

**Ordinance No July 2020
(Under Section 6(c) of the Act)
DOCTOR OF PHILOSOPHY (Ph.D.)
(Ordinance as per UGC Regulation 2016)
(with effect from the date of notification dated 28th July 2020)**



**UTTARAKHAND TECHNICAL UNIVERSITY
DEHRADUN**

28 July, 2020

(Under Section 6(c) of the Act)
DOCTOR OF PHILOSOPHY (Ph.D.)
(Ordinance as per UGC Regulation 2016)
(with effect from the date of notification dated)

1. Eligibility for Admission to Ph.D. Programme

- 1.1 Candidates for admission to the Ph.D. programme shall have a relevant Master's degree in engineering for programmes in engineering, MCA for Computer Applications, M. Pharma for Pharmacy, M.HM for hotel and hospitality management and MBA for Management with minimum of 60% of marks at Master's degree from a University, a deemed to be University or any other University of India or any equivalent from abroad.
- 1.2 A relaxation of 5% of marks, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of AICTE/UGC from time to time.
- 1.3 A candidate shall ordinarily be permitted to work for Ph.D. degree in the subject in which he/she has obtained his Master's degree and Bachelor's degree.

Provided that the subject must be one of the subjects included in the list of subjects in the BOS of the University and teaching must be going on in that subject in any one of the research centers approved by the University.

Provided that research work leading to Ph.D. degree may be allowed in allied subjects of interdisciplinary nature of the same faculty or the allied faculties. Provided further that whether a subject is allied or not to the subject in which the candidate has done Master's or Bachelor's degree in engineering /technology/pharmacy/ Management shall be decided by the Interview board constituted according to the ordinance.

- 1.4 A candidate who has not completed Master's degree, may be allowed to appear for entrance test for the Ph.D. programme. However, such candidate has minimum 10 years of experience and has published SCI/SCIE papers of cumulative impact factor of 5 alone or calculated as per AICTE norms for joint publication and submits undertaking that he will pass M. Tech course during Ph.D. work.

2. Duration of the Programme

- 2.1 The candidate shall pursue the research work at the approved research center under the guidance of supervisor/co-supervisor. The candidate shall not be permitted to submit the thesis earlier than 36 months and not later than 06 calendar years from the date of registration. If candidate does not apply for extension/re-registration in time his/her registration shall stand cancelled automatically.

Provided that the period for submission of thesis can be extended by one year by the Vice Chancellor, if the candidate applies for extension at least one month before the expiry of registration period together with a fee as prescribed by the University. In case the candidate does not submit his/her thesis within the extended period, his/her registration shall stand cancelled automatically.

Provided also that after the expiry of six years (seven years for those candidates who have obtained one year extension as per above clause) from the date of registration, the vice chancellor, may permit a candidate to get re-registered on the same topic. For re-registration the candidate shall be required to apply at least one month before the expiry of registration period along with re-registration fee as prescribed by the university. The condition of minimum period of 36 months for the submission of the thesis shall not apply to such re-registered candidates. For re-registration, approval by RDC is not required.

The re-registered candidate must submit the thesis within four years from the date on which his/her original registration (without extension) expired.

- 2.2 The women candidates and persons with disability (more than 40% disability) may be allowed an extension of the maximum of two years. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days provided they are regular student of Ph.D..
- 2.3 The residential requirement on the campus of the University/Autonomous/Constituent/Affiliated Colleges, which are declared research center by the university will be a minimum of one semester for course work but has to complete course work within one year of the registration.
- 2.4 The assigned Institute/Organization will have to provide certificate that the candidate has completed the minimum attendance requirement countersigned by the Supervisor. The scholar has to have attendance with Supervisor not less than 240 days.

3. Procedure for Admission

- 3.1 Admission into the Ph.D. programme shall be through an entrance test and subsequent interview conducted by the University. There will be common entrance test for all colleges under University, which includes Autonomous Colleges. GATE/NET qualified candidates may have to appear for written exam but will get 20% weightage of these national eligibility tests in merit.
- 3.2 The University at the start of every academic session depending on the available vacancies with the registered supervisors and available physical facilities will notify for admissions.
- 3.3 The university will normally be admitting Ph.D. scholars for July and January semesters in a particular academic year, depending upon availability of vacancies. Before starting the admission process the University shall seek from its research centers the details of the available vacancies and names of the available supervisors/co-supervisors.
- 3.4 University shall notify well in advance through its website and notices in at least one/two national newspapers, of which at least one shall be in the Hindi language, alongwith website notification the number of seats for admission, subject/discipline wise distribution of available seats, criteria and procedure for admission, examination center(s) and all other relevant information for the benefit of the candidates.
- 3.5 Reservation shall be applicable as per the reservation policy of the State Government of Uttarakhad.
- 3.6 The admission into the Ph.D. programme shall be on the basis of marks obtained by the candidate in the entrance test and subsequent interview, the weightage of these components shall be 85% and 15% respectively. All candidates other than those mentioned at clause 3.7 of this ordinance, are compulsorily required to appear in the entrance test. Only those candidates shall be called for the interview who have scored at least 50% marks in the entrance test. Candidates who have qualified NET/GATE examination conducted by central government shall be awarded additional marks which shall be 20% (if they are to appear for test) of the marks scored by the candidate in the entrance test; however to qualify for the interview these candidates shall be required to score at least 50% marks in the entrance test without adding these additional marks. These shall be subject specific, the syllabus for which shall be notified by the university from time to time.
- 3.7 Junior research fellowship (JRF) holders of UGC/CSIR, teacher Fellow ship holders of central government and teachers selected under QIP programme of central government or state government of Uttarakhand are exempted to appear in the entrance test. These candidates shall have first preference in the admission process.

These candidates shall be required to appear in the interview like any other candidates mentioned at clause 3.6 above. Relative merit of these candidates shall be decided by the marks obtained by them in the interview. The QIP students registered with its autonomous colleges must follow the process through University as per laid down provisions.

- 3.8 Passing an Entrance Test, excepting exempted category candidates, will be essential for a candidate to seek admission for Ph.D. course with 50% qualifying marks. The syllabus of the Entrance Test shall consist of subject specific (minimum 50%), reasoning, General knowledge, RM, and aptitude. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centre(s), if any, also to be notified well in advance) at the level of the university.
- 3.9 Based on available vacancies and the reservation policy selection and final merit list shall be declared, in which first preference shall be given to the candidates listed at clause 3.7 of this ordinance. The remaining vacancies shall be filled after adding marks obtained by the candidates in different criteria as mentioned at clause 3.6 of this ordinance.
- 3.10 Candidate qualifying the entrance test shall have to appear in an interview. The interview board shall consist of the following members:
- i. Vice chancellor or his nominee – Chairman
 - ii. Dean of the concerned faculty
 - iii. Chairman Board of studies of the concerned branch
 - iv. One of the recognized supervisors from the concerned subject to be nominated by the Vice Chancellor
 - v. One subject expert, who should not be from UTU preferably out of state, and to be nominated by the Vice Chancellor.
 - vi. One HOD of UTU Dept not below Professor or any senior professor. In case no professor is available Associate Professor can be nominated by the Vice Chancellor.

Note: subject expert and two other members shall form the quorum. If the dean of faculty/chairman of BOS is not available, then the Vice Chancellor may appoint a senior professor (from UTU approved Faculty) of UTU in their place.

- 3.11 The interview shall be conducted in the University premises. The venue and the time to be notified by the University.
- 3.12 At the time of interview, the candidate is expected to discuss his/her research area of interest and choice of supervisors and co-supervisor (if any). During the interview the interview board shall assess the subject knowledge and research aptitude of the candidate.
- 3.13 Depending upon the performance in the interview, the interview board shall finalise the merit list of the candidates in the concerned subject, according to clause 3.8 of this ordinance. If there are more than one candidate having equal marks, then merit shall be decided on the basis of marks obtained firstly in entrance test then in UG programme and then in PG programme. If marks obtained in all above components are also equal, then the elder candidate shall be placed higher in the merit.
- 3.14 The interview board shall also approve the proposed area of research; however, the candidate may change area of research, after prior approval by research degree committee (RDC)
- 3.15 Based on candidate's merit and his/her choice of research center and supervisor/co-supervisor will be allotted.

- 3.16 In case a higher merit candidate is not allotted a seat due to non availability of vacancy in his/her preferred research center and/or non availability of vacancy with his/her preferred supervisor, then the candidate shall be informed about this. Such candidates shall have the option of changing the choice of research center and/or Supervisor.
- 3.17 The University shall maintain the list of all the Ph.D. scholars on its website. The list shall include the name of the scholar, research center, topic of the research, name of the supervisor/co-supervisor, date of registration etc.
- 3.18 Whenever faculty members have research grants with provision of selecting the research scholar, the faculty member holding the grant will request UTU for candidate and select the candidate based on the guidelines of funding agency and of UTU. The registration for Ph.D. programme will be done as per Ph.D. admission rules of the university on the recommendation of RDC.
- 3.19 A Ph.D. candidate sponsored by any agency must submit application through proper channel and will be registered as full time candidate and sponsoring agency will pay full salary to the candidate.
- 3.20 Candidate applying under University approved scholarship / fellowship / programmes must submit separate application for scholarship/ fellowship approval alongwith application.
- 3.21 Candidate intending to carry research in UTU research centers must submit a no objection letter from the appropriate authority of such institute. The applications must be forwarded by the research center. The RDC will approve the admissions on case-to-case basis only after it is satisfied that the research center has suitable research facilities and suitable supervisor(s) as per UTU norms.
- 3.22 Admissions to be done centrally for all the institutes including autonomous as per the vacancies reported by the institutes. There may be provisions for admissions to the institutes having vacancies but admission must be through University or committee decided by the University.

4 Research Center

- 4.1 Institutions of following categories may be considered eligible as research center for Ph.D. programmes;
 - 4.1.1 University teaching departments and constituent colleges of UTU/Affiliated & Autonomous Engineering Colleges of UTU having relevant courses and research facilities with UTU approved eligible supervisors.
 - 4.1.2 Private Institutes Affiliated UTU, in which UG and/or PG both programmes are run and minimum one programme is accredited/eligible for NBA and have research facilities. Such Institutes have to apply on prescribed format and committee will approve if found suitable.
 - 4.1.3 Research Laboratories/Institutes of Govt of India, Industries of repute, which are actively involved in research and Private Research Laboratories having research facilities (run under society).
- 4.2 The standards, procedure and fee applicable for recognizing any institution as research center of the University for the Ph.D. programme shall be notified by the University from time to time. The recognition of such research centers will be for maximum of 5 years.
- 4.3 For all those research scholars, who have registered in a research center prior to the expiry of the recognition period of that research center, the recognition of the research center shall deem to continue even after the expiry of recognition period of that research center, the recognition of the research center shall deem to continue even after the expiry of the recognition period.

5. Allocation of Research Supervisor (S)

The person recommended as supervisor/co-supervisor to guide the research scholar must be from a University approved research center and must be:

- 5.1 A regular full time Professor of the University Departments/Constituent Colleges/Affiliated or Autonomous Colleges/Research Centers of the Uttarakhand Technical University with at least five research publications in the refereed (SCI for engineering and equivalent in the subject where SCI database is not applicable) journals out of which 2 must be as first or corresponding author.

OR

A regular full time Associate Professor of the University Departments/Constituent Colleges/Affiliated or Autonomous Govt Colleges/Research Centers of the Uttarakhand Technical University with at least four research publications in the refereed (SCI for engineering and equivalent in the subject where SCI database is not applicable) journals out of which 2 must be as first or corresponding author.

OR

A regular full time Assistant Professor of the University Departments/Constituent Colleges/Affiliated or Autonomous Govt Colleges/Research Centers of the Uttarakhand Technical University with at least two research publications in the refereed (SCI for engineering and equivalent in the subject where SCI database is not applicable) journals and atleast 4 years work experience out of which 2 years post Ph.D. experience is mandatory.

- 5.2 A regular full time scientist/Director of Institute/Lab or an equivalent position from research center of the University can act as a supervisor. External supervisors are not allowed. However, after the due approval from the RDC, external co-supervisor who fulfills all the requirements as listed at clause 5.1 of this ordinance other than the condition of being a faculty member of the university approved research center.
- 5.3 The allocation of supervisor for a selected research scholar shall be decided by the University according to clauses in this ordinance.
- 5.4 A research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. students. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. students and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. students. However, a Supervisor shall not be allotted more than two Ph.D. students in one academic year. The number of students will be calculated as full whether guiding alone or with cosupervisor. These numbers are total numbers with supervisor including other universities of the globe.
- 5.5 In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided that all other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent supervisor/co-supervisor and the research center for the part of research already done.
- 5.6 The allocation of Supervisor for a selected student shall be decided by the University depending on the number of students per Supervisor, the available specialization among the Supervisors and research interests of the students as indicated by him/her at the time of interview. The Supervisor(s) of the candidate shall be finally approved by the competent authority of the University.

- 5.7 List of recognized research supervisors alongwith number of students registered under them to be displayed on University website and students can select the supervisor from the list. Any other faculty member wish to become supervisor should apply to the University if fulfils the conditions as prescribed.
- 5.8 Supervisor must be from institutes mentioned in 5.1 and 5.2 and supervisor from any other institute shall be only co-supervisor only.
- 5.9 Any eligible faculty of UTU can become supervisor provided he/she fulfils the conditions and can be attached to any research center if his/her Institute is not research center.

6. Change of Supervisor

- 6.1 Change of Supervisor will not be entertained in general. However, change of supervisor/Co-supervisor shall be permitted only under following circumstances:
 - i. In the event, the supervisor/co-supervisor leaves the Institute and not able to guide and shows his inability to guide.
 - ii. If the supervisor leaves on long leave and is not in position to guide the student and he himself requests University to allocate another supervisor.
 - iii. Supervisor/Co-supervisor passes away
 - iv. If the supervisor/co-supervisor is not interested to supervise the research work of a candidate and has requested the University for the same.
 - v. If otherwise suitable, a retired faculty will also be eligible to become Co-Supervisor of a Ph.D. candidate.
 - vi. A supervisor once approved by the University will remain eligible even if he moves out of UTU provided there is facility of research at the place where he/she is stationed. However, he will not be allowed to take new candidate as supervisor but can take as co-supervisor
- 6.2 In all the above cases, the candidate shall be required to apply to the University for change of the research center/supervisor/co-supervisor, stating the reason for change along with the name of the proposed supervisor/co-supervisor (from the allotted research center) and consent letter from the previous and proposed supervisor/co-supervisor. The application should be duly forwarded by the head of the allotted research center. The chairman RDC, shall take decision on these applications, which will be intimated to the candidates. The decision of the Chairman RDC may be put up before the ensuing meeting of the RDC for its formal approval if needed.
- 6.3 In case student want to change supervisor/research center without the NOC of supervisor, he/she can write to Vice Chancellor for change of supervisor with valid reasons and if NOC is not given by Supervisor, Vice Chancellor may constitute a two member committee to decide the case and if recommended by committee and vice chancellor is satisfied with the reason, then supervisor/research center can be changed. However, student has to work with new supervisor for atleast 18 months and publish work with new supervisor for submission of thesis.
- 6.4 If change of Supervisor is necessary and no eligible Supervisor is available in the allotted research center then research scholar may apply for change of research center fulfilling all conditions for change of supervisor.
- 6.5 If the candidate is allotted both Supervisor and Co-supervisor and change in one of them is warranted due to circumstances listed above, then the scholar, if so desire, can continue with only one provided that the remaining supervisor/co-supervisor is from the same research center.
- 6.6 In case supervisor is relocated outside the UTU then he will continue to be supervisor if at least 2 RDC have been conducted under his/her supervision. However, he will

not be assigned any new candidate at supervisor but may be allotted candidate as co-supervisor.

- 6.7 No supervisor can continue as supervisor if he has never been associated with institutes mentioned in para 5.1 and 5.2. such students need to take supervisors as per UGC regulations/University ordinance.

7. Course Work

- 7.1 After having been admitted into the Ph.D. programme each candidate shall be required to undertake course work. For successful completion of the Ph.D. course work a candidate is required to earn a minimum of twelve credits through course work.
- 7.2 The duration of the course work shall be of one/two semesters. The course work shall be treated as pre Ph.D. preparation. The course work shall comprise of a subject on research methodology, with minimum of four credits, which shall cover areas such as quantitative methods, computer applications, research ethics, review of published research, data collection etc. in the relevant field. Other subject/s shall be advanced level subject/s of the relevant field, identified as per subject area by research center or by supervisor as may be the case and may be allowed to take online subjects also. The third subject will be state of the art seminar.
- 7.3 One credit shall be equal to one hour of theory/tutorial or two hours of practical classes per week.
- 7.4 A student shall be continuously evaluated for his/her academic performance in a subject through tutorial work, practical, home assignments, mid-semester tests, field work, seminars, quizzes, regularity and end semester examinations. The distribution of weightage of marks for each component shall be decided by the respective BOS and other competent bodies of the University. Every Ph.D. student has to undergo course work required for the degree.
- 7.5 The Ph.D. student with Master's degree should complete 3 courses of 4 credits each of 100 marks (total 12 credits). The course structure is given below.

Structure for course work of Ph.D. Students

S. No	Course Title	Credits/Marks
1	Research Methodology conducted by research center/UTU	4/100
2	State of the art Seminar related to the field of research or any course conducted by the research center related to work	4/100
3	Course related to research work Conducted by Research center or SWAYAM etc.	4/100
Total Credits		12/300

- 7.6 Course at S. No. 1 viz. Research Methodology shall be conducted either by the University or by a UTU recognized Institute, with the permission of the University.
- 7.7 Course at S. No. 2 will be evaluated by the University where a topic related to his/her research work will be taken in consultation with the Supervisor(s) and duly informed to UTU. Candidate will make a presentation before the RDC for its evaluation. This presentation can also be held along with the regular RDCs.
- 7.8 Course at S. No. 3 will be decided by the Supervisor(s) related with the research topic of the student, and its approval will be sought by the University in writing if required. The course will be conducted either by the University or its recognized Centers/Institutions. The students need to pass these courses with minimum of

50% marks or equivalent grades.

- 7.9 In case, there is no possibility to conduct the regular course at S.No. 3 at the Institution, online course through SWAYAM or any other agency authorized by AICTE or reputed organization related to his/her research work may be taken in consultation with the Supervisor(s) and duly informed to UTU. The minimum duration of the online course should be of four weeks. The certificate of online course(s) shall be submitted to the University for Consideration of RDC.
- 7.10 Ph.D. student admitted to the programme shall obtain minimum 50% marks in every individual course, for the successful completion of the course works prescribed.
- 7.11 If a Ph.D. student obtains less than 50% marks in any of the courses, at the maximum two more chances may be given to clear the same course. In such case change of subject will not be permitted.
- 7.12 All the candidates admitted to the Ph.D. programme shall normally be required to complete the course work prescribed during the initial one/two semester/s. If a candidate is unable to clear the subjects/s of course work in a particular semester, then he/she will be required to clear the subjects as an ex-student in the subsequent examination. If course work is not cleared in stipulated time then permission of University is required for extension.

8. Attendance Requirements

- 8.1 Candidates appearing as regular students for the examination of any subject of the course work shall be required to attend at least 75% of lectures delivered and of the practical held, provided that a short fall in attendance upto 10% and 5% can be condoned by the Head of the research center and Vice Chancellor of UTU, respectively, for satisfactory reasons. If a candidate is in service, then such candidate shall be required to submit certificate of leaves availed from his/her employer, to justify attendance in the research center for the duration of course work.
- 8.2 After successfully completion of the course work the candidate shall be required to put in at least 240 days of attendance in the research center with the supervisor/Co-supervisor. The relevant declaration by the candidate and the certificate of the supervisor in the format prescribed by the University must be given at the time of thesis submission.

9. Research Degree Committee (RDC)

- 9.1 The RDC will be constituted separately for each discipline/specialization and will consist of suitable number of persons depending upon the number of research scholars in that particular discipline. The RDC composition is as below:
- i. Vice Chancellor or his nominee – Chairman
 - ii. Coordinator of Ph.D at University level if appointed by VC
 - iii. Dean of the faculty concerned
 - iv. Chairman BOS of the concerned branch or any Professor from UTU or from any other University; nominated by Vice Chancellor.
 - v. One external expert, of concerned branch not below the rank of Associate Professor (preferably Professor) to be nominated by Vice Chancellor not from the State.

External Expert and two other members, one of which shall be Vice Chancellor or his nominee shall form the quorum.

- 9.2 The meeting of RDC may be held in the University twice a year or as and when called by the University.
- 9.3 If RDC is not held at regular intervals for some reasons then University may allow a subcommittee to decide the performance for some individuals on his/her request.

However, the students have to submit the progress report at every 3/6 months interval for evaluation.

- 9.4 For admission to Ph.D. programme the candidate should present the research proposal before the RDC.
- 9.5 The function of RDC will be as follows:
 - a) To review the research proposal and finalize the topic of research;
 - b) To guide the Ph.D. student to develop the methodology of research and identify the course(s) that he/she will be required to study.
 - c) To periodically review the progress of the research work.
 - d) A research student shall appear before the RDC as and when it is called to make a presentation of the progress of his/her work for evaluation and further guidance. However, student has to submit half yearly progress report signed by Supervisor/co-supervisor to the Ph.D. section even if RDC is not called in a year. The observations/comments on the six monthly progress reports shall be communicated to the Student after RDC makes reviews the progress report.
 - e) In case the progress of the Ph.D. student is unsatisfactory, the RDC shall record the reasons for the same and suggest corrective measures. If the Ph.D. student fails to implement these corrective measures, the RDC may recommend to the University with specific reasons for cancellation of the registration of the student. However, in such cases justification of Supervisor will be considered for repeal of comments by RDC if satisfied by the justification.
- 9.4 Any minor change in the originally approved title of Ph.D. thesis will be approved by the RDC on the request of candidate and endorsed by the Supervisor(s).
- 9.5 If a major change (or complete change) in the topic/title of Ph.D. thesis is to be done, a request will be submitted by the candidate duly forwarded by the Supervisor atleast one month in advance, which will be considered by RDC. However, no topic will be changed (major or complete) after completion of 4 years from the date of registration. Once title is changed then student has to publish two SCI paper in new area of work and student has to work for atleast 12 months in the new area of work.
- 9.6 At the completion of research work, the candidate has to present the complete work before RDC, which will be called Pre-submission presentation. A synopsis of the work needs to be submitted at the time of RDC presentation. Pre-submission of thesis shall be done before RDC of University by all candidates, includes autonomous institutes before final submission of thesis.
- 9.8 The copies of the RDC comments will be sent to the candidate, supervisor and record keeper.
- 9.10 The information about the date & timings of the RDC of Ph.D. student will be posted on the website of the University. However, this information may also be communicated if possible directly to all the candidates through e-mail or phone to avoid missing the information. Further the candidate will be notified about this meeting preferably 10-15 days prior to the RDC meeting.
- 9.11 Candidate will be required to make a power point presentation before the RDC. In addition, three copies of progress report in brief will be submitted by the candidate, before the RDC.
- 9.12 The RDC panel of the candidate, to as much extent as possible, may not be changed for the sake of continuity in feedback and given directions throughout. Changing of review panel every time will result that the work of the candidate prepared as per the directions given by one panel may be rendered inadequate by the newly constituted

panel because the new panel may not approve the directions given by the earlier panel and may propose altogether fresh changes.

- 9.13 If the candidate is absent in two successive RDCs, he/she would be allowed to appear at the next RDC as a special case if with due approval of the Vice-Chancellor, failing which his/her candidature will automatically be cancelled. In such case, he/she will submit in writing the reasons and justification to the University for not attending two consecutive RDCs, and request for allowing him/her in next RDC, which will be endorsed by the supervisor(s). Such requests to be entertained if received atleast one month before RDC dates.

T.A. and D.A. shall not be payable to the candidates for attending RDC meeting.

10. Date of Registration

After approval of title and synopsis by the RDC, the candidate shall be considered to have been registered for the Ph.D. programme from the date declared by the University as the last date of fee submission for that particular admission process, provided that the candidate had deposited the registration and other applicable fees as mentioned in the fee section of the ordinance, within time limit. However, if candidate's title has not been finalized and not approved by the first RDC then the date of registration will be the date of the RDC in which title has been approved or as endorsed by RDC.

11. Progress Report

- a. The candidate has to submit the progress report to the University even if RDC is not conducted at every six months.
- b. The candidate will have to present progress before the RDC on the prescribed dates, notified by the University.
- c. The University will forward its recommendations/suggestions of the RDC to the candidate for implementation.

12. Cancellation of Registration

Registration of a Ph.D. student may be cancelled under any of the following conditions:

- a. If progress report is found unsatisfactory in two consecutive RDCs.
- b. If the candidate fails to submit the Dissertation/Thesis before maximum stipulated period of six years. Vice Chancellor may however extend the period for another one year on request made by the candidate and forwarded by the Supervisor(s).
- c. If the candidate is found involved in any act of misconduct, un-ethical academic act and indisciplinary activities.
- d. If the Ph.D. student fails to obtain 50% marks or above in any one of the courses registered even after two chances and she/he is not in a position to earn the minimum credit requirement.
- e. If the course work is not completed in a maximum of 2 years duration.
- f. If research scholar fails to attend two consecutive RDC.
- g. If supervisor gives two unsatisfactory reports while forwarding progress reports to RDC

13. Thesis Submission Guidelines

- 13.1 The candidate has to give a pre-submission presentation before the RDC (as per clause 9.6). On satisfactory completion of the prescribed courses of coursework and research work of adequate quality and quantity, the student shall make a

presentation of his/her research work in front of a RDC or a Committee constituted by the University to obtain comments which may be incorporated in his/her thesis. The candidate shall be entitled to submit the thesis if it is so recommended by the RDC/Committee. The student should have at least two papers in SCI/SCIE indexed free journals/patents and one IEEE (or society applicable to subject) International Conference paper, which has been presented physically by the student in the area of research work and only the papers published with names of candidate and guide/co-guide will be considered as papers published out of thesis work. Other papers with outside multiple authors will not be counted. Research papers of two research candidates or with student of research candidate will not be considered.

- 13.2 The candidate has to submit 06 copies of synopsis, copy of research papers published and five copies of thesis along with one soft copy (on CD/USB drive) in latest format as desired by the University, to the Ph.D. section of the University.
- 13.3 Thesis is to be submitted within the permitted duration, which will not be more than six months from the date of RDC/committee in any case. If thesis is not submitted within this duration then no extension of date of submission will be granted in any case and student has to defend his case a fresh before RDC.
- 13.4 While submission of the thesis the Supervisor(s) shall send a signed report to the University that they have obtained plagiarism report through a standard software (Turnitin or iThenticate) assuring that the report certifies that a minimum 75% of Thesis is original (Research content chapters only). However, not more than 5% from single source of others' work. This may further be checked by the University through its own software if needed. The self plagiarism out of paper published from the thesis work may be deducted from total similarity/plagiarism. The Student will be held responsible for academic insanity, if thesis is found with plagiarism.
- 13.5 The thesis should be submitted as per university guidelines, along with necessary certificates on format and the text should be error free (typographical and grammatical).

14. Appointment of Examiners

- 14.1 On approval of draft thesis from RDC and submission of thesis according to clause 13.1 and 13.2 of this ordinance, the supervisor shall submit a panel of at least six external experts to the Ph.D. section, in sealed envelope from outside the state, who are actively involved in the concerned area of research. These experts should not be below the rank of Associate Professor (preferably Professor) or a retired individual of high repute, not below the rank of Professor or equivalent.
- 14.2 The dean of the concerned faculty shall also submit to the Ph.D. section, in a sealed envelope, a separate panel of at least six external experts, fulfilling the conditions as stated at clause 14.1 of the ordinance. In case there is no appointed Dean of Faculty then Vice Chancellor may seek panel from any Professor of the subject or Coordinator Ph.D. if he/she is working as Professor.
- 14.3 In case the candidate is related to the supervisor/Dean, then the panel of examiners as stated at clause 14.1/14.2 of this ordinance, shall be obtained from the Head of the University teaching department of the concerned subject or from any other senior professor nominated by the Vice Chancellor.
- 14.4 Dean or Ph.D. coordinator will prepare list of six examiners mixed from both lists (3 from each) and put up to the vice chancellor.
- 14.5 The vice chancellor then appoints two external examiners out of the aforesaid panel of six (section 14.4) may add any Examiner if he finds fit. Once panel is finalized it will remain active till it is exhausted in the event of refusal of appointed examiners.

15. Evaluation of Thesis and Viva-voce Examination

- 15.1 The Ph.D. thesis of the research scholar shall first be evaluated by his/her research Supervisor. Only after satisfactory report of the supervisor in the prescribed format, the summary/thesis shall be sent for evaluation to two external examiners, as appointed as per clause 14.5 of this ordinance.
- 15.2 Before sending the thesis to two external examiners for evaluation, the summary of the thesis and the list of the publications, as submitted by the candidate according to clause 13.2 of this ordinance shall be sent to these examiners to obtain their consent for evaluating the thesis of the candidate. The summary may be sent through e-mail to expedite the process.
- 15.3 It is to make sure that the process of appointment of examiners and sending the summary/thesis to the examiners should be completed within 3 months of the submission of thesis by the research scholar.
- 15.4 After receiving the consent of the examiners, the spiral bound thesis or its soft copy (as may be desired by the examiner) shall be sent to these examiners for evaluation.
- 15.5 The vice chancellor may recall the thesis from an examiner, who fails to send the evaluation report within three months from the date of dispatch of the thesis or such other date as may be extended by the Vice Chancellor if requested by the examiner, and shall appoint another examiner from the aforesaid panels of examiners.
- 15.6 For acceptance of the thesis the examiner must evaluate that the thesis must be:
- i. A piece of research work characterized either by the discovery of the new facts or by a fresh approach towards the interpretation of facts. In either case, it should evince the candidate's capacity for critical examination, problem solving and analysis
- AND
- ii. Satisfactory from the point of view of language and presentation.
- 15.7 In its evaluation report the examiners shall categorically recommended acceptance (including a specific recommendation for conducting the viva-voce examination), prescribed by the University for this purpose and shall provide:
- i. Detailed comments regarding points mentioned at clause 15.6 of this ordinance.
 - ii. Comments on each chapter
 - iii. A list of at least seven questions which examiner wishes to be asked from the candidate during the viva-voce examination.
- 15.8 If the examiner/s need any clarification regarding the research work of the candidate, they may seek it from the supervisor of the candidate through the Ph.D. coordinator or officer authorized for this work by the Vice Chancellor.
- 15.9 Following shall govern approval/rejection of the thesis:
- i. In case both the examiners approve the thesis for the award of the Ph.D. degree, the candidate shall be called upon to appear at the viva-voce examination
 - ii. If one examiner approves the thesis and other recommends for a major revision

OR

If one examiner approves the thesis and other minor revision.

OR

Both examiners reports minor revisions

The candidate shall be communicated to review the thesis in the light of the observation of the examiner/s. Revised thesis incorporating minor revision/s shall be sent to the Ph.D. coordinator or to the examiner (if examiner calls for after major revision). For minor revisions supervisor should give certificate of satisfaction or the case may be as per comments of examiner(s), who shall evaluate whether the candidate has incorporated the minor revisions/s as suggested by the examiner. Dean/Ph.D. coordinator, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. If the Dean/Ph.D. coordinator is satisfied that the changes as suggested by the examiner, have been incorporated in the revised thesis, only then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor.

iii. In case both the examiners reject the thesis

OR

One of them rejects the thesis and the other recommends a major revision, the thesis shall be rejected.

iv. If one examiner approves the thesis and other examiner rejects the thesis

OR

If one examiner recommends minor/major revision and other examiner rejects the thesis.

The thesis shall be sent to the third examiner appointed by the Vice Chancellor, from the panel of examiners according to provision of clause 14.4 of this ordinance. The previous report/s shall not be disclosed to the third examiner. The evaluation report received from the third examiner shall be final. If the third examiner approves the thesis for the award of the Ph.D. degree then the candidate shall be called upon to appear at the viva-voce examination. If the third examiner rejects or recommends a major revision, the thesis shall stand rejected. However, if the third examiner recommends for minor revision, the candidate shall be communicated to review the thesis in the light of the observation of the third examiner. Revised thesis incorporating minor revision/s shall be sent to the Dean of faculty/Ph.D. coordinator (or any Professor in case no dean, nominated by Vice Chancellor) who shall evaluate whether the candidate has incorporated the minor revisions/s as suggested by the examiner. Dean/Ph.D. coordinator, if finds it necessary, may send the revised thesis to a subject expert for opinion/comments regarding incorporation of the modification/s raised by the examiner. If the Dean/Ph.D. coordinator is satisfied that the changes as suggested by the examiner, have been incorporated in the revised thesis, then candidate shall be called upon to appear at the viva-voce examination, with due approval of Vice Chancellor.

- 15.10 After the thesis has been approved by the external and internal examiners, an open defense of the thesis (viva voce examination) will be held. Supervisor may coordinate for fixing the date with external examiner appointed out of two/three external examiners, which should be communicated by the University to the supervisor.
- 15.11 The Board of Examiners for the viva-voce examination shall consist of one of the external examiners (as appointed by the Vice Chancellor), internal examiners, and the Dean of faculty/Ph.D. coordinator or any other professor nominated by the Vice Chancellor. The Supervisor or Co-Supervisor(s) of the candidate will be the internal examiners. However, the University may appoint any other person also as the external examiner from the panel in case of non-availability of the examiner who had reviewed the thesis.
- 15.12 The presence of the Supervisor(s) in viva voce final defense examinations is mandatory. In case of two Supervisor(s), the presence of at least one Supervisor is

essential to conduct the viva-voce, failing which the viva voce examination will not be held.

- 15.13 The topic, date and the time of the defense of thesis shall be announced by the University well in advance so that the faculty members and others interested in the defense of the thesis can participate.
- 15.14 Only the Board of Examiners will be allowed to ask questions from the candidate. If external examiner allows to do so. The final result of the examination shall be decided solely by the external examiner of the Board of Examiners.
- 15.15 The result of the thesis will be declared only after approval by the Vice Chancellor and then Provisional degree of Ph.D. may be issued by the Chairman RDC/Registrar/Asst Registrar (Acad).
- 15.16 Notification of the award of Ph.D. degree to be done by the Dy Registrar/Asst Registrar (Academics) on receiving result from the Ph.D. section.

16. FORMAT

- 16.1 The thesis will be submitted as per the guidelines/format of the University. No other format will be accepted. It is the responsibility of the candidate to adhere to the appropriate format.
- 16.2 The proforma for Certificate (to be included in the Ph.D. thesis) and Final report of Viva-Voce examinations, as annexed, are to be used.
- 16.3 Colour of the cover for hard bound Ph.D. thesis would be brown with black printing in standard format given by the University. Candidate and Supervisors will ensure that the Ph.D. thesis has been submitted in accordance with the guidelines given by the University (e.g. text font, style, size, spacing etc.) and the name of the specialization will strictly be printed on the cover page as given in the guidelines. Thesis would not be accepted if it is not as per guidelines of the University.

17. RESULTS

- 17.1 The candidate shall be declared eligible for the award of the degree of Doctor of Philosophy, only on the recommendations of the Board of Examiners after the viva voce examination is over. The date of award of degree shall be the date of viva voce.
- 17.2 In case, the examiners are not satisfied with the performance of the candidate in the above examination, the candidate shall be required to reappear for another viva voce examination after a period of three months provided such specific recommendation is made by the Board of Examiners.
- 17.3 The Thesis in digital mode will be uploaded to “**Shodh Ganga/Inflibnet**” website. Hence, corrected and certified soft copy of the thesis on CD/USB drive (in pdf format) must be submitted to the University at the time of Viva-voce/final defense of Ph.D. thesis. It will be responsibility of the student and supervisor(s) to ensure that all the corrections suggested by the external examiners have been incorporated in digital copy also. If some corrections have been suggested during the viva-voce examinations, the candidate will incorporate the same and submit the hard copy afresh along with the updated copy on CD.

18. AWARD OF DEGREE

- 18.1 The candidate who qualifies for Ph.D. degree on the recommendation of the Board of Examiners on the date of viva voce and provisional degree can be issued by putting the result on file for approval of the Vice Chancellor same day. The degree shall be distributed during ensuing convocation. However, in case of delay in convocation degree can be obtained by applying in standard format.

18.2 The degree shall be awarded under the seal of the University and shall be signed by the Vice-Chancellor.

19. Removal of Difficulties

- 19.1 Any doubt or dispute about the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decision, in his capacity as the Chairman, Academic Council, shall be final.
- 19.2 Modify, amend and/or delete any of the clauses given in the Regulations or add any clause(s) to these Regulations, which shall be reported to the Academic Council at its next meeting for approval.
- 19.3 Order a special procedure for the evaluation of Ph.D. thesis to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of the candidate, the supervisor and the University.
- 19.4 Relax any of the provisions laid in these Regulations for handling circumstances not covered by these Regulations.
- 19.5 From the date when these Regulations come into operation all previous Regulations on the subject shall cease to have effect. Provided that this revocation shall not affect the previous Regulations so revoked or anything done or suffered under any previous Regulations so revoked or affect any right, privilege, obligation or liability acquired, arrived or incurred under any Regulations so revoked. However, quality parameters does not come under right or privilege.

20. FEE STRUCTURE

- 20.1 The candidate will pay the prescribed fees to the Finance Controller of the University.
- 20.2 Even if the candidate is registered through some other institute / organization, he / she will have to pay registration fee and other fees, like thesis evaluation, examination fee etc., as fixed by University from time to time, which will have to be deposited before making presentation in RDC. Research center will charge the fee from the candidate as per guidelines of the University.
- 20.3 The candidate will deposit the fee within the prescribed time. If fee is not deposited every semester/year to the research center, the registration will stand cancelled.
- 20.4 It is the responsibility of the candidate to ensure that semester fee has been paid each academic year at research center or at UTU depending on his research center. The registration in any case will not be continued, if in an academic year fee has not paid to the Research Center/University.
- 20.5 If the candidate is registered with research center other than UTU Departments the following fees to be charged by the research center(s). However the registration fee and admission fee need to be transferred to the UTU.
 - a. Registration Fee
 - b. Admission Fee
 - c. Library Fee
 - d. Tuition Fee
 - e. Caution Fee
 - f. Any other fee prescribed by the Board of Institute

21. Withdrawal of Degree

If at any time after the award of degree it has been found that the degree has been awarded in violation of any of the provisions of the ordinance, then the University reserves the right to withdraw the degree after providing the candidate opportunity to defend himself/herself in a fair and transparent manner. However, it will be after approval of AC/EC with proper enquiry.

22. Interpretation

In case of any doubt regarding any of the provisions of this ordinance the interpretation of Vice Chancellor, UTU, shall be final and binding to all.

- 23.** After July 2020 The Ph.D. ordinance 2009 stands ineffective and Ph.D. ordinance 2015 will be ineffective w.e.f. Oct 2021.
- 24.** Any change in guidelines by AICTE/UGC shall be effective after the approval of Academic Council of the University.