



Birla Institute of Technology & Science, Pilani
Pilani | Dubai | Goa | Hyderabad

Operational Guidelines for PhD.

Academic Research (Ph. D. Programme) Division

Birla Institute of Technology and Science, Pilani

Jul 2017

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1. Introduction

This document provide the working guideline for Departmental Research Committee and Academic Research Division for smooth running of Ph.D programme. It is based on the latest Academic Regulation and the various recommendations of Research Board and the Senate of the Institute till Jul 2017.

2. Details about DRC composition and functions

2.1 Departmental Research Committee (DRC)

Each Department has a “Departmental Research Committee” (DRC), consisting of Head of Department (HOD) as ex-officio member and Chairperson, and 2 to 6 faculty members, at the level of Assistant Professor or above, who are active in research. The size of DRC may depend on the number of faculty members in the Department. One of the members acts as its Convener. The term of DRC members is of two years. DRC is approved by the Director of the Campus on the recommendation of HOD through Associate Dean ARD and helps ARD in operations from admission to final thesis submission of a Ph. D. Candidate.

2.2 Admission of on-campus candidates

DRC plays an important role in admission of the Ph. D. candidate. The procedure to be followed is described below-

- a. DRC in consultation with the campus Director will decide on positions available for Full-Time and Part time PhD in a particular semester and inform Associate Dean ARD
- b. Associate Dean will prepare a matrix for all the department and forward to Dean ARD for preparing admission notification.
- c. Admission office will issue notification for admission and invite applications.
- d. Admissions Division will sends a link to HoD through ARD for shortlisting available applications.
- e. HoD and DRC will form a criteria for shortlisting applications and accordingly shortlists the candidates to be called for test/interview. Department will forward short listing criteria to Associate Dean ARD.
- f. The shortlisted candidates will be called for test/interview on specified date.
- g. The examination paper (wherever needed) will be made by the DRC in consultation with other campuses thus, the same examination paper will be used by all campuses for a particular discipline.

- h. On the day of examination, DRC will conduct the test, evaluates the test paper and conducts interview of short listed candidates. For the purpose of interview, DRC may co-opt some more faculty members depending on need and circumstances.
- i. During interaction with the candidates, DRC will also identify the area of research, notional supervisor, DAC members and the course package for the shortlisted candidates.
- j. For interdisciplinary work, DAC member may be appointed from other department/ campuses. This information will be send to Associate Dean, ARD. Students holding first degree (B Tech, B E, M A, M.Sc etc.) must be prescribed a minimum of six courses spread in two semesters with minimum of 24 units. The recommendations (i.e. list of selected/rejected candidates), application forms, name(s) of notional supervisor(s) and the course package are forwarded to Associate Dean, ARD for further processing and admissions related formalities.

2.3 Admission of full-Time students during the semester:

CSIR NET-JRF qualified candidates or the candidates selected in a sponsored project can be admitted any time during the semester with the permission of campus director. Following procedure will be adopted in such cases-

- a. Candidate will submit an application duly forwarded by notional supervisor/ PI of the project to the concerned DRC, along with necessary documents.
- b. If DRC is satisfied with the candidature, application will be send to associate dean, ARD who will seek permission from the campus Director.
- c. Application will be send to Dean ARD who will request Dean Admission to issue PhD application form.
- d. Candidate will submit application form to the admission office with prescribed fee.
- e. DRC will conduct written test & interview (CSIR NETJRF and Higher degree holders, except MBA are exempted from written test) and will send their recommendation to ARD.
- f. Selected candidate will be offered admission letter and will be admitted after paying the requisite fee.
- g. Admitted student will register for course work (if applicable), if the sufficient time is remaining in the semester, otherwise she/he will register for the course work in the following semester.
- h. The admitted candidate can appear for PhD qualifying examination in the same semester if they fulfil all criteria.

2.4 Admission of Part Time candidates:

Admission may be given to the students who are working in reputed research organizations, academic Institutes and industries, situated preferably in the close vicinity of one of the campuses of BITS Pilani, on part time basis. The candidate selected under this scheme, shall be guided by one of the BITS faculty as Supervisor. The progress of these students will be monitored by the respective Departmental Research Committee. It is mandatory for the candidate to obtain all necessary permissions from his/her employer.

Admission will be made along with full time students by following the same process for selection. All existing academic regulations will be applicable to part-time Ph D students also, unless specifically mentioned otherwise.

2.5 Admission of PhD Aspirants scheme:

Off-campus aspirants will apply for admission through admission website. Based on the status of collaboration with candidate's organization and academic background, the suitable applications will be forwarded to the concerned DRC. A candidate has to choose a regular BITS faculty as PhD supervisor. However, a co-supervisor may be selected from other organization. DRC will review the applications with respect to suitability of research area and possibility of supervisor from the department. AGC of the Institute will examine all recommendations and if found suitable, will allow a candidate to appear for Ph D qualifying examination in a specific campus.

2.6 Registration

All Ph D students have to register for required courses suggested by DRC. A Ph. D. candidate under special circumstances can seek permission for not registering in a particular semester. Such request has to be verified and forwarded by DRC to Associate Dean, ARD.

2.7 Course work

For students with First Degree, depending upon the student's qualifications and background, the DRC will, in consultation with the student's notional supervisor and DAC members, prescribe course work for such a PhD. student, and will communicate the same to the Associate Dean, ARD. The minimum of number of courses shall be six with minimum of 24 units. The number of units in one semester should not exceed 14. Candidate should not obtain less than D grade in any course and should have minimum CGPA of 5.50. If less than D grade is obtained, course should be repeated. On obtaining less than D grade in more than one course or CGPA less than 5.50, student shall be discontinued from the programme.

Students with Higher Degree (HD) may also be required to do course work if he is working in different area than his area of HD or having less than 6 courses in his HD. Number of courses will be decided by the Notional Supervisor and DAC members in order to prepare the candidate to undertake research in the chosen area. Number of courses can vary from zero to 6. Campus-based Associate Dean, ARD will forward the prescribed list of courses for all PhD. students to campus-based ARCD for purpose of course registration. On successful completion of prescribed course work a PhD. student will be eligible to appear in qualifying examination, and can apply for the same to DRC.

Course work by Part Time student: If a Part Time PhD student is prescribed the course work by respective DRC, she/he has to register in the course similar to Full Time student and appear for all evaluation components mentioned in the course handout.

2.8 Ph. D. Qualifying Examination

In the beginning of each semester, the DRC of each department will announce at least two dates for holding qualifying examination and research sub-areas for conducting examination. For convenience, the PhD qualifying subareas of all departments is given at the end of this document.

Each PhD student will communicate to DRC on prescribed format, the preferred examination date and two areas from the list of qualifying examination areas announced by the department. One of these must be in the sub-discipline in which he/she proposes to undertake research. On receiving request from eligible PhD. students, the DRC will conduct qualifying examination comprising of written test (which is normally open book examination) on two chosen areas followed by viva. Results of qualifying examination will be sent to Associate Dean, ARD for approval of Examination Committee.

Before conducting the PhD qualifying examination, DRC will communicate the list of candidates and date of PhD qualifying examination, to the associate dean ARD. DRC will communicate the result of PhD qualifying examination to Associate Dean ARD within three days of examination.

Every student must pass the PhD qualifying examination within the prescribed time, namely two semesters (excluding summer term) after admission, for the students who are not required to take any course work and two semesters (excluding summer term) after clearance of courses prescribed by DRC. However, DCC is authorized to examine the needs of the candidate on case to case basis and give additional time wherever needed.

If a student fails in the qualifying examination or fails to appear in the same in the first time, he may at the discretion of DRC, be allowed to appear at this examination only once more, provided he/she does so within the time prescribed earlier.

2.9 Semester Work

The DRC will recommend the courses to be done by each student, to Associate Dean, ARD. In the first semester (after clearing the qualifying examination), a full time student will register in (i) Teaching Practice-1 and (ii) Ph D. Seminar course, followed by (i) Research Methodology-1 and (ii) Ph D. Seminar, in the second semester. For Part Time students, Teaching Practice-1 course will be replaced with Practice Lecture Series-1. For Aspirants, TP-1 will be replaced by PLS-1 and Ph D. Seminar by Independent Study. The supervisor(s) and DAC will monitor progress of the research scholar on a regular basis. Each semester, the DRC will conduct seminar to which members of the DAC (as also members of relevant departments) will be invited. At the end of each semester, supervisor will submit the grades to Associate Dean, ARD through DRC.

2.10 Topic of Research & Supervisor

Once a PhD. student clears the required qualifying examination, he/she will submit two copies of research proposal along with summary sheet in the prescribed format to DRC. DRC will get it reviewed by DAC members and arrange for oral presentation. Based upon DAC recommendation, the DRC will recommend to Dean, ARD for approval of (i) supervisor (and co-supervisor), (ii) the research topic together with the detailed proposal and its summary, (iii) the research plan, and (iv) the place of research work, as per requirement. DRC will submit a soft copy of proposal and summary along with annexure I and relevant documents to Associate Dean, ARD. It is expected that a candidate will submit and defend his/her research proposal within two semesters of clearing the PhD qualifying examination. If a student fails to submit or fails to defend his proposal within stipulated period, he/she may be discontinued from the programme. However, he may request Dean AR through DRC for extension of time.

After the research proposal is approved, following semester onward student will register for Ph D thesis and Ph D seminar/Independent study courses till final thesis submission.

2.11 Appointment of supervisor and Co-supervisor(s): A PhD candidate will propose a regular BITS faculty with required research background, as his/her PhD supervisor. Normally, the notional supervisor, appointed at the time of admission, should be chosen as supervisor. A PhD student can also propose one or more person(s) with adequate research background as co-supervisor, if the research work so demands. While the supervisor has to be a serving assistant professor or above

at BITS, the co-supervisor may be selected either from BITS or from other organization. The consent from the proposed supervisor, co-supervisor and a “No-objection certificate” from the organization in which these persons are employed is mandatory. For all administrative purposes, candidate will be monitored by the DRC of the department in which his/her supervisor is working.

2.12 Pre-submission draft and Seminar

On completion of research, the PhD. student will submit two copies of draft thesis to DAC members through DRC for its evaluation. DRC will coordinate and ensure that the evaluation is completed within three weeks. DRC will forward the comments of DAC members to the candidate. The candidate in consultation with supervisor, will incorporate these suggestion in his thesis or may give suitable explanation to DAC members. DRC will arrange a pre-submission seminar where supervisor, co-supervisor, DAC member and other faculty will be invited. After successful completion of seminar, student can prepare his final thesis.

2.13 Thesis Title Approval

The exact title of the Thesis is discussed and finalized at the time of pre-submission seminar. The candidate will send the request for title approval duly signed by his/her supervisor(s) to DCC through DRC and Associate Dean.

2.14 Thesis submission

The candidate will check the thesis for plagiarism and submit to the DRC: “(i) The student will submit to DRC one softcopy of the thesis along with spiral bound, double side printed copies of the same, one for each examiner (ii) soft copy of the synopsis, (iii) the reports of the DAC members, (iv) the list of potential examiners (in sealed envelope (v) other related documents as mentioned in check-list. The DRC will check the suitability of potential examiner submitted by the supervisor and recommend to the Associate Dean, ARD in the required format. The evaluation of the thesis may begin after submission of examination fee by the candidate.

The student will be required to submit two copies of hard bound final thesis, along with the soft copy, after successful completion of viva voce examination by incorporating necessary corrections (if any). Candidate will also submit additional copy to respective campus library for record.

2.15 Guideline for recommending PhD thesis examiners-

DRC is requested to check the following criteria while approving the list of suggested examiners. The suggested examiner-

- should hold a PhD degree (DM in case of medical professional).
- should be serving as a Professor or Associate Professor in a reputed Institute/ University (consider top twenty Institution according to NIRF ranking) or working on a position equivalent to a professor, in a research organization /Industry.
- should have publications in reputed journals or patents in the field in which thesis work is done.
- should not be either a serving BITS faculty or an ex- BITS faculty who has served BITS in last 10 years.
- should not be a research collaborator of supervisor or candidate.
- should not be a relative of candidate or supervisor.

2.16 Change of Locale/Supervisor/Topic of Research

If the PhD supervisor leaves BITS or is not available to guide the student for various reasons, student must approach DRC immediately for the change of supervisor. Similarly, if a PhD student (applicable to Part Time and PhD Aspirants only), changes his organization, they must obtain “NOC” from his/her new organization and apply to DRC for the change of locale of work. Approval of the DCC is required for any changes in place of work, topic of research or supervisor. For any such change Candidate will request through supervisor to DRC. After examining the request, DRC will forward it to Associate Dean, ARD.

2.17 Inter campus transfer: Normally a PhD student is supposed to continue his/her PhD work in the department in which his/her supervisor is associated. However, in special cases the student can be transferred from one campus of BITS to another campus with the consent of existing, supervisor, co-supervisor, DRC, Campus Director and the proposed supervisor, DRC and Director of the campus in which she/he intends to transfer provided the vacancy exists. Such applications are to be submitted to DCC through associate dean of the campus in which student is registered. If approved, all academic records will be transferred to the host campus by ARCD. If student was availing Institute Fellowship, it will immediately stopped. Based A fresh decision on this matter will be taken by the host campus based on the availability of funds for a given financial year.

2.18 Inter conversion of Full Time Ph D to Part Time

A student admitted as Full Time scholar may be allowed to take transfer to Part time scheme provided-

- Students meet the basic eligibility criteria of Part Time student.

- Student has completed major part of his research work as certified by the supervisor and has completed at least 20 units of Ph D thesis course.
- The concerned Ph D supervisor, co-supervisor and respective DRC agree for such transfer.

The DRC may also recommend the transfer of a student from Part-Time to Full Time category, provided research positions and stipend are available. Approval for such transfers will be granted by Dean ARD in consultation with DCC.

2.19 Minimum academic requirements for continuation: A student will not be permitted to continue as PhD student under any one of the following situations:

- He/ she fails to take or pass the Qualifying Examination within the prescribed time of two semesters (excluding summer term) after the admission.
- his/her CGPA, where applicable, falls below 5.50 and he fails to bring it up to 5.50 within two subsequent semesters;
- he/ she accumulates two consecutive interim 'unsatisfactory' grades in the Thesis course;
- he/ she fails to submit his/her thesis/revised thesis within the time prescribed for him, for such submission (refer 2.16);
- his/her thesis is rejected by the examiners;
- his/her thesis does not receive unanimous final verdict from the examiners as required in clauses 8.30 or 8.32 of academic regulation.
- he/ she receives final grade as 'unacceptable' in Thesis.

Of the above seven stipulations, the first four, specify the intermediate steps necessitating monitoring for a student before submission of his/her thesis. This monitoring is to be done by the DRC. The last three stipulations specify the events after the submission of the thesis and its examination by the appointed examiners. In these cases, the student will be discontinued from the programme. However, he may appeal to the Dean ARD for reinstatement giving full exposition and justification for the appeal. If the Dean ARD, decides to reinstate such a student, it will give clear instructions and conditions, consistent with overall spirit of the academic regulations that the student must fulfil after reinstatement. The verdict of the Dean ARD shall be final

2.20 Duration of Ph D

A student must submit his thesis within ten semesters (excluding summer terms) to be counted from the semester next to passing the qualifying examination. If the student fails to submit his thesis within stipulated period he may request the respective DRC for extension of time. Such

extension for submission of thesis are limited to a maximum of four semesters. Thus, the duration for submitting final thesis (including all extensions and semester withdrawals) are limited to 14 semesters. If a candidate fails to submit his/her final thesis during this period, he/she will be discontinued from the programme. The female candidates who have availed maternity leave during this period may be given one extra semester for thesis submission.

2.21 Financial Assistance to the student

The DRC will recommend financial assistance, in terms of fellowship stipend from the Institute, to be provided to the student. It is expected that DRC will judiciously distribute Institute fellowship amongst the student working with different faculty members. Such stipend is provided to the student to work on a specific research area under the supervision of specified faculty member. If a student wish to changes the research area or the supervisor, he/she has to take approval from DRC and campus director through ARD otherwise his/her fellowship support may be stopped.

The fellowship is available initially for a period of one year which can be extended up to a maximum period five years to be counted from date of admission to PhD programme, or the date of PhD thesis submission, whichever is earlier. The fellowship support will stop if-

- i. they change supervisor/department /campus without approval
- ii. they get a **NC/unsatisfactory/poor** grade in any of registered course.
- iii. They are found guilty for indiscipline of any kind.
- iv. they receive fund support from any other source.

3. Formats required by DRC for different functions

3.1: Format for approval of DRC

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Date:

To,

The Director

BITS Pilani, _____ campus.

Through: Associate Dean, ARD

Subject: Approval of Departmental Research Committee

Dear Sir,

We request you to kindly approve the following Departmental Research Committee (DRC) for the Department of _____ for the period of _____ years (from _____ to _____):

1. _____: HOD, ex-officio member and Chairperson

2. _____: Convener

3. _____: DRC member

.

.

.

Thanking you,

Yours sincerely,

(HOD)

Forwarded and recommended

(Associate Dean, ARD)

3.2 Format for submitting the course work

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____
CAMPUS
DEPARTMENT OF _____

Date:

To,
Associate Dean, ARD
BITS Pilani, _____ campus.

The suggested course package for following Ph. D. candidates is given below:

Sr. No.	Application no./ID No.	Name of the candidate	I/II semester 20 - 20		I/II semester 20 - 20	
			Courses	Units	Courses	Units

(Name)
(DRC Convener)

(Name)
(HOD)

Date:

3.3 Format for forwarding the semester drop request

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____
CAMPUS
DEPARTMENT OF _____

Date:

To,
Associate Dean, ARD
BITS Pilani, _____ campus.

We have studied and discussed the request of _____ ID No.
_____ to drop the ___ Semester 20 - 20 in the DRC meeting dated
_____. Our recommendation is _____
_____.

_____(Name)_____
(DRC Convener)

_____(Name)_____
(HOD)

Date:

3.4 Format for application to DRC for Ph. D Qualifying Examination (2 pages)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

APPLICATION FOR Ph. D. QUALIFYING EXAMINATION

I. General

1.1 Name in block letters (As given in the certificate of your highest qualification):

1.2 Official Address: _____

_____ PIN _____

STD Code: _____ Phone No. _____ Fax No. _____

1.3 Address of correspondence: _____

_____ PIN _____ Phone _____

E-mail Address: _____

1.4 Nationality: _____

1.5 Sex: Male Female

1.6 Date of birth:

1.7 Marital Status: Single Married

Affix your
passport size
photograph
here

II. ACADEMIC RECORD

2.1 List your formal education (beyond H. Sc./10+2/Intermediate)

Degree	Duration	Year of passing	Division/ % marks	College/ Univ.	Full time/ part time basis	Subjects

2.2 Are you holding a formal higher degree (M. E./M. Tech./M. Phil./M. Pharm./M. S., etc) of BITS or its equivalent? (Attach certificate). Do not tick YES if holding only M.A./M. Sc./M.Com./M.B.A./L.L.B./C.F.A./M.B.B.S.: YES / NO

If yes, give Higher degree name and discipline: _____

University: _____ Year passed: _____

Duration: _____ years. Number of courses in the degree _____

Completed as full time []/ Part time [] student.

III. ANTICIPATED PLAN FOR Ph. D.

3.1 Place of work: _____

Organization: _____ City: _____

3.2 Proposed topic of Research: _____

3.3 Name of proposed supervisor: _____

Qualification: _____ Designation: _____

Organization: _____

3.4 Name of proposed Co-supervisor (if any): _____

Qualification: _____ Designation: _____

Organization: _____

3.5 Position of candidate in organization: _____

IV. DETAILS ABOUT Ph. D QUALIFYING EXAMINATION

4.1 Did you ever get permission to appear in the Ph. D. QE? Yes/No

If yes, give dates of appearing _____ Result: PASS / FAIL

4.2 Details of Higher Degree courses (M. E./M. Tech./M. Phil./M. Pharm./M. S., etc).

Attach grade/marks sheet and complete syllabus for all higher degree courses.

4.3: Subareas chosen for PhD. QE:

1.

2.

4.4. Selected Date of Qualifying Examination _____

Date:

Signature: _____

3.5 Format of intimation to ARD for Ph. D Qualifying Examination

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

To,

Associate Dean, ARD

-----campus

The Department will be conducting PhD qualifying examination as per following-

- 1. Date of Examination- From.....to.....**
- 2. Room number.....**
- 3. List of candidate who will be appearing in the examination-**

SI No	ID No/ Application No/ PSRN	Name	First attempt/ second Attend	Name of two PhD qualifying areas
				1. 2.
				1. 2.

(DRC Convener)

(HOD)

Date:

3.6 Format of Evaluation sheet for Ph. D Qualifying Examination

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

PhD. QUALIFYING EXAMINATION RESULT

Name and ID No. of the Candidate:	Date of Ph D QE: Category (FT/PT) :
--------------------------------------	-------------------------------------------

Research subarea	Marks obtained in theory (150)	Marks obtained in Viva (50)	Total Marks (200)	Recommendation (Pass/Fail)
1.				
2.				

Overall recommendation: Pass/fail

Name and signature of all Examiners:

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

(DRC Convener)

(HOD)

Date:

3.6 Format for forwarding the results of Ph. D Qualifying Examination

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

To,

Associate Dean, ARD

BITS Pilani, _____ campus.

We are forwarding herewith the Ph. D. Qualifying Examination result(s) for following candidates for your kind perusal and necessary action.

Sr. No.	ID. No/ PSRN	Name of the candidate	Result

Documents attached: copy of Ph. D. QE evaluations sheets

(Name) _____

(DRC Convener)

Date:

(Name) _____

(HOD)

3.7 Appendix I to be attached with research Proposals (2 pages)

APPENDIX- 1

The Chairman
Doctoral Counseling Committee
BITS, Pilani.

Sub: Topic of Research and Supervisor Approval.

Through: Associate Dean, ARD

Dear Sir,

Enclosed herewith is the detailed outline of the proposed topic of research for my
PhD. Programme, for consideration of the Research Board. The proposed topic of the research is:

I propose the following as my Supervisor

And co-supervisor:

Date of passing the PhD. Qualifying Examination: _____

The following place and organization for my research work may also be approved:

Place: _____

Organisation: _____

Yours faithfully,

(Signature of the student)

Full Name: _____

ID No. :

Date: _____

(P.T.O)

Recommendations of the Proposed Supervisor(s):

I have scrutinized the proposed topic of research and I agree to act as his supervisor. I shall conduct thesis and other components of the PhD. programme of the candidate as per provisions of the Academic Regulations of BITS. As regards the foreign language requirements, I recommend that for the proposed topic of research (tick appropriate box (s) below):

English language would be adequate

Another modern European language would be necessary.

Name of language is _____

Another Indian Language would be necessary

Name of Indian Language is _____

(Only for PhD. in Indian Language/Literature)

Date: _____

(Signature of proposed supervisor)

Date: _____

(Signature of proposed co-supervisor)

Recommendations of the Dean, ARD

Date: _____

(Dean, ARD)

3.8 Format for evaluation of the research proposals (to be given to DAC members; 4 pages)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Dated:

To: Prof./Dr. _____

Sub: Review of Doctoral Research Proposal.

Dear Sir/Madam,

I request you to kindly review the enclosed Doctoral Research Proposal submitted by the following candidate and return the completed proforma within one week along with specific suggestions, if any.

Name of Candidate _____ ID No. _____

Name of Proposed Supervisor _____

(DRC Convener)

Proforma for Review of Doctoral Research Proposal.

Please tick () the appropriate box(es)

1. Proposed Topic of Research

a) Is the proposed topic in one of the research areas of the Institute? [You may refer to our Bulletin for Areas of Research].

[] yes

[] no

b) Does the proposed topic reflect the theme propounded in the proposal write up?

[] yes

[] no

c) Is the proposed topic relevant to the needs of the immediate environment?

] yes

] no

d) Does the proposed topic aim at

] designing an innovative product

] designing a new process or a system

] taking up research in an advanced frontier area

2. Objective of the proposed research

a) Are objectives clearly spelt out?

] yes

] no

If your answer is no, could you please write under item No.7 as to what needs to be done.

b) Are objectives derived based on the literature survey?

] yes

] no

c) Is the outcome of the work clearly visualized?

] yes

] no

d) The outcome of the work

] will improve the present state of art

] will only be of an academic interest

] will be useful for the industries

3. Background of the Proposed Research

a) Is the literature survey up-to-date and adequately done to finalize the research topic?

] yes

] no

b) Is a broad summary of the present status given in the proposal?

yes

no

c) Are unsolved academic issues in the area highlighted?

yes

no

4. Methodology

a) Is the methodology to be adopted for exhaustive literature survey given?

yes

no

b) Are data sources identified?

yes

no

not applicable

c) Are experimental facilities for research work envisaged clearly?

yes

no

not identified

not applicable

d) If yes in (c), are envisaged experimental set-ups available at the place of work?

yes

no

not yet identified

not applicable

e) If yes in (c) and no in (d), is it explained how the work will be carried out?

yes

no

f) Are required computing facilities available at the place of work

yes

not able to judge

not applicable

g) Is methodology clearly spelt out for the completion of research work?

yes

no

5. **Literature References**

a) Is citation of literature done in a standard format?

yes

no

b) Is cited literature referred in the text?

yes

no

partially

c) Is cited literature relevant to the proposed work?

yes

no

6. **Overall Comments**

proposal may be accepted

proposal needs minor modifications

[] proposal needs revision

7. Reasons for recommendation at item No. 6

8. Any other comments:

Dated: _____

Signature

Name of faculty member

3.9 Format for forwarding the research proposals

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Date:

To,

Associate Dean, ARD,

BITS Pilani, _____ campus.

We are forwarding herewith the research proposals for following candidates for your kind perusal and necessary action. We assure you that necessary formats and guidelines have been followed in making the documents.

Sr. No.	ID. No	Name of the candidate

Documents attached (for each candidate):

1. Summary of Research Proposal
2. Research Proposal
3. Soft copy of Summary and research Proposal
4. Appendix I duly signed by Supervisor(s)
5. Evaluation sheets of both DAC members
6. Notice for Research Proposal presentation

_____(Name)_____

(DRC Convener)

_____(Name)_____

(HOD)

Date:

3.10 Format for sending the grades (mid-semester/end-semester)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Date:

To,
Associate Dean, ARD,
BITS Pilani, _____ campus.

We are forwarding herewith the ___(mid-semester / end-semester)_____ grades for following
Ph. D. candidates in our department. The summary is given below:

Sr. No.	ID. No	Name of the candidate	Grade in			
			TP I/ PLS-1	RP- I	Ph. D. Seminar/ Independent study	Ph. D. Thesis

(Name)_____
(DRC Convener)

(Name)_____
(HOD)

Date:

3.11 Format for evaluation of pre-submission draft (3 Pages)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Dated:

To: Prof./Dr. _____

Sub: Review of Draft Ph. D. Thesis by Doctoral Advisory Committee

Dear Sir/Madam,

I request you to kindly review the enclosed draft thesis being sent herewith and favor me with your comments and suggestions at your earliest convenience but not later than 3 weeks. Based on your comments, we will be asking the candidate to present his/her work before the DAC and DRC members at a mutually convenient date. The draft thesis is submitted by the following candidate.

Name of Candidate _____ ID No. _____

Name of Supervisor(s) _____

(DRC Convener)

Objectives, Scope and Limitations

- | | |
|-----------------------------------------------------------------------|--------|
| 1. Are the objectives clearly spelt out? | Yes/No |
| 2. Are the objectives based on in-depth literature review? | Yes/No |
| 3. Does the thesis clearly mention scope and limitations of research? | Yes/No |

Literature Survey

- | | |
|-----------------------------------------------------------------------|--------|
| 4. Is the literature survey up-to-date and exhaustive? | Yes/No |
| 5. Has researcher referred international/national journals of repute? | Yes/No |
| 6. Are the research gaps clearly identified? | Yes/No |

Methodology

- | | |
|-------------------------------------------------------|--------|
| 7. Is the methodology adopted described exhaustively? | Yes/No |
| 8. Has the researchers mentioned all data sources? | Yes/No |

9. Is the research methodology adopted up-to-date? Yes/No

Results and Discussions

10. Are the outcomes of research discussed at length? Yes/No

11. Has the candidate come out with knowledge addition in the area of research? Yes/No

12. Has the candidate come out with publications in international/national journals of repute? Yes/No

13. Has the candidate presented his work in international/national conferences? Yes/No

Conclusions and Future Scope of Work

14. Are the conclusions clearly spelt out? Yes/No

15. Has the candidate mentioned specific contributions to the field of research? Yes/No

16. Has the candidate mentioned future scope of work? Yes/No

Literature References

17. Is the citation of references done in standard format? Yes/No

18. Are all the references cited in the text? Yes/No

19. Are the references relevant and adequate to the work? Yes/No

Documentation of Thesis

20. Is the flow of writing logical? Yes/No

21. Has the candidate made sections/subsections to explain his work? Yes/No

22. Are the figures/tables presently neatly and clearly with proper and consistent captions? Yes/No

23. Is the list of tables, figures, symbols/acronyms given in the thesis? Yes/No

24. Has the candidate attached a proper acknowledgement? Yes/No

25. Are the appendices appended properly to the thesis? Yes/No

26. Has the candidate appended list of papers published/presented on the thesis? Yes/No

27. Has the candidate included brief biography of himself and his supervisor (about one page each) towards the end of the thesis? Yes/No

Mention corrections required in the thesis in space given below or attach additional sheet:

Comments on draft thesis:

- Approved for pre-submission seminar
- Approved for pre-submission seminar with minor revisions
- Needs revision and resubmission

(Name and Signature of the reviewer with date)

3.12 Format for forwarding the final PhD thesis

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Date:

To,
Associate Dean, ARD,
BITS Pilani, _____ campus.

We are forwarding herewith the thesis of _____ ID No./PSRN
_____ for your kind perusal and necessary action. We assure you that necessary
formats and guidelines have been followed in making the documents.

Documents attached (for each candidate):

1. Spiral bound copies of the thesis –one for each examiner
2. Two copies of the synopsis
3. Soft copy of thesis (as single pdf file) and synopsis in CD
4. Reports of DAC members on pre-submission seminar
5. Notice for pre-submission presentation
6. List of potential examiners (at least 7, as per format 3.16)
7. _____

(Name) _____

(DRC Convener)

Date:

(Name) _____

(HOD)

3.13 Format for forwarding continuation of Institute fellowship

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

Date:

To,
Associate Dean, ARD,
BITS Pilani, _____ campus.

We are forwarding herewith the recommendations for continuation of fee waiver and/or Institute fellowship for following candidates for your kind perusal and necessary action. The recommendation forms for these candidates are attached herewith.

Sr. No.	ID. No	Name of the candidate

(Name) _____
(DRC Convener)

(Name) _____
(HOD)

Date:

3.14 Format for recommending continuation of Institute Fellowship (performance rating to be done by supervisor and HOD/ Instructor-in-charge and discussed in DRC meeting)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

ACADEMIC RESEARCH (Ph. D. PROGRAMME) DIVISION

RECOMMENDATION FOR CONTINUATION OF FEE WAIVER AND/ OR INSTITUTE FELLOWSHIP

Name of research scholar: _____

ID No. _____

Department: _____

Performance rating (kindly rate by putting tick (✓) in the appropriate box. 1 is lowest and 5 is highest performance):

Sr. No.	Activity	1	2	3	4	5
1	Performance in Ph. D. work					
2	Performance in teaching work allotted					

Recommendation:

1. Tuition fee waiver:

2. Institute Fellowship

Reason for recommendation/ remarks:

(Name)

(DRC Convener)

(Name)

(Supervisor(s))

(Name)

(HOD)

Date:

3.15 Format for recommending extension of time limit for submission of thesis (to be submitted subsequent to completion of 5 years after Ph. D. qualifying examination)

BIRLA INSTITUTE OF TECHNOLOGY AND SCIENCE PILANI, _____

CAMPUS

DEPARTMENT OF _____

RECOMMENDATION FOR EXTENSION OF TIME LIMIT FOR SUBMISSION OF THESIS

Date:

To,

Associate Dean, ARD,

BITS Pilani, _____ campus.

We are forwarding herewith the recommendations for extension of time limit for submitting Ph. D. thesis for following candidates for your kind perusal and necessary action. The request letters for these candidates duly forwarded by their supervisor(s) are attached herewith. The progress of these candidates has been evaluated by DAC members.

Sr. No.	ID. No	Name of the candidate	Name of the supervisor(s)	Extension requested upto	Expected date of thesis submission

_____(Name)_____

(DRC Convener)

Date:

_____(Name)_____

(HOD)

3.16 Format for submission of approved list of examiners in sealed envelop (see the guideline)

To,

Dean ARD

DRC of -----Department, BITS Pilani,-----campus, in a meeting held on ----- reviewed the examiners list submitted by the PhD. Supervisor.

Name of the candidate		Affiliation:
Name of Supervisor		Affiliation:
Name of co-supervisor		Affiliation:
Title of Thesis		

The Committee recommends following persons as examiners, who are working in the area in which the thesis is submitted. Vital information along with list of publications of proposed examiners is enclosed.

S.No.	Name	Affiliation
1		
2		
3		
4		
5		
6		
7		
8		

Name and signature of DRC members:

1.....	2.....
3.....	4.....
5.....	6.....

