

**RIMT UNIVERSITY: Ph.D. Regulations**  
**(Framed in reference to the Academic Ordinances, Chapter II Clause 7 of the**  
**RIMT University)**

*In Pursuit of Excellence*

**OPPOSITE FLOATING RESTAURANT**  
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### **Ph.D. Regulations**

1. **Short Title:** These will be called RIMT Ph.D. Regulations 2017.
2. **Commencement:** These shall come into force from 1<sup>st</sup>-April 2016onwards.
3. **Extent of Application:**
  - 3.1. These are applicable to the RIMT University and to any matter relating and incidental thereto.
  - 3.2. These Regulations are in conformity with the provisions of the RIMT University's Academic Ordinances and UGC (minimum standards & procedures) programmes of Ph.D./ M.Phil degree regulation 2016.
  - 3.3. If there is any contradiction in the provisions of the RIMT University Act or the Statutes or the Ordinances and the Regulations, the Act/statutes/Ordinances, as the case may be, will prevail.
  - 3.4 Nothing in these Regulations shall be deemed to debar the University from amending the Regulations subsequently, and the amended Regulations, if any, shall be applicable.
4. **Definitions:** All terms and expressions used herein have their meaning assigned to them in the RIMT University Act 2015 and Statutes, Ordinances, Rules and Regulations made there under, unless the context otherwise requires.
5. **University Research Authorities:** To facilitate Research Activities in the University, it will create following authorities:
  - 5.1. University Research Board (URB)–Annexure -I
  - 5.2. Research Advisory Committee (RAC) – Annexure -II
  - 5.3. Departmental Research Committee (DRC) – refer clause 10.5.1 of these regulations
  - 5.4. Panel Committee – Annexure-III
  - 5.5. Open Defence Committee (ODC) – refer clause 37.1 of these regulations.
6. **Eligibility : Any of the following:**
  - 6.1. 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 or recognized 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.

- 6.2. 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.
- 6.3. 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) or are completing the M.Phil. Degree in RIMT University in an integrated programme are also eligible for admission. 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.
- 6.4. A person who's M.Phil. Thesis has been evaluated and the viva voce is pending may be admitted to Ph.D. programme.
- 6.5. 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.

- 6.6. Associate/ Fellow members of the Institute of Company Secretaries of India or Institute of Chartered Accountants of India or Institute of Cost and Work Accountants of India can be admitted to the Ph.D Programme in Commerce/Management discipline if they meet other requirements of the programme.

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

- 7.1. Ph.D. Programme shall be for a minimum duration of three years, including course work and maximum of six years.
- 7.2. After three years, on a formal request of the candidate, duly recommended by the supervisor the Dean Research may sanction an extension of one year for the submission of thesis.
- 7.3. In case the candidate needs further extension after the fourth year, he/she will have to submit the application to the Vice-Chancellor and the VC may sanction an extension of one year.
- 7.4. In exceptional cases a further extension of maximum one year can be given by the University Research Board, if it is satisfied that the delay had been caused due to abnormal circumstances. For this, the candidate should give a detailed account of research work already done and justification for further extension. The case will be considered by URB and if the URB is satisfied an extension up to one year (Sixth Year) may be granted by the Board.
- 7.5. In each case of extension the application has to be submitted on the prescribed form along with extension fee fixed by the university from time to time. If a candidate fails to submit thesis within the extended period her/his registration shall lapse automatically.
- 7.6. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the

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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.

- 7.7. Any further extension shall be subject to the approval of the Academic Council of the University.

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

- 8.1. Time to time the University Research Board shall approve the number of seats available for Ph.D. 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 & 16.1.3), laboratory, library and such other academic and physical facilities.
- 8.2. The University reserves the right to increase or decrease the number of seats from time to time depending upon the available research facilities.

### 9. **Reservation of Seats:**

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

### 10. **Procedure for Admission:**

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

- 10.1.1. Admission to Ph.D. program shall be made in various disciplines of the Engineering/ Technology/ Science/ Architecture/ Management/ Computer Applications/ Pharmacy/Law/Humanities/Social Sciences and in those other areas, in which RIMT University decides to undertake the Ph.D programme on the basis of Ph.D. Entrance Test(PET)

10.1.2. University shall notify well in advance in its website 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. The admission schedule may be notified in the news papers also.

**10.2. Structure of PET:**

10.2.1. The aspirant candidates shall be required to qualify the written Ph.D. Entrance Test (PET) which will be conducted by the University normally twice a year. This test shall be of 100 marks. The main objective of the 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 from declaration of result.

10.2.2. The syllabus of the entrance test shall consist of 50% of research methodology and aptitude (as prescribed by the university) and 50% shall be subject specific (as prescribed by UGC for National Eligibility Test for various courses/ subject/disciplines).

10.2.3. The entrance test shall be conducted at the centre(s) notified in advance (changes of centers, if any, also to be notified well in advance) by the University.

**10.3 Merit List**

**10.3.1. All candidates who qualify the test will be required to appear in the personal interview for admission.**

10.1.2 Merit list for admission to Ph.D. programme shall be prepared out of 100 marks. The weight age for various parameters shall be as follows:

S. No.	Parameter	Maximum Weight age
1	Score in Under graduate Degree*	20 marks
2	Score in Post graduate Degree *	40 marks
3	Teaching Experience*	2 marks per year, maximum 10 marks
4	Publications	One Publication = 5 marks, Two or more than 2 publications = 10 marks
5	Personal Interview	20 Marks
	Aggregate percentage marks obtained by a candidate in the concerned examination will be multiplied by the respective weightage to the determine the marks.	

#### 10.4 Entrance Test Exemption:

##### 10.4.1 Following candidates are exempted from appearing in Entrance Test:

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

10.4.1.2 Those who have passed M.Phil. Programme under regular mode.

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

10.4.2 Merit list for admission of such candidates (exempted from PET) shall be prepared out of 100 marks (Weightage: UG Score:20; PG Score: 40;Teaching experience:10@2 marks/year; Referred Journal publications: 10@5 per publication as author;co-author/personal interview:20)

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

10.4.4 Candidates as per clause 10.4.1 above shall be given preference over other categories.



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

## **10.5 Interview/ Viva-Voce:**

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

- 10.5.1.1 To shortlist candidates for admission to Ph.D. Program, every department conducting Ph.D. programme shall constitute subject/area wise Departmental Research committee (DRC)
- 10.5.1.2 Dean of concerned faculty shall be the Chairperson of DRC and all the teachers in the subject/area having Ph.D. degree shall be the members, while concerned HOD shall be the member secretary.
- 10.5.1.3 Majority of the members shall form the quorum for meeting of DRC.
- 10.5.1.4 Vice Chancellor shall have the right to nominate additional members of DRC or constitute Special Research Committee for the Departments.
- 10.5.2 Successful shortlisted candidates (as per available Ph.D. seats) shall be required to appear for an interview conducted by Departmental Research Committee (DRC) of the concerned Discipline / Department.
- 10.5.3 During interview/viva-voce the candidates are required to discuss their research interest/area before the DRC.
- 10.5.4. DRC shall also consider the following aspects, viz whether:
  - 10.5.4.1 The candidate possesses competence for the proposed research work.
  - 10.5.4.2 The research work can be suitably undertaken in RIMT or its sister concerns or in organizations with whom the University has an MOU for this purpose.
  - 10.5.4.3 The proposed area of research can contribute to new/additional knowledge.
  - 10.5.4.4 The admission is based on the criteria as notified by the University, UGC and concerned statutory bodies.

## **11 Sponsored/Fellowship Awardees:**

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- 11.1** 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.
- 11.2** Such candidates will be required to join and complete the course work in the session beginning immediately after they have joined the programme.
- 12. Fees & Charges:** Students admitted in Ph.D. program have to pay fee & charges as prescribed by the University from time to time.
- 13. Migration:**
- 13.1 Students shall be allowed to migrate from other universities to RIMT University and from RIMT University to other universities as per University Migration Policy.
- 13.2 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.
- 14. Fellowship/ Scholarship:** Select Ph.D. research scholars may be provided fellowship/ scholarship as per guidelines of the RIMT University, funding agencies from time to time in accordance with the UGC norms.
- 15. Eligibility Criteria for being a Research Supervisor:**
- 15.1.** 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 reasons recorded in writing.

**15.2.** 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 URB.

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

**15.4.** 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.

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

### **16.1 Supervisor:**

16.1.1 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.

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

16.1.3 A Research Supervisor/ Co-Supervisor who is a professor cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars at any given point of time.. 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.

16.1.4 If there is a co-supervisor, the candidate will be counted as  $\frac{1}{2}$  each for the supervisor and co-supervisor

16.1.5 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 a funding agency. The scholar will however give due credit to the parent institution and supervisor for the part of research already done.

### **16.2 Co-supervisor:**

16.2.1 In addition to the supervisor, a candidate may be allocated a co-supervisor, especially where the research work is interdisciplinary in nature with adequate justification by the supervisor. The Co-supervisor may be from the same/other University or from the Institutions having MOU with the University, or from Institutes of National importance (like IIT/IIT/IISER/IISc /NIT). In case a Co-supervisor is from outside the University/Institution (s), he/she must fulfill the laid down norms of a Research Supervisor.

16.2.2 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.

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

16.3.1 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. The Vice-Chancellor will recommend the same with due justification to the Research Board for approval. In such a case the earlier date of registration shall stand.

16.3.2 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.

16.3.3 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 approve 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.

16.3.4 In case the supervisor/co-supervisor of a candidate leaves the university or retires on attaining superannuation, the University will provide a new supervisor to the candidate. But if the candidate has already completed substantial part of the research work, he/she may be allowed to continue his/her research work with the same supervisor provided both the candidate and supervisor are interested with the arrangement.

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

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

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

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

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

17.3 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.

17.4 The full-time program shall be undertaken in the departments of the University. Candidates shall be required to mark their attendance daily and their presence shall be recorded and maintained in the concerned department.

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17.5 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.

17.6 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.

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

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

18.2 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.

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

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

19.1 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.

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

19.3 All part-time candidates shall be present in the University 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.

### 20 **Attendance and Leave:**

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

20.1.1 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,

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except on the days when they are permitted to be away from the campus on duty/sanctioned leave.

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

20.2 **Part time (Internal) Ph.D. Scholars:** They shall be governed by RIMT University Leave Policies prescribed for University employees.

20.3 **Part Time (External) Ph.D. Scholars:** They shall be granted leave subject to the provision given under clause 19.3

### 21 **Course Work:**

21.1 The Course Work shall be treated as pre - requisite for Ph.D preparation.

21.2 It will contain courses on Research Methodology Quantitative Methods, Computer Applications, Research Ethics, Review of published research in the relevant field, etc.

21.3 It will also give an opportunity to the students to go in for a detailed study of the concerned subject related to his/her Ph.D. research work.

21.4 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.

21.5 The Course work will be of 15 credits.

21.6 Scheme of Studies of Course Work shall be as follows or as approval by the university Research Board from time to time:

S. No.	Subject	L	T	P	Credit
1	Research Methodology & Statistical Techniques	4	2	-	5.0
2	Computer Applications in Research	2	-	2	3.0
3	Core Subject	4	2	-	5.0
4	Individually Supervised Essay/ Mini Research Project	1	2	-	2.0
	<b>Total</b>	<b>11</b>	<b>6</b>	<b>2</b>	<b>15.0</b>

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

S.No.	Paper	IA	EA	Total	Credit
1	Research Methodology & Statistical Techniques	40	60	100	5.0
2	Computer Applications in Research	40	60	100	3.0
3	Core Subject	40	60	100	5.0
4	Individually Supervised Essay/ Mini Research Project	40	60	100	2.0
	<b>Total</b>	<b>160</b>	<b>240</b>	<b>400</b>	<b>15.0</b>

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

21.9 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.

21.10 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 concerns or in Departments/Institutions of the concern with whom the University has a MOU. Due credit will be given by the University to such Departments / Institutions.

**22 Exemption from Course Work:** Such exemption can be given on the recommendation of Dean Research by University Research Board, provided the student submit authenticated proof that she/he has already completed the course work as per guidelines of UGC before migration / admission to the Ph.D. Programme.



### **23 Conditions for successful completion of Course Work:**

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

23.2 For successful completion of course work, the candidate shall have to secure at least 'P' grade by security 25% marks in internal as well as external assessment and 40% in aggregate in all subjects/Papers and at least 50% marks or equivalent grade of B+ as a whole with 7.0 GPA as a whole.

(The Grading System is given in Annexure-IV)

### **24 Synopsis and Registration**

24.1 After the successful completion of the prescribed Course Work, the candidate shall submit her/his synopsis, 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.

24.2 In case the candidate is not in a position to submit his/her synopsis in the stipulated time, he/she may apply for extension of time up to a maximum of six months which may be allowed by Dean Research considering the merits of the case.

24.3 The submitted synopsis shall be subjected to scrutiny by the Research Advisory Committee within a 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 concerned departments may also be present.

24.4 If the synopsis is approved without any modifications by the Research Advisory Committee, the candidate shall be allowed to pursue his/her Ph.D. research. If RAC desires some modifications in the synopsis, these shall be explicitly mentioned in the Research Advisory Committee Report. The candidate shall submit the modified synopsis within next one month to his/her Supervisor. If the modifications are to the satisfaction of Supervisor, the candidate can peruse his/her research work.

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- 24.5 If the synopsis proposal is not approved by the Research Advisory Committee, the candidate shall be required to resubmit the synopsis afresh within the next three months along with prescribed fee.
- 24.6 Two copies of approved synopsis along with one soft copy shall be submitted in the office of Dean Research for official record.
- 24.7 All cases approved by respective Research Advisory Committees will be placed before University Research Board (URB) for consideration and approval.
- 24.8 A candidate shall be deemed to have been registered to the Ph.D. programme with effect from the date of his/her admission/enrolment to the programme.
- 24.9 The URB will generally meet at least two times in a year.
- 24.10 The candidates will be issued final letter of registration after the approval of research synopsis by the URB.

## **25 Review of Progress:**

- 25.1 After the approval of Synopsis 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 Research and a copy of the same is also made available to the research scholar and concerned supervisor.
- 25.2 One of the six monthly progress reports, usually the second every year, should be in the form of an annual presentation where other research scholars and faculty members of the concerned Department may be encouraged to join.
- 25.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for same and suggest corrective measures.
- 25.4 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.

25.5 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.

**26. Modification of the Title/Scheme:**

**26.1** A Candidate may, within two years of his /her registration modify the title/scheme of his/her research proposal with the approval of Research Advisory Committee and payment of prescribed fee. Provided that the RAC will allow only such modifications which will not involve any major change in the original scheme and scope of the subject.

26.2 The **date** of registration and the maximum period allowable for research completion will generally remain unchanged.

**27. Research Paper:**

27.1. Every Ph.D. scholar must publish at least two (2) research papers in refereed journals 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.

27.2. The Publication/Presentation required as above from the candidate shall also be put before concerned supervisor for scrutiny before submitting it for publication/ Presentation.

27.3. The affiliation of the University is mandatory on these publications/ Presentation.

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

**28. Pre-Submission Report:**

28.1. A Research candidate is required to submit pre-submission report on her/ his research findings not before three months of submission of her/his

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dissertation in the office of Dean Research, duly signed by concerned Supervisor, along with its four (04) copies and its soft copy.

- 28.2. The candidate shall make a presentation before the Research Advisory Committee, which shall also be open to all faculty members and other research scholars of the Department.
- 28.3. The attendance of all present during the presentation shall be recorded.
- 28.4. During the presentation candidate's research contribution and accomplishment of the proposed research objectives will be examined by the Research Advisory Committee.
- 28.5. If the RAC is satisfied with the research work then the candidate will be allowed to submit his/her Thesis.
- 28.6. In case Research Advisory Committee is not satisfied with the contributions made towards the approved research objectives the candidate will have to revise the pre-submission report and submit it again along with resubmission fee with in a period of six months.
- 28.7. In case a candidate has to revise and resubmit his/her pre-submission report as per Clause 28.6 the date of submission of thesis may have to be extended.

### **29. Submission of Thesis:**

- 29.1 The candidate shall submit the Thesis within 3 months of successful pre-submission presentation, but in no case before three years from the date of registration. The Supervisor shall evaluate the Thesis and if he/she finds it satisfactory, will allow the candidate to submit it in the office of concerned HOD.
- 29.2. If the Supervisor 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.

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29.3 Along with the 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 any other institution.

29.4 Before the submission of Thesis, it shall have to pass through the anti plagiarism software test as per mechanism developed by the University.

29.5 The application for the submission of the Thesis shall be forwarded by the HOD/Dean to the office of Dean Research, along with a satisfactory anti-plagiarism test report duly recommended by the Supervisor.

### 30. **Medium of Thesis:**

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

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

### 31. **Submission of Soft-Bound Thesis for Evaluation:**

31.1 The candidate shall submit Four copies of the Thesis as per the University guidelines in regard to Thesis format, and also a soft copy (pdf file) on a CD within three months from the date of satisfactory pre Thesis seminar..

These copies are required for the following:

31.1.1 One copy for Office record

31.1.2 Two copies for external examiners

31.1.3 One for Library

31.2 The candidate should keep a copy for his/her reference.

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

### 32 **Examiner's Eligibility:**

32.1 After successful Pre-Thesis Presentation, the panel Committee (PC) shall submit a panel of six reputed examiners from widely covered geographical areas/ different states of Indian Universities/Institutes. Out of these six one or two should be preferably from outside India from reputed Foreign Universities/Institutes. The panel should be submitted in the office of Dean Research along with Examiners'

## Ph.D Regulations

particulars in regard to research interests and experience to enable a thorough, impartial and unbiased evaluation of the work.

32.2 The Examiner need to be from broad area of candidate's research work' and preferably whose work is referred by the candidate in his/her thesis.

32.3 If the Research Scholar is working in an outside laboratory(s)/ Institution(s), any person from that laboratory/Institution cannot appear in the panel of examiners.

32.4 Any person related to the candidate or supervisor(s) can not appear in the panel of examiners (to be declared by the Supervisor(s) while submitting the panel to Dean Research).

33 **Examiners' Remuneration:** Remuneration to examiners for Thesis evaluation and re-evaluation and viva-voce examination shall be paid as approved by the University from time to time.

34 **Nomination of Board Of Examiners:**

34.1 Dean Research will get the approval of the VC to appoint two external examiners.

34.2 The VC shall be free to select the examiners either from the list of the experts submitted by the panel committee or from the panel of UGC or from her/his own references.

34.3 The consent of appointed external examiners shall be sought electronically or otherwise, by the Dean Research on the basis of the extended abstract submitted by the candidate before sending the Thesis for evaluation to them.

34.4 If any of the examiners shows his/her inability, Dean Research shall appoint another examiner with the approval of VC.

35 **Thesis Evaluation:**

35.1 Dean Research shall forward the Thesis submitted by a research scholar to two examiners appointed by VC for evaluation. Another copy of the thesis shall be forward to the concerned supervisor. .

35.2 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 awarding Ph.D. degree. Each examiner will send detailed comments on the research work to the office of Dean Research, along with a clear recommendation on the prescribed Performa stating one of the following comments:

## Ph.D Regulations

35.2.1 The thesis is satisfactory and recommended for the award of Ph.D.Degree subject to satisfactory ORAL DEFENCE Presentation during open Viva-voce.

35..2.2 The thesis needs RESUBMISSION in the REVISED FORM, as per suggestions made and the thesis after revision be sent for RE-EVALUATION.

35.2.3 The thesis is REJECTED.

### 35 **Decision on Evaluation Reports:**

35.1 Reports received from all the examiners shall be opened simultaneously by Dean Research in the presence of supervisor/co-supervisor and they will prepare the gist of reports. In case all the examiners are unanimous in recommending the award of Ph.D. Degree as per clause 35.2.1, the recommendations shall be accepted and the process of oral presentation is initiated as per clause 37.1.

35.2 In case all the external examiners are unanimous in recommending the Ph.D. Degree as per clause 35.2.4, then the Thesis in revised form is submitted to all the examiners once again and further process is repeated.

35.3 In case any one of the external examiners recommended the award of Ph.D. Degree as per clause 35.2.2 or 35.2.1 and other(s) recommends the resubmission as per clause 35.2.4, then the Thesis in revised form is submitted to the same examiner once again and further action is repeated again.

35.4 In case all the external examiners unanimously reject the Thesis as per clause 35.2.5, 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, any one of the external experts reject the revised thesis again, the thesis will stand rejected and the research scholar is declared ineligible for award of degree.

35.5 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 7.

## Ph.D Regulations

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

35.7 In case the deadlock continues to prevail, the Dean Research may propose further action to VC based upon its observations on the reports received; the decision 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.

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

### **37 Oral Thesis Defence:**

37.1 Once the reports of the external examiners are accepted as satisfactory, the case 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 the Head of the concerned Department. 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.

37.2 During this viva-voce faculty and research scholars from same and other related 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.

37.3 The Supervisor(s) shall certify that the comments of the examiners in their report, if any, have been incorporated in the Thesis, before the viva-voce examination.

37.4 In case, the external examiner is unable to come for conducting the Viva-Voce (clause 37.1), a set of questions would be obtained from her/him by the Dean Research and viva-voce will be conducted by an examiner (within or outside the University having knowledge in the area of Thesis) appointed by Vice-Chancellor

### **38 Thesis Defence Report:**

38.1 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 Dean Research.

38.2 If the Thesis is suitable for publication in the form of a book, it will be explicitly mentioned in the report with suggested modifications, if any.



## Ph.D Regulations

38.3 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 that the necessary modifications have been incorporated 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 Submissions:**

40.1 After the successful completion of Oral Defence Presentation 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.

40.3 The candidate's declaration page as prescribed by the 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 Dean Research

40.5.1 Hard bound 2 copies of final Thesis in which modifications have been made as recommended by ODC, if any.

40.5.2 Soft copy of Final Thesis in the form of pdf on CD.

40.5.3 A copy of pre-Thesis and synopsis.

40.5.4 No dues certificate from competent authority.

**41 Deposition with INFLIBNET:** Following the successful completion of the evaluation process for 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.

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### 42 Pass Formula

42.1 To pass a subject/ paper a candidate is required to score 'P' grade by security at least 25% marks in internal as well as External assessment and 40% in aggregate.

42.2 To pass Course Work/Research work a candidate has to score 'P' grade in all the subjects/papers and is required to score at least **B Grade with 6.0 CGPA** as a whole (Details of grading system are given in Annexure –IV)

**43. Conditions for award of Ph.D.Degree:**The Ph.D. Degree shall only be awarded, if the candidate fulfils all the following conditions:

43.1 The progress of the candidate during course of studies is found to be satisfactory.

43.2 The candidate has successfully completed the prescribed course work & research work within stipulated time.

43.3 The candidate has successfully defended his/her Oral Defence Seminar.

43.4 The candidate has paid the fee/dues in time and even in the extended period with late fee, as applicable.

43.5 The candidate has not committed plagiarism or adopted unethical practices in his/ her research against the university policy, as framed from time to time.

43.6 The candidate has not indulged in activities of indiscipline, and has not remained absent from the Department without permission of the competent authority.

43.7 The Thesis of the candidate has not been rejected as per clause 36.4

43.8 The Candidate has submitted requisite number of copies of his research papers and Thesis.

43.9 The candidate has followed all the rules prescribed by the University for award of Ph.D. Degree.

### 44. Issuing Provisional Degree:

44.1 On the request of the candidate, provisional degree can be issued, provided he / she has fulfilled all the conditions as per clause 42 and 43

44.2 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 Degree) Regulations 2016 shall be issued to the candidate.

**45. Award of Ph.D. Degree:** The Degree of Ph.D. shall be awarded by the Highest Academic Body of the RIMT University during the University convocation.

**46 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 Ph.D., M.Phil. 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 give exemption from attending mandatory course work.
- 1.1.6. 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, Dissertations, Project Reports and other research related documents.
- 1.1.9. To cancel registration of Ph.D. & M.Phil. 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 give permission to shift from Ph.D to M.Phil or Vice – Versa..

1.1.13. To give permission to change the subject/discipline of research.

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

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

## 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	PVC (Ex- Office)	Member
3	All Faculty Deans and HODs (ex-officio)	Members
4	One teacher from each teaching faculty to be nominated by concerned Dean	Members
5	One External Expert from Academia / Industry to be nominated by the VC	Member
6	Dean Research(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.

**Annexure-II**

**2. Research Advisory Committee (RAC):**

**2.1. Powers and Functions of RAC:**

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

2.1.1.1 Research Proposal

2.1.1.2 Synopsis

2.1.1.3 Individually supervised Essay

2.1.1.4 Research Papers/Articles/Books/Chapters/other publications

2.1.1.5 Project Plans Pertaining to research & innovation.

2.1.2 Promotion of Ph.D., M.Phil. and other research related activities.

2.1.3 To recommend Supervisor and Co-supervisor for Ph.D., M.Phil. and other experts for research related programs.

2.1.4 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.

2.1.5 To ensure compliance of mandatory Course-Work in accordance with the approved procedure of Ph.D. and M.Phil. programs.

2.1.6 Any other matter pertaining to Ph.D. and/or M.Phil. 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./M.Phil.or any other research programme and will consist of following members:

1. Dean Research or his nominee
2. Dean Faculty School
3. Head of the concerned Department
4. An External expert nominated by V.C.
5. Concerned Supervisor / Convener
6. One or two faculty members from the allied departments to be nominated by the Vice-Chancellor

## Ph.D Regulations

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 Research 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 Dean Research 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 special cases.

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

## Annexure – III

## 3. Panel Committee (P.C.)

## 3.1 Function and Power of Panel Committee.

3.1.1. The Panel Committee (PC) will be responsible for preparing panel of experts for evaluation

of the dissertation.

3.1.2. The PC will prepare the panel in line with the approved guidelines regarding the status and

number of person to be included in the panel.

**3.2 Formation:**

3.2.1 PC shall be constituted by the Vice Chancellor.

3.2.2 It shall have the following:

S.No.	Member	Status
1.	Dean of Faculty	Chairperson
2.	Head of Department	Member
3.	One Senior most faculty member of the Department	Member
4	A faculty member from an allied Department of the University as nominee of the VC.	
5	Supervisor of the candidate	Member Secretary

3.2.3 All member of PC should be Ph.D.Degree holders.

3.2.4 Presence of chairperson and majority of other members will be quorum for the meeting.

3.2.5 PC will meet as and when required.

3.2.6. In the absence / non-availability of Dean Faculty,HOD shall act as chairperson of PC.

3.2.7 PC will submit its report to office of Dean Research.

4. A faculty member from an allied department of the University shall act as nominee of the V.C



**Annexure-IV****GRADING SYSTEM**

1. On the basis of Marks obtained in a Subject (aggregate of marks obtained in all the subjects in internal and external assessment), a student will be assigned a Letter Grade and Grade Point as follows:

Grading System - Absolute or Relative Grade Card Certificate will be issued every semester letter			
Marks range for grade	Grade	Grade Point	Qualitative Meaning
80-100	O	10	Outstanding
70-79	A+	9	Excellent
60-69	A	8	Very Good
55-59	B+	7	Good
50-54	B	6	Above Average
45-49	C	5	Average
40-44	P	4	Pass
0-39	F	0	Fail
	Ab	0	Absent

2. If the number of students in a subject is 10 or less, then Absolute Grading System will be followed. If it is more than 10, then Relative Grading System will be followed. In Relative Grading System, grades will be awarded according to performance of students relative to their top peers in the same Subject.
3. **Credit Point:** Performance of a student in a subject will be measured in terms of Credit Points (Credit Point = Grade Point earned in a subject x Credit allotted in that Subject).
4. **Semester Grade Point Average (SGPA):**
- 4.1** Performance of a student in a semester will be measured in terms of SGPA rounded up to two decimal points.

## Ph.D Regulations

**4.2** "Semester Grade point Average" (SGPA) means weighted average of grades in a semester  $= (\sum G_i * C_i) / \sum C_i$ , where  $G_i$  is the grade in the  $i^{\text{th}}$  course, and  $C_i$  are the credits in the  $i^{\text{th}}$  course.

5. **Cumulative Grade Point Average:** Performance of a student in a course will be measured in terms of CGPA rounded up to two decimal points.