



RULES AND REGULATIONS FOR AWARD OF THE DEGREE OF DOCTOR OF PHILOSOPHY

UTTARAKHAND TECHNICAL UNIVERSITY,
DEHRADUN

1. DESIGNATION OF THE COURSE

The PhD degree awarded by the Uttarakhand Technical University, (UTU) shall be designated as Doctor of Philosophy.

The certificate shall not indicate the subject or specialty. The TITLE OF THE THESIS shall be indicated in the certificate.

2. ELIGIBILITY FOR ADMISSION

A candidate seeking admission to the course of study leading to the award of a degree of Doctor of Philosophy (Ph.D.) must possess at least one of the following qualifications:

2.1 Masters degree with first division.

2.2 Any other modification in eligibility criteria will be considered, if recommended by the Academic council (AC) of UTU and AICTE / UGC.

3. CLASSIFICATION OF CANDIDATE

Based on the nature of the programme:

3.1.1. Full time candidate who is pursuing the research studies on full time basis.

3.1.2. Part time for teachers and scientist candidate, doing Ph.D along with their normal work.

3.1.3. Integrated PhD for B.Tech / MCA. First two year for M.Tech and remaining time (4 year) for research.

3.2 Based on the location of candidate:

3.2.1 Internal candidate working at UTU institution.

3.2.2 External candidate

(a) Working in the recognized institution of other state Universities.

(b) Working in other institutions / organizations with adequate research facilities and registering in the UTU.

3.2.3 Research Scholars – who has a research grant from AICTE/UGC/CSIR based on GATE / NET /GPAT if the qualified candidate is interested on pursuing the PhD Program in UTU.

3.2.4 Other: Non- resident Indian / Foreign student.

4. DURATION OF THE PROGRAM

4.1 The duration of the program will be counted from the date of registration to submission of thesis.

4.2 The minimum duration for the postgraduate qualified full time PhD candidates will be 3 years from the date of registration .The maximum duration shall not exceed 6 years which will be based on the recommendation from the research Degree committee (RDC).

4.3 The minimum duration for the postgraduate qualified part time PhD candidates will be 4 years from the date of registration .The maximum duration shall not exceed 7 years which will be based on the recommendation from the research Degree committee (RDC). Vice Chancellor on the recommendation of RDC can relax one year on completion of PhD work.

4.4 The minimum duration for candidate with M.Phil qualification (in addition to postgraduate qualification shall be)

4.4.1 Two years in the case of full time candidates and

4.4.2 Three years in the case of part time candidates.

5. ADMISSION TO THE DOCTORAL PROGRAMME

Admission to PhD programme will be undertaken on the following basis:

- 5.1 Application for PhD registration will be received by the University throughout the year and will be usually processed before RDC dates of first / second meeting of the year.
- 5.2 Whenever University faculty members have research grants with provision of selecting the research scholar, the faculty member holding the grant will select the candidate based on the guidelines of funding agency and of UTU. The registration will be done on recommendation of RDC
- 5.3 UTU employee who seeks admission to PhD program must submit his/her application through in charge of the section/department.
- 5.4 Research Scholar sponsored by any agency must submit application along with a synopsis of the project details.

- 5.5 Candidate applying under University approved scholarship / fellowship / programs must submit separate application for scholarship / fellowship approval along with application.
- 5.6 Candidate intending to carry research in UTU institutions must submit a no objection letter from the appropriate authority of such institute. The applications must be forwarded by the institute as approved centre.
- 5.7 Candidate from other institutions / organizations (which are not the recognized research center) should submit a list of research facilities available at their institution / organization duly signed by the Head of the institution /organization. UTU will inspect the center and recognize on recommendation of RDC and A.C.

6. PROCEDURE OF REGISTRATION:-

The candidate will be admitted to PhD programme when he or she qualifies the written test with 50% marks. The test will be conducted by UTU every six months or as notified. The syllabus will be similar to GATE/NET/GPAT.

Following are the criterion for PhD registration under UTU.

6.1 Through UTU recognized research centre.

6.1.1 The candidate has to communicate directly to the University.

6.1.2 There must be a UTU approved Guide. For external registration Professor /Associate Professor from IIT / NIT / Central University and reputed Professor of any state University will be accepted.

6.1.3 The application in the prescribed format should be submitted through guide / guides along with the synopsis on the research topic. The synopsis should highlight the objectives and methodology to be employed. The protocol should also contain a brief account of the relevant published literature and the existing lacunas in knowledge.

6.1.4 The University will announce RDC meeting date for each discipline.

6.1.5 The candidate will present the research proposal before RDC experts.

6.1.6 If the proposal involves use of animals or human subjects / materials, proper ethical approval should be submitted along with the application.

6.1.7 If the proposal involved use of transgenics / recombinant DNA technology, institutional bio-safety committee approval should be submitted.

6.1.8 If accepted /accepted with modifications, the recommendations of the RDC along with the candidate's application shall kept with University office as decided by University.

6.1.9 The candidate will be called upon to present research proposal to the RDC on a date fixed up by the University.

6.1.10 Final registration will be permitted after approval by the RDC for deposition of fees as decided by the university.

6.1.11 The date of presentation before RDC will be the date of the registration.

6.2 Through UTU institution:

6.2.1 Every candidate has to register in the University directly.

6.2.2 There can be one Guide and / or Co-Guide from UTU institution for regular research scholars.

6.2.3 The candidate has to submit the application in the prescribed format to the UTU along with a synopsis of proposed research work.

The protocol should highlight the proposed research plan clearly stating the objectives and methodology to be employed. The protocol should also contain a brief account of the relevant published literature and the existing lacunas in the knowledge (earlier research available in literature).

6.2.4 The UTU institution will form an IRC (Institutional Research Committee) for each discipline.

6.2.5 The candidate will present his/her research proposal before IRC.

6.2.6 If accepted / accepted with modifications, the recommendations of the IRC along with the candidate's application shall be forwarded to UTU. Since Ph.D is the activity of university exclusively.

6.2.7 The candidate will be informed to present the research proposal before RDC on a date fixed by the University.

6.2.8 Presence of Guide / Co - Guide is not mandatory during the presentation.

6.2.9 Final registration will be permitted after approval by the RDC.

6.2.10 The date of presentation at RDC will be the date of fees submission and registration.

7. RECOGNITION OF ORGANISATION AS UTU RESEARCH CENTRE

7.1 The organization may write to Registrar UTU along with desired information and other relevant data of the organization for recognition of research centre.

7.2 The University may depute experts for the inspection of the organization, the experts of which has to be borne by the respective organization /institutions of UTU.

7.3The Expert committee will forward its recommendations to the Registrar.

7.4 The Registrar will obtain the approval of RDC, EC, and AC.

7.5 A Memorandum of understanding (MOU) will be signed by the organization with UTU.

7.6 The organization will be considered as the research centre of UTU for 5 years (or as specified in the MoU) from the date of signing the MoU.

8. RECOGNITION OF GUIDE:

Eligibility:

8.1 Two years of teaching with / or research experience after Ph.D and aptitude of supervision adjudged by the research publication.

8.2 The biodata has to be sent through proper channel to Registrar, UTU along with:

8.2.1 Attested copies of the Degree Certificates

8.2.2 Research papers in indexed journals which have been considered relevant.

8.3 The Registrar will forward the applications to UTU-RDC for approval.

8.4 A formal approval will be communicated to the Guide.

8.5 Registrar will later on obtain the approval of the A.C of the UTU.

8.6 Detailed communication about Ph. D ordinance and regulation will be sent to the Guide, once A.C. approved.

8.7 Guidelines for the recognized Guide:

8.7. UGC guidelines will be followed for number of PhD candidate permitted under a guide.

8.7.2 The guide and the co-guide should not be closely related to the candidate.

8.8 In case of absence of the guide for a prolonged period of time, the Vice – Chancellor may appoint another Guide on approval of the RDC.

9. FEE STRUCTURE

9.1 The candidate has to pay the prescribed fees through DD in favor of Finance controller, UTU payable at Dehradun.

9.2 The candidate has registered through research centre has to pay the registration fee (during registration) and the Thesis evaluation fee (during submission) to UTU.

9.3 The registration date of the candidate and fees submission will be counted together as single activity on particular date or RDC date.

10. EXECUTION OF SERVICE AGREEMENT

10.1 The duration of service requirement will be decided by the individual institutions through which the candidate registers.

11. RESEARCH DEGREE COMMITTEE (RDC)

11.1 The RDC has to be constituted for each discipline, consisting of:

11.1.1 Chairman / V.C.

11.1.2 Coordinator for PhD programme.

11.1.3 Head of the Department / University.

11.1.4 Two subject Experts (number may be increased depending upon specialization).

11.2 The candidate should present the research proposal before the RDC.

11.3 The committee may recommend / recommend with modification/ reject the proposal.

11.4 If recommended, the candidate's application along with supporting documents and 2 copies of synopsis will be kept in University office for record.

11.5 After the approval of synopsis by RDC, the RDC will meet twice a year to monitor the progress of the research work of the candidate. The candidate has to present the progress to the RDC once in 6 months. Quaterly report on progress signed by the guide is to be sent to the University.

11.6 At the completion of research work, the candidate has to present the complete work before RDC, will be called Pre- submission presentation.

11.7 The copies of the RDC minutes will be sent to the candidate, supervisor and record keeper.

12. COURSE WORK

12.1 The candidate has to complete a course work of 8 / 12 credits during first year of research work. It may be applicable to B.Tech Degree / MCA degree holders.

12.2 The course work will be either credit course or audit course as decided by RDC.

13. PROGRESS REPORT

13.1 The candidate has to present the progress report before RDC every six month on prescribed date.

13.2 The RDC will forward its recommendations / suggestions to the candidate to implement before coming to next RDC for presentation.

13.3 The Publications published by Ph.D candidate will mention his / her association to UTU as PhD scholar along with his / her institution name.

14. CANCELLATION OF REGISTRATION

14.1 Registration may be cancelled if progress report will be unsatisfactory in two consecutive recommendations after registration.

14.2 Registration may be cancelled if the candidate fails to submit the thesis before maximum stipulated period. Vice –Chancellor may extend the period for another 6 month on request made by the candidate and forwarded by the guide.

14.3 Re-registration on same topic may be permitted by RDC after elapse of 6 / 7 years for FT/ PT scholar respectively.

15. PUBLICATION OF THE THESIS

15.1 The thesis shell not be published without the approval of the University.

15.2 The university may grant permission for the publication under such condition as it may be imposed.

15.3 If a Ph. D candidate may take transfer from any central / State Universities provided NOC has been issued by the concern university, the residential period of earlier research work will be counted only one year and all other conditions remain similar to existing research scholars of this university.

16. DISSERTATION SUBMISSION GUIDELINES

16.1 The candidate has to give a pre-submission presentation to the RDC.

16.2 The RDC may approve submission if the presentation and publications are sufficient as proposed by University.

16.3 The minutes of the RDC in reference to submission has to be submitted to the controller of Examination for evaluation.

16.4 The candidate has to incorporate the suggestions made by RDC experts in synopsis and final dissertation.

16.5 The candidate has to submit 5 hard copies and one soft copy in latest general format to
Controller of examination
UTU
Dehradun, 248007

17. Dissertation Evaluation

17.1 The dissertation on topic as registered by candidate for Ph.D degree to be submitted within mentioned duration otherwise fresh permission has to seek from chairman of the RDC, the Vice Chancellor of the University.

17.2. The guide in consultation with the RDC shall submit a panel of examiners, along with their brief CV and list of publications, at least six months before the expected date of submission of the thesis. The panel shall include 10 examiners (5 Indian and 5 Foreign) who, on the basis of their published work are acknowledged experts in the field of research undertaken by the candidate. The thesis will not be sent to foreign evaluations if the candidate has more than 2 international publications on topic and RDC is satisfied with publication and standard of international journal.

17.3. A board of three examiners shall be appointed by the Vice-Chancellor for assessment of the thesis. One of them shall be the Guide of the candidate, an internal examiner. The other two will be the external examiners from the panel of examiners as per Section 17.2 above.

17.4. The university shall ascertain from the external examiners their willingness to act as an examiner for a particular thesis. A copy of a brief synopsis of the thesis shall be sent to the external examiners with this communication.

17.5. The examiners shall submit a detailed critique on the thesis. Their recommendations for acceptance of the thesis must accompany a precise certificate that the candidate's work has advanced the existing knowledge on the subject in case any one of the examiners is of the opinion that the thesis has failed to achieve the desired standard, and is, therefore rejected, precise reasons for such rejection must be stated by the examiner. If the examiner feels that the thesis can be accepted after a revision, he/she shall state the points on which revision is needed.

17.6. The external examiner may be requested to send some questions to be asked to the candidate at the time of viva voce examination to seek clarifications on the points raised by him/her. These comments shall be made available to the examiners appointed for conducting the viva-voce examination before the commencement of the viva-voce examination.

17.7. After the thesis has been approved by the external and internal examiners, a public defense of the thesis that is the viva voce examination to be held to adjudge the general proficiency of the candidate and clarity on raised questions by examiners.

17.8. If the thesis is rejected by more than one examiner, it will stand rejected and shall not be referred to any other examiner.

17.9. In the event that the thesis is rejected by only one examiner, it will be referred to another examiner from the approved panel. In case the thesis is approved by this new examiner, it will be considered as unanimously approved.

17.10. If one or more examiners recommend re-submission of the thesis after modifications, it shall be done within a maximum period of six months from the date on which the candidate is so informed by the university.

17.11. The candidate shall be entitled to appear at the defense of thesis and viva voce examination only if the thesis is unanimously approved by the RDC members and experts on topic.

17.12. If the report from any one of the external examiners is not received within four months, a copy of the thesis will be sent to another examiner from the approved panel.

17.13. The board of examiners for the viva voce examination shall consist of one external and one internal examiner. Ordinarily, the Guide or one of the Co-Guide(s) of the thesis will be the internal examiner. The external examiners who assessed the thesis of the candidate will act as the external examiner at the time of viva voce-examination. Only one of the external examiners will be considered to attend public defense.

17.14. The topic, date and the time of the defense of thesis shall be announced by the University well in advance so that the faculty members and other interested in the defense of the thesis can participate.

17.15. In the viva voce examination, the general proficiency in the subject and allied field also may be evaluated.

17.16. Those attending the public defense, who are not members of the board of examiners, can also participate by asking relevant questions with the permission of the examiners.

17.17. The board of examiners shall take into consideration the views and criticism, of the participating in the public defense of thesis.

17.18. However, the final result of the examination shall be decided solely by the members of the board of examiners, none else.

18. RESULTS

18.1 The candidate shall be declared eligible for the award of the degree of Doctor of Philosophy, only on the unanimous recommendations of the member of the board of examinations after the viva voce examination.

18.2. In case, the examiners are not satisfied with the performance of the candidate in the above examinations, the candidate shall be required to reappear for another viva voce examination after a period of two months provided such specific recommendation is made by the board of examiners.

19. AWARD OF DEGREE

Candidate who qualifies for Ph. D degree shall be awarded the provisional degree. A degree under the seal of the university and signed by the Vice-Chancellor will be given to each successful candidate at the next convocation held for conferring degrees. The recommendation of RDC will be endorsed by AC and EC prior to convocation. But for provisional degree AC recommendation will be considered sufficient on RDC recommendation.