



## **College of Engineering, Pune**

**(An Autonomous Institute of Govt. of Maharashtra, Permanently Affiliated to  
S.P. Pune University)**

### **ACADEMIC RULES and REGULATIONS For RESEARCH PROGRAMS**

**(FOR AWARD of Ph.D. DEGREE)**

**[Latest Revised in June 2016; Applicable w.e.f A.Y. 2016-17]**



No.: diroff/PhD\_Rules\_Regn/July 2016

## Office Circular

### Preamble:

All the Engineering Departments, along with Department of Applied Science at College of Engineering, Pune, are recognized Research Centers of Savitribai Phule Pune University (SPPU), offering PhD programs in various domains/specializations/verticals of Engineering, Technology and Environmental Sciences. All these programs are regulated and monitored by SPPU, starting from Admissions up to award of PhD degree. COEP, though an Autonomous Institute, has to abide by rules, regulations, statutory recommendations and guidelines issued by University Grants Commission (UGC), MHRD-Gol, and SPPU, from time to time, for all its PhD programs. Since A.Y. 2010-11, SPPU has been conducting the admission process comprising of Entrance Examinations (with exemptions to Candidates having Approved Teacher experience in SPPU affiliated colleges and those having GATE score), followed by Interview rounds at research centers. In last FIVE years, COEP has been the most sought after destination for the researchers in and around and the number of admitted candidates to PhD programs is increasing year after year.

With this noticeable number of research scholars and the concerned Supervisors/guides, the following set of rules, regulations and processes is being announced after a meticulous reference to the circulars issued by above-mentioned regulatory authorities.

### A. PhD Coursework:

Every research scholar admitted to PhD program at COEP has to undertake mandatory coursework of 20 credits with break-up as follows:

Sr. No.	Course	Credits	Remarks	Time limit
1	Research Methodology	5	Offered at Institute level	To be completed in one or <b>maximum two semesters after admission</b>
2	Mathematics for Engineering Research	4	Offered at Institute level, also at certain departments; Scholar has a choice, in consultation with Guide and HoD.	
3	Domain Specific TWO courses	6	M.Tech. level courses, to be decided in consultation with Guide and HoD.	
4	Seminar on State-of-Art topic	5	To be decided in consultation with Guide	
<b>Total 05 courses with 20 credits</b>				



After examination, whenever applicable, the candidate will be awarded the Grades as **P (PASS) and NP (FAIL)** for every course he/she undergoes and the grade-sheet will be communicated to SPPU. The format of the grade sheet is given in Annexure I.

### **B. Doctoral Committee for Seminars and Presentations for PhD Topic Registration, Progress Monitoring and Synopsis Submission:**

Upon successful completion of Coursework, the scholar is eligible present his/her PhD topic Registration Seminar in front of the Candidate Doctoral Committee (CDC) constituted as follows:

1. HoD or Senior Faculty from the Department, who is recognized PhD Guide of SPPU –Chair person of the CDC
2. Domain Expert Member from the Department, preferably recognized PhD guide of SPPU/Other University
3. Observer Expert from Other Department of COEP, preferably recognized PhD guide of SPPU/Other University
4. Domain Expert Member, who is recognized PhD guide of SPPU, but from Research Center other than COEP (#)
5. Supervisor/Guide- Convener of the CDC

(#) – The external member should be mandatorily invited for Registration and Pre-submission (Synopsis) Seminar.

The SAME external member can be common to more than ONE scholar. Presentations of all candidates under the SAME external member be scheduled on the same day to take advantage of his/her availability at COEP. An honorarium of Rs. 1000/- per candidate (with minimum of Rs. 2000/-) be paid to the expert, along with local conveyance or Travel allowance as per Institute's TA/DA circular .

The research guide should propose the above panel in consultation with HOD and communicate it to Dean Academics for approval in the format annexed. Copy of approved panel should be given to departmental PhD coordinator for record.

### **C. Registration Seminar:**

The formal registration of the Scholar with SPPU begins with submission of Registration Seminar report, duly commented by the CDC, to the PhD section of SPPU. This seminar should, preferably be after course work and within one year after admission at the Research Centre.

The Seminar should be based on research proposal which should include:

- ❖ Purpose & scope ; Rationale and significance of the study
- ❖ Extensive literature survey
- ❖ Problem formulation: Aims and Objectives



- ❖ Probable ways of investigations; methodologies and techniques to be used
- ❖ Kinds of conclusions expected.
- ❖ Plan of Research
- ❖ Bibliography

The expected length of the research proposal is six to eight double-spaced A-4 size pages.

Candidate needs to **submit 8 copies** of the report in the prescribed format after successful completion of seminar.

Documents to be send for registration to registrar, SPPU for approval are as given below:

1. Eight copies of preregistration reports duly signed by supervisor and candidate
2. Pre-registration evaluation report
3. Attendance report
4. Course work evaluation report duly signed
5. Appendix A ( as given in revised PhD rules SPPU 2014

In case of unsatisfactory seminar, another presentation should be given before CDC within **THREE** months or earlier. The reports in the form of Research Proposal will be sent by Head of the RC within **one month** from the date of successful presentation to SPPU, for approval from Research & Recognition Committee (RRC) of SPPU. If RRC rejects the proposal, the candidate has to submit fresh proposal again after a gap of three months and before **six** months from the date of earlier presentation.

**Registration validity:** If the proposal is approved by RRC then date of registration is date admission at SPPU & the registration is valid till five years from that date. Research Scholar is eligible to submit his/her synopsis only after **22 months** from the date of registration. Extension maximum of two years shall be given by RRC. The candidate has to submit application for extension through guide and Head of RC **THREE months before expiry** of registration period. Further extension of 1 year can be given Vice Chancellor-SPPU, on recommendation by Dean-faculty of Engineering-SPPU.

#### D. Progress Seminars:

The Scholar has to submit PROGRESS report duly signed by CDC, every SIX months, with submission of such SIX MONTHLY Progress reports to SPPU. All progress reports will be forwarded to SPPU by COEP's Students' section. The Scholar has to present a seminar on the PROGRESS at least once in a year. The PhD coordinator from the Department shall prepare the SCHEDULE of such presentations in consultation with HoD, in **FIRST week of January and July every year.** The reports will be sent to SPPU latest by 31st July and 31st January of the year.

**If a candidate fails to submit three reports consecutively, his/her registration may be treated as cancelled on recommendation of Head and Dean of the Faculty concerned. The Head, Place of Research, with fifteen days after the completion of the given period**



[one and half years], will send to the P.G. Admission Section for cancellation of registration.

**E. Pre-submission Seminar:**

After getting approval from CDC and guide, and departmental PhD Coordinator, candidate can present pre-submission seminar at least three months before submission of thesis. Department PhD Coordinator has to confirm the quality of research work by checking the publications of the candidate. The Supervisor should announce date of pre-registration seminar in consultation with CDC members and invite all faculties from COEP and researchers at least seven days before date of presentation.

**F. The submission of synopsis:**

It may be permitted only after completion of twenty two months from the date of registration and after successful completion of the Course Work. A minimum of SIX (FOUR – in 22 months one can make four presentations at an interval of six months) progress seminars is compulsory for a Scholar to be ELIGIBLE for his/her Pre-submission Seminar.

Candidate has to submit thesis copy (spiral bound) to CDC members at the time pre-submission seminar for getting their inputs for refining the thesis. On successful completion of pre-submission seminar candidate has to submit 15 copies of synopsis through guide within 1 month from the date of presentation.

Post Pre-submission Seminar, the scholar can submit his thesis reports in the standard format and number, as prescribed by SPPU, within 02-06 months.

Candidate has to submit 15 copies to registrar SPPU thesis in prescribed format within two months after date of submission of synopsis and before six months. Late submission is allowed by paying fine within one year or expiry of preregistration whichever earlier. The candidate will have to submit synopsis again, if given extension.

**G. Thesis Submission:**

The candidate will have to submit three copies of thesis in hard bound and a soft copy (CD) along with it; in prescribed format by SPPU and five copies of abstracts and produce an acknowledgement of the receipt of thesis by the Research Guide and the Head, place of Research.

The final thesis shall be presented in accordance with the following specifications:

- The paper used for printing shall be of A4 size;
- Printing shall be in a standardized form on one side of the paper and in 1.5 line spacing;
- A margin of 1.5 inches shall be, on the left hand side;
- The card for cover shall not be more than 330 GSM;
- The title of the thesis, name of the candidate, degree, name of the guide, place of research and the month and year of submission shall be printed on the title page and the front cover;
- The hard-bound thesis cover shall be of black colour.



- Spine of the binding [side cover should mention 'Ph.D. thesis' on the top, name of the candidate and month and year.
- The specifications are shown in Appendix - G. of the revised rules 2014.
- The thesis shall include a Certificate of the guide [Appendix'H' of the PhD revised rules SPPU 2014] and a Declaration by the candidate [Appendix 'I' of the PhD revised rules SPPU 2014] that the work reported in the thesis has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged

Supervisor has to suggest list of referees ( Two Outside India ) and Two (Within India) along with thesis. The style file of the thesis in LaTeX is available in institute website : PhD Program/various formats/ thesis format.

**H. Research Outcomes:**

Every Scholar has to deliver his/her research output in terms of **01** Contributed papers in indexed and reviewed journals as first author and One international conference of repute.

(Department-wise List of journals and reputed conferences is available with Dept. PhD coordinator)

In no case paid journals will be entertained.

**I. Modification of Research Plan and change of guide:**

For modification of research plan/ title, candidate needs to apply through guide and Head of RC for approval to RRC-SPPU. For change of guide candidate would need NOC from the existing guide, acceptance from the new guide, and has to work minimum one year work with new guide. NOC is not required if candidate justifies unavailability of guide. The justification need to be endorsed by Head of RC. VC on recommendation of Dean-FoE-SPPU can take appropriate decision.

**J. Defense & Viva-Voce:** After thesis submission, process of Defense/Voce is executed as per the norms of SPPU.

**K. Annual Report:**

Every department PhD Coordinator has to prepare annual report for his/her department. Which include no. of PhD admitted, completed, no. of publications, patents by PhD candidates. The report should be discussed with dean academics in annual meeting of all PhD Coordinators with Dean Academics.

**L. Best Thesis Award:** The best PhD thesis will be announced in the annual meeting.

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**Adhoc PhD Circular for Scheduling the Pre-registration Seminars**



All the Engineering Departments, along with Department of Applied Science at College of Engineering, Pune, are recognized Research Centres of Savitribai Phule Pune University (SPPU), offering PhD programs in various domains/specializations/verticals of Engineering, Technology and Environmental Sciences. All these programs are regulated and monitored by SPPU, starting from Admissions upto award of PhD degree. COEP, though an Autonomous Institute, has to abide by rules, regulations, statutory recommendations and guidelines issued by University Grants Commission (UGC), MHRD-Gol, and SPPU, from time to time, for all its PhD programs.

With effect from AY 2010-11, the Admission Process to PhD programs has been made more streamlined, systematic and centralized by SPPU authorities, and since then number of Candidates seeking admission to PhD programs is ever increasing at COEP. As on date the total number of PhD scholars in campus is to the tune of 304.

Though the Admission process is well-defined and now established, its execution with pre-defined periodicity, may not happen in stipulated slots of time in an Academic Year (Latest Admission Round was conducted in Jan-Feb 2016), for reasons beyond Institute's purview and control.

- Post admission, the journey of the PhD candidate in the campus is navigated as "Coursework -> Pre-registration Seminar -> Confirmation of Registration by R & R Committee of SPPU -> Progress Seminars -> Pre-synopsis Submission Seminar -> Thesis Submission -> Open Defence & Viva-Voce".
- Post admissions, it has been experienced that majority of the students undertake and complete the mandatory coursework in (maximum) following TWO semesters.
- However, the process of identifying and narrowing down onto the domain of research, converging on the Aims and Objectives, deciding the Title of the research topic, preparing a Research Proposal etc., necessarily takes variable time based on interactions between the Guide and the Candidate.
- For the Pre-registration Seminar, to be scheduled thereafter, convenience of the members of the Candidate's Doctoral Committee needs to be considered on priority (presence of an External Expert member is mandatory for at least Pre-registration and Pre-synopsis Seminars).
- Within 18 months after the date of admission, the Candidate's research proposal should reach SPPU for final approval and acceptance.
- After submission of Research Proposal to SPPU, the meetings R & R Committees of SPPU, for conferring the confirmed Registration to PhD candidates are arranged as per convenience at University's end, and not so regularly.
- It has been a practice in elite institutes like IIT Bombay and even at other Research Centres affiliated to SPPU to arrange Pre-registration and Pre-synopsis seminars, round the year, as per convenience of all concerned.

With increasing number of PhD students on campus, it was timely decided somewhere in 2012, to announce and execute the stipulated time slots for conduct and completion of **Progress Seminars** for all candidates in the Department, typically by 31<sup>st</sup> July in Odd Semester, and by 31<sup>st</sup> January in even semester. (Academic calendar of AY 2016-17 finds a mention on the dates/slots for Progress Seminars). Also it was decided to keep the **Pre-synopsis Seminars** OUT of this TIME FRAME, since the conclusion of Research cannot be a time-predictable phenomenon.



All such decisions were taken in the Meetings of HoDs/Deans held from time to time and sometimes discretely minuted, but were not converted to a FORMAL OFFICE CIRCULAR till date. Somewhere in April 2013, there has been a passing mention in MoM of Deans/Heads, on tying up Pre-registration seminars with Progress Seminars to the dates of 31<sup>st</sup> July and 31<sup>st</sup> January.

On the lines of scheduling the Pre-synopsis seminars anytime throughout the year, it is strongly felt that **the Pre-registration Seminars be also scheduled at any point in time throughout the year**, after the PhD student consolidates his/her Research Proposal, and to suit the convenience of the members of Candidate's Doctoral Committee, FOR ALL THE REASONS SPELT OUT IN THE BULLETED PARAGRAPHS ABOVE. This will enable the researcher to submit his/her sanctioned research proposal to SPPU matching with random frequency of the meetings of R & R Committee.

Subsequently, a separate agenda point was put forth in 36<sup>th</sup> Senate meeting, held on 14<sup>th</sup> December 2015, to this effect as "PhD Rules and Regulations at COEP: An In-house-Circular", for formalizing all such decisions. Due and healthy deliberations took place on the various issues included in this circular and in want of certain Annexure, it was resolved to APPROVE the accomplished and inclusive Circular along with all relevant Annexure in the forthcoming Senate meeting.

It is therefore notified to all the Deans, Heads, Faculty and PhD Scholars of the Institute that like Pre-synopsis Seminars, after successful completion of the coursework, **the Pre-registration Seminars be also scheduled at any point in time throughout the year, towards the APPROVAL of Research Proposal, submitted and presented by the PhD Student in front of his/her Doctoral Committee.**

The contents of this adhoc circular are already included in the "PhD Circular" to be approved in forthcoming Senate meeting.

(Director-COEP)

CC: Students' section/Director's Office/All Deans/Heads





## Annexure I

### Various Format



### **COLLEGE OF ENGINEERING, PUNE**

(An Autonomous Institute of Government of Maharashtra)  
Shivaji Nagar, Pune 411005, Maharashtra, INDIA.

Phone No. +91-20-25507008

Fax +91-20-25507299

No/COEP/Ph.D/

Date:

### COURSE WORK EVALUATION REPORT

PLACE OF RESEARCH	College of Engineering, Pune		
DEPARTMENT			
1	Name of the Student		
2	MIS No		
3	Date of Admission		
4	Date of Seminar		

### EVALUATION OF COURSES CREDITED

Name of the course	Marks (100)	Credit*	Grade** (P/F/FX/II)	Sign of concerned faculty
Research Methodology				
Adv Maths				
Branch course1				
Branch course2				
Branch course3				

\*Credits : RM-5, Maths-4, Branch course-2 each .

\*\* Grades: P-Pass, F-Fail, FX-Detained, repeat the course, II- Incomplete - Absent for exam but continue the course.

### ASSESSMENT OF COURSE SEMINAR

Topic of Seminar:

Sr No	Evaluator	Name , Dept, Organisation	Marks (50)	Avg(50)+ Supervisor's evaluation (50)	Credit (5)	Signature
1	Supervisor					
3	Examiner1					
4	Examiner2					
Grade allotted		(P/F/FX/II)				



**Head of Department**

**Dept. PhD Co-ordinator**



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No/COEP/Ph.D./

Date:

**PRE REGISTRATION SEMINAR EVALUATION REPORT**

PLACE OF RESEARCH	College of Engineering, Pune
DEPARTMENT	
1 Name of the Student	
2 MIS No	
3 Date of Admission	
4 Ph.D. Topic	
5 Date of Seminar	

**EVALUATION REPORT:**

Evaluation Committee/ Expert's comments:	
Average Evaluation	The research topic is approved/ not approved. The candidate is advised to go ahead with the topic and consolidate the title as early as possible.

Evaluation Committee member	Name, Dept, Organisation	Signature
Chairperson		
Supervisor		
Domain Expert 1		
External Observer		
Domain Expert from other RC		





**Head of Department**

**Dept. PhD Co-ordinator**



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Fax +91-20-25507299

No/COEP/Ph.D./

Date:

**APPROVAL FOR CANDIDATE DOCTORAL COMMITTEE**

PLACE OF RESEARCH	College of Engineering, Pune
DEPARTMENT	
1 Name of the Student	
2 MIS No	
3 Date of Admission	
4 Ph.D. Topic	

Suggested Evaluation Committee member	Name, Dept, Organisation	Approval from Dean academics
Chairperson 1		
Chairperson 2		
Domain Expert 1		
Domain Expert 2		
External Observer 1		
External Observer 2		
Domain Expert Outside RC 1		
Domain Expert Outside RC 2		
Supervisor		
Sign of dean Academics for approving the CDC		

**Head of Department**

**Dept. PhD Co-ordinator**



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No/COEP/Ph.D/

Date:

### PROGRESS SEMINAR EVALUATION REPORT

PLACE OF RESEARCH		College of Engineering, Pune
DEPARTMENT		
1	Name of the Student	
2	MIS No	
3	Date of Admission	
4	Ph.D. Topic	
5	Date of Seminar	
6	Publications	National: _____ International : _____
7	Review Period	

#### EVALUATION REPORT:

Evaluation Committee/ Expert's comments:	
Consolidated Evaluation	Satisfactory/ Not Satisfactory
Expected period of Completion of Programme	

Evaluation Committee members	Name, Dept, Organisation	Signature
Chairman		
Domain Expert 1		
External Observer		
Supervisor		

Explanations / Further remarks / suggestions: may be included on the reverse of this page.

**Head of Department**

**Dept. PhD Co-ordinator**



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Phone No. +91-20-25507008

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No/COEP/Ph.D/

Date:

## **PROGRESS SEMINAR ATTENDANCE REPORT**

PLACE OF RESEARCH	College of Engineering, Pune	
DEPARTMENT		
1	Name of the Student	
2	MIS No	
3	Date of Admission	
4	Ph.D. Topic	
5	Date of Seminar	

Evaluation Committee member	Name, Dept, Organisation	Signature
Chairperson		
Supervisor		
Domain Expert 1		
External Observer		

Head of Department

Dept. PhD Co-ordinator



## **Annexure II**

### **PhD Programs of Savitribai Phule Pune University**

#### **Revised Rules (Year 2014)**