



# DELHI TECHNOLOGICAL UNIVERSITY

Established under Govt. of Delhi Act 6 of 2009

(Formerly Delhi College of Engineering)

BAWANA ROAD, SHAHBAD DAULATPUR, DELHI-42

F.DTU/Council/BOM-AC/Notification/31/2018/3951

Dated : 19/11/19

## NOTIFICATION

In exercise of the powers conferred under sub-section (1) of section 23 of the Delhi Technological University Act, 2009 (Delhi Act 6 of 2009), the Board of Management of the Delhi Technological University in its 34<sup>th</sup> meeting held on 21<sup>st</sup> October, 2019 vide item number 34.5 amended the Ordinance (Four) and Regulations for Degree of Doctor of Philosophy (Ph.D.) programme of Delhi Technological University. The amended Ordinance and Regulations are hereby notified as under:-

### ORDINANCE (Fourth)

#### 1. DEFINITIONS:

- (i) **"Applicant"** shall mean an individual who applies for admission to the Ph.D. programme of the Delhi Technological University on the prescribed application form.
- (ii) **"Approved Research Centre"** shall mean a research laboratory/research centre/R&D organization/Academic Institute/School of Studies/Centre for Advanced Studies and Research/Industry/Government Department/Public Sector Undertakings approved as a research centre by the University for carrying out wholly/partly research work leading to the degree of Doctor of Philosophy of the University.
- (iii) **"Candidate"** shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement, the comprehensive examination and submitted an approved research plan as per R.10 of the Regulations.
- (iv) **"Caretaker Supervisor"** shall mean a member of the academic staff appointed to look after the candidate's research interests in the absence of the Supervisor.
- (v) **"Course Work"** shall mean courses of study prescribed by the Department in consultation with the supervisor to be undertaken by a student registered for the Ph.D. Degree.
- (vi) **"Dean-PG"** shall mean the Dean, Post Graduate Studies.
- (vii) **"Degree"** shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Delhi Technological University.

- (viii) **"DRC"** shall mean Departmental Research Committee. The constitution of DRC shall be as per R.8.1 of Regulations.
- (ix) **"Educational Institutions"** shall mean those colleges which offer Bachelor's Degree or higher.
- (x) **"Full-time Research Student/Candidate"** shall mean a person registered for the Ph.D. Degree devoting full time for completing the degree requirements.
- (xi) **"Full-time Sponsored Research Student/Candidate"** shall mean a person sponsored by Govt. or Pvt. R&D organization or Educational Institution of repute registered for the Ph.D. Degree devoting full time for completing the degree requirements. Such candidate shall receive his salary and allowances as admissible from the sponsoring organization/employer.
- (xii) **"Joint Supervisor"** shall mean an additional supervisor approved by the Academic Council on the recommendation of DRC to guide the student jointly with supervisor in the accomplishment of the research work of the student/candidate as per R.7 of the Regulations.
- (xiii) **"Minimum Registration Period"** shall mean the minimum period for which a candidate must be registered, including the time spent as student before becoming a candidate, prior to submission of the thesis.
- (xiv) **"Part-time Research Student/Candidate"** shall mean a person who is registered for the Ph.D. degree and will devote part of his time towards this pursuit and devote part of his time towards the discharge of his official obligations.
- (xv) **"Ph.D. Coordinator"** shall mean a faculty member of Delhi Technological University appointed by Vice Chancellor, to supervise and conduct the admissions to Ph.D. program and register the research students.
- (xvi) **"Registration Period"** shall mean the length of time span commencing with the date of registration at the University till the completion of the programme.
- (xvii) **"Residency"** shall mean the minimum period for which a student/candidate must attend the University on full-time basis.
- (xviii) **"SRC"** shall mean Student Research Committee. The constitution of SRC shall be as per R.8.2 of Regulations. **"University"** shall mean Delhi Technological University, Delhi.
- (xix) **"Student"** shall mean a person registered for the Ph.D. degree prior to becoming a candidate.

(xx) "**Supervisor**" shall mean a member of the academic staff of the Delhi Technological University approved by Academic Council as per R.7.2 on the recommendation of DRC to guide/supervise the research/academic work of the student/candidate.

(xxi) "**University**" shall mean Delhi Technological University, Delhi.

Note : 'He' and 'His' imply 'he'/'she' and 'his'/'her' respectively.

## 2. ORDINANCE FOR Ph.D. DEGREE PROGRAMME

The program leading to degree of **Doctor of Philosophy** shall be conducted through the Departments/School of Studies of the University.

(a) The minimum entry qualifications for admission to the Ph.D. programme shall be a Master's Degree in Engineering/ Technology/ Science/ Humanities/ Management and Social Sciences or any other equivalent qualification/relevant subject recognised by the University. In exceptional cases candidates with B.E./B.Tech degree having proven research capability with a minimum of 75% marks in aggregate or equivalent CGPA will also be considered for admission to Ph.D. programme.

The minimum percentage of marks/cumulative grade point average (CGPA) are laid down in the Regulations R.1.

(b) A candidate registered for the Ph.D. programme shall be required to satisfy a minimum registration period requirement as laid-down in the Regulations R.12.

(c) A student/candidate shall be required to earn prescribed minimum "B" Grade in each course registered to carry out his research work at the Delhi Technological University, under the guidance of approved supervisor(s). In special circumstances, a full-time or part-time student/candidate may be permitted by the Academic Council of the University to carry out part of his research outside the Delhi Technological University in a reputed Educational Institution/ Organization provided adequate research facilities are available there to the satisfaction of the University.

(d) A candidate will be required to complete all requirements for the award of the degree within a period specified in the Regulations.

(e) The date of registration shall be the date on which a student joins the department however, his Ph.D. candidacy will be confirmed after successful completion of course work, comprehensive examination and approval of research plan by SRC. It will be mandatory for a student/candidate to register in each semester on the prescribed form.

(f) For a student to become a candidate of the degree, he shall have to satisfy the requirement laid down in the Regulations and be accepted by the Academic Council on the recommendation of the respective DRC.

However, the confirmation date for the Ph.D. candidacy will be the date on which his research proposal was approved by SRC.

- (g) A full-time candidate may be allowed by Dean PG on recommendations of respective DRC to convert his registration into part-time, after completing three semesters or after completion of course work and comprehensive examination whichever is later, if they get employed in the meantime for which he has informed the Dean PG through DRC Chairperson.
- (h) If a student/candidate withdraws from his Ph.D. programme or his registration is terminated, his student/candidate status shall cease. If such a candidate is re-admitted, he may be given weightage to the credits acquired during the previous registration on the recommendation of the DRC except in the case of termination on disciplinary grounds.
- (i) The award of the Ph.D. Degree to a successful candidate shall be made in accordance with the Regulations of the Delhi Technological University.

### 3. REGULATIONS

The following Regulations shall apply to all categories of students/candidates pursuing course of study and research leading to the Ph.D. degree:

#### R.1. ADMISSION ELIGIBILITY:

R.1.1 An applicant possessing a Masters degree in Engineering/Technology/ Sciences/ Management/Humanities and Social Sciences in relevant discipline or equivalent with a minimum 55% marks in aggregate or equivalent Cumulative Grade Point Average (CGPA) as determined by the Delhi Technological University shall be eligible to apply for admission to a Ph.D. programme of the University. In exceptional cases applicant with Bachelor's degree in Engineering or Technology having a minimum of 75% marks in aggregate or equivalent CGPA and having proven research capability may also be considered eligible. Five percent (5%) relaxation in marks at the level of qualifying degree will be given to SC/ST category students for determining the eligibility conditions to appear in the screening test.

R.1.2 Part-time applicants will be eligible under three categories (i) Candidates from organizations which have MOU with Delhi Technological University, (ii) Organizations with R&D Labs of national repute, (iii) Regular faculty/Teaching cum Research Fellow or Scientists from Educational Institutions, R&D organizations, and Govt. Department/Govt. Undertaking provided that

the applicant possesses the minimum entry qualifications for the degree as given in R 1.1;

the applicant is in position to complete mandatory course requirements along with regular counterparts;

the applicant proves to the satisfaction of the University that his official duties permits him to devote sufficient time to research;

facilities for research are available at the applicant's place of work in the chosen field of research or the applicant can spare sufficient time to pursue research in the Department of the Delhi Technological University on daily basis, residing in the vicinity of the University; and

he will be required to reside at the Delhi Technological University for a period of not less than 6 months during his admission period for the Ph.D. programme. *(This condition of minimum residence will be automatically waived for candidates who are working in National Capital Region (NCR) of Delhi or in organizations/institutions located within a distance of 50 km from the Delhi Technological University).*

R.1.3 Project staff under projects, sponsored by DST/ UGC/ any government agency, industry or centers established from grant in aid from government or international agencies at Delhi Technological University may be given administrative clearance to seek admission on full time / part time basis subject to recommendations of the concerned Principal Investigator of the said project/centre and approval of the Vice Chancellor. However, he must fulfill the eligibility criteria as per R.1.1. No relaxation will be given in screening test.

R.1.4 Permanent academic staff of the Delhi Technological University *(including the academic staff of erstwhile Delhi College of Engineering)* may be given administrative clearance to seek registration on part-time basis subject to recommendations of the concerned head of the department and approval of the Vice Chancellor. However, the applicant must fulfill the eligibility criteria as per R.1.1. No relaxation will be given in screening test, except for the cases covered under R. 3.1(c)

## R.2 RESERVATION/RELAXATION

R.2.1 Reservation of seats for applicants in each of the categories of the research scholars shall be in accordance with the policies of Govt. of NCT of Delhi. A total of three percent seats over and above the sanctioned strength will be reserved for physically handicapped applicants in all the Ph.D. programmes of the University put together.

R.2.2 Physically handicapped applicants may be permitted 5% marks or equivalent CGPA relaxation in eligibility requirement in line with the policies of Govt. of NCT of Delhi. They will not be allowed any other relaxation beyond this limit even if they belong to SC/ST category.

### R.3 SELECTION PROCEDURE and TIME of ADMISSION

- R.3.1(a) The short listing of applications for the purpose of screening test & interview will be done by the respective departments in consultation with the Ph.D. Coordinator nominated by the Vice-Chancellor.
- (b) The paper setting and printing (if required) shall be coordinated by a person authorized by the Vice Chancellor.
- (c) Screening test shall be waived only for UGC/CSIR/DST/JRF Fellowship holders, foreign students who apply through MHRD, foreign students under cultural exchange scholarship programme (ICCR), Govt. of India.
- (d) The screening test shall be conducted by Ph.D. Coordinator. The DRC of the concerned department shall decide the cut off for the screening test for short listing the candidates for the interview in consultation with Dean PG.
- (e) The interview shall be conducted by a committee comprising of a Chairperson as nominated by the Vice-Chancellor, Dean PG and Ph.D. Coordinator as common members along with the members of respective DRCs.
- (f) Admissions may be made in each semester and, accordingly, registration may be made at the beginning of each semester.

### R.4 CLASSIFICATIONS

R.4.1 The applicants for admission to the Ph.D. programme shall be classified under any one of the following categories:

- (a) University Research student/candidate (Full Time with or without scholarship)
- (b) Sponsored Research student/candidate fully financed by the Govt./Semi- Government Organizations like CSIR, UGC, Research Schemes, Govt./Privately funded Research/Development Organisation, Public Sector Undertaking, Educational Institution or a reputed industry etc. (Full-time).
- (c) Sponsored Research student/candidate nominated by organization having MOU with the University, foreign students who apply through Ministry of Human Resource Development or under a Cultural Exchange Scholarship Programme by Government of India (Full-time).
- (d) Part-Time Research student/candidate.

## R.5 REGISTRATION

R.5.1 Every student/candidate will be required to renew the registration every semester till the submission of the thesis. The renewal of registration in every semester shall be subject to completion of specified number of credits/courses and/or satisfactory progress in his research work as recommended by Department Research Committee.

R.5.2 A student/candidate who fails to register or renew his registration, as the case may be, will cease to be a student/candidate from the last date of registration.

## R.6 COURSE WORK: Credits requirements, number, duration, syllabus, minimum standards for completion.

R.6.1 Each student will be required to take course work as prescribed by his supervisor in consultation with HOD and approved by Dean-PG. The courses prescribed must be approved by Academic Council.

R.6.2 The credit assigned to Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits, or as per UGC/AICTE guidelines from time to time. A student having M.Tech degree/MBA or Master degree in Science/Humanities with M.Phil degree shall be required to complete a minimum of 8 credits, a student having M.A./M.Sc. degree shall be required to complete a minimum of 12 credits and a students having B.Tech degree shall be required to complete a minimum of 16 credits.

R.6.3 The course work shall be treated as prerequisite for Ph.D. program. A minimum of 4 credits shall be assigned to one or more courses on Research Methodology which would cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work etc. Other courses shall be advanced level courses preparing the students for PhD degree.

R.6.4 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content instructional and assessment methods duly approved by the Academic Council.

R.6.5 All candidates admitted to Ph.D. programmes shall be required to complete the course work prescribed by the department within the first three semesters.

R.6.6 A requirement of minimum "B" Grade in each course registered would be mandatory for admission to the candidacy of Ph.D. Degree. If the Grade obtained by a student in a course is less than B then he has to repeat that course or to take up additional course to obtain minimum B Grade. However he will have to complete

the course work within three semesters, otherwise registration will be terminated.

R.6.7 In case of re-registration for Ph.D. program, the Academic Council may consider giving credit to the courses already completed/passed by a candidate at this University as a part of his any earlier PhD registration, except in cases where the candidate has changed his area of research/ department.

## R.7 THESIS SUPERVISOR(S)

R.7.1 Every admitted student shall be assigned a Research Supervisor(s) by the Dean PG based on the recommendations of concerned DRC and taking into consideration the preference of the student and area of the research the student has applied for and of the prospective supervisor. The allocation of supervisor shall not be decided by an individual student or faculty member. However, if the student has some published research work with a particular faculty member and the student wishes to continue in the same research area under supervision of same faculty member, the particular faculty member in this case may be allocated as supervisor to the student, subject to condition that total number of students/candidates registered, including full time and part time, under a supervisor do not exceed eight for a Professor, six for Associate Professor, and four for Assistant Professor. A candidate registered under joint supervisor will be counted as half. For this purpose, *Form-A* will be submitted at the time of students' admission in the first semester.

R.7.2 A Supervisor shall be any full-time academic staff of the University (*including the academic staff of erstwhile Delhi College of Engineering*) including Scientific/Design staff of the University with a PhD degree. No person who himself is registered for Ph.D. degree at this University or any other Institution, would qualify to act as supervisor. The mandatory eligibility conditions for supervisor:

- (a) a valid Ph.D. degree from a recognized University/Institution.
- (b) actively engaged in research and has published at least five research papers in refereed national/international journal of the concerned subject area.
- (c) less than eight ( for Professor), or six (for Associate Professor) or four (for Assistant Professor) registered research students/candidates in the University. A candidate registered under joint supervisor will be counted as half for this purpose.
- (d) All eligible faculty members of DTU shall get one additional supernumerary Ph.D. seat for foreign student. However, if they want to take/guide more than one student, then such additional student(s) will be considered under the existing prescribed quota.

R.7.3 The Supervisor(s) shall be appointed during the first semester.



R.7.4 The Dean-PG, on the recommendations of the DRC, may appoint joint Supervisor(s) not exceeding a total of three supervisors to supervise a student/candidate. These may be from inside or outside the University and normally, there should not be more than two supervisors from within the University. The eligibility for appointment of joint supervisor(s) shall also meet the mandatory requirement listed in R.7.2(a)-(c). Appointment of any joint supervisor(s) would not be made after a lapse of 18 calendar months from the date of initial registration of the student/candidate except when none of the supervisors is in the University for a period of a year or more at a stretch.

R.7.5 Appointment of Supervisors/Joint-Supervisors and Caretaker-Supervisor for Ph.D. students: An academic staff appointed as a Ph.D. supervisor is normally expected to be available to a research scholar in the University till the oral defence of his doctoral thesis work. However, under unavoidable circumstances, such as: long leave of more than 12 months; resignation; retirement; or death; a supervisor may not be available to the scholar. In such special cases, appointment of supervisor(s) will be regulated as under:

**I. A supervisor proceeding on leave or on lien of more than 12 months**

- (a) (i) Where joint-supervisor exists, the supervisor proceeding on long leave for more than 12 months can continue to be a Joint-supervisor provided the DRC is convinced of effective supervision by the Joint-Supervisor.
- (ii) Where a Joint-Supervisor does not exist, a Joint-Supervisor may be appointed by the DRC in cases where a student has not yet submitted his synopsis.
- (b) (i) If the synopsis of the thesis has been submitted before the supervisor proceeds on leave, he will continue to be the supervisor and only a caretaker supervisor will be appointed.
- (ii) The thesis has been submitted before the supervisor proceeds on leave, he will continue to be the supervisor and only a caretaker supervisor will be appointed.
- (iii) Further, if a major revision becomes necessary, and the sole supervisor is on leave, he should be asked to specifically state whether he would effectively help the student carrying out the major revisions within a reasonable time. In case the sole supervisor expresses his inability due to one reason or the other, the caretaker supervisor, if he provides the required help in carrying out the major revision, will automatically be treated as Joint-Supervisor of that candidate.

(c) Further, if a supervisor proceeds on leave for a period less than 12 months initially, but later extends his leave beyond 12 months, the above procedure will be followed.

## **II. A Supervisor retires**

A faculty member who is due to retire within the next two years can be appointed only as a Joint-Supervisor and can continue to be the Joint-Supervisor even after his retirement provided the DRC is convinced of his availability/continued guidance to the student.

In other cases, a faculty member on retirement may continue as-

- (a) a Supervisor, if his term is extended or he is reemployed or appointed or he is appointed as Emeritus Fellow/ Adjunct Professor/Honorary Professor;
- (b) a Supervisor, if the synopsis of the thesis or thesis has been submitted. Appointment of Joint Supervisor, if necessary, will be as per R.7.5 I(a); and caretaker Supervisor as per R.7.5 I(b).
- (c) a Supervisor, if the synopsis of the thesis or thesis is submitted within 12 months of his retirement. Appointment of Joint Supervisor, if necessary, will be as per R.7.5 I(a); and caretaker Supervisor as per R.7.5 I(b).

## **III. A Supervisor resigns**

A faculty member who resigns from the services of the University may continue as

- (a) a Supervisor, if the synopsis of the thesis or thesis has been submitted. Appointment of Joint Supervisor, if necessary, will be as per R.7.5 I(a); and caretaker Supervisor as per R.7.5 I(b).
- (b) a Supervisor, if the synopsis of the thesis or thesis is submitted within 12 months of his resignation. Appointment of Joint Supervisor, if necessary, will be as per R.7.5 I(a); and caretaker Supervisor as per R.7.5 I(b).
- (c) a Joint Supervisor and can continue to be the Joint-Supervisor till the DRC is convinced of his availability/continued guidance to the student.

In other cases, a new Supervisor will be appointed, if necessary, as per R.7.5 I(a); and caretaker Supervisor as per R.7.5 I(b).

## **IV. A Supervisor expires**

A new supervisor will be appointed, if necessary, on the recommendation of DRC.

## **R.8 COMPOSITION OF DRC and SRC**

R.8.1 The minimum number in any DRC will be five, including at least two academic staff at the level of professors. In case any department fails to have the required number, or the number of professors is less than

two, a joint DRC shall be constituted by the Vice-Chancellor with other department having closest affiliation. The members of the DRC shall satisfy the eligibility requirements in R7.2 and the composition of the DRC will be as follows:

- a. **Chairperson DRC (will be appointed by the Vice Chancellor).**
- b. Head of the concerned Department (if he is not the DRC Chairperson).
- c. Professors of the concerned Department(s) maximum up to four, appointed by Vice Chancellor for tenure of two years in rotation.
- d. Two Associate Professors of the Department(s) appointed by Vice Chancellor for tenure of two years on rotation.
- e. Two Assistant Professors of the Department(s) appointed by Vice Chancellor for tenure of two years on rotation.
- f. Two outside experts nominated by Vice Chancellor in consultation with the Dean PG from the panel suggested by the concerned HOD(s).
- g. Supervisor(s) only in the cases where the progress report of the concerned candidates shall be discussed.

R.8.2 The Composition of SRC will be as follows:

- a. Chairperson DRC or his nominee.
- b. Head of Department (if he is not Chairperson DRC)
- c. Two outside experts nominated by Vice Chancellor in consultation with the Dean PG from the panel recommended by DRC of the concerned department.
- d. One University faculty expert preferably in the concerned area, from within the Department appointed by Vice Chancellor in consultation with the Dean PG.
- e. One University faculty expert from outside the Department appointed by Vice Chancellor in consultation with the Dean PG. f. Supervisor(s)

R.8.3 Activities of DRC and SRC

DRC of the department(s) shall extend support to Dean PG in activities related to admissions, appointment of supervisor(s), prescribing the area of research, recommendations for members of SRC, recommendation of a panel of experts to Vice Chancellor through Dean PG, act on any other activity not assigned to SRC, assign other activities to SRC for monitoring the progress of the research scholar(s)/ student(s).

SRC of the Ph.D. student/scholar shall conduct Comprehensive Examination, examine/modify/ fine tune and approve the Research Plan, monitor the progress of the Ph.D. student/scholar in each semester, submit the observation on progress report to DRC chairperson in each semester, conduct Pre Ph.D. Seminar, recommend a panel of inland and foreign examiners for the student to Dean PG for appointment of examiners by Vice Chancellor.

## R.9 COMPREHENSIVE EXAMINATION

R.9.1 Each student will be required to take a comprehensive examination which will test students' comprehension of his broad field of research and his academic preparation and potential to carry out the proposed research plan. The comprehensive examination (of 100 marks) will be a combination of written (60 marks) and oral examination (40 marks) and will be conducted before evaluation of the research proposal. The examination will be conducted by the SRC. The question paper for the written examination may be set by one or more of the members of the SRC.

The following procedures will be uniformly followed by all the Departments in conducting the comprehensive examination for research students:

- (a) A student should first clear the requisite PhD course work.
- (b) The written examination should then be conducted by the SRC of the student within the guidelines laid down by respective DRC.
- (c) After the student has passed the written examination (36 marks out of 60 marks), the oral examination should be conducted by the SRC of the student.
- (e) A student is required to score minimum of 60% marks in comprehensive examination (individually in written and oral) to become eligible for presenting his research before SRC.

R.9.2 The SRC on the basis of the performance of the student in the examination will make one of the following recommendations:

- (a) (i) Passed
- (ii) To reappear in the examination after a defined period of time specified by SRC.
- (iii) Failed
- (b) Research Plan
  - (i) Recommended for Approval
  - (ii) Not Recommended for Approval and to re-submit the research plan keeping in view suggestions of the Committee and to be evaluated after a defined period of time.

R.9.3 A student will be provided a maximum of two attempts, with a minimum gap of two months, to pass the comprehensive examination.

R.9.4 Students must complete the comprehensive examination and approval of their research plans within two years for full time, and two and half years for part time, from the date of joining the programme, failing which their registration will be cancelled.

#### R.10. ELIGIBILITY FOR THE CANDIDACY FOR THE DEGREE

R.10.1 Application for the candidacy for the Ph.D. Degree shall be made by the student to the DEAN-PG on the **Form B** duly approved by the SRC soon after having passed the comprehensive examination and approval of research plan.

R.10.2 **The Ph.D. candidacy of the student will be confirmed** after he has complied with the following:

- (a) has completed his course work with a minimum of B Grade in each course registered;
- (b) has passed the comprehensive examination; and
- (c) has submitted a research plan duly recommended by SRC and approved by DRC.

#### R.11 PERFORMANCE MONITORING

R.11.1 The academic/research progress of each student/candidate will be monitored either by SRC or by its sub-committee. For this purpose, each candidate will be asked to submit a progress report at the end of each semester to his supervisor(s). On receipt of the progress report, the supervisor(s) shall arrange with SRC or its sub-committee for a review.

R.11.2 The progress report of a candidate will be submitted to DRC Chairperson by the concerned supervisor through the HOD and duly recommended by SRC or its sub committee.

R.11.3 The DRC will evaluate the progress report of the candidate every semester.

R.11.4 A satisfactory report is to be awarded during that semester if the progress is 'satisfactory'.

R.11.5 If the progress is 'unsatisfactory', the report must indicate 'Unsatisfactory Progress' and must include appropriate action taken in this regard. For the first appearance of 'Unsatisfactory Progress' report, a warning would be issued to the candidate by the DRC Chairperson under intimation to Dean (PG). If there are two consecutive 'Unsatisfactory Progress' reports, a written explanation will be sought from the student by DRC Chairperson through his supervisor and the registration may be terminated.

R.11.6 Submission of progress report should continue till submission of thesis.

R.11.7 The DRC shall send copy of the progress reports to Dean PG for all the candidates.

R.11.8 The academic calendar will include the following dates for the submission of progress reports.

For Odd semester: 30<sup>th</sup> November

For Even semester: 31<sup>st</sup> May

In exceptional cases Dean PG with the approval of the Vice Chancellor may condone the delay in submission of the progress report up to one month.

## R.12 TIME PERIOD REQUIREMENT FOR SYNOPSIS/THESIS SUBMISSION

R.12.1 **The minimum period required for holding a Pre- Ph.D. Seminar and synopsis submission** is two calendar years (24 months) from the date of his successful completion of comprehensive examination and acceptance of Research Plan **i.e. from the date on which the Ph.D. candidacy of the student is confirmed.**

R.12.2 The candidates of all categories shall normally submit their thesis within a period of four years, from the date of their admission in the Ph.D. Programme. However, as a special case, this limit may be extended to maximum up to seven years by the Vice Chancellor on the recommendation of SRC through DRC and Dean-PG after which the registration shall stand cancelled automatically.

## R.13 SYNOPSIS

R.13.1 Holding of Pre-Ph.D. **open** seminar before the SRC and DRC is an essential requirement prior to the Ph.D. candidate submits his synopsis, **provided that the candidate has published/accepted for publication, minimum two research papers as prescribed in regulation R 15.2 (iii).** The candidate shall submit to DRC through supervisor(s), **8 copies of the synopsis.** After the approval of synopsis by DRC, the DRC Chairperson will forward the synopsis with its recommendations to the Dean-PG. A panel of atleast ten experts in the area would be suggested by the Supervisor(s) and recommended by DRC while forwarding the title and synopsis of the thesis. The panel so recommended would include atleast five examiners from outside India.

R.13.2 The candidate shall be required to submit fresh synopsis if he fails to submit his thesis within 6 months of the submission of the earlier synopsis. However, in case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the Dean-PG, may, on recommendations made by the DRC and on individual merits of each case, grant him extension in time by not more than 04 months i.e. the candidate may be allowed to submit his thesis within a period not exceeding 10 months from the date of the submission of the synopsis. After expiry of 10 months fresh synopsis will be submitted and again Pre-Ph.D. seminar will be conducted.

#### **R.14 PANEL OF EXAMINERS**

On receipt of the title synopsis of the thesis and panel of examiners from DRC, the Dean PG will recommend the same to the Vice Chancellor who in turn shall appoint the examiners for the Ph.D. thesis. The Vice Chancellor in consultation with Dean PG can add any other examiner, in addition to the panel recommended by SRC. The examiners will consist of internal examiners, normally the Supervisor(s), and two external examiners; one from within India and the other from abroad who shall be experts in the subject of the thesis. A person working in the same laboratory/Institution where research scholar is employed cannot be appointed as external examiner for evaluating the thesis of that research scholar. Further no person can be appointed as external examiner from laboratory/Institution to which the joint supervisor(s) of the research scholar belongs. The reports from the examiners will provide evidence of the candidate's capacity for analysis as well as his investigations, design or development. No member of SRC/DRC can be an examiner.

#### **R. 15 THESIS SUBMISSION**

R.15.1 The thesis shall 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 or fresh approach towards interpretation of facts and theories or significant original contribution to knowledge of development or a combination of these. It should bear evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. A thesis may be supplemented by published work, if necessary. No part of the thesis or supplementary published work shall be submitted for the award of any other degree. A certificate to this effect should be provided by the Candidate and his Supervisor(s).

R.15.2 A candidate may submit his thesis within the time period as stipulated in R.12.2 provided that:

- (i) he has completed the minimum period of registration as provided in R.12.1. and,
- (ii) he has become a candidate for the award of Ph.D. degree as provided in R.10.3 and,
- (iii) he has published minimum two research papers in **SCI/SCI expanded/SSCI** Indexed Journals or has produced the evidence in the form of acceptance letter. Only those publications will be counted toward the minimum condition, where the sole authors of the papers are the candidate/ or candidate and supervisor(s) both. For those departments which do not have sufficient number of journals which are **SCI/SCI expanded/SSCI** indexed, department will prepare and publish a list of journals of high repute for the aforesaid mandatory requirements of two research papers. The list will be recommended by the DRC at the beginning of every academic year for the approval of the Vice Chancellor.
- (iv) he has successfully defended his research work in a pre-Ph.D. seminar open to all faculty members and research students, and suitably incorporated the suggestions made, and
- (v) he has obtained recommendations of the SRC for submission of thesis, and
- (vi) he has submitted the title and synopsis of the thesis at least one month prior to the submission of the thesis.

R.15.3 The candidate for the degree shall submit five copies of the thesis with a soft cover for evaluation. In case of joint supervision six/seven copies of thesis shall be submitted by the candidate.

## R.16 THESIS EVALUATION

R.16.1 Each examiner will be requested to submit to the Dean-PG a detailed assessment report and his recommendations on the prescribed performa within six weeks of the date of receiving the thesis. A clear mandate regarding (i) discovery of new facts, (ii) a fresh approach towards interpretation of facts or theories, or (iii) a distinct advancement in the subject will be solicited from the examiner.

R.16.2 In the event that the thesis report is not received from an examiner within a period of three months, the Vice-Chancellor may appoint another examiner (Inland/Abroad) from the panel of examiners (as in R.14) in his place for evaluating the thesis.

R.16.3 In the event of disagreement between the external examiners the matter may be referred to the Vice Chancellor. The Vice-Chancellor as a special case, may appoint another external examiner



(Inland/Abroad), if the merit of the case so demands. The report of the so appointed examiner shall be final.

R.16.4 In the event of the candidate being required to submit a revised thesis, he shall in the normal circumstances, re-submit the same after incorporating the revision prescribed, within a period of six months from date of communication in this regard from the Dean PG. However, in exceptional circumstances this period may be extended by the Vice-Chancellor by another six month, the total revisions will not exceed a period of one year. The thesis once submitted cannot be re-submitted unless otherwise the examiner has prescribed the major revision.

## R.17 AWARD OF Ph.D. DEGREE

R.17.1 On receipt of satisfactory evaluation report by the examiners the Dean-PG in consultation with the DRC Chairperson will finalize the date of viva-voce which shall be openly defended. One of the examiner appointed as in R.14 shall conduct the viva-voce along with supervisor(s), HOD and DRC Chairperson, and shall recommend to the Dean-PG, one of the following courses of action:

- (a) that the degree be awarded;
- (b) that the candidate be re-examined at a later specified time in a specified manner;
- (c) that the degree shall not be awarded;

In case of (a) and (b), the examiners shall also provide to the candidate a list of all corrections and modifications in the thesis (if required) including suggestions made by the examiners during the thesis evaluation. Final copy of the thesis will be submitted through DRC Chairperson.

R.17.2 The Degree shall be awarded by the University, provided that :

- (a) the examiners appointed for viva-voce as in R.17.1(a) so recommends;
- (b) the candidate produces a 'No Dues Certificate' in the prescribed form, and
- (c) the candidate has submitted two hard cover copies of the thesis; one for the department's library and one for the Central Library after incorporation of all necessary/corrections/modifications.
- (d) the candidate has submitted one copy of the thesis in soft form written on CD/DVD or other media after incorporation of all necessary/ corrections/ modifications.
- (d) the hard bound copies of the Ph.D. thesis, submitted after the viva-voce examination, must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

## **R.18 FINANCIAL ASSISTANCE**

- R.18.1 The number of University Research fellowship/University Teaching cum Research fellowship instituted by University will be decided by the Board of Management of the University. These fellowship shall be distributed in each department by Dean PG in consultation with the Vice Chancellor.
- R.18.2 Subject to availability of fellowships, the Ph.D. candidates, who are admitted as full time research scholar through entrance test and interview and selected against available slots of fellowship in the department may be provided with University Research fellowship/University Teaching cum Research fellowship of amount and duration as decided by the University from time to time. In addition to the University Research fellowship/University Teaching cum Research fellowship, such candidate shall also be entitled for contingency grant as decided by the University. The award of fellowship shall be reviewed every semester based on the performance report provided by respective DRC.
- R.18.3 The Teaching cum Research Assistantship will be available to the eligible students at least with two years of experience in regular capacity in teaching or research institution. The selection of the students with Research Assistantship and with Teaching cum Research Assistantship shall be done separately.
- R.18.4 The maximum duration for which university fellowship can be awarded as per university norms as applicable from time to time or till the thesis is submitted whichever is earlier. Continuation of the fellowship is subject to satisfactory academic performance and satisfactory performance in the discharge of responsibilities assigned under the scheme.

It is to be noted that admission to the programmes and award of assistantship are not linked. Admission to any programme does not guarantee the award of assistantship. Those who are not awarded assistantship can continue with the programme as self- financing student.

## **R.19 TUITION FEE**

Tuition fees will be decided by University and shall be notified by the University on yearly basis. Unless stated full fee shall be charged from student/candidate on annual basis till the candidate submits his thesis for evaluation as per R.15.

Following categories of research scholars are eligible for tuition fee waivers as specified below:

- (i) The academic staff of the Delhi Technological University (including the academic staff of erstwhile Delhi College of Engineering) – Full waiver.
- (ii) Project staff pursuing PhD, as in R.1.4 at the University – Half waiver.

## R.20 LEAVE & ATTENDANCE

A student/candidate will be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Academic Council.

### R.20.1 LEAVE

A full-time PhD student during his stay at the University will be entitled to avail leave for 30 days including leave on medical grounds per calendar year. This leave can be granted by HOD on the recommendations of supervisor. He will not be entitled to summer and winter vacation.

Leave beyond 30 days in a calendar year may be granted by Dean PG, in exceptional cases, duly recommended by the supervisor and the HOD concerned subject to the following conditions:

- (i) the leave beyond 30 days will be without Assistantship/Scholarship; and
- (ii) he/she will have to complete attendance requirement as per rule for the course work.
- (iii) a proper leave account of each scholar shall be maintained by the Department concerned.

The research scholars will be eligible for Paternity/Maternity Leave with Assistantship as per rules and regulations prescribed by Government of NCT of Delhi.

### R.20.2 ATTENDANCE

A Ph.D. student irrespective of the source of research assistantship including self financing, student/candidate not drawing any Assistantship and sponsored student/candidate, while pursuing course work, must attend at least 75% of classes in each course in which he is registered. In case his attendance falls below 75% in any course during a month he will not be paid Assistantship for that month.

## **R.21 WITHDRAWAL FROM SEMESTER/COURSES**

R.21.1 A student/candidate may be permitted to withdraw by the Dean PG, on the recommendations of concerned DRC, from all the courses registered by him or the entire semester, on medical grounds supported by a medical certificate from the Medical Officer of a Govt. hospital. Withdrawal may also be granted by the Dean PG on the recommendation of respective HOD provided he is convinced that the scholar cannot pursue his studies for the reasons beyond his control.

R.21.2 Under no circumstances will a request for withdrawal is considered after the end-semester tests have begun. Student/Candidate should present the medical certificate in support of his absence on health reasons within two days of his rejoining the University, if not produced already. Withdrawal will not be granted retrospectively.

R.21.3 Any semester withdrawal will count towards the maximum limit of seven years as stipulated in R.12.2.

## **R.22 CANCELLATION OF REGISTRATION**

R.22.1 Registration of a student/candidate shall be cancelled in any one of the following eventualities, after due approval of the Vice-Chancellor:

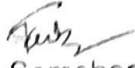
- (i) if he absents himself for a continuous period of four weeks without prior intimation/sanction of leave.
- (ii) if he resigns from the Ph.D. Programme and the resignation is duly recommended by the DRC.
- (iii) if he fails to renew his registration in any semester subject to the provisions contained in these Ordinances & Regulations.
- (iv) if he fails to clear mandatory course work requirement with a minimum of B Grade in all the courses registered for course work.
- (v) if he does not clear the comprehensive examination as stipulated in R.9.
- (vi) if his academic progress is found unsatisfactory in terms of R.11.6.
- (vii) if he is found involved in an act of misconduct and/or indiscipline and termination is recommended by a competent authority.

## **R.23 GENERAL**

Notwithstanding anything contained in these Ordinances & Regulations, all categories of the students/candidates shall be governed by the rules and procedures framed by the Board of Management of the University in this behalf, and in force from time to time.

## R.24 INTERPRETATION

Any doubt or dispute arising about the interpretation of these Ordinances and Regulations shall be referred to the Vice Chancellor whose decision shall be final.

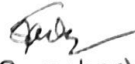
  
(Prof. Samsher)  
Registrar

F.DTU/Council/BOM-AC/Notification/31/2018/395/

Dated : 19/11/19

Copy to:

1. PA to V.C. for kind information of the Vice Chancellor
2. PA to Pro V.C. for kind information of Pro V.C.
3. Registrar
4. All Deans & HODs
5. Controller of Examinations
6. Associate Dean (Academic-PG)
7. Head, Computer Centre (with a request to upload the same)
8. Guard file

  
(Prof. Samsher)  
Registrar