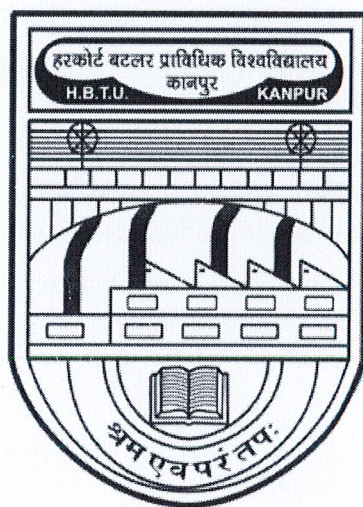


ORDINANCES
FOR
DOCTOR OF PHILOSOPHY PROGRAMMES

(Effective from session 2023-2024 for new entrants)



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

(Revised: October, 2023)

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05/10/2024
05/11/24
3.1.2024

Second 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 Second Ordinances for Harcourt Butler Technical University, Kanpur.

1. INTRODUCTION

Short Title, Commencement and Definitions

- 1.1 These Ordinances shall be called the Second Ordinances, 2023 of Harcourt Butler Technical University, Kanpur.
- 1.2 They shall come into force from session 2023-24 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.
- 1.7 The University should maintain the list of all Ph.D. registered students on its website. The list should include name of the candidate, topic of research, department, supervisor and fellowship information as per UGC requirement.
- 1.8 The Ordinances shall follow the guidelines and regulations of UGC from time to time.

















2. ADMISSIONS TO Ph.D. PROGRAMMES

- 2.1 Various Departments of University offer Ph.D. Programme in different disciplines. The provisions of these regulations shall be applicable to all new programmes as and when introduced.

Departments offering Ph.D. Programmes

a) School of Engineering

Department of Computer Science and Engineering

Department of Civil Engineering

Department of Electrical Engineering

Department of Electronics Engineering

Department of Mechanical Engineering

b) School of Chemical Technology

Department of Chemical Engineering

Department of Biochemical Engineering

Department of Food Technology

Department of Oil Technology

Department of Paint Technology

Department of Plastic Technology

Department of Leather Technology

c) School of Basic and Applied Science

Department of Chemistry

Department of Physics

Department of Mathematics

d) School of Humanities and Social Sciences

Department of Humanities & Social Sciences

e) School of Entrepreneurship and Management

Department of Management Studies

- 2.2 Admissions to Ph.D. programme shall be made through an Entrance Examination conducted by the University (as prescribed in clause no. 5.2 of UGC Regulations 2022). Entrance Examination comprises of Written Test (weightage: 70%), and a Interview (weightage: 30%). Candidates securing a minimum of 50% marks in written examination will qualify for the Interview. Students who have qualified UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests in their relevant disciplines with eligibility for Fellowship will be exempted from the Written Test. Regular faculty members of the University shall also be exempted from written test. Candidates qualified for the Ph.D. programme will have to deposit fee and finalize the admission within a week after submission of consent of the Supervisor through Head of Department and Dean of School.

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- 2.2.1 The candidates seeking for admission to Ph.D. programme of a Department as per Table 1 are required to appear in the Ph.D. Entrance Examination of the concerned department only.
- 2.2.2 The University shall notify a prospectus well in advance on its website specifying the number of seats for admission, procedure and criteria of admission, subject/discipline wise distribution of seats, category-wise reservation and all other relevant information for the candidates. (Clause no. 5.3 of UGC Regulation 2022)
- 2.2.3 Admission shall be based on merit and as per specific criteria notified by the University keeping in view the guidelines/norms issued by UGC and other statutory bodies in this regard. (Clause no. 5.1 of UGC Regulation 2022)
- 2.3 The reservation in Ph.D. admissions shall be governed as per U.P. State Government rules.
- 2.4 If, at any time after admission, it is found that a research scholar has not fulfilled any of the requirements stipulated in the eligibility criteria; or has used some fraudulent means to obtain admission, the university reserves the right to revoke the admission of the research scholar.
- 2.5 Admission of a candidate from any other University to Harcourt Butler Technical University on migration shall not be permitted.
- 2.6 Candidates who possess Master degree in Engineering/Technology/Basic Sciences/Computer Application/Computer Science/Management/ Humanities/ Social Sciences or Equivalent or as prescribed by the University in the relevant discipline with requisite CGPA/percentage listed in Table 1 are eligible for the admission to Ph.D. programmes of the University.

Table 1: Eligibility Criteria for Admission to various Ph.D. Programmes

Sr. No.	Departments/Schools	Minimum Eligibility Criteria
1.	All Departments under School of Engineering	(i) A 1-year/2-semester or 2-year/4-semester M.E. /M. Tech. degree after a 4-year/8-semester or 3-year/6-semester B.E./B. Tech. degree in the relevant discipline respectively with a minimum of 55% marks or equivalent CGPA/CPI. OR (ii) 4-year/8-semester B.E./B. Tech. degree in relevant discipline with minimum 75% marks or equivalent CGPA/CPI. OR (iii) MCA degree with a minimum of 55% marks or equivalent CGPA/CPI for MCA stream (Also eligible for pursuing Ph.D. in Computer Sciences & Engineering and Information Technology)


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2.	All Departments under School of Chemical Technology	(i) A 1-year/2-semester or 2-year/4-semester M.E. /M. Tech. degree after a 4-year/8-semester or 3-year/6-semester B.E./B. Tech. degree in the relevant discipline respectively with a minimum of 55% marks or equivalent CGPA/CPI. OR (ii) 4-year/8-semester B.E./B. Tech. degree in relevant discipline with minimum 75% marks or equivalent CGPA/CPI. OR (iii) M. Sc. degree in Chemistry/ Industrial Chemistry/ Applied Chemistry / Bio Technology or equivalent with a minimum 55% marks or equivalent CGPA/CPI.
3.	All Departments under School of Basic and Applied Sciences	M. Sc. degree in relevant discipline with a minimum of 55% marks or equivalent CGPA/CPI
4.	All Departments under School of Humanities and Social Sciences	Master degree in relevant discipline/subject with a minimum of 55% marks or equivalent CGPA/CPI.
5.	All Departments under School of Management and Entrepreneurship	Master degree in relevant discipline/subject with a minimum of 55% marks or equivalent CGPA/CPI.

A relaxation of 5% marks or equivalent grade in minimum qualifying marks is permissible (without grace marks) to candidates belonging to SC/ST/OBC (non-creamy layer)/Differently-abled, EWS and other category candidates as decided by the UGC from time to time.

2.7 Essential qualification and procedure to apply for the admission to Ph.D. degree programme under Quality Improvement Program (QIP) for in-service candidates will be as prescribed by the rules in QIP scheme of MHRD, Govt. of India.

2.9 Category of Research Scholars

2.9.1 Full-Time Scholar

Research scholars in this category will have to work on Full-time basis to pursue their Ph.D. They will be eligible to receive assistantship/scholarship from the University, or any other recognized funding agency as per the rules. Scholarships may be available for minority community as per State/Centre Government norms subject to the approval of competent authority. In case of non-availability of financial assistance, candidates have to meet the expenditure of pursuing research work on self-finance basis. The grant of financial assistance from any source does not entitle the candidate from exemption of tuition fee and other prescribed fee of the university, unless such exemption is specifically granted in the assistance scheme and the fee as applicable is provided to the University by the agency extending financial support to the candidate.

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2.9.2 Sponsored Scholar

Research scholars in this category are sponsored by recognized R&D organizations, academic institutions, government organizations, research laboratories or industries for pursuing Ph.D. programme in the University on Full-time basis. Such students will be required to submit a Sponsorship Certificate from their respective organizations alongwith their proof of GPF/CPF/EPF contribution. The University shall neither provide any assistantship/scholarship to such research scholars nor exempt them from University fee and other expenses for pursuing research work. The due amount of University fee and other expenses shall be remitted by the sponsoring organization to the University. Research scholars under this scheme shall be treated as Full-time candidates. Faculty/Staff of the University shall not be considered for admission under this category.

2.9.3 Part-Time Scholar

The candidates working in research centers recognized by the University, regular/contractual faculty members of this University/employees working in government/government aided/private engineering colleges/universities/industries/public sector organizations shall be considered for the admission under this category if their organization is located within 100 KM distance from HBTU, Kanpur. All such candidates have to submit "No Objection Certificate" from their employer at the time of interview for admission. The requirement of 100 KM distance may be relaxed if appropriate authority of the candidate's organization gives "No Objection Certificate" explicitly stating that:

- (i). the candidate is permitted to pursue studies on a part-time basis.
- (ii). His/her official duties permit him/her to devote sufficient time for research.
- (iii). If required, he/she will be relieved from his/her duty to complete the course work.

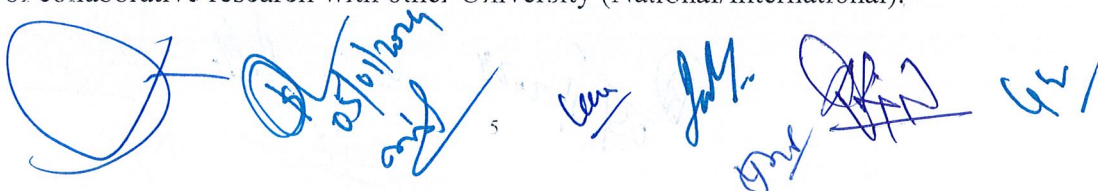
Eligible faculty/staff members of the University shall be treated as Part-Time research scholars. Regular faculty/staff members of the University have to deposit only examination and evaluation fee.

2.9.4 QIP Scholar

QIP scheme of MHRD provides opportunity to faculty members of the degree level engineering institutions to enhance their qualifications by admitting them to Ph.D. degree programmes. Research scholars under this scheme shall be treated as Full time candidates.

3. PH.D. SUPERVISOR

- 3.1 Regular faculty members of the University holding doctorate degree with atleast three research publications in refereed journals are eligible for supervising research scholars. (Clause no. 6.1 of UGC Regulation 2022)
- 3.2 Supervisor of the candidate must be from the respective department of HBTU, Kanpur which is his/her place of work. However, Co-Supervisor may be from the same or other department of the University or from outside of the University in case of collaborative research with other University (National/International).



- 3.3 Professor, Associate Professor and Assistant Professor may supervise a maximum of eight (08), six (06) and four (04) Ph.D. scholars, respectively. (Clause no. 6.3 of UGC Regulations 2022)
- 3.4 Faculty members with less than three years of service before superannuation shall be eligible to supervise new research scholars as Co-Supervisors only.
- 3.5 In case, a Supervisor goes on leave for more than one year duration or retires or resigns, his/her Ph.D. scholars will be allotted a new Supervisor by the RDC on the recommendation of the Student Research Advisory Committee (SRAC). However, if agrees, such outgoing Supervisor shall continue to be the Co-supervisor.
- 3.6 In case, a Supervisor declines to supervise a research scholar, another Supervisor from HBTU, Kanpur who is actively engaged in the same area of research may be appointed by the RDC on the recommendation of the SRAC.
- 3.7 A research scholar admitted under Part-time category carrying out a part or full of his/her research work in parent industry/organization/national laboratories may have a Co-Supervisor from his/her own organization. Only Ph.D. degree holder scientists/engineers having a minimum of five year experience in relevant area of research may be appointed as Co-Supervisors in such cases.
- 3.8 The RDC, on the recommendation of the SRAC, may allow a change in the Supervisor under unavoidable circumstances. In such cases thesis submission will be allowed only after a lapse of six month time from the date of such change of Supervisor.

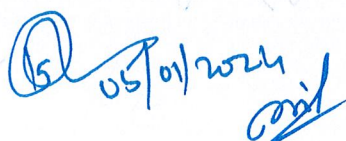
4. COMMITTEES FOR THE RESEARCH

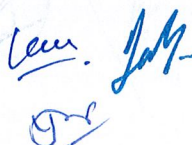
University shall have the two committees namely "Research Degree Committee (RDC)" and "Student Research Advisory Committee (SRAC)" to monitor the Ph.D. research work in the University.

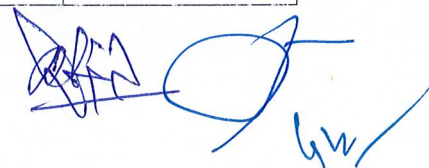
4.1 Constitution of Student Research Committee (SRAC)

The SRAC shall be formed for each Department/subject as per the provisions of University/UGC norms (UGC Regulations 2022). The constitution of SRAC shall be as follows:

1.	Head of the concerned Department	Chairman
2.	One Professor/Associate Professor (if Professor is not there) with a Ph.D. degree of the Department	Member
3.	Two Subject Experts having doctoral degree or equivalent in the related area, preferably, Professor/Associate Professor from outside the University.	Member
4.	Supervisor(s) of the concerned student	Member-Secy.

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In case Head of Department is non-Ph.D., a Professor/Associate Professor (with a Ph. D. degree) from the Department/School may be nominated to SRAC by the Dean of concerned School.

4.1.1 The SRC shall have the following responsibilities:

- i. To review the research proposal and finalize the topic of research.
- ii. To guide the Ph.D. scholars in developing the study design and methodology of research and identify the course(s) that that he/she may have to do.
- iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.

4.1.2 The progress of research of Ph.D. scholars will be reviewed two times in an academic year (one time in a semester) in the SRAC meeting.

4.1.3 A report of the progress review by the SRAC will be sent to the RDC as well as to the Ph.D. scholar.

4.2 Constitution and functions of the Research Degree Committee (RDC)

University shall have a Research Degree Committee to monitor the adherence to the academic and administrative procedures in the conduction of Ph.D. research work. Constitution of the RDC is given below.

1.	Dean. Research and Development	Chairman
2.	Dean, Academic Affairs	Member
3.	Controllor of Examination	Member
4.	Concerned Dean of School	Member

4.2.1 The RDC shall have the following responsibilities:

- i. To check various recommendations of the SRAC as per the University Ordinances before approval.
- ii. To keep record of the status of Ph.D. research of the University.
- iii. Grant approvals to various proposals forwarded/recommended by the SRAC from time to time.
- iv. To take decisions on various issues reported by the SRAC from time to time.

Decisions on routine matters will be taken by the Chairman, RDC. However, complicated/non-routine matters and issues will be resolved in the RDC meetings and approved by the Vice Chancellor. Meeting of the RDC will be conducted as per requirements but atleast once in an academic year.

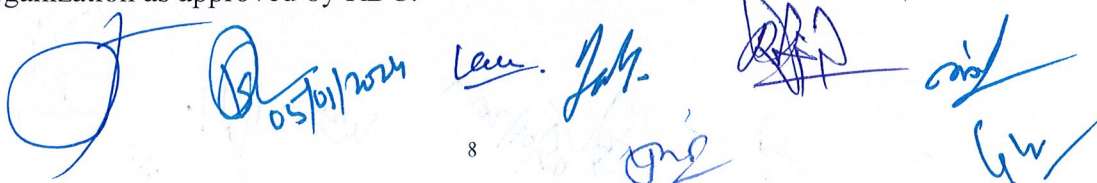
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5. Ph.D. COURSE WORK

- 5.1 Research Scholars with M.E./M. Tech. Degree should pass courses (including the compulsory courses) of a minimum of 12 credits. However, research scholar with B Tech/M.Sc. degree are required to pass courses (including the compulsory courses) of a minimum of 20 credits.
- 5.2 Two courses namely “**Research Methodology**” and “**Research and Publication Ethics**” are compulsory courses for all research scholars. Other courses should be advance courses related to research methods, computer application and review of published researches in relevant field, training, field work, etc. meant to prepare the students for Ph.D. Degree.
- 5.3 Course work requirement for Research Scholars with different backgrounds will be as follows.

Sr. No.	Research Scholar	Minimum Courses/Credits required	Compulsory courses
1.	Research scholars with ME/M. Tech. degree in respective discipline / subject	Courses of total 12 Credits	1. Research Methodology 2. Research and Publication Ethics
2.	Research scholars with B.Tech./M.Sc./MCA degree	Courses of total 20 Credits	1. Research Methodology 2. Research and Publication Ethics
3.	Research scholars with MBA degree for pursuing Ph.D. in Management	Courses of total 12 Credits	1. Research Methodology 2. Research and Publication Ethics
4.	Research scholars with M. Com. degree for pursuing Ph.D. in Management	Courses of total 20 Credits	1. Research Methodology 2. Research and Publication Ethics

- 5.4 A certificate of completion of Ph.D. courses shall be issued to the research scholar by the Dean, R&D after due approval/confirmation by SRAC. This will be a pre-requisite of Ph.D. thesis submission.
- 5.5 A Ph.D. scholar has to obtain a minimum ‘P’ Grade or above (Grade point 6 or above) in each subject.
- 5.6 The duration of Ph.D. course work shall be normally of two semesters. However, the students may be allowed to complete the courses in four semesters if requested.
- 5.7 The Ph.D. scholars may be allowed to do Ph.D. course work in their respective departments or other Departments of their own university or Central/State Technical Institutions/Universities or UGC recognized online courses, online courses through various platforms like NPTEL, MOOCs, SWAYAM etc. or any other research organization as approved by RDC.

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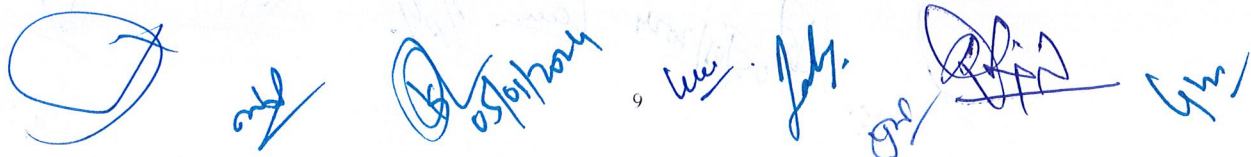
- 5.9 Prescribed courses, attendance norms, evaluation scheme, rules for unfair means, challenge evaluation etc. shall be as per the University norms applicable to Postgraduate programmes of the University.
- 5.10 No change in approved courses shall be allowed without the approval of the SRAC.

6. PROGRAMME DURATION

- 6.1 The Full-time Ph.D. programme shall be of a minimum of three years and a maximum of six years duration.
- 6.2 The Part-time Ph.D. programme shall be of a minimum of four years and maximum of seven years duration.
- 6.3 The extension of programme duration beyond the stipulated time as mentioned in 6.1 and 6.2 may be a maximum of two years after the due approval of the RDC. The research scholars will have to pay a nominal fee as decided by the University from time to time in case of extension due to pending course/lab work. However, if a candidate has completed his/her all requirements for research work and only writing of thesis is in progress then no fee will be charged.
- 6.4 Women Ph.D. scholars and the scholars with disability (PH/PwD) may be allowed additional relaxation of two years for Ph.D. (Clause no. 4.2 of UGC Regulation 2022)

7. REGISTRATION AND ENROLMENT

- 7.1 Ph.D. scholars are required to register at the beginning of each Semester as per academic calendar of the University.
- 7.2 Registration should be carried out by the student himself / herself on stipulated dates. A student is allowed registration for 10 working days including the date of registration with a per day fine as decided by the University from time to time. Student will not be allowed registration after stipulated date. Such students shall have to register at the start of next academic session.
- 7.3 Students having outstanding dues of the University or hostel shall be permitted to register only after clearing the dues.
- 7.4 In-absentia registration may be allowed by the Vice Chancellor on the recommendation of Dean of Academic Affairs in case of serious illness/ natural calamities/unavoidable circumstances.
- 7.5 All the students admitted and registered in the University are required to submit the Enrolment Form within one month of registration. Non-compliance will lead to cancellation of admission.
- 7.6 No research scholar is allowed to concurrently register for any other Postgraduate/ Research degree programme of some other University/College/Organization. If any



such case comes to the notice of the University, admission of the concerned research scholar shall be cancelled.

8. ATTENDANCE

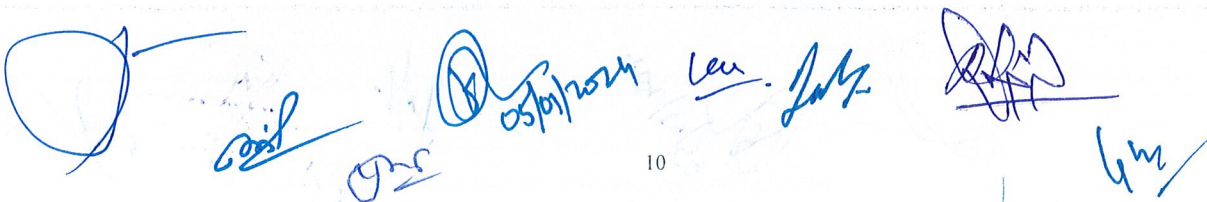
- 8.1 Full-time/Sponsored Ph.D. scholars are required to sign in attendance register in the Department on each working day.
- 8.2 Ph.D. scholars registered under Part-time programmes are required to have interaction on the research work with the Supervisor in the concerned Department for a period of 200 working days.
- 8.3 Full-time Ph.D. scholars with scholarship/fellowship shall be assigned 6-8 hours per week of academic load.
- 8.4 All Part-time Ph.D. scholars are required to produce a certificate before RDC from the Supervisor (s) indicating their presence in Department for a minimum of 25 days for research work during the Semester.
- 8.5 Leave rules for Full-time Ph.D. scholars with or without fellowship/scholarship shall be as per the University/UGC rules.

9. RESEARCH PROGRESS ASSESSMENT


- 9.1 After registration, every research scholar is required to start the research / literature survey along with Ph.D. course-work and preparing Ph.D. synopsis. First SRAC shall approve the course-work, supervisor(s) and broad research area of the scholar.
- 9.2 Research scholars are required to present the detailed synopsis in the second SRAC meeting. Every research scholar is required to present research progress before the SRAC for evaluation.
- 9.3 If the performance of the scholar is found to be unsatisfactory by the SRAC for three consecutive times, his / her admission may be terminated.
- 9.4 In case of any dispute, the decision of SRAC shall be final and binding to all.
- 9.5 Regular assessment of research progress of Ph.D. scholars will be done through the SRC meetings and the progress report will be sent to the Chairman RDC for records.

10. THESIS SUBMISSION & EVALUATION

- 10.1 Research scholars will have pre-submission presentation of Ph.D. thesis before the SRAC after fulfilling the following conditions:
 - a) Certificate of completion of Ph.D. course work.
 - b) Publication of atleast two research papers with one research paper in SCI/SCIE indexed and other one in **SCI/SCIE/SCOPUS/ESCI/ABDC** indexed journals.



- c) A Certificate of Plagiarism testing as issued by Department Academic Integrity Panel (DAIP). The maximum limit for plagiarism for the acceptance of Ph.D. thesis is as prescribed by the UGC/University and notified by the Dean, R&D.
- 10.2 Ph.D. thesis submitted by research scholar shall be evaluated by at least two External Examiners who are not in the employment of the University and one of them is from abroad. The Viva-voce will be conducted on receipt of favorable Thesis Evaluation Report from both the Examiners. The Viva-voce will be conducted by a Board consisting of one of the External Examiners, Supervisor of the student, Head of the Department and One member of the RDC (preferably Dean of the concerned School). The Thesis Defense by the research scholar shall be open to all faculty members and research scholars of the Department. (Clause no. 11.5 of UGC regulations 2022)
- 10.3 For the appointment of External Examiners for evaluation of Ph.D. thesis, the Supervisor will recommend a panel of 06 Examiners (03 from Central Technical Institutions, Central Universities, Institute of National Importance, State Technical Institutions, State Universities, Approved Govt. Research Organizations and 03 from Foreign Universities and Foreign Research Organizations) to the Controller of Examination for seeking approval of the Vice Chancellor.
- 10.4 The research scholar shall submit his/ her thesis within six months from the grant of approval of thesis submission by the SRAC. Three spiral bound copies alongwith thesis summary are required to be submitted with a soft copy (PDF format). All copies of the thesis should be duly signed by the supervisor(s). The thesis copies need to be forwarded by concerned Head of the Department and Dean of School to the Controller of Examination with intimation to Dean R&D. SRAC may recommend additional time of not more than three months for the thesis submission over and above six months on the request of the research scholar.
- 10.5 The Ph.D. thesis shall strictly be on the format prescribed by the University and must contain the Copyright as @ "Harcourt Butler Technical University, Kanpur-208002, (U.P.), INDIA, All rights reserved"
- 10.6 On the receipt of requisite copies and summary of the thesis, the Controller of Examination will send a formal offer letter and E-mail to the two External Examiners in the order of preference from the panel approved by the Vice-Chancellor for their consent to act as Examiners. After receiving the consents, thesis will be sent to them alongwith the relevant documents, either in the form of hard copy (through registered/speed post) or a soft copy (through e-mail) or via both modes as per the consent given by the Examiner. A complete record of E-mails, postal correspondences, phone numbers etc. shall be maintained by the Office of Controller of Examination. In case of refusal by an examiner, the next External Examiner from the approved panel in the order of preference will be approached. All correspondences/notifications in regard to thesis evaluation and viva-voce examination of the scholar (except where stated otherwise) shall be done by the



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Controller of Examinations and will be confidential, except the correspondence with the research scholar and general circulars/notifications.

- 10.7 In order to avoid any delay in the thesis evaluation process, electronic mode e.g. e-mail route shall be used for obtaining consent of the Examiners and sending a soft copy of the thesis (in PDF format). Thesis Evaluation report received in soft scanned copy with signature and seal may be accepted if the hard copy is not received.
- 10.8 On non-receipt of the thesis report from any of the two Examiners in a period of two months from the date of dispatch, two reminders will be dispatched (immediately with a gap of one month). Even then, if no response is received, thesis will be sent to the next Examiner listed in the panel. 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.
- 10.9 Copy of reports of both the Examiners shall be sent by the Controller of Examination to the Chairman, SRAC for further processing (if any). The steps to be taken appropriate to the circumstances arising out of the nature of the reports are laid down as under.
- 10.9.1 **The Examiners are unanimous in recommending the Final Defense/Viva-voce Examination without any modification in the thesis.** Viva-voce in such cases shall be scheduled and duly notified by Controller of Examination in consultation with External Examiner and the Supervisor.
- 10.9.2 **The External Examiners are unanimous in recommending Final Defense/Viva-voce Examination, but one or both the Examiners have suggested for minor modifications and / or asked for clarifications.** In this case, the research scholar shall make modifications in the thesis and provide clarifications alongwith a certificate from the Supervisor about the compliance in a stipulated time frame to the Controller of Examination. These modifications / clarifications may be sent to the Examiner, if so asked. After the compliance is ascertained, the Viva-voce Examination shall be scheduled and duly notified for Final Defense by the Controller of Examination in consultation with External Examiner and the Supervisor.
- 10.9.3 **One of the External Examiners rejects the thesis, while other one gives a favorable report.** The matter shall be referred to SRAC which may either ask the candidate to modify the thesis as suggested within a given time frame (not exceeding a period of six months) for sending to the Examiner or may recommend appointing another External Examiner for thesis evaluation.
- 10.9.4 **Both the External Examiners reject the Thesis.** Such cases will be reviewed by the SRAC. SRAC may either permit submission of a revised thesis after incorporation of observations/comments of the Examiners on additional payment of the prescribed fee (which will be equal to the fees deposited earlier as thesis submission fee) within a time frame which shall not be less than one year from the date of grant of such permission or may declare the candidate as 'failed' and recommend his/her registration for cancellation. The observations and comments of

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the Examiners, if any, shall be provided to the Supervisor. No resubmission of the thesis without modification on the lines of criticism made by the Examiners will be allowed. The revised thesis shall be referred for evaluation as per prescribed procedure. New Examiners will be provided the revised thesis alongwith the copies of the earlier Thesis, Thesis Evaluation Reports and details of changes made. Examiners need to respond specifically to the observations of the earlier Examiners and the changes made by the student before re-submission. Second time rejection will lead to termination of admission.

10.9.5 Once the reports of the Examiners have been accepted as 'satisfactory', the candidate will be allowed for Viva-voce Examination as per clause 10.2 above. The Evaluation Report is to be submitted by the Viva-voce Board to the Controller of Examination. Its outcome could be as given below:

Outcomes of Final Viva-Voce Examination

Sr. No.	Evaluation report of Viva-voce Examination	Remarks/Action
1.	Satisfactory	Recommendation for AWARD of Ph.D. degree by the competent authority. Result shall be notified by Controller of Examination after acceptance and approval of the Evaluation Report of Viva-voce Board by the Vice-Chancellor. Provisional Degree Certificate (PDC) shall be issued after the result notification and submission of No dues. The date of university notification shall be the date of award of Ph.D. degree. PhD Degree shall be awarded in the next convocation.
2.	Unsatisfactory	Re-appear for Thesis Defense after a lapse of three months as scheduled and notified by Controller of Examination after due recommendation.

10.9.6 On successful completion of the Thesis Viva-voce Examination, the student is required to submit three copies of the final revised thesis in hard bound form and a soft copy of thesis after incorporating suggestions of Viva-Voce Board (if any) which will be archived in University Library and National Repository as per the prescribed format. One copy of thesis should be kept in Office of Controller of Examination for records.

11. OTHER IMPORTANT ISSUES

11.1 Change of registration from Full-time to Part-time Ph.D. programme

11.1.1 A student admitted to a Full-time Ph.D. programme may be permitted to change to a Part time programme. Such a conversion may be permitted subjected to the conditions that the research scholar has completed the course work successfully,

appeared in at least two SRAC meetings with satisfactory performance and has completed a minimum of 01 years of duration as full time regular research scholar. Such request may be forwarded by the Supervisor(s) and SRAC with recommendations of Dean of School to the Chairman, RDC for seeking approval of the competent authority. Research scholar is also required to produce No Objection Certificate from the Head of the institution/organization which he/she proposes to join, in case he/she is changing his/her workplace for the remaining period of completion of research work.

11.1.2 Such conversion approved by the competent authority of the University will have following conditions:

- (a) The student must complete his/her thesis within a deadline governed by Clause 6.2 counted from the date of his/her first registration in the programme.
- (b) Provision of conversion from Full-time to Part-time status can be availed only once during the programme.

11.2 Change of registration from Part-time to Full-time to Ph.D. programme

11.2.1 Generally, research scholars admitted to a Part-time Ph.D. programme do not opt for changing to a Full-time programme. However, any such cases may be considered keeping in view the availability of seat, willingness of the research scholar, availability/consent of the supervisor immediately within a period of 3 months after registration to Ph.D. programme. Such candidates shall not be considered for scholarship/fellowship.

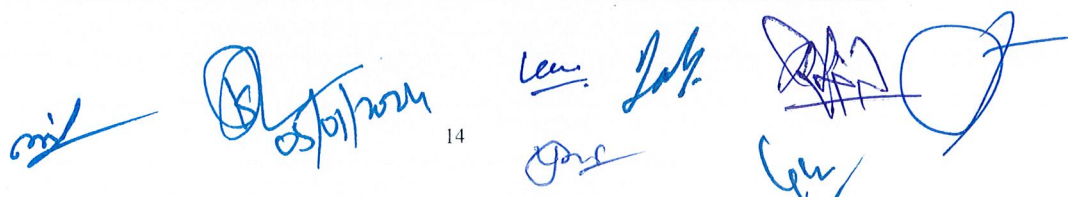
11.2.2 Such request may be forwarded by the Supervisor(s) and HoD with recommendations of Dean of School to the Chairman, RDC for seeking approval of the competent authority.

11.3 Termination from Ph. D. programme

Registration of a research scholar shall be cancelled in any one of the following eventualities after due approval from the Vice Chancellor:

- (a) If a regular research scholar absents for a continuous period of three months without prior intimation/ proper sanction of leave.
- (b) If a research scholar requests for cancellation of registration from the Ph.D. programme and the request is duly recommended by the Supervisor/Head of the Department.
- (c) If academic and research progress of the student is continuously not satisfactory and the SRAC recommends for cancellation.
- (d) If all the prescribed courses by SRAC are not successfully completed by student in stipulated time.
- (e) If student is found involved in an act of misconduct and/or indiscipline and his/her termination has been recommended by the competent authority.

11.4 GENERAL ELIGIBILITY FOR THE AWARD OF Ph.D. DEGREE

The bottom of the page features several handwritten signatures and initials in blue ink. From left to right, there is a signature that appears to be 'mi', a signature that looks like 'B. S. / 2024', a signature that says 'Lea. Lab.', a signature that says 'Dare', and a large, stylized signature that includes a circle and the word 'Lea.'.

A research scholar shall be declared eligible for award of the PhD degree if he/she has:

- (a) Successfully completed all the assigned Ph.D. courses, thesis and other requirements of the programme as prescribed in the Ordinances;
- (b) No dues to the University, hostels, libraries etc.
- (c) No disciplinary action is pending against him/her.

11.5 UGC REGULATIONS:

UGC regulations will prevail in case of any ambiguity or dispute.

11.6 STUDENT DISCIPLINE

All the Ph.D. students who seek admission shall have to abide by the discipline norms of the University and follow conduct or discipline rules/Anti-ragging measures in the University. In case of any act of indiscipline demonstrated by any of the student, he/she shall be liable for punishment. On the recommendation of Proctorial Board, the punishment may be in terms of suspension for the semester, expulsion from the hostel, barring from the placement facility and/or termination from the University. The decision of the Vice Chancellor shall be final and binding.

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

[Handwritten signatures and dates in blue ink]
05/01/2024
Law. J.M.
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