



Ordinance for Ph.D. Program

(approved by Academic Council, held on 12th Oct., 2020)

EFFECTIVE FROM
ACADEMIC SESSION 2020



Sarala Birla University
Birla Knowledge City, P.O.- Mahilong, Purulia Road
Ranchi-835103, Jharkhand

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Abbreviations:

RC	: Research Council
UGC	: University Grants Commission
DST	: Department of Science & Technology
DRC	: Departmental Research Council
RC	: Research Council
AC	: Academic Council
NET	: National Eligibility Test
GATE	: Graduate Aptitude Test in Engineering
JRF	: Junior Research Fellow
SRF	: Senior Research Fellow
PF	: Project Fellow
VC	: Vice Chancellor
AP / R&D	: Academic Program / Research and Development
CBCS	: Choice based credit system
ACAP	: Advisory Committee for Academic Programs
IEEE	: Institute of Electrical and Electronics Engineers
PET	: Pre Entrance Test
CSIR	: Council of Scientific and Industrial Research

The Ordinances/ Office orders of the University, issued time to time, shall take precedence over the PhD Ordinance in the matter of any dispute.

1. PREAMBLE

Consistent with the availability of the required infrastructure, the ‘Sarla Birla University, Ranchi’, a State Private University u/s 2(f) of UGC act, 1956, hereinafter referred to as the ‘University’, shall provide facilities for research in several areas of Science, Technology, Engineering, Management, Humanities and other interdisciplinary fields leading to the award of the Degree of Doctor of Philosophy, hereinafter abbreviated as Ph.D.

The Ordinance, hereinafter specified, lays down the procedure to be adopted for the research program for the Ph.D. Degree of the University.

Department, wherever mentioned in this Ordinance refers to a Department of the University.

Academic Council, wherever mentioned in this Ordinance, refers to the Academic Council of the University.

A scholar is an eligible person, who is enrolled at the University for any specific Ph.D. program. Prior to enrollment, this person is referred to as an applicant.

Guide/Co-Guide is a person approved by the Academic Council for the guidance of the scholar while pursuing the program of research leading to Ph.D. degree of the University.

2. OBJECTIVES OF THE Ph.D. PROGRAM

The objectives of the program are to impart research training to the scholar, and prepare him/her for a career in independent investigation and original research so as to enable him to make a significant contribution to knowledge in his/her field and profession. The research program shall ensure that it is not an end in itself, but a means for a fruitful research career.

To achieve these objectives, the research program shall ensure the following:

- (a) Acquisition of fundamental knowledge in the chosen discipline.
- (b) Acquisition of in-depth knowledge in the field of research.
- (c) Training in the use of research tools of the field and develop skill and capability to conduct original research.

The university strives through a process of continuous improvement to fully integrate equal opportunity principles into all aspects of its activity through its decision making and planning processes.

3. ELIGIBILITY CRITERIA FOR SELECTION

Candidates with following qualification shall be eligible for admission to the Ph. D. Program of the University:

- (a) Candidates possessing M.Tech./ M.E./ M.Sc.(Engg.)/ M.Sc./ MCA/ MBA/ MA/ M(Yoga & Naturopathy) or equivalent Degree in relevant branch from a recognized University/Institute with minimum 55% marks or 6.0 CGPA on a ten point scale in the qualifying examination are eligible to apply for admission in the relevant departments.
- (b) Sponsored candidates must have minimum of two years of professional work experience, besides fulfilling the above criteria. In addition, such candidates should have valid sponsorship at least for three years.
- (c) NOC from the Institute is mandatory for employees of the Institute which shall be obtained before appearing at the admission test for the PhD program.
- (d) Employees from other organizations shall produce NOC from his/her respective employers at the time of admission.

Note: *In case of the candidates with other grade point scale, the decision of the equivalence made by the assigned committee of the University shall be final.*

3. RELAXATION FOR SC/ ST CANDIDATES

Eligibility criteria will be relaxed by 5% marks for SC/ ST candidates.

4. SELECTION PROCEDURE

4.1. The Ph.D. program shall be open to candidates of any Nationality in true spirit of a University Education provided that the candidate satisfies the clause 3.

4.2 The admission into the Ph.D. Program shall be made twice a year only, in January / July each year through the SBU PhD Entrance Test (SBU-PET) followed by an Interview for those qualifying in the SBU-PET. Any applicant seeking admission to the Ph.D. program shall in the first instance submit an application in the prescribed Application Form as per the University notification through advertisement in the Newspapers / Notification on the University Website www.sbu.ac.in.

Those with UGC-CSIR/NET/SRF/JRF and all other similar all India fellowships based on a written test may be exempted from the SBU-PET but will be required to appear for interview. Others who shall be exempted from SBU-PET will be as per notifications issued from time to time.

5. ENROLLMENT & SEMESTER REGISTRATION

After submission of the required fees, a Roll Number will be assigned to the applicant by the Admission Office. Applicants provisionally admitted to the Ph.D. program will be required to contact the Head of the concerned department to get acquainted with research facilities & faculty members of the Department. The department shall call the meeting of the Departmental Research Council (DRC) to finalize the field of interest of the candidate, Guide/Co-Guide for the candidate and course work required for his enrolment to the Ph.D. program. The candidate is then required to fill up the enrollment form (**Annexure – I**) and deposit the same to the office of the Registrar within the specified date.

Each scholar shall register in the beginning of every semester. If a scholar does not register in the beginning of semester, his/her PhD admission is liable to be cancelled. In case, a scholar fails to register for two successive semesters his/her admission shall be cancelled automatically.

TEMPORARY WITHDRAWAL

Under exceptional cases, a student may be allowed to temporarily withdraw from Ph.D. Program, only after a period of two semesters since admission, provided the scholar has passed in all qualifying Pre-PhD papers. However, such withdrawals shall be allowed only for a maximum of two semesters, but in interval of one semester. The period of temporary withdrawal will not be counted, when counting the number of semesters of Ph.D. duration.

6. GUIDE/CO-GUIDE FOR THE RESEARCH SCHOLAR

There shall be a Guide for each scholar embarking on a program of research for Ph.D. degree. If required, another expert can be considered as a Co-Guide.

A Guide/Co-Guide shall be:

A Full-time regular faculty member of the University holding Ph.D. Degree with at least two publications of SCI/SCIE/SSCI/AHCI/UGC Approved/Peer Reviewed journals in last two years. He/She shall have at least three years of service remaining in the University.

A Guide or Co-Guide who is a Professor, at any given point of time, can guide up to a maximum of eight Ph.D. scholars. An Associate Professor as Guide or Co-Guide can guide up to a maximum of six Ph.D. scholars and an Assistant Professor as Guide or Co-Guide can guide up to a maximum of four Ph.D. scholars.

- (a) The allocation of the Guide/Co-Guide shall be taken up by DRC of the respective Department. The process of allocation of Co-Guide Guide should be free from all sorts of conflict of interest. (Spouses shall not be the Guide/Co-Guide of the same scholar and also parents shall not be the Guide/Co-Guide of their children/relative.)
- (b) A scholar may have Co-Guide from another Department provided there is ample overlap between the research topic and demonstrated expertise of the concerned

faculty member.

- (c) A faculty member may be allowed to co-supervise PhD student(s) of another Institute if the scholar is from an Institute with which SBU has MOU for this purpose.
- (d) The allocation of Guide to IRFs shall be as per the URF - Guide distribution regulation.

For Guide/Co-Guide in the areas of Engineering and Management, two publications in SCI/SCIE/SSCI/AHCI/ABDC/non-paid Scopus indexed journals or Peer Reviewed Journals in last two years shall be admissible. This relaxation from common norms shall remain in force for one year for Core Engineering Departments and to be reviewed thereafter. For Management Departments it shall remain in force for three years and to be reviewed thereafter. This relaxation shall not be admissible for faculty members with Ph.D. in Science and Humanities.

Change of Guide

Change of Guide/Co-Guide may be permitted on recommendation of the DRC and Advisory Committee for Academic Programs (ACAP) of Dean (AP) after obtaining the feedback from (i) the student (ii) the present Guide/Co-Guide and (iii) the proposed Guide/Co-Guide. However, preference may be given to the choice of the student.

Arrangement for PhD student when the Guide proceeds on leave

- (a) Whenever a Guide leaves the University temporarily for a period not more than six months, the DC shall make appropriate alternate arrangement. The continuation of the original Guide on his/her return to the University may remain in the form of Guide.
- (b) Whenever a Guide leaves the University for a period exceeding six months but not more than two years, the DRC followed by AC shall appoint a new Guide and the original Guide may continue as Co-Guide.
- (c) If the Guide takes leave for more than two years, he/she ceases to be a Guide/Co-Guide.

7. RESIDENTIAL REQUIREMENT FOR Ph.D. CANDIDATE

The residential requirement is essential to build the research atmosphere in the University. The residential requirement for part time Ph.D. candidates shall be a minimum period of one semester **at the University** for the candidates having PG degree and two continuous semesters **at the University** for the candidates having UG Degree. However, for full time scholars, the minimum residential requirement is of six semesters.

8. Departmental Research Council

(a)	Concerned Dean	: Chairperson
(b)	Head of the Department	: Member
(c)	Two Professors by rotation of two years in order of Seniority	: Members
(d)	Another two Faculty Members (including Associate & Assistant Professors) of the Department with Ph. D. degree (by rotation of two years and to be nominated by the concerned Head) / Dean	: Members
(e)	Controller of Examinations or his or her representative	: Member
(f)	Two Faculty Members from allied department with Ph.D. Degree (by rotation of two years and to be nominated by the concerned Head through Departmental meeting)	: Members
(g)	Coordinator / Dean (Research & Development)	: Member Secretary

- For PhD related issues, Guide/Co-Guide shall be Invited Member(s) of DRC only for that purpose.

Role of the Departmental Research Council (DRC)

The Departmental Research Council shall call the candidate for counseling to discuss his/her Research program/selection of Guide/Co-Guide and assignment of course work before filling the enrollment form. If necessary, the DRC may consult the proposed Guide/Co-Guide. The recommendation for the course work must be submitted within the specified time in the academic calendar to the Dean (AP) for approval (**Annexure-II**).

In cases where the Guide has supervised the scholar for at least three years or more, the following shall be taken into consideration.

- (a) A faculty superannuating will continue to be the Guide if the thesis is deemed to be ready for submission within one year after superannuation (or end of two academic semesters whichever is early). However, a Co-Guide who is in service will be appointed in addition two years before superannuation. After superannuation the Guide shall become Co-Guide and Co-Guide shall become Guide. If the thesis is not submitted within two semesters from the date of superannuation, the superannuating faculty ceases to be the Co-Guide.
- (b) In case of superannuation, the Co-Guide ceases to be Co-Guide and full responsibility shall devolve on the Guide. A new Co-Guide may be appointed if deemed necessary by DRC.

In case of demise of Guide the following shall apply.

In case of demise of the Guide, the DRC shall recommend a suitable replacement at the earliest as required.

The Scholar/Guide/Co-Guide should intimate the University within a fortnight regarding any change of his/her employment status, if any.

Note: *The recommendation(s) of the DRC and RC of a scholar shall be referred to the office of Dean (AP) for approval and reporting to Academic Council.*

9. COURSE WORK

A research scholar immediately after admission in the Ph.D. program has to undertake course work as prescribed by DRC. Pre-PhD qualifying courses shall be recommended from the list of approved courses of PG program of the University.

The scholar shall present a Seminar and submit two copies of each Term Paper to the Research Council for Evaluation. The Research Council will submit the evaluation marks to the examination office for processing the result. A scholar of the Ph.D. Program may be advised to take/audit appropriate course(s) of the postgraduate levels at the University to make up for his/her deficiencies or as a help in preparation for the written qualifying courses.

The Ph. D. Course work shall consist of the following components, namely: -

Course 1	: Research Methodology (Including Quantitative methods, Computer applications, research ethics and review of published research in the relevant field, training, field work, etc)	: 4 credits	100
Course 2	: Writing of Research Proposal for obtaining Financial assistance from national funding agencies	: 1 credit	50
	Writing of Review	: 1 credit	50
	Seminars	: 2 credits	100
Course 3	: Subject specific advanced level courses	: 8 credits	200
Total			500

Note: Minimum qualifying Marks 50% of the Aggregate Marks.

Research scholar is expected to prepare the following assignments:

- Assignment I - Critical Review of Literature – Minimum 10 Articles from referred journals with ISSN Number on the topic of his/her research work.
- Assignment II - Critical Review of Literature Minimum 5 Patents/ Journals/ Books with ISBN No.
- Assignment III – Assignment of Research Methodology, Computer Application, Quantitative Technique and Research and Publication Ethics from given topic.

COURSE CONTENTS OF RESEARCH METHODOLOGY

Module I: Introduction to Research: Definition, Scope, Limitations, and types, objectives of Research, Research Process.

Module II: Sampling Designs techniques: Concepts, Types and Techniques, Sample Size decision Data, Collection, Secondary and primary Data, method & Techniques, Designing questionnaire, Data Preparation: Tabulation, Coding, Editing.

Module III: Scaling techniques: Concept, types of Scales, rating Scales & ranking scales construction techniques, multi-dimensional scaling.

Module IV: Attitude measurement & observation: and report preparation motivational research, observation type and layout of research report, precautions in preparing the research report, bibliography and Annexure in report, drawing conclusions, giving suggestions and recommendations to the concerned persons.

Module V: Types, steps of report writing, precautions in report writing.

Suggested Reading:

1. Research Methodology- SBU Publication
2. Research Methods for Business scholars: Saunders Lewis, Thorn Hill, and Pearson Education, 2009
3. Research Methodology Methods and Techniques : C.R. Kothari, New Age International Publishers, 2012
4. Business Research – Cooper 7 Schindler, Tat McGraw Hill –2006
5. Marketing Research – Beri, Tata McGraw Hill, 1993, 2ndedition
6. Optimization techniques in Engineering, PHI,2001
7. Design of techniques for Science and engineering, springer,2008
8. Experimental Designs in Behavioural Research – 1989 – K. Broota – New Age Int. Publisher
9. Methods in Social Research – Goode & Hatt – 2006 Surjeet publications
10. Foundations of behavioral Research – Fred Kerlinger 2009 – Surjee tPublications

COURSE CONTENTS OF COMPUTER APPLCATION

Module I: Introduction

Classification of computers, computer memory, Types of softwares: Application and system softwares, operating systems and types, single user, multiuser, multi-tasking and single tasking, Application of computers for business and research.

Module II: Data Communication and Networks

Data Communication Concepts, Local area network, internet, intranet, Extranet, Web e- mails, search engine- enterprise: E- Communication and E- Collaboration.

Module III: MS Office and its application:

File handling in windows, various applications of MS office : MS word: Text formatting, Mail merge, Macro, MS Excel: Features, Various Formulae and M.S Power Point: Creating Presentations and effects.

Module IV: SPSS:

Introduction to SPSS: Definition, Objective and features, Data analysis using SPSS: Data entry, creating variables, switching to data analysis: Frequencies, Recording into different variables, cross tabulations and layers.

Suggested Readings:

1. Computer Fundamentals – (V. Rajaraman, PHI,2006)
2. Computer Fundamentals – (Sinha and Sinha, BPB publications,2009)
3. Introduction to Computers – (Norton, TATA McGraw Hill, 2006)
4. Computer fundamentals and Introduction to IBMPC – (Dr. Pankaj Nagar Manish Soni, Ramesh Book Deport,2008)
5. An introduction to database system – (Desai, Galgotia Publication,2002)
6. Computer Network – (Tanebaum, Person,2004)
An introduction to Database System – (Date/ Kannan/ Swamynathan, Person,2006)
7. Fundamentals of Computers – (V. Rajaraman, Prentice Hall,)
8. SPSS an Introduction and Implementations, - (SBU Publication.)

COURSE CONTENTS OF QUANTITATIVE TECHNIQUES

Module I – Application of Central tendency

(Application of central tendency and central dispersion, Co- efficient of correlation, coefficient of determination and non – determination, calculation of standard of estimate.)

Module II – Forecasting techniques

Multiple correlations and multiple regression, Time series analysis

Module III – Parametric Test

Theory of estimation: Point and interval testing of Hypothesis Large and Small sample Tests; parametric Test: t- test, F Test, Chi- square test, ANNOVA, Probability distribution, Binominal, Poison and Normal Distribution.

Suggested Readings:

1. Mathematical Statistics – Gupta & Kapoor – Sulthan chand & Sons, NewDelhi,2005
2. Research Methodology – SBU Publication
3. Kothari CR – Quantitative Techniques (Vikas Publishing NewDelhi),2002
4. Kapoor V.K.- Operations Research (Sultan chand& sons NewDelhi),2006
5. Khandelwal & M.Gupta – Quantitative Techniques (Tata MC Grow – hill publishing Co. Ltd. NewDelhi),2004
6. Agarwal N.P. – Quantitative Techniques, Dhanpat Rai Pub. New Delhi,2000
7. D.M.Mithani – Quantitative Techniques, S.K.Katarik Pub,2006

COURSE CONTENTS OF RESEARCH AND PUBLICATION ETHICS

THEORY

RPE 01: PHILOSOPHY AND ETHICS (3 hrs.)

1. Introduction to philosophy: definition, nature and scope, concept, branches
2. Ethics: definition, moral philosophy, nature of moral judgments and reactions

RPE 02: SCIENTIFIC CONDUCT (5hrs.)

1. Ethics with respect to science and research
2. Intellectual honesty and research integrity
3. Scientific misconducts: Falsification, Fabrication, and Plagiarism(FFP)
4. Redundant publications: duplicate and overlapping publications, **salami slicing**
5. Selective reporting and misrepresentation of data

RPE 03: PUBLICATION ETHICS (7 hrs.)

1. Publication ethics: definition, introduction and importance
2. Best practices / standards setting initiatives and guidelines: COPE, WAME, etc.
3. Conflicts of interest
4. Publication misconduct: definition, concept, problems that lead to unethical behavior and vice

versa, types

5. Violation of publication ethics, authorship and contributorship
6. Identification of publication misconduct, complaints and appeals
7. Predatory publishers and journals

PRACTICE

RPE 04: OPEN ACCESS PUBLISHING (4hrs.)

1. Open access publications and initiatives
2. SHERPA/RoMEO online resource to check publisher copyright & self-archiving Policies
3. Software tool to identify predatory publications developed by SPPU
4. Journal finder / journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggested, etc.

RPE 05: PUBLICATION MISCONDUCT (4hrs.)

A. Group Discussions (2hrs.)

- Subject specific ethical issues, FFP, authorship
- Conflicts of interest
- Complaints and appeals: examples and fraud from India and abroad

B. Software tools (2hrs.)

- Use of plagiarism software like Turnitin, Urkund and other open source software tools

RPE 06: DATABASES AND RESEARCH METRICS ('hrs.)

A. Databases (4hrs.)

- Indexing databases
- Citation databases: Web of Science, Scopus, etc.

B. Research Metrics (3hrs.)

- Impact Factor of journal as per Journal Citation Report, SNIP, SJR, IPP, Cite Score
- Metrics: h-index, g index, i10 index, altmetrics

Suggested Readings:

1. Elements of Research Writing by Dr. S. K. Yadav

10. SUBMISSION OF SYNOPSIS

Submission of Synopsis for the Ph. D. Program shall be allowed only after successful completion of the course work.

Seminar presentation of synopsis will be delivered in the presence of RC. If the seminar is satisfactory then candidate will be allowed to register to continue his/her Ph. D. Program. However, if the RC is not satisfied by the seminar presentation, the candidate will be required to deliver another presentation with suitable modification or improvement within next two months.

- 10.2. Ph.D. program shall be for a minimum duration of six semesters, including course work and a maximum of twelve semesters. The program duration shall be counted from the beginning of the semester in which the scholar has taken admission. However, in special cases, this limit may be extended to a maximum of fourteen semesters as per decision of ACAP to be reported to Academic Council. The extension shall be for one semester at a time.

11. Research Council

1	VC /Nominee (not below the rank of Professor)	Chairman
2	Concerned Dean	Member
3	Concerned HoD	Member
4	Registrar	Members
5	Controller of Examinations	Members
6	Coordinator/Dean (Research & Development)	Member Secretary
7	Guide / Co-Guide	Member
8	Expert	Member

- Dean/Coordinator(Research) will be responsible for the coordination with Examination Department with adherence to all the rules and Ordinance of SBU.
 - Dean/Coordinator(Research) will put all the proposals
- (i) Each RC member should be a full-time faculty member of the University holding Ph.D. Degree with at least two publications of SCI/SCIE/SSCI/AHCI/UGC Approved/Peer Reviewed Journals in last two years. The faculty member of Core Engineering and Management Departments with at least two publications in SCI/SCIE/SSCI/AHCI/ABDC/non-paid Scopus indexed journals/ UGC Approved/Peer Reviewed Journals in last two years shall be admissible to become a RC member. This relaxation from common norms shall remain in force for one year for Core Engineering Departments and to be reviewed thereafter. For Management Departments it shall remain in force for three years and to be reviewed thereafter. This relaxation shall not be admissible for faculty members with Ph.D. in Science and Humanities.
- (ii) The process of allocation of RC members should be free from all sorts of conflict of interest. (Spouses shall not be members of the same committee and parents shall not be in the RC of their children/relative. The faculty member under whom Guide had done Ph.D. shall not be the member of same RC and *vice versa*.)

- (iii) In case, if Chairperson is a Guide, another senior member of the Department shall be nominated as the Chairperson of the concerned RC in consultation with Dean (AP).

Functions of the Research Council

- (a) After the registration of the scholar for the Ph.D. program, the Research Council shall perform the following functions:

Shall make one progressive review of the scholar just after enrollment (**Annexure III**) as well as every subsequent semester (**Annexure IV**), in association with the Guide / Guide and Co-Guide / Guide, as may be feasible.

During synopsis submission as well as every subsequent semester, a candidate shall submit a document in the prescribed format (**Annexure V**) based on the proposed/progression of work to all RC members, at least seven days prior to his/her presentation. Every RC member should submit a review report in the format given in **Annexure VI**, based on the proposed/progression of work as well as presentation of the candidate. For progress presentation in alternate semester, the Chairperson shall invite one external expert from another Institute.

- (b) Shall forward progress report to the Registrar on the progress of scholar's research program in the specified format (**Annexure-IV**) along with the reports of individual RC members (**Annexure VI**).
- (c) Shall organize a Pre-Ph.D. submission Seminar after completion of the research work of the scholar and **verifying the compliance report**. The research scholar should submit the complete text of his/her thesis in typed and softbound form and present the seminar. The Research Council shall submit its recommendation on the seminar in the specified format to the Registrar (**Annexure VII**).
- (d) When scholar submits his/her thesis, the Research Council in consultation with the Guide, after due re-verification of the compliance requirements, shall recommend names of 10 Examiners from reputed Institutions (5 from foreign countries and 5 from within India) at the level of Associate Professor/Professor/Equivalent, working in the relevant field for the evaluation of the Thesis. The foreign examiners must be from different reputed organizations, however may be from the same country. The examiners who have evaluated another thesis from SBU within last one year from the same research group shall be avoided in the panel.
- (e) On receipt of the observations/recommendations of the examiners of the thesis, the Research council shall submit these with the Committee's recommendations to the office of the Registrar for further necessary action. In the event, if the reports of the examiners are favorable to the scholar as provided, then the Research Council would also recommend names for the viva voce Board of the scholar.

12. TRANSFER FROM FULL-TIME TO PART-TIME SCHOLAR AND VICE - VERSA

In general, a conversion from FT to PT may be permitted only under unavoidable circumstances (to be decided by DRC with consent of ACAP) or if the candidate has got a job after three years from the date of admission. In such cases, a Full-Time research scholar may be considered to be designated as Part-Time research scholar on request provided he/she fulfils the following conditions:

- (a) The prescribed course work has been successfully completed.
- (b) In all such cases, the fellowship awarded to him/her shall stand withdrawn.
- (c) Fee and other terms and conditions will be applicable as per rules and regulations of the University.

The University may also permit a Part-Time research scholar to switch over to Full-Time scholar with consent of DRC and RC.

13. COMPLIANCE REPORT

Prior to the submission of the thesis, the scholar registered for the Ph.D. Program at the University should have complied with the following requirements:

- (a) The research scholar must have carried out the research work for a minimum period of six semesters after his/her registration for Ph.D. program.
- (b) The research scholar should have satisfied the minimum residential requirement.
- (c) The research scholar should have taken and passed the prescribed qualifying examination and course works.
- (d) The research scholar must have publications with the minimum criteria as written below:
 - (i) He /She must have at least two SCI/SCIE /SSCI/AHCI/ UGC Approved/Peer Reviewed indexed publications. For Ph.D. in Management Department, at least two publications in SCI/SCIE/SSCI/AHCI/ABDC/ non-paid Scopus indexed journals/ UGC Approved/Peer Reviewed Journals shall be admissible. This relaxation from common norms shall remain in force for three years and to be reviewed thereafter.
 - (ii) In both the publications, the research scholar should be the first author.
 - (iii) He /She must have at least two paper presentations in seminars/conferences.
- (e) The research scholar must have made Pre-Ph.D. thesis submission seminar presentation of his/her thesis work in the concerned Department of the University.
- (f) The thesis must be checked with Anti-plagiarism software packages like Turnitin and be certified to be 80% free of any plagiarism excluding self published papers. In addition to that, the thesis must be checked through Grammatical Software, e.g. WhiteSmoke, Grammarly, etc.

14. ORGANIZATION OF THESIS

The thesis shall be a factual record of the scholar's research work characterized by discovery of facts, or fresh interpretation of facts and theories, or an independent design or development of new product. It should bear evidence of the scholar's judgment and ability to carry out independent investigation, design and/or development work.

The thesis must contain besides the text and common matters like References and Conclusions:

- (a) A brief Introduction in which the scholar shall state whether the thesis is based on discovery of new facts or new interpretation of established facts by others, or based on exhaustive study and critical analysis of published work of others, or design, or development work undertaken.
- (b) The research scholar shall further furnish a statement indicating the sources from which the information has been derived, and the extent to which he/she has based his/her work on the work of others, and shall indicate which portion of the thesis is claimed as original. The scholar shall furnish a declaration in the thesis as given in **Annexure VIII**.
- (c) An Abstract of the thesis (about 500 words) with key words (about 10).
- (d) A Certificate (in standard format, **Annexure IX**) from the Guide/Co-Guide that (a) the work has been carried under his/her/their supervision, (b) the research scholar has fulfilled all prescribed requirements and (c) the thesis which is based on his/her own work has not been submitted elsewhere for a Degree/Diploma.
- (e) The cover page of the thesis shall be sky – blue in color and in the standard format as given in **Annexure X**.
- (f) The text in the thesis shall be **Times New Roman font size 12, typed on only one side of a page**. All Figures and Tables shall have appropriate legend.

The Thesis submitted for the Ph.D. degree shall not be one for which any degree or diploma has already been awarded by any other Institution or for any other candidate at SBU itself. No two theses shall have common content even if the work has been shared between different individuals.

Pre Thesis Submission Viva

(a)	Dean	Chairman
(b)	HoD	Member
(c)	One Expert	Member
(d)	Two Professors by rotation of two years in order of Seniority	Member
(e)	Another two Faculty Members (including Associate & Assistant Professors) of the Department with Ph. D. degree (by rotation of two years and to be nominated by the concerned Head) / Dean	Member
(f)	Controller of Examination/Nominee (not less than Associate Professor)	Member

(g)	Two Faculty Members from allied department with Ph. D. Degree (by rotation of two years and to be nominated by the concerned Head through Departmental meeting)	Member
(h)	Coordinator/Dean (Research & Development)	Member Secretary

15. EVALUATION OF THESIS

Everything will be guided by the Research Council. Research Council will make policy according to the University Act. The research scholar has to submit two soft cover binding copies of thesis (one for the concerned Department and another for Examination Department) and one soft copy of the same for evaluation purpose. After evaluation and before viva voce, the research scholar should submit four or five copies (hard cover bound) as required by the Research scholar, Guide/Co-Guide, library and departmental library.

If all these reports are unanimously favorable to the scholar, the Research Council shall submit its recommendations for the constitution of the viva voce Board for the scholar, to the office of Registrar. The viva voce board shall be approved by the VC.

If there is no unanimity in the recommendation of the Board of Examiners, and if they do not recommend outright rejection of the thesis, the RC may permit resubmission of the thesis after revision within twelve months from the date of the concerned RC meeting. The revised thesis will then be sent to the same set of examiners for their opinion. If, however, any of the previous examiners decline to examine the resubmitted thesis the same will then be sent to another examiner of the previous panel. If the report is still unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for award of the PhD degree.

If the thesis is not accepted for the award of the PhD degree by one of the external examiners, the RC shall recommend that the thesis be sent to another examiner out of the approved panel of examiners of same category and the viva voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for award of the PhD degree.

16. Viva -Voce Board

- (a) Vice Chancellor / Representative of VC (if any)
(not below the rank of Dean (Professor level))
- (b) Expert – Member
- (c) All members of Research Council
- (d) Guide/Co-Guide
- (e) Coordinator/Dean(Research) – Member Secretary

Note : Dean(Research) / Coordinator(Research) will be Member Secretary of the Viva Voce Board.

The viva voce Board shall conduct an oral examination of the scholar with a view to test the scholar's insight and power of comprehension in his/her field of research and his/her understanding of the allied fields. The viva voce Board shall submit its report(s)

/recommendation(s) to the VC. The VC, in turn, will submit the document to the Academic Council which may recommend the award of the Ph.D. degree to the scholar if the recommendations are favorable to the scholar. If, for any reason, the recommendations of the viva voce Board are not favorable to the scholar, he/she will be permitted to appear before the viva voce Board again, within a period of six months from the date of the previous meeting of the Board.

LEAVE RULES

All research scholars are entitled for leave for a maximum of thirty days per year in addition to University Holidays. Also ten days leave on medical reasons is permitted.

In addition to the above mentioned in 17.1, women scholars are also entitled for maternity leave for a period of one eighty (180) days. This should be supported by a medical certificate. The Dean (AP) as per recommendation of the Head of the Department, is authorized to sanction the above leave.

No vacation in Summer is admissible.

Special Leave to attend Seminars/Conferences in India/abroad to present research papers, with the permission of the Dean (AP) through proper channel, is admissible.

Research scholars under funded projects may also be subject to the rules of the funding agencies as required.

*Discipline, Time Limits for Different Activities Related to Ph.D. Program and Required activities of a Doctoral Student are described in **Annexures XI, XII and XIII** respectively.*

Enrollment Form for Ph.D. Program

Date: _____

The Registrar
Sarala Birla University
Ranchi

Through: The Dean (Research & Development)

Dear Sir/Madam,

1. I have been admitted to the Ph.D. Program of the University in Department of_____. I am enclosing herewith my bio-data for your kind perusal and needful.

2. My proposed field of research will be

(a) Discipline: _____

(b) Field of Research work:

(c) Name of the Guide : _____

(d) Proposed Course work:

Theory		Term Paper	
Code	Subject	Code	Subject

3. The No Objection Certificate from my organization (for part - time research scholar only) is attached herewith. The certificate for providing the required research facilities by my organization/institution is also attached herewith.

4. I certify that the particulars given above are correct and I undertake to

(a) Abide by the Rules of the University during the Ph.D. Program.

(b) Appear before the relevant Admission Committee whenever directed to do so.

(c) Take any test or qualifying examinations as specified for the Ph.D. program.

5. The proof of my date of birth, caste (General/OBC/BC/SC/ST) and qualifications are attached.

6. I shall also comply with residential requirement specified for the Ph.D. program.

Thanking you.

Yours faithfully,

Signature: _____

Name: _____

Roll No. _____

Signature of DRC Members

S.No.	Name	Designation	Sign

Approved / Recommended / Comments _____

Chairperson (DRC) _____

Minutes of the Departmental Research (DRC)

1. Date of DRC Meeting
2. Name of the Department:
3. Name of the research scholar and Roll No.
4. Affiliation :
5. Contact Address:
Telephone / Mobile No./Email Id :
6. Permanent Address :
7. Qualification of the research scholar (Degree with specialization, Year of passing, % Marks and University)
8. Details of Guide
 - (a) Name
 - (b) Designation
 - (c) Qualification and Experience
 - (d) Contact Address
 - (e) No. of current Ph.D. scholars under his/her supervision
9. Details of Co-Guide as applicable (Optional)
 - (a) Name
 - (b) Designation
 - (c) Qualification and Experience
 - (d) Contact Address
 - (e) No. of current Ph.D. scholars under his/her supervision
10. Field of Research :
11. Details of the newly formed Research Council:
(Detailed information should be provided in an additional sheet)
12. Recommendation of DRC/RC
 - (a) Utility of the proposed research program
 - (b) Suitability of the applicant to undertake the program

- (c) Availability of infrastructure for undertaking the research program
- (d) Extent of External assistance required (if any)
- (e) Recommendation for Ph.D. Enrolment
- (f) Details of Qualifying courses assigned to the scholar:

S.No.	Course No.	Course Title	Credit
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13. Any other Comments:

14. Signatures of the DRC Members.

Minutes of the First Meeting of the Research Council

1. Date of Research Council Meeting:
2. Name & Affiliation of Research scholar:
3. Registration No. & Roll No.
4. Date of approval by Academic Council:
5. Receipt No. & date of submission of Registration Fees: [Mandatory for conducting the meeting]
6. Research Topic:
7. Details of Guide:
 - (a) Name
 - (b) Designation
 - (c) Qualification and Experience
 - (d) Contact Address
 - (e) No. of current Ph.D. scholars under his/her supervision
8. Details of Co-Guide as applicable (Optional)
 - (a) Name
 - (b) Designation
 - (c) Qualification and Experience
 - (d) Contact Address
 - (e) No. of current Ph.D. scholars under his/her supervision
9. Recommendation of Research Council:
 - (a) Details of any Additional /Audit course if recommended

10. Signature of the Members of the Research Council:

S.No.	Name	Designation	Sign

Coordinator/Dean(R&D)

Registrar

Vice-Chancellor

Semester Progress Report

1. Name of the Research scholar and affiliation:
2. Date & No. of Semester Progress Presentation:
3. Date of previous Semester Progress presentation of the research scholar:
4. Registration Number & Roll No.
5. Date of submission of Registration Fees:
6. Receipt No. & Date of submission of Annual Fees: [Mandatory for conducting Seminar]
7. Date of Seminar
8. Title of Ph.D. Thesis:
9. Status of Qualifying Examination:
10. Details of audit courses, if any
11. Progress of Research Work including Publication if any:

12. Comments of individual DC member:
Separate individual report (Annexure VI) is to be provided.

13. Consolidated report of the Research Council.

14. Signature of the Members of the Research Council:

Note: Semester progress report will be included with the reports of individual RC members, documented using Annexure VI. The Chairperson will go with the two third majorities, if there is lack of unanimity.

Progress Report to be submitted by the research scholar

1. Name:
2. Roll no.:
3. Field of research work:
4. Name of Guide:
5. Name of Co-Guide (Optional):
6. Origin of work:

7. Objectives of the work:

8. Works done so far (with some results and discussion in brief): In separate pages.
9. Works to be done:
10. Mention if there is some problem in continuing your research work:

11. References:

Report of individual RC member:

(Separate sheet should be provided by each RC member.)

- a) Comment on the progress of the work (few lines at least).

- b) Relevant suggestion if the scholar's progress is not satisfactory for any reason.

- c) Is the work relevant with the topic concerned?
Y / N/ Unable to make comment
(If no, give justification.)

- d) Is the work novel, as per your knowledge?
Y / N/ Unable to make comment

Signature with date:

Name:
Designation:
Department:

Minutes of the Meeting of the Research Council on
Pre-Ph.D. Thesis Submission Seminar

- a) Date of Pre-Ph.D. Thesis Submission Seminar Presentation:
- b) Name of the Department:
- c) Affiliation:
- d) Name and Roll No.
- e) Receipt No. & date of submission of Registration Fees: (Mandatory for conducting the meeting).
- f) Title of the thesis:
- g) Guides (Guide, Co-Guide, Internal Guide, as applicable):
- h) Comments of the Research Council :

Does the title of the thesis require any modification:

If yes-

Previous Title of the thesis:

Proposed Title of the thesis:

Reason:

-
- i) Recommendation of the Research Council :

- j) Signatures of the members of the Research Council :

Declaration

I certify that

- a) The work contained in the thesis is original and has been done by myself under the general supervision of my Guide/Guides.
- b) The work has not been submitted to any other Institute for any degree or diploma.
- c) I have followed the guidelines provided by the University in writing the thesis.
- d) I have conformed to the norms and guidelines given in the Ethical Code of Conduct of the University.
- e) Whenever I have used materials (data, theoretical analysis and text) from other sources, I have given due credit to them by citing them in the text of the thesis and giving their details in the references.
- f) Whenever I have quoted written materials from other sources, I have put them under quotation marks and given due credit to the sources by citing them and giving required details in the references.

Signature of the Scholar

Name

Roll No.

Approval of the Guide(s)

Recommended that the thesis entitled “.....”
prepared by Mr/Ms.....under my/our supervision and guidance be accepted in
partial fulfillment of the requirements for the degree of Doctor of Philosophy.

To the best of my/our knowledge, the contents of this thesis did not form a basis for the award of
any previous degree to anybody else.

Date:

Signature

Name of the Co-Guide/

Department/Affiliation

Signature

(Name of the Guide)

Department

Margins

Top: 1.25", Bott: 80.36"

Left: 1.5", Right: 1"

1.5 Line spacing throughout

18, Arial Black

Bold Upper Case

2 Blank Lines, 14 Font

22, *Monotype Corsiva*

14, *Arial, Bold, Italics*

16, *Arial Black, Bold*

1 Blank Lines, 14 Font

1" x 1" Logo

PLEASE MENTION TITLE OF THE THESIS

A Thesis

SUBMITTED TO

SARALA BIRLA UNIVERSITY

FOR AWARD OF
THE DEGREE OF DOCTOR OF PHILOSOPHY

By

NAME OF THE RESEARCH SCHOLAR

NAME OF THE DEPARTMENT

Discipline

- i) Notwithstanding the provision contained in the clauses of the regulation, the Academic Council may cancel Ph.D. registration of any scholar at any time without assigning reason(s), if it is so satisfied.
- ii) Scholars are expected to observe disciplined behavior / manners inside and outside of the University/ Campus so as to enhance the image of the University/ Campus. Any act which may be considered derogatory shall not be acceptable.

Time Limits for Different Activities Related to Ph.D. Program

Sl. No.	Scheduled Academic Activities	Full-Time (Time Limits)	Part -Time (Time Limits)
1.	Enrolment to the Ph.D. Program	Within the assigned date	Within the assigned date
2.	Course Work finalization and formation of RC by DRC	As Specified in the Ph.D. Ordinance	As Specified in the Ph.D. Ordinance
3.	Change of category from Full- Time to Part – Time and vice versa	After three years from the date of admission provided The candidate fulfils the conditions mentioned in Section 12.	After one year of admission provided The candidate fulfils the conditions mentioned in Section 12.
4.	Seminar for the submission of PhD synopsis	After successful completion of Course work	After successful completion of Course work
5.	Thesis Pre-Submission Seminar: At the time of pre-submission seminar the candidate should submit synopsis. After the satisfactory performance in pre-submission seminar the Research Council will submit the panel of examiners.	Minimum six semesters	Minimum six semesters
6.	Thesis Submission for final evaluation	Within (maximum) three months of approval of Pre-Submission Seminar	Within (maximum) three months of approval of Pre-Submission Seminar
7.	Minimum time Limit for completion of Ph.D. Program from the date of enrolment	Six semesters	Six semesters
8.	Maximum time Limit for completion of Ph.D. Program from the date of enrolment	Twelve semesters	Twelve semesters
9.	Extension of Registration beyond above maximum Time limits on the recommendation of RC and as approved by the Dean AP and Research Council	Additional one year (in special case).	Additional one year (in special case).
10.	Resubmission of the Thesis after Revision	Within two semesters from the date of the Academic Council's decision.	Within two semesters from the date of the Academic Council's decision.

Required activities of a Doctoral Student

