ORDINANCES

FOR

DOCTOR OF PHILOSOPHY PROGRAMMES

**(Effective from the session 2017-18 to all
Ph.D. programmes of the University)**

APPROVED BY

**The Academic Council in its meeting held on April 04, 2018
&
The Executive Council in its meeting held on April 10, 2018**

**HARCOURT BUTLER TECHNICAL UNIVERSITY
KANPUR-208002 (UP) – INDIA**

Dean Academic Affair
HBTU Kanpur

First Ordinances

In pursuance of the provision of Section 45 (1-3) of the Uttar Pradesh Harcourt Butler Technical University, Kanpur Act, 2016, these are the first Ordinances for Harcourt Butler Technical University, Kanpur:

1. INTRODUCTION

Short Title, Commencement and Definitions

1.1 These Ordinances shall be called the First Ordinances, 2017 of Harcourt Butler Technical University, Kanpur.

1.2 They shall come into force from session 2017-18 for new entrants.

1.3 Anything contained in Ordinances in violation to provisions of Act shall be void, and the provisions of Act shall prevail.

1.4 In these Ordinances, unless the context otherwise requires,
  a) 'Act' means the Uttar Pradesh Harcourt Butler Technical University Act, 2016 as amended from time to time.
  b) 'Section' means a section of the Act.
  c) 'Clause' means a clause of the Ordinances.
  d) 'University' means the Harcourt Butler Technical University, Kanpur.

1.5 Words and expression used herein but not defined in the Act shall have the same meaning as assigned to them in the Act.

1.6 The admission of students, eligibility to various courses of study, qualifications, attendance, registration, course structure, grading system, award of degrees, certificates, medals and other academic distinctions are covered in these Ordinances.
  a) The 'University' may start other Degree, Diploma, Certificate programmes and other academic distinctions as deemed necessary for fulfilling its objectives. The Ordinances for the same shall be as prescribed by the Academic Council and the Executive Council.
  b) The 'Courses of Study' shall be as prescribed by the Academic Council and approved by the Executive Council.
  c) Fellowships and Awards shall be instituted as per the requirements with approval of the Vice Chancellor under intimation to the Academic Council and the Executive Council.

2. ADMISSION

2.1 Different Departments of University offer Ph.D. Programme in various disciplines as listed in Table 1. The provisions of these regulations shall be applicable to any new discipline that is introduced from time to time, and added to the Table 1.

Table1: Ph.D. Degree offering Departments

Sl. No.	Department
	School of Engineering
1.	Department of Computer Science and Engineering
2.	Department of Civil Engineering
3.	Department of Electrical Engineering

4.	Department of Electronics Engineering
5.	Department of Mechanical engineering
	School of Chemical Technology
6.	Department of Chemical Engineering
7.	Department of Biochemical Engineering
8.	Department of Food Technology
9.	Department of Oil Technology
10.	Department of Paint technology
11.	Department of Plastic technology
12.	Department of Leather Technology
	School of Basic and Applied Sciences
13.	Department of Chemistry
14.	Department of Physics
15.	Department of Mathematics
	School of Humanities and Social sciences
16.	Department of Humanities and Social Sciences

2.2 Admission to Ph.D. Programme will be made as per the rules prescribed by the University from time to time. Admission will be made through written test (Weightage : 80%), followed by a Personal Interview (Weightage: 20%). The Students securing minimum of 50% marks in Written Exam will qualify for Interview. Students who have qualified UGC Net/JRF/M. Phil. in their discipline, will be given preference in Interview. Students from Basic Sciences (Chemistry) stream can also be admitted in School of Chemical Technology under a specific stream of Chemical Technology for award of Degree in Applied Chemistry.

2.3 The reservation shall be governed as per U.P. State Government rules or as prescribed by the University.

2.4 Admission of a Research Scholar from any other University to Harcourt Butler Technical University, Kanpur on migration basis is not permitted.

2.5 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 used some fraudulent means to obtain admission at any stage then the University reserves the right to revoke the admission of the Research Scholar.

2.6 Candidates who possess Master Degree in Engineering / Technology / Science / Management / Humanities or equivalent, or as prescribed by the University in the relevant discipline with requisite CGPA / Percentage listed in Table 2 are eligible for the admission to Ph.D. Programme.

Table 2: Eligibility criteria for various admission to Ph.D. Programme

Sl. No.	Department where admission is sought	Eligibility	
		Open Category	OBC/SC/ST/PH Category
1.	Engineering Departments	(i) M. Tech. / M. E. Degree in relevant discipline with a minimum of 60 % marks or equivalent CGPA/ CPI (ii) Candidates having B. Tech. degree with minimum 75% marks with 2 years professional experience. (iii) MCA degree with a minimum of 60 % marks or equivalent CGPA/CPI for MCA Stream (Eligible for pursuing Ph.D. in any Engineering Departments)	i) M. Tech. / M. E. degree in relevant discipline with a minimum of 55 % or equivalent CGPA/CPI ii) Candidates having B. Tech. with minimum 70% marks with 2 years professional experience. iii) MCA degree with a minimum of 55 % or equivalent CGPA/CPI for MCA Stream (Eligible for pursuing Ph.D. in any Engineering Departments)
2.	Technology Departments	(i) M. Tech. / M. E. degree in relevant discipline with a minimum of 60 % marks or equivalent CGPA / CPI. (ii) Candidates having B. Tech. degree with minimum 75% marks with 2 years professional experience.	M. Tech. / M. E. degree in relevant discipline with a minimum of 55 % marks or equivalent CGPA / CPI (ii) Candidates having B. Tech. with minimum 70% marks with 2 years professional experience
3.	Basic and Applied Science Departments	i) M. Sc. degree in relevant discipline with a minimum of 55 % marks or equivalent CGPA / CPI ii) Candidates with M. Sc degree with minimum 55% marks in Chemistry/ Industrial Chemistry/ Applied / Bio Technology or equivalent, for Doctoral Degree in respective branch of Chemical Technology/Chemical Engineering for degree in Applied Chemistry	M. Sc. degree in relevant discipline with a minimum of 50 % marks or equivalent CGPA / CPI ii) Candidates with M. Sc degree with minimum 50 % marks in Chemistry/ Industrial Chemistry/ Applied / Bio Technology or equivalent, for doctoral degree in respective branch of chemical technology/Chemical Engineering for degree in Applied Chemistry
4.	HSS Departments	Master's degree in relevant discipline with a minimum of 55 % marks or equivalent CGPA / CPI	Master's degree in relevant discipline with a minimum of 50 % marks or equivalent CGPA / CPI

2.7 Procedure for applying and essential requirements for the admission to Ph.D. Degree programmes under Quality Improvement Program (QIP) for in-service Candidates is available in some departments as they are recognized QIP centers.

2.8 Category of Research Scholars

2.8.1 Full Time

A Research Scholar in this category works full-time to pursue 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 / her own. The grant of financial assistance from any source does not entitle the candidate for exemption from tuition fee 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.

2.8.2 Sponsored

A Research Scholar in this category is sponsored by a recognized R&D organization, Academic Institution, Government Organization, Research Laboratory or Industry for pursuing Ph.D. in the University on a full-time basis. Such students will be required to submit a Sponsorship Certificate from their respective Organization along with their GPF / CPF Contribution proof. 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.

2.8.3 Part-time

A candidate working in a research centre recognized by the University, Regular/ Contractual faculty members of this University / Employees working in Govt. / Govt. aided / Private Engineering colleges / Universities / Industries / Public sector organizations shall be considered for the admission under this category subject to the terms and conditions prescribed by the University. The eligible Faculty / Staff members of the University shall be treated as Part Time Research Scholars.

2.8.4 Quality Improvement Program (QIP)

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

3. SUPERVISOR REQUIREMENTS

3.1 Eligibility for being Supervisor

3.1.1 The regular faculty members of the University holding Doctorate Degree with two years teaching experience are eligible for supervising Research Scholars.

3.1.2 The Supervisor should be from the same department in which the student has taken admission; and co-supervisor may be from other department. Co-supervisor may be from outside the University only in case when the research work is to be carried out at the proposed Co-supervisor's workplace.

3.1.3 A faculty member may supervise the number of Research Scholars in all capacity (Supervisor / Co-Supervisor) as per Table 3.

Table 3. Number of Research Scholars permitted to Faculty Members

S. N.	Faculty Member	Within University (Regular +Part Time)	Maximum number of permissible students
1	Professor	5	8
2	Associate Professor	4	6
3	Assistant Professor	3	4

3.1.4 Continuance of retired faculty members as supervisor.

3.1.4.1 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 Research Degree Committee (RDC) meetings without any commitment to the University.

3.1.4.2 In such case, 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.

3.1.5 In case a faculty member, who is a supervisor, goes on leave exceeding one year duration, or resigns; Candidate may request before RDC for approval of new Supervisor.

3.1.6 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) will be appointed by RDC on the explicit recommendation of the Head of Department and the Dean of concerned School after thorough examination of the issue.

3.1.7 A Research Scholar admitted under part-time category carrying out part or all of his / her research work in his respective industry / organization / national laboratories may have his Co-Supervisor from his organization. Only Ph.D. degree holder scientist / engineer having minimum five year experience in relevant area of research at the level of Associate Professor or higher may be appointed as co-supervisor in such cases.

3.2 APPOINTMENT OF SUPERVISOR(S)

3.2.1 All the eligible faculty members should be encouraged to supervise Ph.D. students at the Departmental Level.

3.2.2 No Research Scholar will be allowed to have two Supervisors from the same area of research in the department.

3.2.3 No change in thesis supervisor(s) will be allowed without the valid reasons and consent of RDC.

3.2.4 Strictly, no change/addition of Supervisor (s) is/are allowed after grant of permission to submit the thesis

3.2.5 In case there has been change (due to unavoidable reasons)/addition in the Supervisor(s), the thesis will be submitted not earlier than one year from the date of such change/addition.

3.2.6 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.

4. RESEARCH PROGRESS MONITORING

4.1 CONSTITUTION OF RESEARCH DEGREE COMMITTEE (RDC)

4.1.1 The Research Degree Committee (RDC) for each Department shall be constituted by Dean, Research and Development on the recommendation of Vice- Chancellor. The composition of RDC is given in Table 4.

Table 4: Composition of RDC

1	Dean, Research and Development	Chairman
2	Two Subject Expert having Doctoral Degree in the related area to be nominated by Vice Chancellor who will be from outside the University. Five names will be proposed by HOD through a departmental meeting for above panel	Members
3	Dean of Academic Affairs or Nominee	Member
4	Dean of concerned School or Nominee	Member
5	Head of concerned Department / Centre	Member
6	Supervisor (s) of the concerned Student	Member
7	COE or his/ her Nominee (Deputy COE/ Dy. Registrar)	Member
8	Associate Dean, Research & Development	Member Secretary

In case Head of Department is Non-Ph.D., a Senior Professor / Associate Professor from the Department with Ph. D. Degree may be invited to RDC by Dean, R & D approved by Vice Chancellor. All members should have Doctoral Degree.

4.1.2 For administrative purpose, COE or his nominee with Ph. D. Degree will be acting as Member RDC. He / she will be responsible for handling Ph.D. Thesis submission and evaluation process.

4.2. COURSE WORK REQUIREMENTS

4.2.1 The full-time / part-time Research Scholars should successfully complete course work as per Table 5 recommended by the RDC preferably in first two semesters. Such courses should have not been studied by the Research Scholar in their UG / PG programme. Candidates for Ph. D. Programme in Applied Chemistry will need to complete course work with minimum 06 courses.

Table 5: Details of Course Work Requirement
(1 course = minimum 3 to 5 credits)

Sl. No.	Qualification of Student	Total No of minimum Courses required	Compulsory Courses
1.	B. Tech. + M. Tech. in respective discipline	04	1.Research Methodology
2.	Master's Degree in Science/Art/Humanities / Management	06 courses if research area is different from the subject of Master's degree or it is interdisciplinary	1.Research Methodology
3.	B. Tech. with 75% marks and two years relevant industrial experience	06 Courses	1.Research Methodology

4.2.2 The prescribed Courses, attendance norms, Evaluation procedure, rules for Unfair Means etc. shall be of Postgraduate Level Courses of the University. The details are given in the corresponding section in the Ordinances for M. Tech. Programmes.

4.2.3 In Departments where Master's Degree Program is not running, Department shall keep a list of at least FOUR approved PG level courses (respective BOS & Academic Council). Regular classes shall be held for such courses exclusively for Ph.D. Candidates.

4.2.4 For a maximum of half of the courses of the total requirement of courses, a Ph. D. student may be allowed to take courses from NPTEL (National Program on Technology Enhanced Learning) from its MOOC Courses (Massive Online Open Courses) with minimum 8-week duration to complete the requirement of their course work with justifiable reasons. Such courses with NPTEL course syllabus can be added in to the respective department's PG course list with syllabus that can later be approved in the BOS of respective department. For such courses, NPTEL issued certificate score/grade can be considered equivalent to and added as regular course score/grade.

4.2.5 A Research Scholar is considered to have completed a subject successfully and earned the credits if he secures more than 50% as aggregate of theory and sessional marks in that subject.

4.2.6 Courses already undergone by a Research Scholar in this University or other Institutions/ Universities should preferably be avoided if they were credited for award of any previous degree / diploma.

4.2.7 No change in prescribed courses shall be made without the approval of the RDC.

4.3 PROGRAMME DURATION

4.3.1 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) / five academic years (ten semesters), respectively.

4.3.2 The maximum time allowed for completion of the regular program for the full time / part time Research Scholars admitted shall be five / seven 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 on case to case basis by approval from Vice Chancellor.

4.4 REGISTRATION AND ENROLMENT

4.4.1 The students must register at the beginning of each semester on the prescribed dates announced in the Academic Calendar, student till she/he completes her / his programme. If a student does not register in a particular semester, her/his studentship is liable to be cancelled. Without registration, any academic activity undertaken by a student shall stand cancelled and not considered towards the fulfilment of requirements of her/his degree.

4.4.2 Registration should be carried out by the student himself / herself on stipulated date. A student is allowed registration for 10 working days including the date of registration with a fine of Rs.100 per day after which the student's name will be struck off from roll. Such students shall have to register at the start of next academic session.

4.4.3 Every student admitted shall have his/her unique Roll number. The roll number shall have nine digits/alphabets. First two digit shall indicate the year of admission; next two the degree programme; next two the branch of study, and last three digits the serial number of students. Every student shall be identified by this roll number throughout his stay in the University.

4.4.4 Students having any kind of outstanding dues to the University or hostel shall be permitted to register only after clearing the outstanding dues.

4.4.5 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 Dean Academic affairs.

4.4.6 Every student admitted and registered in the University shall be required to submit the enrolment form within one month of registration for getting enrolled with the University. Non- compliance will lead to cancellation of admission.

4.4.7 Any Scholar who concurrently registers for any postgraduate / research degree at another University / College / Organization shall be automatically de-registered from this University.

4.5 ATTENDANCE

4.5.1 All the Research Scholars (Full time / Sponsored / QIP sponsored) 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 up to the termination of research studentship from University.

4.5.2 All the Research Scholars in Part- time category shall be required to produce a certificate before RDC from Supervisor / Co-Supervisor indicating total number of contact hours spent in research work during the entire semester.

4.5.3 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.

4.5.4 There is no summer or winter vacation for the Research Scholars.

4.5.5 Leave rule for Ph.D. Research Scholars shall be as follows:

 4.5.5.1 15 days leave with Fellowship per year

 4.5.5.2 Medical leave up to one month with fellowship under hospitalization in full tenure of Ph.D.

 4.5.5.3 Maternity leave will be permissible as per Government / University rules.

 4.5.5.4 Any other leave as per UGC Guidelines may be permissible.

4.6 **RESEARCH PROGRESS ASSESSMENT**

4.6.1 After registration, every Research Scholar will submit Synopsis of his / her research proposal in duplicate at Academic Section. . The Synopsis must include proposed Topic of Research work along with the list of Course Work recommended by the Supervisor. The student will present the proposed work before RDC for approval / suggested changes.

4.6.2 The candidate must submit a detailed progress report duly forwarded by his / her supervisor(s), Head of Department and Dean of School one week in advance of proposed RDC, and present the same during RDC meeting.

4.6.3 Every research scholar shall have to undergo the progress review through RDC every semester which shall evaluate the work progress and evaluate the candidate's progress as Satisfactory, Marginal or Unsatisfactory.

4.6.4 If the progress is evaluated as 'unsatisfactory' the student will be permitted for registration in commencing semester with a warning issued to the Research Scholar by the office of Dean Research and Development.

4.6.5 If there is 'Unsatisfactory' evaluation in three consecutive semesters to a Research Scholar, his / her registration for Ph.D. program will stand terminated; and RDC Secretary will communicate to Dean Academic Affairs for necessary action.

4.6.6 In case of any conflict, the decision of RDC shall be final and binding to all concerned.

5. THESIS SUBMISSION & EVALUATION

5.1 A Research Scholar will be allowed to make his pre-submission thesis presentation to RDC, after successful completion of prescribed courses, and after publishing / getting acceptance of at least two (02) research papers out of his / her research work in SCI/ SCOPUS/ Thomson Reuter indexed journals or such other reputed and peer-reviewed non-paid journals approved by the RDC. These research papers should be related to thesis and only authored by candidate and Supervisor(s) with candidate being the first author. This pre-submission thesis presentation should precisely reflect all aspects of the research work to be included in his / her thesis.

5.2 The RDC will, if it approves the work reported in the presentation, permit the Research Scholar to submit the thesis. The Supervisor and Dean of concerned School will recommend a panel of Five Examiners from faculty of Foreign Universities and Five Indian Examiners from IITs, NITs, reputed Engineering Colleges or Universities / Scientists from Central and Regional laboratories of relevant sub-discipline to the COE. The above Panel of Examiners will be submitted to Vice Chancellor who shall put rank to three foreign and three Indian Examiners.

5.3 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.

5.4 In case the RDC is not satisfied with the presentation of research scholar; he/she will have to go for further work / modifications as suggested by the concerned RDC and repeat the process. The evaluation outcome is given in Table 6.

Table 6: Outcomes of Pre-submission Presentation before RDC

S. N.	Outcome of Pre-submission Presentation	Remark
1.	Approved	Candidate can submit thesis
2.	Modifications suggested	Candidate has to work/modify and repeat the submission/ presentation process in the next RDC.

5.5 The Research Scholar shall submit his/ her thesis within six months of grant of approval in the form of three spiral bound copies and Thesis Summary along with soft copy (in MS- Word .DOCX / PDF format). The thesis must be forwarded by the supervisor(s) through concerned HOD and Dean of School to the COE. The RDC may grant additional time for the thesis submission beyond three months but not more than six months on request from the Research Scholar for valid reasons.

5.6 Plagiarism checking of thesis is mandatory and will be carried out by the Candidate and a duly signed certificate also verified by Supervisor should be submitted for ensuring originality of thesis contents. Maximum allowable limit for plagiarism is 20% for acceptance of thesis.

5.7   The Ph.D. thesis shall be strictly prepared on format prescribed by the University and must contain the copyright certificate at the start of thesis.

5.8   On receipt of requisite copies and Summary of the thesis, the Controller of Examination will send a formal letter and e-mail to the First Foreigner and First Indian Examiner in the order of preference from Panel appointed by Vice-Chancellor for the research scholar along with a copy of the Summary requesting for acceptance to act as examiner. After receiving the consent, the thesis will be sent to the two examiners along with relevant documents either as hard copy (through registered post) or as soft copy (through e-mail) or via both ways in accordance to the consent is made with the examiner. The complete record of e-mail, postal correspondence, Phone Numbers etc. shall be maintained by the Office of Controller of Examination. In case of refusal, the Second External Examiner in the order of preference appointed by the Vice-Chancellor will be contacted and so on. 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. All correspondence shall be maintained confidential, except the correspondence with the Research Scholar or general circulars/ notifications.

5.9   In order to avoid delay in the thesis evaluation process, electronic media e.g. e-mail route shall be used for obtaining examiner's consent and sending the Thesis in PDF format to the examiner if agreed. However, the Examiner's report received in soft scanned copy with signature and seal can also be accepted if hard copy is not received.

5.10   In the event of non- receipt of the thesis report from any of the two Examiner in a period of three months from the date of dispatch, two reminders will be sent (after first and second month) and if no response is received, then the thesis will be sent to next Examiner appointed by the Vice-Chancellor.. 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.

5.11   Reports of both the Examiners shall be compiled by the Controller of Examination. 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.

5.11.1   The examiners are unanimous in recommending for the final defence / Viva Voce 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 by Controller of Examination in consultation with External Examiner.

5.11.2   The external examiners are unanimous in recommending for the final defence / Viva Voce but at least one of the examiners has suggested minor

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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 final defence by Controller of Examination in consultation with External Examiner from India and Supervisor(s).

5.11.3 One of the External Examiners does not recommend for the final defence / Viva Voce and rejects the thesis whereas the other External Examiner recommends the award. The matter shall be referred to RDC 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 (If desired by the examiner) 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.

5.11.4 Both the External Examiners reject the thesis, and then the student is declared unsuccessful. The Supervisor may refer the case for thorough review by the Research Degree Committee (RDC); which may or may not permit submission of a revised thesis on an additional payment of the prescribed fee (which will be equal to the fees which he deposited earlier as thesis submission fees), after a suitable time to be fixed by the Research Degree Committee (RDC) which shall not be less than one year from the date of grant of permission. In case Guide does not recommend for reconsideration the candidate will be declared fail and registration cancelled. 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. Second time rejection will lead to termination.

5.11.5 Once the reports of the examiners have been accepted as satisfactory, the candidate will be required to appear in the final Viva-Voce Examination. One of the Examiners of the thesis will be invited as an External Examiner for Ph.D. thesis defence. The defence will be open where faculty members of concerned department will be invited. The evaluation, however, will be done by the Viva-Voce Board comprising of External Examiner invited, one member of the RDC 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 in Table 7.

Table 7. Outcomes of Final Defence Viva–Voce

S. N.	Status of Evaluation Report of Thesis Viva Voce Examination	Remark
1.	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.	Unsatisfactory	Appear again, Overcoming the problems/ reasons stated in the report, before the Viva-Voce Board after elapse of three months as scheduled and notified by Controller of Examination upon recommendation of Supervisor.

5.11.6 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 Library and National Repository as per the prescribed format. One copy of thesis should be kept in COE Office for record.

6.   OTHER IMPORTANT ISSUES

6.1   CHANGE OF REGISTRATION FROM FULL-TIME TO PART-TIME Ph.D. PROGRAMME

6.1.1 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, appeared in at least four RDC, given the Research Proposal Presentation which is adjudged as satisfactory, and completed the residential requirements. 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.

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

6.1.2.1 The student must complete his/her thesis within deadline governed by Clause 4.3 counted from the date of his/her first registration in the programme.

6.1.2.2 Provision of conversion from full-time to part-time status can be availed only once by the student during his/her programme.

6.2 TERMINATION FROM Ph.D. PROGRAM

Registration of a Research Scholar shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor on recommendation of the Dean, R&D prescribed by the University.

6.2.1 If a Student absents for a continuous period of three months without prior intimation/ proper sanction of leave.

6.2.2 If a Student requests for cancellation of registration from the Ph.D. Program and the request is duly recommended by the supervisor/Head of Department/Centre.

6.2.3 If a Student fails to renew his / her registration in any semester without any permission.

6.2.4 If a Student's academic and research progress is not as per requirement and the RDC recommends for Cancellation.

6.2.5 If all the prescribed courses by RDC are not successfully completed by Student within the stipulated time frame.

6.2.6 If Student is found involved in an act of misconduct and/or indiscipline and his / her termination has been recommended by the competent authority.

6.3 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:

6.3.1 Registered and successfully completed all the courses assigned, thesis, and other requirements of programme as prescribed in these Ordinances or as prescribed by the University from time to time;

6.3.2 Has no dues to the University, hostels, libraries etc., and

6.3.3 No disciplinary action is pending against him/her.

6.4 UGC REGULATIONS:
UGC regulations will be conformed in case of any ambiguity or dispute.

6.5 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 the Executive Council. 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 and Executive Council with suitable justification. Such actions of the Vice-Chancellor shall not be treated as precedence under any circumstances.

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