	
Name:	
Signature:	Date:



Appendix-XIII Form for change of Supervisor

Form No. CUTM/ PhD/ 2017/ 67.13

Important Information for all applicants

- a) This form should be used to request for a change of Supervisor for candidates in PhD.
- b) This form will be kept in student record
- c) Copy should be forwarded to Research Committee for updating record.
- d) One copy should be forwarded to Dean of the Post Graduate Research

Procedure:

1. **Candidate** need to complete **Sections A, B and D** (where applicable)
2. **Supervisor** need to complete **Sections B** (as where applicable)
3. **Research Committee** need to complete **Sections C**
4. **Present and Proposed supervisor** need to complete **Sections D**
5. **Approving** authority needs to complete **Section E**



Section A-Candidate Information

Year 20__			
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:			
Enrolment Status:		Full Time: <input type="checkbox"/>	Part Time: <input type="checkbox"/>
Thesis Working Title:			
Current Supervisor:			
Current other Supervisor/s:			
Date of Initial Enrolment:			
Expected Date of Completion:			
Date of Research Proposal Approval(if applicable): or Date of submission for Research Proposal Approval:			

Section B-Proposed Changes Information

Please Tick from whom the Statement for Change is initiating:

Candidate

Supervisor

Chairman of Research Committee

Reasons for the change of Supervisor:

A change to the supervisory arrangements is requested because:

Name:		Position:	
Signature:		Date:	

Statement from other party affected by the proposed changes(e.g. if the School has initiated the change, the candidate may comment here)

Name:		Position:	
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Signature:		Date:	
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Section C-Recommendations

Recommendation of The Research Committee

We recommend that the new supervisory team is:

Primary supervisory:

Secondary supervisory(If Applicable):

Chairman of the Research Committee:		Position:	
Signature:		Date:	

Section D-Details

Change in the scope of research, if any:

Signature of the candidate:		Date:	
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Consent/ Comments of the present supervisor:

Signature of the present Supervisor		Date:	
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Consent/ Comments of the proposed supervisor:

Signature of the proposed Supervisor		Date:	
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Section E-Approvals

1. Head of School/ Dean PG Studies

Change approved Change not approved

Comment:

Name:

Signature:		Date:	
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2. VC

Change approved Change not approved

Comment:

Name:

Signature:		Date:	
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Appendix-XIV Form for change of Title of Research Work

Form No. CUTM/ PhD/ 2017/ 67.14

Important Information for all applicants

- a) This form should be used to request for a change of Title of Research Work in PhD.
- b) This form will be kept in student record
- c) Copy should be forwarded to Research Committee for updating record.

Procedure:

1. **Candidate** need to complete **Sections A** and **B** (where applicable)
2. **Supervisor** need to complete **Sections B** (as where applicable)



Section A-Student Information			
Candidate's Last Name:		Candidate's ID No:	
Candidate's First Name:			
Date of Initial Enrolment:			
Enrolment Status:	Full Time: <input type="checkbox"/>	Part Time: <input type="checkbox"/>	
Name of Supervisor/ Co-supervisor:			
Expected Date of Completion:			

Section B-Details			
Present title of the thesis:			
Proposed title of the thesis:			
Reasons for the change of title:			
Change in the area/ scope of research (give details):			
Signature of the Candidate		Date :	
Recommendation of the Supervisor:			
Signature of the Supervisor		Date :	



Appendix-XV Thesis Supervision: Exit Questionnaire

Form No. CUTM /PhD/ 2017/ 67.15

Important Information for Candidates

- a) The purpose of the questionnaire is to gather information about supervisory practice in general (both positive and negative aspects) which may be of assistance in developing better supervisory practices for the benefit of students in the future.
- b) Candidate be given the Exit Questionnaire upon submission of thesis for examination to the Research Committee.
- c) Please complete and return to The Research Committee.
- d) Once the final outcome of the thesis is confirmed, the questionnaire will be sent to the your supervisor/s and a copy to the Administrative Supervisor and the Dean Postgraduate Research (PGR), unless the candidate indicate otherwise by ticking the box :
- e) I do not want this questionnaire to be returned to my supervisor/s
- f) In this case, it will be returned to the Research Committee with a copy to the Dean (PGR) who may discuss the general contents of this questionnaire with the supervisor concerned.

Section A-Candidate Information

Candidate's Name:	
Supervisor/s' Name:	
Degree:	

Section B-Questionnaire (Please comment on the following aspects (be as specific as you can) of the supervision given by your research supervisor):

1. What factor/s contributed most to the successful completion of your thesis?
2. What factor/s was/were the greatest obstacle/s or challenge/s?



3. What did you like best about working with your supervisor?
4. In what ways could your supervision have been improved?
5. Were adequate infrastructure facilities (like library, computer lab) provided for successful completion of your thesis?
6. Please add any other comments/suggestions?

Form No. CUTM/PhD/ 2015/ 67.16

Section A-Candidate Information

Candidate's Last Name: _____ **Candidate's First Name:** _____

Candidate's ID No:

PhD Registration No:

Thesis Working Title:

Section B- Information

Scheduled Period of Completion of the Work:

Period for which deferment is sought: _____ **years**

Start date: _____ **End date:** _____

Reasons for Seeking Deferment:

Expected time of Completion of Work:

Signature of Candidate: _____ **Date:** _____

Recommendation of the Supervisor:

Signature of the Supervisor: _____ **Date:** _____

Recommendation of the DSC:

Signature of the Chairman, DSC: _____ **Date:** _____

Following attachments to be provided:

1. One page summary of the work completed
2. An outline of the work remaining
3. The most recent progress report

Section C: Reinstatement of Candidate

I hereby request that my candidature be reinstated following the period of deferment of candidature.

Signature of Candidate: _____ **Date:** _____

Recommendation of the Supervisor:

Signature of the Supervisor: _____ **Date:** _____

Recommendation of the DSC:

Signature of the Chairman, DSC: _____ **Date:** _____

Form No. CUTM/PhD/ 2015/ 67.17

Section A-Candidate Information

Candidate's Last Name: _____ Candidate's First Name: _____

Candidate's ID No:

PhD Registration No:

Thesis Working Title:

Section B- Information

Period of Completion of work at previous University:

Period spent at previous University: _____ months (cannot be more than one year. Exceptions will be considered for CUTM faculty alone)

Reasons for Seeking Transfer:

Signature of Candidate: _____ Date: _____

Recommendation of the Supervisor:

Signature of the Supervisor: _____ Date: _____

Recommendation of the DSC:

Signature of the Chairman, DSC: _____ Date: _____

Following attachments to be provided:

4. One page summary of the work completed
5. An outline of the work remaining
6. The most recent progress report

Section C: Transfer to another University

I hereby request that my candidature be transferred to another University.

Signature of Candidate: _____ Date: _____

Recommendation of the Supervisor:

Signature of the Supervisor: _____ Date: _____

Recommendation of the DSC:

Signature of the Chairman, DSC: _____ Date