

**Minimum Standards and
Procedure for Award of Doctor of
Philosophy (Ph.D.) Degree
Regulations, (Revised)2024-25 with
the amendment as per UGC
Notification No.F.4-1(UGC-NET
Review
Committee)/2024(NET)/140648
Dated March, 27, 2024.**

Definitions.-

(1) In these Regulations, unless the context otherwise requires, -

a) “Act” means the University Grants Commission Act,1956 (3 of 1956);

b) “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;

c) “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;

d) “Credit” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;

e) “College” means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;

f) “Commission” means the University Grants Commission established under Section 4 of the UGC Act1956;

g) “Course” means one of the specified units which go to comprise a programme of study;

h) “Course Work” means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;

- i) “Degree” means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act;
- j) “External examiner” means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme;
- k) “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home [भाग III—खण्ड 4] भारत का राष्ट्रिय : असाधारण 9 country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- l) “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale;
- m) “Guide/Research Supervisor” means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research; n) “Higher Educational Institution” means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
- o) “Interdisciplinary Research” means research conducted by a Ph.D. scholar in two or more academic disciplines;
- p) “Open and Distance Learning Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- q) “Online Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;

- r) “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own;
- s) “Programme” means a higher education Programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- t) “Prospectus” means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- u) “Research Proposal” means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- v) “University” means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution for higher education deemed to be a University under Section 3 of the Act.

In exercise of the powers conferred by U. P. Private University act 2019 (State Private University) under clause 11 (D), the Academic Council of the University hereby makes the following Regulations, in conformity with University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.

1. SHORT TITLE AND COMMENCEMENT

- 1.1** These Regulations shall be called "Regulations & Minimum Standards and Procedure for Award of Doctor of Philosophy (Ph.D.) Degree Regulations, 2022 of IIMT University, Meerut".
- 1.2** These revised Regulations shall come into force with effect from the Academic Year 2023-2024 and are subject to the modifications as may be approved by the Academic Council from time to time.
- 1.3** These regulations will be meant for the UGC governed Ph.D. program. However, Ph.D. programs governed through other apex councils will be regulated as per their norms.

2. ELIGIBILITY

Candidates can register under Ph.D. program with in the following categories: -

- a) Full Time
- b) Part Time

The following are eligible to seek admission under the Ph.D. Program:

2.1 Candidates who have completed:

- 2.1.1 A 1-year/2-semester master's degree Programme after a 4-year/8-semester bachelor's degree Programme or a 2-year/4-semester master's degree Programme after a 3-year bachelor's degree Programme 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 in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an 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 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.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree Programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale. A relaxation of 5% marks or its equivalent grade 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.

Candidates who have completed the M.Phil. Programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an 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 educational institutions, shall be eligible for admission to the Ph.D. Programme. A relaxation of 5% marks or its equivalent grade 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.

2.2 Full Time Candidates

Candidates who are stipendiary, including recipients of the University JRF Fellowship/ or Fellowships in project positions from funding agencies, industries, governmental and non-governmental agencies or pursuing only Ph.D. on a full time/Part time basis would be considered for admission to Ph.D. program as full-time research scholar. The Stipend and rule and regulation for Full time candidates will be governed by the Research promotional policy of IIMTU. The Stipend will be declared on every year. The Full-time research scholars will have to submit their yearly performance to Ph.D. cell to continue their Stipend.

2.3 Part Time Research Candidates (Internal)

2.3.1 Notwithstanding anything contained in these regulations, those who are working in IIMT University involved in Teaching may apply as part time internal candidate on recommendation of Dean of the departments.

2.3.2 Attendance requirement: Part time External candidate shall be required to pursue his/her Coursework under the assigned facilitator for at least 6 months for instruction/discussion etc., and complete the Course Work part (the same facilitator shall be the Ph.D. supervisor of the candidate after the approval of RDC)

2.4 Part Time Research Candidate (External)

2.4.1 A candidate who fulfils the regulations as per the qualifications specified in the Regulations (2.2 & 2.3) and working outside this University may be permitted to register himself/herself as a part time scholar (external) for Ph.D. Degree.

2.4.2 Attendance requirement: Part time External candidate shall be required to pursue his/her Coursework under the assigned facilitator for at least 6 months for instruction/discussion etc, and complete the Course Work. Course Work part. (the same facilitator shall be the Ph.D. supervisor of the candidate after the approval of RDC)

2.4.3 No Objection Certificate (NOC) from the parent organization from the appropriate authority in the organization where the candidate is employed, has to be submitted by the Candidate before registration, clearly stating that:

- i. The candidate is permitted to pursue studies on a part-time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.

2.4.4 The Meritorious candidate/JRF are also eligible for Dr. Abdul kalam Scholarship. The Dr. Abdul kalam Fellowship will be decide by the University every year.

3 DURATION OF RESEARCH WORK

- 3.1** Ph.D. Programme shall be for a minimum duration of three (3) years including course work, and a maximum of six (6) years. For part-time candidate the minimum duration of three years (Six RAC/ Semester) excluding course work, and a maximum of six years (the duration will depend on the topic of Ph.D)
- 3.2** Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of IIMT University, but not beyond more than two years (Maximum 8 years) (the extension will be allowed on the recommendation of the supervisor).
- 3.3** Women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration (Maximum 10 Years). In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of Ph.D.
- 3.4** For student exchanges, provided that they contribute significantly to the completion of the thesis, leave of absence may be granted from the second year onwards on the following basis:
- a) Research expeditions (less than one month): authorized by the supervisor and Dean/HoD of the department;
 - b) Research missions (more than one month): proposed by the department and approved by the Research Advisory Committee for working in National/International Research Laboratories or Centers of Excellence; and
 - c) Exchange programmes: proposed by the department and approved by the Research Advisory Committee for working in the Institutions in India/abroad.
 - d) Full time Scholars may be granted the leaves as provided to the faculty members in a calendar year. (rule for full time scholars will be govern as per the research promotional policy IIMTU)

4 FINALISATION OF SEATS:

- 4.1** Deputy Registrar will prepare final list of seats and approved supervisor available in the departments and submit it to the office of Hon'ble Vice Chancellor through registrar twice in a year (in May & November as per the Ph. D timeline) with proposed date of Interview & will issue a notification prior to Date of Interview. The detailed notification will be published by the UNIVERSITY on its website. The Candidates who qualify **UGC-CSIR NET/GATE/CEED and similar level tests** will be called for interview directly.
- 4.2** Deputy Registrar shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department, along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them.

5 CONFIRMING ELIGIBILITY CRITERIA:

- 5.1** Once application is received online, Deputy Registrar will get their eligibility verified by concerned HoD/ Dean (Refer Clause 2 and 4.1).
- 5.2** Once the eligibility of the applicant is confirmed. The candidate will call for interview through Email.

5.3 The Deputy Registrar will maintain the record of subject-wise received applications with a consolidated summary of applicants and submitted to the COE office.

5.4 Responsibility of conducting Interview will be of Controller of Examination

6 PATTERN OF INTERVIEW & DECLARATION OF RESULT:

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- 6.1** Candidates, with valid NET Score (result will be valid only for one year) will provide their marks in the registration form. The University will declare the merit list by deciding the weightage as per UGC Norms. However, candidates belonging to SC, ST and OBC (creamy layer) Category, 5% relaxation in the marks will be given as per government/ UGC norms.
- 6.2** After Successful Completion of the Interview, Controller of Examination will declare the merit list in 7 working days.
- 6.3** The merit list will be valid only for the session/ admission cycle the candidate has applied/appeared for.
- 6.3.1** The Vice-Chancellor/Dean (Research) will constitute the Committee for conducting Interviews for Provisional Admission for Ph.D. program. The Director/Dean (Research) will be the Chair of the Admission Committee with representatives from concerned disciplines.
- 6.3.2** Deputy Registrar will forward the list of applicants to concern Deans for personal interaction.
- 6.3.3** Interviews will be held at the University campus.
- 6.3.4** During the interview each candidate will be assessed for his/her research aptitude, educational background, Master's degree thesis or previous research experience, and career goals in the future. The interview/viva voce shall also consider the following aspects, viz. whether:
- The candidate possesses the competence for the proposed research;
 - The research work can be suitably undertaken at the University
 - The proposed area of research is relevant & can contribute to new/ additional knowledge in thrust areas.

- 6.3.5** Concerned Deans will forward their interaction marks to COE office for final tabulation to declare the result.
- 6.3.6** While tabulation of received marks is being done by giving 70% weightage to the score of UGC NET (depend on the discretion of IIMTU) and 30% will be of Personal interaction/ interview.
- 6.3.7** Marks once finalized, successful candidate list will be approved by Hon'ble Vice-Chancellor before issuing a provisional offer letter with Fee schedule to successful candidates.
- 6.3.8** All these activities shall be completed within one month from Date of Examination.

7 SCHOLAR'S REGISTRATION

- 7.1** The candidate shall deposit the required fee within 15 days of the issuance of offer letter by Deputy Registrar. The date of commencement of Ph.D. Programme will be specified in the offer letter which will be 15 days after the last date of fee submission. This date will be considered for the purpose of calculation of duration of Ph.D. /Late fee /Extension Fee.
- 7.2** The candidate will deposit the copy of fee receipt and all the self-attested required documents to the Office of Deputy Registrar for registration in PhD program. Deputy Registrar will collect all the self-attested copies of the document along with fingerprints and other details.

7.3 Based on received documents, Deputy Registrar will fill and generate Enrolment form of the Scholar, which will be forwarded to the concerned Dean who will verify and forward duly signed Enrollment Form with required documents to the office of the Controller of Examination for generation of Enrollment number.

7.3.1 Following Documents to be submitted:

- a. Intimation Letter of admission
- b. Admit Card
- c. Entrance Fee Receipt
- d. 10th Standard Certificate
- e. 12th Standard Certificate
- f. Graduation Mark-sheet with Certificate
- g. Post-Graduation Certificate along with Mark-sheet
- h. Certificate of UGC NET/JRF/S.L.E.T./GATE/M.Phil. (if applicable)
- i. Migration Certificate
- j. Caste Certificate (In case of SC/ST/OBC)
- k. ID Proof (Aadhaar Card/Voter ID Card/ Passport/Driving License)
- l. No Objection certificate from employer (In case of part time Ph.D.)
- m. Affidavit (In case of absence of migration certificate)
- n. Four passport size colour photographs.
- o. INCOME Certificate if covered under EWS Quota
- p. Documentary proof and NOC from the department. (In case of faculty/staff of IIMT)

7.4 Once the Enrollment number is generated that will complete his/her registration process.

8 COURSE WORK, COMMENCEMENT & SUBMISSION OF RESEARCH PROPOSAL:

8.1 The DRC will allot a facilitator to each scholar within one month after registration to guide the scholar for preparing his/her Research Proposal at the same time allotted facilitator, will encourage research scholars to commence course work at the earliest.

8.2 COURSE WORK EXAMINATION

After registration and allotment of facilitator, course work will have to be completed within 7 months (maximum) of the commencement of Ph. D. Programme by the department. On completion of such course work of instruction, there shall be a course work examination which will be conducted by office of Controller of examination.

- 8.2.1** The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018 (Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. Programme.
- 8.2.2** All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Full time Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 8.2.3** A Ph.D. scholar must obtain a minimum of 6.00 SGPA in the course work to be eligible to continue in the Programme and submit his or her thesis. In case the candidate Fails in a course work exam in the first attempt then he/she will get a second chance to complete the course work in first 18 months. If the candidate clears successfully clear the course work, the minimum period prescribed for submission of thesis shall be extended accordingly.
- 8.2.4** The facilitator shall be Convener of Practical/internal examination related to course work. Every scholar shall be examined by written and viva voce examination to assess his/her skills. Grades/Marks in the course work, including research methodology courses shall be finalized after a combined assessment by RAC.
- 8.2.5** If a scholar fails to clear the Course work Examination at the end of 18 months after provisional registration, without any prior approval/ permission, his/her provisional registration shall be cancelled by the Vice-Chancellor without any further reference to the scholar.

8.2.6 In extraordinary circumstances, a request may be made with appropriate justification for extension of time to appear for course work Examination, to be considered by the Vice-Chancellor. Such a request must be forwarded by the RAC and submitted in advance of the dates of the Course work examinations. The maximum period of extension granted will be 6 months. Failure to appear for course work exams beyond this period will result in cancellation of his/her provisional registration by the Vice-Chancellor without any further reference to the scholar.

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Note: For the Course work exams departments may design their department wise syllabus with 14 credit hours & approved as per norms. Sl. No. 1 & 4 will be compulsory for all disciplines/ branches.

9 After Course Work Completion.

- 9.1** After successful completion of Course Work Exam, the research scholar will physically present in DRC meeting and submit his/her Research Proposal to the Chairman DRC who will forward the research proposal to Departmental Research Committee (DRC) for evaluation.
- 9.2** DRC will screen the research proposal and after modifications/corrections (if required), will allow the scholar to proceed with his/her proposal. The DRC will assign a facilitator for the scholar to guide, while preparing synopsis. In case of inter-disciplinary topics, a co-facilitator will also be allotted from other departments of IIMTU, on case-to-case basis.
- 9.3** The DRC will evaluate the proposed synopsis and if considered necessary, the synopsis together with the name of the facilitator will be recommended and submitted by the DRC to the Research Degree Committee (RDC) for approval.

- 9.4** The Dean Research will attend all DRCs related to the Synopsis preparation of Research scholars as University Observer. After DRC meeting, proposed synopsis of DRC meeting will be forwarded to Deputy Registrar (PhD) after clearance by the Dean/ Director of Research, HOD & other members of DRC.
- 9.4.1** If any candidate fails to attend or is disqualified from the DRC meeting 2 times. The candidature will be terminated of those candidates immediately.
- 9.5** Research scholar will present in RDC meeting physically and submit his/her synopsis of proposed research work before RDC for approval.
- 9.6** After the approval of RDC, the facilitator may also act as the Supervisor & Convener of Research Advisory Committee (RAC) for the scholar. All correspondence and communication will be done by the Supervisor to the Deputy Registrar (research). Supervisor will communicate to the scholar with a copy to the Dean.
- 9.6.1** If any candidate fails to attend the RDC meeting. The candidate reappears before RDC, he/she will be given another chance (within 3 months) but he/she will have to bear RDC Fee again. If a candidate failed to attend the RDC a second time, his/her candidature will be terminated.
- 9.7** If RDC may reject or recommend for necessary modification in the synopsis. The synopsis of any scholar, the scholar will prepare & submit a fresh synopsis within the next two (02) months, with the help of the research Supervisor. This modified synopsis will again be submitted to the DRC and thereafter will be duly forwarded to the RDC.
- 9.8** After successful approval of the RDC the Research Scholar will begin his Research work, collection of data etc.

- 9.9** A research scholar will submit a 6 monthly progress report to RAC (in person/offline only) which will be forwarded by RAC to the Deputy registrar research for further necessary action.
- 9.9.1** The same synopsis will be Upload on Shodh-Gangotri (Inflibnet) by the Ph.D. cell.
- 9.10** In case the progress of the research scholar is dissatisfactory/ absent, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the University with specific reasons for cancellation of the registration of the research scholar.
- 9.11** If Research scholar absent for more than 2 months without any prior information/permission will terminated from Ph.D. program and the registration will automatically canceled.

10 QUALIFICATIONS FOR RESEARCH SUPERVISOR/ RESEARCH CO-SUPERVISOR

- 10.1** A full-time faculty desiring to be recognized as a Research Supervisor, shall apply in the prescribed application form. This shall be placed before the Dean Research for making suitable recommendations to the Vice-Chancellor for approval. On such approval, the Research Supervisor will be intimated that he/she has been recognized as Research Supervisor for Ph.D. research.
- 10.2** All regular faculties, who have completed their Ph.D., will qualify to become Ph. D. Supervisor. Professors/ Associate Professors should have published at least 5 and Assistant Professors 3 Research Papers in peer reviewed Journals. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.
- 10.2.1** The faculty members having minimum 3^{*}, ^{**} year teaching experience after Ph.D. completion can guide Ph.D. Scholars. It is also mandatory for research supervisors to have a valid Scopus ID.^{***}

* However, they can serve as co-guide with valid Scopus ID.

** A relaxation can be given on the basis of outstanding research profile evidenced by SCOPUS/SCI publications/IPR/ Books/Chapter Publication & extraordinary contribution towards organization in terms of academics, research & innovation subject to the approval from RDC.

*** This Condition could be exempt subject to the approval from RDC.

- 10.3** In areas/ disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Honorable Vice Chancellor may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 10.4** A research supervisor shall not undertake to offer guidance for Ph.D. work to any of his/her first-degree relatives.
- 10.5** In case of topics which are of interdisciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from other relevant disciplines, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution. In such cases Co-supervisor will have to submit NOC to the University DRC before the committee.
- 10.6** An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at a time.
- 10.7** At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 10.6. However, in special cases, the vice-chancellor can be permitted to increase seats beyond the prescribed number under any research supervisor.
- 10.8** A Faculty member with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

10.9 The Deputy registrar can terminate the supervisor-ship of any supervisor at any instant with the consent of Vice chancellor (Head of RDC).

A faculty member appointed as a Ph.D. supervisor is normally expected to be available to a research scholar in the University until the thesis Viva is held. However, under unavoidable circumstances, such as long leave of more than 12 months; resignation; retirement; or death; a supervisor may not be available to the scholar. In such special cases, appointment of supervisor(s) will be regulated as under:

Note: The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University/College.

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10.9.1 A supervisor proceeding on long leave of more than 12 months

- 10.9.1.1** Where co-supervisor exists, the supervisor proceeding on long leave for more than 12 months can continue to be a co-supervisor provided the RAC is convinced of effective supervision by the co-supervisor.
- 10.9.1.2** Where a co-Supervisor does not exist, a co-supervisor may be appointed by the RAC with the approval of RDC in cases where a student has not yet submitted his synopsis.
- 10.9.1.3** Provided, if the synopsis of the thesis has been submitted before the supervisor proceeds on leave, he will continue to be the supervisor and only a caretaker research supervisor will be appointed.
- 10.9.1.4** Further, if a major revision becomes necessary, and the sole supervisor is on leave, he should be asked to specifically state whether he would effectively help the student carrying out the major revisions within a reasonable time. In case the sole supervisor expresses his inability due to one reason or the other, the caretaker supervisor, if he provides the required help in carrying out the major revision, will automatically be treated as co-Supervisor of that scholar.
- 10.9.1.5** Provided further, if a supervisor proceeds on leave for a period less than 12 months initially, but later extends his leave beyond 12 months, the above procedure will be followed.

10.9.2 A Supervisor retires.

A faculty member who is due to retire within the next two years can be appointed as a co-supervisor and can continue to be the co Supervisor even after his retirement provided the RAC is convinced of his availability/continued

guidance to the student. In other cases, a faculty member on retirement may continue as

- i. a supervisor, if reemployed or appointed Emeritus Fellow;
- ii. a co-supervisor, if the synopsis of the thesis has been submitted. Appointment of another supervisor, if necessary, will be as per a(i); and caretaker Supervisor as per a(ii).

10.9.3 A Supervisor resigns

A new Supervisor will be appointed, if necessary, as per a(i), and a caretaker supervisor as per a(ii).

10.9.4 A Supervisor dies

A new Supervisor will be appointed, if necessary, on the recommendation of RAC.

10.10 Change of Supervisor (s) under exceptional circumstances shall be permitted on recommendation of the RAC with the consent of (i) the student, (ii) the present Supervisor (s), and (iii) the proposed supervisor (s). The research title may be changed with the consent of (i) the student, (ii) the present Supervisor, if required.

10.11 If the research program and/or area of the work require modification due to this change, the student's entire course program requirement shall be examined by the RAC. If there is change in the research program and/or area of the work, the registration date may be revised, if found necessary. The research title may be changed with the consent of (i) the student, (ii) the present Supervisor, if required.

11 CHANGE OF FIELD OF RESEARCH

If a change of field of research becomes necessary, the research scholar should make a requisition seeking permission for change duly recommended by the Research Supervisor and RAC within one year from the date of provisional registration. Permission for change of field of research may be granted by the Vice-Chancellor considering the merit of each such request. No further change in the field of research shall be permitted thereafter.

12 PUBLICATION OF THE THESIS

12.1 An approved thesis may be published in full as a book or in parts only with the permission of the University with due acknowledgment. (Vide Declaration form in the prescribed format). However, a scholar can during the course of his/her research, publish papers in peer-reviewed/indexed research journals as advised by his/her Research Supervisor, in accordance with Regulations. Copy right on such book publication will be jointly owned by the University and the Candidate.

12.2 Plagiarism-

University approved Plagiarism Software TURNITIN from time to time will be used to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor verifying to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. The Plagiarism score through the software shall not exceed 10% or as per UGC anti- plagiarism regulation in this regard time to time.

13 SUBMISSION OF THESIS

13.1 Prior to the submission of the thesis, the scholar shall make a Presentation / Pre-submission Seminar in the Department before the RAC of the scholar, which shall also, be open to all faculty members and other research scholars of the Institution concerned.

13.2 All the scholars are required to submit the thesis after completion of their research work. Submission of thesis can be done within three years but not before 30 months from the date of registration.

13.3 Publication- Ph.D. scholars must publish at least one (1) research paper in SCI/SSCI/ Scopus/ ABDC Journal or 2 research papers in UGC Listed Journal and make one paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprint. The relaxation in publication shall be given by the VC office depends upon case to case basis.

14 EXTENSION PERIOD FOR SUBMISSION

- 14.1** Ph.D. scholar can submit his/her PhD thesis after completion of three years duration of PhD program; he/she will be entitled for one month of buffer period to do so without any extension fee. He/ She will have to apply for the same with all relevant documents.
- 14.2** The buffer period will be counted from the date of completion of 03rd year of his/ as per the date of the start of course work in the offer letter. If he/she fails to submit the PhD thesis (with all required documents) to the University authority through Dean/ HOI within buffer period, after the expiry of the buffer period, full extension fee will be charged as per university rules.

15 THESIS EVALUATION

- 15.1** The candidate will have to submit the No Dues certificate as prescribed format along with the thesis. Will be communicated to the scholar to clear, so that evaluation process may be commenced.
- 15.2** The Research Supervisor once satisfied with submitted Ph.D. thesis, The Candidate will submit the three set of spiral thesis to Ph.D. cell for evaluation.
- 15.3** Vice-Chancellor shall approve the names of two External Examiners from the panel of 6 examiners and his/her Research Supervisor for thesis evaluation. These names will be sent to Ph.D. Cell for information and necessary action.

Whenever possible one of the external examiners can be chosen from outside the country.

- 15.4** The External examiners shall be requested to submit their individual reports within three months of the receipt of the thesis. In case, an examiner does not send his/her report within the specified period, a reminder request shall be sent to him/her. This shall be followed by a second reminder request after one month.
- 15.5** If the report is not received from the External Examiner even after one month of 2nd reminder, his/ her Examiner-ship may be canceled and the thesis will be recalled. There after a new examiner shall be appointed from the existing panel of examiners. The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejections the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared intelligible for the award of a Ph.D.
- 15.6** In case of rejection of Ph.D. thesis, the Supervisor will also be given a letter of caution.

16 VIVA VOICE EXAMINATION

16.1 The Vice-Chancellor shall appoint the Board of examiners in which there will be one External Examiners from the panel of Examiners who has already evaluated and approved the thesis and second examiner will be the Supervisor of candidate who will act as Internal Examiner for conducting the open Viva-Voce Examination. The Supervisor/ Ph.D. Cell shall fix the date for the Viva-Voce with the consent of External Examiners and Supervisor/HOD. The Viva-Voce should normally be conducted maximum within one month of the acceptance of the thesis.

16.2 If the Examiners recommend a change/improvement or required information, the Viva-Voce shall be conducted normally after a period of one month but within six months from the date of submission of the thesis.

17 AWARD OF Ph.D. DEGREE

17.1 Depository with INFLIBNET: Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

17.2. Prior to the actual award of the degree, a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2022 will be issued by the University.

17.3 Only after with the approval of competent authority with proper procedure, deputy registrar will propose the name of the eligible candidates for the award of Ph.D. degree in the meeting of Academic council of University for the Approval. This date will mark as the date of award of Ph.D. Degree for the Concern candidate.

18 DECISION BY VICE-CHANCELLOR

In all other matters not specifically covered under these regulations, the Vice-Chancellor may take a decision having regard to the circumstances of the case, if seems necessary, he may refer/constitute the matter to the Board of Research Studies, for suitable recommendations for taking a decision.

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DUTIES & RESPONSIBILITIES OF RESEARCH SUPERVISOR

This document outlines the typical duties expected of the post Research Supervisor. The descriptions of the post cannot be exhaustive and the post-holder may be required to undertake other duties, normally these will be broadly in line with the listed key responsibilities. Roles and responsibilities may also be subject to change.

Summary of post:

The key role of a research degree supervisor is to mentor, assist and support a student throughout their academic studies.

Duties and Key Responsibilities:

Ensuring compliance with all University policies and regulations, including the key policies and procedures relating to supervision and examination.

Being familiar with the following key document: STANDARD OPERATING PROCEDURE & REGULATIONS FOR Ph. D. PROGRAMME THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

At the beginning of the student's research the supervisor will give details of the facilities available in the Department and any regulations or constraints governing their use. Supervisors are encouraged to ensure that their students attend the departmental Induction programme, including those students who commence their study outside of the normal period.

In the initial period, supervisors will give appropriate guidance about the nature of research and the standard expected, and about how to plan the programme so as to ensure that the normal expectation of submission of the thesis within three years may be met. Students are expected to complete a research synopsis and complete the course work within the first six months of study and supervisors will advise on this.

Ensuring that students are informed of the milestones they must complete in order to progress with their studies.

The candidate shall be required to work under the Research Supervisor directly at least for 6 months for instruction/discussion etc, and complete the Course Work during the prescribed period of research work. Research Supervisor at this University shall guide and facilitate the Research Scholar and submit the certificate of attendance to the Controller of Examinations along with six monthly progress reports within the stipulated time frame.

The Research Supervisor shall be the Convener of the Research Methodology Examination.

The detailed report submitted by the Research Supervisor/Convener duly attested by the other members shall contain the details of procedure followed for the written evaluation, experimental models, Viva-Voce etc., and the percentage of marks secured by the scholar as per the standard format.

The report shall also specify the fitness of the scholar to proceed with the research work for the Degree of Doctor of Philosophy (Ph.D.) and shall be submitted by the Research Supervisor/ Convener to the Controller of Examinations within 15 days from the date of the Research Methodology Examination.

Supervisor will also act as the Convener of Research Advisory Committee (RAC) for the scholar; other members of the RAC will be one nominee of Dean & one nominee of HOD. All correspondence and communication will be done by the Supervisor to the Deputy Registrar. Supervisor will communicate to the scholar with a copy to the Dean.

Supervisors will go over their students' data and be reassured of its quality and integrity. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. The Plagiarism score through the software shall not exceed 10%. The supervisor and student will be completely responsible for Plagiarism or any matter after main submission.

Supervisors will guide students on the relevant use of library facilities, including approaching original literature and sources with a critical attitude and will give guidance on matters related to copyright and on avoiding plagiarism.

The Research Supervisor once satisfied with submitted Ph.D. thesis he/she will upload the thesis on ERP in soft copy under intimation to the office of Controller of Examination for online evaluation.

If a change of field of research becomes necessary, the research scholar should make a requisition seeking permission for change duly recommended by the Research Supervisor and RAC within one year from the date of provisional registration. Permission for change of field of research may be granted by the Vice- Chancellor considering the merit of each such request. No further change in the field of research shall be permitted thereafter.

In case of rejection of Ph.D. thesis, the Supervisor will also be given a letter of caution.

For Viva-Voce one External Examiners from the panel of Examiners who has already evaluated the thesis and second examiner will be the Supervisor of candidate who will act as Internal Examiner for conducting the open Viva-Voce Examination. The

Supervisor shall fix the date for the Viva-Voce with the consent of External Examiners and HOD. The Viva-Voce should normally be conducted maximum within one month of the acceptance of the thesis.

Where appropriate supervisors will encourage students to produce written work, which may often provide a basis for the preparation of the final thesis; supervisors should read thesis drafts and other written work produced by their students; they should return such work with constructive criticism and in reasonable time (good practice would be within 2 weeks). The supervisor will impress upon students the need to complete and submit work by agreed deadlines. By twenty four months they will draw up with each research student a plan for completing the research and submitting the thesis by the end of the third year.

Supervisors will ensure that students are made aware when progress is inadequate or when standards of work fall below those generally expected and, in appropriate cases, will report such occurrences to the Deputy Registrar Academics.

Where students are experiencing difficulty with their English, supervisors will require them to attend English classes. Supervisors are responsible for ensuring their students receive adequate English language support.

In accordance with procedures, supervisors will ensure that reports are made on all students during their period of registration with the University and will also prepare any additional reports required by funding bodies.

Ensuring proper records are kept with regard to student progress

Supervisors will maintain regular contact with their students through tutorials, group meetings or individually. They should set aside normally a minimum of one hour per week (on average) for consultation with them.

Supervisors must be familiar with and keep update with current University rules regulations and procedures regarding the supervision of students.

Ensuring the proper use of policies such as interruption of studies, etc.

Supervisors should be responsible for helping to develop their students' skills in technical writing, oral presentation, problem definition, statistical data analysis and critical literature review. This may be by recommendation of appropriate training courses both within and external.

Supervisors should also ensure that instruction in requisite techniques, e.g. equipment design, is arranged if necessary.

Supervisors will arrange, as appropriate, for their students to talk about their work to staff and/or group seminars, and to have practice in oral presentations.

Supervisors should ensure their students are aware of opportunities for conference attendance and other appropriate fora for presenting, intellectual development and networking.

Supervisors must carry out their responsibilities in terms of the health and safety of their students.

Supervisors should be aware of arrangements for welfare and pastoral support and refer students where appropriate.

Supervisors will give guidance on the systematic recording of data or theoretical calculations and the importance of keeping and maintaining a clear record of all that has been undertaken.

Supervisors will ensure the long term storage of student data following completion of studies.

Normally, supervisors will encourage their students to publish, singly or jointly, the results of the research as they emerge and are suitable for publication. Individual departments may have local guidelines for publications in specific areas.



Supervisors will ensure and encourage students to fulfil the requirements of their funders and of any doctoral training centres that the student is part of.

Writing references for students, past and present.

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TITLE (Max 20 words)
BACKGROUND (Max 150 words)
INTRODUCTION (Max 500 words)
LITERATURE REVIEW (Max 1000 words)

Previous Work

Research Gap

Rationale of the study

RESEARCH AIMS & OBJECTIVES (Max 150 words)

HYPOTHESES (Max 100 words)

RESEARCH METHODOLOGY (Max 500 words)

Type of Research/ Design:

Population:

Sample/ Sampling Design:

Setting:

Method:

Intervention & duration:

Data Collection:

Assessment Tools:

Possible Prospective Outcomes:

REFERENCES/ BIBLIOGRAPHY (APA/ Vancouver FORMAT)

LIST OF PUBLICATIONS OF THE CANDIDATE (IF ANY-OPTIONAL) ADDITIONAL INFORMATION

Basic equipment/facilities required (Whether the equipment are available with the University if not how will you arrange?)

Any Outsourcing of research facilities required & if candidate shall bear the expense.

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Plagiarism Verification

Name of Researcher: _____

Title of Thesis: _____

Faculty: _____

Name of Supervisor: _____

Official Designation & Address: _____

The above thesis was scanned for similarity detection. The report is as follows:

Software used _____

Date _____

Similarity Index _____ Total word count _____

The report is attached for the review by the Supervisor

Sign. of Researcher

The Plagiarism report of the above thesis has been reviewed by the undersigned The similarity index is below accepted norms.

The similarity index is above accepted norms, because of the following reasons

The thesis may be considered for submission to the University. The software report is attached.

Sign. of Researcher

Supervisor with Name

IIMT UNIVERSITY MEERUT

Self-Plagiarism Co-author Certificate

We have published the following articles jointly:

Name of Article	Name of Journal / Book with the details (ISSN No. etc.)

We give our consent to Mr./Ms

to make use of these articles for his / her Ph.D research.

The above research papers (s) have not been used by any of us for any degree / Diploma in any other University. We shall be responsible for any legal dispute / case (s) for violation of any provisions of the copy Right Act.

Signature of Co-author / Investigator	Signature of Co-author / Investigator	Signature of Co-author / Investigator
Name Address	Name Address	Name Address

Signature of Candidate Name

Registration No.

RESEARCH COMMITTEES

Subject to the general superintendence of the Academic Council, the following Committees shall deal with all matters connected with the Ph.D. program of the University in accordance with these ordinances:

The Research Degree Committee (RDC)

The Departmental Research Committee (DRC) for Departmental meeting purpose.

The Research Advisory Committee (RAC)

RDC shall be constituted as follows:

Vice Chancellor Chairman

External Subject Expert nominated by Hon'ble V.C.

Dean of the Faculty concerned Member

Head of the Department concerned Member

Facilitator or Supervisor Member

Deputy registrar (Research)

The composition of the DRC/ Departmental Meeting shall be as follows:

Dean of the department Chairman

Head of the Department Member

All Professors of the Department Member

All Associate Prof. of the Department may be the Members

One Assistant Prof. of the Department Member

If the number of teachers in the relevant Department does not exceed three, the DRC shall consist of the following:

Head of the Department Chairman

All teachers of the Department Member

A senior teacher of a sister department nominated as a Member by the Vice-Chancellor.

The Research Advisory Committee shall consist of the following:

Supervisor of the concerned Ph. D. Scholar Convener

Co-supervisor (if any) of the concerned Ph. D. Scholar Member

A nominee of the Chairman of DRC/HOD Member

Dean of the department or A nominee of the Dean of concerned Faculty Member

The Committee will look after the following responsibilities

To review the research proposal and finalize the topic of research;

To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.

To periodically review and assist in the progress of the research work of the research scholar.

A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee to the Institution with a copy to the research scholar.

In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend the cancellation of registration from the Programme.

We are pleased to inform you that you have been declared successful in the Ph.D. entrance examination / interview held on ___ at IIMT University, Meerut (U.P.). Your admission in Ph.D. program in the discipline of ___, Faculty of _ will be provisional until you complete the formalities required for confirmation of admission. You are advised to deposit your course fee within fifteen days from the date of issue of this letter as per the details given under:

Course	Course duration	Annual Course Fee	Caution Money (Refundable)	Other One Time Fee (Processing fee)	Total Fee	Extension Fee (If thesis not submitted within stipulated period.)
Ph.D.	03 Years (minimum)	1 st Year Rs-	Rs-	Rs-	Rs-	Rs- (per yr.)
		2 nd Year Rs-	--	--	--	

		3 rd Year Rs-	--	--	--	

After submission of the course fee, you are required to report to undersigned who will handover enrolment form to you. Enrolment form duly verified by concerned Dean will have to be submitted to the office of Controller of Examination for generation of Enrollment number.

Note:-

You are required to submit your semester course fee within the month of Jan/ July every year. The commencement of coursework classes starts either from September or from March every year, depending upon the month on which admission taken, as per the timeline of the University.

Submission of every half yearly (six monthly) progress report on prescribed format (Available on University website) is essential, failure of this act may result the cancellation of the registration as per norms of University.

NOTE: - Although all the facts have been included and discussed in the manual, if any point is not covered, it will be subject to RDC jurisdiction and its decision will be the final.

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