

R.33 Regulations for Ph.D. (Tech.) and Ph.D. (Sc.) Programmes

1. Eligibility Criteria

1.1 Ph.D. (Science) Programmes

1.1.1 Regular Ph.D. Programmes: Candidates who have completed:

A 1-year/2-semester master's degree programme in science after a 4-year/8-semester bachelor's degree programme in science or a 2-year/4-semester master's/M/Phil degree programme in science after a 3-year bachelor's degree programme in science or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade (6 on a 10-point scale) wherever grading system is followed

OR

equivalent qualification from a foreign educational institution accredited by assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade (0.5) may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

1.1.2 Direct Ph.D. Programmes: A candidate seeking admission after a 4-year/8-semester bachelor's degree programme in science should have a minimum of 75% marks in aggregate or its equivalent grade (8 on 10-point scale), wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade (0.5) may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

1.2 Ph.D. (Tech.) Programmes

1.2.1 Regular Ph.D. Programmes: A candidate having a Master's degree in engineering and technology or integrated masters degree or dual degree (Bachelors and Masters), of any University recognized by the UGC, with at least 55% marks in aggregate or its equivalent grade (6 on a 10-point scale) wherever grading system is followed.

OR

equivalent qualification from a foreign educational institution accredited by assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade (0.5) may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

1.2.2. Direct Ph.D. Programmes: A candidate seeking admission after a 4-year/8-semester bachelor's degree programme with honors/research degree in engineering and technology should have a minimum of 75% marks in aggregate or its equivalent grade (8 on a 10 point scale) wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade (0.5) may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

1.3 Ph.D. for External Candidates

Apart from regular full-time on-campus candidates, the following candidates are also eligible for admission to

Ph.D. (Tech.)/ Ph.D. (Sci.) Programmes.

- I. Permanent full-time teachers of Colleges/Institutes.
- II. Employees of National Laboratories/ Government Institutions.
- III. Employees of Industry.

Following are the eligibility criteria under each category as mentioned above

I. Eligibility Criteria for Teachers for Admission for admission to Ph.D. Programmes

- a) The candidate should be a permanent teacher having full time teaching experience of at least two years in Science or Engineering and Technology Degree Colleges/Institutes/Universities as approved by UGC/AICTE. Candidates will have to submit a No Objection Certificate (NOC) from respective college/institute as per the format given as **ANNEXURE-1**.
- b) The candidates will have to submit an affidavit as per the format given in **ANNEXURE-2**
- c) Eligibility of these candidates will be based on the procedure followed for other candidates, namely, entrance test plus interview etc.
- d) All the other rules for eligibility, admission, course work, RPC etc for regular Ph. D. candidates are also applicable to these candidates.

II. Eligibility Criteria for Candidates working in National Laboratories/ Government Institution to Ph.D. Programmes

- a) The candidate should be a permanent employee working in Government Institutions such as CSIR National Laboratories, DAE, DRDO Institutions, etc. having a minimum of 2 years of experience after bachelor/masters degree. The candidates will have to submit No Objection Certificate (NOC) from the respective Institution as per the format given in **ANNEXURE-1**.
- b) The candidates will have to submit affidavit as per the format given in **ANNEXURE-3**.

- c) Eligibility of these candidates will be based on the procedure followed for other candidates, namely, entrance test plus interview etc.
- d) All the other rules for eligibility, admission, course work, RPC etc for regular Ph. D. candidates are also applicable to these candidates.

III. Eligibility Criteria for Industry-Sponsored in-house candidates to Ph.D. Programmes

- a) The candidate should have a total experience of minimum two years after his/her bachelor/masters degree. It is not necessary that the experience should be from the same industry who is sponsoring the candidate. However, the industry should have an approval from ICT as per the clause 15 given below. The candidate will have to submit No Objection Certificate (NOC) from the employer as per the format given in **ANNEXURE-1**.
- b) The candidates will have to submit an affidavit as per the format given in **ANNEXURE-4**.
- c) Eligibility of these candidates will be based on the procedure followed for other candidates, namely, entrance test plus interview etc.
- d) All the other rules for eligibility, admission, course work, RPC etc for regular Ph. D. candidates are also applicable to these candidates.

2. Procedure for admission to Ph.D. Programmes

2.1 The admission shall be based on the criteria notified by ICT in the admission Handbook, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned and taking into account the reservation policy of the State of Maharashtra/Central Government from time to time.

2.2 Admission to the Ph.D. programme shall be made using the following methods:

- i. The Institute will admit students who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/CEED/DST Inspire, and similar National level tests directly based on an interview. These candidates are exempted from the ICT Entrance Test.

OR

- ii. The institute will admit students through an Entrance Test conducted by ICT. The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject- specific.
- iii. Students who have secured 50% marks in the entrance test are eligible to be called for the interview.
- iv. A relaxation of 5% marks or its equivalent grade (0.5) may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- v. 70% weightage will be given for ICT entrance test scores and 30% weightage for the interview for admission to Ph.D. programmes. The Ph.D. admission will be based on the combined merit list.

- vi. The marks obtained by the candidate in the entrance test will be valid for one academic year from the date of the test.
- vii. With reference to **No.F4-(UGC-NET Review Committee)/2024(NET)/140658, dated 28th March 2024**, students who qualify in Category-2 (Assistant Professor Appointment and Ph.D. admissions) and Category-3 (Ph.D. admission only) of UGC/CSIR NET examination and valid within one year of the declaration of the result, 70% weightage will be given for test scores and 30% weightage for the interview for admission to Ph.D. programmes. The Ph.D. admission will be based on the combined merit of the NET marks and the marks obtained in the interview/viva-voce. Such students are exempted from the ICT Entrance test.
- viii. The Institute will decide on the number of eligible students to be called for the interview based on the number of Ph.D. seats available.
- ix. Following may be the Ph.D. Interview committee composition: HoD, Dean Research and Innovation or his/her nominee, one senior faculty within the department, one faculty outside department and the prospective research supervisor/s.

2.3 Candidates from Institutes having specific MoU with ICT on joint or collaborative Ph.D. programmes are exempted from entrance test and interview provided they are already registered in other institutes.

3. Duration of the Ph.D. Programmes

3.1 Duration of the Ph.D. programme shall be the period from the date of admission to the programme to the date of submission of the draft thesis for the degree.

3.2 Ph.D. Programme shall be for a minimum duration of three (3) years including coursework and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

3.3 A maximum of an additional two (2) years can be given through a process of re-registration; provided however that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission to the Ph.D. programme. For the extension, the candidate will have to submit an application giving reasons and justification for the extension to the RPC. Based on the recommendations of the RPC an extension may be granted by the Dean (A.P.)

Provided further that female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission to the Ph.D. programme.

4. Research Progress Committee (RPC) and its Functions

4.1 There shall be a Research Progress Committee for every Ph.D. scholar. The RPC should consist of the research supervisor (Convenor of the committee), Co-supervisor (if any) and two additional members: one faculty member from the department and one faculty member from another department conversant with the area of research. The names of the committee members will be proposed by the candidate's research supervisor and approved by the Chairperson of the Research Recognition Committee (RRC) of the respective degree. This committee shall have the following responsibilities:

- a. To review the research proposal and finalize the topic of research.
- b. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- c. To periodically review and assist in the progress of the research work of the Ph.D. scholar.

4.2 At the end of each academic year a Ph.D. scholar shall submit a written report and make a presentation of the yearly progress to the RPC. The RPC will review the progress of the candidate. The RPC shall submit its recommendations in the enclosed format.

4.3 The readmission of the candidate in the next academic year will be subject to satisfactory progress and approval of RPC.

4.4 In case the progress of the Ph.D. scholar is unsatisfactory the RPC shall record the reasons for the same and suggest corrective measures to the student. If the Ph.D. scholar fails to implement these corrective measures, the RPC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

INSTITUTE OF CHEMICAL TECHNOLOGY

Report of RPC for the Academic Year: _____

Date of the Research Progress Review Meeting: _____

1. Name and Roll number of Research Scholar: _____

2. Name of the Ph. D. Programme and the Department: _____

3. Date of Admission to the Ph. D. Program: _____

4. Title of the Ph. D. topic registration: _____

5. Quality of work done: Excellent/Good/Satisfactory/Unsatisfactory

6. Quantity of work done: Enough/Just Sufficient/Insufficient

7. Publications/Papers presented/submitted:

8. Recommended of the RPC: (Tick whichever is applicable)

- (a) Recommended for registration to the Ph. D. degree with the topic mentioned above.
- (b) Recommended for Readmission
- (c) Recommended for enhancement in fellowship JRF to SRF if applicable
- (d) Ph. D. Colloquium presented. The quality of work done is satisfactory. Recommended for submitting the Synopsis of the thesis
- (e) Recommended for Readmission but with reservations about quality / quantity of work
- (f) Quality / Quantity of work is unsatisfactory, not recommended for continuation to Ph. D. Program
- (g) Ethical issues noticed, not recommended for continuation to the Ph. D. program
- (h) Any other reasons:

Signatures:

Name:

Member (RPC)

Member (RPC)

Supervisor

(Co-Supervisor if any)

5. Credit requirements and Course Work

5.1 The Credit requirements for the Ph.D. coursework is a minimum of 18 credits, including a Four Credit Course on Research Methodology, Two credit course on Research and Publication Ethics as notified by **UGC vide D.O. No. F.1-1/2018(Journal/CARE) in 2019**. The Research Progress Committee (RPC) can also recommend Swayam/NPTEL online courses as part of the credit requirements for the Ph.D. programme.

5.2 A maximum of 6 credits can be availed from MOOC courses as per regulation **R27**.

5.3 Candidates who have already completed a Four Credit Course of Research Methodology are exempted from doing the same again. Instead, they need to take another four-credit course as suggested by the RPC. In case a Ph.D. scholar has gone through a Research Methodology Course of less than 4 credits at UG/PG level, the candidate needs to complete the remaining credits as per recommendation from the RPC.

5.4 The courses to be taken by the scholar shall not be those already taken by the scholar for his Master's/bachelor's degree.

5.5 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade 6 in the 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

5.6 All Ph.D. scholars, irrespective of discipline, shall be required to be trained in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

5.7 Course work for direct Ph.D.

- a) The Candidates admitted to Ph.D. Programme as per clause 2 of eligibility criteria, that is, 4-year/8-semester bachelor's degree Programme in science and clause 5 of eligibility criteria, that is, 4-year/8-semester bachelor's degree Programme with honors/research degree in engineering and technology are required to acquire minimum of 12 additional credits pertaining to the research topic/domain as suggested by the RPC.
- b) These 12 credits will be in addition to mandatory 18 credits for regular Ph.D. students.

6. Appointment of Co-Guides/Caretaker Guides

6.1 A Ph.D. student may be co-guided by one or more guides recognized by the respective Research and Recognition Committee (RRC).

6.2 Whenever there is a need for the appointment of a co-guide, the research supervisor will take the consent of the proposed co-guide. The research supervisor will request the RRC of the subject for which the candidate is registered for the appointment of the co-guide by

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providing suitable justification along with the academic and professional credentials of the co-guide for the appointment of co-guide. The application for the appointment of co-guide will need to be made no later than the end of the second year of Ph.D. degree programme. Based on the recommendation of the RRC, the co-guide for the student would be appointed by the Dean (A.P.)

6.3 In case the research supervisor of the student(s) proceeds on leave for whatever reasons for a period of six months or more and if there is no co-guide appointed for the student, the research supervisor should request for the appointment of a caretaker guide(s) preferably from within the department for the student(s) to the respective RRCs. After receiving the consent from the proposed caretaker guide(s), the Chairperson of the respective RRC would recommend the appointment of caretaker guide(s). Based on the recommendations of the Chairperson of the respective RRC, the caretaker guide would be appointed by the Dean (A.P.). The name of the caretaker guide would not appear in the thesis.

7. Research Topic Registration

7.1 The Ph.D. Scholar after admission shall decide his topic of research in consultation with the Research Supervisor and the RPC and write a suitable Research Proposal in the prescribed format provided by ICT thesis section.

7.2 The scholar shall submit the Research Proposal and the title to the respective chairperson of RRC for approval within one year from the date of admission; in case of any delay beyond one year the research scholar has to give reasons for the delay forwarded through the Research Supervisor.

7.3 The research proposal shall be scrutinized with respect to - (i) appropriateness of the title of the proposed work, (ii) content, (iii) supervisor's recognition, and (iv) any other anomaly; and if satisfied shall be given approval by the respective RRC chairperson. The final approval will be done by the Dean (AP).

7.4 Modification of title/research proposal: A research scholar may be permitted to modify the title and/or research proposal any time after the initial approval by applying at least six months before the date of submission of the synopsis following the procedures mentioned in the clause 7.2 above.

8. Annual Readmission

8.1 All research scholars whose registration is still in force are required to continue their registration in person each year before the stipulated date by taking readmission as per the institute rules by paying the prescribed readmission fee.

8.2 The readmission is subject to satisfactory progress and recommendations from the

respective RPC.

8.3 Scholars need to clear all the dues before readmission as per the NO Dues format.

8.4 The readmission in absentia shall be granted by Dean (AP) on a written request recommended by the supervisor and the Head of Department/Centre Coordinator.

8.5 If a research scholar does not take readmission on/before the last date of readmission, without prior permission of the Dean (AP) he/she ceases to be a student, and the admission is liable to be cancelled.

8.6 Further if a scholar does not take readmission for two consecutive academic years, then his/her registration will be cancelled.

9. Leave Rules

9.1 Ph.D. scholars under fellowships from CSIR/UGC/DST/AICTE etc and other categories are governed by the rules of the bodies which provide financial support. In absence of specific rules of the funding agencies the students shall be governed by the Institute leave rules.

9.2 All Ph.D. scholars under fellowships are entitled for leave for a maximum of **30 days** per year in addition to Public Holidays. Also **10 days** leave on medical reasons is permitted. The leave due can be carried over to the next year and accumulated up to **90 days**.

9.3 Female Ph.D. scholars are entitled for maternity leave/childcare leave at the full rate for a period of not exceeding **240 days** once during the tenure of their studentship. This should be supported by a medical certificate.

9.4 Male Ph.D. Scholars are entitled for **15 days** paternity leave once during the tenure of their award. This should be supported by a medical certificate.

9.5 Special Leave to attend Seminars/Conferences in India/abroad to present research papers is admissible.

9.6 The Head of Department/Centre Coordinator is authorized to sanction the above leaves as per recommendations from the supervisor.

9.7 No vacation in Summer/Winter is admissible.

10. Ph. D. Colloquium, Synopsis submission and Appointment of thesis examiners, Draft Thesis submission

10.1 Pre-Ph.D. Presentation (Colloquium)

10.1.1. The research scholar who has completed a major portion of his/her research work shall

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make a pre-Ph.D. presentation (colloquium) in the Department before the RPC.

10.1.2. The scholar shall be permitted to submit the synopsis only after giving the colloquium.

10.1.3. It is required that the candidate would have forwarded at least one research paper to a peer reviewed/Scopus/UGC Care journal.

10.1.4. The colloquium shall be presented at least two weeks before submitting the synopsis.

10.1.5. The colloquium will be arranged by the Department with at least one week's notice and shall be open to all the interested faculty members and students.

10.1.6. The RPC will assess the work through a colloquium and report. The student can submit the synopsis only if the panel is satisfied about the quality and quantity of the work for submission as a Ph.D. thesis.

10.1.7. The Convener of the RPC will forward the reports to the Academic Office. List of Publications/Conference Proceedings/Patents arising out of the thesis/other outcomes if any are to be submitted along with the report.

10.1.8. The scholar shall submit the synopsis within 60 days after the colloquium.

10.1.9. The feedback and comments received during the colloquium may be used while completing the work and may be suitably incorporated into the draft thesis in consultation with the RPC.

10.1.10. If the synopsis is not submitted in the specified period, the student is required to present the colloquium again. Maximum of two repeat colloquiums shall be admissible due to unforeseen circumstances if any. Failing to do so the student's registration is liable for cancellation.

10.2 Synopsis Submission

10.2.1. The research scholar shall submit the synopsis of his/her thesis in the prescribed format at least one month prior to the submission of the thesis.

10.2.2. Synopsis can be submitted only after successful completion of the colloquium and recommendation by the RPC.

10.2.3. The synopsis should clearly highlight in a concise manner the work to be presented in the thesis.

10.2.4. Along with the synopsis of the thesis, the research supervisor is required to submit four (4) names of possible examiners of the thesis, preferably after taking the consent of the concerned person for being the examiner. The names of the examiners should satisfy the following conditions:

10.2.5. The examiner should be: (i) a Ph.D./D.Sc. degree holder in the same subject of the thesis, (ii) a scholar of established reputation and competence in the field of thesis, (iii) having a minimum of five years' experience in academics or industry after Ph.D., and (iv)

At least one examiner out of the four names of examiners should be from outside Maharashtra.

10.2.6. The external examiner should not be (i) a family member/blood relation of the candidate/research supervisor/co-supervisor; these include brother, sister, spouse, first maternal and paternal uncle/aunt, and first cousins; (ii) past student of the same research supervisor; (iii) past teacher from the ICT; (iv) any person from an institute/organization other than ICT under whom the candidate has done work during his Ph.D.

10.2.7. The synopsis of the thesis and the names of the possible examiners shall be forwarded through the Chairperson of RRC of the Ph. D. degree and approved by the Dean (A.P.). The Dean (A.P.) would appoint two examiners for the Ph. D. thesis. The two examiners may be from the list of four examiners suggested or may be independently appointed by the Dean (A.P.).

10.2.8. The thesis section shall send invitation letters to the examiners appointed by the Dean (A.P.) along with a timeline.

10.2.9 If a synopsis remains pending without appointment of the respective external examiners for more than 3 months, the matter should be referred to the Dean (A.P.) who will take appropriate action in consultation with the respective RRC Chairperson.

10.3. Draft Thesis Submission

10.3.1. Subsequent to the synopsis the candidate shall submit the draft Ph.D. thesis as per the prescribed format.

10.3.2. Before submission of the draft thesis a Ph.D. scholar must publish at least one research paper based on the doctoral work in a refereed and cited journal/UGC approved journal. A copy of the first page of the published paper/acceptance letters from the publishers/editors should be enclosed in the draft thesis.

10.3.3. The publications should be an integral part of the Ph.D. thesis carried out by the candidate. The publication can have multiple authors. The Ph. D. candidate should either be the first author or the corresponding author. The research supervisor or the co-supervisor shall be the corresponding author or co-author.

10.3.4. When the research scholar presents a joint work he shall clearly state the portion which is his own contribution as distinguished from the portions contributed by his collaborator/s.

10.3.5. The draft thesis shall have an undertaking, in the prescribed format from the Research Scholar and a certificate from the Research Supervisor and Co-supervisor attesting to the originality of the work and that the work has not been submitted for the award of any other degree/diploma or any other academic award of ICT or of any other University/Institution.

10.3.6. The draft thesis must include plagiarism check reports using the software adopted by the Institute such as iThenticate, turn-it-in etc. The plagiarism check shall exclude, all references, bibliography, table of content, mathematical formulae, chemical formulae, names and addresses, preface and acknowledgements, all generic terms, laws, standard symbols and standards equations, published papers of the candidate. The similarity index should be less than 10%, after excluding 10 consecutive words for the draft thesis to be

acceptable.

10.3.7. The scholar shall submit the thesis only after one month but within six months from the date of submission of synopsis. If the scholar fails to submit the thesis within six months from the date of submission of the synopsis, he shall apply for an extension of six months with recommendation of the Research Supervisor with due justification for the delay. The Dean (A.P.) may grant such an extension.

10.3.8. If the scholar fails to submit the thesis within six (6) months from the date of submission of the synopsis, he has to submit a fresh application to the Dean (A.P.) with recommendations from the RPC within one month from the date of expiry of the extended period for submission of thesis with full prescribed fee. The Dean (AP) may grant further extension as required but up to a maximum of 12 months.

10.3.9. If the scholar fails to submit the thesis within 12 months from the date of submission of the synopsis and desires a further extension the candidate will have to apply for extension forwarded through RPC and submit synopsis again. The Dean (A.P.) may grant the extension provided that any such extension shall be granted only if the entire period taken for the submission of thesis from the date of admission shall be as stipulated under the clause 3 of duration of Ph.D.

10.3.10. The scholar shall include in the draft thesis a list of publications/patents/conference presentations and copies of the first page of the published research paper(s)/patent(s) emanating from the research work.

10.3.11. The draft thesis shall be approved by the thesis section and finally by the Dean (A.P.) subject to the condition that the candidate has met all the other requirements and submitted no-dues certificate from the respective Departments of ICT and ICT hostel if applicable. Subsequent to the approval of the draft thesis by the Dean (A.P.), it shall be sent to the appointed examiners for thesis evaluation.

11. Draft thesis examination, Open defence and Final Thesis Submission

11.1. Draft thesis examination

11.1.1. The Ph.D. thesis shall be evaluated by the Research Supervisor (Internal Examiner) and the two External Examiners.

11.1.2. The examiners shall examine the thesis as per the guidelines, specifically with a view to judge whether the thesis is a piece of original research work characterized by discovery of new facts, a fresh approach towards interpretation of facts or theories, a distinct advancement in the subject and properly presented; and give a candid opinion about the candidate's ability for critical examination and sound judgement; and submit the report in the prescribed format with clear recommendation and a detailed report.

11.1.3. The final recommendation from the external examiners shall be in the form of –

- (a) The draft thesis is recommended in its present form for the award of the Ph.D. Degree. It is recommended to conduct the open defence.

- (b) The draft thesis is recommended for the award of the Ph.D. degree and conducting the open defence. However, my suggestions for improving the thesis may be considered at the time of the open defence and if the open defence committee deems it appropriate, the same may be incorporated in the final thesis based on the discussions during the open defence examination. The revised thesis need not be sent to me.
- (c) The thesis should be revised as per the comments enclosed. I would evaluate the revised thesis incorporating my suggestions before I give consent for conducting the open defence.
- (d) The thesis is not acceptable for the award of the Ph.D. degree.

11.1.4. The reports of the external examiners shall be made available to the research supervisor with names of the external examiners; and shall be available to the candidate without disclosing the names of the external examiners.

11.1.6. If any one of the external examiner/s suggest/s major modifications in the thesis, with recommendation as given in 11.1.3 (c), the candidate shall revise the thesis and submit the revised draft thesis within 12 months from the date of intimation of the result and by paying the prescribed fee, if any; failing which the thesis shall be rejected. The revised thesis shall be sent to the same examiner/s for fresh evaluation.

11.1.7. If both the external examiners do not recommend the thesis for the award of Ph.D. degree with recommendation as given in 11.1.3 (d), the thesis shall be rejected. and the registration of the candidate shall be cancelled.

11.2. Open defence

11.2.1. The open defence of the candidate will be conducted only after both the external examiners give a positive report as in 11.1.3 (a) or 11.1.3 (b).

11.2.2. The research supervisor in consultation with the external examiner and Chairperson of RRC shall fix the date and time of the open defence with at least one week's notice.

11.2.3. The open defence panel shall consist of the following: (i) Chairperson of the RRC or his nominee as a chairperson, (ii) Research supervisor(s), and (iii) one of the two examiners of the draft thesis. In case the candidate is a student of the chairperson of RRC, then he/she should nominate the chairperson of another RRC as his/her nominee.

11.2.4. The open defence would be open to all the faculty and research scholars.

11.2.5. The open defence may be conducted in on-line or off-line mode.

11.2.6. The candidate will make a presentation of the work carried out in the thesis and present a list of changes made in the draft thesis based on the comments of the examiners in the examiner's reports.

11.2.7. After the completion of the open defence to the satisfaction of the open defence panel, the open defence panel shall submit its recommendation in the prescribed format and the candidate will be allowed to submit the final thesis.

11.2.8. In case the candidate's presentation and the changes made in the thesis are not to the satisfaction of the open defence panel, the open defence would be conducted again after a suitable period.

11.3. Final Thesis Submission

11.3.1. After the successful completion of open defence, the candidate will be allowed to submit the final thesis. The final thesis must address all the comments of the thesis examiners. A separate document showing the list of changes made in the thesis shall be submitted along with the final thesis. This document shall be signed by the candidate and certified by the research supervisor / co-guide.

11.3.2. The final thesis shall also be submitted to ICT library as per the requirements and the format required by Shodhganga /INFLIBNET.

11.3.3. The final thesis shall be approved by the Dean (A.P.) after which, the candidate shall be given a provisional Ph.D. degree certificate, and the candidate shall be eligible for the award of the Ph. D. degree.

11.3.3. The candidate shall be awarded the Ph.D. degree at a subsequent convocation ceremony.

12. Termination of registration/admission of Ph.D. Scholars

The Dean (A.P.) on recommendations of RPC may cancel the registration/admission of a Ph.D. scholar under any one of the following circumstances:

12.1. Giving false information at the time of application/admission/readmission.

12.2. Failure in coursework requirement within the stipulated period.

12.3. Failing to take re-admission for two consecutive academic years.

12.4. Guilty of unethical practices based on recommendations from the guide and RPC. The matter will be referred to the Disciplinary Action Committee (DAC)/Unfair Means Committee (UMC) for the decision.

12.5. Multiple registrations

12.6. Unsatisfactory Annual Progress report by RPC for two consecutive years.

12.7. Non submission of synopsis/thesis/final thesis within the stipulated period.

12.8. Being absent for more than the stipulated period without sanctioned leave.

12.9 Completion of maximum period including extension of the Ph.D. duration.

13. Change of Research Supervisor/Co-Supervisor

13.1. The Supervisor/Co-Supervisor of the candidate once allotted and approved shall not ordinarily be changed. However, the Dean (AP) may on recommendation from the respective RRC after ascertaining the facts, permit change of Supervisor/Co-supervisor in exceptional circumstances like demise / non- availability of the approved Supervisor /Co- Supervisor for a continuous period of six months or more due to ill health or residing outside India. Such a change in Supervisor/Co-Supervisor is subject to the availability of vacancy with the new Supervisor/ Joint Supervisor and is permitted only once.

Approved by PGPC dated Oct. 15, 2024 and Academic Council dated Nov. 21, 2024.

13.2. All requests for change of Supervisor/Co-Supervisor should originate from the candidate with necessary documentary evidence and should be submitted to the respective RRC.

13.3. The candidate will have to work with a new supervisor if allotted for a period of at least one year before submitting his/her thesis.

14. Additional Rules and Regulations for candidates applying under Teachers category and Candidates working in recognized National Institutes and Laboratories

14.1. Such candidates can work in ICT laboratories during vacations and on holidays and after their office hours if they come from their workplace in the city or nearby. They must indicate on which date they will avail of the research facilities in ICT. A proper logbook must be maintained by the candidate duly signed by his supervisor.

14.2. Part of the experimental work could be allowed to be done in their premises for which their management will provide them with necessary facilities.

14.3. Such candidates registered as Ph.D. students in ICT should not register any master students with themselves in his/her own college/institution/laboratory to avoid research by proxy.

14.4. If any candidates under this category intends to join the ICT on leave without pay for a period of three years, then the candidate may be eligible for the award of fellowships, if any for the duration of the leave period, provided that the candidate meets all the required criteria.

15. Recognition Criteria for Industry to sponsor Ph. D. Candidates

15.1 Industry should have a well-equipped Research and Development and Quality Control laboratory with at least one Ph.D. employee working in the relevant area.

15.2 Industry is required to get recognition from ICT by the following procedure.

15.2 An industry requiring recognition will need to make an application giving the details the activities of the industry, highlighting R&D and technology development activities, the facilities available, details of the staff and their education qualification working in the required area.

15.3 After the receipt of the application from the industry, a committee appointed by the Vice Chancellor, ICT consisting of Dean Research and Innovation (RI) as Chairman with a Professor nominated by the Vice Chancellor and the Head of the Department in the area of proposed research will make a visit to the industry laboratory. All the expenses in connection with the visit will be borne by the industry concerned.

15.4 The committee will evaluate the activities of the industry following the guidelines similar to those used by the Department of Scientific and Industrial Research (DSIR). The ICT committee will make recommendations to the Vice Chancellor, ICT for approval of the industry for a specified time duration, typically 5 years. The industry will be recognized by the approval of the Vice Chancellor, ICT for the specified duration. At the end of the expiry of the approval, the industry will need to re-apply for recognition from ICT. In case the industry is already

recognized by DSIR, the visit by ICT committee will not be necessary, the industry will be considered as eligible for the duration of the DSIR approval.

15.5 Once the industry is recognized as eligible by ICT, the industry is required to pay Rs. 5 lakhs for the first four years (typical duration of Ph.D. work). Contingency amount of Rs. 50,000/- per candidate per year to ICT to be utilized by the Research Guide for the conduction of the research activity. After four years the renewal of the recognition will continue by payment of Rs. 1 lakh per year.

15.6. During a year, an industry may nominate up to two employees (with required qualification) for registering for the doctoral degree at ICT under the supervision of ICT faculty.

15.7 The candidate is required to pay all the Ph.D. fees (over and above laboratory eligibility fees) as proposed by ICT at appropriate time and will not be eligible for any fellowship.

Note: All other matters that have not been covered by the Rules mentioned above shall be referred to the Vice Chancellor whose decision will be final.

ANNEXURE 1

(On official letterhead)

TO WHOM-SO-EVER IT MAY CONCERN

This is to certify that, Ms./Mrs./Mr. _____ is working as a permanent, Full-time _____ in the _____, since _____, with a total Industrial/Teaching/Research experience of _____ years _____ months.

Ms./Mrs./Mr. _____ has qualified the entrance examination for Ph.D. (Sci./Tech.) in _____ and wishes to pursue Ph.D. (Sci./Tech) in _____ under the guidance of _____, at the Institute of Chemical Technology, Mumbai at Mumbai/Bhubaneswar/Marathwada campus. We found him/her responsible, enthusiastic and hardworking during his working tenure.

Our Institute/Company has **no objection** regarding his/her admission at your Institute.

We take responsibility for releasing him/her for coursework, experimental work or discussions with the research supervisor as per need. Our institute/company will provide him/her with the necessary facilities for conducting part of the experimental work at our premises.

We wish him/her success in his/her future endeavours.

Authorized Signatory

ANNEXURE 2

(Notarized affidavit on Rs 100/- Stamp Paper)

AFFIDAVIT

I _____ intend to take admission for Ph.D. (Tech)/Ph.D. (Sci) in the _____ Department at Institute of Chemical Technology, Mumbai at Mumbai/Bhubaneswar/Marathwada Campus.

I am registering under the Teacher Category and I know that I will not be entitled for any kind of fellowship/scholarship under this category.

I know that a proper timetable must be prepared by me after consulting with the research supervisor along with a logbook which needs to be signed by the research supervisor at Institute of Chemical Technology Mumbai and authenticated by the Head of the Department.

I know that I must publish some part of the work in peer reviewed International Journals.

I declare that:

1. I have not enrolled for any other programme at any other Institute.
2. I shall not register any master's student under myself at my organization to avoid research conducted by proxy.
3. All the certificates and documents submitted by me are my own and I will be solely responsible for any discrepancy found in the certificates provided by me.

I hereby irrevocably undertake that I shall follow the rules and regulations as laid down by the Institute.

I am aware that in case I violate any of the above points my registration will be cancelled.

Name of the Candidate:

Signature of the Candidate:

Present Address:

ANNEXURE 3

(Notarized affidavit on Rs 100/- Stamp Paper)

AFFIDAVIT

I _____ an adult inhabitant at present residing at _____ do hereby state and declare on solemn affirmation as under:

I had passed B.Chem/ B.Tech/ M.Tech/ MChem/B.Sc./M.Sc. ... etc from _____ (name of institute and or university) in the year _____ and desire to avail admission for my further studies, that is, _____ programme at Institute of Chemical Technology Mumbai at Mumbai/Bhubaneswar/Marathwada Campus.

I am currently working as _____ (destination) at _____ (Employer Name) _____ since _____.

I declare that I have necessary permission from my employer _____ (name of the employer) and my employer has no objection for my registration for the _____ programme, relevant coursework, experimental work and discussion with faculties at Institute of Chemical Technology Mumbai related to _____ programme from time to time.

I am registering under the Employees of National Laboratories/ Government Institutions, and I know that I will not be entitled for any kind of fellowship/scholarship under this category.

I know that I must publish some part of the work in peer reviewed international journals.

I declare that

1. I have not enrolled for any other programme at any other Institute.
2. I shall not register any master's student under myself at my organization.
3. all the certificates and documents submitted by me are my own and I will be solely responsible for any discrepancy found in the certificates provided by me.

I hereby irrevocably undertake that I shall follow the rules and regulations as laid down by the Institute.

I am aware that in case I violate any of the above points my registration will be cancelled.

Signature

Full name of the Candidate

ANNEXURE 4

(Notarized affidavit on Rs 100/- Stamp Paper)

AFFIDAVIT

I _____ an adult inhabitant at present residing at _____ do hereby state and declare on solemn affirmation as under:

I had passed B.Chem/B.Tech/M.Tech/MChem/B.Sc./M.Sc.....etc from _____ in the year _____ and desire to avail admission for my further studies, that is, _____ programme at Institute of Chemical Technology Mumbai at Mumbai/Bhubaneswar/Marathwada Campus.

I am currently working as _____ (designation) at _____ since _____.

I declare that I have necessary permission from my employer _____ (name of employer) and my employer has no objection for my registration for the _____ programme, relevant coursework, experimental work and discussion with faculties at Institute of Chemical Technology Mumbai related to _____ programme from time to time.

I am registering under the Industry-sponsored candidate, and I know that I will not be entitled for any kind of fellowship/scholarship under this category.

I know that I must publish some part of the work in peer reviewed international journals.

I declare that

1. I have not enrolled for any other programme at any other Institute.
2. I shall not register any master's student under myself at my organization.
3. all the certificates and documents submitted by me are my own and I will be solely responsible for any discrepancy found in the certificates provided by me.

I hereby irrevocably undertake that I shall follow the rules and regulations as laid down by the Institute.

I am aware that in case I violate any of the above points my registration will be cancelled.

Signature

Full name of the Candidate

Approved by PGPC dated Oct. 15, 2024 and Academic Council dated Nov. 21, 2024.