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PREAMBLE

IIMT University, Meerut offer academic programmes leading to the award of Ph.D. degree through its schools/colleges. The award of Ph.D. degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in Science, Technology, Humanities & Social Sciences and Management; creative and productive inquiry is the basic concept underlying the research works.

The academic programme leading to the Ph.D. degree is broad-based and involves a prescribed course credit requirement and a research thesis. The university also encourages interdisciplinary areas through a system of Co-supervision and provides excellent opportunities for such programmes. The institute undertakes sponsored research and development projects from industrial and other organization in the public as well as private sector.

The degree of Doctor of Philosophy shall be abbreviated as Ph.D. The Degree of Philosophy is granted for research work in areas recognized by the Academic Departments/Centers of the Institute subject to the conditions and regulations contained hereinafter.

The research work shall be an original work characterized either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of innovative products and technologies. It shall evince the candidate's capacity for critical examination and sound judgment and shall represent original contribution to the existing knowledge.

The degree of doctor of philosophy (Ph.D.) of the IIMT University, Meerut shall be conferred on a candidate who successfully completes all the requirements specified in these ordinances and regulations, which were approved by Academic Council.

Procedure for Award Doctor of Philosophy (Ph.D.) Degree

1. The Ordinance conforms with University Grants Commission Gazette (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016.
2. If the M.Phil degree is awarded by a Foreign University, the University considering such a degree shall refer the issue to a Standing Committee constituted for the purpose of determining the equivalence of the degree awarded by the foreign University.
3. Part-time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met.

DEFINITIONS

1. **"Applicant"** shall mean an individual who applies for admission to the Ph.D. program of the IIMT University on a prescribed Application Form.
2. **"Caretaker Research Supervisor"** shall mean a member of the academic staff appointed to look after the scholar's research interests in the absence of the Research Supervisor and after the submission of thesis.
3. **"Course Advisor"** shall mean a faculty member nominated by the School/Department/ Centre to chalk-out the program of study of a student registered for the Ph.D. and to advise him on the courses to be taken by him. If a Research Supervisor(s) has already been appointed, he shall ordinarily be the Course Advisor for that student.
4. **"Course Work"** shall mean courses of study prescribed by the School/Department/Centre through the Course Advisor to be undertaken by a student registered for the Ph.D. Degree.
5. **"Committees"** shall mean Departmental (includes center's) Research committees (DRC) overseeing the PhD works in the respective department and Research Advisory Committee (RAC) assigned to each scholar for monitoring/mentoring the Ph.D. work and progression.
6. **"Co Supervisor"** shall mean an additional supervisor approved by the Competent Authority on the recommendation of School/Department/Centre.
7. **"Degree"** shall mean the Degree of Doctor of Philosophy (Ph.D.) of the IIMT University.
8. **"Full-time Research Student/Scholar"** shall mean a person registered for the Ph.D. Degree devoting full time for completing the degree requirements.
9. **"University"** shall mean the IIMT University, Meerut.
10. **"Minimum Registration Period"** shall mean the minimum period for which a scholar must be registered, including the time spent as student before becoming a scholar, prior to submission of the thesis.
11. **"Part-time Research Student/Scholar"** shall mean a person who is registered for the Ph.D. degree and will devote part of his time towards this pursuit and devote part of his time towards the discharge of his official obligations.
12. **"Research Supervisor"** shall mean a member of the academic staff of the University approved by Competent Authority on the recommendation of DRC to guide/supervise the research/ academic work of the student/scholar.
13. **"Registration Period"** shall mean the length of time span commencing with the date of initial registration at the University till the completion of the program.
14. **"Residency"** shall mean the minimum period for which a student/scholar must attend the University on full-time basis.
15. **"Scholar"** shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement.
16. **"Student"** shall mean a person registered for the Ph.D. degree prior to becoming a scholar.

17. "DAIP & IAIP" shall mean Departmental Academic Integrity Panel and Institutional Academic Integrity Panel.
18. "HAR" shall mean the Head, Academic Research.

(Note: 'He' & 'His' where ever they figure in the document shall imply 'he'/'she' and 'his'/'her' respectively.

ELIGIBILITY

- 1.1. Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the 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, 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 assessing, accrediting or assuring quality and standards of education institutions.
- 1.2. A relaxation of 5% of marks, from 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 the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th 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.
- 1.3. An employee of a Public Sector Undertaking, a Government Department, a Research/Development Organization, or a private industry (approved by the Academic Council) or an Educational Institution with a minimum relevant working experience of two years and a Defence Sponsored Officer may be considered for admission as a sponsored full-time/part-time Research scholar. Sponsored applicants will be eligible for admission provided that they are treated by their employers as on duty with their normal salary and allowances and are fully relieved for the period of study. Part-time applicants will be eligible provided that:
 - (a) the applicant possesses the minimum entry qualifications as given in 1.1 above;
 - (b) the applicant proves to the satisfaction of the Head Research that his official duties permit him to devote sufficient time to research;

- (c) facilities for research are available at the applicant's place of work in the chosen field of research; and
 - (d) he is required to reside at the University campus for a period of not less than the time required for course work before his registration for the degree. (This condition of minimum residence may be waived for scholars who are working in Meerut or in organizations/ institutions located within a distance of 100 km from the University, subject to satisfaction of Head Research that he shall be able to attend all classes of the course work even during week days).
- 1.4. A member of the Academic/ Non-Academic staff of the University who satisfies eligibility qualifications may be considered for admission to the PhD degree as a part time student provided he has been given administrative clearance by the Vice Chancellor. Those M.Sc or equivalent qualification and with less than two years of relevant working experience must have a valid GATE score or must have qualified any other national level examination conducted by those like UGC/CSIR, etc before being considered for administrative clearance.
- 1.5. Full time project JRFs/SRFs, joining and working in IIMT University in funded R&D projects, may be registered for PhD program, subject to following:
- (a) in case he/she qualifies through the entrance procedure as for other students.
 - (b) For this, if the project funding has already been received and JRF approved as part of project, all aspiring JRFs shall be interviewed by both (i) PhD selection committee (ii) and the JRF selection committee. (iii) Final selection shall be based on priority 1 for students who qualify both for PhD and JRF.
 - (c) In case only Project sanction has been received and not the funding, the aspiring JRFs, shall be required to wait till funding is received.
 - (d) Such candidates shall be funded through the project grant. In case the project gets over, before completion of the PhD degree, the student shall be treated as a full time Ph.D. student and governed by Assistantship rules so applicable to regular students.

ADMISSION PROCEDURE

- 2.1 The entrance test shall be conducted twice in a year and the eligibility of shortlisted candidates shall remain valid for one year.

- 2.2 The University shall issue notification for Ph.D. admission at the beginning of each Semester in leading newspaper as well as on website of the university. The candidates desirous of registering for Ph.D. Programme shall download the Application Form for Admission from the University website (www.iimtu.com), fill-in all the details along with copies of required documents and submit the same through proper channel, wherever applicable, before the due date as indicated in the notification issued from time to time.
- 2.3 Incomplete applications in any respect shall be liable to be summarily rejected without any intimation to the candidate.
- 2.4 The Head-Ph.D Programme will send the availability of seats subject wise to the concerned person to notify on website with a notice in newspaper.
- 2.5 Chairman/DRC shall screen the applications as per the eligibility norms.
- 2.6 Entrance test will be conducted by Controller of Examination (COE) in consultation with Head-Ph.D.
- 2.7 After the declaration of successful candidates in written test, DRC will conduct the interview.
- 2.8 COE will compile the written and interview marks, and will declare the final result.
- 2.9 Admission fees will be deposited by the candidates in the direction of admission controller.
- 2.10 The application of the students will be compiled by Head-Ph.D Programme.
- 2.11 An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific.
- 2.12 An interview/viva-voce to be organized to discuss their research interest/area through a presentation before a duly constituted Department Research Committee.
- 2.13 The interview/viva-voce shall also consider the following aspects, viz. whether: the candidate possesses the competence for the proposed research; the research work can be suitably undertaken at the Institution/College; the proposed area of research can contribute to new/additional knowledge.
- 2.14 For final selection of candidate a weightage of 70% to the entrance test and 30 % to the interview/viva-voce shall be given.

- 2.15 Candidates qualified with M.Phil./GATE/NET/SLET/other National Level Eligibility Test OR working in recognized Universities/Institutes/Research centers having hands on research experience and having the evidence of published research work can be exempted from written test and but have to appear for the interview only.
- 2.16 On the recommendation of DRC and Head Research, Vice Chancellor shall approve the short listed candidates for admission to the doctoral programme in the appropriate specialization, after giving due consideration to the interdisciplinary fields of research, if any, and decide the Faculty in which the candidate shall be registered.
- 2.17 Selected candidates shall be provisionally registered for Ph.D. programme with the approval of the Vice-Chancellor either in February or July session.

CLASSIFICATION OF RESEARCH SCHOLAR

- 3.1. The applicants for admission to the Ph.D. program shall be classified under any one of the following categories:
- (a) **University's Research student/scholar (Full Time).** They shall be working full time in the University and also may be in receipt of Ph.D Assistantship awarded by the university or an outside agency like DST/DBT/CSIR etc.
 - (b) **Sponsored Research student/scholar.** Those financed by the Government/Semi-Government Organizations like CSIR, UGC, and Research Schemes etc or nominated by Government of India under a Cultural Exchange Scholarship Program, Self-Financing foreign student/scholar or those admitted under an MOU may be admitted as full time scholars without Assistantship. Those who are working in the industry / institutions and are spared/sponsored by their parent organization full time, for doing the Ph.D. work shall also come under the sponsored category. Such scholars will have to provide the required undertaking from their sponsoring organization. (Performa as per Annexure-1).
 - (c) **Part-time Research student/scholar.** They may include University faculty/staff, project staff like JRF etc. who are on rolls of the University and working under the project supervisors for various sponsored projects if the duration of the Project at the time of admission is around 3 years. Further, scholars who may be working elsewhere and willing to meet the Ph.D program progression requirements like residential requirement/ course work and following requirements-
 - i. The applicant is required to reside at the institute for a period till he/she is admitted for candidacy (This condition of minimum residency period will be automatically waived for candidates who are working in IIMT University or

in organizations/institutions located within a distance of 100 KM from the university).

- ii. The applicant proves that his official duties permit him to devote sufficient time to research.
- iii. The applicant must have been in continuous service with the sponsoring organization for at least two years at the time of registration.

Note- The University may be enrolled as a part time students/scholars (in the School/ Departments which may offer part time programs) subject to production of a “No Objection Certificate” (proforma as per Annexure-2) from their organization and after satisfying above requirements.

3.2. For Conversions of various classifications of scholars permission of Competent Authority is essential and which shall be granted only after following rules are compiled:

- (a) A full-time scholar may be allowed by Head Research to convert his registration into part-time registration only after completion of at least 2 years, if the scholar is having M.Tech./M.Phil qualification, and 3 years if the scholar does not have-M.Tech./M.Phil qualification or after comprehensive examination or after submission of synopsis or, if he gets employed in the University's Sponsored Projects.
- (b) Full-time Ph.D. Scholars in the Science Departments with M.Sc. qualifications can be permitted to convert their registration from full-time to part time after two years or after completion of course work and comprehensive examination, whichever is later, if they get employed in the University's Sponsored Projects.
- (c) Such conversion will be permissible only if the work is in the Projects of the University, and not for employment outside.

3.3. If a part-time Ph.D. student applies for conversion of his registration into full-time, the Head Research, on recommendation of DRC, may allow him the same either with or without assistantship on the merits of each case provided:

- (a) On the date of application the student has satisfied all conditions prescribed for admission as a full-time student.

REGISTRATION

- 4.1 The candidates are required to give their choice for supervisors based on their choice for supervisors based on his/her area of interest and the supervisor is allocated to him/her at the time of recommending the candidates for admission. The candidates shall be informed about the supervisor allocated in the admission letter. The candidate shall have to work with the supervisor allocated.
- 4.2 Every student/scholar is required to register himself/herself (in person) on the scheduled dates of registration (only). There shall not be any provision of deputing any representatives by him/her for registration purposes. Further, he/she shall be required to register in subsequent semesters till the submission of Ph.D thesis.
- 4.3 Every student/scholar will be required to renew the registration every Semester till the submission of the thesis. The renewal of registration every Semester shall be subject to completion of specified number of credits/courses and/or satisfactory progress in his research work as recommended by Research Advisory Committee (RAC).
- 4.4 Every student/scholar is required to fill the registration form and deposit it with the department through his/her supervisor(s).
- 4.5 Every student/scholar shall be allowed to register for the subsequent semester(s) if his/her progress report by his/her supervisor(s) HOD during the previous semester(s) is found satisfactory.
- 4.6 The act of not-depositing the fee or not-completing the registration process as mentioned above on the scheduled dates shall be treated as the “voluntary discontinuation” of studies by the Research Scholar. In such case, he/she will cease to be a bonafide student with immediate effect.
- 4.7 The instructions as above for registration shall be applicable for all full-time and part-time Research Scholars.
- 4.8 Late registration will be with a late fee of Rs. 500/- up to one week beyond the last date specified for the registration. However under special circumstances, the period may be relaxed by the Competent Authority.
- 4.9 Every student/scholar is required to follow the registration rules till he/she submits his/her Ph.D thesis.
- 4.10 In case a student wishes to temporarily withdraw from his Ph.D. program, he may do so only after a period of two years following his date of confirmation of Registration with prior permission of the Vice-Chancellor. The application for temporary withdrawal must be endorsed by the RAC. Duration of temporary withdrawal

beyond the period of one year would normally not be encouraged, and may be granted by the Vice Chancellor on recommendation by the DRC only under circumstances considered to be genuinely extraordinary. The period of temporary withdrawal will not be counted, when counting the number of Terms/ semesters of Ph.D. registration already completed by the student.

- 4.11 If a student/scholar withdraws from his Ph.D. Program or his registration is terminated, his student/ scholar status shall cease. If such a student/ scholar is re-admitted, he may be given weightage to the credits acquired during the previous registration on the recommendation of the DRC, except in the case of termination on disciplinary grounds.
- 4.12. Any student who concurrently registers for any postgraduate degree (registration for on line or part time certification courses is excluded) at another organization shall be automatically de-registered at the University.

COURSE WORK

- 5.1. On joining the University every student is required to plan his academic program in consultation with his course advisor/research supervisor/RAC if already nominated.

All students in the Ph.D. program are required to acquire the prescribed credits through course work, which shall normally be completed as per specified time duration for respective program.

- 5.2. The courses offered for the Ph.D. Programs may be: Lecture Courses, Laboratory Courses, Design Courses, Seminars, Courses pertaining to communication skills, research methodology, literature survey etc. The credit for a course depends upon the contact hours and self-study hours associated with it and duly approved by the BOS.
- 5.3. All Ph.D. students are to compulsorily register in some essential courses as may be specified at the time of registration/renewal of registration for the Ph.D. research work till they submit the thesis. Each student will be required to take course work as prescribed by the research supervisor(s)/ course advisor/RAC. Ph.D. students will be allowed to complete extra credit courses, if necessary.
- 5.4. For all course work students shall be governed by the rules and regulations for the level of courses as per respective departments. The coursework shall be transferable between the departments of the university and interuniversity subject to their acceptance by RDCU.
- 5.5. The minimum overall CGPA requirement in course work shall be 6 on a 10 point scale (or 55%) for student to be accepted as scholar for Ph.D. Degree. If the CGPA of

any student is below 6.00, at the end of any semester, his registration will be terminated with immediate effect, provided the additional allowed time.

- 5.6. Notwithstanding the above Regulations, the RAC may consider giving credit to the courses already completed/passed by a scholar at the University, as a part of his any earlier Ph.D. registration.
- 5.7. (a) The credit assigned to the Ph.D coursework shall be a minimum of 08 credits and a maximum of 16 credits.
- (b) The coursework shall be treated as prerequisite for Ph.D preparation. A minimum of 4 credits shall be assigned to one or more courses 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. Other courses shall be advanced level courses preparing the students for Ph,D degree.
- (c) All candidates admitted to the Ph.D programmes shall be required to complete the course work prescribed by the department during the initial one or two semesters.

RESEARCH SUPERVISOR(S) / RESEARCH COMMITTEES

- 6.1 Every admitted student shall be assigned a Research Supervisor(s) by the Head of the Department on the recommendations of the DRC, subject to approval of the Vice-Chancellor. Allocation of Research supervisor shall be decided by the DRC depending upon the number of scholars per supervisor, available specialization, research interest of the student etc.
- 6.2 Research Advisory Committee (RAC) for each PhD Scholar should constituted in the beginning of 1st semester and should define tentative research plan along with courses to be done. The courses should be aligned to research plan of the PhD scholar. The RAC for a research student shall be appointed within a week but not later than a month from the date of admission by the competent authority.
- 6.3 The Head Research on the recommendations of the DRC may appoint co-supervisor(s) not exceeding a total of two supervisors per student/scholar considering the nature of the research topic, who should fulfill the same condition of having PhD, as the main Supervisor. In exceptional cases where the research topic is of interdisciplinary nature, Head Research may approve a third supervisor. Co-supervisors may be from inside or outside the University.
- 6.4 **Contingencies in Appointment of Research Supervisors/co-Supervisors and Caretaker-research Supervisor for Ph.D. students.**

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

(a) A supervisor proceeding on long leave of more than 12 months

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

(b) A Supervisor retires.

A faculty member who is due to retire within the next two years can be appointed as a co-supervisor and can continue to be the co Supervisor even after his retirement provided the DRC is convinced of his availability/continued guidance to the student. In other cases, a faculty member on retirement may continue as

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

(c) A Supervisor resigns

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

(d) **A Supervisor dies**

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

(e) Change of Supervisor (s) under exceptional circumstances shall be permitted on recommendation of the DRC with the consent of (i) the student, (ii) the present Supervisor (s), and (iii) the proposed supervisor (s).

(f) If the research program and/or area of the work require modification due to this change, the student's entire course program requirement shall be examined by the DRC. If there is change in the research program and/or area of the work, the registration date may be revised, if found necessary.

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

- a) The Research Degree Committee of University (RDCU)
- b) Research Advisory Committee (RAC)
- c) Departmental Research Committee (DRC)

6.5 RDCU (Research Degree Committee of University)

RDCU Shall ensure uniform implementation of the Ordinance and provide advice on procedural and related matters. The composition of RDC shall include the following-

1. VC	(Chairperson)
2. Dean-Research	(Member)
3. Chairman, DRC;	(Member)
4. Head of the Department	(Member)
5. Two Professors other than Supervisors	(Member)
6. Supervisor(s) or co-supervisors.	(Member(s))
7. Head Ph.D	Member Secretary

RDCU shall have the following responsibilities;

The Committee shall-

- (a) suggest measures to create links and develop specific schemes of inter-university and University interaction with industry, agriculture, banks, commerce and community etc.;
- (b) prepare University perspective development plans, both short-term and long-term, keeping in view the objectives of the University provided in this Act, and with due regard to the State and National Educational, requirement;
- (c) recommend to the Executive Council the research and development and collaborative programmes for the University;
- (d) Monitor and report the progress of all such approved research and development and collaborative programmes to the Chancellor once a year;
- (e) evaluate and assess the use of research and development grants by University, and submit the report to the Executive Council;
- (f) shall approve Research Advisory Committee (RAC) for Ph.D.'s as recommended by various academic departments/center/units of University;
- (g) organize research and development audit and prepare report thereof for University and also to maintain research and development data of University on session basis according to the provisions of the Statutes, and make necessary recommendations to the Academic Council/Executive Council, as applicable, for implementation;
- (h) scrutinize the applications received for Patents and IPRs received from teachers and students of University.
- (i) The supervisors and Co-Supervisors will be approved by RDCU on the recommendations of DRC.

6.6. Research Advisory Committee (RAC)

RAC shall be duly constituted by competent authority for every scholar and generally comprise of following:

1. Chairman, DRC; **(Chairperson)**
2. One expert in the field from the Department/Centre; **(Member)**
3. One expert preferably in the concerned area, from outside the University to which the student belongs; **(Member)**

4. Supervisor(s) or co-supervisors.

(Convener)

Experts at (3) and (4) above will be nominated by VC from amongst those proposed by DRC.

.RAC shall have following responsibilities

- (a) Identify the course(s) that he/she may do.
- (b) To guide the scholar to study, develop and design the methodology of research.
- (c) To review the research proposal and finalize topic of research and,
- (d) To periodically review and assist in the Progress of research work of scholar.
- (e) The supervisors or Co-Supervisors for students will be approved by RAC on the recommendations of DRC.

Note- Once approved, the members of RAC can be changed only under exceptional circumstances on recommendations from the department by competent authority. All committee members are required to be Ph.D holders.

6.7. Departmental Research Committee (DRC)

There shall be a Departmental Research Committee (**DRC**) to oversee the process and progress of academic research activities for every department/ School/College level.

Composition of DRC

- 1. Dean of College/School- **(Chairperson)**
- 2. Head College/School **(Member Secretary)**
- 3. All Professors of the Department **(Member)**
- 4. Professor (Member from outside the Department/school/College) **(Member)**
- 5. Associate professor/Assistant Professor **(Member)**
- 6. **Supervisors/Co supervisors** **(Member)**

Functions of DRC (Departmental Research Committee)

- (a)** To conduct viva-voce/interview of student, where the committee checks the eligibility and the research competence of the candidate.
- (b)** The allocation of research supervisor for a selected research scholar shall be decided by the DRC depending on the number of scholars per research supervisor, the

available specialization among the supervisors and research interests of the scholars as indicated by them at the time of interview/viva-voce.

- (c) A student already holding a M.Phil degree with at least 55% marks or 7 CGPA can be exempted from course work on the recommendations of DRC.
- (d) Grades in the course work, including research work methodology course shall be finalized after a combined assessment by the RAC and DRC and final grades shall be communicated to the School/college.

Oral/Seminar

7.1. Oral/ Seminars shall satisfy the following conditions:

- (a) Seminar in a semester shall be of two credits and every research student must deliver a seminar as a part of course requirement and beyond the minimum limit of credits for course requirement.
- (b) Seminar shall be treated as additional course for the purpose of registration and evaluation.
- (c) Supervisor shall act as seminar coordinator and decide the topic of seminar in accordance with the area of research. Supervisor shall arrange the seminar and forward the grade awarded by the DRC to the competent authority by the end of the semester.
- (d) A student shall not get credits for more than one Seminar during the entire Ph.D programme.
- (e) All research scholars/students are required to be adjudged for proficiency in English while delivering seminar which is mandatory for everyone. The DRC will give its recommendation along with the result of seminar whether the candidate has qualified examination for proficiency in English or not. In case, the candidate's proficiency in English is not found satisfactory, the candidate is required to do a course in communication skills.

ELIGIBILITY FOR REGISTRATION AS SCHOLAR FOR THE DEGREE

- 8. A student shall be formally registered as a Scholar for the Ph.D. Degree after he has complied with the following:
 - (a) has completed his course work with a minimum CGPA of 6 or 55% marks.

- (b) has submitted a research plan duly recommended by RAC, and approved by VC; and

PERFORMANCE MONITORING

- 9.1. The academic/research progress of each student/Scholar will be monitored by RAC. For this purpose, each scholar will be asked to submit a progress report/synopsis at the end of each Semester to his supervisor(s). On receipt of the progress report, the supervisor(s) shall arrange with RAC for a review.
- 9.2. The supervisor(s)/RAC will evaluate the progress report of the student through a seminar at the end of each semester
- 9.3. 'Satisfactory'/unsatisfactory (US) grades are to be awarded during that Semester, along-with recommendation to continue registration in next Term. The scholar needs to be informed in each case with suitable advisories.
- 9.4. For the first appearance of 'US' grade, a warning would be issued to the scholar in writing.
- 9.5. If there are two consecutive 'US' reports, the registration will stand terminated.
- 9.6. Submission of progress report and semester seminars should continue till submission of thesis.
- 9.7. The academic calendar will include the dates for the submission of progress reports.

MINIMUM / MAXIMUM REGISTRATION DURATION REQUIREMENT

10. (a) Scholar shall be required to be registered for the degree for a period of not less than three calendar years (36 months) from the date of his initial registration. The period may be reduced in case of exceptional performance by the scholar after approval from the Vice Chancellor.
- (b) The scholars of all categories shall normally submit their thesis within a period of six years from the date of their initial registration. However, as a special case, this limit may be extended to a maximum of seven years on the recommendation of RAC and approved by the Vice-Chancellor after which the registration shall stand cancelled automatically.
- (c) Ph.D. students who have been registered for five or more years in the Ph.D. program are required to submit an application on the approval form, for extension of Ph.D. registration to the subsequent year in the Ph.D. program.

This application must be completed and submitted on or before the last date for completing the progress seminar prior to the year for which extension of Ph.D. registration is required.

PLACE OF WORK, PROGRESS AND DURATION

11. On the recommendation of the DRC and the Head Research, the University may allow the research work for the Ph.D. degree to be partially or wholly carried out at another organization with the following provisions:
- (a) The external organization where a scholar wishes to carry out the research work partially or wholly shall have to be recognized by the University before such work is undertaken.
 - (b) An external organization may be granted recognition by the University as an approved place of work.
 - (i) The recognition shall normally be given only for the purpose of the individual research project for a particular student/scholar.
 - (ii) The details of research facilities available at the organization shall be furnished by the student/scholar along with the application for admission to Ph.D. program.
 - (iii) The Head Research shall examine the details given and may decide either to ask for further information, or even collect first-hand information, if necessary, by deputing faculty member(s) to visit the organization. Only when the Head Research is fully convinced about the adequacy of the research facilities and the credentials of the external supervisor, it shall recommend the case to the Vice Chancellor.

SYNOPSIS

- 12.1. Prior to the submission of the synopsis and thesis, the following requirements have to be met by the student:
- (a) completed the course work requirement successfully,
 - (b) completed the research Work,
 - (c) A Ph.D Scholar must publish at least one Research Paper in refereed Journal and make two Paper Presentations in Conference/Seminar before the

submission of the dissertation/thesis for adjudication and produce evidence for the same in the form of presentation certificate and/or reprints.

- 12.2. Holding of Pre-Ph.D. seminar by RAC is an essential requirement before it considers the synopsis of a Ph.D. scholar. On completion of the research work, the scholar shall submit to RAC, 5 copies of the synopsis including bibliography of research work. The RAC will forward the synopsis with its recommendations to Head Research.
- 12.3. The scholar shall be required to submit fresh synopsis if he fails to submit his thesis within 3 months of the submission of the earlier synopsis.
- 12.4. However, in case a scholar fails to submit his thesis within the stipulated time and has suitable justification for the same, then the following procedure is to be followed;
 - (a) The PhD Scholar may apply to the Head Research through the Supervisor(s) and the RAC for grant of some more specific time for submission of the PhD Thesis.
 - (b) The Supervisor(s)/ RAC may forward the application to the Head Research either supporting the extension or rejecting it, with full justification in either case.
 - (c) After giving full consideration and examining the progress of the PhD scholar from the date of registration, the Head Research would give recommendation to the Vice Chancellor for final decision and approval. In any case, the extension for submission of the PhD Thesis cannot be more than two months from the earlier given date for submission.
 - (d) The Vice Chancellor will give his final decision and approval.
- 12.5. In case, a PhD scholar fails to submit the PhD thesis even within the granted extended period, his PhD synopsis and the seminar shall be treated as cancelled. He has to start the process of submitting fresh PhD synopsis and giving a fresh PhD synopsis seminar following the normal procedure. No second extension will be granted.

BOARD OF EXAMINERS

- 13.1. Nomination: On receipt of the title and synopsis of the thesis, the Head Research will appoint a Board of Examiners for each scholar.
 - (a) Two panels of examiners each consisting of five experts having long experience and good standing in the relevant field of the PhD work, will be proposed by the RAC to the Head Research who on accepting the same shall get it approved by the Vice-Chancellor. A person working in the same laboratory (ies)/Institution(s) where Research Scholar is employed cannot,

however, be appointed as external examiner for evaluating the Thesis of that Research Scholar. Further no person can be appointed as External Examiner from Laboratory/Institution to which the Joint supervisor(s) of the Research Scholar belongs. The supervisors while compiling the panel should consider the names of the examiners whose research work is referred in the Theses or who work in the same field/area.

- (b) **The first panel will have experts from within Uttar Pradesh geographically spread over the entire state and the second panel will have experts from outside Uttar Pradesh.**
- (c) The Vice-Chancellor will finalize the examiners. The Vice- Chancellor, if deemed necessary may also nominate one examiner from foreign or outside the panel.
- (d) The approved Examiners will be approached, along with copy of the synopsis seeking their consent.
- (e) The supervisor(s) shall be the internal examiner(s) and will be required to give an evaluation report on the thesis on the prescribed.
- (f) The Head Research shall take appropriate steps to receive the reports from the examiners of Ph.D thesis within a period of six months from the date of submission of the thesis.

THESIS SUBMISSION

- 14.1. The thesis shall be written in English in the specific format and shall contain a critical account of the scholar's research. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to knowledge of development or a combination of these. It should bear evidence of the scholar's capacity for analysis and judgment as well as his ability to carry out independent investigation, design or development. A thesis may be supplemented by published work, if necessary. No part of the thesis or supplementary published work shall have been submitted for the award of any other degree. An undertaking/ certificate to the above effect attesting to the originality of the work, vouching that there is no plagiarism and the work has not been submitted for award of any other degree/diploma to any other Institute shall be provided by the scholar and supervisor.
- 14.2. A scholar may submit his thesis within the time period as stipulated in rules provided that:
 - (a) he has completed the minimum period of registration as provided in rule 10 .

- (b) he has become a scholar for the award of Ph.D. degree as provided in rule 8.2 and
 - (c) he has submitted the title and synopsis of the thesis at least one months prior to the submission of the thesis.
- 14.3. The scholar shall initially submit three copies of the thesis with a soft cover. In case of co supervision four/five copies of thesis shall be submitted by the scholar.
- 14.4. The Thesis shall be put through anti plagiarism software to detect any kind of Academic dishonesty. A certificate in this reference is to be issued by Departmental Academic Integrity Panel (DAIP).

THESIS EVALUATION

- 15.1. Each examiner will be requested to submit to the Head Research a detailed assessment report and his recommendations, on the prescribed Performa, within six weeks of the date of receiving the thesis. The views of examiners must specifically be sought on that the theses is a piece of research work characterized by:
- (a) The discovery of facts, or
 - (b) A fresh approach towards interpretation and application of facts or theories, or a distinct advance in technology.
 - (d) On the scholar's capacity for critical examination and sound judgment.
 - (e) Whether or not major findings of the Thesis have already been published in referred Journals/Conferences or worthy of such publications. In case revision of Thesis is recommended, suggestions for the improvement may also be given.
 - (f) Quality of research work with respect to international standards of doctoral thesis.
- 15.2. In the event that the thesis report is not received from an examiner within a period of three months, the Head Research may appoint another examiner in his place for evaluating the thesis from the panel.
- 15.3. In the event of disagreement between the external examiners, the Head Research may as a special case, appoint another external examiner, if the merit of the case so demands. This examiner will report independently to the Head Research.
- 15.4. Re-Registration in case of rejection of thesis/requiring major revision:
- (a) The candidate may, however, be allowed to renew his/her registration to continue the PhD work on the same topic and under the same supervisor(s)

for another minimum period of one year. A fresh Thesis has to be submitted by the candidate within two years but not earlier than one year of renewal. The normal process of the evaluation will be followed afresh.

- (b) If a PhD scholar, who has been allowed to renew registration to continue for PhD degree after his/her thesis was rejected/required major revision, fails to submit the fresh thesis within two Years as specified above, his/her PhD renewal of registration will be totally terminated once for all.
- (c) The registration of a PhD scholar expires:
 - (i) on completion of the allowed maximum period of registration even after granted extension, or
 - (ii) on the final rejection of the thesis, even after submission/re-submission of the PhD thesis.
- (d) No second renewal of registration is permitted.

VIVA-VOCE (OPEN DEFENCE)

- 16.1. A scholar who has been recommended for viva-voce examination on the basis of thesis evaluation shall be required to defend his work/thesis orally before a duly constituted committee hereinafter referred to as Oral Defence Committee (ODC) during working hours of the University. The presentation shall be well publicized and open to all members of the University
- 16.2. The Recommendations and the evaluation reports from all the examiners including the supervisor(s) will be placed before the Vice-Chancellor for further action
- 16.3. If the Vice-Chancellor finds the recommendations and the evaluation Reports from all the examiners (i.e. including internal examiners) satisfactory, the date of final Viva-Voce examination will be decided in consultation with the External Indian Viva-Voce Examiner.
- 16.4. The ODC, shall be appointed by the Vice Chancellor and it shall consist of
 - (a) A professor of the University, outside the department as Chairman;
 - (b) The research supervisor(s);
 - (c) A faculty member of the University conversant with the subject to act as an internal examiner; and

- (d) The Indian External Examiner.
- 16.5. The Indian External Examiner will invariably be part of the board of examiner for the Viva-Voce Examination (Open Defence). In other words, it is not permissible to substitute the external examiner in the Ph.D. Viva Voce examination by an examiner from within the University. However, the external examiner could participate in the examination by means of Video Conferencing in case he could not be physically present for whatever reason(s). The Chairperson of the ODC would be required to certify the acceptance of the Thesis and successful conduct of the Ph.D. Viva Voce Examination on behalf of the external examiner, when the external examiner participated through Video Conferencing.
- 16.6. On the completion of all stages of examination, the Oral Defence Committee shall recommend to the Head Research, one of the following courses of action:
- (a) that the degree be awarded;
 - (b) that the scholar be re-examined at a later specified time in a specified manner;
 - (c) that the degree shall not be awarded;
- In case of (a) and (b), the Oral Defence Committee (ODC) shall also provide to the scholar a list of all corrections and modifications in the thesis (if required) including suggestions made by the examiners during the thesis evaluation.
- 16.7. The candidate will be required to submit the final version of the thesis in the required format, incorporating all the suggestions of the Viva-Voce Board, both in hard as well as soft forms within the time limit specified by Head Research. The incorporation of the required changes will be certified by supervisor(s) and verified by Head Research.

AWARD OF Ph.D. DEGREE

- 17.1. On receipt of the final version of thesis, Registrar will present the same along with reports of all examiners to the Vice Chancellor who shall finally decide on award of Ph.D. degree to the candidate or otherwise.
- 17.2. The Degree shall be awarded by the Academic Council, provided that:
- (a) The Oral Defence Committee so recommends;
 - (b) The scholar produces a 'No Dues Certificate' in the prescribed form, and
 - (c) The scholar has submitted three hard cover copies of the thesis; one for the

Department's/Centre's Library and one for the Central Library and one for INFLIBNET. Thesis should incorporate all necessary/ corrections/ modifications pointed out by the examiners or ODC and duly certified by the supervisor.

- (d) The hard bound copies of the Ph.D. thesis, submitted after the viva-voce examination, must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

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- (i) A Provisional Certificate would be issued to the candidate, if applicable.
- (ii) The final degree will be awarded in the Convocation.

LEAVE

19.1. A student/scholar will be entitled to avail leave as per Leave Rules/Attendance Rules formulated and amended from time to time by the Academic Council.

19.2. (a) Research Scholar is required to carry out his research work regularly under the guidance of the Supervisor(s), without any interruption during the period he enjoys the assistantship.

(b) During Course work: A full-time Ph.D. student, during his stay at the University will be entitled to leave for 30 days (Non accumulative 15 days per semester) including leave on medical grounds, per academic year. He will not be entitled to mid-Term breaks, summer and winter vacation at the end of the Term till completion of course works.

(c) Leave beyond 30 days in an academic year may be granted to a Research Scholar in exceptional cases, by the Head of the Department/ Centre concerned, subject to the following conditions:

(i) the leave beyond 30 days will be without Assistantship/Scholarship; and

(ii) such an extension of up-to additional 30 days will be granted only once during the program of the Scholar.

(iii) the leave may be subject to the approval of the Head of Department/Centre concerned on the recommendation of the Supervisor; and a proper leave account of each scholar shall be maintained by the Department/ Centre.

(d) After Completing the Course Work

A full-time Ph.D. scholar during his stay at the University will be entitled to leave for 30 days per academic year (Non accumulative 15 days per semester). He will not be entitled to mid-Term breaks, summer and winter vacations. In addition, a Ph.D. scholar who has completed his course work may be granted leave on medical grounds up to 10 days per academic year.

- (e) The women research scholars will be eligible for Maternity Leave as per University leave rules/rules of the organization awarding assistant ship.
- (f) Special Leave may be granted to attend Seminars/Conferences in India/abroad to present research papers, with the permission of the Dean/School/College is admissible.

ATTENDANCE

- 20. A Ph.D. student irrespective of the source of research assistantship including self-financing student not drawing any assistantship and sponsored student, while pursuing course work, must attend at least 75% of classes in each course in which He is registered. In case his attendance falls below 75% in any course during a month. Further, if his attendance again falls short of 75% in any course in any subsequent month in that Term his studentship will be terminated. A research scholar after having completed the course work must attend to his research work on all the working days and mark attendance except when He is on duly sanctioned leave. The requirement of 75% attendance will apply as above on daily attendance except in the cases where longer leave has been duly sanctioned within the leave entitlement of the student. For the above purpose, if 75% works out to be a number which is not a whole number, the immediate lower whole number will be treated as the required 75% attendance.

WITHDRAWAL FROM SEMESTER / COURSES

- 21.1. A student/scholar may be permitted to withdraw by the Head Research from all the courses registered by him or the entire Term, on medical grounds supported by a medical certificate from the University Medical Officer. The medical certificate issued by a registered Medical Practitioner will also be acceptable in those cases where the scholar has valid reasons for his absence from the University. Withdrawal may also be granted by the Head Research provided he is convinced that the scholar cannot pursue his studies for the reasons beyond his control.
- 21.2. Under no circumstances will a request for withdrawal be entertained after the end term tests have begun. Student/Scholar should present the medical certificate in support of his absence on health reasons within two days of his re-joining the University, if not produced already. Withdrawal will not be granted retrospectively.
- 21.3. The period of authorized absence in the Term should not be less than eight weeks of contact period for Term withdrawal to be granted. Regularly in attending the classes

and satisfactory performance in the minor(s) if any, held prior to the date of application for withdrawal are the factors which would be taken into account while recommending/granting withdrawal.

- 21.4. Any Semester withdrawal will count towards the maximum limit of six years as stipulated.

CANCELLATION OF REGISTRATION

22. Registration of a student/scholar shall be cancelled in any one of the following eventualities, after due approval of Vice Chancellor.
- (a) if he absents himself for a continuous period of four weeks without prior intimation/ sanction of leave.
 - (b) if he resigns from the Ph.D. Program and the resignation is duly recommended by the DRC.
 - (c) if he fails to renew his registration in any Term subject to the provisions contained in these Ordinances & Regulations.
 - (d) if his academic progress is found unsatisfactory in terms of rule.9.6.
 - (e) if his CGPA is below 7.00 or less than 55% at any time while doing course work and continues to be so after allowing additional chance as per rules.
 - (f) if he is found involved in an act of misconduct and/or indiscipline and termination is recommended by a competent authority.

RULES REGARDING CONDUCT AND DISCIPLINE

23. Following rules shall be applicable to all students and research scholars in the matters of conduct and discipline:
- (a) Student/ Scholars shall show due respect to the teachers of the University, and to the employees of the University
 - (b) Research Scholars are required to develop a friendly camaraderie with fellow students. In particular, they are expected to show kindness and consideration to the new students admitted to the University every year.
 - (c) Ragging in any form is banned by law: acts of ragging will be considered as gross indiscipline and will be severely dealt with.

- (d) The following acts of omission and/or commission shall constitute gross violation of the code of conduct and are liable to invoke disciplinary measures:
- (i) Ragging;
 - (ii) Lack of courtesy and decorum; indecent behavior anywhere within or outside the campus;
 - (iii) Willful damage or stealthy removal of any property/belongings of the University/ Hall or of fellow students;
 - (iv) Possession, consumption or disruption of alcoholic drinks or any kind of hallucinogenic drug ;
 - (v) Adoption of unfair means in the examinations;
 - (vi) Mutilation or unauthorized possession of library books ;
 - (vii) Noisy and unseemly behavior, disturbing studies of fellow students.
- (e) Commensurate with the gravity of the offence, the punishment may be reprimand, fine, expulsion from the hostel, debarment from an examination, rustication for a specified period or even outright expulsion from the University.

DEPOSITORY WITH UGC

24. Following the successful completion of evaluation process and the announcement of the award of the PhD degree, a soft copy of the PhD thesis will be sent to the UGC (INFLIBNET) within a period of thirty days.

MISCELLANEOUS

- 25.1. In case a scholar is found adopting or suspected of adopting unfair means before, during and after the examination or lifting of some other's work(s) and inserting it in his/her project, seminar and dissertation etc. without proper acknowledgement, credit and reference or plagiarizing the dissertation/project report etc., such penal action shall be taken by the University as may be necessary to uphold the sanctity and integrity of the examination system and the creditability of the University.
- 25.2. Any patent, design knowhow/copyright etc. emerging from the thesis work will be filed and owned by the IIMT University. All those who contributed in the invention will be the "Inventors".
- 25.3. Notwithstanding anything contained in these Ordinances & Regulations, all the PhD scholars will be governed by the rules and procedures framed by the University in

this behalf, and on matters of general discipline and in force from time to time. The decision of the Vice Chancellor in all matters related to Ph.D. shall be final and binding on all parties.

INTERPRETATION

26. Any doubt or dispute arising about the interpretation of these Ordinances and Regulations shall be referred to the Chairman, Academic Council whose decisions shall be final.