

**REGULATIONS GOVERNING**  
**THE DEGREE OF**  
**DOCTOR OF PHILOSOPHY (Ph.D.)**  
**(EFFECTIVE FROM ACADEMIC SESSION 2023-24 onwards)**



**ODISHA UNIVERSITY OF TECHNOLOGY AND RESEARCH**  
**BHUBANESWAR**

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# **REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)**

**[Effective from Academic session 2023-24 onwards]  
(Approved by the Academic Council on 13.02.2024)**

*These Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) 2023 have been framed with a view to fulfil the provisions in the UGC (Minimum Standards and Procedures for Award of M.Phil./Ph.D. Degrees) Regulations, 2022 and UGC Gazette Notification (Specification of Degrees), 2014.*

## **1. INTRODUCTION**

- 1.1.** These Regulations shall be called “OUTR Ph.D. Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) - 2023”.
- 1.2.** These Regulations shall come into force from the date of their notification by the University and be applicable to the Candidates admitted prior to 2023-24 and Candidates seeking for admission into Ph.D. program from 2023-24 onwards in various Schools/ Departments as indicated below.
- 1.3.** These Regulations shall govern the conditions for imparting courses of instructions, conduct of the examinations and evaluation of students’ performance leading to Ph.D. degree.
- 1.4.** All correspondence with the University regarding the Ph.D. program, like Reports/ Presentation/ Thesis shall be in English language only.
- 1.5.** Doctoral programme leading to Ph.D. is offered in the following Schools/ Departments of the University.
  - a) School of Basic Sciences and Humanities
  - b) School of Computer Sciences
  - c) School of Electrical Sciences
  - d) School of Electronic Sciences
  - e) School of Infrastructure and Planning
  - f) School of Mechanical Sciences
  - g) Department of Biotechnology
  - h) Department of Textile Engineering
- 1.6.** The provisions of these Regulations shall be applicable to any new disciplines that are introduced from time to time and added to the above list.
- 1.7.** Notwithstanding any of the Clause(s) provided in the Regulations, the authority shall exercise its powers to change/ amend/ interpret/ implement decisions and actions concerned with academic matters.
- 1.8.** The Board of Management of the University may, on the recommendation of the Academic Council, change any or all parts of these Regulations at any time.

## 2. DEFINITIONS

In these Regulations unless the context requires otherwise or it is specifically so defined:

- a) 'OUTR/ University' means Odisha University of Technology and Research, Bhubaneswar, Odisha, with its Headquarters at Bhubaneswar, Odisha.
- b) 'AC' means Academic Council, 'BoS' means Board of Studies, 'BoM' means Board of Management of the University.
- c) 'GoI' means the Government of India, 'MoE' means the Ministry of Education, GoI.
- d) 'UGC' means the University Grants Commission established at New Delhi by an Act of Parliament in 1956.
- e) 'AICTE' means the All-India Council for Technical Education established at New Delhi by an Act of Parliament.
- f) 'UG/ PG/ Ph.D.' means Undergraduate/ Postgraduate/ Doctor of Philosophy programs, respectively.
- g) 'Department Research Committee (DRC)' means a committee constituted in OUTR at School/ Department level to conduct the (pre-admission) interview for Ph.D. program and to execute other functions (as defined under Section-3.1).
- h) 'Doctoral Scrutiny Committee (DSC)' means the Research Advisory Committee constituted by the OUTR to review the research progress of a candidate for Ph.D. program and to execute other functions (as defined under Section-3.2).
- i) 'Supervisor' means a qualified faculty member recognized by OUTR to supervise/ guide the candidates for Ph.D. (as defined under Section-9).
- j) 'Co-Supervisor' means an additional Supervisor who supervises/ guides the doctoral research of a candidate along with the Supervisor (as defined under Section-9).
- k) 'Coursework' means the courses prescribed as part of the Ph.D. program, which the candidate shall successfully complete as a pre-requisite.
- l) 'HOS/ HOD' means Head of School/ Head of the Department
- m) 'CoE' means Controller of Examinations of the OUTR.
- n) 'QIP' means Quality Improvement Program of the GoI.
- o) 'Referred Journal' means a reputed professional journal or literary journal or a publication in which the research articles or papers are selected for publication by a panel of expert referees in the field.
- p) 'Viva-Voce Board' means a committee of experts appointed by the OUTR to conduct the final viva-voce on the Thesis submitted by the candidate.
- q) 'OUTR-PET' means OUTR-Ph.D. Entrance Test.
- r) 'NRI/ FN/ PIO' means Non-Resident Indian / Foreign National / Person of Indian Origin in abbreviated form.
- s) 'Website' means the website of the OUTR i.e. [www.outr.ac.in](http://www.outr.ac.in)
- t) 'VC' means the Hon'ble Vice Chancellor of OUTR.
- u) 'Dean PGS&R' means Dean Post Graduate Studies & Research, OUTR.
- v) 'Ph.D. Cell' means the section dealing with Ph.D. program functioning under supervision of Dean PGS&R.

### 3. BOARDS AND COMMITTEES

#### Constitution of Boards/ Committees

For monitoring the Ph.D. Program, the following Boards/ Committees shall be constituted as follows:

- a) Department Research Committee (DRC)
- b) Doctoral Scrutiny Committee (DSC)
- c) Viva - Voce Board

The composition, functions/ responsibilities of the Committees and Boards is given below:

**3.1 Department Research Committee (DRC):** This is the Research Committee of a School/ Department of the University offering Ph.D. program headed by the Chairperson, DRC who is the head of the concerned School/ Department. It shall be constituted once in three years, prior to the beginning of academic year by inviting proposals in the prescribed form (**OUTR-PhD-01/3.1**), from the concerned HOS/ HOD and shall be notified by the Ph.D. Cell. The Committee shall consist of members having Ph.D. degree as indicated below. If a School/ Department has lesser number of faculty members, then suitable faculty members from another School/ Department may be proposed by the concerned HOS/ HOD for formation of the DRC.

- a) The composition of the Department Research Committee is as follows:
  - i) Head of School/ Department. – Chairperson
  - ii) Coordinator of any one Research Group of the same School/ Department to be nominated by the Chairperson, DRC. – Member
  - iii) One Professor of the same School/ Department (other than item-i and ii above) to be nominated by the Chairperson, DRC. – Member
  - iv) At least one member from each Research Group of the same School/ Department (other than item-i, ii and iii above) to be nominated by the Chairperson, DRC. – Member Convener

The formation of DRC shall be notified by Dean PGS&R with due approval from Hon'ble VC.

- b) The DRC shall have the following functions/ responsibilities:
  - i) Scrutinizing the applications to determine the candidates' eligibility, including those eligible for exemption from the OUTR-PET (as per Section- 8.3).
  - ii) Coordinating the following events for admission into Ph.D. program:
    - Question Setting and Conducting the OUTR-PET
    - Deciding the cut-off margin for qualifying the OUTR-PET depending on the probable intake of candidates for admission in

the current session and the number of candidates eligible for appearing the OUTR-PET

- Preparing the list of candidates successfully qualifying the OUTR-PET in order to appear the pre-Ph.D. admission interview. The DRC shall furnish the list to Ph.D. Cell for publication in the website.
  - Conducting the pre-Ph.D. admission interview and preparing the merit list for admission into Ph.D. program.
- iii) Suggesting coursework to be allotted to the Candidates (as per Section-12), coordinating the conduct of classes for allotted courses, and monitoring the attendance/ question setting for coursework examination.
- iv) On successful completion of coursework credit requirements of Candidates, the DRC shall conduct the comprehensive examination (written test) for the Candidates.
- v) On successfully qualifying in the comprehensive examination by the candidate, the DRC shall conduct open seminar on proposed research based on the scope of available research facility in the School/Department and Research interest of the Candidate.
- vi) On successfully qualifying in the open seminar by the candidate, the DRC shall allot Research Supervisor(s) and/or Co-Supervisor(s) to the Candidate(s) and furnish a proposal to Ph.D. Cell for formation of DSC for each candidate.

**3.2 Doctoral Scrutiny Committee (DSC):** This is the Research Scrutiny Committee of a School/ Department of the University offering Ph.D. program headed by a Chairperson. The proposal for the formation of DSC will be initiated by the concerned DRC to monitor the progress of each of the candidate/ research scholar after completion of Coursework requirements, Comprehensive examination, Open Seminar and allotment of Supervisor/ Co-Supervisor to the candidate/ research scholars. The Committee shall consist of members having Ph.D. degree as indicated below. The proposal is to be submitted by the concerned DRC to the Ph.D. Cell, in the prescribed form (**OUTR-PhD-02/3.2**). The formation of DSC shall be notified by Dean PGS&R with due approval from Hon'ble VC. The composition/ functions/ responsibilities of the DSC are as follows.

- a) The Doctoral Scrutiny Committee (DSC) to be constituted as follows
- i) One member, preferably from the same Research – Chairperson Group as that of the candidate/ research scholar, to be nominated by the Hon'ble VC.
  - ii) One domain Expert from the same Research – Member Group/ Specialization of the concerned School/

- Department, to be nominated by Chairperson, DRC.
- iii) One member from other Research Group(s) of another related School/ Department, to be nominated by Dean, PGS&R. – Member
  - iv) Supervisor. – Member Convener
  - v) Co-Supervisor (if any). – Joint Member Convener
- b) Any THREE members including at least one domain Expert shall form quorum.
  - c) The DSC formation shall be notified for each candidate after approval of the Hon'ble Vice Chancellor.
  - d) If the Chairperson, DRC is also the Supervisor/ Co-Supervisor of the candidate/ research scholar concerned, an alternate Chairperson, DSC shall be proposed by the DRC from the same School/ Department of OUTR.
  - e) The Hon'ble Vice Chancellor may appoint alternate domain Expert(s) to the Committee in consultation with the DRC, if any of the members is unable to attend the deliberations of the Committee for more than two half-year periods at a time.
  - f) The committee is valid for 8years or till the completion of Ph.D. process of the candidate.
  - g) All the expenses related to the functioning of the DSC shall be met by OUTR including honorarium/ TA/ DA of the outside Experts as per rules. No honorarium/ TA/ DA shall be paid to the internal DSC members including the Supervisor/ Co-Supervisor.
  - h) This Committee shall have the following functions/responsibilities:
    - i) To review the research proposal and finalize the Title of research;
    - ii) To guide the candidate/ research scholar to develop the study design and methodology of research and recommend any new course(s) to be undertaken by the candidate/ research scholar as coursework (to be offered by the School/Department or in MOOCs platform), if the same is not offered earlier.
    - iii) To periodically review and assist in the progress of the research work of the candidate/ research scholar in every semester and submit the half yearly progress reports along with semester registration fee receipt to the Ph.D. Cell with a copy to the candidate/ research scholar until the submission of the Thesis (Section-14).
    - iv) In case the progress of the candidate/ research scholar is unsatisfactory, the DSC shall record the reasons for the same and suggest corrective

measures. If the candidate/ research scholar fails to implement these corrective measures, the DSC may recommend with specific reasons for cancellation of the registration of the research scholar.

### **3.3 Viva-Voce Board:**

- a) The Viva-Voce Board shall consist of the same members of DSC with an Identified Adjudicator\*/ External Examiner as additional member.
- b) Any FOUR members including identified Adjudicator/External Examiner shall form the quorum.
- c) The Viva-voce Board shall conduct the final open defense viva-voce for the candidate to defend his/her Ph.D. thesis.
- d) The Viva-voce Board shall submit its detailed report in the prescribed format to the Ph.D. cell after the Viva Voce for consideration of the Hon'ble Vice Chancellor.

*\* Identified Adjudicator or the External Examiner, preferably who evaluated the Ph.D. thesis or any one expert from the six other experts (not below the rank of Associate Professor) proposed by the DSC for Viva Voce Board, is to be nominated by the Hon'ble Vice Chancellor.*

## **4. SUBJECT/ TITLE/ NATURE OF RESEARCH PROGRAM**

The Subject/ Title/ Nature of research activity leading to Ph.D. degree of a candidate/ research scholar in OUTR may be selected based on specific areas of specialization/ inter-disciplinary areas as offered by various Schools/ Departments from time to time.

## **5. CATEGORY/ ELIGIBILITY CRITERIA/ EDUCATIONAL QUALIFICATION FOR ADMISSION INTO Ph.D. PROGRAM**

The details of Category, Eligibility criteria and Educational Qualifications for admission into Ph.D. program are indicated as follows. Candidates are required to satisfy minimum educational qualification requirements and the eligibility criteria along with other prescribed norms in this regulation for admission to Ph.D. program. Mere possession of minimum educational qualifications and/or eligibility criteria do not confirm admission into Ph.D. program. The decision of the authority in this regard is final and binding.

**5.1 Category:** The various category of Ph.D. program offered at OUTR is indicated below along with the eligibility criteria.

### **a) Category-1: Full Time Ph.D. (Regular)**

Candidates without any employment and having desirable educational qualification (as described under Section-5.2), are eligible under this category. Such candidates are required to furnish an undertaking during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.a).

### **b) Category-2: Full Time Ph.D. (Sponsored)**

- i) Candidates engaged as a Project Fellow in OUTR and having desirable educational qualification (as described under Section-5.2), are eligible

for admission under this category. Such candidates are required to furnish an undertaking during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.b), along with the consent of the Principal Investigator of the project.

- ii) Candidates (Regular employee of academic/ research organizations, external to OUTR), having desirable educational qualification (as described under Section-5.2), and with a minimum of two years' job experience in the current organization after passing the qualifying degree are eligible under this category. Such candidates are required to furnish an NOC during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.b), along with the consent from the current employer with a sanctioned study leave for a minimum period of three years with full salary.

**c) Category-3: Part Time Ph.D. (Sponsored)**

Candidates (Regular employee/ Project Fellow of academic/ research organizations, external to OUTR), having desirable educational qualification (as described under Section-5.2), and with a minimum of two years' job experience in the current organization after passing the qualifying degree are eligible under this category. Such candidates are required to furnish an NOC during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.c).

**d) Category-4: Part Time Ph.D. (Self-Sponsored)**

Candidates (Regular employee of OUTR or those who do not have any regular employment), having desirable educational qualification (as described under Section-5.2), are eligible under this category. Such candidates are required to furnish an undertaking during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.d).

**e) Category-5: Executive Ph.D. (Sponsored)**

- i) Candidates (Regular employee of any organization other than academic/ research organizations), having **Master's degree**, with a minimum of five years' job experience out of which at least two years' job experience in the current organization after passing the **Master's degree**, are eligible under this category. Such candidates are required to furnish an NOC during the admission into Ph.D. program, in the prescribed form (as indicated in Section-5.3.e).
- ii) Candidates (Regular employee of any organization), having **Bachelor's degree in Engineering/ Technology**, with a minimum of ten years' job experience out of which at least two years' job experience in the current organization after passing the **Bachelor's degree in Engineering/ Technology**, are eligible under this category. Such candidates are required to furnish an NOC during the admission



into Ph.D. program, in the prescribed form (as indicated in Section-5.3.e).

## 5.2 Educational Qualifications:

The minimum educational qualifications (Qualifying Degree) required for seeking admission to the Ph.D. Program under all Category in respect of different disciplines are given below. Preference will be given to candidates having qualified in UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ SLET/ GPAT/ GATE/ Inspire fellow (DST, GoI)/ CAT/ NDF examinations.

- i) **Qualifying Degree:** The requirement of the qualifying degree for admission into Ph.D. program under various Schools/ Department is as follows.
  - The qualifying degree for admission into Ph.D. program in various Schools/ Departments in Engineering/ Technology is Masters' degree in Engineering/ Technology.
  - The qualifying degree for admission into Ph.D. program under Computer Science and Applications is MCA/ M.Sc. (Computer Science)/ Masters' degree in Computer Science Engineering/ Information Technology.
  - The qualifying degree for admission into Ph.D. program under School of Basic Sciences and Humanities is Master's degree in Physics/ Chemistry/ Mathematics/ English.
- ii) Candidates belonging to SC/ ST/ Differently-Abled category as notified by Government of Odisha from time to time shall possess a qualifying degree from an Institute/ University recognized by UGC/ AICTE/ Central Government, with a minimum CGPA of 6.0 out of 10 or 55% of aggregate marks in respective discipline, for admission into Ph.D. program.
- iii) All other Candidates shall possess a qualifying degree from an Institute/ University recognized by UGC/ AICTE/ Central Government, with a minimum CGPA of 6.5 out of 10 or 60% of aggregate marks in respective discipline, for admission into Ph.D. program.
- iv) Candidates applying for Executive Ph.D., with Bachelors' degree in Engineering/ Technology (B.E./ B.Tech.) from an Institute/ University recognized by UGC/ AICTE/ Central Government, shall possess a minimum CGPA of 6.5 out of 10 or 60% of aggregate marks in respective discipline, for admission into Ph.D. program under Executive Ph.D. category.

## 5.3 Details of Undertaking/ NOC to be furnished by candidates during Admission:

- a) Candidates seeking admission into **Full Time Ph.D. (Regular)**, are required to furnish an undertaking towards non-employment in the prescribed form (**OUTR-PhD-03/5.3.a**), at the time of admission.
- b) Candidates seeking admission into **Full Time Ph.D. (Sponsored)**, are required to furnish any one of the following documents in the prescribed form (**OUTR-PhD-04/5.3.b**), at the time of admission.

- Undertaking towards engagement as project fellow in OUTR, along with the consent of the Principal Investigator of the project. OR
  - No Objection Certificate (NOC) from the current employer with a sanctioned study leave for a minimum period of three years with full salary.
- c) Candidates seeking admission into **Part Time Ph.D. (Sponsored)**, are required to furnish a No Objection Certificate (NOC) from the current employer (sponsoring organization) in the prescribed form (**OUTR-PhD-05/5.3.c**), at the time of admission.
- d) Candidates seeking admission into **Part Time Ph.D. (Self-Sponsored)**, are required to furnish an undertaking towards self-sponsorship in the prescribed form (**OUTR-PhD-06/5.3.d**), at the time of admission.
- e) Candidates seeking admission into **Executive Ph.D. (Sponsored)**, are required to furnish a No Objection Certificate (NOC) from the current employer (sponsoring organization) in the prescribed form (**OUTR-PhD-07/5.3.e**), at the time of admission.

#### **5.4 Inter-Disciplinary Subject Areas**

The candidates, desirous of pursuing the Ph.D. in subject areas of interdisciplinary in nature (as per Section-4), shall fulfil the following eligibility requirements:

- a) If a candidate after successful completion of Coursework requirements, Comprehensive examination, Open Seminar etc., desires to carryout research in any inter-disciplinary area of specialization, it should be considered by the DRCs of both the Schools/ Departments (i.e., DRC of School/ Department in which the candidate is admitted and the DRC of School/ Department in which the candidate desires to carry out inter-disciplinary research). The allotment of Supervisor/ Co-Supervisor to the candidate/ research scholar and formation of DSC may be done based on the mutual recommendation of both the DRCs.
- b) In such cases, the Degree shall be awarded to candidate based on the School/ Department in which the candidate has taken admission for the Ph.D. program

#### **5.5 Change of Category**

A candidate admitted under **Category-1** into the Full-Time Ph.D. (Regular) program, after successful completion of three years from the date of enrolment, may apply for change of category in the prescribed form (**OUTR-PhD-08/5.5**), if he/she so desires. The application must be duly recommended by the concerned DSC for necessary approval of the Hon'ble Vice Chancellor, based on which change of category may be permissible.

## **6. DURATION OF THE Ph.D. PROGRAM**

### **6.1 Minimum Duration for Submission of Ph.D. Thesis**

Full Time Ph.D. candidates are eligible for submission of the Ph.D. thesis after a minimum period of 02 (Two) years from the date of Ph.D. Registration. However, for Part Time/ Executive Ph.D. candidates it is 03 (Three) years from the date of Ph.D. Registration, subject to fulfilment of all the prescribed requirements

### **6.2 Maximum Duration for Submission of Ph.D. Thesis**

Maximum duration of Ph.D. program for submission of the Ph.D. thesis for all categories (Full Time/ Part Time/ Executive Ph.D. candidates) is to be treated as 08 (Eight) years from the date of enrolment into Ph. D. program, excluding permissible leaves. In case of failure of a candidate to submit the thesis within the stipulated duration as indicated above, the Ph.D. Registration shall be automatically cancelled.

## **7. NOTIFICATION FOR ADMISSION TO Ph.D. PROGRAM**

Applications shall be invited through notification (in the official website of the University and in at least two newspapers one in Odia and one in English) for the admission into Ph. D. program, normally once every year. The following information shall be available in the Advertisement Notification.

- i) Details of School/ Department and Area of Specialization
- ii) Category of Ph.D. program with Eligibility requirements
- iii) Educational Qualification and procedure to be followed for Ph.D. admission
- iv) Important Dates for the admission process

## **8. SUBMISSION OF APPLICATIONS AND PROCESSING FOR ADMISSION**

### **8.1 Invitation of Application**

Applications from the eligible candidates shall be submitted as follows:

All eligible candidates satisfying the requirements (as in Section-5) should submit their applications for admission into Ph.D. program in the prescribed form (**OUTR-PhD-09/8.1**) along with necessary documents (self-attested copies of degree certificate(s), marks/ grade sheets of all the related examinations and such other documents as may be prescribed).

### **8.2 Scrutinization of Application**

The DRC shall scrutinize the applications for considering the eligibility of candidates (as per Section-5) and prepare the list of eligible candidates to appear the OTR-PET including exemption criteria (Section-8.3.f) followed by Pre-Ph.D. Admission Interview. Further, the DRC shall coordinate for conduct of the OTR-PET and the interview (as per Sections-8.3 to 8.4).

### **8.3 Procedure for Conduct of OUTR-PET (Ph.D. Entrance Test)**

- a) All eligible applicants shall appear for the OUTR-PET to determine the candidate's aptitude for research. The score obtained by the applicants in this test shall form the basis for preparing the merit-list of successful candidates.
- b) The OUTR-PET shall be for a total of 70 marks consisting of subject specific questions, with a duration of 90 minutes and be conducted at OUTR.
- c) The Questions shall be of objective multiple-choice type. Each question carries 01 (one) mark. The correct answer will fetch 01(one) mark and incorrect/ unanswerd question will fetch 0 (zero) mark.
- d) Candidates securing 50% marks and above in OUTR-PET are eligible to be called for the interview.
- e) A relaxation of 5% marks will be allowed in the OUTR-PET examination for the candidates belonging to SC/ ST/ Differently-Abled category, and other categories of candidates as per the decision of BoM from time to time.
- f) The following candidates may be exempted from appearing OUTR-PET, subject to recommendation of DRC.
  - Regular employees of OUTR.
  - Candidates qualified in the UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ Inspire fellow (Department of Science and Technology, GoI)/ SLET /GPAT/ GATE/ CAT/ NDF tests and having qualifying percentile scores in their respective validity periods.

### **8.4 Eligibility for Pre-Ph.D. Admission Interview**

- a) Candidates successful in OUTR-PET (as per Section-8.3) and those from the exempted categories (as indicated in Section-8.3.f) shall be included in the lists of qualified candidates to appear for the interview.
- b) The number of candidates to be called for the interview shall be determined by the concerned DRC, out of the lists in (a) above, based on the area of specialization and available scope for research in the concerned School/ Department. The DRC shall prepare the list of candidates to be called for the interview and communicate the same to Ph.D. Cell for necessary action.
  - **Conduct of the Interview**
    - i) The DRC shall conduct the interview of those candidates called for this purpose (as per Section-8.4.b). The interview shall be held at OUTR and duly notified/ intimated to all concerned including the candidates through OUTR website. No separate intimation shall be sent to the candidates.
    - ii) The interview shall be for 30 marks and the qualifying mark shall be 15(fifteen) for all categories of candidates.
    - iii) Only those candidates successful in the interview shall be considered for admission based on his/her rank in the consolidated merit-list.

- iv) The candidate(s) failing to secure the qualifying mark in the interview shall not be eligible for Ph.D. admission.
- **Preparation of Merit-list of Successful Candidates for Admission**
  - i) The DRC shall prepare a consolidated merit-list of candidates qualifying for Ph.D. admission immediately after completion of the interview.
  - ii) The consolidated merit-list shall be prepared based on their combined performance in the OUTR-PET and in the interview out of total 100 marks, giving weightage of 70% for the entrance test and 30% for the performance in the interview. For exempted category candidates, the consolidated merit-list shall be prepared based on their interview out of total 100 marks.
  - iii) DRC shall decide the number of candidates to be considered for admission from each merit list, and furnish the same to Ph.D. Cell, for necessary approval of the Hon'ble Vice Chancellor and publication of the same in the OUTR website.

## **9. RECOGNITION/ FUNCTIONING OF SUPERVISOR/ CO-SUPERVISOR**

### **9.1 Eligibility Criteria for Recognition as Supervisor/ Co-Supervisor**

- a) A Full Time regular Faculty member working in OUTR shall be eligible for recognition as a Research Supervisor/ Co-Supervisor, provided he/she should have:
  - Ph.D. degree from a recognized University in the relevant discipline(s).
  - At least two research publications in peer-reviewed or refereed journals
  - More than three years of service. (Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise research scholars who are already registered. On superannuation of the Supervisor/ Co-Supervisor, the scholar may be allotted a caretaker Supervisor from the same or different research group/ discipline as per recommendation of DSC).
- b) The external Supervisors are not allowed. However, external Co-Supervisors (including Scientists/ Research personnel from other govt./university/govt. institute/public sector under taking) can be allowed in the same area of specialization having the same eligibility criteria as Supervisor.
- c) Contractual / Part Time teachers / Resource Person/ Guest Faculty members, etc. are not allowed to become Supervisor/Co-Supervisor.
- d) The allocation of Supervisor for a selected research scholar shall be decided by the DRC concerned depending on the number of scholars per Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview.

- e) An Adjunct Faculty members shall not act as Supervisors and can only act as Co-Supervisors.

## **9.2 Functioning of Supervisor/ Co-Supervisor**

- a) There shall be a possibility of allowing a Co-Supervisor in addition to Research Supervisor for a candidate registered for the Ph.D. Degree at OUTR.
- b) In the case of interdisciplinary subject area(s) a candidate may have two supervisors, of which one shall be designated as the Principal Supervisor and the other as the Co-Supervisor, with the Principal Supervisor being from OUTR.
- c) A Principal Supervisor shall not opt to become Co-Supervisor for more than two candidates at any point of time.
- d) No Principal Supervisor/ Co-Supervisor shall supervise his/ her close relative or spouse for Ph.D. Degree of OUTR.

## **9.3 Relocation of Research Centre for Woman Scholar**

In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the university to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project awarded to OUTR/supervisor from any funding agency. The scholar will, however, be given due credit to the parent Supervisor/ Co-Supervisor and the OUTR for the part of research already done. The woman candidate shall have to submit an application in prescribed form (**OUTR-PhD-10/9.3**) and the decision of DSC and Hon'ble Vice Chancellor in such case shall be final and binding.

## **9.4 Change of Supervisor**

- a) The request by a candidate in the prescribed form (**OUTR-PhD-11/9.4.a**) along with copy of the receipt toward deposits of fees in this regard for change of Principal Supervisor/ Co-Supervisor and inclusion of Co-Supervisor shall be permitted only under exceptional circumstances, as determined by the DSC. The consent of the Principal Supervisor/ Co-Supervisor is required for this change.
- b) In other cases like transfer, retirement or resignation or long leave (i.e. more than six months) or accidental death of the Principal Supervisor/ Co-Supervisor before the candidate's submission of the thesis, the Hon'ble Vice Chancellor shall normally permit the candidate to continue to work under the same Principal Supervisor/ Co-Supervisor or in exceptional cases, permit an alternative arrangement with the recommendation of the DRC/DSC. The request by a candidate in the prescribed form (**OUTR-PhD-12/9.4.b**) for such inclusion of Principal Supervisor /Co-Supervisor is to be submitted to the Hon'ble Vice Chancellor.

- c) In the event of inclusion of a Co-Supervisor after Ph.D. Registration of the candidate, the allowable date of Thesis submission shall be forward-shifted by 02 (Two) years from the date of such inclusion of Co-Supervisor.

## **10. INTAKE OF RESEARCH SCHOLARS UNDER THE SUPERVISOR/ CO-SUPERVISOR**

### **Number of Candidates per Supervisor**

The following norms/ procedures shall be strictly adhered to while assigning Supervisors/ Co-Supervisors to the research scholars.

- a) A Supervisor/ Co-Supervisor can guide a maximum of Eight (08) numbers of research scholars at any point of time (with a limit not exceeding two scholars during an academic year), including those candidates registered for Ph.D. program at other Universities, if any, with the prior permission and written approval of the Hon'ble Vice Chancellor, for which the Supervisor shall give a declaration.
- b) The candidates registered for Ph.D. program under a Principal Supervisor/ Co- Supervisor shall not be considered while counting the maximum number of candidates assigned to a Principal Supervisor/ Co-Supervisor, if he/ she has successfully submitted the thesis.

## **11. ADMISSIONS PROCEDURE**

Admission process consists of two phases; i.e.

- i) Admission and Completion of Coursework
- ii) Registration to Ph.D. program and Submission of Thesis

### **11.1 Admission and Completion of Coursework**

- a) The DRC shall submit the consolidated merit lists (as per Section-8.4), to the Ph.D. Cell in the prescribed form (**OUTR-PhD-13/11.1.a**), for necessary approval of Hon'ble Vice Chancellor.
- b) The merit-list shall be notified in the website of OUTR, along with the admission procedure (**OUTR-PhD-14/11.1.b**) for facilitating the admission of the candidates as per their rank in the list.
- c) The selected candidates shall pay the prescribed admission fee and other dues (as per Annexure-I) and report in the concerned School/ Department along with the necessary documents as mentioned in the prescribed form (**OUTR-PhD-15/11.1.c**). The concerned DRC shall verify the documents and submit the same to Ph.D. Cell with necessary recommendation for admission.
- d) Each candidate shall have to seek admission only in such School/ Department for which he/she was allotted.
- e) The candidates admitted into the Ph.D. program shall be assigned an enrolment number with date of notification and the list shall be notified in the website of OUTR (**OUTR-PhD-16/11.1.e**).

- f) The semester registration fee shall be deposited by the candidates admitted into Ph.D. program at the beginning of each semester and the same is to be forwarded to Ph.D. Cell through the DRC, along with semester registration form in the prescribed form (**OUTR-PhD-17/11.1.f**) failing which the registration shall be cancelled without any notice.
- g) The candidates shall be allotted coursework by the concerned DRC (as per Section-12).
- h) After completion of coursework credit requirements, the DRC shall make necessary arrangements for conduct of comprehensive examination, allotment of supervisor, and formation of DSC for initiation of Ph.D. Registration process of the candidates (as per Section-13). The Supervisor shall maintain all records and particulars of concerned candidate.

### **11.2 Registration to Ph.D. program and Submission of Thesis**

- a) Registration for Ph.D. shall be done based on the recommendation of the concerned DSC (as per Section-13).
- b) This will be followed by semester wise progress review by the DSC (as per Section-14), until submission of Thesis. These shall be followed by Thesis evaluation and defense by the candidate at the end.

## **12. COURSEWORK**

### **12.1 Coursework Credit Requirements and Credit Waiver**

#### **a) Credit Requirements**

The candidates admitted into Ph.D. program having Masters' degree as qualifying degree, are required to complete a minimum of 18 (Eighteen) credits, as coursework credit requirement, which is to be assigned by concerned DRC. However, candidates admitted into Executive Ph.D. program having B.E./ B.Tech. as qualifying degree, are required to complete a minimum of 27 (Twenty-seven) credits, which is to be assigned by concerned DRC. A candidate can be assigned a maximum of 15 (Fifteen) credits of coursework in a particular semester.

#### **b) Credit Waiver**

The criteria for coursework credit waiver is as follows:

- i) Regular employees of OUTR shall get a credit waiver of 6 (Six) credits.
- ii) Candidates, who have completed their qualifying degree (as specified in Section-5.2.(i)) from an Institute/ University recognized by UGC/ AICTE/ Central Government, during the past two years from the date of Ph.D. admission notification, may get a credit waiver up to maximum of 6 (Six) credits, subject to recommendation of concerned DRC.
- iii) Candidates admitted into Part Time/ Executive Ph.D. program having Masters' Degree as qualifying degree, with minimum of 15 (Fifteen) years of job experience, may get a credit waiver up to maximum of 6 (Six) credits, subject to recommendation of concerned DRC.



- iv) Candidates admitted into Executive Ph.D. program having B.E./ B.Tech. as qualifying degree, with minimum of 10 (Ten) years and maximum of 15 (Fifteen) years of job experience, may get a credit waiver up to maximum of 9 (Nine) credits, and those with more than 15 (Fifteen) years of job experience, may get a credit waiver up to maximum of 15 (Fifteen) credits, subject to recommendation of concerned DRC.

## 12.2 Coursework Credit Assignment

### a) **Guidelines for Coursework Credit Requirement:**

Each candidate admitted to the Ph.D. program shall have to go through coursework credit requirement as below:

#### i) **Compulsory Courses of 06 (six) credits offered by OUTR only:**

Research Methodology - 03 credits (Odd Semester)

Research and Publication Ethics- 03 credits (Even Semester)

#### ii) **Optional Courses for Remaining Credits (either offered by OUTR or available in MOOCs Platform):**

The DRC shall assign optional courses for the remaining credits as a part of coursework credit requirement (as per Section-12.1), considering various suitable courses offered by the School/ Department or courses available in MOOCs platform. The DRC shall clearly indicate the list of courses to be offered during Odd Semester and Even Semester. The candidate is required to choose relevant courses out of these list offered by the DRC and apply in the prescribed form (**OUTR-PhD-18/12.2.a**) for allotment of coursework, which shall be recommended by the concerned DRC for finalization of coursework allotment. The remaining credit requirements in each case shall be met from Master level /M. Phil level courses of the School/ Department in the relevant areas as approved by the BoS and the AC. If required coursework is not offered at Masters level, then a new course may be recommended by DRC.

#### iii) **Attendance Criteria:**

A candidate shall not be allowed to appear in the end Semester Examination of that session in those particular theory subjects where he/ she has shortage of attendance, that is below 75% of total classes held. He/ She will be allowed to appear at the theory examinations in other subjects where he/ she has no shortage in attendance. The attendance shall be considered from the date of commencement of classes as per academic calendar of the University. The schedule of classes shall be notified by the concerned DRC, through a Time Table before the beginning of the classes in the semester. Attendance record must be compiled 15 days prior to the end semester examinations and the students with poor attendance must be informed through

notification both in the notice board of the School/ Department and University website.

A candidate who has been absent for short periods on health ground or due to participation in cultural, sports, other academic/ official assignments in the interest of the University/ Government, with prior recommendation of the concerned DRC, and written permission of the Hon'ble Vice Chancellor, shall be permitted a maximum of additional concession of 10% in attendance and would be eligible for appearing in examination with a minimum of 65% of attendance in a semester. A student who has been absent on medical ground may be allowed to appear at the end semester examination provided he/ she has attended at least 65% of classes and his/her application is duly recommended by the concerned DRC and approved by the medical board of the University.

A candidate shall be admitted to appear the end semester examination in a subject only if he/ she has registered for that subject and paid necessary registration and examination fees in the beginning of the semester. No candidate shall be allowed to appear at end Semester examination with shortage of attendance below 65% in any of the registered subjects.

- b) The OUTR shall have the freedom to revise and notify the approved courses in the list(s) from time to time if required.
- c) In all the cases, the prescribed coursework may be completed satisfactorily within the first two years (four semesters) of admission of the candidate(s).
- d) Candidates undergoing coursework shall submit their applications in the prescribed form (**OUTR-PhD-19/12.2.d**) together with the relevant fees for the coursework examination as and when notified.
- e) The concerned HOS/ HOD shall make necessary arrangements for conducting the classes for the coursework assigned to the candidates and the time table should be intimated to the candidates well in advance. The off-line physical classes for coursework shall be conducted preferably during 4.30pm to 7.30pm on working days in respective Schools/ Departments. However, the on-line classes may be conducted as per suitability of the faculty and candidates.
- f) During coursework period, candidates shall report at the School/ Department regularly and attend classes or do assigned tasks. The percentage of attendance during coursework must not fall below the minimum level (as indicated in Section-12.2.a.iii), for all categories of candidates.
- g) Candidates joining Executive Ph.D. (Sponsored) program are exempted from attending offline classes at OUTR, offered by the School/ Department. However, they are required to clear the coursework credit allotted by the

concerned DRC for two compulsory courses (as indicated in Section-12.2.a.i) and other core courses (as indicated in Section-12.2.a.ii), through self-study mode/ guided study mode and appear the end semester examinations of OUTR/ Comprehensive Examinations/ Progress Review Seminar presentation etc.

h) The Schools/ Departments need to constitute research groups for Syllabus Development, Consultancy Generation, related Research Work, etc.

i) **Guidelines for online SWAYAM/ NPTEL/ MOOCs courses:**

If required, Supervisors shall guide the candidates to choose the courses with credit points available in SWAYAM/ NPTEL/ MOOCs in close conformity with the research topic of the candidate, which should be approved by the DSC. On successful completion of the course, the candidate shall submit the pass certificate showing the credit points/ Number of weeks covered in that particular course(s) to the concerned HOS/ HOD through the Supervisor for the purpose of calculation of credits earned for that course(s). The mapping of credits earned against number of weeks covered in a particular online course under SWAYAM/ NPTEL/ MOOCs is as under.

Sl. No.	Duration of Course (Number of Weeks)	Credit Points
1	12 weeks and more	4
2	8-11 weeks	3
3	6-7 weeks	2
4	4-5 weeks	1

### 12.3 Coursework Evaluation and Pass Criteria

- a) Each coursework subject shall follow continuous process of evaluation out of maximum 100 marks consisting of
  - i) Mid Semester Examination (20 marks),
  - ii) Teachers' Assessment (20 marks containing 10 marks for Quiz and 10 marks for assignments), and
  - iii) End Semester Examination (60 marks).
- b) In order to pass in a particular subject, the following criteria shall be applicable.
  - i) For the coursework subjects offered by the Schools/ Departments of OUTR, the pass criteria shall be same as that of the pass criteria of UG and PG courses.
  - ii) For the coursework subjects offered by MOOCs platform, the pass criteria shall be 40% of the total marks.
- c) The CoE shall conduct the coursework examinations for Ph.D. students as per admission and semester registration data submitted by Ph.D. cell based on recommendations of DRCs.

- d) Candidates shall fulfil the semester registration criteria in each semester during the permissible period of coursework completion (i.e. maximum two years/ four semesters of admission) and are required to pass in each course as per coursework credit requirements assigned by the concerned DRC.
- e) Admission of candidates shall be automatically cancelled, if a candidate fails to fulfil the credit requirements of the coursework within the permissible period of coursework completion. He/she has to appear the OUTR-PET and the interview, as the case may be, for admission to Ph.D. program afresh as per merit.
- f) After completion of the coursework, the grade sheet(s)/ Course Completion Certificate will be issued to the candidates by the CoE, and the same may be communicated to Ph.D. Cell.

### 13. Ph.D. REGISTRATION

#### 13.1 Recommendation of DRC/ DSC for Ph.D. Registration

- a) After the successful completion of coursework, the candidate has to appear a comprehensive examination (written test) covering the broad area relevant to the research plan of the candidate, to be conducted by the concerned DRC. The candidate shall be intimated about the date of the comprehensive examination, at least one month in advance, by the concerned School/ Department.
- b) The candidate shall be allowed for the Ph.D. Registration Seminar only after he/ she is able to clear the comprehensive examination with minimum 6 GPA in no more than two attempts. If a candidate fails to clear comprehensive exam within two attempts, he/she has to quit from the PhD Program.
- c) On successfully qualifying in the comprehensive examination by the candidate, he/she will be assigned a Supervisor (from the School/ Department of OUTR) and/or any Co-Supervisor (from the School/ Department of OUTR or external to OUTR), which is to be decided by the DRC based on research interest of the candidate, available scope for research in the School/ Department, and research guidance requirements of the candidate. The DRC shall recommend the members of DSC in the prescribed form (**OUTR-PhD-20/13.1.c**) and communicate the same to Ph.D. Cell.
- d) Upon successful interaction with the proposed Supervisor(s) of his/ her choice, the candidate has to submit a Research Proposal/ Outline in the prescribed form (**OUTR-PhD-21/13.1.d**) to the School/ Department concerned through the proposed Supervisor.
- e) The Research Proposal/ Outline shall consist of the Title of Research, state-of-the-art, objectives, methodology, work plan and relevance of the proposed research area.

- f) The DSC shall, then, arrange the Ph.D. Registration Seminar for presentation of the plan by the candidate. An open notice is to be issued by the concerned HOS/ HOD prior to 15 days before the Ph.D. Registration Seminar. The day of successfully qualifying in the Ph.D. Registration Seminar by the candidate, will be considered as Ph.D. Registration date for the research scholar, after due approval.
- g) The DSC shall assess the sustainability/ feasibility of the Plan and the capability/ preparedness of the candidate for carrying out research and recommend one of the following:
  - i) In view of the suitability/ feasibility of the Plan and the capability/ preparedness of the candidate, he/ she may be allowed for Ph.D. Registration.
  - ii) The candidate may be asked to modify his/ her plan incorporating the suggestions made and resubmit it within a period of time specified by the DSC, for re-evaluation.
- h) After successfully qualifying in the registration seminar by the candidate, the DSC shall forward its recommendation to the Ph.D. Cell, in the prescribed form (**OUTR-PhD-22/13.1.h**) for issuance of the Ph.D. Registration number to the candidate.

### **13.2 Issue of Notification on Registration to Ph.D.**

Based on the recommendation of DSC, the Notification will be issued as under.

- a) The University will issue a notification of Registration into Ph.D. program, on receipt the recommendation of the DSC and approval of Hon'ble Vice Chancellor.
- b) The notification shall specify the date (i.e. Date of Registration Seminar) on which the candidate's Registration into the Ph.D. program is confirmed along with a registration number.
- c) The request by a candidate in the prescribed form (**OUTR-PhD-23/13.2.c**) for change of title of the research work shall be permitted, as recommended by the Supervisor and the DSC. The exact title of the thesis shall be finalized during the pre-submission seminar by the DSC. However, submission of thesis may be permitted only after one year from the date of the change of topic/area. The candidate shall not be permitted to change the title after the completion of pre-submission seminar.

## **14. PROGRESS REPORTS/ PERIODIC REVIEW BY THE DSC**

### **14.1 Procedure for Review**

- a) After completion of Ph.D. Registration, a candidate will be required to take 20 credits per semester till he/ she submits the thesis with the following break-up.
  - i) Research Progress Write up: 16 credits

- ii) Progress Review Seminar: 4 credits
- b) The candidate will be required to clear all the 20 credits in each semester to get promoted to the next semester.
- c) A research scholar shall appear before the DSC once in six months to make a presentation of the progress of his/her works for evaluation and further guidance.
- d) Each candidate shall submit a research progress report in the prescribed form (**OUTR-PhD-24/14.1.d**) through the supervisor to the DSC, two weeks prior to the schedule of the meeting. The half-yearly progress report shall cover the aspects such as, new data collected / obtained, techniques developed, progress in research, discussion of the work done during the review period, new findings and work plan for the future. Research papers prepared/published, if any, shall also be submitted.
- e) The candidate shall make the presentation of the research progress before the DSC and it shall communicate the satisfactory research progress to Ph. D. cell in the prescribed form (**OUTR-PhD-25/14.1.e**).

In case the progress of the research scholar is unsatisfactory, the DSC shall record the reasons for the same and suggest corrective measures.

#### **14.2 Cancellation of Admission and Registration**

- a) The DSC shall be free to recommend the cancellation of admission and Ph.D. registration of the candidate if,
  - i) Two consecutive research progress reports adjudged are not satisfactory, and/or the candidate is irregular in his/her research
  - ii) Two consecutive research progress reports not submitted
  - iii) The candidate fails to implement the corrective measures as suggested by DSC
- b) Before recommending cancellation of admission / registration, the DSC shall issue a show-cause notice to the candidate, seeking his/her explanation with copy to the Ph.D. cell through the HOS/ HOD.
- c) The request by a candidate in the prescribed form (**OUTR-PhD-26/14.2.c**) for discontinuation as Ph.D. student may be permitted. If the candidate discontinues his/ her Ph.D. program during Research or the OUTR cancels his/ her admission/ registration, then the fees paid shall not be refunded.
- d) Automatic cancellation of admission/ registration to Ph.D. program, may happen under any of the following circumstances without notice:
  - i) Providing false Information at the time of Application/ Admission.
  - ii) Violation of discipline and conduct rules of the University, as per recommendation of Disciplinary Committee (DC).
  - iii) Candidate fails to complete his/her coursework in prescribed duration.

- iv) Report of negligence in Research and non-interaction with the Supervisor in the field of research and poor progress in research.
  - v) Failure to deliver the progress seminar before the DSC during two consecutive semesters.
  - vi) Failure to pay the Fees for the semester registration.
  - vii) If the scholar fails to submit his/her thesis or does not complete his/her thesis beyond the maximum prescribed period.
  - viii) If the candidate/ scholar fails to submit a satisfactory reply to the 'show-cause' notice issued to him/ her within a month from date of receiving the notice.
- e) If the explanation is not agreed by the DSC, the candidate shall be free to appeal to the Hon'ble Vice Chancellor with valid reasons, seeking intervention. The decision of the Hon'ble Vice Chancellor in this regard shall be final and binding for all.

## **15. PRESCRIBED RESIDENCE PERIOD (for Part Time Ph.D./ Executive Ph.D.)**

- a) **Pre-Registration Residence Period:** A candidate under Part Time/ Executive Ph.D. shall put in a minimum thirty days of residence in one or more visits to the School/ Department in every semester during the coursework period, until he/she gets registered for the Ph.D. program. This residence requirement shall be utilized by the candidate for the purpose of coursework preparation and appearing the semester examinations, comprehensive examination, registration seminar, etc.
- b) **Post-Registration Residence Period:** A research scholar under Part Time Ph.D. shall put in a minimum seven days of residence in one or more visits to the School/ Department in every semester, after he/she gets registered for the Ph.D. program. However, a research scholar under Executive Ph.D. shall visit the concerned School/ Department, as and when required by the DSC, after he/she gets registered for the Ph.D. program. This residence requirement shall be utilized by the candidate for the purpose of formulation/ investigation of the research problem, review by the DSC till the submission of the final synopsis.
- c) On completion of residence period of such candidates as indicated above, the Supervisor/ Co-Supervisor and the HOS/ HOD shall intimate the same to the Ph.D. Cell in the prescribed form (**OUTR-PhD-27/15.c**).

## **16. REQUIREMENT FOR SUBMISSION OF Ph.D. THESIS**

### **16.1 Mandatory Pre-Ph.D. Open Seminars to be given**

- a) Prior to the submission of the Synopsis of the Ph. D Thesis, each candidate shall deliver a pre-Ph.D. presentation, commonly known as, open seminars at the concerned School/ Department before the DSC.
- b) These seminars shall be open to all the faculty members and research scholars, Master degree students and shall be arranged with the aim to get the

feedbacks and comments/suggestions from them, for suitable incorporation into the Ph.D. Thesis, under the advice of the Supervisor/Co-Supervisor.

### **16.2 Pre-Submission Colloquium**

- a) The candidate shall also present a pre-submission colloquium before the DSC, demonstrating his/her preparedness to submit the synopsis.
- b) If the recommendation of the DSC based on open seminar and pre-submission colloquium is satisfactory then the candidate shall be free to submit the synopsis through the Supervisor.
- c) However, if the performance of the candidate in the pre-submission colloquium is not satisfactory, the DSC may point out the deficiencies, if any and ask the candidate to repeat the colloquium once again within three months. On satisfactory performance at this stage, the DSC shall allow the candidate to submit the Ph.D. synopsis.

### **16.3 Mandatory Publications requirements for Synopsis and Thesis Submission**

The mandatory publication requirements for submission of the Synopsis/ Thesis are as follows. The candidate has to produce evidence for all such publications in the form of presentation certificates and/or reprints. Papers presented/ published prior to Ph.D. registration shall not be counted for this purpose. The Research scholar shall invariably mention OUTR as affiliation in all his/ her publications. The DSC shall verify all these publication requirements along with fulfilment of any one of the following criteria before recommending the scholar for submission of the Synopsis/ Thesis.

- A research scholar must publish at least two research papers in referred journal (Scopus/ SCI/ ESCI/ SSCI/ AHCI) as a first author with at least one paper presentation in National/ International level conference or seminar.  
OR
- Filed and published at least one patent with one paper presentation in National/ International level conference or seminar.  
OR
- Developed one commercial products, publish at least one research papers in referred journal (Scopus/ SCI/ ESCI/ SSCI/ AHCI) as a first author with one paper presentation in National/ International level conference or seminar.

### **16.4 Permission for Submission of Thesis**

Considering the research work of the candidate, his/her performance in the pre-submission colloquium and other technical aspects, publications, fees deposited, the DSC (on recommendation of the Supervisors) shall recommend for the thesis submission enclosing copies of all documents in the prescribed form (**OUTR-PhD-28/16.4**).

### **16.5 Anti-Plagiarism Check and Submission of the Thesis**



- a) The candidate's thesis shall undergo plagiarism check as per the norms of OUTR or UGC declared from time to time. At present the plagiarism should not be more than 10% i.e. less than 10% plagiarism is permissible.
- b) The plagiarism shall be checked by software approved by OUTR and the percentage of plagiarism (similarity Index) shall be as permitted by OUTR owing to software limitation to identify the self-written research papers and definitions and common theory.
- c) The candidate may be given two more chances to re-submit the thesis for plagiarism checking, if the plagiarism level is found unacceptable.
- d) The candidate, Supervisor and Co-Supervisor (if any) shall jointly certify in the prescribed form (**OUTR-PhD-29/16.5.d**) and submit the soft copy of the plagiarism test report along with the Synopsis/ Thesis.

## **17. SUBMISSION OF SYNOPSIS AND THESIS**

### **17.1 Eligibility**

- a) Upon qualifying successfully in the coursework and satisfactory research progress followed by publication(s) in referred journal(s) and conferences and pre-submission colloquium, the candidate shall be ready to submit the thesis of his/her research work to the DSC.
- b) The DSC after considering the progress made by the candidate may recommend the candidate to take steps to submit the synopsis followed by the thesis within the validity period.

### **17.2 Submission of Synopsis & Proposal for submission of Ph.D. Thesis**

- a) At least three months prior to the submission of the thesis, the candidate shall submit two copies of the synopsis of the thesis (hardcopy) and a softcopy with maximum of 10 pages in English language in the prescribed form (**OUTR-PhD-30/17.2.a**) to the Ph.D. cell through the Supervisor and the School/ Department concerned. The candidate shall deliver a pre-synopsis seminar talk before the DSC members on the approved date.
- b) The other documents to be submitted include an application for adjudication of the thesis in prescribed form (**OUTR-PhD-31/17.2.b**) along with an undertaking by the candidate attesting the originality of the work, certificate from the Supervisor/ Co-Supervisor stating the candidate's fulfilment of various requirements. The certificate shall also state that there is prima facie case for thesis submission at this stage and that the thesis does not contain any work previously submitted for award of any degree anywhere in India/ abroad.
- c) It shall be ensured by the Supervisor(s) that "The thesis is based on the individual, original work of the candidate which is previously unpublished research work" by obtaining a suitable undertaking from the candidate in the prescribed form (**OUTR-PhD-32/17.2.c**).

- d) The Supervisor(s) shall also ensure that the thesis shall not contain any material infringing on the copyright of any individual/organization and does not hurt the sentiments of any individual or religion.
- e) It shall be ascertained by the Supervisor(s) that information such as text, tables, equations, diagrams, figures, charts, graphs, photographs taken from various sources has been cited appropriately by the candidate in the thesis.
- f) Further, the Supervisor(s) shall also certify that the opinions expressed or implied in the thesis shall be entirely of the candidate.
- g) There shall also be a No-dues Certificate that there are no arrears/dues of the OUTR from the candidate up to the date of submission of the thesis in the prescribed form (**OUTR-PhD-33/17.2.g**).
- h) One computer generated anti-plagiarism checked document with the OUTR approved software duly certified by the scholar and Supervisor and Co-Supervisor shall be submitted.
- i) After completion of all formalities, the HOS/ HOD shall send a proposal in prescribed form (**OUTR-PhD-34/17.2.i**) to the Ph.D. cell for submission of thesis.

### **17.3 Submission of the Thesis**

- a) The candidate shall submit five nos. of hard copies and one soft copy of the Ph.D. thesis based on the research work conducted in the prescribed form (**OUTR-PhD-35/17.3.a**) to the School/ Department/ Supervisor within three months from the date of submission of the Synopsis.
- b) The HOS/ HOD and Supervisor shall forward all five nos. of hard copies and the soft copy of the thesis to the Ph.D. cell and shall obtain a receipt in prescribed form (**OUTR-PhD-36/17.3.b**).
- c) In case the candidate is unable to submit the thesis within three months from the date of submission of the Synopsis, he/she shall may seek extension of time in the prescribed form (**OUTR-PhD-37/17.3.c**) duly recommended by the Supervisor(s) and the DSC with justification for the delay, for necessary approval by the Hon'ble Vice Chancellor.
- d) The candidate shall also pay the prescribed thesis fees along with late submission fees and produce 'No Dues Certificate' while submitting the thesis in the prescribed format.

## **18. ADJUDICATION OF Ph.D. THESIS**

The evaluation of Ph.D. thesis should be completed within a period of six months from the date of submission of the thesis.

### **18.1 Panel of Adjudicators**

The panel of adjudicators shall be finalized by concerned DSC, within a period of three months from the submissions of synopsis by the candidate, prior to the submission of thesis.

## **18.2 Selection of Adjudicators**

- a) The HOS/ HOD shall forward in a sealed cover to the CoE, the proposed panel containing the details (name, research area, communication details) of twelve numbers of Experts, of which six experts should be from India (outside of Odisha) and six experts from abroad, for adjudication of the thesis as approved by the DSC. This list in the prescribed form (**OUTR-PhD-38/18.2.a**) shall be forwarded to CoE, along with the synopsis.
- b) The Hon'ble Vice Chancellor shall choose any two adjudicators including one may be outside the country from the suggested panel for adjudication of the thesis. The CoE shall send invitation letters to them along with a copy of the synopsis in each case, confidentially.
- c) Their acceptance shall be preferably obtained within one month from the date of invitation, before taking any further steps on the subject.

## **18.3 Appointment of Adjudicators to Evaluate the Thesis**

- a) The CoE shall arrange for the thesis to be evaluated by the Supervisor (and jointly by the Co-Supervisor, if any) and two more outside Adjudicators (as indicated under Section-18.2.b).
- b) The Adjudicators as indicated above shall be offered appointment by the CoE with approval of the Hon'ble Vice Chancellor to adjudicate the thesis submitted by the candidate.

## **18.4 Dispatch of Copies of Thesis to Adjudicators**

- a) The CoE shall send a hard/soft copy of the thesis to each adjudicator for evaluation, with a request to evaluate the thesis and send the evaluation report(s) preferably within a period of three months.
- b) If the Report is not received from the Adjudicator(s) within this period, a reminder, once in a month to that effect shall be sent to the Adjudicator(s) concerned by the CoE.
- c) If an adjudicator does not send the report even after three reminders or does not reply to the communications, the matter shall be placed to the Hon'ble Vice Chancellor, who shall identify and appoint another adjudicator either from the panel or outside the panel under special circumstances.

## **18.5 Receipt of Thesis Reports**

- a) All the adjudicators shall evaluate the thesis and send their confidential reports (at least 250 words in length) independently to the CoE along with the recommendation in the prescribed form (**OUTR-PhD-39/18.5.a**).
- b) The Reports shall include:
  - i) A critical analysis of the work of the candidate as embodied in the thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
  - ii) List of questions to be asked or points to be clarified, if any, by the candidate at the final viva –voce by Viva-Voce Board.

- iii) A definite recommendation as to whether the thesis attains the standard for the award of Ph.D. degree or not.
- c) The Adjudicators shall make any one of the following recommendations that the:
  - i) Thesis is accepted in the present form and recommended for the award of Ph.D. degree.
  - OR
  - ii) Thesis needs minor clarifications indicated in the report which need to be clarified by the candidate at final Viva-Voce and it is recommended for the award of Ph.D. degree.
  - OR
  - iii) Thesis needs minor corrections to be made by the candidate as indicated in the report, which need to be incorporated in the thesis and clarified at the final Viva-Voce and it is recommended for the award of Ph.D. degree.
  - OR
  - iv) Thesis needs major corrections as indicated in the report and the revised thesis to be referred back to the adjudicator concerned for fresh evaluation.
  - OR
  - v) Thesis is rejected for the reasons specified in the report and not recommended for award of Ph.D. Degree.

#### **18.6 Thesis Evaluation Reports**

On receiving favourable recommendations for acceptance of the thesis from all the adjudicators, including the Supervisor/ Co-Supervisor, if any, the CoE shall convey the same to the Supervisor/ Co-Supervisor along with copies of the reports received with due approval of the Hon'ble Vice Chancellor and coordinate to conduct the final open Viva-Voce of the candidate. In case of adverse comments, the CoE shall send the report to the Supervisor to place it before the DSC for necessary action.

#### **18.7 Appointment of Additional Adjudicator, if necessary**

- a) The Thesis shall not be accepted for award of the degree if any one of the Adjudicators (other than the Supervisor(s)) finds that the research work is not up to the expected standard, as given in his/her report along with detailed reasons for the same.
- b) A fourth Adjudicator may be appointed by the CoE with approval of Hon'ble Vice Chancellor from the panel, based on this decision, who shall be invited for this purpose, as per Section-18.2.
- c) If the fourth Adjudicator, after evaluating the thesis gives a favourable Report, the CoE shall initiate further steps as per Sections-18.8 and 19.
- d) If the fourth Adjudicator also does not approve the thesis, then the thesis shall be rejected.

- e) However, it shall be open for the candidate to seek Ph.D. admission again.

### **18.8 Scheduling of Final Viva-Voce**

- a) The composition of the Viva-Voce Board shall be as specified under Section-3.3.
- b) The date/time of the Viva-Voce shall be fixed by CoE in consultation with the Supervisors and other members of the Board, preferably within a month after getting the favourable report.
- c) The candidate shall provide clarification(s) to all the queries of the adjudicators satisfactorily at the time of Viva-Voce.

## **19. CONDUCT OF FINAL VIVA-VOCE**

### **19.1 Procedure for Final Viva-Voce**

- a) The final Viva-Voce shall be conducted by the Viva-Voce Board at OUTR, Bhubaneswar.
- b) The composition of Viva-Voce Board shall be as per Section-3.3.
- c) The procedure for conducting the Viva-Voce shall be as follows:
  - i) The Supervisor(s) shall fix the date/time for the Open Viva-Voce in consultation with the adjudicator/Expert identified by the Hon'ble Vice Chancellor /CoE and inform the same to the candidate.
  - ii) This Viva-voce shall be open to all. The candidate shall make a brief presentation of the research work carried out highlighting the important findings/conclusions. After the completion of the presentation, the Supervisor(s) shall give opportunity to the invitees and to seek clarifications, if any, from the candidate.
  - iii) After this, the Viva-Voice Board only shall examine the candidate to test his/her understanding of the subject matter of the thesis and seek answers to the written queries by the adjudicators in the Thesis Evaluation Reports, if any. The candidate shall be required to produce all the documents, data and analysis in support of the research work presented in the Thesis.
  - iv) On completing the Viva-Voce, the Board shall submit a confidential report in prescribed form (**OUTR-PhD-40/19.1.c**) to the CoE indicating clearly whether the performance of the candidate was satisfactory and if so, giving specific recommendation for the award of the Ph.D. degree to the candidate.
  - v) In case, the performance of the candidate is not satisfactory, the Board shall report accordingly, giving reasons for the same and the candidate may be asked to reappear for viva-voce examination at a later date (not earlier than a month and not later than six months from the date of first oral examination). The CoE shall arrange another Viva-Voce as

required, with the composition of the Viva-Voce Board unchanged with the approval of the Hon'ble Vice Chancellor.

### **19.2 Consolidated Report**

- a) After successful completion of the Viva-Voce, the Viva-Voce Board shall prepare and forward the consolidated report along with duly corrected versions of both the hard and the soft copies of the thesis in the prescribed form (**OUTR-PhD-41/19.2.a**) to the CoE for approval of the Hon'ble Vice Chancellor.
- b) Then the CoE will publish the results and shall send to the university to issue notification for the award the Ph.D. degree to the candidate in the next convocation.

### **19.3 Handling of Plagiarism Issues**

- a) The Hon'ble Vice Chancellor shall have the powers to constitute Expert Committees to investigate into plagiarism issues connected with any Ph.D. thesis submitted, in the case of receipt of complaints either from the adjudicator(s), other individuals or any other sources (if required).
- b) In the event of a thesis being proved to be copied, plagiarized or misrepresented academically, it shall have the powers to send to the university to rescind the degree. Such a candidate shall not be eligible to register for any degree program at the OUTR in future.

## **20. AWARD OF Ph.D. DEGREE CERTIFICATE**

- a) The University may issue a notification certifying to the effect that the Ph.D. Degree has been awarded in accordance with the provisions of the "University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./ Ph.D. Degrees) Regulations, 2016 and 2022".
- b) The University shall award the Ph.D. degree certificate to the candidate during the forthcoming Convocation.
- c) The OUTR shall hold the copy right of the entire thesis after conferring the Ph.D. degree.

## **21. REPOSITORY WITH UGC AND THE UNIVERSITY**

- a) Following successful completion of the evaluation process and announcement of the award of the Ph.D. degree, the CoE shall submit a final (corrected) soft copy of the Ph.D. thesis to the UGC within a period of thirty days for hosting the same on its Information and Library Network (abbreviated as INFLIBNET), accessible to all the Institutions / Universities.
- b) A repository of such Ph.D. theses (soft copy and hard copy) shall be maintained in the Central Library of the University and another soft copy and hard copy is to be submitted by the scholar in the concerned School/ Department.

## **22. HANDLING OF CONFLICT**

If any conflict arises between the candidate and Supervisor/ Co-Supervisor, the HOS/ HOD shall resolve that at his/ her level. If the conflict is not resolved, then it may be referred to the DSC for recommending the same to Hon'ble Vice Chancellor, with views. The decision of the Hon'ble Vice Chancellor shall be final and binding in this regard.

## **23. PROHIBITIONS**

### **23.1 Treatment of Ph.D. through Distance Mode**

The Ph.D. program is not conducted through distance education mode.

### **23.2 Prohibition of Candidates from Registering for any other Degree**

No Ph.D. candidate shall be permitted to pursue any other degree program within the OUTR or at other Universities / Institutions, concurrently with his/her on-going registration as a candidate for the Ph.D. degree. For the same, the candidate has to submit a declaration in the prescribed form (**OUTR-PhD-42/23.2**).

## **24. DISPLAY OF LIST OF RESEARCH SCHOLAR ON WEBSITE**

The list of all the Ph.D. registered students will be maintained on its website on year-wise basis. The list shall include the name of the registered scholar, date of admission, date of registration, registration number, topics of his/her Research, name of Supervisor/ Co-Supervisor.

## **25. ASSIGNMENT OF CLASSES AND CONSULTANCY WORK**

The research scholars under categories 1 and 2 (as indicated in Section-5.1) may be assigned teaching load as per guidelines of UGC/ QIP and to assist in research and consultancy work.

## **26. LEAVE RULES**

- a) Personal Leave (15 days): The student shall be eligible for 20 days of leave in a year with the approval of the HOS/ HOD at the recommendation of his/ her supervisor. To avail leave the scholar will be required to apply in advance in prescribed form (**OUTR-PhD-43/26.a**). A maximum of 5 days of such leave is allowed to avail at a stretch if a student having any teaching assignment. The exclusion of Saturdays, Sundays or holidays falling between the leave period is considered provided if the leave period is not greater than 5 days at a stretch.
- b) Medical Leave (15 days): Scholars can avail medical leave. Medical leave will be considered on case to case basis with the approval of the Hon'ble Vice Chancellor on recommendations of the Supervisor/ HOS/ HOD / Ph.D. Cell in a prescribed form (**OUTR-PhD-44/26.b**). A scholar can avail maximum medical Leaves in a year for 15 days.
  - i) If a scholar is prevented from attending classes owing to serious illness, the scholar or guardian shall intimate the Supervisor within 3 days from the date of his/ her falling ill either through email or an application.

- ii) The scholar should be admitted in the hospital who will issue the medical certificate along with the discharge summary accordingly.
  - iii) The Medical Certificate must clearly state the period for which the student was advised treatment and rest.
  - iv) The student should submit the documents immediately upon joining the University.
  - v) Excess to 15 days will shift the minimum time for his/her Thesis Submission to (Days of Excess Medical Leave × 2) days.
- c) Unauthorized Leave: If any unauthorized leave is taken by a scholar then, the minimum time for submission of thesis will be increased by an amount of twice the number of non-entitled/ unauthorized leaves over and above the minimum duration as prescribed under Section-6.1.
- d) Academic Leave (20 days): Scholars can avail Academic Leaves only after the completion of 2nd Semester. Academic leave may be permitted to students to attend conferences/ seminars/ workshops/ trainings/ short-term courses/ field trips for data collection, survey etc. A maximum of 20 days of academic leave is permissible in a calendar year. In order to avail academic leave, a scholar is required to apply in the prescribed form (**OUTR-PhD-45/26.d**) with due recommendation of the Supervisor/ HOS/ HOD for sanction of the leave by Ph.D. Cell.
- e) Academic Leaves (more than 20 days): Academic leave of more than 20 days but up to a maximum of 12 months is also permissible to carry out part of the research in another institute/ R&D Lab/ industry in India or abroad. For sanction of such a leave, a letter of consent from the host organization is to be furnished in the prescribed form (**OUTR-PhD-46/26.e**). Academic leaves of more than 20 days will be sanctioned by the Hon'ble Vice Chancellor on recommendation of the Supervisor/ HOS/ HOD / Ph.D. Cell.
- f) Maternity Leave: The woman candidates can avail of Maternity Leave/Child Care Leave of up to 240 days once in the entire duration of Ph.D. program. The scholars shall have to submit an application in prescribed form (**OUTR-PhD-47/26.f**). The Hon'ble Vice Chancellor sanctions maternity/ paternity leave on recommendation of the HOS/ HOD and submission of a certificate from a Recognized Medical Officer.
- g) Paternity Leave: Male scholars shall be eligible for 15 days of paternity leave only once during the PhD Programme. The Hon'ble Vice Chancellor shall sanction paternity leave on recommendation of the HOS/ HOD and submission of a certificate from a Recognized Medical Officer, for which the scholar has to apply in a prescribed form (**OUTR-PhD-48/26.g**) along with all relevant documents.

## 27. REGULATION FOR RESEARCH SCHOLARS ADMITTED PRIOR TO 2023-24



The research scholars admitted prior to 2023-24 academic session, shall be governed by this regulation. However, such candidates shall follow coursework requirements as assigned to them by the concerned DSC.

**28. REPEAL AND SAVINGS**

- a) Notwithstanding anything contained in these regulations, the provisions of any guidelines, orders, rules or regulations in force at the OUTR shall be inapplicable to the extent of their inconsistency with these regulations.
- b) It shall issue such orders/instructions, and prescribe such format/ procedure, as it may deem fit to implement the provisions of these regulations.

**29. INTERPRETATION**

- a) Any question as to the interpretation of these regulations shall be decided by the OUTR, whose decision shall be final.
- b) The OUTR shall have the powers to issue clarifications to remove any doubt, difficulty or anomaly which may arise during the implementation of the provisions of these regulations.

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