

RAJASTHAN TECHNICAL UNIVERSITY

KOTA



REGULATIONS

**DEGREE
OF
DOCTOR OF PHILOSOPHY**

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REGULATIONS

The following Regulations shall apply to all categories of research scholars pursuing courses of study and research leading to the Doctor of Philosophy degree:

DEFINITIONS

Note: 'He' and 'His' imply 'he'/'she' and 'his'/'her', respectively here in after.

- i. **"Applicant"** shall mean an individual who applies for admission to the PhD programme of the Rajasthan Technical University, Kota on a prescribed Application Form.
- ii. **"Caretaker Supervisor"** shall mean a member of the academic staff appointed to look after the research scholar's research interests in the absence of the Supervisor and after the submission of the thesis.
- iii. **"Co-supervisor"** shall mean an additional supervisor approved by the Department Research Committee to help in the accomplishment of the research work of the research scholar.
- iv. **"Course Advisor"** shall mean a faculty member nominated by the Department/Research Centre to chalk-out the programme of study of a student registered for the PhD and to advise him on the courses to be taken by him. If a supervisor(s) has already been appointed, he shall be the Course Advisor for that student.
- v. **"Course Work"** shall mean courses of study prescribed in the Department/Research Centre through the Course Advisor to be undertaken by a student registered for the PhD degree.
- vi. **"Dean (Research)"** shall mean the Dean (Research) to be appointed by the Vice Chancellor. All the matters related to PhD degree shall be routed through Dean (Research).



- vii. **“Degree”** shall mean the Degree of Doctor of Philosophy (PhD) of the Rajasthan Technical University, Kota.
- viii. **“DRC”** shall mean Department Research Committee.
- ix. **“Educational Institution”** shall mean those colleges which offer Bachelor’s or higher degree.
- x. **“Full-time Research Scholar”** shall mean a person registered for the PhD degree devoting full time for completing the degree requirements.
- xi. **“Minimum Registration Period”** shall mean the minimum period for which a research scholar must be registered, prior to submission of the thesis.
- xii. **“ODEC”** shall mean Oral Defence Evaluation Committee.
- xiii. **“Part time Research Scholar”** a person who is registered for the PhD degree and will devote part of his time towards this pursuit and devote part of time towards the discharge of his official obligations.
- xiv. **“RTU”** shall mean Rajasthan Technical University, Kota.
- xv. **“Registration Period”** shall mean the length of time span commencing with the date of initial registration at the University/Research Centre on full-time basis.
- xvi. **“Research Board”** shall mean the Research Board of each faculty of the Rajasthan Technical University, Kota.
- xvii. **“Research Centre”** shall mean Research Centre approved/recognized by the University, where research work is permitted to be pursued.
- xviii. **“Research Scholar”** shall mean a person registered for the PhD degree programme.



- xix. **“Residential Requirement”** shall mean the minimum period for which a Research scholar must attend the University/Research Centre on full time basis.
- xx. **“Sponsored Research Scholar”** shall mean a full time research scholar except that he receives complete financial support from the sponsoring organization his employer.
- xxi. **“Supervisor”** shall mean a faculty member of the University/Affiliated Institute/ College or any other person approved by the Research Board on the recommendation of Department Research Committee to supervise the research work of a research scholar.
- xxii. **“University”** shall mean the Rajasthan Technical University, Kota.

R.1 CLASSIFICATIONS

The Full time research scholar and Part time research scholar shall be further categorized as under on the recommendation of DRC:

R.1.1 Full time Research Scholar

a) With Fellowship

This include research scholar getting the University fellowship/ assistantship and research scholar who receive their fellowship and contingency grants from supporting organizations such as Council for Scientific and Industrial Research (CSIR), University Grants Commission (UGC), Quality Improvement Programme (QIP), Department of Atomic Energy (DAE), Department of Science and Technology (DST), Department of Biotechnology (DBT), Indian Council of Medical Research (ICMR), DRDO, AICTE, ICCR and other similar organizations.

b) Sponsored

An employee of a Public Sector Undertaking, a Government Department, a Research & Development organization, or an Educational Institution, or a private industry (approved by the concerned Faculty) with a minimum relevant working experience of two years or a Defence Officer may be considered for admission as a sponsored full-time research scholar. Sponsored applicants shall be eligible for admission provided that they are treated by their employers as on duty with their normal salary and allowances and are fully relieved for the period of study. He shall produce sponsorship certificate from the parent organization along with the application for admission.

c) Self Financed

This category refers to persons who are relieved from governmental or educational institutions on study leave for a period of not less than two years for pursuing PhD programme.

d) Self - Financed (Foreign)

These students are admitted through Embassy/High Commission of the respective Government after getting approval from the Ministry of External affairs and No Objection Certificate (NOC) from the Ministry of Human Resources Development, Department of Education (Government of India) or admitted under an Memorandum of Understanding (MOU).



R.1.2 Part-time Research Scholar

a) University Faculty/ Staff

This category refers to persons who are employees of the University with more than three years of service and are admitted to the PhD programme. They are expected to work for their PhD programme after fulfilling their normal duties. A faculty member/staff who has opted for supervisor(s) outside his department shall have to register in the main supervisor's department.

b) Project Staff

This category refers to persons working on different research projects at University. They may be admitted to the PhD programme subject to the consent of the Principal Investigator/Coordinator of the project. They are expected to work for their PhD programme after fulfilling their normal duties.

c) Self-Finance

An employee of a Public Sector Undertaking, a Government Department, a Research & Development organization, a private industry (approved by the concerned DRC), an educational institution or a defence organization with a minimum relevant working experience of three years may be considered for admission as a part-time research scholar.

R.2 ELIGIBILITY FOR UNIVERSITY FELLOWSHIPS

R.2.1 The University fellowship shall be admissible to full-time Research scholars (Indian nationals only) provided they are not receiving financial assistance from any agency. Fellowship

awardees shall not be permitted to undertake any employment during that period. A separate office order shall be issued by the Registrar of the University about scholarship grant admissible after due approval from the competent bodies from time to time. In addition, the students are given contingency grant in accordance with the rules of the University.


R.2.2 The fellowship/contingency shall be granted initially for three years and it can be extended for subsequent years subject to the satisfactory performance of the student evaluated by Annual Progress Review Committee (*APRC*). The *APRC* shall submit its recommendation to the concerned DRC for consideration of such extension. The fellowship shall be given for maximum duration of five years or up to the thesis submission whichever is earlier.

R.2.3 The University reserves the right to terminate the fellowship/contingency of any research scholar at any stage, if the progress of research work is not satisfactory.

R.2.4 The research scholar getting University fellowship shall be required to give four hours of teaching assistance per week or as modified from time to time by the University.

R.3 RESEARCH SUPERVISOR

R.3.1 In case a research supervisor is transferred to a college outside the jurisdiction of the University, registration of such research supervisor in this University shall remain under suspension for fresh registration of research scholars till he is re-transferred in the college under jurisdiction of this University. However, the supervisor concerned shall continue to supervise the already



registered research scholars. On retransfer the provision of suspension shall be re-invoked.

R.3.2 No research scholar shall be allowed to register independently under a teacher two years prior to his superannuation. The research scholars who are registered with him prior to superannuation shall continue. No retired teachers of any University or affiliated college shall be allowed to register a research scholar independently.

However, Professor Emeritus or a retired teacher having major research projects from national funding agencies shall be allowed to register three research scholars as a whole. The member of the existing teaching faculty shall be the co-supervisor in such cases.

R.3.3 Limit for supervising Research Scholars by Supervisors

The maximum limit for supervising PhD students at a time shall be as follows:

Professor:	4
Associate Professor:	3
Assistant Professor:	2

A research scholar if supervised by two or more than two supervisors shall be counted as 0.5 for each supervisor.

However, before deciding the number of students for each category of faculty, the DRC shall take into consideration the availability of infrastructure and the teaching commitments of the supervisor. The maximum number of research scholars

permitted as above may be revised by the University as and when such recommendations are made by the Academic Council

R.4 ADMISSION PROCEDURE TO THE PhD PROGRAMME

R.4.1 Notification and Procedures for PhD admission

Applications for admission to the PhD programme shall be invited once in an academic year. All applicants seeking admission to a PhD programme through RTU Doctoral Admission Test (RTU-DAT) shall have to apply in prescribed application form.

a) RTU-DAT shall be held separately for each specialization for admission to a PhD programme under the department on a notified date as far as possible in the beginning of the academic session. All those desirous of seeking admission to PhD programme shall accordingly apply for the Entrance Test along with the prescribed fee for this.

b) RTU-DAT for a department shall consist of two papers of total ~~300~~⁴⁰⁰ marks. Paper I shall be held in the FIRST session carrying ~~100~~²⁰⁰ marks and Paper II shall be held in the SECOND session carrying 200 marks. Paper I shall be common to all the applicants appearing for RTU-DAT for a particular department whereas Paper II shall be separate for each ^{branch} specialization. There shall be 100 objective type questions in Paper I. All questions shall be of ~~one~~^{two} mark each. Paper II shall be in two parts. Part A shall consist of twenty five objective type questions of two marks each. Part B of paper II shall consist of nine short answer type questions of 100 words carrying 10 marks each and three

and shall be based on Research methodology

descriptive/numerical questions of 20 marks each with internal choice. Paper I shall be of the duration of one & half hour in the first session and paper II shall be of three hours durations in the second session.

- c) The Vice Chancellor on the recommendation of Dean (Research) shall constitute a separate committee for conducting the RTU-DAT which shall be responsible for conducting the entrance test.
- d) RTU-DAT shall be based on the syllabi notified by the University. Latest syllabus duly approved by the Academic Council shall be applicable for RTU-DAT.
- e) The Chairperson of DRC shall get a prescribed form filled by each supervisor to get information on number of students registered, broad area of research, brief summary of research activities, research facilities available and research areas for the prospective PhD, the number of students he is willing to accommodate in this particular academic session. DRC Chairperson shall submit the information to Dean (Research) for uploading on the University website.
- f) Chairperson of DRC shall inform about the number of available vacancies in their discipline to Convener of RTU-DAT for subsequent notification. In each academic session vacancies for admission in a PhD programme shall be duly notified by the University.
- g) Looking to the availability of seats in the respective departments/research centers, admissions to a PhD programme shall be made on the basis of merit of applicant in the RTU-DAT.

- h) Provisions of reservations as in force in the University, shall also apply to the PhD programme.
- i) Convener of RTU-DAT shall announce the merit list of qualified applicants.
- j) On a notified date the DRC shall interview all the qualified applicants in the order of merit. The applicants shall be allotted the supervisor(s) on the basis of specialization of supervisor, interest area of the applicant and mutual consent of the both, till all the vacancies are filled. The DRC shall invite all the eligible supervisors of relevant area in the interview.
- k) The DRC shall verify documents and eligibility of the applicant and shall submit the final list of selected applicants to Dean (Research) for approval of Research Board.
- l) The Dean (Research) shall notify the approved list for registration of the selected applicants as research scholar in the University/Research Centre.

R.5 RENEWAL OF REGISTRATION

Every research scholar shall be required to renew the registration every semester till the submission of the thesis. The renewal of registration every semester shall be subject to the satisfactory progress in his research work as recommended by DRC.

R.6 COURSE WORK

R.6.1 Every research scholar having been admitted to a PhD programme shall be required to undertake and successfully complete the prescribed course-work of one semester duration. The course work shall include minimum four papers of three



hours per week. The course work shall be treated as pre-PhD preparations.

- R.6.2** The first paper shall be on Research Methodology, which may include quantitative methods, research aptitude, computer applications as suitable to the PhD programme
- R.6.3** The second and third paper as per requirement of the area of research and the same shall be designed/ proposed by the supervisor and approved by DRC.
- R.6.4** Each course work shall be of 100 marks, out of which 40 marks shall be based on Mid-term evaluation by way of term test/assignment/Mini Project. Remaining 60 marks shall be based on end term examination.
- R.6.5** The course work assessment including the end term examination shall be carried out by respective course instructor.
- R.6.6** The fourth course of 100 marks shall involve reviewing of published research work in the relevant field under supervision of the assigned supervisor. The evaluation shall be in the form of report submission (40 marks) and presentation (60 marks). The evaluation shall be done by the panel of two experts (including one supervisor) to be appointed by DRC Chairperson.
- R.6.7** The minimum qualifying marks in each component of the course work shall be 50% .
- R.6.8** In case the student fails in any paper of course work, he shall be allowed to reappear in the same after one month of the term end examination with maximum of 2 such attempts.

R.6.9 The student shall be permitted to pursue his course work requirement only at the University premises/recognized research centers.

R.6.10A PhD student irrespective of the category (R.1), while pursuing course work, must have at least 75% attendance in each course in which he is registered. If the student does not have the required minimum percentage of attendance in any subject, they shall be detained in those subjects, and shall have to reappear for respective course work again, as and when they are offered and shall maintain the attendance required and then appear for the examination.

R.7 WITHDRAWAL FROM SEMESTER/COURSES

R.7.1 A research scholar may be permitted by the Dean (Research) on the recommendation of supervisor to withdraw from all the courses registered by him or the entire semester, on medical grounds supported by a medical certificate from the University Medical Officer or on any other genuine reasons. The medical certificate issued by a registered Medical Practitioner shall also be acceptable in those cases where the research scholar has valid reasons for his absence from the University/Institute/Centre.

Withdrawal may also be granted by the Research Board on the recommendation of the DRC and the Dean (Research) provided it is established that the research scholar cannot pursue his studies for the reasons beyond his control.

R.7.2 Research scholar should present the medical certificate in support of his absence on health reasons within two days of his



rejoining the institute, if not produced already. Withdrawal shall not be granted retrospectively.

R.7.3 The period of authorized absence in the semester should not be less than eight weeks of contact period for semester withdrawal to be granted. Regularity in attending the classes and satisfactory performance in the mid-term examinations, if any, held prior to the date of application for withdrawal are the factors which would be taken into account while recommending/granting withdrawal.

R.7.4 Any semester withdrawal shall count towards the maximum limit of twelve/sixteen semester as stipulated in the ordinance.

R.8 CANCELLATION OF REGISTRATION

Registration of a research scholar shall be cancelled in any one of the following eventualities, after due approval of Dean (Research):

R.8.1 If he absents himself for a continuous period of four weeks without prior intimation/sanction of leave.

R.8.2 If he resigns from the PhD programme and the resignation is duly recommended by the Supervisor.

R.8.3 If he fails to renew his registration in any semester/annual subject to the provision contained in the Ordinances and the Regulations.

R.8.4 If his annual progress is found unsatisfactory.

R.8.5 If he is found involved in an act of misconduct and/or indiscipline and termination has been recommended by Dean (Student Welfare).

R.9 PERFORMANCE MONITORING

R.9.1 Each research scholar shall submit hard copies of progress report of their research work in duplicate, with supervisor and co-supervisor signatures and present the progress seminar every year before APRC latest by 31st July, till synopsis is submitted to DRC through supervisor(s). The APRC shall evaluate and send the evaluation report in the prescribed form to the DRC Chairperson for appraisal with anyone of the following recommendations

- i. allowed to enroll in the next semester and continue research;
- ii. allowed to enroll and continue research but with suggestions for improvement ;
- iii. Advised to discontinue as the performance is very poor. In that case the matter shall be referred to the Research Board for final decision.

R.9.2 If the research scholar does not present progress report by stipulated date, financial penalty of Rs. 1000/- per week delay shall be imposed. If research scholar fails to present progress report by 30th September, the admission is liable to be cancelled. However, under unavoidable circumstances, the supervisor may recommend for relaxation in presentation of progress report beyond 31st July to the DRC for approval of Research Board.

R.9.3 The Chairperson of DRC shall coordinate collection of progress reports signed by research scholar and his supervisor(s) every year.



R.10 SYNOPSIS

R.10.1 The research scholar shall submit the synopsis of his work at least two months prior to submission of the thesis.

R.10.2 The DRC may relax specified period of submission of synopsis on the recommendation of the supervisor by assigning the reasons for the same.

R.11 THESIS SUBMISSION

R.11.1 The PhD thesis must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

© RAJASTHAN TECHNICAL UNIVERSITY KOTA, 20....

(Year)

ALL RIGHTS RESERVED

R.11.2 The research scholar for the degree shall submit four copies of the thesis (Hard and soft) with a soft cover. In case of co-supervision, five copies of thesis shall have to be submitted by the research scholar.

R.12 TUITION FEE WAIVER

The following categories of research scholars may be given 50% tuition fee waivers:

R.12.1 All full-time University research scholars including QIP. The University research scholars include those who obtain scholarship through MHRD, CSIR & UGC, provided they are getting scholarship of the same values as that of MHRD, etc.

R.12.2 Research scholars admitted to PhD programme from DST, CSIR and other Government Organization, involved in research/development activities/Institutions.

R.12.3 Additional 25% fee waiver can also be given on case by case basis, the maximum number of such waivers being restricted to 50% of the University research scholars on roll. For grant of additional 25% fee waiver to the full-time University research scholars, the respective DRC shall assess the performance and consider the cases of the deserving scholars on case by case basis and shall submit the name(s) of the concerned research scholars to the Dean (Research) for approval of Research Board.

R.12.4 For the University staff pursuing PhD at the University including those getting assistantship from projects, the tuition fee is waived up to 75%.

R.13 LEAVE AND ATTENDANCE

R.13.1 A research scholar shall be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the University.

R.13.2 A full-time PhD research scholar, during his stay at the University/Centre shall be entitled to leave for 30 days including leave on medical grounds, per academic year. He shall not be entitled to mid-semester breaks, summer and winter vacation at the end of the first semester.

R.13.3 Leave beyond 30 days in an academic year may be granted (without fellowship) to a research scholar in exceptional case, by the Head of the Department on the recommendation of his supervisor concerned, subject to the following conditions:

- (i) the leave beyond 30 days shall be without Assistantship/Scholarship; and



(ii) such an extension of leave up to additional 30 days or a part thereof shall be granted only once during the programme of the scholar.

(iii) the leave may be subject to the approval of the Head of Department concerned; and a proper leave account of each research scholar shall be maintained by the Department concerned.

R.13.4 The women research scholar shall be eligible for maternity leave with fellowship for a period not exceeding period specified by the state government during the tenure of the award.

R.14 GENERAL

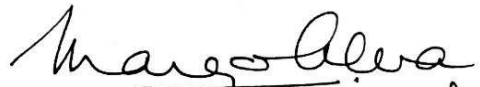
R.14.1 Research scholar is required to route all his applications through his supervisor only.

R.14.2 Any doubt or dispute about the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decisions shall be final and binding.

R.14.3 Notwithstanding anything contained in these Regulations, all categories of the research scholars shall be governed by the rules and procedures framed by the Academic Council in this behalf, and in force from time to time.



Registrar
Rajasthan Technical University,
Kota



Chancellor 15/5/2012.
Rajasthan Technical University,
Kota