

ORDINANCES
for the Degree of
DOCTOR OF PHILOSOPHY
(Ph.D.)

[Approved by the Academic Council in its meeting dated 24th December 2011]



GAUTAM BUDDH TECHNICAL
UNIVERSITY

(Formerly Uttar Pradesh Technical University)

LUCKNOW



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**GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW****Ordinances for the Degree of
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- Notes 1 :** The candidates should refer to the admission announcements and the admission application form for the details of related proforma and the documents.
- 2 :** The candidates should refer to the Guides for Thesis Preparation for the details of related proforma and the documents.
- 3.** The candidates should refer to “GBTU-PhD-FORMS Downloads” menu for downloading the appropriate required forms and schedules.

**Ordinances for the Degree of
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1. ELIGIBILITY FOR ADMISSION

1.1 Academic Qualifications

A candidate seeking admission to the Doctor of Philosophy (Ph.D.) programme of the Gautam Buddh Technical University (here-in after called as University) must hold one of the following qualifications:

- (a) Master's degree with first division in the appropriate field of Engineering/ Technology/ Pharmacy/ Management/Architecture of the University, or equivalent.
- (b) Bachelor's degree with first division in appropriate field of Engineering/ Technology/ Pharmacy/ Architecture of the University, or equivalent, with two years of experience in Industry/ Research/ Teaching in reputed organization/ institution.
- (c) MCA degree of the University, or equivalent, with first division (for Computer Science & Engineering field only).
- (d) Master's degree with first division in the field of Biotechnology/ Bioinformatics of the University, or equivalent.
- (e) Master's degree with first division in the field of Physics/ Chemistry/ Mathematics of a University.
- (f) Notwithstanding anything contained in above-mentioned rules (a) to (e), the eligibility criteria/ guidelines prescribed and/or issued by the All India Council for Technical Education (AICTE) and/or UGC from time to time shall also be applicable for admission to Ph. D. Programme(s) of the University.

1.2 Faculty, Fields and Interdisciplinary Research

- (a) A candidate shall be admitted to any one of the faculties of the University for which the admission announcements have been made for a given semester. Presently, as per the First Regulations 2010, there are eight (8) faculties of the University. (See Appendix - I for details). A faculty may have one or more fields of specialization for the purpose of research. The number of fields may vary from time to time, and there

may be fields that are interdisciplinary and hence may belong to more than one faculty of the University. The University, in principle, encourages the interdisciplinary research. However, the faculty to which the admission will be made in such cases of interdisciplinary research will be decided by the RDC.

- (b) A candidate shall normally be admitted for Ph.D. degree in the field in which he/she has passed his/her qualifying examination as stated in clause (1.1), or in any other field that is relevant to it. In special cases, a candidate qualifying in a field-X may be permitted for admission to Ph.D. programme in some field-Y provided the RDC of the field Y accepts the topic falling in its scope.

1.3 Transfers from Other Universities

- (a) A candidate who has been admitted in (or has registered for) Ph.D. degree programme in any other recognized university and meets the requisite qualifications for admission to Ph.D. programme of the University as prescribed in clause (1.1) may be allowed to transfer his/her admission to the University provided
 - (i) he/she provides a no objection certificate from the previous university,
 - (ii) the concerned selection committee and the RDC recommend, and
 - (iii) the Academic Council of the University approves the transfer.
- (b) Further, the extent of transfer of credits earned towards pre-Ph.D. courses, publications and progress of research etc. by the candidate at the previous university to the University shall be decided by the respective RDC of the University.
- (c) In such cases of transfer, the date of admission in the University shall be decided by the RDC in view of the date of admission/registration in the previous university and the extent of academic progress as mentioned in the clause 1.3(b). The candidate shall be required to fulfill the remaining requirements as decided by the respective RDC of the University.
- (d) The candidate shall deposit the requisite application and other fees to the University.

2. ADMISSION PROCESS

2.1 Announcements and Application

- (a) (Announcements) The University shall invite through national level advertisement and also through announcements at its website, applications for admission to Ph.D. programmes of its various faculties.

The admission process will generally be carried out once a year (in the First semester beginning July/August). However, the University depending upon its academic goals and needs, may decide to carry out the admission process twice a year (once in each semester) with due advertisements and web announcements.

- (b) (Application) A candidate seeking admission to Ph.D. programme must download the prescribed application from the website of the University and send the completed form along with documents to the University at the address mentioned in the announcement and/or application form. The application form may also be filled in on-line if and when so announced and/or advised by the University. The candidate must indicate the faculty and field(s) of research to which the admission is being sought. In case a candidate wishes to apply to more than one faculty, separate application forms must be submitted.
- (c) (Enclosures with Application Form) The completed application form must be accompanied by the documents and the details as prescribed in the application form applicable for a particular admission session. Some of the major requirements are as given below.

No.	Particulars
1*	A prescribed non-refundable application fee (See Appendix - II).
2*	Date of Birth Certificate or the High School (class X) Certificate with Date of Birth.
3	SC/ST/OBC/PH certificate (if applicable).
4*	Copies of degrees, marks/grade sheets of all the examinations passed (not the originals).
5	No Objection Certificate (NOC) from the employer (for employed applicants).
6	Certificate of Financial Assistance (if applicable).
7	Copies of publications (if applicable).
8*	Synopsis of proposed research work (maximum 200 words on one A4 sheet) in the format as given in Appendix - III.
9*	Certificates (3 Nos.) - (i) from the proposed Thesis Supervisors, (ii) Head(s) of the Organization(s) of the proposed Thesis Supervisor(s), and (iii) Head of organization of the Research Place
10*	Two copies of detailed Curriculum Vitae of the Supervisor(s).
11*	Two letters of reference.
<div style="display: flex; justify-content: space-between;"> No. of Enclosures: No. of Sheets: </div>	

Note: (*) means these documents are compulsorily required by all the applicants.

- (d) (Scrutiny of Application Forms) The application forms received will be scrutinized by a screening committee constituted by the Vice Chancellor. The screening committee will accept or reject the application, or may ask for some documents/explanations missing in the form to finally decide upon acceptance/rejection.

2.2 Written Test, Interviews and Provisional Admission

- (a) (Written Test and Interview) The selection of candidates for provisional admission shall be made based on written test followed by interview / presentation. There shall be a written test-and-short listing committee constituted by the Vice Chancellor to organize and conduct the written test, evaluate the test results and to decide the cutoff scores for short listing the candidates for interview / presentation for each field and faculty of the University. The dates of written test for respective fields will be announced through the home page of the University. The committee will present its recommendations to the Vice Chancellor for approval.
- (b) (Provisional Admission - Selection Committee) The shortlisted candidates shall appear for interview and presentation before a Selection Committee constituted for respective fields on the date(s) announced through the home page of the University. The Selection Committee shall be constituted by the Vice-Chancellor for each field as given in clause 2.2(c). The candidates based on their overall performance will be categorized as selected or not selected for provisional admission. The list will be submitted to the Vice Chancellor for approval. The list of candidates selected for provisional admission is announced through the home page of the University. The date of provisional admission shall be the date of selection committee meeting. The acceptance of the Ph.D. topic and synopsis, however, shall be as per recommendations of the RDC.
- (c) (Selection Committee) The Selection Committee for each field shall consist of the following members :
- | | | |
|-------|---|----------|
| (i) | Convener/member of RDC of the concerned field | Chairman |
| (ii) | One expert of the concerned field not below the rank of professor belonging to the affiliated institution/ college of the University to be nominated by the Vice-Chancellor | Member |
| (iii) | Two experts of the concerned field not below the rank of professor but not belonging to the University, to be nominated by the Vice-Chancellor. | Member |

2.3 Final Admission and Enrollment

- (a) (Final Admission - Research Proposal before RDC) The candidates selected by the Selection Committee for provisional admission are required to present their plan of research in the format as given in Appendix - IV (Format for Research Proposal) before the concerned

RDC on the date announced by the University through its home page. RDC will examine the scope and topic of research, potential of the candidate and appropriateness of the proposed plan of research supervision and work place. The RDC may suggest suitable changes in the research plan proposed by the candidate.

- (b) (Enrolment) The candidates recommended by the RDC shall be admitted to the Ph D programme of the University. They shall be required to submit Ph D Enrolment Form along with the necessary documents (see Appendix - V). Upon due processing, the candidates will receive the University enrolment number/Ph D roll number.
- (c) (Date of Admission) In case of any revision in the Ph.D. topic and/ or synopsis proposed by the candidate, the date of registration shall be as decided by the concerned RDC.

3. PRE-Ph D COURSES

3.1 Scope and Objectives

In order to strengthen the background in the chosen faculty/field of research and to develop a sound research temperament, the University requires the candidates admitted to the Ph D programme to undertake and successfully complete some post graduate (M.Tech.) level courses.

The candidates will be required to pay the required course fee as prescribed/approved by the University from time to time. The fee may, in general, vary from course to course depending upon its nature and required resources.

3.2 Number and Nature of Courses

- (a) (Number of Courses) Candidate(s) admitted under clause (1.1)(a) shall have to complete at least two pre-Ph. D. courses, and candidate(s) admitted under clause (1.1)(b), (1.1)(c) and (1.1)(d) shall have to complete at least six pre-Ph. D. courses of M. Tech. level within one year as may be prescribed by the concerned RDC. The RDC will be empowered to increase the pre-Ph. D. courses for any candidate. The RDC shall also prepare a database of the courses to be audited by candidate(s).
- (b) (Nature and Type of Courses) The courses to be taken are prescribed by the concerned RDC in one of its early meetings generally at the time of the first meeting while deciding upon the final admission after receiving the recommendations for provisional admission from the Selection Committee. The RDC, sometimes, depending upon the research interest of the candidate, may recommend the thesis supervisor(s) to suggest the one or more course(s). The nature and type of courses are based on background and research plan of individual candidates. The pre-Ph D courses are full credit courses equivalent to

one-semester M. Tech. courses with regular contact sessions, home assignments, practical sessions wherever applicable, and mid-term and final evaluation. These courses cannot be substituted by aggregating short-term workshops/symposia etc attended in piecemeal. Courses done through distance education mode are also not considered towards fulfillment of the requirement of pre-PhD courses specified by an RDC of the University.

3.3 Conduct of Courses

- (a) (Regular Course / Short Course) The candidates, in consultation with their supervisor(s), are required to seek the admission to the suggested courses being offered at some institutions offering post graduate courses and recognized by the competent authority. However, short term/crash courses of requisite course contents and full required contact hours with required assignments, practical sessions and evaluations can be considered towards completion of a course. In both the cases, regular course or short course, the candidates are required to seek, on the prescribed Proforma (Appendix - VI), the permission of the University for its approval of the proposed course as a pre-Ph D course. The University some times, depending upon the resources and requirements of the candidates, may arrange for some special courses at some institute. The announcements of such courses are made through the University web site. The candidate for such courses will register at the beginning of the term/semester and will not be allowed to join in between the term/semester. As mentioned in clause 3.1, the candidates have to deposit the required course fee as prescribed by the competent authority offering the course.
- (b) (Through Mentor(s)) In case, it is not conveniently possible for a candidate to take a course in the manner described above in clause 3.3(a), the pre-Ph D course, as a special case, can be completed with the help of a mentor. The coverage of contents, the number of contact hours, assignments, evaluations etc, however, remain the same as in a course being offered on a regular/short-term basis mentioned in clause 3.3(a). For completing the course through mentorship, the candidate providing the complete details about the proposed mentor(s) and with the endorsement of the supervisor(s), is required to seek the permission of the Vice Chancellor on the Proforma as given in Appendix - VII. A sample of course proposal through mentorship is given in Appendix - VII(a). The mentor(s) will be requested to submit the progress and evaluation results about the course on a prescribed Proforma as given in Appendix - VIII.

3.4 Monitoring and Completion of the Course

- (a) (Criteria for Completion of the Course) For having successfully

completed the course(s), the candidate has to fulfill the same criterion as in case of a regular post graduate course. The candidate must have attended at least 75 % of the prescribed contact hours and should have overall scored at least 50% (or equivalent grade) in various assignments, tests and practical and written examinations, etc. The weightages of various assignments, tests and practical and written examinations, etc. are pre-specified at the start of each course. The mode of evaluation will be approved by the University after receiving the proposal for regular / short courses on the Proforma as given in Appendix - VI, and/or for courses through mentors on the Proforma as given in Appendix - VII.

- (b) (Progress Monitoring and Completion) The candidates are required to submit, through their supervisor(s), the progress about the course(s) on the Proforma given in Appendix - VIII, at the time of RDC meetings convened to review the progress. The progress of Pre-PhD course(s) will generally be reviewed in parallel to other aspects of the doctoral programme viz. research, publications, etc that will be submitted, through the supervisor(s), by the candidate on the Proforma given in Appendix - IX. The completion of Pre-PhD courses shall be reviewed by the concerned RDC, and the registration of a candidate shall be confirmed provided he/she qualifies the required pre-Ph. D. courses as prescribed in clause 3.2, and the RDC is satisfied with the performance. The candidate can submit his/her thesis only after completing the pre-Ph. D. course requirements.

4. THESIS SUPERVISOR(S)

4.1 Eligibility for Ph D Thesis Supervision

- (a) (Eligibility) A person shall be eligible to act as supervisor provided he/she holds a Ph.D. degree in the concerned or related field, has good publications in reputed scientific / technical journals, and who is one of the following:
- (i) Principal/Director, Professor, Associate/Assistant Professor of affiliated college/ institution of the university or of reputed institutions, like IITs, IISc, IT-BHU, NITs, state funded institutions or research establishments, private research establishments of repute, CSIR laboratories or University departments.
 - (ii) Lecturer with at least five years teaching/research/industrial experience in an affiliated college/ institution of the University or NITs, State funded institutions and University departments out of which two years of experience should be after obtaining their Ph D degree.

- (b) (Exception) In case a Professor in a particular field has no Ph.D. degree but possesses reputed research publications and belongs to a reputed research institute, he/she may be nominated as a supervisor by the RDC with the approval of Vice-Chancellor relaxing the requirements mentioned in clause 4.1(a).
- (c) (Non- eligibility) A person, who is registered for a Ph.D. degree shall not be eligible to act as a supervisor in any faculty/field of the University.
- (d) (University Database of Ph D Thesis Supervisors) For the purpose of evolving a long term research and development policy, the University shall constitute a University Research Committee (URC). The University shall prepare a database of eminent researchers in various fields by inviting/collecting detailed bio-data of experts from the affiliated colleges/institutions, IITs, IISc, IT-BHU, NITs, State funded Institutions and Universities, which shall be approved by the URC on the recommendations of the concerned RDC. A candidate may take help from such a database available on the website of the University in deciding his/her supervisor(s).
- (e) (Inclusion of a New Person as Thesis Supervisor) A person duly approved by the URC and/or RDC shall be eligible to act as a supervisor. A person already approved as a Ph D thesis supervisor by the University, or a candidate enrolled in the Ph D programme of the University may suggest the name of a new person to act as Ph D thesis supervisor. The suggestion should be accompanied with two copies of the curriculum vitae of the person proposed, along with his/her consent and the consent of the head of organization and duration of availability, for approval of the RDC.
- (f) (Maximum Number of Ph D Thesis Supervision) The maximum number of candidates enrolled by the University that can be supervised by a supervisor at any particular time, singly or jointly with some other person, shall be two(2) for Lecturer, three (3) for Assistant / Associate Professor and five (5) for Professor. In special situations, up to a maximum two additional candidates can be permitted on the specific recommendations of the concerned RDC and subsequent approval by the Vice-Chancellor.

4.2 Change of Ph D Thesis Supervisor - Substitution and Inclusion

- (a) (Maximum Number of Ph D Thesis Supervisor) A candidate shall normally not have more than two supervisors. Moreover, the two supervisors should not generally be from the same department/organization. In exceptional cases, one additional supervisor may be permitted on the specific recommendations of the concerned RDC and subsequent approval by the Vice-Chancellor.

- (b) **(Substitution of a Supervisor)** In case a duly approved supervisor later on ceases to act as the supervisor by virtue of his/her retirement or transfer or otherwise, the candidate may be permitted to choose another supervisor provided the relevant criteria in clause 4.1 are satisfied. The application by the candidate is made on the prescribed Proforma as given in Appendix - X with the specific recommendations/consents of the present and outgoing supervisors and of the proposed supervisor. Such change can be permitted on the specific recommendations of the concerned RDC and subsequent approval by the Vice-Chancellor.
- (c) **(Induction of an Additional Supervisor)** In case during the course of research, it is felt by the candidate or by the existing supervisor(s) or by the RDC, that a particular expertise is additionally needed for the ongoing research, then a new supervisor can be inducted with the requisite expertise, and the eligibility criteria mentioned in clause 4.1. The application by the candidate is made on the prescribed Proforma as given in Appendix - XI with the specific recommendations of the present supervisor(s) and the consent of the proposed supervisor. Such change can be permitted on the specific recommendations of the concerned RDC and subsequent approval by the Vice-Chancellor.
- (d) **(Minimum Duration of Supervision)** A supervisor substituted or inducted at a later date should be associated with research of the candidate for a period of at least one year prior to the thesis submission.

5. RESEARCH DEGREE COMMITTEE (RDC)

5.1 Constitution and Functioning of RDC

- (a) **(Constitution)** There shall be a separate Research Degree Committee (RDC) for each of the fields of research falling under different existing Faculties/Boards of Study of the University with the following constitution.

Constitution of RDC :

- | | | |
|-------|---|----------|
| (i) | Vice-Chancellor | Chairman |
| (ii) | Convener of RDC | Member |
| (iii) | Two experts of the subject in the concerned area not below the rank of Professor and belonging to the University, to be nominated by the Vice- Chancellor. | Member |
| (iv) | Three experts of the subject in the concerned area of which two should be of the Professor rank and one may be the Assistant Professor and not belonging to the University, to be nominated by the Vice Chancellor. | Member |

- (b) The RDC of a subject will normally meet twice in each academic session at regular intervals.
- (c) Half of the members of the RDC shall form the quorum for the meeting. However, presence of one external expert is essential in the meeting.
- (d) The minutes/reports of the RDC meetings shall be placed before the Vice Chancellor for approval.
- (e) If the convener is unable to attend a meeting, the senior most member present in the meeting shall act as the convener.

5.2 Functions of RDC

Each RDC shall perform the following functions:

- (a) (Final Admission) Examine the research summary and research plan of the proposed Ph.D. work of provisionally admitted candidates and provide its recommendations for final admission. The committee shall satisfy itself that the proposed topic is one on which the Ph.D. work can profitably be pursued under the guidance of the proposed supervisor(s), that the candidate possesses the requisite qualifications and that the adequate facilities and equipments for the work do exist at the proposed place of work.
- (b) (Specifying and Monitoring Pre-Ph D Courses) Depending upon the background of candidates and scope of the proposed research, the RDC will specify the number and type of Pre-Ph D courses for each candidate as per provisions given in clause 3.2(a) and clause 3.2(b). A candidate is required to present the Pre-Ph D course progress as per format given in Appendix - VIII endorsed by the supervisor(s), in the RDC meetings scheduled for such reviews. The RDC will review and monitor the progress of courses as per provisions given in clauses 3.3(a) and 3.3(b), and clauses 3.4(a) and 3.4(b).
- (c) (Review and Monitoring of the Research Progress) The RDC will progressively review the research progress of each candidate and advise on general/specific directions to be followed to meet the research objectives of the University as per provisions of clause 8.1. Accordingly, the RDC may suggest at the initial stage or even at later stages, change(s) in the topic of research, contents of research, and finally in the title of the thesis topic, etc. A candidate is required to present the research progress along with the progress of other components of Ph D programme such as Pre-Ph D courses, publications etc, as per format given in Appendix - IX, endorsed by the supervisor(s), in the RDC meetings scheduled for such reviews. If a candidate could not present his/her research progress in the scheduled RDC meeting due to some

genuine reasons, but the progress report sent by the supervisor is satisfactory, he / she may be permitted to continue, otherwise, the RDC may recommend cancellation of the enrolment of the candidate. In case a candidate does not turn up for presentation in the RDC meeting on two consecutive reviews, his / her admission shall be cancelled.

- (d) (Recommendation for Change and/or Inclusion of Supervisor(s)) The RDC, upon receiving request for change or inclusion of a thesis supervisor by a candidate as per format given in Appendix - X and/or Appendix - XI, endorsed by the supervisor(s), makes its recommendations to the Vice Chancellor as per provisions of the clauses 4.1 and 4.2.
- (e) (Recommendation for Extension of Duration) The RDC, upon receiving request for extension of duration of Ph D programme by a candidate as per format given in Appendix - XII, endorsed by the supervisor(s), makes its recommendations to the Vice Chancellor as per provisions of the clause 6.
- (f) (Recommendation for Acceptance/Change of Place of Work) The RDC, upon receiving request by a candidate for acceptance of a workplace of research or for a change of already accepted workplace as per format given in Appendix - XIII, endorsed by the supervisor(s) and the head of research place, makes its recommendations to the Vice Chancellor as per provisions of the clause 7.
- (g) (Recommendation for Thesis Submission) The RDC, in one of its review meetings, after ascertaining satisfactory course and research performance and fulfillment of the necessary requirements such as publications, etc. by the candidate, and upon receiving the certificate from the thesis supervisor(s) as per format given in Appendix - XIV, will recommend along with the necessary suggestions/instructions as per format given in Appendix - XV, the preparation and submission of Research Summary and writing of the thesis, as per provisions of clause 8.
- (h) (Panel of Thesis Examiners) The convener of RDC will suggest two separate panels of internal and external examiners for evaluation of each Ph D thesis submitted (see clause 9).
- (i) (Building up Research and Development Efforts at the University) The RDC will periodically summarize its experiences and provide the inputs and feedback to the Vice Chancellor for modifications and inducting new research directions and also about the procedures of Ph D governance to enrich and strengthen the research efforts of the University. It will also give its suggestions to help create the databases about the subject experts for thesis supervision and evaluation, research centres, journals for publication by the candidates.

6. DURATION OF Ph.D. PROGRAMME

- (a) (Minimum Period) The minimum period for submission of Ph. D. thesis for candidates with M. Tech. / M. Phil./ MS degrees and enrolled as full time shall be two years, and for those enrolled as part-time shall be three years from the date of provisional admission.
- (b) (Minimum Period) The minimum period for submission of Ph. D. thesis for candidates with M. Sc. / MBA / MCA / B. Tech. / B. E. degrees and enrolled as full time shall be three years, and for those enrolled as part-time shall be four years from the date of provisional admission.
- (c) (Resetting of the Duration) A candidate may be allowed to modify the scheme of his/her research work with the approval of the concerned RDC, but in that case he/she shall not submit his/her Ph.D. thesis before the expiry of at least six months from the date of approval for such a change.
- (d) (Extension of Duration and Maximum Period) The maximum period permitted for submission of Ph. D. thesis for a candidate shall normally be five (5) years from the date of provisional admission. In special circumstances, a maximum extension of two years in installments of six months can be granted by the Vice-Chancellor on the recommendations of the RDC after making careful scrutiny of the candidate's progress. The candidate shall apply for the extension of period on the Proforma as given in Appendix - XII. It shall be essential for a candidate to submit thesis within seven (7) years from the date of provisional admission, otherwise, the admission shall automatically be cancelled after the expiry of the due date. No more extension shall be provided in any circumstances after the due date.

7. PLACE OF Ph.D. WORK

- (a) (Recognized Research Centres) A candidate shall ordinarily be permitted to pursue his / her research at any one of the constituent or affiliated colleges / institutions of the University which has been recognized as the Research Center by the University.
 - (i) The colleges / institutions affiliated to the University who run AICTE recognized M. Tech./ M. Pharm. Programmes or are the Study Centers of the University for M. Tech./ M. Pharma. Programmes qualify to be the Research Center for that area.
 - (ii) Any college / institution affiliated to the University and not covered under the abovementioned clause 7(a)(i) may be recognized as a Research Center in a particular area provided the Inspection Committee of the University recommends on the basis of adequate infrastructure, equipments and facilities available and the RDC/URC accords the approval. Besides, the RDC shall also prepare a database of affiliated colleges / institutions where

all facilities related to the research are available, which shall be recognized by the University as the Research Centers.

- (b) (Reputed Research Establishments) A candidate may also be allowed to pursue his / her research at any other R & D Organization of repute or at any other University with the approval of the Vice Chancellor based on the recommendations of the concerned RDC. The RDC will continually prepare and update a database of such places where adequate research facilities are available and also of IITs and other national level institutions / organizations.
- (c) (Change of Place of Work) A candidate may request for change of place of work due to certain genuine reasons such as decreased availability of facilities, dislocation of supervisor(s), etc. on the prescribed Proforma as given in Appendix - XIII with proper endorsement of supervisor(s) and head of the organization of new place and no objection from the head of previous organization.

8. THESIS PREPARATION AND SUBMISSION

8.1 Scope and Objective of Ph D Thesis

The Ph D thesis is an important academic document that reflects the research aspirations and objectives of the University, and has an infinite life time. It is expected, therefore, to comply with the following general conditions:

- (a) It must be a piece of research work characterized by the discovery of facts or by fresh approach towards interpretation of theories. In either case it should exhibit the candidate's capability for critical examination and sound judgment.
- (b) It should aim at providing the solutions for the problems related to wellbeing of society and mankind at large.
- (c) It should be accepted and respected nationally as well as internationally for its quality work.
- (d) It should also be satisfactory as far as its literary presentation is concerned.
- (e) The thesis shall be prepared in the prescribed format and specifications as given in the most recent "Guidelines for Preparation of Ph. D. Thesis" of the University applicable at the time of submission of the thesis.

8.2 Pre-Submission Requirements

- (a) (Publications in International Journals) It is presumed that a candidate would endeavor to present quality work in the thesis leading to get the results published at least in two journals of international repute. The RDC will give due consideration on this point before recommending for submission of the thesis. For the purpose of publications, the RDC may

suggest a set of journals of international repute related to the field of research. It may also not accept the publications appearing in the journals of low relevance to the field of research or in the journals of poor standard.

- (b) (Pre-Submission Presentation) An RDC may advise a candidate to deliver a full presentation of the total work in one of the RDC meetings before submission of Ph. D. thesis. The supervisor(s) may be requested to be present during pre-submission presentation. The RDC (i) may recommend for submission (ii) may suggest revisions to be carried out to the satisfaction of supervisors(s) and submit, or (iii) may suggest revisions to be carried out and re-deliver the presentation in its subsequent meeting.
- (c) (Certificates from the Supervisor(s)) The thesis shall be accompanied with a certificate issued by the supervisor (s) stating the following (see also the latest "Guidelines for Preparation of Ph. D. Thesis" of the University) on the format as given in Appendix - XIV.
 - (i) That the thesis embodies the original work of the candidate and it has not been earlier submitted for any Degree or Diploma.
 - (ii) That the candidate worked under him/them for the period prescribed by the RDC.
 - (iii) That he/she has put in not less than 200 days of attendance for full time at the designated place of work with at least one of the supervisor (s).
 - (iv) That the thesis fulfils the requirements of the clause 8.1.
- (d) (Permission for Submission by the RDC) The RDC, in one of its review meetings, after ascertaining satisfactory course and research performance and fulfillment of the necessary requirements such as publications, etc. by the candidate, and upon receiving the certificate from the thesis supervisor(s) as per format given in Appendix - XIV, will recommend along with the necessary suggestions/instructions as per format given in Appendix - XV, the preparation and submission of Research Summary and writing of the thesis.

8.3 Thesis Preparation

- (a) (Ph D Thesis Preparation Guidelines) After the recommendations of the concerned RDC, the candidate shall start writing the thesis in consultation with the supervisor(s). The University shall issue the "Guidelines for Preparation of Ph. D. Thesis" from time to time. The candidate is required to follow the latest guidelines.
- (b) (Language) The medium of expression for the thesis shall be English language. The use of Hindi language as a medium of expression, if desirable, shall be permitted after the specific permission of the Vice-

Chancellor.

- (c) **(Research Summary)** Based on the research and the draft thesis, a Research Summary should be prepared in consultation with the supervisor(s). (See the latest "Guidelines for Preparation of Ph. D. Thesis" of the University.)

8.4 Thesis Submission

The Ph D Thesis submission at the University is in two phases : one for the purpose of evaluation and the second and final after incorporation of the revisions and suggestions, if any, after the evaluation and examinations (see the latest "Guidelines for Preparation of Ph. D. Thesis" of the University).

8.4.1 Submission for Evaluation

- (a) The thesis and research summary should be prepared as per guidelines provided in "Guidelines for Preparation of Ph. D. Thesis" of the University in consultation with supervisor(s).
- (b) The candidate should fill the checklist and sign the Certificate of Thesis Submission for Evaluation according to "Guidelines for Preparation of Ph. D. Thesis" of the University. The Certificate, as given in Appendix - XVI, should be signed by the candidate and countersigned by the supervisor(s), and submitted to the University in duplicate. One copy after stamping by the concerned University official with due entries will be returned to the candidate.
- (c) For evaluation purposes, a candidate for Ph D degree is required to submit
 - (i) four copies of Research Summary.
 - (ii) four hard copies of the thesis printed on both sides and spiral bound using flexible cover of thick white art paper. The cover page should be printed as per specifications for the title page (see the latest "Guidelines for Preparation of Ph. D. Thesis" of the University).
 - (iii) a CD with exactly identical contents in pdf format. The candidate should ensure that the CD can be opened on any system. The contents of the CD should also be e-mailed to the University at the address research@uptu.ac.in.
 - (iv) the hard copies and CD can be submitted after one month of Research Summary submission.

8.4.2 Final Submission

After the successful completion of viva voce examination and with approval of the Viva Voce Board, the candidate should finalize the thesis incorporating all the suggestions made during the evaluation process by the internal and external examiners and the suggestions emerging during viva voce examinations including modifications, if any, in the title of the thesis.

Following should then be submitted (see “Guidelines for Preparation of Ph. D. Thesis” of the University):

- (a) **(Certificate and Undertaking)** Certificate of Final Thesis Submission, as given in Appendix – XVII, signed by the candidate and the supervisor(s) certifying that all the corrections suggested by the examiners have been incorporated, the thesis has been prepared as per guidelines, due credit to other researchers have been appropriately accorded and no part of the thesis is copied from any other source.
- (b) **(Printing and Binding)** The final thesis should be printed and bound as per specifications given in the “Guidelines for Preparation of Ph. D. Thesis” of the University.
- (c) **(Electronic Copy)** For electronic repository of the University, a CD with exactly the identical contents as in the final thesis in pdf format should also be submitted. The candidate should ensure that the CD can be opened on any system. The CD should carry the name, enrollment number and programme of the candidate. The contents of the CD should also be e-mailed to the University at the address research@uptu.ac.in.
- (d) **(Number of Copies)** Incorporating all corrections including suggestions during viva-voce examination, two copies printed on both sides and hard bound as per the specifications given in the “Guidelines for Preparation of Ph. D. Thesis” of the University, plus a CD with thesis contents in pdf format should be submitted along with necessary certificates.

9. THESIS EXAMINATION

9.1 Thesis Evaluation by External Examiners

- (a) **(Appointment of Examiners)** The appointment of thesis examiners shall be made in the following manner:
 - (i) The supervisor(s) will prepare a panel of eight (8) experts (four (4) each from India and abroad) qualified to examine the thesis. Similarly, the convener RDC will also prepare to a panel of eight (8) experts (four (4) each from India and abroad). The proposed thesis examiners should be from reputed institutions and should actively be involved in research. Both the panels will be sent to the Registrar of the University. Out of both panels of examiners, the Vice-Chancellor, at his discretion, will appoint two examiners other than the supervisor(s), one from India and one from abroad to whom the thesis will be sent for evaluation.
 - (ii) If the convener RDC is the supervisor or one of the supervisors, the senior most member of the RDC shall act as the convener for the purposes related to thesis examination.

- (iii) If the Vice-Chancellor is the supervisor or one of the supervisors, the appointment of examiners shall be made by the Pro Vice-Chancellor. In the absence of Pro Vice-Chancellor, the convener RDC will appoint the examiners and monitor the evaluation reports.
- (iv) If both the Vice-Chancellor and the convener RDC are the supervisors, the senior most member of the RDC shall act as the convener and Pro-Vice-Chancellor will appoint the examiners. In absence of Pro-Vice Chancellor, the senior most member acting as the convener will appoint the examiners and monitor the evaluation reports.
- (b) (Process of Evaluation of the Thesis) A copy of the Research Summary shall be sent to both the external examiners for their consent. In case an examiner expresses his/her inability to evaluate, the Vice Chancellor will appoint alternate examiner from any of the two panels. In the event of several examiners declining to evaluate the thesis, a set of fresh panels will be obtained from the supervisor(s) and the convener RDC. On receiving the consent, the thesis shall be sent to both the examiners. Normally, two months time shall be given to the examiners for submitting the evaluation report. The maximum extension given to any examiner shall be two months, failing which the Vice-Chancellor may appoint alternate examiner(s).
- (c) (Evaluation Report) The examiners shall specifically report on the prescribed Proforma (as given in the Appendix - XVIII) whether the thesis fulfils the requirements of the clause 8.1. They shall clearly recommend one of the following :
 - [A] (Acceptable) The thesis is acceptable as it is.
 - [B] (Acceptable after Minor Technical Revisions/Language Corrections) The thesis is acceptable after minor revisions as specified in the evaluation report, to the satisfaction of the Viva-Voce examination board.
 - [C] (Major Technical Modifications and Re-evaluation) The thesis needs major technical improvements/modifications which must be carried out to the satisfaction of examiner before it is recommended for acceptance.
 - [D] (Rejected). The thesis is rejected as it does not meet the minimum standards.
- (d) (Processing of Evaluation Reports)
 - (i) If both the external examiners approve the thesis (clause 9.1(c)[A]), the Viva-Voce examination will be conducted as per provisions of clause 9.2.
 - (ii) If one external examiner approves the thesis as submitted (clause 9.1(c)[A]) and the other external examiner recommends minor

revisions (clause 9.1(c)[B]), the comments of the examiner recommending revisions shall be sent to the supervisor(s) and to the candidate without disclosing identity of the thesis examiners for the necessary clarifications / comments and revisions. The candidate is required to incorporate the suggested revisions and submit the revised thesis and a response sheet to the University indicating point by point how the suggested revisions have been responded/incorporated. The revisions and response sheet are required to have the endorsements of the supervisor(s). Upon receipt of the response and revised thesis, the Viva-Voce examination will be conducted. The examiner's comments, candidate's response sheet and the revised thesis shall be communicated to all the members of the Viva Voce examination board.

- (iii) If both the external examiners recommend minor revisions (clause 9.1(c)[B]), the comments of the examiners recommending revisions shall be sent to the supervisor(s) and to the candidate without disclosing identity of the thesis examiner for the necessary clarifications/comments and revisions. The subsequent processing is carried out in the manner similar to clause 9.1(d)(ii).
- (iv) If one external examiner recommends minor revisions (clause 9.1(c)[B]), and the other external examiner recommends major revisions (clause 9.1(c)[C]), comments of both the examiners shall be sent to the supervisor(s) and to the candidate without disclosing identity of the thesis examiners for the necessary clarifications/comments and revisions. The candidate is required to incorporate the suggested revisions and submit the revised thesis and a response sheet to the University indicating point by point how the suggested revisions have been responded to and incorporated into the thesis. The revisions and response sheets are required to have the endorsements of the supervisor(s). Upon receipt of the responses related to both minor and major revisions and the revised thesis from the candidate, both the comments related to minor and major revisions and the corresponding response sheets and the revised thesis will be sent to the examiner recommending for re-evaluation. The subsequent processing will be done after receiving the comments from the examiner. In the event of acceptance of the revised thesis by the external examiner, the Viva-Voce examination will be conducted. Comments of both the examiners, candidate's response sheets and the revised thesis shall be communicated to all the members of the Viva Voce examination board.
- (v) If both the external examiners recommend major revisions (clause 9.1(c)[C]), comments of both the examiners shall be sent to the supervisor(s) and to the candidate without disclosing identity of the thesis examiners for the necessary

clarifications/comments and revisions. The candidate is required to incorporate the suggested revisions and submit the revised thesis and a response sheet to the University indicating point by point how the suggested revisions have been responded to and incorporated into the thesis. The revisions and response sheets are required to have the endorsements of the supervisor(s). Upon receipt of the responses related to both the major revisions and the revised thesis from the candidate, both the comments related to major revisions and the corresponding response sheets and the revised thesis will be sent to both the examiners recommending for re-evaluation. The subsequent processing will be done after receiving the comments from the examiners. In the event of acceptance of the revised thesis by the external examiners, the Viva-Voce examination will be conducted. Comments of both the examiners, candidate's response sheets and the revised thesis shall be communicated to all the members of the Viva Voce examination board.

- (vi) If any one of the two examiners reject the thesis (clause 9.1(c)[D]), and the other recommends (clause 9.1(c)[A], [B] or [C])), then the thesis along with all the reports shall be sent to a third examiner for re-evaluation. If the report of the third examiner is any one of the 9.1(c)[A], [B], [C] or [D]), then the thesis with the recommendations of both examiners is processed as given in clauses 9.1(d)(i),(ii),(iii),(iv),(v) or (vii). However, if the third examiner also rejects the thesis (clause 9.1(c)[D]), the thesis shall be rejected finally.
- (vii) If both the external examiners reject the thesis (clause 9.1(c)[D]), the thesis shall be rejected finally.
- (e) (Major Revision of the Thesis) If a candidate is required to revise the thesis under clause 9.1(c)[C], the Vice Chancellor may permit the candidate to revise his/her thesis and submit to the University in a period not earlier than six months and not later than one year from the date of communication to the candidate. The candidate shall have to pay an additional examination fee as prescribed by the University for re-submission of his/her thesis.
- (f) (Evaluation of Revised Thesis) The revised thesis shall normally be examined by the old set of examiners provided they agree for re-evaluation. If the report of any one of the examiners is not satisfactory, or an examiner does not agree for re-evaluation of the revised thesis, another examiner will be appointed according to the clause 9.1(a) from the panels. The consent of the examiner shall be obtained by sending a copy of the detailed Research Summary. A copy of each of the reports pertaining to examination of the thesis earlier submitted shall be also sent to the new examiners. The examiners shall be requested to clearly recommend whether the thesis is approved or rejected.

9.2 Viva-Voce Examination

- (a) **(Announcement)** Once a the thesis is accepted (clause 9.2(c)[A]), an open Viva-Voce examination for the candidate shall be arranged and corresponding announcements will be made.
- (b) **(Viva-Voce Examination Board).** The Board for viva-voce shall comprise of :
 - (i) One Indian examiner who approved the thesis. If the Indian examiner is not available, the Vice-Chancellor may nominate another Indian examiner from the panel.
 - (ii) One member from the panel of Indian examiners who has not evaluated the thesis. If such an expert is not available, the Vice-Chancellor may nominate another expert from the panel or from some institutions/research establishments of repute.
 - (iii) **(Optional)** In addition, the Vice-Chancellor may nominate, at his discretion, another expert from the panel of examiners or from some institutions/research establishments of repute.
 - (iv) The supervisor(s) (Internal Examiner).
- (c) **(Recommendations)** The Viva-Voce Board shall make the final and a clear recommendation (see the Proforma as given in Appendix - XIX) whether the candidate
 - (i) be awarded Ph. D. degree, or
 - (ii) be asked to re-appear for a Viva-Voce examination, or
 - (iii) the thesis is rejected.
- (d) **(Re-examination)** In case of recommendation of re-examination (clause 9.2 (c)(ii)), the candidate shall be required to re-appear for a Viva-Voce examination before the same Board but not earlier than six months from the date of Viva-Voce examination.

10. AWARD OF Ph.D. DEGREE

- (a) The candidate shall be awarded Ph.D. degree with recommendations of the Academic Council on the report of the Board of Viva-Voce examination and the approval of the Executive Council. However, the candidate may be issued a Provisional Degree Certificate (see the format as given in Appendix - XX) if the Academic Council recommends the candidate for the award of Ph.D. degree.
- (b) The award of Ph.D. degree can be withdrawn in case the thesis submitted by the candidate is found to contain false or pirated results, or the candidate has been found to be involved in plagiarism. The procedures of withdrawal of the degree shall be in accordance with the policy of the University in these matters as in force from time to time.



GAUTAM BUDDH TECHNICAL UNIVERSITY, LUCKNOW

LIST OF FACULTIES AND FIELDS OF SPECIALIZATION **(See Clause 1.2(a) of the Ph D Ordinances approved on December 24, 2011)**

01. FACULTY OF ENGINEERING AND TECHNOLOGY

- 01 Agricultural Engineering
- 02 Biotechnology
- 03 Bioinformatics
- 04 Chemical Engineering
- 05 Chemical Technology
- 06 Civil Engineering
- 07 Computer Science and Engineering
- 08 Electrical Engineering
- 09 Electronics Engineering
- 10 Environmental Science and Engineering
- 11 Mechanical Engineering
- 12 Textile Engineering
- 13 Textile Chemistry
- 14 Carpet and Textile Technology
- 15 Materials Engineering

02. FACULTY OF ARCHITECTURE, PLANNING AND DEVELOPMENT

- 01 Architecture
- 02 Planning

03. FACULTY OF PHARMACY

- 01 Pharmaceutics
- 02 Pharmaceutical Chemistry
- 03 Pharmacology
- 04 Pharmacognosy
- 05 Pharmaceutical Analysis

04. FACULTY OF MANAGEMENT

- 01 Human Resource Management
- 02 Marketing
- 03 Finance
- 04 Operations Management
- 05 Strategic Management
- 06 Information Technology and Systems

05. FACULTY OF COMPUTER APPLICATIONS

06. FACULTY OF ARTS AND VISUAL COMMUNICATIONS

07. FACULTY OF APPLIED SCIENCES

- 01 Applied Chemistry
- 02 Chemistry
- 03 Mathematics
- 04 Physics

08. FACULTY OF TEACHING



GAUTAM BUDDH TECHNICAL UNIVERSITY, LUCKNOW

DETAILS OF FEES FOR THE PH D PROGRAMME

(See Clause 2.1(c) of the Ph D Ordinances approved on 24 December, 2011)

Sl. No.	Fee Head	Amount
1.	Application Form	Free (to be downloaded from the University website)
2.	Application Processing Fee	Rs. 1,000.00
3.	Registration Fee	Rs. 5,000.00
4.	Annual Fee	Rs. 5,000.00
5.	Thesis Evaluation / Examination Fee	Rs. 10,000.00
6.	Pre-Ph D Course Fee	As specified according to the mode of course arrangement

Notes:

1. The fees mentioned can be revised from time to time. The revised fee schedule will be announced through the University website.
2. For Pre-PhD course, the candidates will be required to pay the required course fee as prescribed/approved by the University from time to time, or as prescribed by the institutions offering the course. The fee may, in general, vary from course to course depending upon its nature and required resources.



GAUTAM BUDDH TECHNICAL UNIVERSITY, LUCKNOW

FORMAT FOR SYNOPSIS OF PROPOSED RESEARCH

(See Clause 2.1(c) of the Ph D Ordinances approved on 24 December, 2011)

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- | | | |
|-----|-----------------|-----------------------|
| [1] | Name : | Ph D Roll No. : |
| [2] | Faculty/Field : | |
| [3] | Supervisors : | |
-

0. Title Page (one page)
(Proposed Title of the Thesis, Name of the Candidate, Roll No., Name of Supervisors, Field of Study, Faculty, University Name, Date)
1. Brief Introduction (one page) :
(Aims and Objectives of the Research in about 200 words)
2. Brief Review of the Previous Work (national and international) (two pages) :
3. Identification of Research Problem (one page) :
4. Expected Impact on Academics/ Industry (one page) :
5. Methodology of the Research Work (one-two pages) :
6. Major Inputs (infrastructure) Required (one page) :
7. List of up- to-date References (in standard format) (two pages) :
(books, international journals, national journals, reports, etc.)
8. Schedule of Activities (PERT Chart) (one page):

Note: The synopsis should not have more than ten (10) pages and it must have signatures of candidate, supervisors and the counter signature of the Head of Institution / Organization (Place of Research Work).

Signature of the Candidate

Name and Signature of Supervisor(s)

Counter Signature of the Head of Institution / Organization



GAUTAM BUDDH TECHNICAL UNIVERSITY, LUCKNOW

FORMAT FOR RESEARCH PROPOSAL

(See Clause 2.3(a) of the Ph D Ordinances approved on 24 December, 2011)

-
- | | | |
|-----|-----------------|-----------------------|
| [1] | Name : | Ph D Roll No. : |
| [2] | Faculty/Field : | |
| [3] | Supervisors : | |
-

1. Title Page (one page)
(Proposed Title of the Thesis, Name of the Candidate, Roll No., Name of Supervisors, Field of Study, Faculty, University Name, Date)
2. Introduction (one page) :
(Aims and Objectives of the Research in about 300 words)
3. Review of the Previous Work (national and international) (3-4 pages) :
(Critical review of the related work issue wise; not a chronological abstraction. Should organize the literature reviewed in a matrix form for example, with issues as columns and references as rows; or otherwise. Should highlight the updates at every progress review)
4. Identification of Research Gap and Problem (one page) :
(Should be linked with the Literature Review with emphasis on importance of the proposed work)
5. Expected Impact on Academics/ Industry (one page) :
6. Methodology of the Research Work (one-two pages) :
7. Major Inputs (infrastructure) Required (one page) :
8. List of up- to-date References (in standard format)
(should build up with progress of time ; list books, international journals, national journals, reports, etc.)
9. Time and Physical Progress of Work (a PERT Chart) (one page):

Signature of the Candidate

Name and Signature of Supervisor(s)



GAUTAM BUDDH TECHNICAL UNIVERSITY, LUCKNOW

(See Clause 2.3 (b) of the Ph D Ordinances approved on 24 December, 2011)

PhD ENROLMENT FORM

ENROLMENT NO :
(to be filled by the Office)

Recent passport size
photograph with
signature of the
candidate across the
photograph

Important : Read the form carefully before filling and attach the required documents.

Registration and Enrolment Fee Details

Demand Draft No.

Date of Issue :

Amount : Rs. Issuing Bank : Branch :

(The Demand Draft should be in favour of **The Finance Officer, Gautam Buddh Technical University, Lucknow** payable at **Lucknow**.)

1. FACULTY :
(see the list)

--

2. FIELD :
(see the list)

--

3. DATE OF INTERVIEW :
(Date of Admission)

Date

Month

Year

4. NAME OF CANDIDATE :

(in Hindi)	
(in English)	

5. DATE OF BIRTH :

Date

Month

Year

6. FATHER'S NAME :

(in English)	

7. MOTHER'S NAME :

(in English)	

8. PERMANENT ADDRESS :

9. MAILING ADDRESS :

10. TELEPHONE/FAX NUMBERS :

Cell		Landline		Fax	
-------------	--	-----------------	--	------------	--

11. eMAIL :

1.	2.
-----------	-----------

12. CATEGORY (Encircle the appropriate box) :

SC	ST	OBC	GEN
-----------	-----------	------------	------------

13. GENDER (Encircle the appropriate box) :

Male	Female
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14. RELIGION (optional) :

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15. DETAILS OF QUALIFYING EXAMINATION(S) (Attested copies MUST be attached) :

Qualifying Examination	Subjects/Group/ Branch of Engg.	University	Year	% Marks /CGPA	Division

16. MIGRATION CERTIFICATE from Institution/ University last attended (must be attached in original)

Details of Migration Certificate

17 . DETAILS OF EMPLOYMENT (updated) : (if applicable) in chronological order

Organization	From	To	Designation	Nature of Responsibilities

18. DETAILS OF RESEARCH PUBLICATIONS (updated) : (if any) (Attach the reprints)

Author(s)	Title of the Paper	Journal/Conference	Volume, No. Page(s)	Year

DETAILS ABOUT PROPOSED RESEARCH AND SUPERVISOR(S)**19. PROPOSED RESEARCH TOPIC :**

.....

20. NAME(s) of SUPERVISORS(s) :

Qualifications :

Designation :

Address for Correspondence :

.....PIN :

Phone No. ()..... Mobile No. email :

(Note : In case of more than one supervisor, a separate sheet may be attached with the details).**21. PROPOSED PLACE OF WORK :**

.....

DECLARATION BY THE CANDIDATE

- I declare that I have read the rules, the relevant Ph D Ordinance and undertake to abide by them and will not claim any benefit out of some error or mistake on the part of University Office.**
- I declare that I am not approaching any other University nor I have simultaneously registered for any other certificate, diploma or degree at any other University nor I am appearing at any examination of this University or any other University.**

3. I hereby declare that the entries furnished in the form and enclosures are true to the best of my knowledge and belief. In case any entry in this form is found to be false, I will have no objection if the University disqualifies me from the programme and /or debar me from seeking admission in any programme of the University even at a later stage.
4. I hereby declare that I shall abide by the rules and regulations of the University issued from time to time.

Place :

Full Signature :

Date :

Name :

LIST OF ENCLOSURES

1.

2.

3.

4.

5.

6.

Full Signature :



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PROPOSAL OF CONDUCT OF PRE-Ph D COURSES

(See Clause 3.3(a) of the Ph D Ordinances approved on December 24, 2011)

1. **Name of Candidate:**
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Admission** :
5. **Title of the Course** (as suggested ☐ directly by the RDC/ ☐ by Thesis Supervisor)
.....
6. **Proposed Plan of Completing the Course**
 - (1) Please ensure that the course proposed is a PG level course.
 - (2) Tick any one of the following three options.
☐ **[A] Regular Course (of a recognized Institution /University)**
 - (i) Course No. and Title :
.....
 - (ii) Credit/Units Total Contact Hours :
 - (iii) Course Contents as given in the prospectus (please attach a separate sheet).
 - (iv) Scheme of Evaluation : (please attach a separate sheet).
 - (v) Name of the Instructor :
 - (vi) Name and Address of the Institution where the course is going to being offered :
.....
☐ **[B] Short Term Course (conducted by a recognized Institution /University)**
 - (i) Course Title :
 - (ii) Duration :days Total Contact Hours :
 - (iii) Course Contents as given in the announcement (please attach a separate sheet).
 - (iv) Scheme of Evaluation : (please attach a separate sheet).
 - (v) Name(s) of the Coordinator(s)
 - (vi) Name and Address of the Institution/Organization conducting the course
.....
☐ **[C] Through a Mentor (conducted by a recognized faculty at a recognized Institution/University) [See Appendix VII and VII(a)]**
 - (i) Course Title :
 - (ii) Duration :days Total Contact Hours :
 - (iii) Course Contents as given in the announcement (please attach a separate sheet).
 - (iv) Scheme of Evaluation : (please attach a separate sheet).
 - (v) Name(s) of the Mentor(s)
 - (vi) Name and Address of the Institution/Organization where the course is going to be conducted
.....

Enclosures :

(Thesis Supervisor(1))

(Thesis Supervisor(2))

(Candidate)



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PROPOSAL OF CONDUCT OF A PRE-Ph D COURSE THROUGH MENTOR

(See Clause 3.3(b) of the Ph D Ordinance approved on December 24, 2011)

1. **Name of Candidate:**
2. **Enrollment /Roll No.:**
3. **Faculty and Field :**
4. **Date of Admission :**
5. **Title of the Course (as suggested ☐ directly by the RDC/ ☐ by Thesis Supervisor)**
.....

6. **Course Contents (Please ensure that the course proposed is a PG level course)**

The proposed course to be conducted through the mentor(s) should comprise the following bodies :

- Philosophy and Objectives of the Course
- Course Contents (suitably decomposed into identifiable units indicating the contents and contact duration in hours of each unit)
- Total Duration : hours
- Pedagogy : Lectures, presentations, practical sessions, tests

7. **Suggested Text Books and Reference Sources**
(indicating the corresponding units for each suggested book and other reference resource)

8. **Plan of Study**
For each unit,

Duration : weeks

Period : From To

9. **Scheme of Evaluation**

Assignments and Practicals : (25% approx)

Examination 1 : (25% approx)

Examination 2 : (50% approx)

10. **Any Other Relevant Information**

(Mentor)
(Designation and Address)

(Thesis Supervisor(1))

(Thesis Supervisor(2))

(Candidate)

Chairman, RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

A SAMPLE PROPOSAL OF A PRE-Ph D COURSE

(See Clause 3.3(b) of the Ph D Ordinance approved on December 24, 2011)

1. **Course No. :**
2. **Course Title : RESEARCH METHODOLOGY**
3. **Philosophy of the Course :** Doctoral research journey presents challenges and opportunities to develop critical thinking skills and capability for making sense of myriads of facts, figures, data and information. Experience shows that there is no substitute for doing and personal involvement in producing a comprehensive and citable dissertation at the end of the journey. Knowledge of research methodology provides the scholar with the general background needed for doing research in a domain. This course offers an opportunity to the scholars to be self-dependent and confident in selecting and applying research method appropriate to the research problem under investigation.
4. **Course Objectives :** The major objective of the course is to refresh the knowledge base in qualitative and quantitative research methodologies. The course will help in reviving and updating the knowledge on various research methods through lecture sessions, peer interaction, classroom learning and exercises with the recent computer software packages.
5. **Course Contents :** Credits = 3 Total : 40 contact hours
 - UNIT I :** (3 hrs)
Defining research and research problems, classification of research; Scientific explanation and social science/ management research; Review of existing work.
 - UNIT II :** (2hrs)
Research questions; Research framework; Hypotheses formulation.
 - UNIT III :** (3hrs)
Research design formulations; Classification of research design - exploratory research design; descriptive research design; and causal & experimental research design.
 - UNIT IV :** (4hrs)
Measurement and scaling; Scales of measurements, Comparative and non-comparative scaling techniques questions; research framework; hypotheses formulation.
 - UNIT V:** (4hrs)
Tools of data collection; Questionnaire design – process and structure; Reliability and validity
 - UNIT VI :** (3hrs)
Sampling design and procedure; Classification of sampling techniques; Sample size.
 - UNIT VII :** (2hrs)
Data collection, data preparation; data reporting.
 - UNIT VIII :** (12 hrs)
Overview of statistical techniques for data analysis – descriptive statistics, theoretical distributions, central limit theorem, testing of hypothesis, regression analysis, correlation analysis, inferencing, non-parametric statistics and tests, analysis of variance (ANOVA),

experimental design, response surface methodology, uni-variate and multi-variate analysis

UNIT IX :

Qualitative research

(2hrs)

UNIT X :

Exercises and use of computer software packages

(5 hrs)

= 15 lab hrs

6. Suggested Readings :

1. Naresh K Malhotra : Marketing Research – An Applied Orientation, Pearson Education
2. Cooper D R and Schindler P S : Business Research Methods, 9ed. Tata McGraw Hill
3. Hankle J E and Wichern D W : Business Forecasting, 6e, Pearson Education
4. Kline T J B : Psychological Testing – A Practical Approach to design and Evaluation, Sage
5. Hair, Anderson, Tatham and Black : Multivariate Data Analysis, 5e, Pearson Education
6. Lattin J, Carroll J D and Green P E : Analyzing Multivariate Data, Cengage Learning
7. Sharma J K : Business Statistics, 2e, Pearson Education
8. Manuals of SPSS, SAS etc.

7. Course Evaluation Scheme (use the following format)

	Weightage	Remarks
Assignments	15%	
Laboratory Sessions	25 %	
Tests	20%	
Final Examinations	40%	

8. Signatures with Date

(Instructor/)
Course Coordinator/
Mentor)

(Thesis Supervisor)

(Ph D Student)

Chairman, RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PROGRESS REPORT OF A PRE-Ph D COURSE

(See Clauses 3.3 (b), 3.4(a) and 3.4(b) of the PhD Ordinances approved on Dec. 24, 2011)

1. **Name of Candidate:**
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Starting the Course** : :
5. **Title of the Course** (as approved by the RDC)
.....
6. **Plan of Completing the Course** : Tick the already approved option.
☐ [A] Regular Course (of a recognized Institution /University)
☐ [B] Short Term Course (conducted by a recognized Institution /University)
☐ [C] Through a Mentor (conducted by a recognized Institution /University)
7. **Course Details**
 - (i) **Course No. and Title** :
.....
 - (ii) **Credit/Units** **Total Contact Hours** :
8. **Course Progress Details** (use the following format)

Unit	Contents Completed	Contact Hours	Duration From To
.....			
.....			
9. **Course Evaluation** (use the following format)

	Contents Covered	Dates	Marks Obtained
Assignment			
.....			
Test			
.....			
10. **Evaluation Report**
 - ☐ The candidate has completed approximately % of the total course contents and marks obtained through various evaluation schemes are out of
 - ☐ The candidate has completed the course covering all the proposed contents and marks obtained through various evaluation schemes are out of 100.
11. **Comments (Feed back on the course)**

Enclosures :

- Copies of Assignments pages
- Copies of the Test Papers pages
- List of Experiments/practical sessions conducted

(Please send the report in a sealed envelope)

(Instructor/Course Coordinator/ Mentor)

Chairman, RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

Ph.D. PROGRESS REVIEW AND MONITORING REPORT

(See Clauses 3.4(b), and 5.2 (c) of the Ph D Ordinances approved on December 24, 2011)

Meeting No. Date of Meeting :

FACULTY :

FIELD

1. Name of Candidate:
2. Enrollment No. :
3. Research Topic (as at present):
.....
4. Research Place :
5. Supervisor -1 :
6. Supervisor -2 :

Ph D RESEARCH PROGRESS REVIEW

1. Research Progress : Satisfactory/ Not Satisfactory

Comments :
.....
.....
.....

2. Progress of Pre-Ph. D Courses Suggested

.....
.....
.....
.....

- 3.. Progress of Publications

.....
.....

COMMITTEE MEMBERS

1. Name Signature :
2. Name Signature :
3. Name Signature :



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PROPOSAL OF CHANGE/SUBSTITUTION OF Ph D THESIS

SUPERVISOR

(See Clause 4.2 (b) of the Ph D Ordinances approved on December 24, 2011)

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Admission** :

DETAILS OF EXISTING Ph D THESIS SUPERVISOR(S)

List of Existing Supervisors :

- (1)
- (2)
- (3)

DETAILS OF EXISTING Ph D THESIS SUPERVISOR TO BE SUBSTITUTED

- (a) **Name** :
 - (b) **Present Designation** :
 - (c) **Institution/University/Organization where working** :
 - (d) **Address for Correspondence** :PIN :
- Phone No. (.....)..... Mobile No. email :

DETAILS OF THE NEW Ph D THESIS SUPERVISOR

- (a) **Name** :
 - (b) **Present Designation** :
 - (c) **Institution/University/Organization where working** :
 - (d) **Address for Correspondence** :PIN :
- Phone No. (.....)..... Mobile No. email :

(e) Qualifications :

Degree	Discipline	Board/College/University	Year	Division
Bachelors				
Masters				
Doctoral				
Any Other				

(f) Fields of Specialization :**(g) Total Experience (yrs.):** (i) Teaching: (ii) Research :

(h) Publications : Refereed Journals (i) International: (ii) National :

Conference Proceedings (i) International: (ii) National :

(i) Total Number of Supervision : Ph. D. : Masters :**(j) No. of research candidates already enrolled in**

(i) G B Technical University : (ii) Other University :

(k) Are you already an Approved Ph D Thesis Supervisor of G B Technical University ?
 (If not, kindly enclose a copy of your detailed curriculum vitae)

Enclosures :

(Thesis Supervisor(Outgoing)

(Thesis Supervisor(Incoming)

(Thesis Supervisor (other, if any))

Chairman, RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PROPOSAL FOR INDUCTION OF AN ADDITIONAL Ph D THESIS SUPERVISOR

(See Clause 4.2 (c) of the Ph D Ordinances approved on December 24, 2011)

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Admission** :

DETAILS OF EXISTING Ph D THESIS SUPERVISOR(S)

List of Existing Supervisors :

- (1)
- (2)
- (3)

DETAILS OF THE NEW Ph D THESIS SUPERVISOR

- (a) **Name** :
- (b) **Present Designation** :
- (c) **Institution/University/Organization where working** :
.....
- (d) **Address for Correspondence** :
.....PIN :
Phone No. (.....)..... Mobile No. email :
- (e) **Qualifications** :

Degree	Discipline	Board/College/University	Year	Division
Bachelors				
Masters				
Doctoral				
Any Other				

- (f) **Fields of Specialization :**

 (g) **Total Experience (yrs.):** (i) Teaching: (ii) Research :
 (h) **Publications :** Refereed Journals (i) International: (ii) National :
 Conference Proceedings (i) International: (ii) National :
 (i) **Total Number of Supervision :** Ph. D. : Masters :
 (j) **No. of research candidates already enrolled in**
 (i) G B Technical University : (ii) Other University :
 (k) Are you already an **Approved Ph D Thesis Supervisor of G B Technical University** ?
 (If not, kindly enclose a copy of your detailed curriculum vitae)

Enclosures :

(Thesis Supervisor (incoming))

(Thesis Supervisor(s) existing)

Ph. D. Candidate

Approval by RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

REQUEST FOR EXTENSION OF Ph D DURATION

(See Clause 6 (d) of the Ph D Ordinances approved on December 24, 2011)

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Admission** :

DETAILS OF PROGRESS OF Ph D WORK (as on date)

Pre-PhD Course Work :

.....

Research Progress :

.....

Publications :

.....

REASONS OF EXTENSION OF DURATION

(may attach an additional sheet, if necessary)

Periods of Extensions already Granted :

Period up to which Extension is requested:

Ph. D. Candidate

RECOMMENDATIONS OF THESIS SUPERVISOR(S)

(may attach an additional sheet, if necessary)

Enclosures :

Approval by RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

REQUEST FOR CHANGE OF Ph D WORK PLACE

(See Clause 7 (c) of the Ph D Ordinances approved on December 24, 2011)

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty and Field** :
4. **Date of Admission** :
5. **Present Place of Work**:

DETAILS OF PROGRESS OF Ph D WORK (as on date)

Pre-PhD Course Work :

.....

Research Progress :

.....

Publications :

.....

PROPOSED PLACE OF Ph D RESEARCH WORK

1. **Name of the Organization** :

2. **Contact Details** :

Phone : Fax : e-mail :

Ph D Candidate

RECOMMENDATIONS OF THESIS SUPERVISOR(S)

(may attach an additional sheet, if necessary)

Signature of Supervisor(s)

Signature of Head of Previous Work Place

Signature of Head of Proposed Work Place

Approval by RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

CERTIFICATE FROM THESIS SUPERVISOR(S) FOR Ph D THESIS SUBMISSION

(See Clause 8.2 (c) of the Ph D Ordinances approved on December 24, 2011)

The Research Summary and the Thesis for Evaluation should be accompanied with this Certificate issued by the supervisor (s) stating the following (see the latest "Guidelines for Preparation of Ph. D. Thesis" of the University for the format of the Certificates).

1. **Name of Candidate** :
 2. **Enrollment No.** :
 3. **Faculty and Field** :
 4. **Date of Admission** :
-

I/We certify

- (i) that the thesis embodies the original work of the candidate and it has not been earlier submitted for any Degree or Diploma.
- (ii) that the candidate worked under him/them for the period prescribed by the RDC.
- (iii) that he/she has put in not less than 200 days of attendance for full time at the designated place of work with at least one of the supervisor (s).
- (iv) that the thesis fulfils the requirements of the clause 8.1.

Names and Signature of Thesis Supervisor(s)

.....
.....
.....

FOR THE OFFICE USE



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

PERMISSION OF RDC TO SUBMIT THE Ph D RESEARCH SUMMARY AND THESIS FOR EVALUATION

(See Clause 8.2 (d) of the Ph D Ordinances approved on December 24, 2011)

RDC Meeting No. Date of Meeting :

FACULTY : FIELD:.....

1. Name of Candidate:
2. Enrollment No. :
3. Research Topic (as at present):
.....
4. Research Place :
5. Supervisor -1 :
6. Supervisor -2 :

REVIEW

1. Research Progress : ☐ Satisfactory/ ☐ Not Satisfactory
Comments :
2. Progress of Pre-Ph. D Courses Suggested : ☐ Satisfactory / ☐ Not Satisfactory
Comments :
- 3.. Progress of Publications : ☐ Satisfactory / ☐ Not Satisfactory
Comments :

RECOMMENDATIONS

1. Permission granted for submission of Research Summary and preparation of thesis for evaluation
☐ YES ☐ NO
2. Permission granted for submission of Research Summary with conditions :
Comments :
3. Other remarks (if required) :

COMMITTEE MEMBERS

1. Name Signature :
2. Name Signature :
3. Name Signature :



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

APPLICATION FOR Ph D THESIS SUBMISSION FOR EVALUATION

(See Clause 8.4.1(b) of the Ph D Ordinances approved on December 24, 2011)

The Application to be Submitted in Duplicate

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty** :
4. **Field** :
5. **Date of Admission** :
6. **Date of Permission of RDC for Submission** :

CERTIFICATE FOR Ph D THESIS SUBMISSION FOR EVALUATION

1. Thesis Preparation Guide was referred to for preparing the thesis. ☐ YES ☐ NO
2. Specifications regarding thesis format have been closely followed. ☐ YES ☐ NO
3. The contents of the thesis have been organized based on the guidelines. ☐ YES ☐ NO
4. The thesis has been prepared without resorting to plagiarism. ☐ YES ☐ NO
5. All sources used have been cited appropriately. ☐ YES ☐ NO
6. The thesis has not been submitted elsewhere for a degree. ☐ YES ☐ NO
7. Submitted 4 spiral bound copies plus one CD. ☐ YES ☐ NO
8. * Compliance Report (in case of major revisions). ☐ YES ☐ NO

(Signature of the Candidate)

Name:.....

Names and Signature of Thesis Supervisor(s)

.....

FOR THE OFFICE USE



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

APPLICATION FOR FINAL Ph D THESIS SUBMISSION

(See Clause 8.4.2(a) of the Ph D Ordinances approved on December 24, 2011)

The Application to be Submitted in Duplicate

1. **Name of Candidate** :
2. **Enrollment No.** :
3. **Faculty** :
4. **Field** :
5. **Date of Admission** :
6. **Date of Viva Voce Examination** :

CERTIFICATE FOR FINAL Ph D THESIS SUBMISSION

1. Thesis Preparation Guide was referred to for preparing the thesis. ☐ YES ☐ NO
2. Specifications regarding thesis format have been closely followed. ☐ YES ☐ NO
3. The contents of the thesis have been organized based on the guidelines. ☐ YES ☐ NO
4. The thesis has been prepared without resorting to plagiarism. ☐ YES ☐ NO
5. All sources used have been cited appropriately. ☐ YES ☐ NO
6. The thesis has not been submitted elsewhere for a degree. ☐ YES ☐ NO
7. All the corrections suggested by the examiners and viva voce Board members have been incorporated. ☐ YES ☐ NO
8. Submitted 2 hard bound copies plus one CD. ☐ YES ☐ NO

(Signature of the Candidate)

Name:.....

Names and Signature of Thesis Supervisor(s)

.....

FOR THE OFFICE USE



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

EVALUATION REPORT OF Ph D THESIS

(See Clause 9.1 (c) of the Ph D Ordinances approved on December 24, 2011)

CONFIDENTIAL

1. **Name of Candidate:**
2. **Enrollment No.** :
3. **Thesis Title** :
4. **General Features of the Thesis :**
 - (i) **Organization and Presentation :**
 - (ii) **Is the quality of the work comparable with that in other universities of repute ?**

YES	NO
-----	----
 - (iii) **Does the thesis embody any new ideas with original thoughts and makes a significant contribution to knowledge?**

YES	NO
-----	----
5. **Comments :** (A separate sheet may be attached)
 - (i) **Composition, grammar, language or typographical errors.**
 - (ii) **Technical contents the thesis.**
 - (iii) **Highlights, strong and weak points in the thesis.**
6. **Queries and Suggestions :** (A separate sheet may be attached)
 Queries and/or suggestions for minor or major modifications may be mentioned with adequate details so as to enable the candidate (i) to prepare a written response and also (ii) to incorporate the suggestions into the thesis to the satisfaction of supervisor(s), and/or of viva-voce board and/or of the examiner, as outlined in section 7 of this report.
7. **Specific Recommendations.** Tick mark (✓) only one of the followings.
 - [A] **(Acceptable)** The thesis is acceptable as it is.
 - [B] **(Acceptable after Minor Technical Revisions/Language Corrections)** The thesis is acceptable after minor revisions as specified in my suggestions, to the satisfaction of the viva-voce examination board.
 - [C] **(Major Technical Modifications and Re-evaluation)** The thesis needs major technical improvements/modifications which must be carried out to my satisfaction before I recommend the thesis for acceptance.
 - [D] **(Rejected).** The thesis is rejected as it does not meet the minimum standards.
8. **Questions** to be asked at the time of viva-voce examination **(optional)** (maximum upto 5). Should the questions be communicated to the candidate before the oral examination ?

YES	NO
-----	----

(Name and Signature of the Examiner)

No. of sheets attached :

(e-mail contact number.....)

(It is the policy of the University not to reveal the names of the examiners requested for evaluation of Ph D thesis)



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW

REPORT OF VIVA-VOCE EXAMINATION OF Ph D THESIS

(See Clause 9.2 (c) of the Ph D Ordinances approved on December 24, 2011)

CONFIDENTIAL

1. Name of Candidate:
2. Enrollment No. :
3. Thesis Title :
.....
4. Thesis Supervisor :
Name :
Affiliation :

Thesis Supervisor :
Name.:
Affiliation.:
5. Overall Comments of the Board on the Viva-Voce Examination :
.....
.....
.....
6. Report of the Viva-Voce Board :
☐ The candidate is recommended for the award of the Ph.D. degree.
☐ The viva-voce examination is not satisfactory. The candidate is advised to reappear in viva-voce examination any time after six months.
7. Signature of Viva-Voce Board Members :

Name	Affiliation	Signature
1.
2.
3.
8. Thesis Supervisor(s) :

Name	Signature	Name	Signature
1.	2.

Chairman, RDC



GAUTAM BUDDH TECHNICAL UNIVERSITY LUCKNOW
(Formerly U. P. Technical University)
I.E.T. Campus, Sitapur Road, Lucknow – 226 021

PROVISIONAL DEGREE CERTIFICATE

(See Clause 10(a) of the Ph D Ordinances approved on December 24, 2011)

This is certified that **Mr./Ms.(Full Name).....** (Enrollment No.) s/o {(d/o)} Shri has successfully completed all the requirements as per the University Ordinances for the award of the degree of **Doctor of Philosophy** in the field of **.....(Field).....** in the faculty of **.....(Faculty).....** .

The thesis entitled “ **[ALL CAPITALS]** ” submitted to the Gautam Buddh Technical University has been accepted by the University on the recommendations of the viva-voce board on {month date, year}.

The degree will be awarded in the next convocation.

Dated :

(Name)
Registrar