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Dec 11/12/25

# Ordinance for Doctoral Programmes (Amended) 2024

*(As Approved in the 20<sup>th</sup> Senate and 58<sup>th</sup> BoG Meeting)  
Applicable to the PhD Scholars registered  
from the Academic Year 2024-25 onwards*



**योजना एवं वास्तुकला विद्यालय, भोपाल**

राष्ट्रीय महत्त्व का संस्थान, शिक्षा मंत्रालय, भारत सरकार

**School of Planning and Architecture, Bhopal**

An Institution of National Importance, Ministry of Education, Government of India

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## Ordinance for Doctoral Programmes (Amended) 2024

### i). Preamble

School of Planning and Architecture Bhopal (SPAB), established in 2008, an Institution of National Importance under the Ministry of Education, Government of India, is mandated to promote education and research in the disciplines of planning and architecture. Given its mandate, SPAB intends to be the preeminent public research and teaching academy in architecture and planning in the country and aspires to attain (a) international standard by integrating teaching and learning, (b) advancement of the knowledge base through research and scholarship and (c) leadership in service and outreach.

SPAB aspires to emerge as an international academy whose academic portfolio, research agenda, and educational model align with the shifting needs of the society. It strives for built sustenance through sustainable architecture, social sustenance through universal design, cultural sustenance through conservation, and human settlement sustenance through habitat planning and design. In line with National Education Policy (NEP) 2020, SPAB is committed to train planners and architects for the nation who could exhibit high academic standards and take up the challenges of physical and socio - environmental development of the country. SPAB aspires to engage in meaningful research on topical themes in the areas which inter alia include the following departments at SPAB: architecture, conservation, landscape, urban design, building engineering and management, urban and regional planning, environmental planning, transport planning, and design. SPAB shall make all endeavours to:

- Promote a cadre of high caliber faculty devoted to teaching, research and consultancy in all disciplines pertaining to Planning and Architecture.
- Create a national repository of data base and decision support centre for the preparation and implementation of various habitat development programmes.
- Emerge as a socially responsible institution providing research feedback to the Government for holistic development of human settlements through Architectural and Planning interventions.

SPAB offers doctoral programme leading to the award of PhD degree. The broad objectives of the PhD programme are not only to keep pace with the expanding horizons of knowledge, but also to contribute to the present needs of the society in relation to social, cultural and environmental sustenance through the research findings. The PhD programme at SPAB intends to encourage analytical investigations into the areas of research applying qualitative or quantitative approach with the ultimate objective of culminating into a creative and productive enquiry into the domain of Architecture and Planning.

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- The academic programme leading to the PhD degree is broad-based and involves a minimum course credit requirement and a research dissertation. SPAB strongly encourages research in interdisciplinary areas through a well-coordinated inter-departmental academic collaboration. The presence of a dedicated pool of faculty in SPAB provides excellent opportunities for carrying out research in diverse fields of Architecture and Planning.

### ii) Definitions/ Abbreviations

i	'Applicant' shall mean an individual who applies for admission to the PhD programme of SPAB on a prescribed Application Form
ii	'AR (A)' shall mean Assistant Registrar (Academics)
iii	'BoG' shall mean Board of Governors of SPAB
iv	'DA' shall mean Dean Academics
v	'DAC' shall mean Doctoral Advisory Committee
vi	'DRC' shall mean Departmental Research Committee
vii	'MoE' shall mean Ministry of Education
viii	'PhD scholar' shall mean an individual registered for the PhD Programme in SPAB
ix	'RG' shall mean Regulation
x	'Senate' shall mean Senate of SPAB
xi	'SPAB' shall mean School of Planning and Architecture, Bhopal

### iii) Ordinance

- SPAB awards the PhD in various specialisations under Architecture and Planning to a registered PhD scholar who has successfully completed the PhD programme.
- The PhD Programme with the governing regulations is formulated by the Senate of SPAB. The Senate can modify regulations from time-to-time as and when warranted.
- A PhD scholar to be awarded the PhD degree shall submit a dissertation report incorporating the findings of his/her research carried out under this programme. The dissertation shall make an original contribution of high quality to the advancement of knowledge as judged by the experts in the relevant area.
- A PhD scholar shall become eligible for the award of the PhD degree after fulfilling all the academic requirements prescribed by the Senate.
- The award shall be made upon the recommendation of the Senate of SPAB and its ratification by the BoG.
- The PhD degree shall be awarded in the discipline of the Department which registers the PhD scholar for the PhD programme.

#### iv) Regulations

The degree of Doctor of Philosophy, abbreviated as PhD, shall be awarded to a PhD scholar upon the completion of his / her writing the dissertation which exhibits a high quality critical and analytical investigation into the assigned area of research that leads to original contribution to the existing knowledge. The PhD degree of SPAB shall be conferred on a PhD scholar who fulfills all the requirements specified in the Regulations (RG). The PhD programme of SPAB will be coordinated by the Coordinator, Doctoral Programme appointed by the Chairperson, Senate from amongst the faculty of SPAB having a doctoral degree. The Coordinator of Doctoral programme shall assist the DA in the overall conduct of the PhD programme smoothly.

#### Regulation-1: Admission to the PhD Programme

- a) Applications into PhD programme will be open throughout the year. An applicant shall apply in prescribed format for admission to the PhD Programme.
- b) Admissions will be conducted bi-annually as per the Ordinance for Doctoral Programmes (Amended) 2024.
- c) DA shall constitute Interview Panel(s) with prior approval of the Chairperson, Senate to oversee the admission process to the PhD programme.
- d) An applicant shall indicate his / her choice of Department under which s/he wishes to carry out his / her PhD research at the time of Application. Application Form and Registration to reflect the same. Registration to be done in selected Department for selected candidates. However the DAC reserves the right to allocate a department to a PhD scholar other than the department s/he opts for based on his / her proposed area of research.
- e) The Admission to the PhD programme shall usually be made bi-annual admission subject to the number of applications received, number of vacant seats available with prior permission of the Chairperson, Senate.
- f) At the end of each Academic session, number of vacancies created by graduands PhD scholars and assessment of quota of eligible Supervisors shall be undertaken. Departments to undertake this exercise and submit proposed number of candidates for upcoming semester feasible in the Department, to Senate Chairperson through DA. Annual declaration of vacant seats should be based on the numbers received from all Departments, Senate Chairperson shall finalize the number of seats to be declared open for upcoming session distributed in Departments and across open and reserved categories, conforming with institute-level numbers to be accommodated.
- g) Total numbers proposed will be restricted by availability of Supervisors with

appropriate eligibility. Admission to the PhD programme shall be conducted through an entrance viva-voce to be conducted by PhD Admission Committee each year headed by Senate Chairperson with DRC Chairpersons of all DRC's, Dean Academics and two external members, as members.

Part A: Statement of Purpose (SOP).

50% of total marks will be given on the SOP.

Part B: Viva-voce based on presentation on research idea to Admission Committee.

50% weightage to SOP and 50% weightage to viva voce.

Apart from academic aptitude, candidate's research area aligning with SPAB's research areas shall also be considered while selecting a candidate. Full time and project funded PhD project proposals shall be encouraged.

- h) The Admission Committee may relax the criteria of in-person appearance at the entrance interview and viva-voce and instead conduct an online interview in the case of Foreign Nationals.
- i) Office of AR (A) shall verify the documents before issuing an Admit Card to the applicant to sit for the entrance interview. The format of entrance interview may be modified by the Admission Committee as and when warranted subject to the approval of Chairperson, Senate.
- j) Admission of an applicant to the PhD programme shall be made after due consideration to SOP, the utility of the research area indicated by the applicant at the viva voce, consistently good academic performance, score in MoE recognized scholarship(s), availability of qualified faculty at SPAB to supervise the research, availability of required infrastructure at SPAB and extent of external assistance required.
- k) Upon recommendation by the selection committee appointed by the competent authority, an applicant shall be provisionally admitted to the PhD programme on payment of prescribed fees and shall be registered under the Department preferably, as per the choice of the applicant, if not otherwise decided by the DAC.
- l) Once admitted to the PhD programme under respective Department, the respective DRC shall facilitate and review the research work of the PhD scholar.
- m) Although, it is not plausible to have identical number of PhD scholars across the Departments, allocation of PhD scholars across each Department shall depend on the availability of Supervisors in each department and taking into consideration the

  
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maximum number of PhD scholars, a permanent full-time faculty having doctoral degree of SPAB in that Department can supervise/ co-supervise.

- n) Selected applicants who are in employment elsewhere must produce a No Objection Certificate from their respective institute / employer at the time of admission to the PhD Programme.
- o) Reservations for SC/ ST/ OBC/ Persons with Disabilities and other categories shall be as per Government of India norms from time-to-time.
- p) A PhD scholar shall normally be admitted to the PhD programme in the odd and even semester subject to vacancy of seats.
- q) The total number of seats under the PhD programme shall be revised by the Senate from time-to-time and the admission to the PhD programme shall be restricted to the maximum number of seats so approved.
- r) An applicant registered to the PhD programme shall continue to be a PhD scholar until the official notification towards the conferment of PhD degree to him/ her.

**Regulation-2: Educational and Professional Eligibility for Admission to PhD Programme**

An applicant shall be eligible to apply for the PhD programme of SPAB provided s/he

1.
  - a) has qualified for the award of Masters degree of a recognized institution or university in various specialization of Architecture or Planning or allied specialisations (M.Tech / M.A./ M.Sc / M.Phil) relevant to the Department's interdisciplinary approach, with a minimum of 55% marks and 50% for reserved categories or equivalent CGPA (6.0 and 5.5 respectively). Diploma degrees not accepted. DRCs to make lists of appropriate qualifications to be approved by Chairperson Senate and validated at the commencement of each academic year before advertisement for admissions.

For Example:

Department of Conservation:

- i. M.A in History/ Cultural studies/ Heritage studies/ Anthropology or equivalent.
- ii. M.A/ M. Sc in Museology/ Archeology or equivalent,
- iii. 5-year integrated Degree in Law with specialization in Heritage Law.

Department of Environmental Planning

- i. M.A. / M.Sc. in Geography/ Economics
- ii. M.Sc. Environmental Science
- iii. 5-year integrated Degree in Law with specialization in Environmental Law.

OR

- b) has qualified for the award of Bachelors degree of a recognized institution or university in Architecture or Planning or B.E/ B. Tech in allied specialisations relevant to the Department's interdisciplinary approach with

(i) Minimum marks criteria of 75% (70% for reserved categories) or equivalent grade and

(ii) Exemplary professional work /research in allied fields for 10 years after obtaining Bachelors degree. Including Senior/ Retired professionals who have served in Government/Private /Defence Sector. Diploma Degrees not accepted.

DRCs to make lists of appropriate qualifications to be approved by Chairperson Senate and validated at the commencement of each academic year before advertisement for admissions.

Shortlisted Candidates must appear in the PhD Entrance Interview conducted by SPA Bhopal for consideration of selection. Besides the above, eligibility conditions for admission to PhD programme shall also be as per the Government schemes / directions from time-to-time.

### **Regulation-3: Categories of Admissions**

Applicants shall be admitted to the PhD programme of SPAB under (1) Full-Time PhD (i). With Scholarship/ fellowship and (ii). Without Scholarship/ fellowship, and (2) Part-Time PhD. The details are as follows:

#### **1. Full-Time PhD**

##### i). Full-Time PhD (With Scholarship/ Fellowship)

- a) Candidates with various government, quasi government and other institutional fellowships and scholarships (MoE Scholarship/ Quality Improvement Programme), including GATE / JRF/ CEED Scholarship as admissible.
- b) Candidates applying in funded research projects having the provision of enrolling as PhD scholars.

##### ii). Full-Time PhD (Without Scholarship/ fellowship)

- a) Self sponsored candidates/ Self-financed Indian (including OCI, PIOs) and foreign full time.
- b) Full time PhD scholar under international collaboration including ICCR.

#### **2. Part- Time PhD**

- a) Part time PhD scholar who is a permanent Faculty / Research Assistant / Technical Assistant or any other duly approved category of SPAB staff and has the minimum educational qualifications as prescribed under RG-2 and has an experience of more than five years.
- b) Self sponsored/ industry/ institution sponsored candidates continuing to be in service
- c) Candidates on exchange programmes for part duration,
- d) Senior in-service/ retired personnel with appropriate experience having served in Government/Private/Defence sector.
- e) Part time PhD scholar under international collaboration including ICCR.

#### General Instructions for the above categories

- a) PhD Scholars for whom residency is mandated for the duration of coursework, are required to undertake other academic duties including engaging classes during this duration.
- b) PhD scholar who is attached to any SPAB research consultancy project. An applicant admitted to the PhD programme under this category must submit his / her application form through the Dean (R&D) of SPAB.
- c) After the duration of the project sponsorship/ fellowship, the scholars may seek scholarship from any other sponsoring / funding agency. Otherwise the scholars shall be considered as self sponsored. The Projects sponsoring PhD Scholars shall have provision for granting scholarship for a minimum period of three years, (two years at JRF and one year at SRF level). After completion of first three years with scholarship/ fellowship, review of performance shall be done every six months for considering any further extension of scholarship / fellowship.
- d) Enrolling of Full time candidates would be encouraged. Once admitted as Full time, a shift to Part time category shall not be permitted in the last two years from completion. In exceptional cases recommended by DRC Chairperson through DA and approved by Senate Chairperson, to be ratified in Senate, a change from full time to part time shall be considered only for candidates listed in 2(d) above. For candidates under 2(b) and 2(c), it shall be subjected to conditions laid down by funding/sponsoring agency.
- e) Full time or part time PhD scholars sponsored by any institution / organization recognized by SPAB. Such sponsored candidate must have at least five years of professional / research experience and must submit his/her application through his/her employer with suitable endorsement that s/he shall be granted leave for the mandatory residency period required under the PhD programme.
- f) Full time PhD scholars registered earlier in other UGC recognized institutions/ universities and transferred to SPAB as per UGC norms.
- g) Irrespective of the award of any Scholarship / Fellowship / Sponsorship, an applicant must have the minimum educational qualification and experience as prescribed under RG-2 and must qualify at the entrance interview conducted under RG-1 (f) to be eligible for admission to the PhD programme.
- h) A full time PhD scholar may apply in prescribed format to carry out the research as part time PhD scholar to DA only after the successful completion of coursework and topic finalization. S/he shall cease to draw any fellowship/ scholarship from the date of his/ her application.
- i) No PhD scholar can revert to full time once his / her application has been accepted by DA except under extra ordinary circumstances as approved by the Chairperson, Senate.

#### **Regulation-4: International Students**

Foreign nationals can register as full time PhD scholars. Foreign Nationals with degree from Indian Universities shall be treated at par with Indian nationals for admission purpose and their eligibility shall be as per RG-2.

For Foreign nationals /Foreign Degrees:

- i. Minimum qualifications stated in Regulation-2 (a) and (b) applicable with equivalence established from a Foreign University and programme (UGC approved only) accredited by an assessment and accreditation agency recognized by law in the foreign country, for assuring quality and standards of educational institutions. The admission to the Foreign Nationals shall be as per the 'Study in India' guidelines.
- ii. Valid scores in GRE or equivalent and TOEFL/ IELTS/ PTE for proficiency in English Language. Diploma Degrees not accepted.

Irrespective of his/ her obtaining the degree from either Indian / Foreign university, a foreign national must qualify at the entrance interview as given under RG-1 (h).

#### **Regulation-5: Daily Attendance and Guidelines for Availing Scholarship/ Fellowship**

- a) Biometric Attendance of the PhD students availing scholarship shall be maintained by the respective departments. Monthly summary of biometric attendance shall be submitted to the Office of Dean Academic.
- b) As per the attendance details, respective Department would be required to prepare the monthly scholarship forms.
- c) For availing GATE scholarship/ fellowship, the scholars shall qualify GATE in the respective category. However valid duration need not be insisted. The scholars are required to take undertaking /affidavit to this effect that they have not availed earlier any doctoral programme/ not availing any other scholarship parallely.
- d) No PhD scholar shall be permitted to receive any emoluments, salary, stipend or any other scholarship / assistantship during the tenure of any scholarship / fellowship / sponsorship under which s/he has been admitted to the PhD programme.
- e) SPAB reserves the right to grant the Scholarship / Fellowship under GATE, JRF etc., to a PhD scholar provided s/he possesses a score that is above the cut off level as decided by the competent authority from time-to-time.
- f) Continuance of the scholarship / fellowship / sponsorship shall be contingent upon the progress of the research made by the respective PhD scholar as evaluated by the respective DRC and shall be withdrawn if so warranted on grounds of poor or no progress.
- g) No PhD scholar shall normally be allowed to change the category under which s/he

is enrolled to the PhD programme.

**Regulation-6: Nature of Work against Scholarship/ Fellowship**

Full-Time PhD scholars getting Scholarship / Fellowship shall be required to assist in the following activities assigned by DA:

- a) Assisting in the research work/ Projects of SPAB
- b) Assisting in a laboratory course (not more than one laboratory course at the bachelors or masters level in a semester)
- c) Assisting in the tutorial / studio (not more than the tutorial of one theory course at the bachelors or masters level in a semester)
- d) Assisting in the maintenance of SPAB website
- e) Assisting in the maintenance of SPAB library
- f) Assisting in the maintenance of SPAB laboratories
- g) Assisting in academic and other events of SPAB, CoA / ITPI visits

The Work Schedule will be intimated to the PhD scholars through the office of respective Departments at the beginning of every semester. In no case, the work load should exceed eight hours per week. The PhD scholars shall not be assigned a complete theory course to teach at the bachelors or masters level. Preferably they may be attached only to tutorials/studios. The PhD scholars shall not be involved in setting of question papers and evaluation of answer scripts of bachelors or masters courses. During the leave of absence of a PhD scholar, as admissible under RG-31, the work assigned to him/her shall be re-allotted to other PhD scholars, if need be.

**Regulation-7: Registration**

- a) An applicant having qualified himself / herself at the entrance interview shall be admitted to the PhD programme upon the payment of requisite fees.
- b) A PhD scholar shall pay requisite fees till the scholar submits dissertation report for external evaluation. However, the Scholar will be considered as Registered till the PhD defense/award. Semester wise registration to be done instead of academic year registration.
- c) A PhD scholar shall confirm the amount of fees payable from the office of AR (A) before tendering it.
- d) A PhD scholar shall pay the prescribed Examination Fees at the time of submitting the dissertation report.
- e) Failure to renew registration for subsequent academic year for two consecutive academic

- years shall lead to the cancellation of registration from the PhD programme.
- f) Foreign PhD scholar shall pay equivalent amount of all prescribed fees from time-to-time in Indian rupees.

### **Regulation-8: Cancellation of PhD Registration**

Registration of a PhD scholar shall stand cancelled for any of the following reasons:

- a) Giving false information at the time of application / admission.
- b) Not conforming to the regulations of the PhD programme.
- c) Failure to successfully complete the prescribed coursework.
- d) Consistent lack of progress in research.
- e) Violation of discipline and conduct rules of SPAB.
- f) Not submitting the dissertation report within the stipulated period.
- g) Submission of plagiarized report.
- h) Non submission of progress report to DRC at least a fortnight before the DRC meets for three consecutive occasions.
- i) Not enrolling for academic session / semester by paying prescribed fees within the stipulated dates.
- j) Rejection of dissertation report by external examiners.
- k) Failure to defend the viva voce satisfactorily.
- l) Remaining absent beyond the period as granted under RG-29.

### **Regulation-9: Conferment of PhD Degree**

The PhD degree shall be conferred to a registered PhD scholar subject to the fulfillment of following conditions:

- a) Successful completion of the coursework within the prescribed residency period as given under RG-10 and RG-11.
- b) Finalization of dissertation topic within the prescribed period from the date of registration to the PhD Programme as given under RG-12.
- c) Successfully carrying out the research under the guidance of approved supervisor(s) for at least two years from the date of topic finalization.
- d) Publication / presentation of paper in peer reviewed journals and seminars / conferences respectively as given under RG-27.
- e) Satisfactory performance at the Pre-Thesis-Submission seminar as given under RG-26.
- f) Affirmative concurrence to the dissertation report by the external examiners as given under R-29.

- g) Successful defense of the dissertation at the viva voce as given under RG-30.

**Regulation-10: Conducting the Coursework**

- a) Respective DRC shall propose an appropriate coursework for the PhD scholar taking into consideration the PhD scholar's intended area of research immediately after the registration of the PhD scholar.
- b) Allocation of subjects shall be done by the respective DRC at the beginning of the academic session.
- c) The coursework shall comprise of three subjects and two seminar presentations. While one subject will be Research Methods to be conducted by the office of DA. All the subjects (including Research Methods) can be taken from those offered at SPA Bhopal or from partner institutes and e-courses as permitted by the Credit Transfer Policy 2020. The subject 'Research Methods' shall be offered in the first two semesters respectively as 'Research Methods-1 (RM-1)' which is generic and 'Research Methods-2 (RM-2)' which is domain specific. Research Methods-1 (as it is generic) could be taken online, Research Methods-2 shall be taken from SPA Bhopal (as it is domain specific). All the three Subjects and Seminar presentations shall be awarded grade / marks.
- d) Respective DRC shall forward the recommended subjects for a PhD scholar to the Coordinator, Doctoral Programme.
- e) Coordinator of Doctoral Programme shall ensure that the concerned PhD scholar is enrolled to the particular class on the subject.
- f) Coordinator of Doctoral Programme shall maintain a Register for entering the Subjects successfully completed by the respective PhD scholar.
- g) A PhD scholar will be required to make two seminar presentations before the concerned DRC on the topics approved by the latter as part of his / her coursework. A PhD scholar shall have to submit a write up on the seminar topic within 3000 - 5000 words with a proper title, objectives, literature survey, methodology, findings / observations and a brief bibliography.
- h) A PhD scholar shall present a slide presentation on approved topics in both Seminar 1 and 2. The presentation should ideally be restricted to twenty slides. The presentation shall be completed within thirty minutes following which there would be a twenty-minute question-answer session.
- i) Distribution of credit across the coursework would be as follows:
- Research Methods shall be a compulsory subject for all candidates.
  - Minimum credits to be taken: 16 {4 credits for RM (2 credits for RM-1 and RM-2 each)}
  - 4 credits for 2 Seminars each, and 4 credits for elective subjects (a minimum of 2

- subjects need to be taken as electives).
- Scholars with only UG or with one-year PG shall undergo a bridge course with additional credits (over and above the minimum required credits as per the ordinances)
  - In case a DRC finds a candidate to be exceptional, based on previous academic and/or professional performance, the DRC may suggest to DAC to waive off one or more of the Electives. Seminar topics shall be finalized by the DRC in Semester 1 and 2. Seminars presented only at SPA Bhopal and not in any partner institute (if a student goes on exchange) will be considered for the coursework requirement of the PhD programme.
- j) A PhD scholar may take all three Subjects, or any one Subject offered by any other institute (recognized by SPAB), E-courses permitted by the credit transfer policy 2020, subject to the approval of the concerned DRC.
- k) Completion of course work consisting of elective subjects, within a minimum of 1 semester and a maximum of 2 semesters.
- l) Completion of 2 seminar presentations and topic finalization in a minimum of 2 consecutive semesters and a maximum of 3 consecutive semesters.
- m) Registration of a PhD scholar, availing semester drop, shall stand cancelled if s/he fails to complete the coursework within three years (i.e., within six consecutive semesters) from the date of registration to the PhD programme.

**Regulation-11: Requirement of Minimum Residency Period and Semester Drop (Withdrawal Period)**

- a) The minimum residency period shall not apply in the case of the following PhD students, and it shall not be mandatory for them to undertake academic duties including engaging classes: Self sponsored/ industry/ institution sponsored candidates continuing to be in service, Candidates on exchange programmes for part duration and Senior in-service/ Retired personnel with appropriate experience having served in Government/ Private/ Defence sector.
- b) A PhD scholar will not be allowed to withdraw temporarily from the PhD programme before the completion of the coursework.
- c) A PhD scholar may be granted semester drop upto a maximum of two semesters on bonafide grounds by the Chairperson, Senate. Except on medical grounds or extraordinary circumstances, semester drop is not permissible before successful completion of coursework and finalization of topic within the prescribed period. A PhD scholar applying for semester drop shall apply in prescribed format and submit his/ her application to the Chairperson of respective DRC through his/her Supervisor. The DRC shall examine the gravity of the case and send its observation and forward the same to the Chairperson, Senate. Cases of semester drop shall be reported to the Senate and no scholarship / fellowship shall be admissible during the period of a semester drop. The period of semester drop will not be counted in the prescribed time limit for completion of the PhD Programme.
- d) A Ph.D. scholar shall be permitted to carry out part or whole of his/ her research work outside SPAB in any laboratory, workshop, worksites and other research centres recognized by SPAB.

**Regulation-12: Finalization of the Dissertation Topic**

- a) The PhD scholar in consultation with his / her Supervisor shall finalize the dissertation topic.
- b) Once the PhD scholar and his / her supervisor agree with the topic, the Supervisor shall request the concerned DRC to examine it. DRC shall conduct the Topic - finalization seminar. Chairperson of concerned DRC shall ensure the participation of at least one external expert of the DRC to the topic finalization seminar.
- c) The PhD scholar shall submit a synopsis on the proposed topic of dissertation and give a slide presentation before the DRC.
- d) The synopsis should be typed within a minimum of 8000 or a maximum of 10000 words in Arial, 11 font, 1.5 line spacing.

- e) The slide presentation should ideally not have more than twenty slides and should be completed within thirty minutes. The presentation shall be followed by thirty minute question - answer session between the PhD scholar and the DRC.
- f) Upon satisfying itself with the proposed dissertation topic, the concerned DRC shall approve the topic and intimate the same to the DA through Coordinator, Doctoral Programme. After topic finalization, no further changes shall be allowed in the dissertation title. However minor modifications can be considered till pre-thesis based on the suggestions of the concerned DRC. The finalised Topic to be reported to the Senate.
- g) DA may seek DAC's endorsement to the proposed topic, if warranted. Any modification to the approved topic to be reported to the Senate.
- h) DA may also seek DAC's endorsement to the request for additional Supervisor from the concerned DRC and shall recommend the same to the Chairperson, Senate if additional supervision is found necessary.
- i) On receipt of approval from the Chairperson, Senate; Coordinator, Doctoral Programme shall inform the DRC and the PhD scholar and the latter shall proceed with the research work on receipt of such communication from DA in prescribed format (Annexure-I).
- j) Any change in the title of the dissertation by the DRC at any subsequent stage is permissible at the request to be made by a PhD scholar in the prescribed format if such change is agreed to by the Supervisor and endorsed by the concerned DRC Chairperson of concerned DRC. Any modification to the approved topic to be reported to the Senate.
- l) Dissertation topic must be finalized within four semesters from the date of registration to the PhD Programme.
- m) Registration of a PhD scholar, availing semester drop, shall stand cancelled if s/he fails to finalize the topic within three years (i.e., within six consecutive semesters) from the date of registration to the PhD programme.
- n) A PhD scholar shall get three chances to get his/her PhD topic finalized within the stipulated period as given under RG-12 (l and m).
- o) If the PhD scholar fails to defend his/her topic for the third time, his/her PhD registration shall stand annulled.

### **Regulation-13: Definition of Supervisor / Co-Supervisor / External Guide**

'Supervisor' shall mean a permanent full time faculty of SPAB, holding a PhD and having 3-5 research publications in (i) indexed/with impact factor journals and (ii) book chapters in leading reputed publications of international level and (iii) having expertise in the proposed area of research of the respective PhD candidate. S/he will be considered as the main guide and shall be consulted in all matters related to the research works of the PhD scholar after his/her appointment.

'Co-Supervisor' shall mean a permanent fulltime faculty of SPAB or faculty/ professionals from other recognized institution, holding a PhD and having expertise in the proposed area of research of the respective PhD scholar to co-supervise the research / academic work of the PhD scholar.

- i. Co-Supervisor from partner institutes with whom formal institutional collaborations through MoUs on Research have been undertaken.
- ii. Co-Supervisor from other institutes of repute of national and international level.
- iii. Co-Supervisor from reputed professionals with a minimum of 5 years of experience post-PhD.

'External Guide' shall mean an expert with a PhD in the concerned research area of the respective PhD scholar from outside SPAB to co-supervise the research / academic work of the PhD scholar. The Co-Supervisor / External Guide (if any) shall undertake joint supervision of the research work of the PhD scholar through mutual consultations with the Supervisor.

Appointment of co-supervisor, if any, shall be done before the Topic Finalization Seminar (TFS), i.e., within a maximum period of first two years (four consecutive semesters). Thereafter, no such requests for appointment of the co-supervisor shall be entertained.

### **Regulation-14: Choice of Supervisor**

- a) Taking into consideration the research profile of the permanent full time faculty of SPAB, a PhD scholar shall give his /her choice for Supervisor in prescribed format after obtaining the consent of the particular faculty of SPAB. The PhD Supervisor Consent Form (Annexure-I) duly signed by the concerned faculty of SPAB and the PhD scholar must be submitted to the Chairperson of concerned DRC within first six months of registering into the PhD programme.
- b) A PhD scholar may choose a Supervisor / Co-Supervisor from any department other than the department s/he is assigned to subject to the condition that the Supervisor / Co-Supervisor has the requisite expertise and concerned DRC endorses such choice of concerned PhD scholar in view of the interdisciplinary nature of the research work.

  
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- c) Each PhD scholar shall have one Supervisor from SPAB who will be the internal as well as main guide.
- d) A PhD scholar can request for a Co-Supervisor in the prescribed format duly signed by the PhD scholar and the Co-Supervisor respectively and submit the same to the Chairperson of concerned DRC. It would be the prerogative of concerned DRC to accept or reject such request from the PhD scholar.
- e) There shall not be more than two Supervisors (Supervisor and Co-Supervisor) for a PhD scholar from amongst the permanent full time faculty of SPAB.
- f) A PhD scholar can request for an External Guide in the prescribed format duly signed by the PhD scholar and the External Guide respectively and submit the same to the Chairperson of concerned DRC. In such case, the PhD scholar will be required to submit a brief bio-data of the External Guide to the DA. It would be the prerogative of concerned DRC to accept or reject such request from the PhD scholar.
- g) At any point of time, a PhD scholar shall not have more than three persons guiding him/her.

**Regulation-15: Change of Supervisor/ Co-Supervisor/ External Guide**

Upon the request of the PhD scholar or upon the request of the Supervisor/ Co-Supervisor / External Guide, the concerned DRC may recommend appointment of new Supervisor/ Co-Supervisor/ External Guide to the DA. DA shall refer the matter to the Chairperson, Senate and recommend the subsequent appointment of new Supervisor/ Co-Supervisor/ External Guide as the case may be. Such change of Supervisor/ Co-Supervisor/ External Guide shall be admissible only once during the entire period of studentship of a PhD scholar. A PhD scholar shall not be allowed to submit final dissertation report within one year of making such change of Supervisor / Co-Supervisor / External Guide. No change of Supervisor / Co-Supervisor / External Guide shall be entertained in less than one year from the date of submission of final dissertation report.

**Regulation-16: Appointment of Supervisor/ Co-Supervisor/ External Guide**

- a) Appointment of Supervisor/ Co-Supervisor / External Guide shall be made by the Chairperson, Senate on the recommendation of DRC.
- b) Appointment of 'Co-Supervisor' and 'External Guide' shall be contingent upon the written endorsement of the Supervisor in the prescribed format and subsequent approval by the concerned DRC.
- c) Recommendation of DRC to the appointment of Supervisor / Co-Supervisor / External Guide under RG-16 (a to b) shall be sent to DA who shall forward the same to the Chairperson, Senate.

- d) Continuance of retired faculty of SPAB as Supervisor/ Co-Supervisor
- i. When a SPAB faculty member, who has guided a PhD scholar for at least three years as Supervisor, retires, s/he shall be allowed to continue as the Co-Supervisor. In such cases, DRC shall recommend the appointment of a permanent full time SPAB faculty as the Supervisor to the Chairperson, Senate through DA.
  - ii. When a SPAB faculty member, who has guided a PhD scholar for less than three years as Supervisor, retires, s/he may be allowed to continue as the External guide. In such cases, DRC shall recommend the appointment of a permanent full time SPAB faculty as the Supervisor to the Chairperson, Senate through DA.
  - iii. When a SPAB faculty member, who has guided a PhD scholar as Co-Supervisor retires, s/he may be invited in the meeting of DRC as an external expert.
  - iv. In case a Supervisor goes on Lien/Deputation for a long period of at least 12 months or one academic year, the DAC shall appoint another Supervisor from among the members of faculty within the department, and if not available, from allied departments. To be approved by Senate Chairperson. All eligibility criteria shall apply while selecting the new Supervisor. The original Supervisor shall continue as Co-Supervisor, unless the candidate is within 6 months of submission of thesis, in which case, the original Supervisor may continue, along with appointment of a Co-Supervisor from within SPA Bhopal.
  - v. In case a faculty member of SPAB who is the Supervisor resigns from SPAB, s/he may be allowed to act as Co-Supervisor. In such case, a new Supervisor from amongst the faculty members of SPAB having the eligibility as per RG-13 shall be appointed by the Chairperson, Senate on the recommendation of DRC within three months (Annexure-I).
- e) At one point of time, number of PhD scholars under a SPAB faculty shall not be more than five. In case of joint supervision the number would be counted as one for Supervisor and half for Co-Supervisor. The tenure of a Supervisor/ Co-Supervisor/ External Guide shall be counted from the date of his / her appointment as Supervisor/ Co-Supervisor till the date of Notification of PhD degree conferment.
- f) If by oversight, any SPAB faculty is found to be exceeding the maximum number of PhD scholars s/he can supervise, s/he shall act as a mentor to the PhD scholar till such time a Supervisor is allocated to the PhD scholar. The concerned DRC shall have to find a Supervisor for the PhD scholar as early as possible in such cases.

  
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**Regulation-17: Constitution of Departmental Research Committee (DRC)**

The Chairperson, Senate shall constitute Departmental Research Committee (DRC) for each department of SPAB offering PhD Programme. The composition of DRC shall be as follows:

- i. Head of Department - Chairperson (ex-officio)
- ii. Three fulltime permanent faculty of SPAB having a PhD degree to be nominated by the Chairperson, Senate - Members
- iii. Two External Experts - Members
- iv. Dean (Academic Affairs) - Member (ex-officio)
- v. Coordinator, Doctoral Programme - Member (ex-officio)
- vi. PhD Supervisors/ Co- Supervisors of the Department - Members

Members of faculty under RG-17 (ii) shall be drawn from the concerned department as well as other departments of SPAB. Professor, Associate Professor as well as Assistant Professor shall be eligible to be nominated to the DRC. While nominating members of faculty from other departments, it shall be ensured that the profile of the faculty so nominated aligns with the research thrust of the concerned DRC. The quorum for the meeting of DRC shall be three fifth of total number of members of DRC. The tenure of all members under RG-17 (ii) and (iii) shall be two years from the date of Notification of constituting the DRC which is however renewable as decided by the Chairperson, Senate.

In the event of Head of Department not having doctoral degree, senior most faculty of the department with doctoral degree shall be the chairperson of DRC. In the event of senior most faculty of the department not having doctoral degree, Programme Coordinator of the department having doctoral degree shall be the chairperson of DRC. In the event of Programme Coordinator of the department not having doctoral degree, Head of any other department with doctoral degree shall be nominated as the chairperson of DRC. Chairperson, Senate reserves the right to reconstitute the DRC before the expiry of its tenure, if warranted.

**Regulation-18: Functions of Departmental Research Committee (DRC)**

Functions of DRC shall be as follows:

- i. DRC shall recommend and approve the coursework for the PhD scholar besides conducting Seminar 1 and 2 as given under RG-10.
- ii. DRC shall examine the cases of semester drop and give its recommendation to DA as given under RG 11(c).
- iii. DRC shall conduct the Topic-finalization seminar to approve the topic of dissertation.
- iv. Chairperson of concerned DRC shall ensure the participation of at least one external expert of the DRC to the topic finalization seminar.
- v. Chairperson, DRC may invite any member of SPAB faculty to the meeting of DRC if the

latter's expertise is warranted to finalize any matter related to the research work of a PhD scholar. If the need for a specialist is felt in any case, who is not available in an existing DRC, a provision of a special invitee may be included, beyond the regular composition of the DRC, including past members of DRC.

- vi. DRC shall recommend the appointment of Supervisor/ Co-Supervisor / External Guide of a PhD scholar as given under RG-16.
- vii. DRC shall review the report and forward the progress report to DA periodically.
- viii. DRC shall examine the dissertation report and satisfy itself with the research work before conducting the Pre-Thesis-Submission seminar.
- ix. DRC shall forward the panel of external examiners for evaluation of the dissertation report to the Chairperson, Senate through DA as required under RG-29 (b).
- x. Upon the receipt of communication from Coordinator, Doctoral Programme about the acceptance of the dissertation report by the external examiners, DRC shall seek approval from the Chairperson, Senate through DA for the conduct of viva voce as given under RG-28.
- xi. Chairperson, DRC shall convene meeting of DRC from time-to-time or whenever warranted.
- xii. Coordinator (Doctoral Programme) shall record the minutes of the meeting in consultation with the DRC Chairperson and send the same to all concerned.
- xiii. Any other functions as and when directed by the Chairperson, Senate.

#### **Regulation-19: Constitution of Scholar Research Review Committee (SRRC)**

On the recommendation of the respective DRC, the Chairperson of the Senate shall constitute a Scholar Research Review Committee (SRRC) for each registered PhD scholar whose research topic has been duly finalized by the DRC. The constitution of the SRRC will be as follows:

- i. Chairperson of the respective Departmental Research Committee (DRC)
- ii. Supervisor of the Ph.D. scholar
- iii. Domain expert from the institute.
- iv. One external subject expert outside the institute (If the topic of the dissertation necessitates such expertise to guide the PhD scholar), in consultation with the supervisor and DRC.

The tenure of SRRC shall be from the date of its constitution (post topic finalization) till the

Notification of conferment of PhD degree.

Chairperson, Senate reserves the right to reconstitute the SRRC before the expiry of its tenure, if warranted.

**Regulation-20: Functions of Scholar Research Review Committee (SRRC)**

- i. SRRC shall conduct periodic reviews to ascertain the PhD scholar's progress in his/her research work as given under RG 23.
- ii. SRRC shall forward the progress report of the PhD scholar to the Chairperson of concerned DRC who shall forward the same to DA from time to time as given under RG 23.
- iii. SRRC shall suggest suitable remedial action to the Chairperson of concerned DRC which shall forward the same to the Chairperson, Senate, through DA if the PhD scholar's progress is not satisfactory for any reason as given under RG 23.
- iv. SRRC shall examine the comments of external examiners and do the needful as warranted under RG 29(i).

**Regulation-21: Constitution of Doctoral Advisory Committee (DAC)**

The Chairperson, Senate shall constitute a Doctoral Advisory Committee (DAC) at the institute level. The composition of DAC shall be as follows:

- a) Chairperson, Senate
- b) Dean, Academic Affairs - Chairperson (ex-officio)
- c) All Head(s) of Departments - Members (ex-officio)
- d) Two external experts to be nominated by the Chairperson, Senate-Members
- e) Coordinator, Doctoral Programme-Member (ex-officio)

The quorum for the meeting of DAC shall be three fifth (3/5) of total number of members of DAC. The tenure of all non ex-officio members of the DAC shall be two years from the date of Notification of constituting the DAC. Chairperson, Senate reserves the right to reconstitute the DAC before the expiry of its tenure, if warranted.

**Regulation-22: Functions of Doctoral Advisory Committee**

Functions of DAC shall be as follows:

- a) DAC shall recommend amendments to the PhD Regulations from time-to-time.

- b) DAC shall facilitate inter-departmental coordination in conducting the PhD programme, including appointment of co-supervisors from across Departments.
- c) DAC shall allocate the Department to a PhD scholar in the event of disagreement amongst departments to decide the department under which the PhD scholar shall carry out his / her research.
- d) DAC shall examine and facilitate change of Department if so requested by a PhD Scholar.
- e) DAC shall examine and facilitate cases of transfer of candidates to other institutes, if applied for and selection of candidates for exchange programme based on the Credit Transfer Policy 2020.
- f) DAC may ask for re-conducting of Topic - Finalization Seminar and / or Pre-Thesis - Submission Seminar, if warranted.
- g) DAC shall resolve issues brought to it by the respective DRC pertaining to the PhD programme.

**Regulation-23: Review of the Research**

- a) A PhD scholar shall be required to submit a written report in the prescribed format every six month to the respective DRC s/he is assigned to.
- b) The report shall be forwarded through the respective Supervisor of the PhD scholar.
- c) The progress made by a PhD scholar shall be reviewed by the DRC, preferably every six month, till the final submission of the dissertation report. In the event of unsatisfactory progress, a mid-term review may be held to facilitate improvement through a physical or virtual SRRC.
- d) DRC shall forward the progress report to DA periodically.
- e) DRC shall examine and propose the remedial actions and send its recommendation to the Chairperson, Senate, through DA if the PhD scholar's progress is not satisfactory for any reason.
- f) Continuance of registration to the PhD programme and the continuance of the scholarship/ fellowship/ sponsorship shall be contingent upon the satisfactory progress of the research made by the respective PhD scholar as evaluated by the respective DRC.
- g) Unsatisfactory progress as reported by the concerned DRC in three consecutive reviews shall disqualify a PhD scholar and s/he shall be deregistered from the PhD programme.

**Regulation-24: Acceptance of Employment - Temporary Relief from PhD Programme**

- a) A full time PhD scholar who has been offered an employment may accept the same while keeping his/ her registration active on payment of the requisite fees every year/ semester as the case may be, provided s/he:
  - i. Has successfully completed the course work
  - ii. Has got the research topic finalized
- b) The registration for such PhD scholars in subsequent semesters shall however be contingent on the satisfactory progress to the satisfaction of the concerned DRC.
- c) The PhD scholar who gets employed shall cease to receive the scholarship / fellowship awarded to him / her prior to the employment from the day s/he is released from the PhD programme.
- d) Such PhD scholars would not be allowed any extra time for completion of PhD programme.
- e) Such PhD scholar shall cease to be a full time PhD scholar.

#### **Regulation-25: Duration of PhD Programme**

- a) Maximum permissible duration of the PhD programme shall be a maximum of five years. However, any extension beyond five years shall be at the discretion of the Competent Authority but not beyond more than two years. In addition, the relaxation to the said duration shall be as per the 3.3 clause of 'Draft University Grants Commission (Minimum Standards and Procedures for Award of Minutes of the Doctoral Advisory Committee on 23.02.2024 Ph.D. Degree) Regulations, 2022', "*Women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of PhD*". The duration of PhD shall be as per the Government of India norms from time-to-time. The duration for completing PhD shall not include any approved leave such as maternity leave or semester break.
- b) Minimum duration of completion of programme from date of registration to final submission: 3 years. Maximum duration of completion of the programme from the date of registration to the final submission: 5 years.
- c) Minimum duration of coursework and topic finalization: one year (2 consecutive semesters). Maximum duration for completing coursework and finalizing the topic: 2 years from the date of registration for the PhD Programme. Failure to submit the final dissertation report within the stipulated period of 5 years shall result in the cancellation of registration of the PhD scholar from the PhD Programme.
- d) The duration of the PhD programme shall be calculated from the date of registration in

the PhD programme to the date of submission of the final dissertation report.

**Regulation-26: Pre-Thesis Submission Seminar**

- a) On satisfactory completion of the prescribed coursework as given under RG-10 and the research work as given under RG-9 (c), the PhD scholar, through the supervisor, shall submit a draft copy of the dissertation report (typed and spiral bound) to the concerned DRC and request the concerned DRC to conduct the Pre-Thesis-Submission seminar.
- b) Pre-thesis Submission Seminar presentation to be conducted in a minimum of 5 semesters and a maximum of 9 semesters from the time of registration.
- c) DRC shall hold a meeting and satisfy itself with the research work before intimating DA about conducting the Pre-Thesis-Submission seminar of the PhD scholar. Presence of at least one of the external members of the concerned DRC and, if warranted, an eminent expert in the concerned field (to be nominated by the Chairperson, Senate) in the Pre-Thesis Submission seminar must be ensured.
- d) In the event of there being no necessity for any modification, DRC would recommend the final evaluation of the dissertation report.
- e) In the event of DRC not being satisfied with the dissertation report, the Chairperson of DRC would send comments for incorporation to the supervisor of the PhD scholar, as well as the PhD scholar, detailing the weaknesses and errors in the dissertation report.
- f) The PhD scholar shall get three months from the date of receipt of the Report from the Chairperson of DRC to incorporate necessary modifications in the dissertation in the light of the Report and shall reappear in the Pre-Thesis Submission seminar before the DRC as fixed by the latter.
- g) On the recommendation of DRC, the PhD scholar may be given an additional three months by the DAC in addition to the one provided under RG 26 (f) to incorporate the necessary modification/correction, failing which his /her PhD registration shall stand cancelled.
- h) DRC shall recommend final evaluation of the dissertation report by external examiners to DA if it finds the revised dissertation report acceptable by SRRC.
- i) On receipt of the final dissertation report as given under 28 (c), the examination process will be initiated by the Coordinator-Doctoral Programme.
- j) Chairperson of the concerned DRC may invite members of the faculty and interested students to the Pre-Thesis-Submission seminar.
- k) A panel of ten potential external examiners (preferably from the cited list of the dissertation) provided by the supervisor, recommended by the concerned DRC, shall be submitted (through the Dean of Academic) to the Chairperson, Senate, for the

selection of two external examiners.

### **Regulation-27: Publication of Research Work**

Before the submission of the final Dissertation Report for external examination, a PhD scholar shall have at least two research papers by him/ her (one journal paper publication as per the Web of Science (SCIE, SSCI & AHCI and SCOPUS Source List) and one conference paper publication). The paper should be accepted/ published in peer-reviewed journals as per the Web of Science (SCIE, SSCI & AHCI and SCOPUS Source List) where s/he is the first author. S/he must also get at least two papers presented at any conference/ seminar/ workshop, etc. In both cases, the paper may be coauthored by any person(s). The supervisor/s may be the co-authors. Upon the conferment of a PhD degree, a PhD scholar, while publishing his/ her PhD partly or fully, shall duly acknowledge SPAB. The verification of the publications shall be done by the Librarian-in-Charge of SPAB.

### **Regulation-28: Submission of Dissertation Report**

- a) Final report to be submitted by the PhD scholar for external evaluation within a maximum time period of 10 semesters (5 years).
- b) The Dissertation Report shall be a factual record of the PhD scholar's research work characterized by the discovery of new facts, or a fresh interpretation of known facts and theories. It should demonstrate the scholar's objective judgment and ability to conduct an independent investigation.
- c) A PhD scholar shall submit three A4-size paperback or spiral-bound copies (preferably in acid-free paper) of the dissertation report, along with one digital copy, together with a plagiarism checking report and ORCID ID, within one month from the date of successfully presenting the Pre-Thesis Submission seminar to the office of DA. S/he shall ensure that all corrections, revisions, and modifications have been made to the dissertation report as suggested in the Pre-Thesis Submission seminar.
- d) The Dissertation Report shall begin with a Cover page (Annexure-IIIA), Declaration and Certificate (Annexure-III B), Acknowledgement (not exceeding two pages), Abstract (no less than 3000 and no more than 5000 words), List of tables with page no., List of figures with page no., List of images/photographs with page no., List of abbreviations, Contents indicating Chapters with sections/sub sections with page no., Glossary, Annexure(s), References and Bibliography.
- e) Cover page and Front page of the Copies of reports shall not contain the names of the candidate or the Supervisor. Only Thesis Title and Department to be mentioned. Everywhere in the report (annexures/ attached publications), the name of the candidate and Supervisor/s shall be removed. On the copies of the final report presented at the time

of Thesis Defense Presentation, the names of Candidate and Supervisor/ Co supervisor shall appear. Signatories of the Report shall only be: (i) Supervisor Co supervisor and (ii) Head of Department.

- f) There shall be zero tolerance against Plagiarism. Each Dissertation Report shall be filtered through plagiarism checking software and the DRC shall impose the following penalty on a PhD scholar in the event of being found guilty of plagiarism considering its severity.
- i. Level 1: Similarities above 10% to 25% - Such PhD scholar shall not be given any credit for the plagiarized script and shall be asked to submit a revised Dissertation Report within a stipulated time period not exceeding three months.
  - ii. Level 2: Similarities above 25% to 50% - Such PhD scholar shall not get any credit for the plagiarized script and shall be asked to submit a revised Dissertation Report within a stipulated time period not exceeding six months.
  - iii. Level 3: Similarities above 50% -Such PhD scholar shall not be given any credit for the plagiarized script and his/her registration for PhD programme shall stand cancelled.
- g) The writing of the Dissertation Report shall follow the specification indicated below:

S.No.	Subject	Specifications
1.	Cover	Hardbound Navy Blue for Final Submission during viva voce
2.	Sequencing of pages	(i) Certificate (Annexure), (ii) Acknowledgement (not exceeding two pages), (iii) Abstract (no less than 3000 and no more than 5000 words), (iv) List of tables with page no., (v) List of figures with page no., (vi) List of images/photographs with page no., (vii) List of abbreviations, (viii) Contents indicating Chapters with sections / sub sections with page no., (x) Main texts spread across chapters, (xi) Reference, (xii) Bibliography
3.	Printing	Back to back, double spaced
4.	Paper size	A4
5.	Paper quality	Executive bond/minimum of 75 gsm acid free paper
6.	Page margins	Left 1.25", other margins 1"
7.	Text	Arial (11), except for chapter names, tables and footnotes
8.	Numbers in running text	For 0 to 9, write in words. Above nine, use numbers
9.	Spacing	1.5, except for text in tables
10.	Header	Chapter name (centre align), Arial, 10
11.	Footer	Thesis title (centre align), Arial, 10
12.	Footnote	Arial (10)
13.	Heading Style	Chapter 1 (Arial, 16, Bold, Uppercase) Main Heading (Arial, 14, Bold) to being with 1.0 Side Heading (Arial, 12, Bold) to being with 1.1 Side Sub Heading (Arial, 12) to being with 1.1.1
14.	Page no.	Bottom centre Arial, 10 Preliminaries (pages before Chapters) Roman, small numbers (i, ii, iii.....) (Please note: Declaration and certificate will be without page numbering)

		Body	Page numbers (1, 2, 3 ..... )
15.	Maps	A4 size (coloured, scaled maps with proper title panel including map title, legend, north point, scale, source, key map/location map, notes, etc.) at appropriate locations.	
16.	Tables	Text in Table	Arial,11, single spacing
		Table No. and Heading	Arial, 12, Top Left Eg. Table No.1: Population, Bhopal (2011)
		Sources	Arial, 10, Italics, Bottom Left Eg. <i>Source: Directorate of Economics and Statistics (2001).</i>
17.	Figures (Illustrations/ Photographs/ Maps/Graphs/ Charts, etc.)	Heading	Arial, 12, Bottom Left Eg. Fig. No.1:Landuse, Bhopal (2011)
		Source	Arial, 10, Italics, Bottom Left Ea. <i>Source: Directorate of TCP (2001)</i>
		Note: Source to be mentioned for borrowed material	

- h) All tables, figures, images, photograph should be readable, properly titled and numbered and should quote the source(s).
- i) All Chapters, Sections and Sub Sections should be properly titled and numbered.
- j) There is no word limit for the dissertation report, but ideally it should not exceed three hundred pages (including bibliography, images and photographs).
- k) Harvard style referencing shall preferably be followed in the Dissertation Report.

#### **Regulation-29: Appointment of External Examiners and External Evaluation of Dissertation Report**

- a) The Dissertation Report shall be sent for external evaluation to two external examiners, (after the fulfillment of all the mandatory requirements as per the applicable PhD checklist at Annexure-IIA/IIB).
- b) A panel of ten potential external examiners, preferably from the cited list of the dissertation, by the supervisor, recommended by the concerned DRC, shall be submitted (through DA) to the Chairperson, Senate, for the selection of two external examiners. DRC shall satisfy itself about the eminence and qualifications of each of the external examiners for a concerned Thesis, before recommending the panel to the Chairperson, Senate. A brief CV as detailed below is to be submitted. Judicious selection of examiners, based on the expertise of each of them in the given field of the Thesis report is to be ensured.
- c) Qualifications of Examiner:
- The examiner should be an academic with a PhD degree with research in the field of work of the Thesis Report being sent for evaluation.  
Or
  - A professional (with a PhD) with work in the field of the Thesis report being sent, with an experience of a minimum of 5 years post-PhD.
  - A brief CV of the proposed external with recent publications in the last 5 years shall be submitted by the DRC when suggesting panel members to the Senate

Chairperson.

- iv. An examiner cannot be sent more than one Thesis Report at the same time.
  - v. There shall be a gap of at least two academic years before the next Thesis is sent to the same examiner.
- d) The Chairperson, Senate shall choose external examiners from the panel and communicate the same to the Office of the Doctoral Programme for further necessary action. The Office of the Doctoral Programme shall coordinate with the external examiners for the evaluation of the dissertation reports. The names of external examiners nominated by the Chairperson, Senate shall be kept strictly confidential and shall not be shared with the DRC and Supervisor until the receipt of the external examiner's report.
  - e) The Chairperson, Senate may nominate any other external examiner(s) other than the ones from the panel submitted to him/her, meeting all the criteria mentioned above.
  - f) No one will be appointed as external examiner, if s/he has coauthored any paper with the PhD scholar and/or the concerned PhD scholar's Supervisor/ Co-Supervisor prior to the submission of final dissertation report by the PhD scholar.
  - g) External examiners are expected to send their evaluation report in prescribed format (Annexure-IV A & B) within two months, Coordinator, Doctoral Programme shall send one reminder. If external examiner's comments are not received within one month from the date of sending the reminder, the Chairperson, Senate shall nominate another external examiner from the panel.
  - h) Evaluation Procedure:
    - i. If both/all the external examiners recommend the Thesis for award of PhD degree, i.e. grading from A to B (a) or (b), the concerned DRC shall propose the conducting of viva voce to the Chairperson, Senate through the DA.
    - ii. If one or two of the external examiners suggest resubmission of the Thesis report, (grade B (iii) in Annexure-IVA) the PhD scholar shall do the needful under the guidance of his/her Supervisor, within a maximum period of 3 months from the date of receiving the report and resubmit the report to the office of DA for sending back to the examiner once again.
    - iii. In case the first examiner refuses to re-examine the thesis again, it may be sent to a new examiner from the panel or as recommended by the Senate Chairperson.
    - iv. If any one of the external examiners does not recommend the thesis report, (grade C in Annexure-IV A), the report will be sent for re-examination to another examiner out of the panel of approved examiners or recommended by Senate Chairperson, notwithstanding the report of the other examiner/s.
    - v. If the report of the latest examiner is satisfactory, the Thesis Defense shall be held. If the report of the latest examiner is unsatisfactory, the thesis shall not be



in the final version of the dissertation after taking into consideration the suggestions of the examiners at the viva voce.

- k) On receipt of Senate's approval, the PhD scholar shall work upon the suggestions of the examiners at the viva voce and incorporate the same in the dissertation report. The Chairperson of concerned DRC shall certify that the PhD scholar has complied with the directives and recommend DA to refer the matter to the Chairperson, Senate for approval of Senate. The PhD degree shall be awarded to the PhD scholar on receipt of Senate's approval.

### **Regulation-31: Leave Admissible for a Full Time PhD Scholar**

- a) Ordinary Leave: A full-time PhD scholar shall be eligible for thirty days' leave for every completed year (calculated in terms of two consecutive semesters, from the time of his/her joining the PhD programme). Saturdays, Sundays or holidays during the leave period shall be counted towards leave, except for prefixed or suffixed holidays. Of the thirty days' leave, a maximum of fifteen days' of leave is permitted in a semester. However, a PhD scholar can accumulate leave, and avail a maximum of 30 days' leave at a time in a year. The maximum number of carried-over leave, from one completed year to another, is fifteen days.

Chairperson of concerned DRC shall sanction the leave on recommendation of the Supervisor. The office of Coordinator, Doctoral Programme shall maintain the Leave Register. A PhD scholar shall sign the Leave Register both before proceeding for leave and after availing the leave.

- b) Maternity/Paternity Leave: A full-time PhD scholar shall be eligible for four months' maternity leave or fifteen days of paternity leave as the case may be and as applicable only once during the PhD Programme.

Chairperson of concerned DRC shall sanction maternity / paternity leave on the recommendation of the Supervisor and on the submission of a certificate from a registered medical officer. The office of Coordinator, Doctoral Programme shall maintain the Maternity / Paternity Leave Register. A PhD scholar shall sign the Maternity / Paternity Leave Register both before proceeding for leave and after availing the leave.

- c) Academic Leave: A full-time PhD scholar shall be eligible for academic leave upto a maximum of six weeks during a calendar year on the following grounds.
- Attending conferences/seminars/workshops/trainings/short-term courses.
  - Field trips for data collection, survey work, etc.

- d) A part-time PhD scholar may also avail academic leave as above only after the completion of coursework. Chairperson of concerned DRC shall sanction the

- academic leave on recommendation of the Supervisor. The office of the Coordinator, Doctoral Programme shall maintain the Academic Leave Register. A PhD scholar shall sign the Academic Leave Register both before proceeding for leave and after availing the leave. Academic leave to a full time PhD scholar exceeding six weeks upto a maximum of sixty days in a calendar year is subject to the approval of Chairperson, Senate on the recommendation of Chairperson of concerned DRC.
- e) A PhD scholar granted any of the aforesaid leave shall registration in every semester. If a registration date falls during the period of leave, the PhD scholar shall register himself/herself after the expiry of his/her leave. Full fellowship / scholarship shall be given to a full time PhD scholar during the leave of absence as indicated under RG-31 (a to c).
- i. No breaks are permissible during the duration of coursework.
  - ii. After Topic Finalization, a candidate may take a break of maximum of 2 consecutive semesters after taking due approval from DRC, duly approved by Senate Chairperson.
  - iii. Maximum duration of the PhD course shall remain unchanged without adding break period.

### **Regulation-32: Legal and Other Matters**

- a) Notwithstanding anything stated above, the Senate has the right to modify any of the above Regulations from time to time.
- b) All other cases, not covered by the above, shall be referred to the Senate.
- c) The maximum time fixed for various matters provided under the Regulations may be relaxed up to a period of ninety days subject to the approval of Chairperson, Senate on the recommendation of DA. However, such relaxation shall not mean any extension to the time allotted for submission of final dissertation report as given under RG-25 (a and b).
- d) Any legal matter relating to Regulations under 1 to 31 shall be subjected to Jurisdictions of Court (s) in Bhopal only.
- e) Any emergent issue or the representation made by or on behalf of the scholar on the ensuing doctoral work at the SPAB shall be resolved by the Chairperson Senate or any such committee constituted by the Chairperson. The decision arrived at by the Chairperson Senate or committee constituted by him or her, notwithstanding any other matter shall be-conclusive, final and binding on the scholar.

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*(Faint, illegible text)*

  
कुलसचिव  
Registrar

योजना एवं वास्तुकला विद्यालय, भौरी, भोपाल  
School of Planning & Architecture, Bhoari, Bhopal

**Annexure-I**

**School of Planning and Architecture, Bhopal**

(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India

**PhD Supervisor Consent Form**

1. Name of the Candidate: \_\_\_\_\_
2. Scholar Number: \_\_\_\_\_
3. Proposed Research Topic / Area: \_\_\_\_\_  
\_\_\_\_\_
4. Name and Designation of the proposed Supervisor: \_\_\_\_\_
5. Complete Postal address of the proposed Supervisor: \_\_\_\_\_  
\_\_\_\_\_
6. Email and Contact / Mobile No.: \_\_\_\_\_  
\_\_\_\_\_
7. Consent of the proposed Supervisor: I am willing to supervise Ms./Mr./Mrs. \_\_\_\_\_  
\_\_\_\_\_ for his/her PhD Programme in the area of  
research \_\_\_\_\_  
\_\_\_\_\_ for the registered term. The rules and regulations of the Institute,  
concerning the PhD Programme and relevant matters are fully acceptable to me and will be abided  
(please enclose the CV of the proposed supervisor, if s/he is not a faculty member of SPA Bhopal).

(Signature of the Supervisor)

Dated \_\_\_\_\_

Place \_\_\_\_\_

(Signature of the PhD Scholar)

Dated \_\_\_\_\_

Place \_\_\_\_\_

## Annexure-II (A)

**School of Planning and Architecture, Bhopal**(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India**PhD Checklist**

(Applicable to the PhD batches registered before AY 2025-26)

Name of the Scholar					
Scholar No.					
Date of Registration					
Co-Supervisor Name					
Re-Registration (if any)					
Re-Registration (if any)					
S.No.	Particulars	Ordinance	Whether Fulfilled		Remarks
			Yes	No	
1	Overall tenure	Years from the date of registration [3.2 of Ordinance 2020 amended]			
2	TFS Date	Two year- 2 consecutive semesters [3.3 of Ordinance 2020 amended]			
3	Coursework completion date	One year six months - three consecutive semesters [3.3 of Ordinance 2020 amended]			
4	Fee Details	1) 2) 3)			
5	Leave (if any)	1) Normal Leave of 15 days in a semester (Max 30 days in one year) 2) Maternity / Paternity Leave 3) Academic Leave [Ordinance 2018] 4) Break of maximum two consecutive semesters (without changing the total tenure) after taking due approval from DRC, duly approved by Senate Chairperson [Ordinance 2020 amended]			
6	Pre-Thesis Seminar	To be conducted in a minimum of five semesters and a maximum of eight semesters from the date of registration [11.5 of Ordinance 2020 amended] Other Conditions - [Regulation 24 of Ordinance 2018]			
7	Publication	Before submission of the Final Dissertation Report, a PhD scholar shall get atleast one research paper published in peer reviewed SCI/SSCI/UGD Care indexed journal where scholar is the main author. [Regulation 25 of Ordinance 2018]			
8	Final Dissertation Report	Final report to be submitted by the PhD Scholar for external evaluation within maximum time period of 10 semesters (05 years)* [3.2 of Ordinance 2020 amended]			
9	External Evaluator (Indian)				
10	External Evaluator (Foreign)				
11	External Evaluator (Indian) (if re-sent)				
12	External Evaluator (Foreign) (if re-sent)				

Signature  
(Coordinator, Doctoral Programme)

## Annexure-II (B)

**School of Planning and Architecture, Bhopal**(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India**PhD Checklist**

(Applicable to the PhD batches registered w.e.f. AY 2025-26)

Name of the Scholar					
Scholar No.					
Date of Registration					
Supervisor Name					
Co-Supervisor Name					
Re-Registration (if any)					
S.No.	Particulars	Relevant Regulation of Ordinance for Doctoral Programmes (Amended) 2024	Whether Fulfilled		Remarks
			Yes	No	
1	Overall tenure	Years from the date of registration (RG-23)			
2	TFS Date	Maximum period of first 2 years (4 consecutive semesters) (RG-12)			
3	Coursework completion date	One year six months (3 consecutive semesters) (RG-23c)			
4	Fee Details	1) 2) 3)			
5	Leave (if any)	RG-29			
6	Pre-Thesis Seminar	To be conducted in a minimum of five semesters and a maximum of eight semesters from the date of registration (RG-24c)			
7	Publication	RG-25			
8	Final Dissertation Report	RG-26			
9	External Evaluator (Indian)				
10	External Evaluator (Foreign)				
11	External Evaluator (Indian) (if re-sent)				
12	External Evaluator (Foreign) (if re-sent)				

Signature  
(Coordinator, Doctoral Programme)

**Annexure-III (A):**

[THESIS TITLE]

A Thesis

Submitted in partial fulfillment of the requirement for the award of the  
degree of

Doctor of Philosophy

In

[Department Name]

By

[Name of the Candidate/ Scholar]

[Roll/ Scholar Number]

Under the Supervision of

[Name of Supervisor]

[Name of Co-Supervisor, if any]

[Logo of the Institute]

School of Planning and Architecture Bhopal

Neelbad Road, Bhopal – 460 030

[Month, year of submission]

**Annexure-III (B):**

**Declaration**

I, \_\_\_\_\_, Roll / Scholar No. \_\_\_\_\_ hereby declare that the thesis titled “\_\_\_\_\_” submitted by me in partial fulfillment for the award of DOCTOR OF PHILOSOPHY in the Department of \_\_\_\_\_, School of Planning and Architecture Bhopal, India, is a record of bonafide work carried out by me. The matter/results embodied in this thesis have not been submitted to any other University or Institute for the award of any degree or diploma.

[Name and Signature of Candidate/ Scholar]

Date: \_\_\_\_\_

[Roll/ Scholar No.]

**Certificate**

This is to certify that the thesis titled “\_\_\_\_\_” submitted by \_\_\_\_\_ in partial fulfillment for the award of DOCTOR OF PHILOSOPHY, in the Department of \_\_\_\_\_, School of Planning and Architecture Bhopal, India, is a record of bonafide work carried out by her to the best of my knowledge. The matter/results embodied in this thesis have not been submitted to any other University or Institute for the award of any degree or diploma.

**Recommended by**

Signature of Supervisor/ Co- Supervisor with date

[Name of Supervisor and Co- Supervisor with the Department]

**Accepted by**

Signature of DRC Chairperson with date

[Name of the Department]

**Annexure- IV (A):**  
External Examiner's Evaluation Report

**School of Planning and Architecture, Bhopal**  
(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India

**External Examiner's Evaluation Report**

1. Title of the Dissertation: \_\_\_\_\_
2. Department: \_\_\_\_\_
3. Details of External examiner:  
Name: \_\_\_\_\_  
Designation and Institution: \_\_\_\_\_  
Address/email: \_\_\_\_\_
4. Recommendations of the External Examiner (kindly indicate your recommendation by checking the appropriate box)

A.	I recommend acceptance of the dissertation in its present form	
B.	I recommend acceptance of dissertation subject to the candidate	
	(i) furnishing satisfactory clarifications to the queries during the viva voce examination	
	(ii) incorporating the corrections indicated in the evaluation report, but the revised Thesis report need not be sent	
	(iii) incorporating the corrections indicated in the evaluation report and re-submission of the revised Thesis report	
C.	I do not recommend acceptance of the Thesis for the reasons furnished in the evaluation report	

I enclose herewith the evaluation report

(Signature of the External Examiner)

**Annexure- IV (B):**  
External Examiner's Evaluation Report

**School of Planning and Architecture, Bhopal**

(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India

**External Examiner's Evaluation Report**

1) Title of the Dissertation:

*Comments of the External Examiner may kindly address the following:*

- |   |          |
|---|----------|
| 1. Is the title appropriate or does it require any modification?                          | Yes / No |
| 2. Is the aim of the research clearly stated?   | Yes / No |
| 3. Are the objectives clearly achieved as stated in the research?                         | Yes / No |
| 4. Is the literature review sound?  | Yes / No |
| 5. Has the scholar used sound research methods to achieve the objectives?                 | Yes / No |
| 6. Has the scholar interpreted the findings correctly?                                    | Yes / No |
| 7. Has the scholar successfully concluded the dissertation in relation to the objectives? | Yes / No |
| 8. Does the research lead to a fresh approach towards interpretation of facts / theories? | Yes / No |
| 9. Are graphics, photos, illustrations used where needed?                                 | Yes / No |
| 10. Are the writing and structure clear?  | Yes / No |
| 11. Is the language comprehensive?  | Yes / No |
| 12. Are the references / resources clearly acknowledged?                                  | Yes / No |

(Although the comments are sought in binary form, it is only indicative. Kindly use extra sheet to write down your comments against the above mentioned queries)

1) I rate overall work of the scholar as :

- Excellent
- Good
- Satisfactory
- Below expectation
- Unsatisfactory

Name and Signature of the External Examiner

Place and Date: \_\_\_\_\_

**Annexure- IV (C):**

कुलसचिव  
Registrar

**School of Planning and Architecture, Bhopal**(An Institution of National Importance, Ministry of Education, Government of India)  
Neelbad Road, Bhauri, Bhopal – 462030 (M.P.), India**Honorarium for Evaluation of PhD Dissertation Report**

1. Name of the External Examiner, Designation and Address:

2. Title of the Dissertation:

3. Remuneration and other charges:

Sl. No.	Item of Reimbursement	Receipt / Voucher Nos.	Amount
a)	Honorarium for Evaluation of the Dissertation Report		5,000/-
b)	Expenditure towards postal charges, if any, for returning the dissertation report		NIL
c)	<b>Total charges claimed</b>		

{Indicate Nil against (b) in case no postal expenses are incurred}

Amount claimed (in Words) \_\_\_\_\_

4. Miscellaneous Information

- Account Name:
- Name of Bank:
- Branch:
- IFSC Code:
- Account No.
- Type of Account:
- PAN :

(Signature of the External Examiner)

Place and Date: \_\_\_\_\_