

Date: 07-09-2024



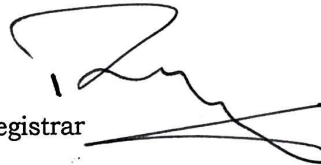
To,
Hon'ble Vice Chancellor
NIILM University, Kaithal

NOTE SHEET

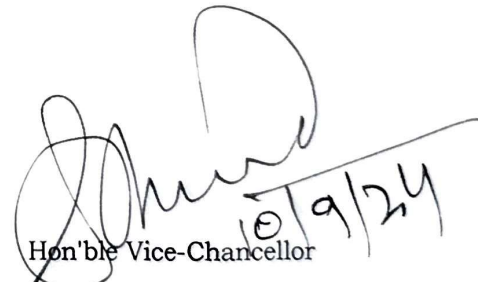
(For Approval of Ph.D. Ordinance 2024-25)

This note is to seek your esteemed approval for the proposed Ph.D. Ordinance (2024-25) which is aimed at standardizing and streamlining the procedures, requirements, and regulations related to the Ph.D. Program for the year 2024-25

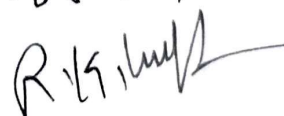




The Registrar
NIILM University, Kaithal


10/9/24
Hon'ble Vice-Chancellor
NIILM University, Kaithal

*Incorporated suggestions
& as per approval in
academic council meeting
on 22.08.24*


10.9.24
Dean, Academic Affairs
NIILM University
Kaithal (Haryana)

NIILM UNIVERSITY, KAITHAL, HARYANA



**DOCTOR OF PHILOSOPHY (Ph.D.) ORDINANCE
From Academic Session 2024-25**

As per UGC Minimum Standards and Procedures for Award of Ph.D.
Degree Regulations 2022

Research & Development Cell NIILM University

Website: www.niilmuniversity.ac.in

Vice Chancellor Director Research & Development Cell Registrar Dean Academic Affairs Controller of Examination
NIILM University, Kaithal (Haryana)

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1. PREAMBLE

The city of Kaithal, in the Indian state of Haryana, is location to the NIILM University, which is a well esteemed ^{STATE} private university of higher education. The Haryana State Legislature founded NIILM University under Haryana Act No. 16 of 2011. NIILM University pledges to become one of India's top research and teaching university. The University is ready to face the massive transformation happening around it and empower its teachers and students to contribute. Undergraduate, postgraduate and doctoral degrees in several fields are available at the University. The University's campus is near Kaithal, 160 km north-west of Delhi, and it has great extracurricular and well ^{built} infrastructure. The University facilitates and promotes study, research, and extension work in growing areas of higher education with ^{the} an emphasis on enhanced education in engineering, technology, management, journalism, and public communication, as well as excellence in linked sectors. Devoted, highly qualified, and industry- experienced faculty work at the University. As mentors, they provide several undergraduate, postgraduate and Ph.D. students a holistic environment where students get best opportunities and exploration.

NIILM University aims at setting and achieving the objectives pertaining to research activities which include various initiatives, innovations and research productivity of quality publications in different areas. Since the University is located in the rural area, masses can be catered through research. Therefore, these regulations of research shall support to explore new ideas and invention and to undertake quality research within the legal framework. The guidelines and provisions of this ordinance shall demonstrate a continuous commitment for maintenance of academic standards and quality of research. The guidelines of the policy are based on ethical practices to address the current issues and solve the requirements of the rural society and achieve the quality standards.

This ordinance is a guiding document for the composition and functions of various committees for Ph.D. programs offered by the university and is as per UGC Minimum Standards and Procedures for Award of Ph.D. Degree Regulations 2022.



2. SHORT TITLE AND COMMENCEMENT

These Guidelines and Regulations shall be called Ph.D. Ordinance NIILM University as per UGC Minimum Standards and Procedure for Award of Ph.D. Degrees Regulations 2022 with effect from academic session 2024-25, till further amendments.

3. DEFINITIONS AND ABBREVIATIONS:

- I. R&D Cell: Research and Development Cell responsible for the Research Program, and Research Activities in the University.
- II. Research Scholar: It means a person admitted to the Ph.D. Program.
- III. Registered Candidate: It means a candidate registered to the Ph.D. Program after the approval of R&D Cell/ DRC.
- IV. URC: It is University Research Committee constituted as Research Advisory Council to design, approve, and recommend the research policies, projects and programs in the University.
- V. DRC: Departmental Research Committee constituted to supervise the research scholars and conduction of departmental research activities.
- VI. RAC: Research Advisory Committee constituted to supervise and track the progress of each research scholar.
- VII. Research Supervisor: It means the member of academic staff, includes Professor/ Associate Professor/ Assistant Professor, approved by DRC as per the guidelines.
- VIII. Research Co-Supervisor: An academic staff, Professor/ Associate Professor/ Assistant Professor/ Adjunct Faculty/ Emeritus Professor/ Faculty from other institutes, as additional supervisor, approved by the DRC as per guidelines.
- IX. Course Work: It means course of studies prescribed by the University to be completed by research scholar as fulfilment or required for Ph.D. program.
- X. Enrolment: Registration: A number generated by the University for each research scholar after completing the admission formalities.
- XI. Duration of Ph.D.: The length of time spent from the date of enrolment in



the Ph.D. program.

4. MANAGEMENT AND COORDINATION

Doctor of Philosophy programs, offered by NIILM University, will be managed & supervised by the Research and Development Cell (R&D Cell), formerly known as the Research Cell, University Research Committee, Department Research Committee, and Research Advisory Committee. The overall coordination of the research programmes shall be done by the Research & Development Cell.

The composition, objective, and functions of these bodies are specified in the ordinance.

5. RESEARCH & DEVELOPMENT CELL (R&D Cell)

Research & Development Cell, hereinafter called R&D Cell, NIILM University, primarily focuses on coordinating, managing, and conducting research activities, projects, and research programs in specific fields or disciplines as specified from time to time. The University's Ph.D. program and research activities are governed by the Research & Development Cell under the leadership of the Director Research & Development Cell. R&D Cell will enable the attainment of targets of AtmaNirbhar Bharat and is expected to play a pivotal role in catalyzing the research culture mandated in NEP 2020. The R&D Cell is responsible for developing and strengthening the research ecosystem, aligned with the provisions of NEP-2020. The essential elements of such an ecosystem, viz., generation of knowledge and facilitation of research, innovation, and technology development for industrial & societal benefits, are addressed by human resource, intellectual capital, governance and financial resources, information management system, research promotion & guidance, Integrity and ethics, capacity building and research monitoring. R&D Cell and its committees help in creating new knowledge, creating a research ecosystem for reliable, impactful, and sustained research output, and facilitating intellectual growth that would promote quality research and contribute meaningfully towards the goal of a self-reliant India. The R&D Cell works under the supervision of the Director R&D Cell.

Vision: To put in place a robust mechanism for developing and strengthening the research ecosystem within the University, aligned with the provisions of NEP-2020.

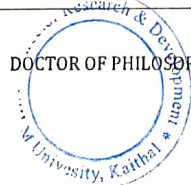


Mission

- To create a conducive environment for enhanced research productivity.
- To encourage collaboration across industry, government, community-based organizations, and agencies at the local, national, and international levels.
- To facilitate greater access to research through mobilization of resources and funding.
- To provide support to the research community within the University.
- To conduct research activities within the University.
- To manage research programs within the University.

Composition of R&D Cell

Vice Chancellor	Chairman
Director R&D Cell	Convenor
One Faculty Member wherever possible at the level of Professor or Associate Professor	Coordinator
Finance & Infrastructure Committee	Head & Members
Research Program & Policy Development Committee	Head & Members
Collaboration & Community Committee	Head & Members
Product Development, Monitoring and Commercialization Committee	Head & Members
IPR, Legal and Ethical Matters Committee	Head & Members



Objectives & Functions:

- a) To create an organizational structure with role-based functions of the R&D Cell, formulate Research Policy for the University, identify thrust areas of research, and form related cluster groups/ frontline teams/consortia of researchers.
- b) To coordinate the administration of the entrance exam with the Controller of Examination and Admission Cell for admission to the Ph.D. program (twice a year).
- c) To create enabling provisions in Research Policies for recruitment of research personnel, procurement of equipment, and financial management with adequate autonomy to the Principal Investigator(s) and disseminate research outcomes to stakeholders and the public at large.
- d) To post the rules & regulations for the Ph.D. program, information about the subjects provided, job openings in the relevant departments, and information about qualified Ph.D. supervisors.
- e) To coordinate all departmental research initiatives, including the recruitment of research scholars.
- f) To develop an Institutional Research Information System for sharing the status of ongoing/ completed research projects/Programmes, expertise & resources, etc., making effective use of Information & Communication Technology (ICT) for preparing the database of in-house experts to provide industrial consultancy and services.
- g) To provide research scholars with advice regarding the NIILM University Ph.D. program.
- h) To schedule meeting of the University Research Committee (URC).
- i) To engage & utilize the services of superannuated active faculty/scientists in research capacity building of talented young minds and promote mobility of researchers across institutions and R&D Labs.
- j) To provide research assistance, supervisors, co-supervisors and as advisory committee to all concerned.
- k) To approve the Departmental Research Committee (DRC)-and supervisor-



recommended Research Advisory Committee (RAC).

- l) To act as a liaison between researchers & relevant research funding agencies, extend guidance in the preparation & submission of project proposals and post-sanctioning of the grants to oversee adherence to timelines.
- m) To discuss various aspects of the research programme on a timely basis.

The Research & Development Cell will be responsible for overall supervision of Ph.D. programs offered by the University, research programs, innovation, projects, and research developments. The R&D will work in tandem with other departments of the University to achieve the objective specified above or added from time to time. Provided that whenever required, the R&D Cell may constitute Doctoral Research Committee or Research Degree Committee as per the guidelines approved by URC.

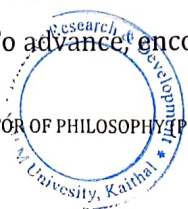
6. **UNIVERSITY RESEARCH COMMITTEE (URC):** For the entirety of the University, there shall be a single URC as Research Advisory Council. This committee generally talks about current Ph.D. research scholar issues, policy changes, and implementation recommendations in accordance with the most recent regulatory body requirements or as and when required.

Composition of URC

Hon'ble Vice-Chancellor	Chairman
Director/ Assistant Director R&D Cell	Secretary
Registrar	Convenor
Dean-academics	Member Secretary
All Deans of Faculty	Member(s)
Controller of Examinations (C.O.E)	Member
Two External Experts other than NIILM	Member(s)
University Faculty at the level of Professor or Associate Professor	

OBJECTIVES

- a) To advance, encourage, and aid in the Ph.D. programs and research.



- b) To create and put into effect policies that will facilitate high-end research and its results.
- c) To identify research deficit areas and formulate policy for research in interesting technologies, and areas of national importance.
- d) To improve the research quality output and the university reputation as a research-driven enterprise.
- e) To give general instructions for the Ph.D. program and applicable laws (if any).

FUNCTIONS

- a) To recommend and update the policies of Ph.D. programs and make sure that all rules and guidelines relevant to the program are carefully adhered to.
- b) To periodically examine the rules, guidelines, and instructions relating to the Ph.D. programs to recommend any changes to the R&D Cell.
- c) On the advice of the R&D Cell, make decisions on the confirmation of termination of candidature withdrawal and degree completion times.
- d) Review current Ph.D., Post & Undergraduate, and faculty research promotion policies periodically, and suggest modifications for Ratification
- e) To approve the employment of an external examiner and co-supervisor after getting recommendations from the R&D Cell.

7. **DEPARTMENTAL RESEARCH COMMITTEE (DRC):** There shall be one DRC for every department running Ph.D. programs.

Composition of Departmental Research Committee (DRC)

Head of Department	Chairman
A faculty wherever possible at the level of Professor or Associate Professor nominated by Director R&D Cell or a faculty at the level of Professor or Associate Professor nominated by the honorable Vice Chancellor	Member Secretary
Faculty Members (1-3) from the same department as per seniority level or wherever possible at the level of Professor or Associate Professor	Member(s)



External Experts or External Members from other Departments of the University at the level of Professor or Associate Professor	External Member(s)
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- a) To take research initiatives for departments.
- b) To supervise the scholars in the Ph.D. program and assign supervisors in the pertinent field.
- c) Should keep an eye on how each Ph.D. program that is now being offered is being conducted.
- d) To keep track of and assess the department's research output.
- e) To implement the suggestions made by the Academic Council, URC, and RAC as recommended by R&D Cell.
- f) Must hold at least two meetings per semester regarding the research programs, research initiatives, research innovation, etc., and report the minutes to R&D Cell.

8. **RESEARCH ADVISORY COMMITTEE (RAC):** Each research scholar registered with the department will have a **Research Advisory Committee (RAC)**. The RAC must be submitted by the supervisor in accordance with the required format provided by the R&D Cell after choosing the candidate. RAC will be constituted by the DRC in consultation to the R&D Cell and will be approved by URC or the Honorable Vice-Chancellor.

Composition of Research Advisory Committee

Research Supervisor	Convener
Co-Supervisor (if any)	Member
One or Two subject experts from the Department, wherever possible at the level of Professor or Associate Professor	Member(s)
At least one faculty member from outside the Department in NIILM University or external to NIILM University, wherever possible at the level of Professor or Associate Professor	Member



FUNCTIONS:

- a) To review the research proposal and finalize the topic of research
- b) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- c) To keep track of the scholar's research project's development and any pertinent issues during his or her time at the university, until the Ph.D. is granted.
- d) To appraise and share assessment/progress reports of the research effort with D&R Cell every six months up until the pre-submission presentation of his or her thesis. D&R Cell will share all reports with R&D Cell.
- e) To evaluate and accept the pre-submission presentation report and research proposal.
- f) To evaluate the pre-submission presentation seminar and inform the D&R Cell of the findings.
- g) To get together as needed.

A research scholar shall appear before the Research Advisory Committee once in six months (in each semester) 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 Research and Development Cell (R&D Cell) with a copy to the research scholar.

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

9. ELIGIBILITY CRITERIA FOR ADMISSION TO Ph.D. PROGRAM

A candidate seeking admission to the course of Ph.D. must fulfill the following relevant academic criteria:



A 1-year/ 2-semester master's degree programme after a 4-year/ 8-semester bachelor's degree programme or a 2-year/ 4-semester master's degree programme after a 3-year bachelor's degree programme or qualification declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate in the subject concerned or in an allied subject **OR** its equivalent grade in a point scale wherever grading system is followed.

A candidate seeking admission after a 4-year/8-semester Bachelor's degree should have a minimum CGPA of 7.5/10 or a minimum of 75% marks in aggregate.

Chartered Accountancy (CA) Qualification from 'The Institute of Chartered Accountants of India' (ICAI)/ Cost and Works Accountancy of ICWAI/ Company Secretary of ICSI with a minimum .55% marks or equivalent grade.

OR

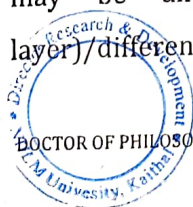
Equivalent qualifications from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that county to assess, accredit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

OR

M. Phil. degree or a recognized equivalent degree beyond Master's degree level with at least 55% marks or equivalent grade in the grading system and Master's degree with 50% marks in aggregate in the subject concerned or an allied subject.

Candidates who have cleared the M.Phil. course work 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) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same Institution in an integrated programme.

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/BC(A&B) (non-creamy layer)/differently-abled, Economically Weaker Section (EWS) and other categories of



candidates as per the decision of the Commission from time to time.

A person whose M.Phil., dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme.

It will be the responsibility of the candidate to ensure his/her eligibility and fulfillment of such other condition(s) as may be prescribed for admission in the rules and regulations of the University. The admission to Ph.D. course will be in order of merit and subject to availability of seat(s) and expert(s) for guidance/supervision in the area of research. Before submission of Application Form, the candidate is required to ascertain these facts from the concerned Department/Institute. Merely qualifying the entrance test will not ipso-facto entitle a candidate to get himself/herself enrolled for Ph.D. course in the concerned Department/Institute.

10. PART TIME MODE

For part time, the conditions stipulated in the ordinance must be fully satisfied.

Such students need to complete course work period as residency period or needs to attend the course work classes as per the schedule to be provided by the DRC, the schedule approved by the R&D Cell and Vice Chancellor or URC.

The candidate will submit a “**No Objection Certificate**” from the appropriate authority in the organization where the candidate is employed clearly stating that:

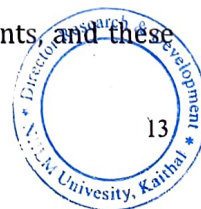
- (i) The candidate is permitted to pursue studies on a part time basis.
- (ii) His/ Her official duties permit him/ her to devote sufficient time for research
- (iii) If required he/ she will be relieved from the duty to complete the course work.

Read clause 15 for part time candidature and exemption extended to part time research scholars

10.1 ADMISSION OF INTERNATIONAL STUDENTS

International students will be treated with the same regulations and need to fulfil the conditions mentioned in the ordinance.

The University has **25% supernumerary seats** for international students, and these



seats shall be exclusively meant for the international students only.

11. PROCEDURE FOR ADMISSION

The University shall admit Ph.D. Scholars through a National Eligibility Test (NET) Score, or an Entrance test conducted at the level of university for the applicant not appeared for NET.

Provided that, any circular/notification/communication by the UGC/Ministry of Education, Govt. of India regarding the conduct of a common entrance test or regarding admission in Ph.D., shall be applicable and binding on the University, and covered under such a circular/notification/communication time to time.

- I. Candidates who meet the requirements and wish to enroll in the Ph.D. program at NIILM University must submit an application with the application fee for the Ph.D. entrance exam of Rs. 5000 (non-refundable).
- II. At the time of admission or registration in NIILM University, the applicant requesting admission as a part-time scholar must provide a NOC from his or her current employer.

11.1 Transfer Case to NIILM University, Kaithal from another University

- I. A candidate who is already registered for a Ph.D. at another university and wants to register for a Ph.D. at NIILM University will often be handled as a new Ph.D. candidate. He or she must reapply and complete the registration process as necessary.
- II. In exceptional circumstances, the URC may, however, allow the transfer of a candidate registered with the supervisor in his or her earlier University to transfer earned credits and register at NIILM University, such students will be treated as per UGC Regulation 2022.
- III. Such students need to submit NOC from previous University.
- IV. Such candidates will register for Ph.D. through a protocol presentation to the URC that includes all case specifics and already completed work. If the URC is satisfied with the case's merits, it may suggest that the person register with NIILM University.
- V. The URC may permit the transfer of credits for the coursework finished during



the earlier registration if it is satisfied. While determining whether the research completed for the award of a Ph.D. is sufficient, URC may also permit work completed during an earlier registration that was not previously published for the award of another degree or diploma in another university.

- VI. Such applicants will have to submit a letter explaining their decision to cancel their Ph.D. registration with the prior University.
- VII. If a Ph.D. woman scholar moves because of a marriage or for another reason, the research data may be transferred to the university where she plans to enroll, provided that all other requirements of these Regulations are met in full and the research work is independent of any funding agency projects that the parent institution or supervisor may have received funding for. However, the student will properly credit the university and the parent mentor for the portion of the research that has already been completed.

12. SELECTION PROCEDURE

- a. In a given academic year, there will be two sessions for research scholar selection and provisional registration as follows:
 - i. July – December (Autumn Semester)
 - ii. January – June (Spring Semester)
- b. The announcement for Ph.D. admissions must be posted on the NIILM University website, and the advertisement must appear in at least two (2) national newspapers, one (1) of which must be in the Hindi language.
- c. On the NIILM University website, all pertinent information regarding the Ph.D. program will be made available, including the subject, criteria for admission, and procedure for admission.
- d. Both the entrance exam and the personal interview will be used to select applicants for admission or NET score and interview.

12.1 Criteria for Preparation of Merit List for Admission and Preferences

Merit list shall be prepared on the following basis:

- (i) NET/GATE/JRF/SLET Score+Interview **OR**



(ii) Entrance Test Score+Interview

A weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

Preference will be given in the following order:

- (i) First preference shall be given to UGC/CSIR-NET JRF/SLET/GATE qualified candidates.
- (ii) Second preference shall be given to candidates who have passed the University entrance exam.

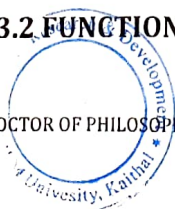
13. ENTRANCE EXAMINATION

- a) The entrance examination will consist of 100 multiple choice questions of equal marks containing 50 questions each from research methodology and subject specialization.
- b) The exam will be conducted by C.O.E having 2 hours of duration.
- c) There is No Negative marking for incorrect answers.
- d) Candidates who have passed the MPhil/NET/JRF/SLET/GATE examinations are exempted from the written examination.
- e) Candidates will be selected as per the number of vacancies in the department.
- f) There will be no provision for re-evaluation of answer books for the paper of Ph.D. Entrance Test.

13.1 Personal Interview: All the candidates have to appear before the interview board duly constituted by the R&D Cell and approved by the Vice Chancellor or URC. The Constitution of the Interview Board is as follows

- a. Director R&D Cell
- b. DRC members
- c. One Expert from Outside the Department at the level of Professor or Associate Professor
- d. One URC Member or a faculty at the level of Professor or Associate Professor nominated by the honorable Vice-Chancellor.

13.2 FUNCTIONS OF INTERVIEW BOARD



- a) Interview board will ensure the transparency in the interview process, and proper evaluation of the applicant's subject knowledge, research and presentation skills i.e., whether:
- b) The candidate possesses the competence for the proposed research.
- c) The research work can be suitably undertaken at the University.
- d) The proposed area of research can contribute to new/additional knowledge.
- e) The interview board will prepare the merit list as per the following marking scheme:
- f) After the written examination only the candidates scoring marks ≥ 50 will be called for an interview. Provided a relaxation of 5% marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/BC (Block A&B) (non-creamy layers)/Differently-abled category of Haryana in the entrance examination conducted by the University.
- g) At the time of the interview, no supervisors will be assigned to the candidates.
- h) The interview board's merit list, fully approved by the URC nominee, will be delivered to the R&D Cell.
- i) The R&D Cell will compile and release the final result after approval from the Hon'ble Vice Chancellor.

14. DURATION OF THE PROGRAM

The duration of the Ph.D. program, including coursework, is as follows:

- I. Ph.D. program shall be for a minimum duration of three years, including course work, and a maximum of six years, the period shall be counted from the date of issue of the provisional enrollment letter.
- II. Every Research Scholar shall submit his/her Thesis within 6 (Six) years from the date of his/her enrolment for Ph.D. Course, but not before 3 (Three) years including coursework. If a Research Scholar fails to submit his/her thesis within a period of 6 (Six) years, his/her registration will stand automatically canceled.
- III. The period of 6 (Six) years for submission of Ph.D. Thesis by a Research Scholar may be extended, in exceptional cases, for a maximum of 2 (Two) year by the Vice-Chancellor on the recommendations of the RAC with an extra fee as



prescribed and notified by the University. Thereafter, no extension of the period for submission of Ph.D. Thesis in any case shall be allowed.

- IV. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. Course in the maximum duration of 6 (Six) years by the Vice-Chancellor on the recommendations of the RAC. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of the Ph.D. for up to 240 days which shall not be counted in the stipulated period of **6 (Six) years** for submission of the Ph.D. thesis, subject to production of maternity certificate from a registered medical practitioner/ registered Nursing Home/Govt. Hospital. Maternity and Child Care leave will not lead to exemption of coursework including attendance and mandatory stay period. Maternity leave also be granted to Research Scholars in case of miscarriage, including abortion, subject to the condition that the leave, applied for, does not exceed 6 weeks and the application is supported by a medical certificate.

15. CANDIDATURE OF Ph.D. SCHOLARS

- I. Full-time research researchers are individuals who enroll in a Ph.D. program at NIILM University Haryana, Kaithal on a full-time basis and are not employed elsewhere.
- II. After approval of the research topic, the full-time Research Scholar shall have to stay for a minimum period of Two years (including fieldwork) in the concerned Department of the University to pursue his/her research work. The year shall be taken as a minimum of 180 days.
- III. Part-Time Research Scholars: Part-time research scholars are individuals who are registered for Ph.D. at NIILM University and are currently employed in any college, school, institute, or enterprise, and their admissions will be made as per this ordinance's regulations.
- a) Part-time – External: A scholar employed outside NIILM University.
- b) Part-time – Internal: A scholar who is NIILM University employee.
- IV. **These research scholars may be allowed exemption from the residency**



period provided that they have access to research facilities at their places of work. These candidates need to attend coursework classes as per the schedule provided by DRC. DRC can extend the research work period for part-time research scholars to more than 3 years where part-time scholars shall have contact with their RAC for a minimum of 180 hours per year till submission or as per the schedule provided by the Department time to time.

- V. The Research Supervisor of the Research Scholar shall maintain the attendance record of the full-time Research Scholar in the respective Department. For part-time scholars, the Supervisor will submit the requisite 180 contact hours during the research period, per year or as specified by the URC and R&D Cell.

CHANGE IN CANDIDATURE

- I. With the consent of the RAC/DRC and R&D Cell, the University may allow a student to change their enrollment status from part-time to full-time if there are good grounds for it.
- II. A registered scholar who is working full-time is not permitted to switch to a part-time schedule for at least three years after registering (the minimum period required for a Ph.D. program). The minimum and maximum research periods for these scholars will be determined pro rata, based on the time already accomplished in full-time or part-time mode.

16. RESEARCH PROPOSAL AND FINAL REGISTRATION

- I. Within six months of provisional registration, research scholars shall submit a research proposal in the format specified and present their broad topic of research, along with the title of the thesis, to the DRC through RAC.
- II. Scholars are required to present twice in front of RAC in order to prepare a research proposal which should be in the middle of the semester.
- III. The RAC will evaluate the proposal during an open seminar and recommend to the DRC whether or not to accept the scholar's registration.
- IV. The candidate will finally be regarded as a registered research scholar of NIILM University after submitting the research proposal accepted by the RAC/DRC to the



R&D Cell, and from that point on, every semester, he or she must complete academic registration; otherwise, their admission may be revoked.

- V. Research scholars who had their Ph.D. registrations canceled may re-register by paying a re-admission fee of Rs. 5000.

16.1 Registration Confirmation/Cancellation

- I. The date of the first DRC meeting of the research scholar shall be the date of his/her provisional registration.
- II. The research scholar's registration will be automatically canceled if he or she does not present the study proposal before the DRC within the time frame specified above.
- III. If a research scholar is not recommended by the DRC for confirmation of registration at the conclusion of the presentation of his or her progress report, he or she must continue to conduct research for a further six months, at the conclusion of which time he or she must present a progress report for the DRC's reevaluation. The DRC will verify the registration and, if satisfied, allow the candidate to carry on with their research.
- IV. If a research scholar is not recommended by the DRC even once more, their provisional registration will be revoked and they will not be allowed to continue their research.
- V. Changes to the Ph.D. thesis's title or research area are generally not allowed. However, requests for changing the focus of research (within the authorized broad area) must be submitted to DRC with the RAC's recommendations and the required fee. Such requests can only be granted once. The RAC will make sure that the scholar's coursework relates to the subject or field that has been asked to be changed.

17. ALLOCATION OF RESEARCH SUPERVISOR:

- I. The DRC in question will decide how to assign a research supervisor to a chosen research scholar based on the R&D Cell's decision regarding the number of scholars per supervisor, the supervisors' areas of expertise, and the research interests of the scholars as expressed during the interview.



- II. When choosing a Ph.D. supervisor, the potential supervisor and scholar's consent should be properly taken into account. Full-time Ph.D. candidates will be given preference for admission.
- III. If necessary, a co-supervisor may be present at the employer (University, College, or Institution) for external part-time candidates.
- IV. The DRC will make sure that the research topics chosen by the respective supervisors are original and not a rehash of past work by the supervisor.
- V. One supervisor or co-supervisor from the Department is allowed for the candidate.
- VI. A co-supervisor from a different Department may be assigned in accordance with the research needs and DRC's proposal.

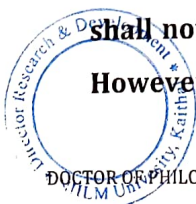
17.1 ELIGIBILITY AS RESEARCH SUPERVISOR

- i. To serve as a supervisor, all faculty members (Professor, Associate Professor, and Assistant Professor) employed regularly in the Schools, Departments, and Faculty of NIILM University must hold a Ph.D. from an accredited university.
 - ii. Any regular Professor/ Associate Professor of the University with at least 5 (five) research publications in peer-reviewed or refereed journals and any regular Assistant Professor with at least 3 (three) research publications in peer-reviewed or refereed journals may be recognized as Research Supervisor.
- II. Provided that in areas/disciplines where there is no or only a limited number of peer-reviewed or refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
 - III. Only a full-time regular teacher of the University concerned can act as a Research Supervisor. **Adjunct faculty are not permitted to be Research Supervisors except being co-supervisors.** However, in case of interdisciplinary or multidisciplinary research work, Co-Supervisors from within the same department or other departments from the University or other University may be permitted with the approval of the URC and R&D Cell. In specific cases of a formal institutional collaboration based on the MoUs, the Universities concerned may approve a faculty member as Research Supervisor/Co-Supervisor for a Ph.D.



- candidate from the collaborating institution.
- IV. Prior consent of the Research Co-Supervisor along with No Objection Certificate from the respective Head of the Department/Institution shall be submitted by the Research Supervisor of the University to the R&D Cell.
 - V. Such recognized supervisors cannot supervise research scholars in other institutions where they can only act as co-supervisors.
 - VI. A research supervisor or co-supervisor who is a Professor is not permitted to supervise more than 8 Ph.D. students at one time. Counting one for each Ph.D. student supervised alone and half for co-supervising a student, Associate Professors and Assistant Professors can supervise a maximum of 6 and 4 Ph.D. students, respectively. One additional research scholar can be allotted to each supervisor over and above the allotted number provided the Research Supervisor is implementing a major sponsored research project.
 - VII. Each supervisor can guide up to **2 (two) international research scholars** on a supernumerary basis over and above the permitted number of Ph.D. scholars mentioned above.
 - VIII. The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University.
 - IX. At any point of time the total number of candidates under a research supervisor shall not exceed the number as prescribed above including the candidates under co-supervision. The Co-supervision be counted as 1/2 seat only.
 - X. In case of relocation of a woman Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University/College to which the scholar intends to relocate, provided all the 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 any funding agency. The scholar shall, however, give due credit to the parent guide and the institution for the part of the research already done.
 - XI. **Faculty members with less than three years of service before superannuation**

shall not be allowed to take new research scholars under their supervision.
However, such faculty members can continue to supervise Ph.D. scholars



who are already registered until superannuation and as co-supervisors after superannuation, but not after attaining the age of 70 years.

- XII. University teachers after superannuation, if they are re-appointed in the **parent University** as contract or honorary or distinguished or emeritus professor, may continue as Research Co-Supervisors till the age of 70. The university, after considering the research track record and fitness of such superannuated teachers to co-supervise scholars, may decide on his/her continuation as Research Co-Supervisor without financial commitment, **but not after attaining the age of 70.**

17.2 RESPONSIBILITIES OF RESEARCH SUPERVISOR

It is the supervisor's responsibility to ensure that all formalities described in the PhD Regulations and also in the Ordinance of the University are fulfilled. The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching skills and career guidance. The supervisor's responsibilities include information and advice to scholars on all aspects related to the PhD programme while focusing on guidance on academic aspects of research activities. This may include regular meetings with a scholar (typically once a week unless restricted due to reasons otherwise). The supervisor should ensure relevant and adequate advice on important aspects such as the involvement of additional supervisors where deemed appropriate, whether the proposed PhD project is feasible within the given time frame, whether the project has the potential to lead to new results of the significant high standard of an international level PhD thesis, and whether the scholar has sufficient time to enable him to have a realistic opportunity for submission of thesis. It is envisaged that an ideal PhD programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D. programme and they have reached an agreement on the demands and expectations of each other. The responsibilities of the supervisor include:

- a) To guide the scholar in selecting a topic for research.
- b) Advising the scholar to contact relevant national and international organizations in the area of research
- c) To suggest the courses for Ph.D. coursework



- d) To monitor the progress of the scholar.
- e) To approve and forward all applications of the scholar.
- f) To provide or arrange necessary facilities for carrying out research work
- g) To arrange for a change of supervisor(s), in the event of his/her leaving the University or going away from the University for a period of more than one year.
- h) To suggest a panel of examiners to the R&D Cell.
- i) To ensure that the scholar has deposited all the fees regularly.
- j) Active participation in the assessment and PhD defense
- k) To provide attendance records of full-time research scholars and contact hours of part-time research scholars to the R&D Cell.

17.3 Additional Co-Supervisor: An additional faculty member or perhaps a subject-matter authority from outside the Department/University may be taken into consideration as a co-supervisor for a research scholar, subject to R&D Cell/URC clearance. This depends on the research requirements. A research scholar may have no more than two co-supervisors.

- a) Conditions and eligibility for outside academicians/researchers to register as Ph.D. co-supervisors at NIILM University will same as for the regular faculty member as supervisor.
- b) Application for appointment as an external co-supervisor will be sent through the supervisor of the research scholar to DRC, based on his/her requirement.
- c) The eligibility of the proposed external co-supervisor will be ascertained by the DRC and approved by the R&D.
- d) The approved person will then be registered as an external co-supervisor till the completion of the Ph.D. of the research scholar at NIILM University.
- e) Direct applications from any person desirous of becoming an external co-supervisor at NIILM University will not be entertained.

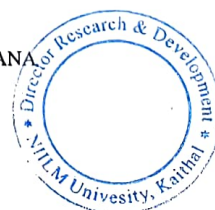
17.4 Change of Supervisor: In exceptional cases, applications from a research scholar for change of research supervisor (s) shall be permitted, on the recommendation of the DRC after obtaining the consent of the present and proposed supervisor(s).



- I. Supervisor leaving NIILM University/resigning/passing away.
- II. The RAC will designate a replacement supervisor from the Department, subject to DRC and R&D Cell approval if the research supervisor is absent for more than a year or passes away.
- III. If a Ph.D. applicant had delivered the pre-submission report prior to the supervising faculty member's departure from NIILM University, the supervisor could remain for a maximum of six months.
- IV. The change of Research Supervisor of a Research Scholar shall be allowed before the completion of his/her research work or at any other stage under exceptional cases.

18. Ph.D. COURSE WORK, EVALUATION AND ASSESSMENT

- I. The coursework shall be treated as a prerequisite for Ph.D. preparation. In the first year of registration, all research scholars are required to complete the coursework for one semester following their provisional registration as a part of the Ph.D. program. It is mandatory to complete the coursework in the first 4 semesters to stay in the Ph.D. program. If a student fails to complete the coursework in the first 4 semesters, will have to leave the program.
- II. Earning a minimum of 12 total credits and a maximum of 16, is required.
- III. Usually a course refers to a 'paper' and is a component of an academic programme. Courses in Ph.D. coursework shall be of two kinds: Core and Elective.
- IV. A core course is a compulsory paper to be studied by all the scholars to complete the requirements of the Ph.D. degree.
- V. Elective course is a course which is discipline-specific and provided by the particular department from the main discipline or from a sister/related discipline that supports the main discipline, on mutual consent of the concerned departments.
- VI. The number of credits is given in the form L:T:P, where L indicates the number of contact hours of lectures, and T is the number of contact hours for tutorials, P stands for laboratory credits.



VII. The credits are distributed as follows:

Course Structure: For all research scholars

Paper Code	Paper	Course type	Credit	L	T	P
PHD-ARM-101	Advanced Research Methodology	Core	4	3	1	0
PHD-DSC-102	Discipline Specific Course	Elective	4	3	1	0
PHD-RPE-103	Research and Publication Ethics	Core	2	1	1	0
PHD-SEM-104	Academic Writing, Literature Review and Seminar	Skill	2	0	1	1
	Total		12			

VIII. All Ph.D., entrants irrespective of discipline, shall be trained in teaching proficiency related to teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral training period, which includes assigning 4-6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluations.

IX. Courses PHD-SEM 104 includes research work on research article writing and seminar presentation, and course PHD-TP 105 includes pedagogical training. Both these courses will be assessed internally without Semester End Examination. Departments can offer discipline-specific elective courses of 2 credits other than the mandatory courses mentioned above.

X. C.O.E will conduct the Term/ Semester End Exam in PHD-ARM-101, PHD-DSC-102, and PHD-RPE-103.

XI. PHD-TP 105 is a non-credit course and internal assessment, and the grade obtained can be marked on the detailed mark card of the coursework.

XII. Departments will design their course content on the basis of the above course structure. Advance Research Methodology course will include common research methodology and subject-specific research methodology.

XIII. Research Advisory Committee may provide choices in selecting the courses/credits that facilitate the entrepreneur in the monetization of IP thus generated.



Credits earned for completed course work are transferable from one institution to another institution through the Academic Bank of Credits.

XIV. RAC can also recommend UGC-recognized online courses as part of the credit requirements for the Ph.D. programme. DRC can conduct 40% of course work (as a whole) classes, including MOOC, in online mode with approval from URC.

XV. Paper- will comprise of the following two activities:

(a) **External Assessment: Written Question Paper 70/39**

(b) **Internal Assessment: 30/16**

Marks will be converted into letter grades and grade points as per the following table:

Marks	Letter Grade	Grade Point
81-100	A+	10
76-80	A	9
66-75	B+	8
61-65	B	7
55-60	C	6
Less than 55	F	0

The result and grade sheet for the coursework will carry pass/ fail results.

18.1 COURSE WORK PAPER

- I. Candidates who already hold an M. Phil. degree and have been accepted into the Ph.D. program, or those who have finished their M.Phil. coursework and have been given permission to continue to the Ph.D. in an integrated course, may be exempted from the Ph.D. course requirements by the Department. All additional applicants accepted into the Ph.D. program must complete the Ph.D. coursework required by the Department.
- II. The NIILM University attendance rules will be applied to all full-time research scholars. For the duration of their coursework, part-time research researchers must, nevertheless, adhere to the same rules.
- III. A minimum of 75% attendance is required.
- IV. A Ph.D. scholar has to obtain a minimum of 55% of marks or a minimum CGPA of



6.0 in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.

- V. Registration will be automatically canceled if the required coursework is not completed with a minimum of 55% of marks/ a minimum CGPA of 6.0 within the allotted time. If the coursework is not finished within a year, the RAC and DRC may suggest a six-month extension or suggest that the registration be canceled with the DRC.
- VI. There is no provision for improvement or a special supplementary exam to be conducted. Coursework will be offered in four semesters of the first two years with regular & supplementary exams to avail the opportunity to clear the coursework in 2 years. **Failure to complete the course in 2 years means that the student has to leave the program.**
- VII. All dissemination activities including External presentations and posters, popular articles conveying scientific information (or scientific articles) to the general public, production of books, commissioned research and Internal presentations must be approved by the departmental level Research Committee. Teaching for the Department, supervision of fellow students/technical staff, and dissemination tasks can also be credited as knowledge dissemination and as a work commitment.

19. RESEARCH PROGRESS AND PRESENTATION: SIX MONTHLY RESEARCH PROGRESS

- a) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in the evaluation and assessment scheme, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a stipulated time.
- b) Every six months, research scholars must submit a progress report in a prescribed format to indicate satisfactory progress to the RAC, until pre-submission of the thesis. The RAC will evaluate the progress through an open seminar and submit the evaluation report in the prescribed format to the R&D Cell.



NOTE: Failure to submit half-yearly reports shall lead to automatic cancellation of registration.

19.1 PRE-SUBMISSION PRESENTATION

Before the submission of the thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the Research Advisory Committee.

- I. RAC and DRC should conduct a thorough internal evaluation of the scholar's research work before the thesis is submitted. This evaluation will take the form of a pre-submission presentation.
- II. All faculty members and other research scholars are welcome to attend the pre-submission presentation.
- III. Along with the DRC members, the URC members should also receive a pre-submission presentation notification letter (along with a soft copy of the pre-submission report in the required format).
- IV. The research scholar must publish at least two papers in peer-reviewed or refereed journals and present in conferences/seminars, before giving the pre-submission presentation. They must also provide proof of these accomplishments in the form of presentation certificates and/or reprints.
- V. Before the pre-submission seminar, the scholar must turn in a draft of their thesis to RAC and DRC.

19.2 PRE-SUBMISSION REPORT

- I. The Research Scholar shall present his/her work at two or three open seminars after his/her registration. 1st seminar may be held after a year gap from the date of recommendations of the research topic, the second at a gap of 6-9 months, and the third if needed just one month before the thesis submission.
- II. The research scholar may only submit the pre-submission report if RAC and DRC are satisfied that all requirements—including coursework, publications published in journals, presentations at conferences, and the caliber of the work



for submission as a Ph.D. thesis—have been met.

- III. A registered research scholar must submit two copies of the pre-submission report of the proposed thesis, as well as a soft copy in PDF and Doc format, to the R&D Cell, forwarded by the research supervisor, RAC, and DRC. This must be done after the registered research scholar has finished his or her research work and is confident that he or she can compile the results into a thesis within three months before the completion of the minimum required duration of research.
- IV. The pre-submission report should be no more than 15 pages long, containing:
 - Title of the thesis Introduction
 - Brief literature review
 - Objectives and scope of research work Methodology
 - Original contributions Papers/Patents published
 - Conclusion
 - References

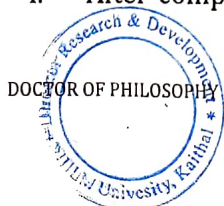
NOTE: The pre-submission report will not be accepted if any of the above sections is missing. The research scholar must present the following credentials with the pre-submission report (soft copies of the certificates are not required).

- V. A R&D Cell certificate stating that the pre-submission report seminar was successfully completed.
- VI. Information on the courses taken (for all categories of research scholars), as well as certificates from the supervisor and the head of the department in question attesting to the successful completion of the residential requirement (for external candidates only).

19.3 PH.D. THESIS SUBMISSION & ASSESSMENT

The thesis shall be submitted together with an originality report produced by an anti-plagiarism software application. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation of the submission.

- I. After completing the minimal amount of research, a scholar may submit the



- thesis to the R&D Cell through DRC within three months after the presentation date of the pre-submission report after having the research supervisor sign it and having the RAC and DRC forward it.
- II. The thesis should be examined for plagiarism using software that complies with policy (Authentic software, accessible at NIILM University), and the accompanying certificates should be submitted with the thesis.
 - III. The thesis must follow the University's format requirements and be written in English, with the exception of language subjects, where it must be written in that language.
 - IV. If the submission is not made within three months following the pre-submission presentation, the University may take the appropriate measures on the advice of RAC.
 - V. After the pre-submission by the URC, the scholar may be offered an extension to submit the thesis for justifiable reasons, in blocks of six months each. The student must pay the required fee for these extensions.

19.4 CHECK LIST FOR THESIS SUBMISSION:

- I. Soft copies of the thesis
- II. Pan drive with soft copy of the thesis and additional supplementary material in PDF and Doc format, if any).
- III. Authorization from the supervisor/co-supervisor(s) for submission of the thesis
- IV. Details of research publications and conference presentations, soft copies.
- V. No dues certificate form as per NIILM University policy.
- VI. A certificate in prescribed format from the scholar and supervisor(s) that (a) there is no plagiarism, (b) the thesis submitted is a record of research work done by the scholar during the period of study under the supervisor and that has it not been submitted for the award of any other degree anywhere.
- VII. The thesis will be sent to the examiners by C.O.E or R&D Cell/ DRC. The supervisor will also be the examiner of the thesis.
- VIII. Modifications/minor revisions/corrections, if any, as recommended by the

examiners, would be incorporated by the scholar, and reported in the viva voce examination if the candidate accepts. However, if the candidate desires to contest, he/she will have to do so in the viva voce examination. All the queries of the examiners have to be addressed by the research scholar in the Viva-Voce examination.

19.5 PANEL OF EXAMINERS (EXAMINERS LIST)

The supervisor, RAC, and/or DRC shall submit/recommend to the R&D Cell for approval to the honorable Vice Chancellor, a panel of ten external examiners to evaluate the thesis. When creating the list of examiners, the following rules must be adhered to:

- I. The examiners must have a Ph.D. degree and good research experience.
- II. They ought to have enough academic papers published in the area where the scholar's study is being conducted.
- III. They shouldn't have participated, directly or indirectly, in any of the scholar's research projects, such as co-authoring or content validation.
- IV. They ought to have no connection to either the student or the supervisor.
- V. External examiners should not be employed by NIILM University.
- VI. Out of the two external examiners, one must be out of the state in which the institution is located, if possible one examiner may be chosen from outside India.
- VII. The study supervisor should also supply all of the examiners' contact information, including their email addresses, and phone numbers.
- VIII. A brief CV of the panel of examiners must be provided with a list of recent publications in the field relevant to the scholar's research activity.
- IX. There should be no name overlap on the lists if a supervisor is submitting the lists simultaneously for more than one scholar.
- X. The supervisor, members of the RAC, and the DRC must all sign the list. The list must also include information on the thesis, such as the author's name, registration number, and thesis title.
- XI. The list of examiners must be created in confidence without the scholar's participation.

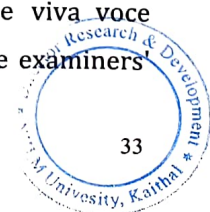


- XII. The University retains the right to choose qualified examiners who might not be on the list that was supplied.
- XIII. In order for the University to carry out the review procedure effectively and quickly, the supervisor should make sure the list is full in all aspects when submitting it.

Note: The RAC and DRC based on the examiner report for a Thesis shall recommend whether the Thesis is fit for publication in its original or modified form as a book or not. The thesis can be published within three years from the date of award of the Ph.D. Degree.

19.6 ADJUDICATION OF THE THESIS

- I. The R&D Cell shall finalize the board of examiners consisting of two experts as soon as the pre-submission and panel of examiners are received, without waiting for the thesis, and after due verification of the fulfillment of the required requirement.
- II. The R&D Cell shall send the thesis to the two examiners chosen through DRC/ C.O.E and the Research Supervisor (as examiner) for evaluation.
- III. The R&D Cell and DRC will need to receive each examiner's report within two months of the thesis' reception date.
- IV. If the first panel's acceptance is not obtained by the R&D Cell within 45 days, the RAC will be asked to submit another panel of six names.
- V. The viva voce can be held if both examiners provide recommendations for the award of a Ph.D. degree. If one of the external examiners recommends rejection, RAC & DRC can send the thesis to an alternate examiner from the list of approved examiners.
- VI. The examiner's report will be in the prescribed format.
- VII. The research supervisor will be given access to the examiners' reports in a secret manner, and she/ he will then forward her/ his remarks to the R&D Cell for review.
- VIII. The R&D Cell will decide whether to accept the thesis for the viva voce examination, reject it, or send it to another examiner based on the examiners



- reports.
- IX. The scholar will be required to revise and/or resubmit their thesis if any examiner requests it. Within a window of three months, the thesis may be resubmitted after taking into account the examiner's suggestions. Preferably, the same examiner will review the revised thesis. The thesis will be disapproved if two examiners recommend against the degree being granted.
 - X. A thesis that has been disapproved by two examiners may be resubmitted following revision, taking into account any necessary modifications, additions, or deletions in light of the examiners' recommendations. This submission must be done in within three months. The same examiner or a different examiner may review the revised thesis.
 - XI. If the resubmitted thesis is rejected, the candidate will no longer be eligible to be awarded a Ph.D.in the area of research he has chosen.
 - XII. The entire process of evaluation of Ph.D. Thesis shall be completed maximum within a period of 6 months from the date of submission of Ph.D.

19.7 VIVA-VOCE

- I. Board of Examiners: DRC in consultation with R&D Cell will constitute a committee to conduct viva-voce of the scholar after getting positive recommendations from the examiners. The Board of Examiners must consist of one of the external examiners of the thesis, and the supervisor(s). Provided, that neither of the examiners, who evaluated the thesis, is in a position to conduct the via-voce examination, another external examiner or external expert must be appointed in his/ her place.
Provided that where the supervisor is unable to be present within a reasonable time to participate in the viva-voce examination, the DRC in consultation with the R&D Cell may recommend another member of the faculty in his/ her place.
- II. In the presence of the supervisor and one of the examiners, the open viva voce examination will be performed by the DRC at the department. The supervisor will also be on the panel for the viva voce test
- III. The primary purpose of the viva voce is to evaluate the candidate's knowledge



of the thesis's subject and broad knowledge of the field of study. All of the questions posed by the examiners must be addressed during the scholar's brief presentation before the panel.

- IV. At the viva-voce examination, the Board of Examiners shall satisfy itself (i) the thesis submitted by the candidate is his/her own work (ii) the grasp of the candidate of the broad field of his/her study is satisfactory.
- V. The date, time, and subject of the Thesis shall be notified by the concerned Departments of the faculty concerned including the Research Supervisor and the Research Scholar. It will be the privilege of only the external examiner(s) conducting the Viva-Voce to ask the questions to the Research Scholar. However, after the completion of the formal viva the relevant clarification/ discussion, if any, may be held which will not be part of the Viva-Voce examination.
- VI. The board of examiners, on the basis of the unanimous opinion of its external members, recommend either (i) the candidate be awarded the Ph.D. degree or (ii) that the thesis be referred back to the candidate for revision or (iii) that the thesis be rejected and the candidate be not awarded the Ph.D. degree.
- VII. The Research Scholar will have to present himself/herself for the Viva-voce examination when fixed by the University failing which he/she will be declared ineligible for the award of Degree. However, in case the Research Scholar is unable to attend the Viva-Voce on the fixed date for any unavoidable reason, the Controller of Examinations or R&D Cell on a request by the Research Scholar in writing with a fee as prescribed by the University can allow one-time postponement of the date up to a maximum period of three months from the date previously fixed by the University failing which the Research Scholar will be declared ineligible for the award of Degree. In case the examiner has turned up for the viva of the said Research Scholar on the fixed date, the total expenditure on TA/DA will be charged from the Research Scholar.
- VIII. Within one month after the conclusion of the viva voce examination, the DRC must send its report to the R&D Cell in the appropriate form. Before forwarding the DRC report to the R&D Cell, the research supervisor must ensure that all required revisions are included in the thesis' final edition if required.

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- IX. The DRC after approval from the R&D Cell will permit the scholar to reappear before a panel created for this purpose after three months have passed since the initial viva voce if the student fails in the viva voce. If the student fails once more, his or her application for the degree will be dismissed.
 - X. Following a successful viva-voce defense, the scholar must turn in three hardbound updated copies of their thesis along with a pan drive to the R&D Cell. One copy of the final bound versions would be stored in each of the department, library, and C.O.E office.
 - XI. The process of evaluating the Ph.D. thesis, viva voce and declaration of viva voce result must be completed within a period of six months from the date of submission of the thesis.
 - XII. If the research results of the thesis constitute new possible things for the protection of intellectual property rights (IPRs), the Ph.D. candidate and Supervisor shall inform the DRC or the Research Advisory Committee about the matter. In this case, the Ph.D. candidate, with the consent of the Supervisor, may request that the submitted dissertation be treated discreetly before the thesis is submitted for assessment, until the defence/viva voce. The Centre for Professional Development or Committee constituted by the R&D Cell is designated for the purpose shall conduct the procedure for legal and commercial protection of research results, in accordance with the relevant Regulations. In this case, the public defence can be extended, in agreement with the Ph.D. candidate, at the latest for a year, starting on the day of the procedure of evaluation of the dissertation. Request for extension of defence/viva-voce must accompany the Certificate of the Technology Transfer from the competent authority.

20. AWARD OF THE DEGREE/ PROVISIONAL

- I. The report of the viva-voce examination will be submitted to the office of the R&D Cell by the responsible department/ DRC for approval by the Chairman, URC, or honorable Vice Chancellor after the viva-voce examination has been successfully completed.



- II. A provisional certificate will be granted upon request and payment of the required fees.
- III. The provisional certificate is good until the university's subsequent convocation.
- IV. The date of URC or honorable Vice Chancellor's approval will be the date of award of the Provisional Certificate.

21. RE-REGISTRATION

- I. Scholars who fail to complete the Ph.D. work within the prescribed maximum time limit will be given only one chance to re-register for Ph.D., provided they continue the same topic under the same supervisor. They must apply for re-registration prior to the expiry of the prescribed maximum period.
- II. The re-registered scholars are permitted to submit the pre-submission report and thesis after one year but not later than two years after re-registration.
- III. Re-registered scholars will continue to be governed by the same regulations under which they have been previously registered. However, the fees must be paid as per the regulations in force.

21.1 CANCELLATION OF REGISTRATION

- I. Requests for cancellation of the Ph.D. registration may be submitted either by the research supervisor or by the scholar. However, the final decision rests with the URC.
- II. The cancellation may be revoked upon request within three months to maximum of 5 years after the date of cancellation by paying the prescribed cancellation revoke fee, along with the fees due to the University. After this period, the registration shall be canceled once for all.

22. DEGREE REQUIREMENTS

The essential requirements for the award of Ph.D. degree to scholars are as follows:

- a) Essential requirement for Coursework Classes.
- b) Minimum earned credits of 12 in the course work with a minimum CGPA of 6.0 completed within the first year or maximum up to 2nd year of provisional

registration.

- c) Satisfactory completion of all the stages of the programme.
- d) Satisfactory defense of thesis during viva-voce Examination.

23. Depository with INFLIBNET: Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, an electronic copy of the thesis will be submitted to INFLIBNET.

24. FELLOWSHIP / SCHOLARSHIP POLICY FOR Ph.D. SCHOLARS

- I. Subject to the availability of fellowships, Institutional fellowships will be provided to potential research aspirants preferable NET qualified candidates based on merit, if available and applicable.
- II. A Ph.D. candidate, if gets selected or is already working, in an extra mural research project, shall get financial support in the form of project fellowship, i.e., from the JRF/SRF salary head of the project, if available and applicable.
- III. Candidates, in any circumstances, shall not be allowed to draw financial assistance from more than one source at any point of time during the entire Ph.D. tenure. However, the candidate may join a full/part time job after the date of his/her thesis submission or during temporary withdrawal from the Ph.D. Program.
- IV. NIILM University provides the financial assistance to faculty members working in NIILM University 20% concession in their academic fee of PhD.

25. POLICY GUIDELINES ON PLAGIARISM

These guidelines typically outline the definition of plagiarism, consequences for engaging in plagiarism, and preventive measures. Here are some general policy guidelines on plagiarism:

- I. **Definition of Plagiarism:** -Clearly define plagiarism, including both intentional and unintentional acts of presenting someone else's work, ideas, or intellectual property as one's own. This can include but is not limited to text, images, data, and other creative works.



- II. **Types of Plagiarism:** -Identify different types of plagiarism, such as direct copying, paraphrasing without proper attribution, submitting someone else's work, self-plagiarism, and collusion.
- III. **Consequences:** -Clearly state the consequences of plagiarism, which may include academic penalties, such as failing the assignment or course, and disciplinary actions, such as suspension or expulsion. In professional settings, consequences may involve termination or legal action.
- IV. **Educational Outreach:** -Provide educational resources to help individuals understand what constitutes plagiarism and how to properly cite sources. Encourage the use of citation guides and plagiarism detection tools.
- V. **Citation Styles:** -Specify the preferred citation style (e.g., APA, MLA, and Chicago) and provide guidelines on how to properly cite sources within the organization.
- VI. **Plagiarism Detection:** -Implement plagiarism detection tools to identify instances of plagiarism. These tools can be used for both educational and disciplinary purposes.
- VII. **Prevention Measures:** Encourage the use of plagiarism prevention strategies, such as teaching proper research and citation techniques, promoting time management skills, and fostering a culture of academic honesty.
- VIII. **Reporting Procedures:** Establish a clear procedure for reporting suspected cases of plagiarism. Define the responsibilities of teachers, students, and administrators in the reporting process.
- IX. **Appeal Process:** Outline an appeal process for individuals accused of plagiarism, allowing them an opportunity to present their case and defend themselves against the allegations.
- X. **Continuous Review and Updates:** Regularly review and update plagiarism policies to ensure they remain relevant and effective. Consider feedback from students, faculty, and staff in the ongoing improvement of the guidelines.
- XI. **Consistent Enforcement:** Ensure consistent enforcement of plagiarism policies across all departments and levels within the institution or organization.
- XII. **Promotion of Academic Integrity:** Promote a culture of academic integrity and ethical behavior. This may involve incorporating discussions on academic

honesty into orientation programs and coursework.

- XIII. Academic Integrity is a matter of honest and responsible scholarship. Students and faculties are expected to submit original work and give credit to other peoples' ideas. R&D Cell will conduct various programs to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism. R&D Cell will use an appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.

25.1 Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- i. All quoted work reproduced with all necessary permission and/or attribution.
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen **(14) consecutive words.**

25.2 Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities upto 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

25.3 Institutional Academic Integrity Panel (IAIP)



Composition

Vice Chancellor	Chairman
Director R&D Cell	Member
Librarian/ Head of Library	Member
One Senior Faculty	Member

The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

The Panel shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff

25.4 Detection/Reporting/Handling of Plagiarism

If any student or faculty suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Institutional Academic Integrity Panel (IAIP). Upon receipt of such a complaint or allegation the Panel shall investigate the matter and submit its recommendations to the R&D Cell.

The R&D Cell will take *suomotu* notice of an act of plagiarism and initiate proceedings under UGC Academic Integrity Regulations 2018.

25.5 Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0: Similarities upto 10% - Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a



revised script within a stipulated time period not exceeding 6 months.

iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.

iv. Level 3: Similarities above 60% -Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP.

Penalties in case of plagiarism in academic and research publications

I. Level 0: Similarities up to 10% - Minor similarities, no penalty.

II. Level 1: Similarities above 10% to 40%

i) Shall be asked to withdraw manuscript.

III. Level 2: Similarities above 40% to 60%

i) Shall be asked to withdraw manuscript.

ii) Shall be denied a right to one annual increment.

iii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/scholar for a period of two years.

IV. Level 3: Similarities above 60%

i) Shall be asked to withdraw manuscript.

ii) Shall be denied a right to two successive annual increments.

iii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the



punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP.

26. LEGAL JURISDICTION

Any legal dispute relating to Ph.D. admission/ registration of a Research Scholar will be subject to Court(s) at Kaithal or Court(s) having jurisdiction in Kaithal.

27. GRIEVANCE REDRESSAL MECHANISM

A grievance may be any kind of discontent or dissatisfaction or negative perception, whether expressed or not, arising out of anything connected with the R&D Cell or Research Scholars' research journey at the University, that the student or staff thinks, or even feels, is unfair, unjust or inequitable. Any such grievance if arises, will be covered by the University Grievance Redressal Committee or any other appropriate committee constituted for such purpose.

