Ordinances
Rules and Regulations
for
Ph.D.

June, 2019

NATIONAL INSTITUTE OF TECHNOLOGY, UTTARAKHAND

1. INTRODUCTION

1.1 PREAMBLE

These rules and regulations govern all the Ph.D. Programme in NITUK.

The Institute offers Ph.D. Programme in a wide range of areas in Engineering, Science, Humanities and Social Sciences. The broad objective of the Ph.D. Programme is not only to keep pace with the expanding frontiers of knowledge but also to provide research training relevant to the present social and economic objectives of the country.

The Institute also encourages research in interdisciplinary areas through a system of joint supervision and interdepartmental group activities. The presence of a strong research oriented faculty provides excellent opportunities for such Programme.

The Institute undertakes sponsored research and development projects from industrial and other organizations in public as well as private sector.

Facilities for research work leading to the Ph.D. degree are available in the Departments of Computer Science & Engineering, Electronics Engineering, Electrical Engineering, Mechanical Engineering, Civil Engineering, Physics, Chemistry, Mathematics, Humanities & Social Sciences.

The medium of instruction in the Institute is English.

1.2 DEPARTMENTS

The Institute has following Academic Units each one acting as a Department. The various Departments and their two-letter codes are given below.

S. N.	Name of Department	Code
1	Civil Engineering, Department of	CE
2	Computer Science and Engineering, Department of	CS
3	Electrical Engineering, Department of	EE
4	Electronics Engineering, Department of	EC
5	Mechanical Engineering, Department of	ME
6	Physics, Department of	-
7	Chemistry, Department of	-
8	Mathematics, Department of	-
9	Humanities & Social Sciences, Department of	-

1.3 PROGRAMMES OFFERED

Institute offers Academic Programmes in Engineering at Undergraduate & Postgraduate levels. Only research based Programmes are included in this ordinance. Course based Programmes are covered by Ordinances for Undergraduate and Postgraduate Programmes.

Each Department offers a Ph.D. Programme. Types of Ph.D. Programme offered are as under.

	Full Time				Part Time	
	With Fellowship *	With Assistantship #	Sponsored +	Self-Sponsored	Sponsored +	Self-Sponsored
PhD		Yes	Yes	Yes	Yes	Yes

* Number of fellowships offered shall be declared in the beginning of every year.

   The number of fellowships and amount of fellowship shall be as per directives of MHRD.

Assistantships availability shall depend upon ongoing projects. Assistantships shall be declared by the Project's Investigator with approval from NITUK and sponsoring agency.

+ Sponsorships offered by the employer of the candidate.

1.3.1 Conversion of status from part time to full time or from full time to part time

The conversion of status from Part time to Full time or From Full Time to Part Time is permitted. However, in either case minimum period of submission of the thesis shall be governed by Part Time regulation. Other regulations shall be applicable as per the changed status. Change of status shall be permitted on formal application submitted to Dean (Acad.) through supervisor and HoD. Such change shall be permitted only once during the registration period of 6 years.

1.3.2 Provision to offer full time Ph.D. Programme to the project staff of the institute

1.3.2.1 The Project staff or JRF/SRF who satisfies the eligibility criteria as per institute norms may be considered for admission to the Ph.D. Programme as full time scholar.

1.3.2.2 The selection procedure for them shall be same as that for full time Ph.D. Programme.

1.3.2.3 The other rules and regulations regarding fees, course work, degree requirement etc. shall be same as applicable to full time Ph.D. scholars as mentioned in Ordinances, Rules and Regulations for Ph.D.

1.3.2.4 The fellowship to such Project staff who has been offered admission in full time Ph.D. Programme, shall continue to draw fellowship from the project throughout the duration of the project.

1.3.2.5 In case of termination/completion of the project before five years, the scholarship then shall be paid to the scholars as per MHRD norms for the remaining period.

1.4 ADMISSION PROCEDURE (Full Time & Part Time)

1.4.1 Minimum Qualifications for Admission

A candidate is eligible for registration for Ph.D. if he/she satisfies the following conditions: A Master's degree in the concerned or an allied subject with a minimum of 1st Class (C.P.I. or C.G.P.A. greater than 6.75 on a 10 point scale) or a minimum of 1st class (C.P.I. or C.G.P.A. greater than 6.75 on a 10 point scale) at Bachelors level with at least 55% marks at Master's level.

1.4.1.1 For full time Ph.D. Programme
Candidates should have qualified GATE / NET.

1.4.1.2 For part time Ph.D. Programme
Candidates should have qualified GATE / NET. However, relaxation from the requirement of GATE/NET will be given only for admission into part time Ph.D. Program, for candidates with two years of experience in reputed Academic/Industrial Organizations or Govt. funded Research Projects. Essential qualifications, other terms & conditions will be same as per Ordinances of the Institute. The selection procedure shall be same as for full time Ph.D. Programme. Other guidelines regarding Fees, Registration, Enrollment, Course work, Attendance, Registration seminar, Thesis submission etc. shall be same as per Ph.D. Ordinances of the institute.

1.4.2 Application Procedure

1.4.2.1 A notification for admission to the Ph.D. shall be published in May / November in prominent Newspapers & Institute Website.

1.4.2.2 The application forms for Ph.D. registration will be available on the Institute website: www.nituk.ac.in. It is to be downloaded and to be properly filled.

1.4.2.3 The form, duly filled in by the candidate, should be submitted by published last date to the Institute. Incomplete applications and those received late will not be processed. The application form (downloaded from website) must be accompanied with a DD of Rs. 500/- and drawn in favor of Director NITUK, and attested copies of marksheets / degree certificates and other certificates to substantiate the information provided in the application form.

1.4.2.4 Candidates applying for full time or part time Programme will be required to appear for written test to be conducted in the respective departments. Further, the scholars shortlisted on the basis of performance in the written test shall be interviewed. The

schedule of written test and interview shall be available in admission notification. The candidates will be required to appear for written test / interview at their own cost.

1.4.2.5 Selected candidates shall be intimated about their selection and allotted a supervisor. Candidates will be given provisional admission at the Institute. Candidates, in consultation with the supervisor shall identify the broad area of research within three months of their Registration.

1.4.2.6 The date of joining of a candidate at the Institute will be considered the date of registration in Ph.D. Programme. However for the payment of fee and for all Academic activities scheduled in a semester, the date shall be 1st January / 1st July which is preceding the date of provisional admission.

1.4.2.7 The Ph.D. candidates are required to register for Ph.D. Course work immediately after joining the Institute. The student is required to complete the course work within three semesters (including the duration of failure in course work) from the date of joining in Ph.D Program.

1.4.2.8 The Ph.D students who join in Ph.D Program in the middle of Semester, their duration for completion of course work will be counted from the beginning of next Semester. The fellowship of the candidate will start from his/her initial date of admission.

1.4.2.9 A Ph.D scholar sponsored by the Institute will be awarded fellowship by the Institute for maximum 5 years from the date of joining the Ph.D Program subject to the satisfactory performance as recommended by RPC from time to time.

1.4.2.10 The supervisor will propose a **Research Progress Committee, (RPC)** for that Ph.D. candidate. The RPC shall monitor the progress of Ph.D. work of the candidate. Following shall be the composition of RPC.

i)   Convener: Respective Supervisor.
ii) Two Experts from Department, to be nominated by supervisor.
iii) One Expert from allied Department, to be nominated by supervisor & approved by Chairman, SPGB.

1.4.2.11 The Ph.D. candidates have to defend the explicit research proposal before the RPC members within 18 months from the date of their Ph.D. registration. An extension of 6 months may be given to the candidate on recommendation of his/her RPC members, subject to the approval of Asso. Dean (Acad.)/Dean (Acad.). The research proposal shall be submitted only after completion of the Course work. The candidate shall submit, at least three days in advance, a copy of synopsis duly approved by the supervisor to all RPC

members. The synopsis shall include outline of the work with reference to problem identification, objective, scope of work, methodology and results till date.

1.4.2.12 The Registration of the candidate for the Ph.D. Program will be confirmed on successful completion of the course work (with minimum 7.5 CGPA) followed by recommendation of the RPC members on his/her research proposal which shall be approved finally by Asso. Dean (Acad.)/Dean (acad.). The supervisor and HOD will forward the report of Registration seminar to Academic Section. The report shall include RPC recommendation and synopsis. If the performance of candidate is not satisfactory in Registration seminar, then the RPC may not recommend the case for Registration.

1.4.2.13 Dean (Acad.) will issue a notice indicating list of candidates confirming their Registration in Ph.D. Program.

1.4.2.14 RPC shall recommend the courses to be undertaken by the candidate as per the norms.

1.4.2.15 The Registration will be valid for a period of 6 years from the date of Registration and no further extension will be granted under normal circumstances.

1.4.2.16 After 6 years, if the candidate wishes to continue research, the candidate will be required to register again. The candidate should apply for re-registration before completion of 6 years of registration period. If the re-registration application is received after 1st January / 1st July, the candidate will be required to register again following the procedure for fresh candidates.

1.5 PLACE OF WORK

1.5.1 Normally the place of work will be NITUK.

1.5.2 The place of work other than NITUK, if approved by RPC, shall be mentioned in the report of Registration or six monthly seminar.

1.6 PAYMENT OF FEES AND DEPOSITS

a) Application fee for Ph.D. registration: Rs. 500/-

b) Other fees:

(I)	Registration	Rs. 5,000/- (one time)
	Tution fee	Rs. 15,000/- (Annual)
	Caution money	Rs. 3,000/- (refundable)
	Library fee	Rs. 2,000/- (one time)
	Development fee	Rs. 10,000/- (annual)

	TOTAL	Rs. 35,000/-

Rs. 35,000/- is to be paid before 31st January / 31st July.

(II) Subsequent years: Annual fees

Tution fee	Rs. 15,000/-
Development fee	Rs. 10,000/-

TOTAL	Rs. 25,000/-

Rs. 25,000/- is to be paid before six monthly seminars of June / December.

(III) Examination fee:

The examination fee of Rs. 5000/- shall be paid by the candidate prior to the submission of the thesis.

Note:

1. The delay in payment of annual fees may invite cancellation of registration. Payment of fees is annual. Six-monthly seminar shall not be conducted without payment of fees.

2. All the staff members of NITUK will be exempted from the payment of annual fees. However, they will have to pay a registration fee of Rs. 5000/- and examination fee of Rs. 5000/-

3. Students who are staying in Quarters are required to pay license fees, water & Electricity Charges, etc. as applicable for occupation of these quarters as per the Estate Office Rules

4. If the thesis is submitted after 31st December /30th June, candidates are required to pay the fees for next Academic session.

1.7 SCHOLAR'S ROLL NUMBER

1.7.1 Each Scholar shall be allotted an Identification Number during first registration and which will be a permanent identification number.

1.7.2 The roll number of a Scholar shall consist of ten alpha-numerals (XXnnYYZmmm), e.g. DT08EEJ001.

'XX'   Indicates Programme Code

Code	Programme
DS	Doctor of Philosophy in Science
DT	Doctor of Philosophy in Technology
DH	Doctor of Philosophy in Humanities, Social Sciences & Other Areas
DB	Doctor of Philosophy in Business Management

'nn' indicates year of admission (2008 is indicated as 08)

YY indicates department code (EE is for Electrical Engineering)

Z   indicates code for area of research.   J for areas related to departments I for   Interdisciplinary   area

mmm   indicates Sr. No. in Programme

DT13EEJ001 indicates roll number 001 of
Ph.D scholar admitted in 2013 in
Electrical Engineering Department.

2. ENROLLMENT AND ATTENDANCE

2.1. ENROLLMENT

Enrollment is a very important procedural part of the academic system. The enrollment procedure ensures that the scholar's name is on the roll list of each course that he/she wants to study. No credit is given if the scholar attends a course for which he/she has not registered. Registration for courses to be taken in a particular semester will be done according to a specified schedule at the beginning of semester commencing from Aug/Jan. Scholar's Supervisor must approve the choice of courses. The Scholar must also take steps to pay his/her dues before delivery of the seminar. Scholars should enroll themselves on a stipulated date. Enrollment after the specified date will be allowed only once in duration of completion of Programme. A scholar must meet his/her supervisor within the first week of the new semester for confirmation of his/her registration. The relevant dates are included in the Academic Calendar that is available before the start of the semester.

Part time Ph.D. scholars shall register within one month of declared date of registration. These scholars note that this is a special favor and under no circumstances, further extension shall be allowed. If a scholar is likely to be outstation during registration, he/ she shall seek prior permission from Dean (Acd). However enrollment dates shall not be extended.

2.2 ENROLLMENT AND SCHOLAR STATUS

Enrollment by a scholar confirms his/her status as scholar at the Institute. Failure to enroll before the last date for late enrollment will imply that the scholar has discontinued studies and his/her name will be struck-off the rolls.

Every registered scholar, except **part-time** doctoral scholars, is considered as a full-time scholar at the institute. They are expected to be present at the Institute and devote full time to academics.

Scholars who have completed all course works are not required to register for the courses any further. They should enroll themselves for next semester after delivering the six monthly seminars. Registration and enrollment procedures are required till completion of course work.

2.3 ADVICE ON COURSES

At the time of Registration, each scholar must consult his/her Supervisor to finalize the academic Programme.

2.4 REGISTRATION VALIDATION

Before the first day of classes, every scholar is required to be present on campus and validate his/her registration. Scholars who do not do registration validation (enrollment of courses) will not be permitted to add/drop courses.

2.5 MINIMUM SCHOLAR REGISTRATION IN A COURSE

Ph.D. scholars can register / enroll for only 500 or 600 level courses. There is no requirement of minimum number of enrolled students to run a course where these Ph.D. scholars are registered.

2.6 LATE REGISTRATION / ENROLLMENT

Late registration is permitted under the following conditions:

A scholar, who was not in the campus during the period of registration in the previous semester needs to complete the registration process on or before the first day of the semester before Late Enrollment. For reasons beyond his/her control, if a scholar is not able to enroll, late enrollment is permitted until one week after the start of the semester. However, this facility can be availed only once in the duration of program.

2.7 ADDITION, DELETION, AUDIT AND WITHDRAWAL FROM COURSES

(a) Add/Drop: A scholar has the option to add a course(s) that he/she has not registered for, or drop a course(s) for which he/she has already registered for. This facility is restricted to the first week of the semester.

(b) Audit: A scholar may apply for changing a credit course to an audit one within one week of the end of the first sessional examination.

(c) Withdrawal: A scholar who wants to withdraw from a course should apply within one week of the end of first sessional examination. A withdrawal grade (XX) will be awarded in such cases. A course withdrawal will not be permitted if the number of students in that course drops to less than 6 on account of course withdrawal by the students and in such, a case no student will be allowed to withdraw from that course.

2.8 SEMESTER WITHDRAWAL

If a scholar is absent for more than 20 teaching days in a semester on medical grounds, then he/she may apply for withdrawal from that semester, i.e. withdrawal from all courses registered in that semester. Application for semester withdrawal must be made as early as possible and latest one week before the start of the End Semester Examination. Partial withdrawal from courses registered in a semester is not allowed.

Scholars registered under Research Programme can not withdraw the main Project XXD601 (For PhD). Semester withdrawal for these scholars shall exclude subjects XXD601.

2.9 REGISTRATION IN SPECIAL MODULE COURSES

Special module courses, i.e. V-category courses, can be offered at the beginning of the semester in which case the regular registration procedure will be followed. A V-category course may also be offered during the semester. In such a case, scholars will be allowed to add this course before classes for the course begin.

2.10 REGISTRATION FOR ACADEMIC WORK AT OTHER INSTITUTIONS

Scholars planning to do academic work, i.e. take courses or do part of project work, at another institution in India or abroad, need to register prior to proceeding for such work. This includes scholars going out on exchange Programmes arranged through the institute and scholars intending to do project work at other institutions. Prior approval of the Supervisor, RPC, HoD and Dean (Acad.) is required before proceeding on such studies for full time scholars. Prior approval of the Supervisor, RPC is required before proceeding on such studies for part time scholars.

2.11 PRE-REQUISITE REQUIREMENT FOR REGISTRATION

Ph.D. scholars are exempted from prerequisite requirements for all courses.

2.12 FEES PAYMENT

Every registered scholar must pay the stipulated fees (including Hostel Dues) in full before the six monthly seminar. In the event that a scholar does not make these payments, he/she will be de-registered from all courses and his/her name will be struck-off the rolls.

2.13 REGISTRATION RECORD

The scholar should ensure that all the relevant information is entered in the Registration Record. Queries related to registration will be considered only when accompanied by the original Registration Record. This record must be preserved until the semester grade card is received by the scholar.

2.14 CONTINUOUS ABSENCE AND REGISTRATION STATUS

If a full time scholar is absent from the Institute for more than four weeks without notifying the Supervisor or Head of Department or Dean (Acad), his/her registration will be terminated and name will be removed from the Institute rolls.

2.15 ATTENDANCE RULE

2.15.1 All scholars must attend every lecture, tutorial and practical class. However, to account for late registration, sickness or other such contingencies, the attendance requirement will be a minimum of 75 % of the classes actually held.

2.15.2 A scholar with less than 75% attendance in a course during the semester, in lectures, tutorials and practicals taken together (as applicable), will be awarded 'W' attendance in that course irrespective of his/her performance in the tests. The course coordinator will award 'W' grade to the scholar who is deficient in attendance taking into account the consolidated attendance record for the whole semester for the course concerned. For the purpose of attendance calculation, every scheduled practical class will count as one unit irrespective of the number of contact hours.

2.15.3 Attendance record will be maintained based upon roll calls (or any equivalent operation) in every scheduled lecture, tutorial and practical class. The course coordinator will maintain and consolidate attendance record for the course (lectures, tutorials and practicals together, as applicable).

2.15.4 To account for circumstances beyond control, scholars shall be permitted in only one semester (only once in the duration of Programme) the attendance below 75%, provided it is at least 65%. Attendance grade of L shall be awarded in such cases.

2.15.5 The attendance grade shall be awarded as per following table and these grades shall appear on grade card.

Sr. No.	Attendance	Grade	Remark
1	≥ 95%	H	-
2	≥ 85% but < 95%	N	-
3	≥ 75% but < 85%	M	-
4	≥ 65% but < 75%	L	If L grade is not awarded earlier
5	≥ 65% but < 75%	W	If L grade is awarded earlier
6	< 65%	W	-

2.16 LEAVE REGULATIONS FOR FULL TIME Ph.D. CANDIDATE

A full-time Ph.D. scholar, during his/her stay at the Institute will be entitled to leave for 30 days per academic year, including leave on medical grounds.

Total 30 days leave per Academic year shall be admissible to the Ph.D. student, out of which not more than 20 days leave can be availed in a semester. This leave shall be treated as Casual leaves but with prior approval. Leave admissible in one Academic year will not be carried forward to the next Academic year.

These scholars are not entitled to have vacation. Even during mid-semester breaks, and summer and winter vacations, he/she will have to explicitly apply for leave.

Leave beyond 30 days in an academic year may be granted to a research scholar in exceptional cases subject to the following conditions:

      i.   the leave beyond 30 days will be without Assistantship/Scholarship, and

     ii.   such an extension of up to additional 30 days will be granted only once during the Programme of the scholar including self sponsored scholar.

In addition, a full time Ph.D. scholar who has completed his/her course work may be granted additional leave on medical grounds up to 10 days per academic year.

Women research scholars will be eligible for Maternity Leave with assistantship for a period not exceeding 135 days once during the tenure of their award.

The leave may be subject to the approval of the Head of Department concerned on the recommendation of the Supervisor and a proper leave account of each scholar shall be maintained by the Department.

2.17 ATTENDANCE REQUIREMENTS FOR ASSISTANTSHIP

A Ph.D. scholar irrespective of the source of research assistantship while pursuing course work, must attend at least 75 % of classes in each course in which he/she is registered. In case his/her attendance falls below 75 % in any course during a month, he/she will not be paid Assistantship for that month. Further, if his/her attendance again falls short of 75 % in any course in any subsequent month in that semester, his/her scholarship and Assistantship will be terminated. A research scholar after having completed the course work must attend to his/her research work on all the working days and mark attendance except when he/she is on duly sanctioned leave.

All scholars who are offered assistantship are required to register for a special course (XXD603) with Satisfactory/Unsatisfactory grade. They are expected to put in 8 hours per week towards the work assigned by the Institute. Continuation of assistantship in a subsequent semester would be conditional to obtaining a satisfactory grade in this course.

3. DEGREE REQUIREMENTS, REGULATIONS AND PROCEDURES

3.1 COURSE REQUIREMENTS

The award of Ph.D. degree is in recognition of high achievements, independent research and application of scientific knowledge to the solution of technical and scientific problems. Creative and productive enquiry is the basic concept underlying the research work. In order to overcome any deficiency in the breadth of fundamental training or proper foundation for advanced work, special preliminary or pre-doctoral courses are given by each department/centre. These courses are given either by faculty members or by guest-speakers and specialists in the profession.

Candidates registered for Ph.D. Programme shall be required to Audit two three-credit courses XXL601 (Communication Skills) and XXL602 (Research Methodology) offered by any department (departments shall offer the course every year in rotation) in addition to the minimum course work specified by the RPC.

Candidates having a M.Sc./M.A. or equivalent degree are required to complete a minimum of 12 credits. Relaxation up to 6 credits in the course work can be considered for those with M.Phil. degree. M.Tech. or equivalent degree holders are required to complete a minimum of 6 credits. The departments may require a larger number of credits in general or in

specific cases. The additional course requirement will be determined by the RPC on the recommendations of the supervisor after due consideration of the background of the scholar in relation to the proposed topic of research. These courses can be prescribed from existing M.Tech. courses, special pre-Ph.D. courses including laboratory, seminar, foreign language, etc. Normally, no independent study course will be allowed for Ph.D. scholars. However, self-study courses can be permitted if the recommended courses are not offered in the first calendar year.

The minimum CGPA requirement for the course work is 7.50. If the CGPA at the end of any semester is above 7.00 but less than 7.50, he/she will be asked to take more courses in order to make up the required CGPA. If the SGPA at the end of the first semester and CGPA at the end of any subsequent semester is below 7.00, he/she will have to discontinue the doctoral Programme. The course work must be completed within the first two semesters of joining the Programme.

In addition to the requirement of prescribed minimum CGPA, he/she shall be required to secure valid credits to the extent of 75% of the credits registered in a semester for continuation of registration.

3.1.1 ADDITIONAL RULE FOR THE MAKE-UP EXAMINATION

In case of absenteeism to avail the facility of make-up examination, a student is required to submit an application with valid justification within three days of the end of the End Semester Examinations. However, in case of absenteeism due to medical reasons, a medical certificate issued by the Institute's Medical Officer shall only be entertained.

3.2 SEMINARS DURING Ph.D. WORK

3.2.1 The candidate is required to give a seminar on the progress of his / her project work every 6 months in respective departments after the confirmation of Ph.D Registration. This will be done during the Ph.D. seminar weeks indicated in the Academic calendar. The details of confirmation of Ph.D Registration of a students is mentioned in para **1.4.2.9 & 1.4.2.10.**

3.2.2 The time-table for the 6 monthly seminars shall be displayed by HoD at least 15 days prior to it. Also, a brief write-up outlining the work previously done, the current status and the future plans should be submitted to the RPC members at least 3 days prior to the date of seminar.

3.2.3 The report of the RPC after each 6 monthly progress seminar shall be duly forwarded to the Office of Dean (Academic) by the concerned department in an appropriate format. KK grade will be awarded if the progress is 'satisfactory' in that semester. If the progress is 'unsatisfactory', UU grade will be awarded.

3.2.4 If the report of 2 consecutive review seminars is unsatisfactory, RPC may recommend discontinuation of registration. If 3 consecutive seminar reports are unsatisfactory or if 4 seminar reports are unsatisfactory, the registration shall be automatically cancelled. If seminar is not given, it shall be considered as unsatisfactory.

3.2.5 Six monthly seminar shall be conducted only if annual fees are paid. No further seminar shall be conducted without payment of fees. Six monthly reports shall be considered as unsatisfactory if the six monthly seminar is not permitted.

3.2.6 A student is required to work as JRF for minimum of two years from the date of joining in Ph.D program and he/she should complete the course work as per Ordinances to become eligible for application for up-gradation to SRF. An External member & the research progress committee (RPC), under the chairmanship of Dean (Acad.) or Asso. Dean (Acad.) will review the performance of the student for recommendation his/her upgradation from JRF to SRF. An external assessment is compulsory for enhancement of fellowship from JRF to SRF. This should be approved by Chairman (Senate). Only GATE/NET/DST-Inspire candidates are eligible for the same.

3.3 ABSENCE DURING THE SEMESTER FOR COURSES REGISTERED

a. A scholar must inform the Supervisor or HoD or Dean (Acad) immediately of any instance of continuous absence from classes.

b. A scholar who is absent due to illness or any other emergency, up to a maximum of two weeks, should approach the course coordinator for make-up quizzes, assignments and laboratory work.

c. A scholar who has been absent from Mid Term Examination of a course work, regulations of UG and PG programme shall be applicable.

d. In case the period of absence on medical grounds is more than 20 working days during the semester, a scholar may apply for withdrawal from the semester, i.e. withdrawal from all courses registered in that semester. Such application must be made as early as possible and latest one week before the start of the End Sem Examination. No applications for semester withdrawal will be considered after that.

Dean (Acad.), depending on the merit of the case, will approve such applications. Partial withdrawal from courses registered in a semester is not allowed.

e. If a scholar is continuously absent from the institute for more than four weeks without notifying the Supervisor / HoD / Dean (Acad.), his/her name will be removed from Institute rolls.

4. REGULATIONS GOVERNING PH.D. SCHOLARS

4.1 THESIS WRITING

The thesis shall normally be written in English in the specific format and shall contain a critical account of the candidate's research. It should be characterized by discovery of facts, of fresh approach towards interpretation of facts and theories or significant contribution to knowledge of design or development, or a combination of them. It should bear evidence of the candidate's capacity for analysis and judgment and also his / her ability to carry out independent investigation, design or development. A thesis should normally be supplemented by published work. No part of the thesis or supplementary published work shall have been submitted for the award of any other degree/ Diploma. Normally, four copies of thesis in soft cover have to be submitted in the format prescribed by the Institute.

4.1.1 FORMS FOR SUBMISSION OF PHD THESIS

The various forms in respect of submission of Ph.D. thesis is available in Academic Section or it may be downloaded from Institute website.

4.2 SUBMISSION OF THESIS

4.2.1 A scholar can submit his / her Ph.D. thesis only after a period of **3** years from the date of initial Ph.D.Registration for full-time or part-time Programme provided that he/she has completed required course work with minimum 7.5 CGPA.

4.2.2 Candidate who has re-Registered under the supervisor and with the topic identical to earlier registration will not have minimum time restriction for submission of thesis.

4.2.3 A candidate should have at least:

(i) One paper accepted/published in SCI/SCIE indexed journals and at least one paper accepted/published in an international/National conference, from his/her Ph.D. thesis before the submission of Ph.D. thesis for Engineering and Sciences stream.

(ii) One paper accepted/ published in Scopus Indexed UGC approved journals and at least one paper accepted/published in an international/National conference, from his/her Ph.D.

thesis before the submission of Ph.D. Thesis for Humanities stream. However, the other journal "*The Indian journal of English Studies*" will be considered for submission of thesis for Humanities.

4.2.4 Pre-submission seminar will be delivered by the candidate on completion of work. The thesis can be submitted if pre-submission seminar report by RPC is satisfactory.

4.2.5 Thesis should be submitted within 3 months of pre-submission seminar.

4.2.6 To expedite the process of examination, candidate can submit the title and synopsis of thesis in advance. However thesis should be submitted within two months of submitting the synopsis without violating 4.2.5.

4.2.7 The candidate is supposed to have completed the work when the thesis is submitted. The candidate remains registered with the Supervisor till the successful defence of the candidate.

4.2.8 A candidate is required to submit 4 copies of the synopsis and 4 copies of Ph.D. thesis (soft bound) each along with the soft copies in PDF format both to the Academic Section. Soft copy should be submitted in a specified format, as per the library norms.

4.2.9 Color specification of the Thesis: Black color

4.2.10 The Limit of confidence for the plagiarism report of Ph.D. thesis:
10% similarity index shall be the threshold for Ph.D. thesis after excluding the self-publications, references, quoted text and matches upto 10 words. The limit may be relaxed upto 20% with proper justification of the supervisor and approval of the Dean (Acad.). The supervisor shall be responsible for the plagiarism Check and a record of which will be maintained in the office of Dean (Academics).

4.3 EVALUATION OF THE THESIS

4.3.1 The Supervisor(s) will submit a list of four Indian Examiners & four foreign Examiners directly to Dean (Acad.) in a sealed envelope. Dean (Acad.) will submit the same list before Chairman, Senate for his consideration and approval. The Chairman, Senate will select two examiners for evaluation of the thesis from this list.

4.3.2 The Thesis should be evaluated by one Indian and another Foreign Examiners nominated by Chairman (Senate) from the panel of four Indian Examiners & four foreign examiners. The Indian thesis Examiners will be from NITs, IITs or any other reputed organizations.

4.3.3 After the synopsis has been submitted and the thesis examiners have been selected by Chairman Senate, the Dean Academics will send a confidential letter/E-Mail to each approved member of the thesis board enclosing a copy of the synopsis and requesting him/her to serve as an examiner for the thesis. If, either of the examiner refuses or no response is received within four weeks (with a reminder being sent after two weeks), then steps will be taken to appoint another Examiner(s).

4.3.4 On receipt of the acceptance from the examiner, a hard copy of the thesis along with a copy of Ph.D examiner's recommendation form will be sent to each examiner. The soft copy of the thesis can be sent via e-mail also.

4.3.5 The names of the Examiners of the thesis shall be kept confidential till successful completion of the Ph.D. viva. However, on completion of Ph.D. thesis evaluation, Dean, Academic will send the copy of thesis evaluation report to the thesis supervisor(s) along with the details of the Indian examiner so that the name can be included in the proposed list of the members of Ph.D viva.

4.3.6 In case Dean Academics is the supervisor of the student concerned, above processing will be done by the Chairperson, SPGB.

4.3.7 If both the Examiners give favorable reports, the candidate will be eligible for Ph.D. degree on successfully defending the open defence and viva-voce and after the recommendation of the Senate.

4.3.8 If the Examiner(s) recommends acceptance of the thesis subject to major modifications, the thesis can be resubmitted only once after incorporating the modifications, within a period of one year. The thesis so resubmitted shall be examined by the same Examiner(s).

4.3.9 If Examiner(s) recommend acceptance of the types with minor modifications only, the thesis is to be corrected before open defence and viva-voce. External Examiner shall be confirmed regarding corrections suggested by both Examiners are included. Candidate shall be provided a copy of detailed reports of both Examiners.

4.3.10 In case the report of one of the Examiners is not favorable then the thesis will be sent to the third Examiner. If the report of third Examiner is favorable then only the candidate will be considered eligible for Ph.D. degree.

    4.3.11 If reports of two examiners are favorable then the candidate shall be required to defend his / her Ph.D. thesis (open defence and viva-voce) before the committee consisting of the following members.

i)   One of the External Examiners of the Ph.D. thesis (Indian Examiner)

ii) Supervisor & Co-Supervisor (If any).

The final Ph.D. Defense will be an Open House event. However, only the above members will sign the certificate. In case, the Examiner is unable to attend the viva-voce for any reason, the Director is empowered to nominate one expert in the field from the local area. The candidate should submit 3 hardbound copies of thesis incorporating all suggestions of Examiners. After successful defence, out of three copies, one copy each will be issued for record, library and department.

4.3.12 A thesis rejected by two examiner(s) may be resubmitted after revision, not earlier than one year and not later than three years from the date of such intimation to the scholar by the Academic Section. The thesis so resubmitted may be examined by the same referees or by new referees.

4.3.13 Rejection of the thesis so resubmitted will disqualify the scholar from further consideration for the award of the Ph.D. degree, in the topic of research chosen by him / her.

4.3.14 Remuneration for PhD Thesis evaluation

The following remuneration is payable for the PhD thesis evaluation

Indian Examiner	Rs. 5000/- for Thesis evaluation and
	Rs. 5000/- for viva voce examination
Foreign examiner	USD 400/-

4.4 SUPERVISOR FOR Ph.D.

4.4.1 A staff member of NITUK possessing Ph.D. will be recognized as a supervisor for the Ph.D. Programmes at NITUK in their subject.

4.4.2 A supervisor can guide maximum four candidates for PhD Programme at a time in NITUK, out of which maximum two candidates will be offered MHRD scholarship by the Institute. Accordingly, annual intake of Ph.D. students will be decided by SPGB.

The supervisor who desires to guide Ph.D. scholars outside National Institute of Technology, Uttarakhand shall be required to take a prior permission from the Director.

4.4.3 Outside researchers can guide Ph.D. thesis as additional supervisors only. Principal supervisor should be essentially from NITUK.

4.4.4 Outside researchers shall be recognized as supervisor on case-to-case basis. The criteria for recognition as external supervisor shall be as under.

1. Ph.D. in concerned subject.
2. Ten years Teaching / Research / Industrial experience.
3. He / she should belong to IIT / NIT / National Laboratories / University Departments / Government Colleges.
4. Some scholar should have applied to work with him / her (as external supervisor).
5. Concerned Chairman, BoS should have recommended the case.
6. The recognition of the External Supervisor shall be approved on case to case basis by SPGB.
7. Should have guided at least one Ph.D. (desirable).
8. Five publications in National / International Journals out of which at least two should be in refereed journals. (desirable)

4.4.5 If the Principal Supervisor leaves the Institute for any reason, he / she is permitted to work as Principal Supervisor for candidates registered with him before leaving the Institute. However additional supervisor from Institute shall be provided if the thesis can not be submitted within calendar year i.e. before next enrollment in January. The change in Supervisor of a Ph.D student will be decided by a duly constituted Committee in case of resignation by the Supervisor from the Institute.

4.4.6 An additional supervisor / external supervisor can have maximum 3 candidates registered under him/her at a time in NITUK.

4.4.7 In the subjects for which there are no recognized supervisors in NITUK, the external supervisor alone can guide the Ph.D. work at NITUK.

4.4.8 The practice of change of Supervisor should be discouraged under the normal circumstances. Candidate's current supervisor and co-supervisor(s) shall sign the application for change of supervisor jointly. Such applications if recommended by HoD shall be considered by Asso. Dean (Acad.) as Chairman, SPGB.

4.4.9 However, any application from the candidate or the Supervisor requesting for a change may be considered and decided by a Committee comprising Dean (R&D), Dean (Acad.) and HoD of the concerned Department. In case, any of the above committee members happens to be the Supervisor, the Director shall nominate a member in lieu of the above Supervisor.

4.5 CANCELLATION OF REGISTRATION

4.5.1 Candidate alone or candidate & supervisor(s) jointly can apply for cancellation HoD, Dean(Acad.) shall consider these cancellations.

4.5.2 Supervisor can apply cancellation of registration of scholar without consent of scholar giving reasons. However, such applications shall be considered by SPGB.

4.6 SENATE POST GRADUATE BOARD (SPGB)

The annual intake of Ph.D. students at Institute shall be decided by SPGB. All issues related to Ph.D. curriculum and its conduct shall be framed and approved by SPGB. Accordingly, the Ph.D. Ordinances be updated from time to time after due approval of the same by Senate.

4.7 BOARD OF STUDIES IN INTERDISCIPLINARY RESEARCH

   a) The board of studies in interdisciplinary research shall comprise the following :

      Chairman   :   Dean (R&D)

      Members   :   All HoD's

   b) The faculty (Engineering / Science) in which the candidate shall be registered for interdisciplinary research would be based on his/her qualification and eligibility.

   c) For monitoring the progress of Research, a Research Progress Committee (RPC) may be constituted as per the regulations (item 1.4.2.7) already in force.

4.8 AWARD OF DEGREE

The degree shall be awarded by the Senate, provided that:

(a) the Oral Defence Committee, so recommends.

(b) the candidate has submitted three hard cover copies of the thesis, after incorporating all necessary corrections and modifications including appropriate IPR notice. The hard bound copies of the Ph. D. thesis, submitted after the viva-voce examination, must contain the appropriate copyright certificate in the beginning of the thesis, on a separate page on the left side.

4.9 IPR NOTICE

The relevant IPR notice to be incorporated in the soft/hard bound thesis, reports etc. shall be chosen from the following:

a) The thesis/report etc. for which formal copyright application has NOT been filed should carry the copyright notice as:

> © National Institute of Technology Uttarakhand (NITUK), 200 ... [year of submission of the thesis/ report].

b) The thesis/report etc. for which formal copyright application has been filed with the copyright office. Should carry the copyright notice as:

> © National Institute of Technology Uttarakhand (NITUK), 200 ... [year of submission of the thesis/ report]. All right reserved. Copyright Registration Pending.

c) The thesis/report etc. and for which in-addition to a formal copyright application with the Copyright Office, patent/design application has also been filed with the patent office, should carry the "IPR Notice" as:

> **Intellectual Property Right**
>
> **Notice**
>
> **Part of** this thesis may be protected by one or more of Indian Copyright Registrations (Pending) and/or Indian Patent/ Design (Pending) by Dean, Research & Development, National Institute of Technology Uttarakhand (NITUK), 200 ...[year of submission of the thesis/ report]. India. NITUK restricts the use, in any form, of the information, in part or full, contained in this thesis ONLY on written permission of the Competent Authority: Dean, R&D, NITUK.

The notices at b and 'c' should **ONLY** be, repeat **ONLY** be inserted after the formal application(s) has (have) been filed with the appropriate office(s) as the case may be and the same has been confirmed by Dean R&D office.

4.10 ADDITIONAL RULES FOR STAFF OF THE INSTITUTE

4.10.1 If a member of the academic staff, who is registered for the degree, leaves the Institute before the minimum period of registration is completed, he/she will be permitted to submit his thesis in due course, provided RPC recommends that:

(a) A substantial part of the research has been completed at the Institute; and

(b) Any additional work required can be adequately supervised.

4.10.2 A member of the academic staff who has commenced his research before joining the Institute may, at the discretion of the RPC and on the recommendation of the Supervisor

through the RPC concerned, be permitted to include in his period of registration, part or all of the time spent on research before joining the Institute, up to a maximum of one year.

4.10.3 A member of the non-academic staff of the Institute who satisfies eligibility qualifications may be considered for admission to the degree as a part-time candidate provided the Director of the Institute duly approves his/her application.