

NIST UNIVERSITY

INSTITUTE PARK, BERHAMPUR, ODISHA - 761008, INDIA



PhD REGULATIONS – 2024
(Version v.1.1)


Registrar
NIST UNIVERSITY

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1. INTRODUCTION

1.1 The NIST University, Institute Park, Berhampur, Odisha (may be referred to as NISTU or NIST subsequently) provides state-of-the-art facilities for conducting research leading to the award of the degree of Doctor of Philosophy (PhD) in various disciplines of Engineering, Science, and Management. In the future, new disciplines will be added for the award of PhD degrees based on the recommendation of the concerned Board of Studies (BoS) and subsequent approval of the Academic Council.

1.2 The NIST University hereby makes the following Regulations which will be called the “NIST University Standards and Procedure for Award of PhD Degrees, Regulations - 2024”, and shall come into force from the date of its notification by the University. These Regulations conform with the requirements for the award of PhD degree as per the rules and guidelines set by UGC, AICTE and other appropriate statutory bodies, and shall apply to all students who register for PhD degree under the NIST University.

The power to make or amend Regulations will rest with the Academic Council, which will be assisted by the University Research Committee (URC). The Academic Council will also have the power to review, confirm, and amend this document. All proposals to the Academic council will be routed through the URC. The Board of Governors shall have the power to review and amend decisions of the Academic Council.

1.3 The requirement for the award of PhD degree for a student admitted to a PhD program at NIST University shall be:

- a) Successful completion of the prescribed pre-PhD course work,
- b) Successful completion of the comprehensive examination (written/viva-voce),
- c) Successful completion of a presentation outlining the intended research work,
- d) Carrying out research under the guidance of faculty member(s) of the University (with a co-guide from another reputed university/institute/research lab from India or abroad, if opted by the student) and meeting the scholastic standards of the University, and
- e) Successful submission and defense of PhD thesis.

1.4 **Duration of the PhD Programme:** The minimum duration of the PhD programme is 3 years for full-time students having a Master's degree, 3 and ½ years for part-time students having a Master's degree, and 5 years for those having an undergraduate

degree including coursework. If a student intends to take an extension, he/she can do so by applying in the prescribed format [NISTU/PhD/16] with proper justification and paying the requisite fee. Ordinarily, an extension of 2 years can be granted. Approval of such extensions can be granted by the Vice Chancellor on the recommendation of the Research Advisory Committee (RAC). In extraordinary cases, an additional 2 years may be allowed by the academic council on the recommendation of the University Research Committee (URC). However, a student has to apply and pay the requisite fee for an extension of one year at a time.

If a student fails to register for two consecutive semesters, his/her name will be struck off the rolls of the university, and that will, ordinarily, be the end of his academic program.

However, the studentship can be revived on the student's written request to the Head of the concerned department stating the reason for the discontinuation and paying all arrear dues along with a studentship restoration fee. In such cases, the student has to give a seminar presentation before the Department Research Committee (DRC) & Research Advisory Committee (RAC) indicating the research progress. If satisfied, the committee may recommend the case to the Vice-Chancellor for the final decision to allow the candidate to resume his/her PhD program. A candidate can avail of only one such chance during the entire period of the PhD program.

1.5 The PhD program will be administered by the following three committees to ensure the quality of research:

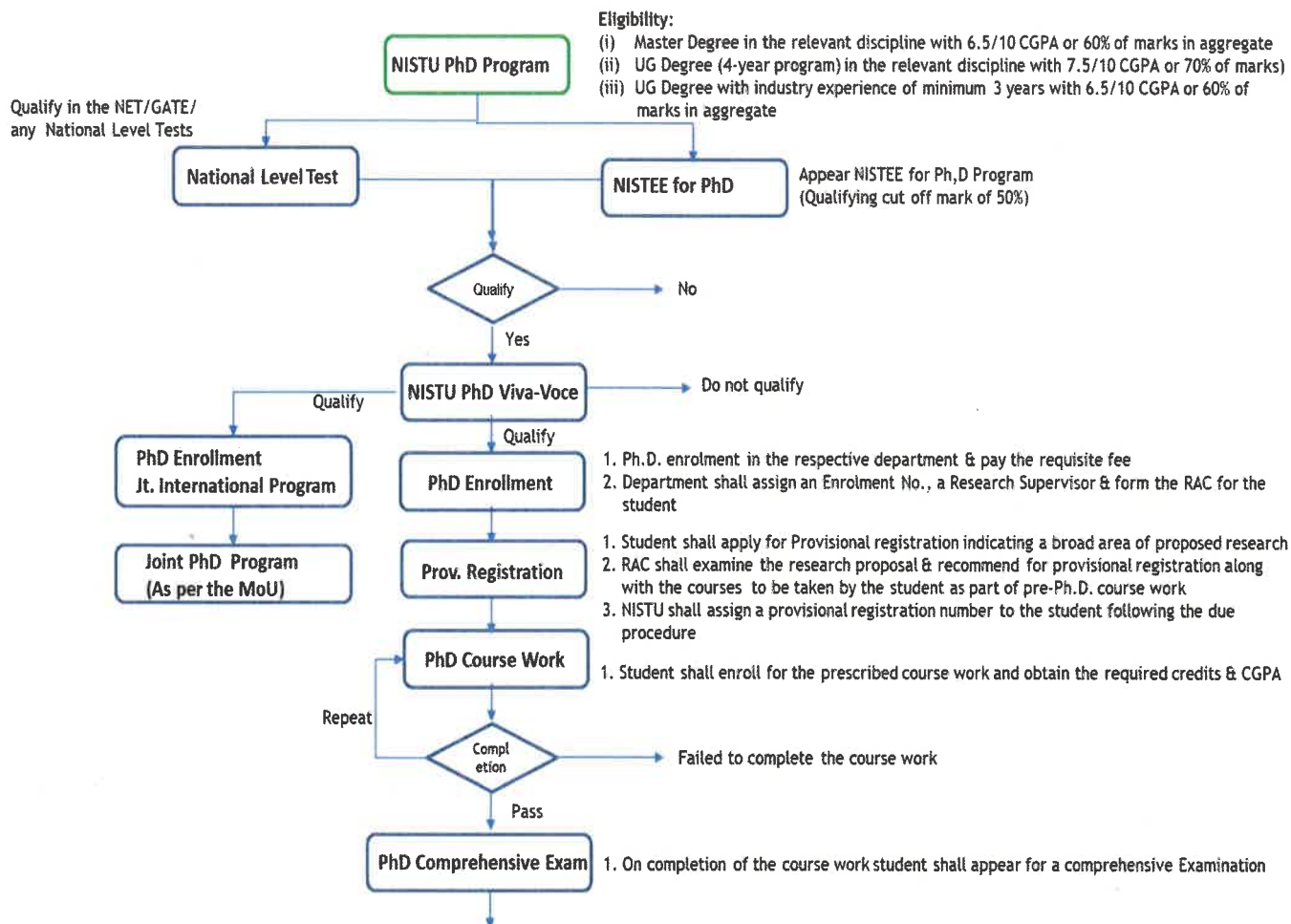
A. University Research Committee (URC). This will be the apex committee comprising the VC, Deans of Schools and HoDs to take decisions on academic matters and resolve issues relating to the PhD program.

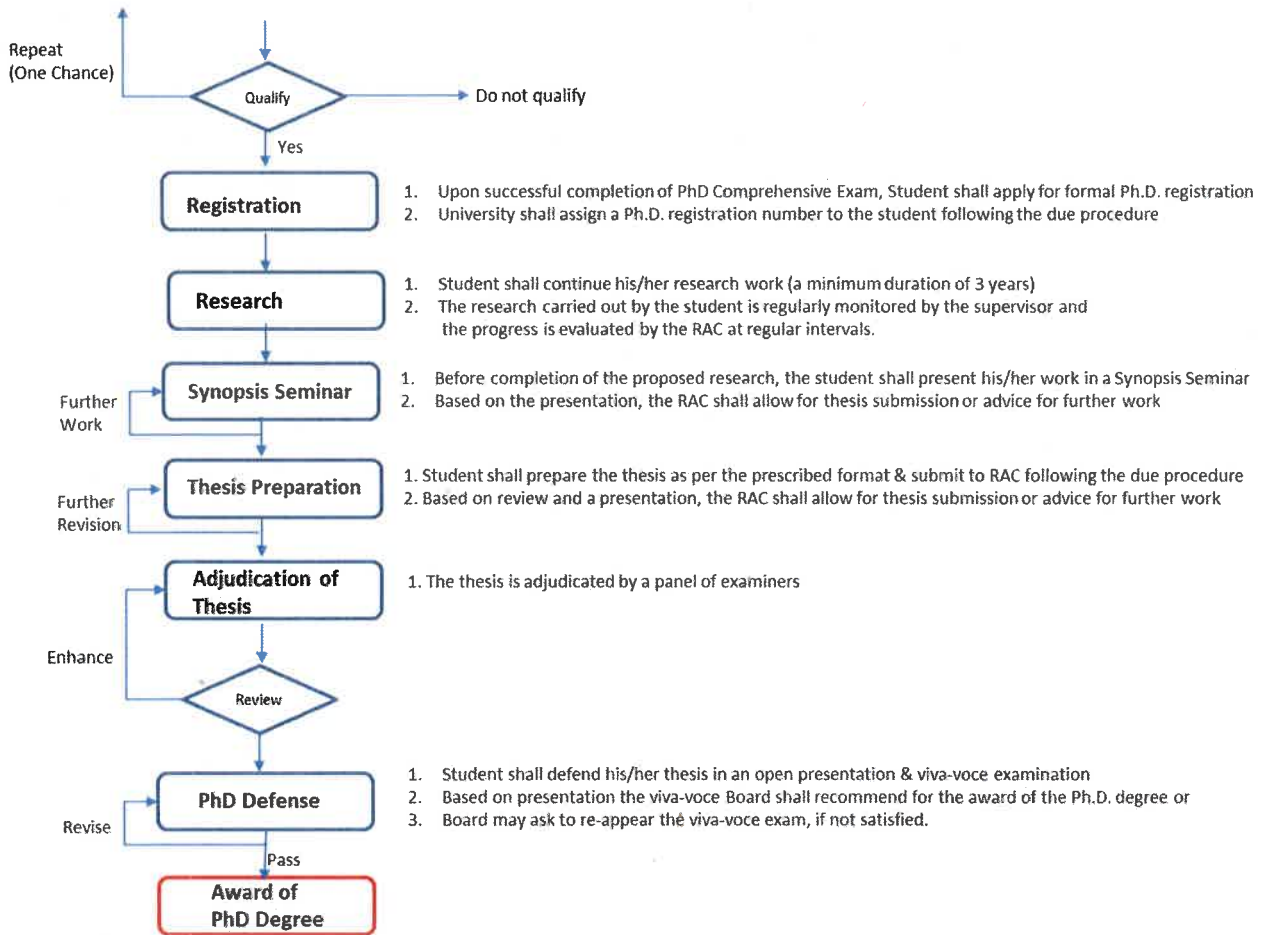
B. Department Research Committee (DRC). This will be a department-level committee comprising of the Dean of the School, HoD of the concerned department and 4-5 senior Professors who will be in charge of the overall admission process, conduct viva voce for selection of PhD candidates, approve the RAC, and deal with similar other matters at the department level and send recommendations to URC for approval.

C. Research Advisory Committee (RAC). This will comprise of the Research supervisor(s), HoD and one senior faculty of the concerned department, and one external expert or a Professor/Associate Professor from another department, if necessary. There will be an RAC for each candidate which will monitor the research progress till submission, advise, approve the topic of research, etc.

- 1.6 The overall process for the PhD program will be:
- a) A candidate must satisfy the eligibility criteria for admission into the PhD program and also qualify through the admission process of NIST University. This will be followed by a Viva Voce before formal admission to PhD Program.
 - b) Upon Enrollment and provisional registration, an RAC is formed for each individual student by the DRC. The RAC shall recommend courses to be undertaken by the student as part of the pre-PhD coursework.
 - c) After successful completion of the prescribed course work, a student has to clear the PhD comprehensive examination.
 - d) Upon successful completion of the PhD comprehensive examination, the student will be registered into the PhD program and henceforth known as PhD candidate.
 - e) The Candidate will continue his/her research work and shall be able to defend his/her synopsis for PhD approximately four semesters after registration.
 - f) Upon successful completion of the synopsis defense, the candidate shall prepare a thesis in the prescribed format.
 - g) There will be a seminar presentation and submission of a progress report by the PhD candidate of his/her thesis work at the end of each semester which will be evaluated/adjudicated by the RAC to assess the research progress.
 - h) After completion of the proposed research, the candidate shall submit his/her thesis (in softbound form as well as softcopy) for adjudication.
 - i) Based on the examiners' reports the candidate shall be asked to present/defend his/her thesis work in the presence of the DRC, RAC, faculty members, research scholars, and other interested persons in an open forum. ("Examiner" defined in section 17.1)
 - j) Upon successful defense of the thesis, the candidate shall have to submit the final thesis after incorporating the changes as suggested by the examiners (if any), before the award of PhD degree by the university.

The complete process is depicted in the flow diagram below.





2. ELIGIBILITY FOR ADMISSION TO PHD PROGRAM

2.1 Admission to the PhD program shall be through a formal selection process carried out by the respective departments/schools of the university. The eligibility criteria and selection procedure for PhD program shall be as follows:

- 2.1.1 Master's/PG degree in the relevant discipline with 6.5/10 CGPA or 60% of marks in aggregate from a recognized institute or university from India or abroad;
- 2.1.2 UG degree (4-year program) in the relevant discipline with 7.5/10 CGPA or 70% of marks from a recognized University in India or abroad;
- 2.1.3 UG Degree in the relevant discipline with 6.5/10 CGPA or 60% of marks in aggregate from a recognized institute or university from India or abroad with a minimum of three years of industry/equivalent experience

- 2.1.4 Any other degree or diploma from a recognized technical Institute or University in India or abroad with similar academic credentials is considered by the Academic Council to be equivalent to one of the above degrees.
- 2.1.5 NIST University encourages interdisciplinary research leading to a Ph.D. degree. Candidates having adequate academic background can pursue a Ph.D. program other than the subject in which the candidate has done his/her PG/UG degree. Such candidates may have to undergo additional coursework as a prerequisite. The University may decide to conduct an examination to assess the potential of a candidate to pursue a Ph.D. program in a different subject other than his/her subject of graduation. University also encourages one to pursue a PhD with adequate teaching and industry experience. The PhD evaluation/assessment committee may relax the minimum CGPA criteria for highly experienced and accomplished individuals from Industry/Academia, if the committee feels the candidate can carry out quality PhD work meeting the university's high-quality standard.
- 2.2 The Academic Council shall have the power to fix equivalence of other degrees, diplomas and certificates obtained from universities or societies in India or abroad to the degrees listed above for admission to the PhD program of NIST University.
- 2.3 Students with degrees in one discipline of Science/Engineering can enroll for PhD in another discipline of Science/Engineering, if the DRC is satisfied that the candidate possesses the required knowledge in the chosen field to complete the PhD program.
- 2.4 Candidates employed in NISTU as full-time regular employees or as full-time research fellows or other staff engaged in carrying out research in externally funded research projects at NISTU, shall have to follow the same procedure for admission to the PhD program as prescribed for others.
- 2.5 For International students the admission process shall be followed in accordance with the guidelines fixed by the Academic Council from time to time.
- 2.6 Mere possession of required degrees and a superior academic record do not guarantee admission to a student to the PhD program. Apart from academic records, the DRC will take into consideration the research aptitude, subject interest, availability of supervisors, facilities in the department and the department's research focus while selecting candidates for the PhD program.
- 2.7 The various categories of students (with or without financial support) mentioned below are eligible for admission to PhD program provided they satisfy the qualification requirements given in sub-section 2.1.

- a) Selected full-time on-campus student(s) with University Fellowship /Assistantship from NISTU (University Scholar)
- b) Full-time on-campus student with External Fellowship (UGC/CSIR Net, DST Inspire, etc.; Fellowship given by a public or private agency, trust or corporation)
- c) Full-time on-campus Project Scholars (JRF/SRF/RA etc.)
- d) Full-time on-campus student without Fellowship (self-supported)
- e) Full-time on-campus student sponsored by an Institution, Research Organization or Industry.
- f) Off-campus and/or part-time students
- g) NISTU regular employees (teaching/non-teaching) permitted to enroll in PhD programs will be considered part-time research scholars.
- h) Special provisions for women and physically challenged candidates will be as per the norms laid down by the UGC time to time.

Note: A full-time student must dedicate 50-60 hours a week to his/her studies towards the PhD degree, and should not be engaged in any other job or studentship that would interfere with his/her PhD program. Whether full-time or part-time, a candidate must go through the same admission process like any other candidate.

- 2.8 If during the course of the PhD program, there are changes in circumstances of a student, his/her studentship category will be modified accordingly, and wherever appropriate, revised norms will be applicable from the semester following the date of change of category.
- 2.9 There will be provision for interdisciplinary research but the candidate has to fulfill the course requirements of the concerned subject in which he/she is interested to pursue his/her PhD program. This will be assessed by the concerned DRC.
- 2.10 NISTU also offers a joint PhD program in collaboration with reputed universities abroad. The admission to joint PhD program shall follow the appropriate process/guidelines as per joint agreement with the collaborative university. Typically, the candidate will register under NISTU and/or a collaborative institute abroad and can carry out part of the work in the university abroad. Formalities will be governed by the terms and conditions of the MoU.

3. ADMISSION PROCESS

- 3.1 Admission to the PhD program can be done twice in an academic year at the beginning of the regular semesters. However, the fees to be paid by a candidate will be for a full semester.
- 3.2 Candidates have to qualify in NET/GATE/Any other National level test meant for PhD admission or PhD admission test of NIST University (with a cutoff mark of 50%) followed by a Viva-voce examination to be conducted by the Department Research Committee (DRC). The final selection into the PhD program will be based on the overall performance of a candidate.
- 3.3 Selection of candidates will be based on the overall desirability of the candidate taking into consideration the academic career, candidate's research aptitude, departmental resources, availability of supervisors, and performance in an admission test, through collective assessment by the selection committee. The Committee shall also ascertain that at least one faculty member of the Department is available and willing to supervise the candidate in his/her chosen field. The faculty member will not have the option to refuse, if the candidate opts to work under him/her after joining. A candidate should not be selected if the Department does not have physical resources and supervising faculty to do justice to the candidate's academic interest.
- 3.4 Members of teaching staff desirous of enrolling in the PhD program can do so. They will be governed by all other norms for PhD registration and thesis submission as per regulations. They will apply to the University for Admission in the standard application and enrolment forms. This facility shall be available to all regular faculty including those on probation or contract, but not to guest or visiting faculty. If a faculty member leaves the university before or within two years of completing PhD registration or if his/her service in the university gets terminated, his/her studentship gets automatically terminated.
- 3.5 Non-teaching staff (officer cadre only) of the Institute may be permitted to join the PhD program under the following terms and conditions: [The facility of pursuing PhD at NISTU is not available to non-teaching staff at levels lower than that of officers, i.e., positions requiring a Master's degree or a professional degree.]
- A member of non-teaching staff (officers only) seeking permission to join the PhD program must be holding a regular post in the university and must have a standing of at least 2 years of service in the same cadre.
 - The employee must be engaged in research or comparable intellectual / professional work as a part of his/her normal duty.

- c) He/She must satisfy the minimum qualification requirement as mentioned in sub section 2.1.
- d) The DRC of the concerned department must be satisfied that he/she has the aptitude to carry out research and that the work arrangement proposed by his/her employing department will leave him sufficient freedom and time within normal university hours to complete his work.
- f) The application for administrative permission to join a research program by a non-teaching officer must be submitted to the Vice-Chancellor through his/her reporting officer and the Head of the Department. The application must be accompanied by certificates from the reporting officer and the Head of the Department to the effect that the proposed academic program is (a) directly relevant to the normal duties of the candidate, (b) the department will be benefitted by the skill earned by the candidate through the program, and that (c) the department will make all necessary adjustments within the normal working hours of the university of the duties of the staff member ensuring that the candidate's academic program is not disturbed. If satisfied, the Vice-Chancellor will grant administrative permission to the candidate to either (a) enroll in the PhD program of his/her own department or (b) be considered for admission to the intended department different from his/her own. Administrative permission by the Vice-Chancellor does not constitute academic approval by the Academic Council for admission.
- g) When the candidate seeks admission to a department other than his/her own, the application will be examined by the DRC of the concerned department. The committee will conduct a test and interview the candidate to ascertain his/her suitability for the program and send its recommendation to the Vice-Chancellor through Dean of the School or HoD for approval of admission.
- h) Regular non-teaching staff appointed in sponsored research projects for carrying out research work may be given leave without pay from the university to work in the project and pursue PhD concurrently.
- i) If a non-teaching officer leaves the university either before or within two years of completing his/her PhD registration or if his/her services are terminated by the university, his/her studentship in the PhD program gets automatically terminated.

3.6 If a candidate intends to carry out a major part of his/her research work in his/her place of employment, he/she must put up his/her application as a part-time candidate. At the time of selection, the DRC must be convinced about the adequacy

of research facilities in his/her place of employment. While taking the decision DRC will examine all the documents presented to it regarding adequacy of the R&D facilities, and responsibilities assigned to the candidate by his/her employer. In general, major Central Govt. (CSIR, DRDO, DAE, ISRO, ICMR, ICAR etc.) labs, research organizations, industries (public or private) with established R&D facilities are taken as organizations with adequate facilities. It is, however, important to receive a commitment from the candidate's employer that he/she is and will continue to be engaged in full-time research as an employee and that his/her research output may constitute his/her doctoral thesis in the university.

- 3.7 Candidates desirous of pursuing PhD at NISTU must apply in prescribed form either on their own or against an official advertisement. If applying without a formal advertisement, candidates are advised to mark a copy of their application to the Head of the intended department. Such applications will be scrutinized by the DRC of the concerned department, and its recommendation be sent to the Dean of the School/HoD for approval. On approval of the Dean/HoD, the candidate will be called for admission test and follow the rest of the procedure. If selected, the candidate may join within the specified time following the due procedure, or seek approval of the Dean of the School/HoD for a later date.

4. SUPERVISORS

- 4.1 All students of the PhD program are required to carry out their research work under the guidance of one or two supervisors, to be appointed by the Dean of the concerned School or HOD on recommendation of the DRC. The DRC may recommend a faculty with PhD degree of the same (preferred) or a different Department / Faculty as the research supervisor of the student based on the chosen area of research.

At any given point of time, the maximum number of PhD students that a supervisor can guide is as follows:

Professor	08 (Eight)
Associate Professor	06 (Six)
Assistant Professor	04 (Four)

- 4.2 (a) Adjunct and Emeritus Professors of NISTU are also eligible to serve as supervisors, if the Vice-Chancellor is satisfied that the visiting expert would continue to serve the institute and give adequate time for PhD work by the candidate.
- (b) Faculty members from other universities/Institutes/Research organizations

with PhD degrees can supervise PhD students. But such persons must apply to NISTU in the prescribed form [NISTU/PhD/17] with supporting documents to register themselves as supervisors. A duly formed committee of the University shall scrutinize such applications periodically and prepare a list of registered supervisors for various subjects.

- 4.3 In case of multi-disciplinary research programs, the recommended supervisor, at his/her own discretion, may seek appointment of a second supervisor. In that case the original supervisor will be called the "Principal Supervisor" or "Guide" and the second supervisor shall be called the "Joint-Supervisor" or "Co-Guide".
- 4.4 The request for a Joint-Supervisor may be made by the principal supervisor within one year of formal registration of the student in the PhD program. The proposed Joint-Supervisor may be any person with appropriate knowledge, experience, expertise and responsibility from within or outside NISTU, from India or abroad, from academia, industry or any other relevant profession. If the proposed Joint-Supervisor is from NISTU (faculty member or advisor), the request may be approved by the Dean of the School or HoD of the concerned department; in case of persons from outside NISTU, a copy of his curriculum vitae and a justification for his/her appointment must accompany the request from the principal supervisor, which will be put up to the Vice-Chancellor through DRC and the Dean of the School or HoD.
- 4.5 A teacher with less than 3 years of service left before superannuation may not be recommended as sole supervisor or principal supervisor. After superannuation a teacher may, if he thinks appropriate, continue to be the sole supervisor if the thesis is submitted within one year; if in the opinion of the DRC, the project is likely to take more than one year, a substitute/caretaker supervisor has to be appointed by DRC. If no faculty member is willing to take up the assignment, the Dean of the School/HoD, will appoint the supervisor in consultation with the HoD. This selection will be binding on the student and the supervisor.
- 4.6 After superannuation from service in NISTU if a person joins the Institute on re-employment or as Emeritus Faculty, or Advisor or on some scheme of UGC/AICTE, he/she will continue to be the sole supervisor/Joint supervisor of the candidate as he/she was before superannuation.
- 4.7 In case a PhD supervisor leaves NISTU, then another supervisor in the concerned subject area can be made as the co-supervisor by the approval of the DRC/URC while the original supervisor continues to be the principal supervisor. The principal supervisor is required to attend the end-semester progress seminars whenever a RAC meeting is conducted for the purpose and actively involve himself/herself till

the completion of the research work. However, if situation arises, the DRC/URC may decide to make the Joint-Supervisor as the principal supervisor and the principal supervisor as the Joint-Supervisor [NISTU/PhD/18].

- 4.8 A student's preference of subject and supervisor must be taken into consideration by the HoD and DRC while assigning a supervisor to him/her. There should not be any undue restriction on faculty or students in choice of students or supervisors. The DRC should record the reasons for not honoring the request of a student. The DRC may, however restrict the number of students allocated to a single supervisor or research group.
- 4.9 It will be the responsibility of the HoD to ensure that intending research students of acceptable merit are cordially accommodated in the department to pursue research compatible with their past degrees and academic interest. In case of dispute, decision of Dean of the School/HoD will be final.

5. RESEARCH ADVISORY COMMITTEE (RAC)

- 5.1 While the thesis supervisor shall be the primary mentor/guide of a PhD student, the student will be further guided, mentored and evaluated continuously by a Research Advisory Committee (RAC) constituted for the student on recommendation of the DRC of the concerned department. The RAC shall consist of the following members:

1. Dean of the School/Head the concerned department - Chairman
2. Principal Supervisor - Convener
3. Joint-Supervisor (if applicable) - Member
4. A senior Professor/Associate Professor of the same dept. - Member
5. A senior Professor/Associate Professor from outside the dept. - Member
6. A maximum of two distinguished scholars - Members
from industry or academia, nominated by the Dean of the School or HoD, if in the opinion of the Dean/HoD, their presence will add value to the proposed research.

- 5.2 Quorum for RAC meeting shall be at least 50% of the total members. However, the Chairman and the supervisor(s) must be present. Decisions of RAC shall normally be arrived at by consensus among members. In case of serious disagreement among members, the Chairman of RAC shall record the different viewpoints and put up

before the Dean/Chairman, BoS whose decision shall be the final and binding on all concerned.

6. ENROLMENT AND PROVISIONAL REGISTRATION

- 6.1 On receiving a letter of admission, every student joining the PhD program shall meet the Head of the Department and submit an application for enrolment in Form [NISTU/PhD/01]. The HoD will call a meeting of the DRC and, on recommendation of the DRC, assign the student to a supervisor and form the RAC for the student.
- 6.2 Every student admitted to the PhD program is required to enroll in the program on payment of the prescribed fees of the NIST University and carry out research work under the guidance of the assigned supervisor(s). The enrolment will take effect from the date on which a student is assigned an enrolment number [NISTU/PhD/02] by the University.
- 6.3 Within two weeks of enrolment, the student shall submit an application [NISTU/PhD/03] for provisional registration, with a recommendation from his/her supervisor(s). The application shall contain a broad area of research decided in consultation with the supervisor(s). The supervisor shall propose a list of RAC members in the format [NISTU/PhD/04] which is to be recommended by the concerned HoD and subsequently approved by the DRC.
- 6.4 The Research Advisory Committee (RAC) will examine the application and recommend provisional registration. The provisional registration will record the broad area of research and a list of courses to be undertaken by the student as advised by the RAC. On approval of the Dean of the School or the HoD of the concerned department, the Dean/Registrar Office will bring out an office order [NISTU/PhD/05]. The process should normally be completed within three weeks of a student's joining the department.

7. RESIDENTIAL REQUIREMENT

- 7.1. A full-time student admitted to a Ph D program will be required to attend classes as prescribed and conduct research in the university till he/she completes all assigned academic work and submits his/her thesis.
- 7.2 Candidates who are permitted to do PhD on part-time basis are expected to undertake the course work along with the other PhD students and spend a minimum of thirty days on campus in each academic year as a residential requirement, till submission of the thesis.

8. ATTENDANCE AND LEAVE

- 8.1 All full-time research students will attend classes during the coursework and also conduct research regularly in the department. Attendance shall be recorded regularly, and if found unsatisfactory, the DRC may recommend for extension of the duration of thesis submission, deregistration or even termination of studentship, as deemed fit.
- 8.2 A research student is not entitled to any long leave or vacation during the PhD program. However, one may avail up to 10 working days of casual leave and up to 10 working days of hospitalization leave in an academic year. Such requests must be made through a written application, recommended by the research supervisor, and approved by the HoD. In case of hospitalization leave, the student must produce the relevant documents.
- 8.3 Research students may have to travel out of NISTU campus on research work, data collection, participation in conferences, library or experimental work, discussion with external supervisors, etc. Such travel will be treated as ON DUTY. Such travels must be approved by the HoD on the recommendation of the supervisor. Students need to submit a record of activities done during this period to the department.

9. SEMESTER REGISTRATION

- 9.1 Students are required to register at the beginning of every semester (Odd/Monsoon & Even/Spring) by paying the prescribed fees within the date as notified by the university in the form [NISTU/PhD/06].
- 9.2 Semester registration is a process that ensures (i) continuity of studentship, (ii) up-to-date payment of university dues, and (iii) courses to be attended during the ensuing semester.
- 9.3 Students will choose courses from the lists posted by various departments before starting of every semester with the consent of their supervisor(s) and as mentioned in the provisional registration letter. Priority must be given to courses prescribed by the RAC.
- 9.4 Delay in the registration process beyond a due date will attract loss of fellowship and academic penalties as determined by the university.
- 9.5 Failure to do semester registration for two consecutive semesters will result in termination of studentship, which can be restored only with the approval of the Vice Chancellor on the recommendation of the Dean of the School/HoD after

considering all circumstances, payment of arrear university dues and extension of the PhD program.

10. COURSE WORK

10.1 Doing a prescribed course work is a requirement to build up strong fundamentals in the chosen field of study before earning an advanced degree.

10.2 While certain amount of course work is compulsory requirement for every student of PhD program, students may enroll in additional courses any time during the program for their own academic benefit, with consent of their research supervisors and respective course teachers.

10.3 A student of the Ph D program with a Master degree is required to undergo the Pre-PhD Course work comprising of the following:

1. A minimum of three courses in the chosen area of research	09 credits (min)
2. Course on "Research Methodology"	04 credits
3. Course on "Research & Publication Ethics"	02 credits
4. Seminar and Technical Presentation	02 credits

TOTAL

17 credits

10.4 A Student of the Ph D program without a Master degree is required to undergo the Pre-PhD Course work comprising of the following:

1. A minimum of five courses in the chosen area of research	15 credits (min)
2. Course on "Research Methodology"	04 credits
3. Course on "Research & Publication Ethics"	02 credits
4. Seminar and Technical Presentation	02 credits

TOTAL

23 credits

10.5 While a student is at liberty to choose his courses from any faculty or any department of the university with consent of his principal supervisor, it is recommended that the student takes the courses prescribed by the department for the comprehensive examination.

- 10.6 In addition to the compulsory course requirement, the RAC may require a student to take additional courses to make up specific deficiencies of his/her academic preparation for the intended research topic.
- 10.7 Candidates who have completed Pre-PhD course work elsewhere are also required to go through the course work of the University.
- 10.8 Candidates enrolled for a PhD programme from a different discipline have to do a minimum of two additional courses.
- 10.9 A student must score a CGPA of 6.5 or 60% marks in order to pass the coursework.
- 10.10 The course on "Research & Publication Ethics" shall cover topics like Philosophy and Ethics, Scientific Conduct, Publication Ethics, Open Access Publishing, Publication Misconduct, Research Metrics such as impact factor and h-index, concepts of intellectual property, methods of intellectual property protection such as patents and copyright, unethical practices such as plagiarism and patent infringement, similarity detection software and all other aspects relevant to the research profession.
- 10.11 Every student of the PhD program shall have to give a technical talk in the form of a seminar during the course work, and also submit a write up of at least 10 pages, on a topic related to the proposed area of research.
- 10.12 Every research student shall have to maintain a Student Workbook keeping a record of all academic activities carried out by him/her on a regular basis. The workbook has to be signed by the supervisor(s). At the time of evaluation of research progress the student has to present the workbook.

11. COMPREHENSIVE EXAMINATION

- 11.1 Before a student is formally registered for the degree of PhD, he needs to demonstrate his overall competence in the broad field of his study. This is done through a "Comprehensive examination" conducted by the department, which is an essential pre-requisite of registration for the degree.
- 11.2 Every department shall conduct a common comprehensive examination for all its research students, twice a year. A student must score at least 60 marks in a 100-mark examination to qualify for PhD registration.
- 11.3 Through the comprehensive examination, the university shall help build broad-based competence of the student in one's main area of study.

12. REGISTRATION FOR PHD DEGREE

12.1 Every student admitted to the PhD program shall be provisionally registered for the PhD degree soon after enrolment in the program. The provisional registration, approved by the Dean of the School or HoD on recommendation of the RAC, will define:

- (a) the broad area of research,
- (b) a provisional list of courses to be undertaken as part of the course work, and
- (c) a provisional roadmap of research to be carried out during the entire period of the PhD program.

The Registrar/COE office shall bring out an office order giving details of the provisional registration.

12.2 A student shall apply for formal registration in the prescribed form [NISTU/PhD/07] in order to be a PhD candidate. The following constitute the requirements of the registration process:

- (a) Completion of all required course work with a CGPA of 6.5 or 60% of marks.
- (b) Clearing comprehensive examination with at least 60 marks in 100-mark exam.
- (c) Presentation of a "Comprehensive Research Proposal" (between 5 to 10 pages) defining the research problem in more detail than given at the time of provisional registration, and a clear road map of the complete research plan till submission of thesis. It should be noted that the student shall not be bound by this road map; there can be course corrections to accommodate new ideas, to overcome resource constraints or for any other reason, with the consent of the supervisor and information to the RAC.
- (d) Satisfaction of the RAC on the progress of the student so far, and with the proposed plan of research for the remaining semesters. If for some reason, the RAC is not satisfied, the report and the seminar may be presented again after a lapse of two months.

12.3 When the committee is satisfied with the progress of the student and the road map of future research, the recommendation will be put up to the Dean of the School or HoD for review and onward transmission to the URC for approval.

12.4 On approval of the URC, the Registrar/CoE office will bring out an office order [NISTU/PhD/08] confirming PhD registration of the student.

- 12.5 The registration formalities of a PhD student are expected to be completed within two semesters of joining the program. If he fails to complete the process within the stipulated period, his university fellowship, if any, may be stopped. It may, however, be restored at the discretion of the Vice Chancellor on the recommendation of the DRC.
- 12.6 All cases of PhD registration will be placed for approval before the Academic Council through the URC. The Council shall have the power to approve, amend or reject the proposals.
- 12.7 After registration with a proposed title, if the student desires to make a major change in the title, he/she can do so by making an application in the prescribed format [NISTU/PhD/09] and on payment of the requisite fee.

13. FELLOWSHIP

- 13.1 A PhD student may be self-financed or can be receiving a scholarship/assistantship. In case of students awarded a scholarship by an external agency or from a research project operating in the university/department, the rules shall be governed by the provisions specified by the sponsor. University fellowships, if awarded, shall be governed by the rules of the University.
- 13.2 Students who have secured the qualifying marks in GATE/NET or have been enrolled in the PhD program with project fellowship for at least 12 months, and have successfully completed registration formalities will get first priority in award of university fellowship (if available), irrespective of number of fellowship holders under the same supervisor or in the same department.
- 13.3 Financial support (if available) shall normally be given initially for a period of one year, which may be renewed in subsequent years on satisfactory performance as recommended by the RAC.

14. MONITORING RESEARCH PROGRESS

- 14.1 The progress of the course and research work of a student shall be continuously monitored by the RAC. In practice, the committee will depend on inputs from the supervisor(s) and the student. It will be the responsibility of the student to ensure that his studentship record remains up to date in matters of registration, course work, extension of fellowship, thesis submission and other formalities. In case of any discrepancy, he must draw attention of his/her supervisor(s) and HoD, and if still dissatisfied, he may approach/intimate the Dean of the School, the Pro-VC, and in

extreme cases, the Vice Chancellor.

- 14.2 At the end of each semester, the student has to submit a progress report and present his work done during the preceding semester before the RAC. The RAC shall evaluate the progress made so far and record it in the prescribed format [NISTU/PhD/10].
- 14.3 In the event of any impairment in the student-supervisor relationship, it should be brought to the notice of HoD, Dean of the School, or the Vice Chancellor. Efforts should be made to resolve such issues amicably and establish cordial and effective communication or, in extreme cases, to make alternative arrangements.

15. WITHDRAWAL FROM FULL-TIME ON-CAMPUS RESEARCH

- 15.1 A student, pursuing the PhD program full-time on campus can be allowed to withdraw from full-time on-campus requirements on his request. In that case, the student will be exempted from being present in the university campus. Withdrawal can be sanctioned by the Vice Chancellor on one of the following grounds.
- (a) When a full-time sponsored student wishes to return to his place of work on completion of registration formalities to pursue research at his place of employment.
 - (b) When, on the certification by the supervisors, the RAC is satisfied that almost all the experimental/computational work has been completed, and that the student can complete the rest of the research from outside.
 - (c) When the RAC is satisfied that the student needs to stay away from campus for the purpose of collecting research data, or for utilizing superior research facilities of an industry or a research organization, or
 - (d) Any other circumstances which, in the opinion of the DRC, justify withdrawal for full-time research work outside the campus.

When withdrawal is granted, a student will be entitled to fellowship/assistantship provided he does not take any employment. The student's academic status will continue to be full-time.

- 15.2 Any time during the program, a student may request the Dean or HoD through his RAC to change his status from full-time to part-time. If approved, he will be subjected to regulations governing the new status from the date of transfer.
- 15.3 A full time student, for personal or financial reasons, may request Dean of the School or HoD through his RAC to take a temporary break and later return to the Institute for completion of the work. In that case, he needs to do semester

registration regularly and pay a "studentship retention fee" as fixed by the University.

16. SUBMISSION OF THESIS

16.1 A student of the PhD program can propose to submit his/her thesis after completing the research work and recommended by his/her supervisor, subject to satisfying the following conditions:

- (a) The student must have registered for the PhD degree without any conditionality,
- (b) The student must have successfully completed the required coursework with the required CGPA and the Comprehensive Examination,
- (c) The minimum number of publications required for submission of Ph.D. thesis will be four out of which at least two research papers in highly peer-reviewed journals, one full paper in the proceedings of good conference/seminar with established publishers, and another in the form of patent, journal publication, or Conference proceedings relating to his area of PhD, topic and produce evidence for the same in the form of presentation certificates and/or reprints/proceedings, and
- (d) No disciplinary penalty must have been imposed on the student that could delay the date of thesis submission.

16.2 When the thesis is almost ready for submission, the student will request for a "Synopsis Seminar" [NISTU/PhD/11] along with the following documents to the members of the RAC through his Principal Supervisor.

- 1) A synopsis of the thesis [typically 8-10 pages including tables, graphs and references] (both hard and soft copies)
- 2) A rough draft of the complete thesis, in nearly final form, (Soft copy only)

16.3 It is important at this stage that the supervisors go through the draft thesis carefully and satisfy themselves on the following aspects of the contents:

- a) The contents are: (i) original work of the student, (ii) created during the period of enrolment in the PhD program.
- b) Any similarity of text, tables, figures or photographs with those of other works is explained, and wherever appropriate, the proper reference to the original source is given in the writing.
- c) The content is well-organized and free from grammatical errors.

- 16.4 If the RAC feels that the student is ready to submit his thesis, the student will be permitted to present his "Synopsis Seminar" before an open audience.
- 16.5 After the seminar presentation, if the RAC is convinced that the work done by the student qualifies for the PhD degree, it will:
- Permit the student to prepare and submit the final thesis
 - Prepare its report on the thesis along with the following enclosures:
 - Detailed reports from each supervisor highlighting the strengths and weaknesses of the thesis and constraints faced while conducting research, which may prove useful in the event external examiners have questions on the admissibility of the thesis for the PhD degree,
 - Brief reports by each RAC member in relation to (i) highlights of the work (ii) volume of work done, (iii) quality of work, (iv) conformity with thesis preparation standards etc., and
 - A summary report of the RAC.
 - Prepare a list of Eight external thesis examiners without any order of preference [NISTU/PhD/12], and
 - Send its report along with the list of examiners and a copy of the synopsis to the Dean of the School or HoD for initiating the process of thesis evaluation.
- 16.6 After getting permission of the RAC to submit the thesis, the student will prepare the complete thesis and do the following:
- Pay the thesis submission fee to the university,
 - Prepare the final thesis in MS-WORD/ LATEX format, or any other format advised by the RAC,
 - Prepare a copy of the complete thesis in .pdf format, or any other comparable format advised by the RAC,
 - Get the thesis checked for similarity using a standard software.
 - Submit a softcopy (in MS-WORD or LATEX format, as well as a .pdf file) and two print copies of the thesis to the Registrar/CoE office for processing. It should be noted that these copies of the thesis are provisional and submitted only for the purpose of adjudication/examination.
 - The student shall make a formal application for thesis submission in the format [NISTU/PhD/13] along with related documents.

- 16.7 The thesis must contain the following besides the text, tables and figures, and common contents like bibliography/references and conclusions:
- (a) A certificate from the supervisor(s) stating that the work has been carried out under their supervision and the student has fulfilled all prescribed requirements.
 - (b) A declaration by the student stating that the thesis is based on his own work and has not been submitted elsewhere for a degree or diploma.
 - (c) A preface signed by the student in which he gives an introduction to the primary focus of the thesis and declares whether the thesis is based on the discovery of new facts, a new interpretation of established facts, an exhaustive study and critical analysis of published work of others, design/ development of a product with scientific or societal value, or any other kind of pure or applied scholastic work.
 - (d) Acknowledgments and gratitude to individuals and agencies, particularly sponsors of fellowships and research expenditures.
 - (e) A synopsis comprising of an abstract, objective of the thesis, methodology, results, etc.
 - (f) Bio-data of the student within one page (i.e., name, date of birth, educational qualification, research experience, professional experience, if any, and permanent contact addresses) [at the end of the thesis]
- 16.8 Format of thesis should be uniform across all departments of a faculty, and should be approved by the respective Board of Studies, and made available to all faculty members and research students.
- 16.9 A thesis submitted for the degree of PhD shall normally be written in English language.
- 16.10 A "thesis submission certificate" may be issued to the student by the Head of the Department on submission of the thesis.

17. EVALUATION OF THESIS

- 17.1 The thesis submitted by the candidate for the award of the PhD degree shall be evaluated by two external examiners and the Supervisor of the candidate. The Supervisor shall confidentially submit a panel of eight examiners to the Vice Chancellor through the CoE for adjudication of the thesis. The examiners should be from Universities/Institutes located outside the state of Odisha. There can be only one examiner from any particular organization.

- 17.2 When a thesis is received by the Controller of Examinations office, the office shall prepare a thesis evaluation file and place it before the Vice Chancellor.
- 17.3 The Vice Chancellor shall examine the related papers and mark the panel of examiners in a preferred order using his discretion, and authorize the Controller of Examinations to contact the examiners in the specified order. He will have the power to add and/or delete names from the recommended list at his discretion.
- 17.4 The Controller of Examinations will send formal letters of invitation enclosing the synopsis in print/soft copy to the two examiners in the order indicated by the Vice Chancellor for their consent. While the Controller of Examinations will make all efforts to obtain consent of the proposed examiners, in case of refusal or no-response from any of the two examiners within 15 days of intimation, the examiner next in sequence in the approved list will be contacted following the same procedure, till consent is received from two examiners from the panel approved by the Vice Chancellor. In case, the approved list gets exhausted, a fresh list of eight more examiners will be prepared by the RAC without compromising in quality and reputation of the examiners. In order to expedite the evaluation process, Supervisors are advised to submit the list of external examiners right after the synopsis seminar so that the consent of the external examiners can be obtained before the submission of the thesis.
- 17.5 After receiving the consent, the thesis in print/soft copy will be sent to the examiners along with a format of the Examiner's report [NISTU/PhD/14] for adjudication.
- 17.6 In the event of delay of more than 2 months in receiving the thesis evaluation report from the examiner(s) even after gentle reminders, the Controller of Examinations, with consent of the Vice Chancellor, may choose the next available choice in the approved panel, if he is convinced that there is no hope of receiving the evaluation report from the chosen examiner.
- 17.7 The reports of the examiners shall be summarized by the Controller of Examinations and placed before the Vice Chancellor with his recommendation. After obtaining the Vice Chancellor's approval, the reports shall be forwarded to the RAC. There may be four possible situations arising out of the nature of the reports. The steps to be taken, appropriate to the circumstances, are laid down below:
- (i) The two external examiners are unanimous in recommending the award of the degree without any modification of the thesis. This is a clear case for going for the final step of the examination - the thesis defense.

- (ii) The examiners are unanimous in recommending the award of the degree but at least one of the examiners has suggested modification or has asked for clarifications of certain questions. The candidate in that case shall make modifications and provide the clarifications as suggested within a time to be fixed by the RAC. The reply by the candidate may be sent to the examiner(s) for their opinions, if so desired by them or if otherwise felt appropriate by the Vice Chancellor.
- (iii) One of the two external examiners rejects the thesis while the other examiner recommends the award of degree. The RAC in such a case shall ask the candidate to modify the thesis in response to the examiner's observations within a given time of not less than three months and send the modified thesis to the same examiner again, along with a copy of the report of the other examiner and the report of the RAC. [Name of the first examiner to be suppressed]

In case the thesis is rejected again, the Vice Chancellor will appoint a third examiner who will be provided with copies of the evaluation reports of both the examiners [with names of the examiners deleted] and the supervisor's report. The third examiner is expected to address explicitly the observations of the original examiners. If the objections are adequately dealt with to the satisfaction of the third examiner, the RAC and the Vice Chancellor, the candidate will be declared successful, else he will be declared "failed".

- (iv) Both the external examiners reject the thesis: then the candidate is declared "failed" and will not be permitted to resubmit the work. He will, however, be permitted to register once again with a new problem definition, and if recommended, carry out research for at least two more semesters (including part semesters if any) before submitting his thesis. He will be required to pay normal university fees and do semester registration.

In all cases, copies of the examiners' reports and that of the supervisor will be made available to the student [Name of examiners deleted], but only after all the reports have been seen by the RAC. The RAC will always return the thesis evaluation file to the Controller of Examinations for further action. Depending on the nature of further action, the Controller of Examinations will either direct the HoD under intimation to the Dean of the School/HoD for arranging the thesis defense or put up the file to the Vice-Chancellor for direction.

- 17.8 Once the reports of the examiners have been accepted as satisfactory, the candidate will have to defend the thesis in an open viva voce examination before the Viva Voce

Board consisting of all RAC members and an external examiner (normally, one of the thesis examiners as approved by the Vice Chancellor). The external examiner/Principal Supervisor whosoever is present physically in the Viva Voce examination shall act as the Chairperson of the Viva Voce Board. In case both are present physically then the external examiner shall act as the Chairperson of the Viva Voce Board. The viva voce examination should normally be conducted in physical mode but in special cases it may be conducted online with the permission of the Vice Chancellor. In either case the event will be widely publicized by the department and all efforts should be made to get a large audience of faculty members, research students, and other interested persons.

- 17.9 If none of the thesis examiners are available to conduct the viva voce then the Controller of Examinations may contact other examiners from the panel with approval of the Vice Chancellor. The viva-voce examiner must be given copies of all examination reports available on record.
- 17.10 The Viva Voce Board will conduct the examination, covering an oral presentation by the candidate, answers to all queries raised by external thesis examiners and questions from the audience. The recommendation of the Viva Voce Board in [NISTU/PhD/15] will be sent to the Vice Chancellor through the Controller of Examinations for approval of the result.
- 17.11 If the board is not satisfied with the performance of the candidate, the candidate has to appear again before the board after elapse of at least one month, and the process will repeat till the Board is satisfied with the candidate's performance.
- 17.12 On completion of the viva voce examination, the candidate will submit to the department four copies of the bound thesis and one soft copy in the prescribed format and after incorporating all corrections suggested by the examiners and viva voce Board. The Head of the Department will sign the examination page and arrange to deliver the copies to the student, the supervisor(s), the department library and the university library. All available copies of the original version submitted for the purpose of evaluation will be returned to the candidate by the Controller of Examinations office.
- 17.13 The University library will arrange to post soft copies of the thesis on the university website (and other sites at the university's discretion) for easy access to scholars globally. The website will carry a message that the author of the thesis is permitted to publish his writing in scholastic journals, books and other publications, and such publication will not be counted as self-plagiarism. In case the candidate proposes to file a patent application on the contents of the thesis, he may apply to the

Controller of Examinations for a delay in posting of the thesis on university's website until the patent is published. Only in extraordinary circumstances and on direction of the Vice Chancellor, the thesis can be removed from the university web site.

18. AWARD OF DEGREE

- 18.1 After successful completion of the evaluation process, and on approval of the Vice Chancellor, there will be an official notification regarding the award. Further, the student will be issued with a provisional certificate towards the degree of PhD, a formal Grade Card covering the entire period of study, and a university leaving cum migration cum conduct certificate.
- 18.2 The student will be awarded the formal degree certificate in a regular annual or special convocation only after the results are confirmed by the Academic Council and accepted by the Board of Governors. The formal degree will replace the provisional certificate for all future purposes. In addition to the print version of the degree certificate, the university will also archive the certificate in digital form and make it available to the candidate and agencies authorized by him.

19. INTELLECTUAL PROPERTY ISSUE

- 19.1 A research project leading to a PhD degree is a joint activity by the student, the supervisor(s) and, (wherever applicable) fellow students working under the same supervisor in the same area. All intellectual property generated in the project, in principle, belong to all of them and the University, though not in equal proportion.
- 19.2 Students are encouraged to publish and patent their research findings during the course of their PhD work. The concerned student and his supervisor(s) will normally be authors of all papers, except when they mutually agree that one or more of them have not contributed enough to deserve authorship of a paper or patent. Ordinarily, unless the journal policy dictates otherwise, the student making the highest contribution shall be the first author and the Professor making the highest contribution (in terms of guiding the students) shall be the last author. This guideline, however, is not binding.
- 19.3 It will be an academic offence on the part of a student to publish a paper, related or unrelated to his research problem, all by himself or in combination with others without the consent of his Principal supervisor. If such a situation arises, the Academic Council, may take disciplinary action as it thinks fit.
- 19.4 It is obligatory on the part of PhD students and their supervisors to identify themselves as belonging to NISTU in all publications. Students who are employed

in other institutions and enrolled in NISTU for doctoral work may record their dual affiliation.

- 19.5 When more than one student work on a common problem under the same supervisor, they need to share the computational and experimental data commonly arrived at. Depending on the effort put in by the individual student, the supervisor shall decide how the data will be distributed among the two or more theses. The students shall have the option to include the common data in both theses.
- 19.6 In case a proposal for filing a patent application is pending with the university, the Vice Chancellor may permit withholding of posting of the thesis on university website till the application is filed or one year from the date of approval of degree, whichever comes earlier.

20. ACADEMIC DISCIPLINE AND INTEGRITY

- 20.1 These regulations recognize that academic honesty of students and faculty members is the foundation of a research program. Plagiarism of any sort will be considered a serious academic offence under these regulations.
- 20.2 Plagiarism shall cover such items as: (a) conscious reproduction of ideas, drawings, photographs, and text from other authors, published or unpublished, without acknowledging the source and thus taking credit for the creation, (b) reproducing one's own work done outside the period of enrolment in the PhD program, and (c) any other content which in the opinion of the RAC, and confirmed by the Academic Council, is not a creation of the student. The published content of the candidate in other forums (journals, conference proceedings, etc.) and reference to commonly used terminologies in the related areas should not be considered as plagiarism. In any case the similarity index should not exceed 10% excluding reference to one's own published works, commonly used scientific terms, generic terms, standard symbols and equations.
- 20.3 Before the draft thesis is accepted for evaluation, it will be subjected to a computerized contents check using a standard software to identify similarities of contents with other works. It is appreciated by these regulations that computer-detected similarity is not necessarily all unethical, and also that the absence of machine-detected similarity precludes the possibility of plagiarism. The RAC should be satisfied that the thesis contains no unethical reproduction of any kind before the final draft is submitted for evaluation.
- 20.4 When more than one student work in a team on the same topic, using the same R&D resources and jointly creating scholastic output, the supervisor shall divide the

material to be included in each individual thesis. Some contents, such as photographs, drawings and programs etc. can form part of two or more theses; but such sharing of information should be clearly mentioned in the theses.

21. IN-CAMPUS CONDUCT AND DISCIPLINES

- 21.1 Every student of NISTU shall conduct himself within and outside the university campus in a manner befitting the status of this university.
- 21.2 Rules on conduct and discipline as applicable to undergraduate and postgraduate students are also applicable to the students of the PhD program.
- 21.3 In addition to general conduct rules, research degrees involve additional ethical constraints. Any plagiarism, or unethical reproduction of concepts, data, text, table, figures, photographs and video graphs without making proper reference shall normally invite serious penalty, up to revocation of degree awarded.

22. TRANSFER OF PHD TO MASTER BY RESEARCH PROGRAM

These regulations provide an avenue for transferring a student from the PhD to the MS by Research program of the University, either on request of the student or on recommendation of the RAC, the latter coming in case of poor academic performance of the student. Such situations will arise when:

- (a) A PhD student fails to clear the number of course credits required for PhD registration,
- (b) A student fails in the comprehensive exam,
- (c) External thesis examiners do not recommend award of PhD degree, but find the work adequate for MS by Research, or
- (d) Any other situation which, in the opinion of the Academic Council, or the Vice Chancellor on behalf of the Council, justifies possible award of MS/Graduate degree by Research in lieu of the PhD degree, subject to satisfying complete requirements of the former degree.
- (e) The requirements for converting PhD to MS by Research will be as follows:
 - i. The candidate should complete the prescribed Pre-PhD course work for the PhD program.
 - ii. Should have carried out research for a minimum period of 1 year after successful completion of Pre-PhD course work.
 - iii. Should have published at least one journal paper and one conference paper.

23. TERMINATION OF STUDENTSHIP

The tenure of a research student may be terminated by the Academic Council, or by the Vice Chancellor on behalf of the Council, on exceptional grounds. They are:

1. Recommendation of the University's Disciplinary Committee
2. Failure to do semester registration for two consecutive semesters
3. Failure to clear comprehensive exam within three calendar years of joining

24. DISSEMINATION OF INFORMATION

- 24.1 A copy of this document shall ordinarily be given in print or soft form to every PhD student on admission to NISTU. It will also be made available on the University's web site. Not possessing a copy, however, shall not exempt a student from complying with these Regulations.
- 24.2 The Head of the Department is authorized by these Regulations to issue formal certificates of studentship and expenditure certificate after satisfying himself with the need of the student for such certificates.

25. TRANSITION ISSUES

At the time of introduction of these Regulations, several students will be pursuing PhD in the University under prevailing regulations. They will be subject to these Regulations from the point of its introduction while giving due recognition to the academic processes already completed. In case of controversy, the decision of the Academic Council shall be final and binding. All subsequent academic records will be governed by provisions of these Regulations.

26. EXCEPTIONS

- 26.1 Notwithstanding anything stated in the rules, the Academic Council can make special provisions and exceptions depending on the merit of a case, the reason for making the exception being recorded in the minutes. Such cases shall not be cited as precedence in future occasions of similar nature, because two situations though similar may not be identical.
- 26.2 In emergency situations, the Vice Chancellor, in the capacity of being the Chairman of the Academic Council, can exercise powers and discharge the functions of the Council. Such decisions must be reported to the Council at its next meeting for endorsement.

26.3 It is quite likely that a situation will arise which cannot be decided on the basis of these Regulations, and individual decisions need to be made. The Academic Council may take all such decisions through its resolutions. Normally, proposals concerning the PhD program will be placed before the Academic Council only with a recommendation from the URC.

Note:

- (i) Words and expressions indicating the masculine gender in this document also include the feminine gender.
- (ii) Words and expressions written in singular form include the plural form and vice versa as appropriate.
- (iii) The PhD Regulations is subject to amendments in keeping with the UGC or other statutory recommendations and decisions of the Academic Council of NISTU from time to time.

APPENDIX

LIST OF FORMS TO BE USED FOR THE PHD PROGRAMME

Form No.	Description
NISTU/PhD/01	Application for Enrollment to PhD Programme
NISTU/PhD/02	Assignment of Enrolment Number
NISTU/PhD/03	Application for Provisional PhD Registration
NISTU/PhD/04	Format for Panel of Proposed RAC Members
NISTU/PhD/05	Assignment of Provisional PhD Registration Number
NISTU/PhD/06	Semester Registration
NISTU/PhD/07	Application for Formal PhD Registration
NISTU/PhD/08	Assignment of PhD Registration Number
NISTU/PhD/09	Format for Change of Thesis Title
NISTU/PhD/10	Format for Research Progress Report
NISTU/PhD/11	Application for Synopsis Seminar
NISTU/PhD/12	Format for Submission of Examiners List
NISTU/PhD/13	Application for Thesis Submission
NISTU/PhD/14	Format for Examiner's Report
NISTU/PhD/15	Format for Viva Voce Examination Report
NISTU/PhD/16	Format for PhD extension
NISTU/PhD/17	Format for Registration of External Supervisor
NISTU/PhD/18	Application for Change of Supervisor/Joint-Supervisor

NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

APPLICATION FOR ENROLLMENT TO PhD PROGRAMME

1. Full Name of the PhD Student:

Mr./Mrs./Miss _____

(IN BLOCK CAPITAL LETTERS) (As per 10th Certificate)

2. Academic Programme: PhD (Engineering/Management/Science):

3. Name of the Department:

4. Father's/Husband's Name:

5. Mother's Name:

6. Permanent Address:

7. Present Address with email id and phone no:

8. (a) Date of Birth:

(b) Student Category (Full Time/Part Time):

(c) Nationality:(d) Category (SC/ST/Differently abled/General):

9. Qualification:

Exam passed	Discipline/ specialization	Board/University	Year of passing	class/ Division	% marks / CGPA
10 th					
12 th					
Graduation					
Post-Graduation					
Any other					

10. Details of the amount paid towards enrollment fee:

(attach a copy of the payment made)

11. Organization where candidate is working (if employed)

Name of the organization	Designation	Duration	Nature of job	Academic/Industry

Declaration: The information provided above is correct to the best of my knowledge. Further, I undertake to comply with the NISTU PhD Regulations and will not indulge in any unethical practices during my studentship.

Date:

Place:

Signature of the PhD Student


Registrar
NIST UNIVERSITY

For Office Use

Amount of Enrollment Fee paid Rs.&the Receipt No. / Bank
DD No.& Date: Issuing Bank:

The student is assigned with the following Enrollment Number:

Name of the PhD student:

Name of the department:

Faculty	Session	Discipline/ specialization	Category of studentship (Full time/part time)	Enrollment number with date

Verification

The application and all documents, certificates of the PhD student have
been verified with the originals and are found to be correct.

Date:

Signature of the HoD


Registrar
NIST UNIVERSITY

NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

ENROLMENT FOR THE PhD PROGRAMME

You have been enrolled into the PhD Programme of NIST University as detailed below.

1. Full Name of the PhD Student : _____
2. Name of the Department : _____
3. Student Category (FullTime/PartTime) : _____
4. Enrolment Number : _____
5. Date of Enrolment : _____

Date:

Signature of the HoD



Registrar
NIST UNIVERSITY



NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

APPLICATION FOR PROVISIONAL PhD REGISTRATION

1. Enrolment Number : _____
2. Full name of the PhD Student : _____
3. Name of the Department : _____
4. Student Category (FullTime/PartTime) : _____
5. Proposed Area of Research : _____

6. Abstract of the Proposed Research (within 100-150 words)

Signature of the PhD Student


Registrar
NIST UNIVERSITY



NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

FORMAT FOR PANEL OF PROPOSED RAC MEMBERS

Name of the Student:

Enrolment No.:

Faculty of:

Proposed area of research:

Branch/ Specialization:

Sl. No	Name of Members	Designation & Affiliation	Telephone No & Address	E-mail, If any
1				
2				
3				
4				
5				
6				

Note: The supervisor is required to propose names of two Professors/Associate Professors within the department and outside the department. Additionally, two external members outside NISTU may be nominated if necessary.

Date:

Signature of Research Supervisor

RECOMMENDATION

Recommended / Not Recommended

Date:

(Head of the Department)

NOMINATION OF TWO MEMBERS TO THE RAC

1. _____

2. _____

Date:

Approval of the DRC Members:

Royal
Registrar
NIST UNIVERSITY



www.nist.edu

Form No.: NISTU/PhD/05

NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

PROVISIONAL PhD REGISTRATION

You have been provisionally registered for the PhD programme of NIST University as detailed below:

1. Enrolment Number : _____
2. Provisional PhD Registration Number : _____ /Date: _____
3. Full Name of the PhD Student : _____
4. Name of the Department : _____
5. Student Category (FullTime/PartTime) : _____
6. Proposed Area of Research : _____
7. Name of the Supervisor (s) : _____
8. RAC members for the candidate :

Sl. No.	Name	Designation	Affiliation

9. Recommended Courses for the Pre-PhD Course work:

Sl. No.	Course No.	Course Name

Signature of the Dean of the School/HoD


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NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

APPLICATION FOR SEMESTER REGISTRATION

1. Full Name of the PhD Student : _____

2. Enrollment No. : _____

3. Name of the Department : _____

4. Semester for which registration is being made:

5. Details of the amount paid towards semester registration:

(Attach a copy of the payment receipt)

Date:

Signature of the PhD Student

For Office Use

Amount of Semester Registration Fee paid Rs. _____ & the Receipt

No. / Bank DD No. _____ & Date: Issuing Bank:.

Date:

Signature of the HOD


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NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

APPLICATION FOR PhD REGISTRATION

- 1. Enrolment Number : _____
- 2. Provisional PhD Registration Number : _____
- 3. Full Name of the Research Student : _____
- 4. Name of the Department : _____
- 5. Student Category (FullTime/PartTime) : _____
- 6. Status of the Pre-PhD Course work : Completed / Incomplete:
Marks/CGPA obtained: _____
(Attach marksheet)
- 7. Status of the Comprehensive Examination : Completed / Incomplete
- 8. Name of the Research Supervisor : _____
- Joint-Supervisor, if any : _____
- 9. Proposed Title of the Thesis : _____
- 10. Research Proposal : _____
(A student has to submit a detailed research proposal in the attached format)

Date:

Signature of the PhD Student

Signature of Research Supervisor(s) with date :

Signature of RAC members with date :


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<Proposed Title of the Thesis>

Abstract:

The abstract should contain a brief summary of the Research Proposal, and should be of 200 words (approximately)

KEYWORDS

Important keywords (8-10) in the chosen area of research

Motivation:

Should indicate the motivation behind the proposed research

Literature Review:

Literature Review is a systematic study of the works already done in the chosen area of research. It is a critical component of the research process that supports and strengthens the entire study. It contextualizes the Research and helps in identifying the research gaps. It provides a methodological insight to the work already done. By understanding what has been done and the outcomes of previous research, a literature review can help in designing the research, formulate the research questions, and select appropriate methodologies.

Research Objective(s):

Research objectives play a crucial role in guiding the research process, ensuring that the study is focused, coherent, and capable of producing meaningful and actionable results. A research objective is a clear, concise statement that defines the specific goals or purposes of a research study. It outlines what the researcher aims to achieve through their investigation. Research objectives guide the research design, methodology, and analysis, ensuring that the study stays on track and addresses the intended research questions.

Methodology:

Research methodology refers to the systematic plan and approach employed to conduct research. It encompasses the principles, procedures, and techniques used to collect, analyze, and interpret data or carry out experiments. It plays a significant role in conducting credible and ethical research that can significantly contribute to knowledge in the field.

Conclusions:

The Conclusions shall briefly restate the objectives of research project, recap the research approach planned to be followed, and clarify in a few words what is expected to be found out, why it is valuable to find it out, and on how results are to be validated.

References:

This section should list all the references made throughout the research proposal, ensuring the referencing conventions or citation styles that have been established for specific field.

Date:

Signature of the PhD Student

Signature of Research Joint-Supervisor, if any

Signature of Research Supervisor

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Form No.: NISTU/PhD/08

NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

PhD REGISTRATION

You have been registered for the PhD programme of NIST University as detailed below.

1. Enrolment Number : _____
2. PhD Registration Number : _____
3. Date of PhD Registration :
4. Full Name of the PhD Candidate : _____
5. Name of the Department : _____
6. Category (FullTime/PartTime) : _____
7. Proposed Title of the Thesis : _____
8. Name of the Research Supervisor : _____
- Joint-Supervisor, if any : _____

Date:

Signature of the Controller of Examanitaion


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NIST UNIVERSITY



APPLICATION FOR CHANGE OF PhD THESIS TITLE

- 1. Enrolment Number : _____
- 2. PhD Registration Number : _____
- 3. Full Name of the PhD Candidate : _____
- 4. Name of the Department : _____
- 5. Student Category (FullTime/PartTime) : _____
- 6. Name of the Research Supervisor : _____
- Joint-Supervisor, if any : _____
- 7. Proposed Title of the Thesis (at the time of Registration) : _____
- 8. Suggested change in the Proposed Title : _____
- 9. Details of fee paid : _____
- 10. Justification for the change :

Date:

Signature of the PhD Candidate

Recommendation of the Supervisor(s)

The request for change in the thesis title is recommended as per the justification mentioned above.

Signature of Research Joint-Supervisor

Signature of Research Supervisor


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NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008

RESEARCH PROGRESS REPORT

- 1. Full Name of the PhD Candidate : _____
- 2. PhD Registration Number with date : _____
- 3. Name of the Department : _____
- 4. Category(FullTime/PartTime) : _____
- 5. Proposed Title of the Thesis : _____
- 6. Name of the Research Supervisor : _____
- Joint-Supervisor, if any : _____

7. Progress made during the preceding semester

Period From		Planned work	Actual work done
From	To		

8. Difficulties encountered, if any :

9. Details of publications made during the period :

10. Brief description of the work done during the semester (Attach a separate sheet with signature)

Date:

Signature of the PhD Candidate

[Handwritten Signature]
 Registrar
 NIST UNIVERSITY

RECOMMENDATION OF THE RESEARCH ADVISORY COMMITTEE
(RAC)

Name of the PhD Candidate :

PhD Registration Number with date :

The research student has presented his/her work during the preceding semester in an open seminar in our presence and responded to the queries made by the members. The committee feels that his/her progress made during the period is Satisfactory / Not Satisfactory.

Specific Suggestions of the RAC, if any:

Signature of the RAC members:

- 1.
- 2.
- 3.
- 4.
- 5.

Copy forwarded to:

1. The Controller of Examinations for information and necessary action
2. Personal File of concerned PhD Candidate
3. Supervisor / Joint-Supervisor


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APPLICATION FOR SYNOPSIS SEMINAR

1. Full name of the PhD Candidate : _____

2. PhD Registration Number with date : _____

3. Name of the Department : _____

4. Category(FullTime/PartTime) : _____

5. Proposed Title of the Thesis : _____

6. Final Title of the Thesis : _____

7. Synopsis of the work done :

(A student has to submit a synopsis in the attached format and present it before the RAC)

8. Draft copy of the complete thesis :

(A student has to present at least the 1st draft of the complete thesis before the RAC at the time of synopsis seminar)

9. Details of publications made so far related to the proposed area of research:

Date:

Signature of the PhD Candidate


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CONSENT OF THE SUPERVISOR(S)

The PhD Candidate has carried out research within the scope of the research proposal and has published the required number of research papers. He/she may be allowed to present his/her synopsis.

Signature of Research Joint-Supervisor, if any

Signature of Research Supervisor

Approval of the RAC members:


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LIST OF EXAMINERS FOR ADJUDICATION OF THE THESIS

1. Full name of the PhD Candidate : _____
2. PhD Registration Number with date : _____
3. Name of the Department : _____
4. Title of the Thesis : _____

Following is the list of probable examiners to adjudicate the thesis:

Sl. No	Name of the Examiner	Designation	Affiliation	Area of specialization	Email-Id & Phone Number
1					
2					
3					
4					
5					
6					
7					
8					

Signature of Research Joint-Supervisor, if any

Signature of Research Supervisor


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APPLICATION FOR THESIS SUBMISSION

1. Full name of the PhD Candidate : _____
2. PhD Registration Number with date : _____
3. Name of the Department : _____
4. Category (FullTime/PartTime) : _____
5. Title of the Thesis : _____
6. Final version of the complete thesis :
(A student has to submit four copies of the final thesis in soft bound form for evaluation)
7. Similarity/Plagiarism test certificate :
8. Details of fee paid towards thesis submission:

Date:

Signature of the PhD Candidate

RECOMMENDATION OF THE SUPERVISOR(S)

The PhD Candidate has completed the proposed research maintaining the expected quality and has the required number of publications relating to his/her research. It is recommended that his/her thesis be accepted for adjudication.

Signature of Research Joint-Supervisor, if any

Signature of Research Supervisor


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EVALUATION REPORT OF THE PhD THESIS

1. Name of the PhD Candidate : _____
2. PhD Registration Number : _____
3. Name of the Discipline : _____
4. Title of the Thesis : _____

5. Make one of the following recommendations: (Please put \checkmark mark in the box)

- The thesis attains the standard required for the award of the PhD degree. The thesis may be accepted in the present form without any corrections.
- The thesis requires minor revision and re-submission which may be evaluated by the Doctoral Committee of the University.
- The thesis requires major revision and re-submission for re-evaluation by the same examiner.
- The thesis is rejected as it fails to meet the standard for the award of the PhD degree.

6. Name of the Examiner :

7. Designation & affiliation :

Email :

Mobile Phone Number :

Signature of the Examiner

Note:

The examiner is requested to provide a detailed report on the thesis highlighting the major research contributions and the limitations of the work.


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Form No.: NISTU/PhD/15

VIVA VOCE EXAMINATION REPORT OF THE PhD THESIS

1. Name of the PhD Candidate : _____
 2. PhD Registration Number : _____
 3. Name of the Discipline : _____
 4. Title of the Thesis : _____
-

5. Recommendation of the Viva Voce Board:

Full name & Signature of the Members:

- 1.
- 2.
- 3.
- 4.

Name: _____
Date: _____

Signature of the Chairman


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Form No.: NISTU/PhD/16

APPLICATION FOR EXTENSION OF PhD THESIS SUBMISSION

1. Enrolment Number : _____
2. PhD Registration Number : _____
3. Full Name of the Research Student : _____
4. Name of the Department : _____
5. Category(FullTime/PartTime) : _____
6. Name of the Research Supervisor : _____
- Joint-Supervisor, if any : _____
7. Title of the Thesis : _____
8. Period of Extension Requested : _____
9. Details of fee paid : _____
10. Justification for Extension :

Date:

Signature of the PhD Candidate

Recommendation of the Supervisor(s)

The request for extension of date for submission of the thesis is recommended as per the justification mentioned above.

Signature of Research Joint-Supervisor

Signature of Research Supervisor


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FormNo.: NISTU/PhD/17

APPLICATION FOR SUPERVISORSHIP TO GUIDE PhD STUDENTS

1. Name : _____
2. Designation : _____
3. Subject Specialization : _____
4. Affiliation : _____
5. Contact Address : _____

6. Email & Phone No. : _____
7. Academic Qualification : Graduation :
(Attach photocopies) Post Graduation :
M.Phil/ M.Tech.
Ph.D. :
Post Doc :

8. Years of experience :
9. Experience in research supervision :
10. Number of research publications :
(Attach a list of publications)
11. No. of students already awarded Ph.D. degree under your supervision :
12. No. of research students currently working under you :
13. Details of Projects completed/ongoing :
14. Any other information :

Date:

Signature


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NIST UNIVERSITY

NIST UNIVERSITY, INSTITUTE PARK, BERHAMPUR, ODISHA - 761008
APPLICATION FOR CHANGE OF SUPERVISOR/CO-SUPERVISOR

Name of the Ph.D student	
Department	
Enrollment No. & Date of Enrollment	
Registration No. & Date of Registration	
Title of Ph.D work	
Name of the Present Supervisor	
Name of the Proposed Supervisor	
Name of the Present Joint-Supervisor	
Name of the Proposed Joint-Supervisor	
Reason for change:	
Date:	Signature of the Student
Consent of the present and proposed Supervisor/Joint-Supervisor	
Present Supervisor/Joint-Supervisor	Proposed Supervisor/Joint-Supervisor
<u>Recommendation by the RAC</u>	
Recommended/Not Recommended	
Date:	Chairperson, RAC
<u>Approval by Vice Chancellor</u>	
Approved/Not Approved	
Date:	Vice Chancellor


Registrar
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