

## RIMT UNIVERSITY

### Guidelines for Admission in Ph.D. Program

#### 2nd Batch Session 2016-17

1. **University Research Authorities:** To facilitate Research Activities in the University, it will create following authorities:

- 1.1. University Research Board (URB) – Annexure -I
- 1.2. Research Advisory Committee (RAC) – Annexure -II
- 1.3. Departmental Research Committee (DRC) – refer clause 10.4.1
- 1.4. Open Defence Committee (ODC) – refer clause 36.1

2. **Eligibility : Any of the following:**

- 2.1. Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory body, with at least 55% marks in aggregate or its equivalent grade 'B' in UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing or assuring quality and standards of educational institutions.
- 2.2. A relaxation of 5% of marks, 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per decision of the commission from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 2.3. Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in UGC 7- point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree in RIMT University in an integrated programme. A relaxation of 5% of marks, 55% to 50%, or an equivalent relaxation of grade,

may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per decision of the commission from time to time.

- 2.4. A person who's M.Phil. Thesis has been evaluated and the viva voce is pending may be admitted to Ph.D. programme.
- 2.5. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Accreditation and Assessment 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 for the purpose of accessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. Programme.

### **3. Duration of the Programme:**

- 3.1. Ph.D. Programme shall be for a minimum duration of three years, including course work and maximum of six years.
- 3.2. In exceptional cases extension maximum up to one year can be given on the recommendation of University Research Board. For this purpose the candidate shall apply on a prescribed form along with fee as prescribed by the University from time to time. If the candidate still fails to submit thesis within the extended period her/his registration shall lapse automatically.
- 3.3. Any further extension shall be subject to the approval of the Academic Council of the University.
- 3.4. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

### **4. Seats for Ph.D. Programme:**

- 4.1. Time to time the University Research Board shall approve the number of seats available for M.Phil. Programme in each discipline / subject depending upon the number of available Research Supervisors and norms of scholar-supervisor ratio (as indicated in clause 16.1.1 & 16/1.2), laboratory, library and such other academic and physical facilities.
- 4.2. The University reserves the right to increase or decrease the number of seats from time to time depending upon the research facilities available.

4.3. Number of Seats available for January Batch, Session 2016-17 are as follows:

S.N	Subject/Area	Seats	S.N	Subject/Area	Seats
1	CSE/ Multi Media & Animation	2	14	Psychology	3
2	ECE	2	15	Physical Education	3
3	Mech./Automobile Engg.	2	16	Education	3
4	Civil Engg./ Architecture	8	17	Management	2
5	Computer Application	3	18	Chemistry	3
6	English	2	19	Physics	3
7	Hindi	4	20	Maths	3
8	Punjabi	4	21	Botany	3
9	Law	4	22	Zoology	6
10	Political Science / Public Admin.	3	23	Bio- Informatics	4
11	History	3	24	Micro Biology	3
12	Economics	3	25	Agriculture/ Food Tech.	6
13	Sociology/Social Science	3	26	Fashion Design	4

#### 5. **Reservation of Seats:**

- 5.1. University shall adhere to the National/State reservation policy, as applicable.
- 5.2. Candidates who have qualified UGC/CSIR/JRF/ INSPIRE/Fellowship awards and/or those are sponsored by Government (State/Union/UT)/public Enterprises/ recognized research labs can be admitted irrespective of reservation category.
- 5.3. The guidelines of the UGC and other statutory bodies as applicable from time to time shall be applicable.

#### 6. **Procedure for Admission:**

##### 6.1. **Ph.D. Entrance Test (PET):**

- 6.1.1. Admission to Ph.D. program shall be made in various disciplines of the Engineering/ Technology/ Science/ Architecture/ Management/ Computer Applications/ Pharmacy/ Humanities and in those other areas, in which RIMT University decides to undertake the curriculum
- 6.1.2. University shall notify well in advance in its website and through advertisement in at least two national newspapers, of which at least one shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test (s) shall be conducted and other relevant information

for the benefit of the candidates.

## 6.2. Structure of PET:

- 6.2.1. The aspirant candidates shall be required to appear in a written Ph.D. Entrance Test (PET) which will be conducted by the University at least twice a year. This test shall be of 100 marks. The main objective of this test shall be to examine the student's depth of knowledge in the concerned discipline / subject research related aptitude, analytical capability and language skills. Candidates securing 50% marks or above shall be eligible for the interview. The test score shall remain valid for one year only.
- 6.2.2. The syllabus of the entrance test shall consist of 50% of research methodology and 50% shall be subject specific.
- 6.2.3. The entrance test shall be conducted at the centre(s) notified in advance (changes of centres, if any, also to be notified well in advance) by the University.
- 6.2.4. Merit list for admission to Ph.D. programme shall be prepared out of 200 marks. The weightage for various parameters shall be as follows:

S. No.	Parameter	Maximum Weightage
1	PET	100
2	Score in Under graduate Degree	55-60% = 5 marks, 61-65% = 10 marks, 66-70% = 15 marks, 71-75% = 20 marks, 76-80% = 25 marks, 81-85 = 30 marks, 86-90% = 35 marks, 91-100% = 40 marks
3	Score in Post graduate Degree	55-60% = 5 marks, 61-65% = 10 marks, 66-70% = 15 marks, 71-75% = 20 marks, 76-80% = 25 marks, 81-85 = 30 marks, 86-90% = 35 marks, 91-100% = 40 marks
4	Teaching Experience	1yr = 2 marks, 2 yrs = 4 marks, 3 yrs = 6 marks, 4 yrs = 8 marks, 5 and more yrs = 10 marks
5	Publications	One Publication = 5 marks, 2 or more than 2 publications = 10 marks

- 6.2.5. A candidate shall be assumed to be registered for Ph.D. program from the date of her/his submission of Ph.D. registration fee and signing of the undertaking as per

University 'Rules.'

### 6.3. **Entrance Test Exemption:**

#### 6.3.1. **Following candidates are exempted from appearing in Entrance Test:**

6.3.1.1. Candidates who have qualified UGC-NET (including JRF/UGC CSIR-NET).

6.3.1.2. Those have passed M.Phil. Programme including JRF/SLET/GATE/teacher fellowship holder.

6.3.1.3. Those have been sponsored by the Government (State/ Union/ UT)/Public Enterprises/DRDO/CSIR recognized research labs.

6.3.2. Merit list for admission of such candidates (exempted from PET) shall be prepared out of 100 marks (Weightage: UG score: 40; PG score: 40; Teaching Experience @2 marks / year; SCI or Refereed Journal publications: 10 @5 per publication as author/co-author).

6.3.3. However, all test exempted candidates are required to appear for the subsequent interview.

6.3.4. Candidates as per clause 10.3.1.3 above shall be given preference over other categories.

6.3.5. Similarly Full Time Research Scholars shall be preferred over Part Time Research Scholars.

### 6.4. **Interview/ Viva-Voce:**

#### 6.4.1. **Departmental Research Committee (DRC):**

6.4.1.1. To shortlist candidates for admission to Ph.D. Program, VC shall constitute subject/area wise Departmental Research Committee (DRC).

6.4.1.2. Dean of concerned faculty shall be the Chairperson of DRC and all the teachers in the subject/area shall be the members, while concerned HOD shall be the member secretary.

6.4.1.3. Majority of the members shall be the quorum for meeting of DRC.

6.4.1.4. All the members of DRC shall hold Ph.D. degree.

6.4.2. Successful shortlisted candidates (as per Ph.D. seats available) shall be required to appear for an interview conducted by Departmental Research Committee (DRC) of the concerned Discipline / Department.

6.4.3. During interview/viva-voce the candidates are required to discuss their research interest/area through presentation before the DRC.

6.4.4. The interview/viva-voce shall also consider the following aspects, viz whether:

6.4.4.1. The candidate possesses the competence for the proposed research work.

6.4.4.2. The research work can be suitably undertaken in RIMT or its sister concerns or in organization with whom the University has an MOU for this purpose.

6.4.4.3. The proposed area of research can contribute to new/additional knowledge.

6.4.5. The admission shall be based on the criteria as notified by the University, UGC and other statutory bodies concerned from time to time.

7. **Sponsored/Fellowship Awardees:** UGC/CSIR/INSPIRE/ AICTE fellowship awardees or those sponsored by Government (State/Union/UT)/ Public Enterprises/ CSIR/DRDO research labs or candidates who have been awarded fellowships directly by any funding agency for the purpose of pursuing Ph.D., can be registered any time during the session. NET/GATE/GPAT qualified project fellows appointed against financed projects of at least two years duration can also be registered for Ph.D. at any time during the session.

8. **Fees & Charges:** Students admitted in Ph.D. program has to pay fee & charges as prescribed by the University from time to time.

9. **Migration:**

9.1. Students shall be allowed to migrate from other universities to RIMT University and from RIMT University to other universities as per University Migration Policy.

9.2. Such students can be exempted from course work, provided they submit authenticated proof that they have already completed the course work as per the guidelines of the UGC.

10. **Fellowship/ Scholarship:** Select Ph.D. research scholars will be provided fellowship/ scholarship as per guidelines of the RIMT University funding agencies from time to time in accordance with the UGC norms.

11. **Eligibility Criteria for being a Research Supervisor:**

11.1. All regular Professors of the University with at least five research publications in refereed journals and all Associate Professors/Assistant Professors on the rolls of the University with Ph.D. degree and at least two research publications in refereed journals shall be eligible for being appointed as Supervisor for Ph.D. students. Provided that in the areas/disciplines where there is no or limited number of refereed journals, the University Research Board may relax the above condition for recognition of a person as Research Supervisor with reason recorded in writing.

11.2. Only a full time regular teacher of the University can act as a Supervisor. The external Supervisors are not allowed. However, Co-Supervisor can be allowed in inter-

disciplinary areas from other departments of the University or from other related institutions with the approval of Research Advisory Committee.

**11.3.** The Supervisor (s) must also figure in the list approved by the University for the purpose.

**11.4.** No Supervisor/Co-Supervisor shall be an immediate relative such as wife/husband, father/ mother, son/daughter, sister/ brother, wife's/husband's brother and sister, brother's/sister's son and daughter, first cousins, grand-son, grand-daughter etc.

## **12. Allocation of Supervisor/Co Supervisor:**

### **12.1. Supervisor:**

**12.1.1.** The allocation of Research Supervisor/Co Supervisor shall be decided by the University Research Board depending on the number of scholars per Research Supervisor, the available specialization(s)/area among the supervisors and research interest of the scholars as indicated by them at the time of interview.

**12.1.2.** Before allocating a Supervisor to a candidate, DAA shall seek consent from him/her and place the same before URB. The person, to be appointed Supervisor, may interact with the concerned student before submitting his/her consent.

**12.1.3.** A Research Supervisor/ Co-Supervisor who is a professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to maximum of two (2) M/Phil. and six (6) Ph.D. scholars. An Assistant Professor as Research Supervisor can guide up to a maximum one (1) M.Phil. and four (4) Ph.D. scholars. The candidature shall normally remain in force till the successful defence of viva-voce examination of the Thesis.

**12.1.4.** In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from the funding agency. The scholar will however give due credit to the parent institution and supervisor for the part of research already done.

### **12.2. Co-supervisor:**

**12.2.1.** In addition to the supervisor, a candidate may be allocated a co-supervisor, especially where the research work is interdisciplinary in nature with justification by the supervisor. The Co-supervisor may be from the University or from the Institutions having MOU with the University, or from Institutes of National

importance (like IIT/IIIT/IISER/IISc/NIT). In case of co-supervisor is from outside the University/Institution (s), he/she must fulfil the laid down norms of a Research Supervisor.

**12.2.2.** Co-supervisor shall not be an immediate relative such as wife/ husband, father/ mother, son/ daughter, sister/ brother, wife's/ husband's brother and sister, brother's/ sister's son and daughter, first cousin, grand-son, grand-daughter etc.

**12.3. Change of Supervisor/Co-supervisor:** Change shall not be permitted, except under the circumstances mentioned below:

**12.3.1.** Change of Supervisor / Co- Supervisor is allowed in case the supervisor has left his affiliation with the University or by the mutual consent of the supervisor and the candidate. In such a case the earlier date of the Registration shall stand. The University Research Board (URB) is required to recommend the same with due justification.

**12.3.2.** The change is allowed in case of extreme hardship and where it becomes impossible for a candidate to work with the existing Supervisor and the Vice chancellor (VC) has analysed the situation at his / her own level. This clause is to be used sparingly and only invoked under exceptional circumstances.

**12.3.3.** In case a supervisor/co-supervisor retires or expires or leaves the affiliation of the University during the course of the work, then the URB can recommend the appointment of a full time supervisor/ co-supervisor/ care-taker cum administrative supervisor (to look after the administrative needs of the candidate's research work), depending upon the amount of work completed, including publications.

### **13 Full Time (External) Research Scholar:**

#### **13.1 Following persons shall be considered as Full time Research Scholars:**

13.1.1 A person who is getting scholarship/fellowship/study leave from an organization/ person.

13.1.2 A person who is not getting any scholarship/ fellowship and is neither employed nor pursuing any other course of studies (shall be required to submit a declaration in this concern).

13.2 Candidates registered for full time program in the university shall be available during the working hours for all curricular, co-curricular and related activities.

13.3 Part-time (external) candidates in employment, who want to pursue full-time studies, may be allowed to convert as full time candidates during their research work, provided they are sponsored by their employer. Such students are required to avail leave for the research period and/ or get them formally relieved from their duty to join Ph.D. research



program.

13.4 The full-time program shall be undertaken in the departments of the University. Full time MPhil. Programme in the University scholars shall be required to be present in the University. Candidates shall be required to mark their attendance daily and their presence shall be recorded and maintained in the concerned department.

13.5 Full-time candidates shall not involve themselves in any kind of remunerative academic work/duty outside the University premises without the written permission from the supervisor and the HOD concerned.

13.6 Full-time to Part-Time (External) conversion shall not be allowed normally and will be considered only on merit by University Research Board (URB), but not before successful completion of Course Work.

#### 14 **Part-Time (Internal) Research Scholar:**

14.1 Full time regular teachers of the University pursuing Ph.D. shall be called 'part time (Internal) candidates.

14.2 Candidates working in the University in projects undertaken from State/ Central/Quasi Government and totally funded through the projects shall also be called Part time (Internal) candidates.

14.3 The place of research for Part Time (Internal) Research Scholar shall be the concerned Departments of this University.

#### 15 **Part-Time (External) Research Scholar:**

15.1 Candidates working in Colleges/R&D Departments/Research laboratories in Units of Government/Quasi-Government/Industrial units and sponsored by the respective employer/Organization, shall be called 'Part time (External)' candidates.

15.2 The place of research for such candidates shall be the respective institution or unit or organization, as the case may be.

15.3 All part-time candidates shall be present in University Campus for at least 20 days in a semester for consultations and research work and their attendance shall be certified by the concerned Supervisor and HOD.

#### 16 **Attendance and Leave:**

##### 16.1 **Full time Ph.D. Scholars (External):**

16.1.1 They shall be required to be present in the University on all Working days. Their presence shall be duly recorded and maintained in the Department, except on the days when they are permitted to be away from the campus on duty/sanctioned leave.

16.1.2 They cannot avail more than one month's leave in a year. (15 per semester).  
Leave not availed shall not be accumulated and will lapse at the end of each semester.

16.2 **Full time (Internal) Ph.D. Scholars:** They shall be governed by RIMT University Leave / Regulations / Policies prescribed for University employees.

16.3 **Part Time (External) Ph.D. Scholars:** They shall be granted leave during their stipulated stay as per clause 19.3 in RIMT University by the concerned Supervisor maximum for 6 days in a semester.

## 17 Course Work:

17.1 The Course Work shall be treated as prerequisite for Ph.D. preparation.

17.2 It will contain a 4 credit course on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc.

17.3 It will also other courses to prepare the students for Ph.D. degree.

17.4 All the candidates, unless exempted by competent authority, are required to complete the prescribed Course Work as per guidelines issued by the University from time to time.

17.5 The Course work will be of 10 credits.

17.6 Scheme of Studies of Course Work shall be as follows:

S. No.	Subject	L	T	P	A	Credit
1	Research Abstract	1	2	-	11	0.5
2	Individually Supervised Essay	5	10	-	25	1.5
3	Research Methodology	20	20	20	40	4.0
4	Core Subject	30	20	-	40	4.0
	<b>Total</b>	<b>56</b>	<b>52</b>	<b>20</b>	<b>116</b>	<b>10.0</b>

17.7 Scheme of evaluation of Course Work shall be as follows:

S. No.	Paper	IA	EA	Total	Credit
1	Research Abstract	40	60	100	0.5
2	Research Ethics & Quantitative Methods	40	60	100	3.0
3	Computer Applications	40	60	100	1.0
4	Core Subject	40	60	100	4.0

<b>5</b>	Individually Supervised Essay	40	60	100	1.5
	<b>Total</b>	<b>200</b>	<b>300</b>	<b>500</b>	<b>10.0</b>

17.8 All the candidates registered for Ph.D. Programme is required to complete the prescribed course work during initial one or two semesters.

17.9 The University Research Board shall prescribe the requisite course work for research scholars keeping in view the candidate's area of research, before the commencement of actual teaching.

17.10 The Course Work is normally conducted in the RIMT University Campus, however, if found necessary, Course Work can be carried out in Departments/Institutions of sister concern or in Departments/Institutions with whom the University has undergone a MOU. Due credit will be given by the University to such Department / Institutions.

**18 Exemption from Course Work:** Such exemption can be given on the recommendation of University Equivalence Committee by University Research Board, provided the student submit authenticated proof that they have already completed the course work as per guidelines of UGC before migration.

**19 Conditions for successful completion of Course Work:**

19.1 Candidates are required to attend 75% of periods arranged for all the subjects under course work, however, due relaxation can be given as per policy of the University.

19.2 For successful completion of course, the candidate shall have to secure at least 'P' grade in all the subjects and at least 55% marks or equivalent grade (B+) with 7.0 SGPA as a whole.

**20 Research Proposal:**

21.1 After the successful completion of the prescribed Course Work, the candidate shall submit her/his Research Proposal, giving the problem statement, an outline of the research area, topic of research/thesis, review of literature, aims and objectives, methodology, plan of work, and bibliography within 3 months. The submitted Research Proposal shall be subjected to scrutiny by the Research Advisory Committee period of six months. Candidates shall also be required to give an open presentation of her/his Research Proposal before the Research Advisory Committee, in which the faculty and research scholars of other departments may also be present.

- 21.2 If the presentation/research proposal is approved without any modifications by the Research Advisory Committee, the candidate shall be allowed to pursue his/her Ph.D. research.
- 21.3 If RAC desires some modifications in the Research Proposal/Title for inclusion in the final thesis work, these shall be explicitly mentioned in the Research Advisory Committee Report. The candidate shall submit the modified Research Proposal within next 3 months and shall apply for presentation with prescribed fee.
- 21.4 If the presentation/research proposal is not approved by the Research Advisory Committee, the candidate shall be required to resubmit the Research Proposal afresh within the next six months along with prescribed fee.

## 22. Review of Progress:

- 22.1. After the approval of Research Proposal by RAC the 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 office of Dean Academic Affairs and a copy of the same is also made available to the research scholar.
- 22.2. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for same and suggest corrective measures.
- 22.3. In cases of non-receipt of two consecutive progress reports or two consecutive unsatisfactory reports or use of unethical practices in research work committed by the student or misconduct by the student, the Research Advisory Committee, can recommend any action including the cancellation of the registration.
- 22.4. The Ph.D. student will maintain a complete record of the research data collected or generated during the research work and drafting of the thesis.

## 23. Research Paper:

- 23.1. Every Ph.D. scholar must publish at least one (1) research paper in refereed journal and make two 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 reprints.
- 23.2. The publications required as above from the candidate shall also be put before the Research Advisory Committee for scrutiny before submitting it for publication.
- 23.3. The affiliation of the University is mandatory on these publications.

23.4. On publication 4 hard copies and one soft copy in pdf form on CD of these publications shall be submitted to the office of DAA, so that these can be put on the University website and/ or the Knowledge Centre Portal and can also be reproduced in its own or publications of Institutes / Think Tanks with whom it has a MOU.

**24. Synopsis:**

24.1. The candidate, the candidate is required to submit Synopsis on her/ his research findings within 2 years (but not before one year) after the approval of the Research Proposal by RAC in the office of Dean Academic Affairs, duly signed by concerned Supervisor, along with its five (05) copies and its soft copy on CD.

24.2. The Research Advisory Committee shall evaluate the Synopsis, if it is found satisfactory, the candidate is invited for seminar presentation on a prescribed date, otherwise the candidate will be asked to resubmit the Synopsis.

24.3. Accordingly, the candidate shall make a presentation before the Research Advisory Committee, which shall also be open to all faculty members and other research scholars.

24.4. The attendance of all present during the presentation shall be recorded.

24.5. During seminar presentation candidate's research contribution and accomplishment of the proposed research objectives will be examined by the Research Advisory Committee.

24.6. If the RAC is satisfied with the content of the Synopsis and presentation, then the candidate allowed submitting his/her Thesis.

24.7. In case the Research Advisory Committee is not satisfied with the contributions made towards the approved research objectives, the candidate will have to revise the Synopsis again along with resubmission fee within a period of six months.

24.8. A formal report in this regard, along with the extended abstract shall be submitted in the office of DAA by RAC. A copy of the same is also provided to the candidate.

**25. Thesis:**

25.1. After 3 months of successful Synopsis Seminar, the candidate can submit the Thesis. The Supervisor shall evaluate the Thesis and if find it satisfactory, allows the candidate to submit it in the office of concerned HOD.

25.2. If he/she is not satisfied with it, then the candidate shall submit the Thesis to the satisfaction of the Supervisor. The Thesis must satisfy the objective that it is a research work characterized by either the discovery of new facts or by fresh interpretation of facts

or theories, or of the development of innovative technique, product, idea or technology. It should reveal the candidate's capacity for critical examination, original thinking and astute judgment. Its literary presentation should also be satisfactory and in accordance with prescribed standards.

25.3. Along with Thesis, an undertaking from the candidate and a certificate from the supervisor shall also be submitted attesting the originality of the work and vouching that there is no plagiarism and said work has not been submitted for award of any other degree/diploma of the same institution where the work was carried out or to any other institution.

25.4. Before the submission of Thesis, it shall have to pass through the anti plagiarism software test as per mechanism developed by the University on the recommendation of Academic Council.

25.5. The application for the submission of the Thesis shall be forwarded by the Dean/HOD to the office of DAA, only after a satisfactory anti-plagiarism test report duly recommended by the Supervisor.

26. **Medium of Thesis:**

26.1. The medium of Thesis shall be English only; however, Thesis pertaining to Modern Indian Languages can be in language concerned.

26.2. Special permission can be given by the Vice Chancellor on case to case basis to have Thesis in any other language.

27. **Submission of Soft-Bound Thesis for Evaluation:**

27.1. The candidate shall submit seven (7) copies of the Thesis (with both sides of a page printed) in a spiral bound form, with a soft cover as per the University guidelines in regards to Thesis format, and also a soft copy (pdf file) on a CD within three months from the date of satisfactory pre Thesis seminar..

27.2. These copies are required for the following:

27.2.1. One copy for Office record

27.2.2. Three copies for external examiners

27.2.3. One for Supervisor and

27.2.4. One for Co-Supervisor, if any.

27.3. The candidate would be permitted to keep one copy out of these for his/her reference.

27.4. The candidate shall submit an Extended Abstract of the Thesis also.

28. **Thesis Evaluation:**

28.1. Thesis shall be evaluated by at least two external examiners.

28.2. All the External Examiners shall examine the thesis individually with a view to judge the suitability of the thesis as a piece of research work worth the awarding Ph.D. degree. Each examiner will send detailed comments on the research work to the office of DAA, along with a clear recommendation on the prescribed Performa stating one of the following comments:

28.2.1. The thesis is SATISFACTORY and recommended for the award of Ph.D. degree subject to ORAL DEFENCE PRESENTATION during Open Viva-Voce.

28.2.2. The thesis is RECOMMENDED for the award of Ph.D. degree subject to ORAL DEFENCE PRESENTATION of queries specifically mentioned in the report during Open Viva-Voce.

28.2.3. The thesis is recommended for the award of Ph.D. degree subject to the condition that the candidate shall revise the Thesis as per suggestions made in the report and these are SATISFACTORILY defended during ORAL Viva-Voce.

28.2.4. The thesis needs RESUBMISSION in the REVISED FORM, as per suggestions made and the thesis be sent FOR RE-EVALUATION.

28.2.5. The thesis is REJECTED.

**29. Decision on Evaluation Reports:** Reports received from all the examiners (external & internal) shall be opened simultaneously by DAA and take action as follows:

36.3 In case all the examiners are unanimous in recommending the award of Ph.D. Degree as per clause 31.2.1 and 31.2.2, the recommendations shall be accepted and the process of oral presentation is initiated as per clause 33.1.

36.3 In case all the examiners are unanimous in recommending the award of Ph.D. Degree as per clause 32.2.3, the student shall revise the Thesis as suggested and RAC is satisfied with such revision, then the process of oral presentation is initiated as per clause 33.1.

36.3 In case all the examiners are unanimous in recommending the Ph.D. Degree as per clause 32.1.4, then the Thesis in revised form is submitted to all the examiners once again and further process is repeated again.

36.3 In case any one of the external examiners recommends the award of Ph.D. Degree as per clause 31.2.1 or 31.2.2 and other (s) recommend the award of Ph.D. Degree as per clause 32.1.3, then the student shall revise the Thesis as suggested and RAC is satisfied with such revision, then the process of oral presentation is initiated as per clause 33.1.

36.3 In case any one of the examiners recommends the award of Ph.D. Degree as per clause 32.1.1 or 31.2.2 and other(s) recommends the resubmission as per clause 32.2.4, then the

Thesis in revised form is submitted to the same examiner once again and further action is repeated again.

36.3 In case all the examiners unanimously reject the Thesis as per clause 31.2.5, then with the permission of VC, the student can submit his/her Thesis within one year, which will be evaluated by a fresh panel of experts. In such case the observations and comments of the examiners, if any, shall be given to the candidate through the supervisor on request. In no-case resubmission of the thesis without modification along the lines of criticism made by the earlier examiners will be allowed. In case, majority of these experts reject the revised thesis again, the thesis will stand rejected and the research scholar is declared ineligible for award of degree.

36.3 All above provisions shall be applicable subject to condition that all the activities shall be completed within maximum duration of Ph.D. as per clause 6.

36.3 Ph.D. Degree shall not be awarded to a candidate, unless Thesis is satisfactorily approved by at least two external examiners.

36.3 In case the deadlock continues to prevail, the DPC may propose further action to VC based upon its observations on the reports received; the recommendations of the VC shall then be final. This procedure shall also be followed if the examiner who has suggested revision/modification rejects the revised thesis.

36.3 For re-submission of Thesis, the student is required to submit Thesis re-submission fee as prescribed by the University.

### **30. Oral Thesis Defence:**

36.1 Once the reports of the external examiner has been accepted as satisfactory, the case by file of the candidate shall be put before the VC for deputing the external examiner for the Oral Defence Committee (ODC). This Committee shall comprise the Supervisor(s), one of the external examiners (normally from India) and a teacher from the Department nominated by concerned Dean as convenor of ODC. The candidate will have to defend the Thesis before the ODC. The defence of the Thesis shall be in the form of an open viva-voce conducted in the University. All the members of ODC shall be Ph.D.

36.2 During this viva-voce faculty and research scholars from same and other departments shall also be invited. The attendance of all present shall be recorded. For this purpose Viva-voce examination will be widely notified at least three working days in advance and well-coordinated by the convenor.

36.3 In case of clause 34.2.3 of Thesis evaluation, the Supervisor(s) shall certify that the comments have been incorporated in the Thesis, before the viva-voce examination.



- 36.4 In case, the external examiner is unable to come for conducting the Viva-Voce (clause 36.1), a set of questions would be obtained from her/him by the DAA and viva-voce will be conducted by an examiner (within or outside the University having knowledge in the area of Thesis) appointed by DAA.
37. **Satisfactory Thesis Defence Report:** The report about the performance of the student in the viva-voce shall be duly recorded in the report submitted by the Supervisor(s) and the external examiner in the office of DAA. Further, if the Thesis is suitable for publication by the University in the form of a book, it will be explicitly mentioned in the report with suggested modifications, if any.
38. **Unsatisfactory Defence Report:** If the ODC is not satisfied with the defence, the candidate has to appear again before ODC within the next three months. Further, if the ODC suggests certain modifications/alterations to be done in the final Thesis before submission, it shall be duly recorded in the report and the supervisor shall certify the incorporation before final Thesis submission.
39. The entire process of evaluation of Thesis shall be completed within a period of six months from the date of submission of Thesis.
40. **Hard-Bound Thesis Submission:**
- 40.1. After the successful completion of Oral Thesis Defence, the candidate is required to make all changes as suggested by the examiners of ODC, if any.
  - 40.2. The final submission of Thesis shall be in hard bound form with colour and format as specified by the University, with both sides of a page printed.
  - 40.3. The candidate's declaration page as prescribed by University in the final Thesis shall bear the signature of the candidate and all the members of ODC. The supervisor will take the signature of all the members of Oral Defence Committee on the prescribed performa of ODC Report at the time of viva-voce examination.
  - 40.4. Before signing the Thesis in the hard bound form, the Supervisor(s) will certify that the candidate has made all the changes as suggested by ODC.
  - 40.5. Finally the candidate shall submit the following documents in the office of DAA:
    - 40.5.1. Hard bound 5 copies of final Thesis in which modifications has been made as recommended by ODC, if any.
    - 40.5.2. Soft copy of in the form of pdf on CD.
    - 40.5.3. A copy of pre-Thesis synopsis.
    - 40.5.4. No due certificate from competent authority.
    - 40.5.5. ODC Report bearing the signatures of all the members of ODC with recommendations for award of Ph.D. Degree.

41. **Deposition with INFLIBNET:** Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, the University shall submit an electronic copy of the Ph.D. Thesis to INFLIBNET, for hosting the same so as to make it accessible to all Institutions/ Universities/Colleges.
42. **Conditions to award Ph.D. Degree:** The Ph.D. Degree shall only be awarded, if the candidate fulfils all the following conditions:
  - 42.1. Candidate has attended 75% of lecture arranged in Course Work & Research Work, unless otherwise relaxed by competent authority.
  - 42.2. The progress of the candidate during course of studies is found unsatisfactory.
  - 42.3. The candidate successfully completed the prescribed course work & research work within stipulated time.
  - 42.4. The candidate has fulfilled the conditions as per clauses 42.6.1, 42.6.2 and 42.6.3 and has obtained 6.0 CGPA as a whole.
  - 42.5. The candidate has successfully defended his/her Oral Defence Seminar.
  - 42.6. The candidate has paid the fee/dues in time and even in the extended period with late fee, as applicable.
  - 42.7. The candidate has not committed plagiarism or adopted unethical practices in his/her research against the university policy, as framed from time to time.
  - 42.8. The candidate has not indulged in activities of indiscipline, and has not remained absent from the Department without permission of the competent authority.
  - 42.9. The Thesis of the candidate has not been rejected as per clause 31.2.5 or 32.6
  - 42.10. The Candidate has submitted requisite number of copies of his research papers and Thesis.
  - 42.11. The candidate has followed all the rules prescribed by the University for award of Ph.D. Degree.
43. **Issuing Provisional Degree:**
  - 43.1. On the request of the candidate, provisional degree can be issued, provided he/she has fulfilled all the conditions as per clause 43
  - 43.2. If the above said request is accepted by the VC, provisional degree and certificate that Degree is being awarded as per UGC minimum standards and procedures for award of Ph.D./Ph.D. Degree Regulations 2016 shall be issued to the candidate.
44. **Award of Ph.D. Degree:** The Degree of Ph.D. shall be awarded by the Highest Academic Body of the RIMT University during specifically organised convocation.

45. **Interpretation:** Any doubt or dispute about the interpretation of these Regulations shall be referred to the University Research Board with the VC as Chairperson, whose decisions shall be final and binding on all concerned.

## Annexure I

### University Research Authorities

#### 1. University Research Board (URB)

##### 1.1. Powers and Functions:

- 1.1.1. The University Research Board (URB) shall be the highest research body of the University for Monitoring, Modifying, Interpreting and Arbitrating on any dispute pertaining to the University M.Phil., Ph.D. and any other research related project.
- 1.1.2. URB shall be competent to propose and issue amendments/addendum to these regulations as per need and to comply with UGC guidelines from time to time.
- 1.1.3. URB shall be responsible to issue Guidelines, Policies, Rules and Regulations pertaining to any of the following to the Academic Council or any other competent authority for its approval:
  - 1.1.3.1. To introduce Ph.D. and M. Phil. Program in various disciplines
  - 1.1.3.2. To prescribe number of seats in Ph.D. & M. Phil in various disciplines.
  - 1.1.3.3. To approve Research and Innovative Projects and to forward Research Projects to competent bodies for grant of financial aid and collaboration.
  - 1.1.3.4. Incentives and honours to Achievers in the Field of Research and Innovation.
- 1.1.4. To forward cases for patent registration.
- 1.1.5. To approve Experts of Research Advisory Committee.
- 1.1.6. To give exemption from attending mandatory course work.
- 1.1.7. To set equivalency or to give relaxation in the eligibility criteria of appointment of Supervisors.
- 1.1.8. To grant permission for Publication of Thesis, Thesiss, Project Reports and other Research Related Documents.
- 1.1.9. To cancel registration of Ph.D. & Ph.D. Candidates.
- 1.1.10. To give permission to change the Supervisor / Co-supervisor
- 1.1.11. To give permission to change of status of a candidate from part time to full time & vice-versa.

1.1.12. To take action against students adopting plagiarism & unethical procedure during research time.

1.1.13. To cater to all administrative and technical matters pertaining to students admitted in Ph.D. and Ph.D. Programs.

1.1.14. To suggest list of suitable Journals for publication of the research work in the relevant area other than those specified in relevant SCI journals.

## 1.2. Formation:

1.1.1. URB shall be constituted by the Chancellor.

1.1.2. It shall have the following members:

S. No	Member	Status
1	VC (ex-officio)	Chairperson
2	All Faculty Deans (ex-officio)	Members
3	One teacher from each teaching faculty to be nominated by concerned Dean	Members
4	One External Expert from Academia / Industry to be nominated by the VC	Member
5	DAA (ex-officio)	Member- Secretary

1.1.3. All the members of URB should be Ph.D. degree holders.

1.1.4. Apart from ex-officio members, term of other members shall be two years.

1.1.5. Presence of Chairperson and majority of members will be quorum for the meeting.

1.1.6. In case of tie, chairperson has an additional casting vote.

1.1.7. URB shall meet at least twice in a year.

## 2. Research Advisory Committee (RAC):

### 2.1. Powers and Functions of RAC:

2.1.1. Evaluation of Ph.D. and Ph.D. Entrance Test, with the aim to shortlist candidates to appear for subsequent interview and to fill up the available research slots in the respective Department.

2.1.2. To evaluate the following documents submitted by Ph.D., Ph.D. and other research related projects:

2.1.2.1. Research Abstract

2.1.2.2. Research Proposal

2.1.2.3. Individually supervised Essay

- 2.1.2.4.** Synopsis
- 2.1.2.5.** Research Papers/Articles/Books/Chapters/other publications
- 2.1.2.6.** To check suitability of Ph.D. Thesis and Ph.D. Thesis before sending the same to examiners.
- 2.1.2.7.** Project Plans Pertaining to research & innovation.
- 2.1.3.** Promotion of Ph.D., Ph.D. and other Research Related Activities.
- 2.1.4.** To recommend Supervisor and Co-supervisor for Ph.D., Ph.D. and other experts for research related Programs.
- 2.1.5.** To review research proposal and finalize the topic of research.
- 2.1.6.** To guide the research scholar and develop the study design and methodology of research and identify course (s) that he/she may have to do.
- 2.1.7.** To ensure compliance of mandatory Course-Work in accordance with the approved procedure of Ph.D. and Ph.D. Programs.
- 2.1.8.** Any other matter pertaining to Ph.D. and/or Ph.D. Programs as assigned to it by the competent authority.

## **2.2. Formation of Research Advisory Committee (RAC):**

- 2.2.1** RAC shall be constituted by Vice Chancellor for every department or group of Departments having Ph.D./Ph.D. or any other research programme and will consist of following members:

<b>S. No</b>	<b>Member</b>	<b>Remarks</b>
1	Dean Academic Affairs	Chairperson
3	An external expert nominated by VC	Member
4	Concerned Supervisor	Convener

- 2.2.2** It is mandatory that all the members of RAC shall be Ph.D. Degree holders.
- 2.2.3** Any two members of RAC shall form the quorum.
- 2.2.4** Dean Academic Affairs cannot be Chairperson/member of the RAC, when a case pertaining to her/his own candidate/s is to be discussed. In such case concerned faculty Dean shall act as Chairperson of the RAC.
- 2.2.5** In the event of absence/non-availability of the DAA, concerned Dean Faculty shall act as the Chairperson.
- 2.2.6** Meetings of RAC's shall be normally held in RIMT University Campus, however, with the permission of VC, these can be held outside Campus in case of Out Campus Research Centres.

2.2.7 RAC shall submit its reports to office of Dean Academic Affairs.