

# REVISED ORDINANCES

Approved in 13<sup>th</sup> Meeting of Board of Management held on 26-7-2017  
and Academic Council on 11-7-2017



## Doctor of Philosophy

*for*

**Newly Admitted Students from Session 2017-2018**

**MADAN MOHAN MALAVIYA  
UNIVERSITY OF TECHNOLOGY  
GORAKHPUR-273010 (U.P.), INDIA**

# MADAN MOHAN MALAVIYA UNIVERSITY OF TECHNOLOGY

## GORAKHPUR (UP) - INDIA

### Revised Ordinances

In pursuance of the provisions of section 31 of The Uttar Pradesh Madan Mohan Malaviya University of Technology Act, 2013, these are the revised Ordinances for Madan Mohan Malaviya University of Technology, Gorakhpur:

### The Uttar Pradesh Madan Mohan Malaviya University of Technology

#### REVISED ORDINANCES, 2017

##### *Short title, commencement and Definitions Sec. 31 (1)*

1. These Ordinances may be called the Madan Mohan Malaviya University of Technology, Gorakhpur. Revised Ordinances, 2017
2. They shall come into force at once.
3. Anything contained in ordinances, regulations and rules made there under in violation to provisions of Act shall be void and the provisions of Act shall prevail.
4. In these Ordinances, unless the context otherwise requires
  - (a) 'Act' means the Uttar Pradesh Madan Mohan Malaviya University of Technology Act, 2013 as amended from time to time.
  - (b) 'Section' means a section of the Act.
  - (c) 'University' means the Madan Mohan Malaviya University of Technology, Gorakhpur.
5. Words and expression used herein but not defined and defined in the Act shall have the same meaning as assigned to them in the Act.
6. **UNDER SECTION 31-1(a) - The Admission of students, the courses of Study and Fees therefore, the qualifications pertaining to the award of degrees, diploma, certificates and other academic distinctions, the conditions for the grant of fellowships and awards and the like;**
  - (a) University may start the other Degree, Diploma, Certificate programmes and other academic distinctions as deemed necessary for fulfilling its objectives and the Ordinances for the same shall be as prescribed by Academic Council and Board of Management.
  - (b) Courses of Study shall be as prescribed by the Academic Council and approved by Board of Management.
  - (c) Fellowships and Awards shall be instituted as per the requirement with the approval of Vice Chancellor under intimation to the Academic Council and Board of Management
  - (d) Ordinances for Bachelor of Technology (B.Tech.), Master of Technology (M.Tech.), Master of Business Administration (M.B.A.), Master of Computer Applications (M.C.A.) and Doctor of Philosophy (Ph.D.) Degree programmes running in the University at the time of its reconstitution from Madan Mohan Malaviya Engineering College, Gorakhpur are detailed ahead. Ordinances for other programmes as started from time to time shall be as prescribed by the Academic Council and Board of Management.

#### 6.5 ORDINANCES FOR PH.D. PROGRAMME FROM ACADEMIC SESSION 2017-18

##### 6.5.1 ADMISSION

- 6.5.1.1 Ph.D. Programmes are available in various disciplines offered by the University.
- 6.5.1.2 Admission to Ph.D. will be made through a written test/interview. However, a candidate qualified UGC/CSIR-NET-JRF examination for award of fellowship may be directly admitted to Ph.D. program through interview. A candidate working in sponsored R&D project running

in the University may be admitted to Ph.D. program after recommendation of Principal Investigator and concerned Head of Department.

- 6.5.1.3 The reservation shall be governed by U.P. State Government rules or as prescribed by the University.
- 6.5.1.4 Candidates who possess the Master's Degree with 1<sup>st</sup> Division in Engineering/Technology/Science/Management/Humanities or equivalent or as prescribed by the University in the relevant discipline are eligible for the admission to Ph.D. Programme following the admission process lay down by the University.
- 6.5.1.5 Admission on migration of a research scholar from any other University to Madan Mohan Malaviya University of Technology (MMMUT) is not permitted. However, in view of reconstitution of M.M.M. Engineering College into MMMUT *w.e.f.* 1<sup>st</sup> December, 2013 the research scholar working in MMMUT with their registration in another University under the supervision of faculty members of this University may be considered for migration in this University in the first academic session only since enforcement of this ordinance subject to issue of No Objection Certificate for such migration to the research scholar by the University where he/she is registered on the request of such candidates.
- 6.5.1.6 If, at any time after admission, it is found that a research scholar has not fulfilled all the requirements stipulated in the offer of admission or has committed some fraudulent act at any stage then the University reserves the right to revoke the admission of the research scholar.

## 6.5.2 ELIGIBILITY FOR ADMISSION

- 6.5.2.1 The exact eligibility criteria for admission to the various Ph.D. programmes shall be as prescribed by the University from time to time and announced by the University in the "Ph.D. Admission Brochure" for admission, each year.
- 6.5.2.2 Procedure for applying and essential requirements for the admission to Ph.D. degree programmes under Quality Improvement Programme (QIP) is governed by National QIP Coordination Committee, MHRD, Government of India and the same shall be adhered to.
- 6.5.2.3 Academic Council of the University has the power to repeal and modify the eligibility criteria and process for admission.

## 6.5.3 CATEGORY OF RESEARCH SCHOLARS

### 6.5.3.1 Full Time Regular with or without University fellowship/with or without Project Support/any financial assistance

A research scholar in this category works full-time for his/her Ph.D. He/she will be eligible to receive assistantship/scholarship from the University or any other recognized funding agency as per the rules. In case of non-availability of financial assistance the candidate shall have to meet the expenditure of doing research work on his own. The grant of financial assistance from any source does not entitle the candidate for exemption from tuition and other prescribed fees of University unless such exemption is specifically granted in the assistance scheme and the fees as applicable are provided to the University by the agency extending financial support to the candidate.

### 6.5.3.2 Self-financed full-time research scholars

Self-finance full time research scholar will support themselves. University will not provide scholarship to such candidates. They may receive fellowship from other agencies such as UGC/CSIR etc. However, University may provide contingency to such research scholars.

### **6.5.3.3 Quality Improvement Programme (QIP) Full-Time Research Scholars**

QIP provides opportunities to faculty members of the Degree-level engineering institutions to improve their qualifications by admitting them to Ph.D. degree programmes as per the rules prescribed there in the QIP Scheme of MHRD, Govt. of India. Research scholars under this scheme shall be treated as full time candidates.

### **6.5.3.4 Sponsored**

A research scholar in this category is sponsored by a recognized R&D organization, Academic Institution, Government Organization or Industry for doing Ph.D. in the University on a full-time basis. The University shall not provide any assistantship/ scholarship to such research scholar and the applicable University fees and expenditure on pursuing research work shall be remitted by the sponsoring organization to the University. Research scholars under this scheme shall be treated as full-time candidates.

### **6.5.3.5 Foreign Nationals**

Applications received through the **Indian Council of Cultural Relations**, Government of India, are also eligible to apply under the self financing scheme, for which applications are invited through their embassies as per the provision of University. Research scholars under this scheme shall be treated as full-time candidates.

### **6.5.3.6 Part-time**

A candidate working on regular basis in a research centre recognized by the University/ Regular faculty members of this University / Employees working in Govt. / Govt. aided / Private Engineering colleges / Universities / Industries / Public sector organizations having minimum two year experience shall be considered for the admission under this category subject to the terms and conditions prescribed by the University. However, a regular faculty member of this University desirous of pursuing Ph.D. program will have to discharge duty of his/her services. He/She will not be entitled to get any assistantship/fellowship from the University.

Part time research scholar's parent workplace must be located in the radial distance of 100 Km from the University.

### **6.5.3.7 Conversion from Full Time to Part Time**

A student admitted to a full-time Ph.D. programme category may be permitted to change to a part time Ph.D. programme category. A student requesting for such a conversion must have completed the coursework successfully, passed the comprehensive examination, given the Research Proposal Presentation which is adjudged as satisfactory. Such candidates shall have to get their request recommended by the supervisor(s) and Head of concerned Department and also produce a No Objection Certificate from the Head of the Institution/Organization, which he/she proposes to join.

Such conversion, if approved by the DRC, will be subject to the following conditions.

(i) The student must complete his/her thesis within deadline governed by Clause 6.5.4 counted from the date of his/her first registration in the programme.

(ii) Provision of conversion from full-time to part-time status can be availed once by the student during his/her programme, and

(iii) His/her continuation on part-time status will be subject to his/her making satisfactory progress towards completing the Ph.D. thesis. However, such part time candidate will not be entitled for any kind of scholarship/assistantship.

### **6.5.3.8 Conversion from Full Time to Full time external**

Full-time research scholars can leave the University for taking up any teaching or R&D assignment. Such candidate will be treated as full time external candidate provided that the organization to which candidate joins, have research laboratories, R&D facilities and will normally carryout part or all of one's research work there only under the supervision

of a co-guide employed in the same organization and a guide/supervisor of this University approved by the Vice-Chancellor. However, such candidates will have to complete course work and comprehensive examination successfully in the time stipulated for full time research scholars of the University. Such candidates shall have to get their request recommended by the supervisor(s) and Head of concerned Department and also produce a No Objection Certificate from the Head of the Institution/Organization, which he/she proposes to join. Such candidates will not be entitled for any kind of scholarship /assistantship.

- 6.5.3.9** Full-time research scholars can leave the University for taking up any assignments only after submission of the thesis; failing which their studentship shall be cancelled automatically provided it does not fall under provisions of **Clause 6.5.14** regarding temporary discontinuance.

#### **6.5.4 PROGRAMME DURATION**

- 6.5.4.1** The duration of the Ph.D. programme for the full time/part time research scholars admitted in semester I will be minimum three academic years (six semesters)/four academic years (eight semesters), respectively provided it does not fall in **Clause 6.5.4.2**. The maximum time allowed for completion of the regular programme for the full time/part time research scholars admitted shall be five/six years, respectively, beyond which the admission of the research scholar shall get cancelled automatically. However, research scholar is eligible for extension of one more year beyond the maximum time period upon his/her request provided he has published/received acceptance of at least one research paper out of his research work in SCI journals or such other reputed and peer reviewed non-paid journals prescribed by the University. Such extension shall be granted by the Vice-Chancellor on the recommendation of supervisor(s) and Doctoral Research Committee (DRC).
- 6.5.4.2** A full-time/part-time research scholar can submit the thesis only after a minimum period of study of 30 months/42 months respectively from the date of his/her first registration. However, in most cases the minimum duration of work shall be three years.
- 6.5.4.3** The duration of each Semester will generally be 90 working days or as prescribed by the University from time to time.
- 6.5.4.4** There are two regular semesters in a year. The semester that begins in July (*July to November/December*) is known as the *Odd Semester* and the semester that begins in December/January (*December/January to May*) is known as the *Even Semester*. Research scholars are supposed to continue their research work through out the year for its timely completion.
- 6.5.4.5** A full-time research scholar residential requirement shall be from the registration till the final submission of the thesis. However, the minimum residential requirement for research scholar under full time category is two years or till successful completion of the course work and comprehensive examination whichever is earlier. There is no minimum residential requirement for part time research scholars. However, they are supposed to complete the course required upto third semester. Departments will facilitate courses for such candidates

#### **6.5.5 DOCTORAL RESEARCH COMMITTEE AND COURSE WORK REQUIREMENTS**

- 6.5.5.1** The Doctoral Research Committee (DRC) for each research scholar shall be appointed within a month from the date of his/her first registration. The composition of DRC is given ahead.

1	Dean, Post Graduate Studies & Research and Development or other Dean/Professor to be nominated by the Vice Chancellor	Convener
2	One Subject Expert from the relevant area to be nominated by Vice Chancellor who could be even from outside the University	Member
3	Head of concerned Department/Centre	Member
4	Supervisor(s) of the concerned Student	Member
5	Two Faculty members from the concerned department having Ph.D. degree, recommended by concerned Head and approved by Dean PGS, R &D	Member

In case of the persons in ex-officio capacity in DRC at sl. nos. 1 & 3 happen to be the supervisor of the candidate, then Convener shall get the alternate senior faculty member to be nominated at his/her place by the Vice Chancellor.

**6.5.5.2** The full-time research scholars should complete four courses of at least 12 credits recommended by the Head of Department/Dean/Supervisor preferably in first semester but not later than second semester from the date of his/her first registration.

The part-time research scholars should successfully complete 4 courses (or minimum 12 credits) recommended by the Supervisor(s) through the concerned Head of Department/Dean preferably upto second semester but not later than third semester from the date of his/her first registration.

Such courses should have not been studied by the research scholar in their UG/PG programme.

**6.5.5.3** The prescribed courses shall be of postgraduate level courses of the University. The evaluation procedure will be same as that of post graduate level courses and the details are given in the corresponding section in the Ordinances common to all M.Tech. Programmes.

**6.5.5.4** In addition to courses of the M.Tech. Programme, a department may offer special courses for Ph.D. research scholar during the semesters or during summer vacation. If a course is offered in summer vacation, the total number of contact hours and the pattern of examination shall be the same as that for other courses taught during the normal semesters.

**6.5.5.5** A research scholar is considered to have completed a subject successfully and earned the credits if he/she secures a CGPA of 7. The performance of Ph.D. course work of a student will be evaluated in terms of two indices, viz. the Semester Grade Point Average (SGPA) which is the Grade Point Average for a semester, and Cumulative Grade Point Average (CGPA) which is the Grade Point Average for all the completed semesters at any point in time considered cumulatively. It is computed as follows: If the grades awarded to a student are G1,G2,G3 etc in courses with corresponding credits C1, C2,C3 etc, the CGPA is given by

$$CGPA = (C1G1 + C2 G2 + C3G3 \dots) / (C1 + C2 + C3\dots)$$

Grade	Grade Points	Marks (in %)
A <sup>+</sup>	10	90-100
A	9	80-89
B <sup>+</sup>	8	70-79
B	7	60-69
C	6	50-59
D	5	40-49

F	4	<40
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- 6.5.5.6** Based on the performance of the research scholar in periodic progress review presentations before DRC, it may ask the research scholar to undertake more number of courses than the prescribed minimum four which could be even from undergraduate level if deemed necessary. Credit to courses already undergone by a research scholar in this University or other Institutions/ Universities shall not be considered if they were credited for award of any previous degree/diploma.
- 6.5.5.7** No change in prescribed courses shall be made without the approval of the Vice-Chancellor.
- 6.5.5.8** The part time research scholars shall have to complete the course work as per clause 6.5.5.2.
- 6.5.5.9** The course work is required to be completed before the comprehensive examination.
- 6.5.5.10** Every research scholar will make research proposal pre-presentation before the committee constituted by the department for the better preparation and refinement of research proposal till it is presented as preliminary research proposal presentation before DRC in first semester. A compiled report for the above research proposal pre-presentations shall be reported at the time of preliminary presentation to DRC.

#### **6.5.6 COMPREHENSIVE EXAMINATION**

- 6.5.6.1** The objective of the Comprehensive Examination (CE) is to test the general capability of the research scholar and the breadth of his/her knowledge in his/her discipline and areas related to his/her field of research. The Comprehensive Examination will usually consist of a written test and/or oral examination. The Comprehensive Examination Committee shall intimate to the research scholar sufficiently in advance so as to enable the research scholar to prepare adequately for it.

##### **Distribution of Marks for Comprehensive Examination (CE)**

<b>S. N.</b>	<b>Assessment Basis</b>	<b>Marks</b>
1.	Breadth of knowledge in the Broad Area of Research/Field	20
2.	Critical Analysis & Understanding of Research Methodologies	10
3.	Background Knowledge of Specific Research Area	20
4.	Understanding of the Issues & Problems related to Pin-Pointed Specific Research Area	20
5.	Discussion and Suggestion of Methods and Approaches to the Inquiries	20
6.	Doctoral Level Comprehension and Writing Skills	10

The evaluation outcome is given below.

<b>S.N.</b>	<b>CE Status</b>	<b>Marks Obtained</b>
1.	CE Satisfactory (CES)	50% and above
2.	CE Unsatisfactory (CEU)	below 50%, candidate has to repeat the CE
3.	CE Fail (CEF)	below 50% again in second attempt, retake not permitted, registration cancelled

- 6.5.6.2** Every Ph.D. scholar shall appear and perform satisfactorily in a Comprehensive Examination in his/her Department. The Comprehensive Examination shall be conducted by a Comprehensive Examination Committee of the Department, consisting of the all members of Department possessing Ph.D. qualification and at least two other senior faculty members of the University nominated by the Vice-Chancellor.

- 6.5.6.3** If the performance of a research scholar in the Comprehensive Examination in the first attempt is not satisfactory, he/she will be given only one more opportunity to appear for the comprehensive examination within six months of the first attempt. The registration of a research scholar, who fails to complete successfully the Comprehensive Examination in both attempts, will be cancelled.
- 6.5.6.4** The full-time research scholars are normally expected to successfully complete the Comprehensive Examination preferably in second semester but not later than third semesters from the date of first registration of research scholar. The part time research scholars are normally expected to successfully complete the Comprehensive Examination preferably in third semester but not later than fourth semesters from the date of first registration of research scholar.
- 6.5.6.5** If due to compelling adverse circumstances (as considered so by the DRC), a research scholar is not able to appear in the comprehensive examination as stipulated above, or he/she is not able to pass the comprehensive examination within next three semesters, can be granted an extension of one semester more upon his/her request. During this semester, he/she can be registered provisionally only (the normal semester fees, however, will have to be paid), and minimum registration period requirement will automatically get extended by six months. Further, if he receives scholarship, his scholarship for these six months will be stopped. Only one such chance can be allowed to a research scholar.

Research Proposal Presentation of research scholar shall be conducted within a week just after successful completion of comprehensive examination. It should outline the planned research work and identify the milestones. Both excessive vagueness, as well as exact description of the work to be done is discouraged at this stage to facilitate focused research work without being constrained. The evaluation outcome is given below.

S. N.	Status	Remark
1.	Research Proposal Presentation -Approval Positive	Candidate can go ahead to work
2.	Research Proposal Presentation - Approval with Minor Modification	Candidate has to do modification and repeat the process.
3.	Research Proposal Presentation - Major Modification	Candidate has to do modification and repeat the process.

- 6.5.6.6** Every research scholar shall have to undergo the progress review through DRC every semester which shall evaluate the work progress and evaluate the candidate's progress as Satisfactory, Marginal or Unsatisfactory. In case of the progress evaluation being the Unsatisfactory for two times consecutively the DRC may recommend for cancellation of the registration of candidate.
- 6.5.6.7** The candidates whose registration has been cancelled due to any reasons shall not be eligible for pursuing any programme from this University.

## **6.5.7 THESIS SUBMISSION**

- 6.5.7.1** A research scholar will be allowed to make his pre-submission thesis presentation, after successful completion of prescribed courses, comprehensive examination and after publishing/getting acceptance of at least two research papers out of his/her research work in SCI/ SCI mago journals or such other reputed and peer-reviewed journals approved by the Vice- Chancellor. This presentation should precisely reflect all aspects of the research work to be included in his/her thesis.



The research scholar shall make the pre-submission thesis presentation for internal assessment of quality of research work and grant of permission before his/her constituted DRC. The DRC will, if it approves the work reported in the presentation, permit the research scholar to submit the thesis and recommend a panel of at least five External Examiners from outside the India and five External Examiners from within India (faculty of IITs/NITs/ reputed Engineering Colleges or Universities/ Professionals from leading Industries/Scientists from central and regional laboratories) of relevant sub-discipline having high research credentials not below the rank of associate professors except from IITs/NITs subject to fulfilling the requirement of clause 6.5.9; otherwise, research scholar shall have to go for further work/modifications as suggested by the concerned DRC and repeat the process. The evaluation outcome is given below. A person working in the same organization(s)/institute(s)/ University where the research scholar is employed cannot, however, be appointed as External Examiner for that research scholar.

S. N.	Status	Remark
1.	Pre-submission Thesis Presentation -Approval Positive	Candidate can submit thesis.
2.	Pre-submission Thesis Presentation - Approval with Minor Modification	Candidate has to do modification and repeat the submission process.
3.	Pre-submission Thesis Presentation - Major Modification	Candidate has to do modification and repeat the submission process after three months only.

- 6.5.7.2** The research scholar shall, within four months of grant of approval for submission/ acceptance of the pre-submission thesis presentation, can submit four copies of the thesis (soft and loose spiral bound hard version) and extended abstract of the thesis. Similarity check report (plagiasm) is also to be submitted. The DRC may grant additional time for the thesis submission beyond four months but not more than six months on request from the research scholar for valid reasons.
- 6.5.7.3** No part of the thesis or supplementary published work should have been submitted for the award of any other degree or diploma and the certificate to this effect is required in thesis by the candidate and supervisor(s).
- 6.5.7.4** The Ph.D. thesis shall be prepared following the general format prescribed by the University and must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side.

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## **6.5.8 THESIS EVALUATION**

- 6.5.8.1** The Vice-Chancellor may appoint two examiners from outside University, of which at least one must be from India from the recommended panel or the panel can be returned back for modification or may add any name to or delete any name from the list recommended by the DRC. The supervisor/first supervisor in case of two supervisors will also serve as Examiner(s) in addition to the two External Examiners and shall be appointed by Vice-Chancellor.
- 6.5.8.2** Plagiarism checking of thesis is mandatory and will be carried out by the Examination cell for ensuring originality of submitted content of thesis. After pre-submission thesis presentation, a soft copy of thesis in word format must be forwarded by supervisor(s) and Head of Department to Examination Cell. The thesis has to be checked by anti-plagiarism software before sending it for evaluation. If any text strings/figures are found to be copied or dubious

without proper acknowledgement of the source or the percentage of plagiarism exceeds the approved limit as prescribed by the University from time to time, the thesis has to be thoroughly revised and resubmitted for clearance from plagiarism.

- 6.5.8.3** On receipt of requisite copies and extended abstract of the thesis, the Controller of Examination of the University will send a formal letter/email to the examiners appointed by Vice-Chancellor for the research scholar along with a copy of the extended abstract requesting for acceptance of being examiner. After receiving the consent, the thesis will be mailed along with proforma of Examiner's Report and relevant documents to examiner from outside India while hard copy of thesis shall be sent along with relevant documents to the examiner in India by registered post. The complete record of e-mail /postal correspondence shall be maintained by the office of Controller of Examination. The Board of Examiners for thesis evaluation will consist of External Examiners, one out of which would be from within India and the other from abroad and supervisor(s). In case of refusal, the second External Examiner appointed by the Vice-Chancellor as per **Clause 6.5.8.1** will be contacted and so on. If in this process, the list is exhausted, the Controller of Examination may ask the DRC to recommend another list.
- 6.5.8.4** All correspondence/notifications in regard to thesis evaluation and viva-voce examination of the scholar (except where stated otherwise) shall be done by the Controller of Examinations of the University. Except for the correspondence with the research scholar or general circulars/notifications, the correspondence shall be maintained confidential.
- 6.5.8.5** In the event of non-receipt of the thesis report from any External Examiner within a period of three months from the date of dispatch, the thesis will be sent to next External Examiner appointed by the Vice-Chancellor and so on. Before correspondence with another External Examiner, the original External Examiner must be informed by the Controller of Examination about the cancellation of his/her appointment as examiner-stating the reason therein.
- 6.5.8.6** The reports of all three examiners shall be compiled by the Controller of Examination and placed before the Vice-Chancellor. There may be four possible situations arising out of the nature of the reports. The steps to be taken appropriate to the circumstances are laid down below.
- (i) The examiners are unanimous in recommending for the award of the Ph.D. degree without any modification of the thesis. This is a clear case for going for the final requirement of viva-voce which shall be scheduled and duly notified for open-defense by Controller of Examination in consultation with External Examiner from India and Supervisor(s).
  - (ii) The external examiners are unanimous in recommending for the award of the degree but at least one of the examiners has suggested minor modifications and/or has asked for clarifications. The candidate in that case shall make modifications and provide the clarifications as suggested with the certificate from Supervisor about the compliance of the remarks within a time to be fixed by the Controller of Examination. These modifications/clarifications may be sent to the examiner, if so desired by him. After compliance is ascertained, the final requirement of viva-voce shall be scheduled and duly notified for open defense by Controller of Examination in consultation with External Examiner from India and Supervisor(s).
  - (iii) One of the External Examiners does not recommend the award of the degree and rejects the thesis whereas the other External Examiner recommends the award. The matter shall be referred to DRC which may in such a case either ask the candidate to modify the thesis as suggested within a given time not exceeding six months and send the modified thesis to the same External Examiner again, or, recommend to the Vice-

Chancellor for the appointment of another External Examiner and send the thesis to him in its original form as per the prescribed process. The third External Examiner will be provided with copies of the evaluation reports of all examiners, External and Internal, with the names of the examiners deleted. The recommendation of this ‘third’ examiner, at this stage, shall be taken as final. In case of adverse report of the third examiner the DRC shall consider for directing the candidate to work for six more months and follow the prescribed process of examination of his/her thesis. In case of the recommendation of third examiner for award for Ph.D., the final requirement of viva-voce shall be scheduled and duly notified for open defense by Controller of Examination in consultation with external examiner from India and Supervisor(s).

- (iv) Both the External Examiners reject the thesis, and then the student is declared, “fail” and registration cancelled in usual course; however, upon strong recommendation of the Supervisor and Head of Department the Vice-Chancellor may refer the case for thorough review by the DRC which may or may not permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time to be fixed by the DRC which shall not be less than one year from the date of grant of permission by Vice-Chancellor on recommendation of DRC within the maximum time period prescribed under **Clause 6.5.4.1**. The observations and comments of the examiners, if any, shall be given to the Supervisor. In no case should a resubmission of the thesis without modification along the lines of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for examination as per prescribed procedure. The new examiners will be provided with copies of earlier thesis, examiners’ reports and details of changes made, in addition to the revised thesis. The examiners need to respond specifically to the observations of the earlier examiners and the changes made by the student before re-submission. It shall be evaluated as per normal procedure of Thesis Evaluation.

**6.5.8.7** Once the reports of the examiners have been accepted as satisfactory, the candidate will have to defend the thesis before a Viva-Voce Board consisting of all DRC members and an ‘External’ Examiner from India. The Indian Examiner of the thesis will be invited as an External Examiner for Ph.D. thesis defense. The defense will be open where faculty members and students of the parent as well as other departments will be invited. The evaluation, however, will be done by the Viva-Voce Board comprising of External Examiner from India, one member of the DRC to be nominated by Vice Chancellor along with the supervisor(s). The evaluation report is to be submitted by the Viva-Voce Board to the Controller of Examination and its outcome could be as given below.

S. N.	Evaluation Report	Remark
1.	Thesis Viva Voce Examination -Satisfactory	Ph.D. degree be awarded by competent authority, however the Provisional Degree Certificate be issued by Controller of Examination after acceptance and approval of the Evaluation Report of Viva-Voce Board by the Vice-Chancellor
2.	Thesis Viva Voce Examination - Unsatisfactory	Appear again before the Viva-Voce Board after elapse of three months as scheduled and notified by Controller of Examination upon recommendation of Supervisor.

**6.5.8.8** On the successful completion of the thesis viva voce examination, the student will submit three copies of the final revised thesis in hard bound form and soft copy of thesis after incorporating suggestions of Viva-Voce Board, if any, which will be archived onto University Web Site and in University Library/ Departmental Library as per the prescribed format.

## **6.5.9 ELIGIBILITY FOR BEING SUPERVISOR**

- (a) The faculty members of the University holding doctorate degree and having a minimum of one year experience are eligible to supervise research scholars subject to approval of Vice-Chancellor. If a research scholar is working with two supervisors, the number will be counted as 0.5 for each supervisor.

S. N.	Faculty Member	Maximum Numbers of Research Scholar
1.	Professor	6
2.	Associate Professor	4
3.	Assistant professor	3

- (b) At any time, a supervisor will have maximum number of full/part time research scholars as given below inside and outside the University in totality. However, Vice-Chancellor may increase/decrease the number of research scholars under the supervision of a particular cadre of faculty. The department will regulate the number of research scholars with University fellowship (including QIP and other fellowships allotted to the University) that will be assigned to each eligible faculty.
- (c) A faculty member who is to retire within three years may be permitted to become a supervisor to a new research scholar with another faculty member, who is not likely to retire within five years as co-supervisor, at the time of registration itself. On retirement, the faculty member will continue to be a Supervisor and will be invited to the DRC meetings, pre-submission presentation and the final viva-voce examination related to research scholar enrolled under him.
- (d) Continuance of retired faculty members as supervisor.
- (i) When a faculty member, who has guided a research scholar for three years, retires, he will be permitted to continue as Supervisor on his written request, and will be invited for the DRC meetings without any commitment to the University.
- (ii) However, there will be a regular Co-Supervisor appointed by Head of Department with the approval of Vice Chancellor for taking care of administrative, and to some extent, the research responsibilities of the research scholar.
- (e) Emeritus Professors, who hold office at this University for a period of 2 years or more, can become co-supervisor for research scholars along with a principal supervisor from University, with at least 5 years service still left at the time of registration of the research scholar.
- (f) In case a faculty member, who is a supervisor, goes on leave exceeding one year duration or resigns, another faculty member will be identified by the Head of Department and appointed by Vice-Chancellor to become a co-supervisor/ supervisor of the research scholar.
- (g) In case a Supervisor(s) declines to supervise a research student, another faculty member qualified to be Supervisor(s) and actively engaged in the same area of research, consents to supervise the research student, new Supervisor(s) may be appointed by the Vice-Chancellor on the explicit recommendation of the Head of Department after thorough examination of the issue. In case, if the reason for decline to supervise by the faculty member is not on the part of research scholar, such faculty member be debarred from being Supervisor in future.
- (h) For the research scholars admitted under part-time category normally carrying out part or all of his/her research work in their respective industry/organization/ national laboratories, only Ph.D. degree holder scientist/engineer having minimum five-year experience in relevant area of research at the level of Assistant Professor or higher may be appointed as co-supervisor subject to approval of Vice-Chancellor.

#### 6.5.10 ALLOCATION OF PH.D. SUPERVISOR(S)

- (a) Thesis supervisor(s) for a research scholar will be appointed from amongst the faculty members of the University as Supervisor/Co-Supervisor with the approval of Vice-Chancellor. However, the Professors/Associate Professors/Scientists in equivalent position in the premier institution/ R&D units/ Industries may also be permitted to be co-supervisor with the approval of Vice-Chancellor.
- (b) Departments will evolve modalities for appointing supervisor(s) keeping in view of the research scholars' aspirations and faculty interest.
- (c) No research scholar will be allowed to have more than two supervisors from the University.
- (d) Appointment of Co-Supervisor will be done on the recommendation of the principal Supervisor within three months from the date of joining for the research scholars. After this time limit, the Co-Supervisor shall be made with valid reasons and justifications by the DRC of the research scholar.
- (e) No change in thesis supervisor(s) will be allowed without the valid reasons and consent of Head of Department.
- (f) Generally, no change/addition of Supervisor (s) is/are allowed after the thesis has been submitted for evaluation.
- (g) In case there has been change (due to unavoidable reasons)/addition in the Supervisor(s), the thesis will be submitted not earlier than 6 calendar months from the date of such change.
- (h) The research scholars admitted under part-time category will normally carry out part or all of his/her research work in their respective industry/organization/ national laboratories. For these scholars, there may be one Supervisor from the University and one Co-Supervisor from his/her organization. For the purpose of administrative expediency the internal supervisor from the University shall be the principal supervisor.
- (i) For the research scholars admitted under Part-time category having University itself as the place of work then, the Supervisor from University shall be sole Supervisor.
- (j) For any research scholars, the Vice-chancellor on the recommendation of concerned Head of the Department/DRC may appoint an external supervisor. Appointment of such external supervisor would not be made after the lapse of 12 calendar months from the date of initial registration of the research scholars. However, if appointed he would be designated as co-supervisor of the candidate. In no case total number of supervisor(s) from inside University & outside would not be more than three.

#### **6.5.11 ATTENDANCE**

- 6.5.11.1** All the full time research scholars shall be required to sign in attendance register in the department every working day irrespective of whether the research scholar is getting a scholarship or not. An unauthorized absence for more than one month leads to disciplinary action which could be even upto the termination of research studentship from University.
- 6.5.11.2** All part time research scholars shall also be required to sign in the attendance register for the stipulated period of minimum residential requirement. An unauthorized absence for more than one month leads to disciplinary action which could be even upto the termination of research studentship from University.
- 6.5.11.3** A research scholar, except when granted withdrawal by the University must attend to his work on a whole time basis. The DRC will examine the attendance record of research

scholars, and if it is found unsatisfactory, will recommend extension of minimum duration for submission of thesis, deregistration or termination of research scholarship as it thinks fit.

**6.5.11.4** A teacher of a course may debar a research scholar from appearing in examination on ground of unsatisfactory attendance. In such case the candidate shall have to repeat the course in future semesters

**6.5.11.5** The working hours of research scholar is generally permitted to be flexible, but not lower than that of a full time employee. It is the department's legal and moral responsibility to ensure that proper work environment is made available to the research scholar. The research scholars are encouraged to discuss such issues with their supervisor(s), with HOD and higher authorities.

**6.5.11.6** There is no summer or winter vacation for the research scholars.

**6.5.12 RESEARCH PROGRESS ASSESSMENT**

**6.5.12.1** The research progress of each research scholar in every month will be monitored by the supervisor(s), who will assess the performance to be 'Satisfactory' or 'Unsatisfactory' at the end of each semester. For this purpose, each research scholar will be asked to submit a progress report to the supervisor(s) by the dates stipulated in academic calendar.

**6.5.12.2** The supervisor(s) shall forward his/her recommendation regarding the performance of the research scholar to DRC before the beginning of the next semester. The DRC will forward the recommendation to the Dean prescribed by University for necessary action, if any.

**6.5.12.3 Ph. D. Credit Distribution**

Full time Ph. D. students will register for minimum 12 credits in each semester while part time research scholar will register for minimum 9 credits. The DRC on the recommendation of Supervisor may allow registration for maximum of 18 credits in a Semester. Following shall be the distributions of the credits.

Semester	Credit through	Max Credit
I	Course work/research Seminar/Mini project/Thesis performance credit	18
II	Course work/research Seminar/Mini project/Comprehensive/State of art/Thesis performance credit	18
III	Course work/research Seminar/Mini project/Comprehensive/State of art/Thesis performance credit	18
IV	State of art/Thesis performance credit	18
V	Thesis performance credit	18
VI	Thesis performance credit	18

The code of registered subject in Ph.D programme will be as follows:

1. For course work the subject code will be same as that of M.Tech programme of respective departments.
2. For other thesis related subjects, the code will be named as under

Example:

DAS0201 (DAS-Doctoral Applied Science, 02-Second semester, 01- code of Comprehensive)  
 DAS0302 (DAS-Doctoral Applied Science, 03-Third semester, 02- code of State of Art)  
 DAS0403 (DAS-Doctoral Applied Science, 04-Fourth semester, 03- code of Thesis Performance Credit)

Comprehensive examination will be of 9 credits. If a student secures 50% and above in the comprehensive examination as per clause 6.5.6.1. he/she will complete comprehensive satisfactorily and the grade 'S' will be awarded. For marks, less than 50% candidate will be awarded grade 'X' and he/she will have to repeat the comprehensive examination.

Min. Total Credits to be earned	Min. Credits through Course work/ Research Seminar/ Mini-Projects	Credits through Comprehensive Examination	Credits through State of Art Seminar	Min Credits through Research
72	12	9	9	42

1. Thesis performance credit shall be submitted in the combination of six S and/or X.
2. The performance credit in general shall be assigned by DRC
3. At the end of every Semester, all Departments shall forward the satisfactory/unsatisfactory report to the Dean PGS and R&D.

The grade S or X will be awarded for assigned credits as follows: At the end of the semester, DRC will assess the student's progress towards the assigned work during the semester and will award the grade S for each unit if the work is satisfactory and a X for every unsatisfactory assignment. Thus, a student registered for 18 credits can get one of the following five combinations 6S, 5S1X, 4S2X, 3S3X, 2S4X, 1S5X, 6X.

Format for Ph.D. assigned grades in student's transcripts

Semester	Assigned work	Assigned Credit	Grading Option
VI	6	18	6S,5S1X,4S2X,3S3X,2S4X,1S5X, 6X
V	5	15	5S, 4S1X,3S2X, 2S3X, 1S4X, 5X
IV	4	12	4S, 3S1X, 2S2X, 1S3X, 4X
III	3	9	3S, 2S1X, 1S2X, 3X
II	2	6	2S, 1S1X, 2X
I	1	3	1S, 1X

A letter of warning will be issued to a Ph.D. student by the Head of the Department when he/she accumulates three or more Xs. The Dean PGS and R&D will keep a watch on the progress of every student and whenever a student fails to meet the requirements, will intimate the head and concerned supervisor. If a student's programme is terminated, the Head of the Department will issue the letter of termination.

### 6.5.13 REGISTRATION AND ENROLMENT

**6.5.13.1** Registration at the beginning of each semester on the prescribed dates announced in the Academic Calendar, is mandatory for every research scholar till he/she submits his/her thesis. If a research scholar does not register in a particular semester, her/his research scholarship is liable to be cancelled. Without registration, any academic activity (course/seminar/thesis etc) undergone by a research scholar will not be counted towards the fulfilment of requirements of her/his degree.

**6.5.13.2** Every research scholar admitted shall have his/her unique registration number. The registration number shall have ten digits. First four digits shall indicate year of admission; next two digits shall indicate his/her department/centre of study, next one digit shall indicate

his/her level (Undergraduate, Postgraduate and Ph.D.) and last three digits shall indicate his/her serial number/roll number or as prescribed from time to time. Every research scholar shall be identified by this registration number through out his stay in the University.

- 6.5.13.3** Registration should be carried out by the research scholar himself/herself on stipulated date, but not later than the first week of each semester as late registration upon payment of prescribed late fees as decided from time to time. In any case, registration must be completed before the prescribed last date for registration, failing which he/she will not be registered in that particular session. Such research scholars will have to register in coming next academic session if it is permissible under **Clause 6.5.4** else his/her research scholarship is liable to be cancelled.
- 6.5.13.4** Research scholars having any kind of outstanding dues to the University or hostel shall be permitted to register only after clearing the outstanding dues.
- 6.5.13.5** If a research scholar is unable to submit the thesis by the end of stipulated period, he/she is to get registered in every semester till the submission of the thesis. For every onward registration, he/she has to pay the required fee as prescribed by the University.
- 6.5.13.6** A research scholar is not eligible for re-registration for Ph.D. after cancellation of his / her earlier registration.
- 6.5.13.7** In-absentia registration may be allowed only in rare cases at the discretion of the Vice-Chancellor of the University in case of serious illness/natural calamities/unavoidable circumstances upon the recommendation of Head of Department.
- 6.5.13.8** Any student who concurrently registers for any postgraduate/research degree at another University/College/Organization or undertakes employment in case of full time candidate and technically not available in this University shall be automatically de-registered from this University. However, this clause will have no effect on the candidature of a full time research scholars being converted to full time external research scholars as per clause 6.5.3.8.

#### **6.5.14 TEMPORARY DISCONTINUATION OF COURSE**

- 6.5.14.1** Discontinuation of the course will not be allowed in the first year of Ph.D. registration. However, if a student of other years wishes to temporarily discontinue the course for valid reasons, she/he shall apply through the Head of Department in advance and obtain a written order from the University permitting discontinuance.
- 6.5.14.2** A candidate after temporary discontinuance may rejoin the programme only at the commencement of the semester, provided she/he pays the prescribed fees to the University for the discontinuation period also. The total period of completion of the course reckoned from the commencement of the first semester to which the candidate was admitted shall not in any case exceed the limit prescribed in **Clause 6.5.4**, including of the period of discontinuance.

#### **6.5.16 TERMINATION FROM PH.D. PROGRAMME**

Registration of a Research student/research scholar shall be cancelled in any one of the following eventualities, after due approval of Vice-Chancellor on recommendation of the Dean prescribed by the University.

- 6.5.16.1** If he/she absents himself for a continuous period of four weeks without prior intimation/sanction of leave.
- 6.5.16.2** If he/she requests for cancellation of registration from the Ph.D. Programme and the request is duly recommended by the supervisor/Head of Department/Centre.
- 6.5.16.3** If he/she fails to renew his/her registration in any semester.
- 6.5.16.4** If his/ her academic and research progress is not as per requirement and the DRC



recommends for cancellation in following conditions.

- i) his/her CGPA is below 7 in Ph.D. course work.
- ii) he/she accumulates 11 or more Xs towards thesis grades.
- iii) he/she accumulates 8 or more Xs towards thesis grades in two consecutive semesters.

**6.5.16.5** If all the prescribed courses by Supervisor(s)/DRC are not successfully completed within the stipulated time frame.

**6.5.16.6** If he/she does not clear the comprehensive examination as stipulated.

**6.5.16.7** If he/she is found involved in an act of misconduct and/or indiscipline and termination has been recommended by a competent authority.

#### **6.5.17 GENERAL ELIGIBILITY FOR THE AWARD OF PH.D. DEGREE**

A research scholar shall be declared to be eligible for award of the Ph.D. degree if he/she has

- (i) registered and successfully completed all the required courses and thesis and other requirements of programme as prescribed in this Ordinance or as prescribed by the University from time to time;
- (ii) has no dues to the University, hostels, libraries etc., and
- (iii) no disciplinary action is pending against him/her.

#### **6.5.18 POWER TO MODIFY**

Notwithstanding all that has been stated above, the Academic Council has the right to modify partly or completely the provisions of above ordinances with the approval of Board of Management. Under extreme exceptional circumstances arising out of certain inconsistency in the ordinance or otherwise, the Vice-Chancellor can take suitable decision in deference to the laid down provisions provided standard of evaluation is not compromised and the same shall be reported to ensuing Academic Council/Board of Management with suitable justification. Such actions of Vice-Chancellor shall not be treated as precedence under any circumstances.

#### **6.5.19 LEAVE RULES**

Full-time research scholars may be granted leave on submission of application to the Head of the Department concerned through the Supervisor. A application letter must be submitted in advance of the date of commencement of the leave requested.

1. A research scholar may be allowed maximum leave of 30 days in an academic calendar year.
2. The students going for prescribed training, or any academic work related to the his/her thesis up to maximum of 30 days in an academic calendar, assigned by the Supervisor, approved by the HOD shall be treated as academic leave. Leave for academic work beyond this duration if needed will be recommended by concerned HOD and same may be approved by the Vice-Chancellor. Such academic leave will not be more than six calendar months for entire duration of Ph.D. programme.
3. A research scholar may be allowed for medical leave upto a maximum of three month for entire duration of Ph.D. programme.

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