

Ph.D. MANUAL

IIMTU (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 (as per the UGC Regulations, 2022)

1. Note

- (1) These Regulations as per the (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.

2. Definitions.-

- (1) In these Regulations, unless the context otherwise requires,-
- a) “**Act**” means the University Grants Commission Act,1956 (3 of 1956);
 - b) “**Higher Educational Institution**” means university/ institute/ College.
 - c) “**Adjunct Faculty**” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a University;
 - d) “**Cumulative Grade Point Average (CGPA)**” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
 - e) “**Credit**” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
 - f) “**College**” means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;
 - g) “**Commission**” means the University Grants Commission established under Section 4 of the UGCAct1956;
 - h) “**Course**” means one of the specified units which go to comprise a programme of study;
 - i) “**Course Work**” means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
 - j) “**Degree**” means a degree awarded by a University in accordance with the provisions of section 22 (3) of the Act;

- k) **“External examiner”** means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme;
- l) **“Foreign Educational Institution”** means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- m) **“Grade Point”** means a numerical weight allotted to each letter grade on a 10-point scale;
- n) **“Guide/Research Supervisor”** means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research;
- o) **“Higher Educational Institution”** means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
- p) **“Interdisciplinary Research”** means research conducted by a Ph.D. scholar in two or more academic disciplines;
- q) **“Open and Distance Learning Mode”** shall have the same meaning as defined under the UGC(Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- r) **“Online Mode”** shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- s) **“Plagiarism”** means the practice of taking someone else’s work or idea and passing them as one’s own;
- t) **“Programme”** means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- u) **“Prospectus”** means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- v) **“Research Proposal”** means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- w) **“University”** means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution

for higher education deemed a University under Section 3 of the Act.

- x) Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

3. Eligibility criteria for admission to the Ph.D. Programme.-The following are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed:

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

Or

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

- II. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently -Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(2) Candidates who have completed the M.Phil.

programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is

followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

4. Duration of the Programme.-

- (1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. For part-time candidate the minimum duration of three years (Six RAC/ Semester) excluding course work, and a maximum of six years.
- (2) A maximum of an additional two (2) years can be given through a process of re-registration as per the direction of RDC concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- (3) Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- (4) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240days in the entire duration of the Ph.D. programme.

5. Procedure for admission. -

- (1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- (2) **Admission to the Ph.D. programme shall be made using the following methods:**
 - i.** HEIs may admit students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

And/or

- ii. HEIs may admit students through an Entrance Test conducted at the level of the individual HEI. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject- specific.
- iii. Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- iv. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- v. HEIs may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- vi. Provided that for the selection of candidates based on the entrance test conducted by the HEI, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

(3) **Universities and Colleges which are eligible to conduct Ph.D. programmes, shall:**

- i. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;
- ii. Adhere to the National/State-level reservation policy, as applicable.

(4) The Higher Educational Institution shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.

6. Allocation of Research Supervisor.- Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- (1) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and

at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of these Regulations.

- ❖ For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
 - ❖ Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
 - ❖ Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
 - ❖ Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- (2) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/ School/ Centre/ College/ University may be appointed.
 - (3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
 - (4) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
 - (5) 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 a co-supervisor after superannuation, but not after attaining the age of 70 years.

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

(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 RAC 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 RAC with the approval of RDC 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 RAC is convinced of his availability/continued guidance to the student. In other cases, a faculty member on retirement may continue as

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

(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 RAC.

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

(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 RAC. If there is change in the research program and/or area of the work, the registration date may be revised, if found necessary.

7. Admission of International students in Ph.D. programme.-

- (1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.3 above.
- (2) The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

8. At any point, the total number of Ph.D. scholars under a faculty member, either

as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.3 and clause 7.1.

9. Course Work.- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

- (1) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1-1/2018 (Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- (2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- (3) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

10. RDC (Research Degree Committee of University) shall ensure uniform Implementation of the Ordinance and provide advice on procedural and related matters. The composition of RDC shall include the following.

VC	(Chairperson)
Dean	(Member)
Head of the Department	(Member)
Two Professors other than Supervisors	(Member)
Supervisor(s) or co-supervisors.	(Member(s))
Head Ph.D.	Member Secretary

Functions of Research Degree Committee:-

The Committee shall-

- 1) suggest measures to create links and develop specific schemes of inter-university and University interaction with industry, agriculture, banks, commerce and community etc.;
- 2) 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;
- 3) recommend to the Executive Council the research and development and collaborative programmes for the University;
 - 4) Monitor and report the progress of all such approved research and development and collaborative programmes to the Chancellor once a year;
 - 5) evaluate and assess the use of research and development grants by University, and submit the report to the Executive Council;
 - 6) shall approve Research Advisory Committee (RAC) for Ph.D.'s as recommended by various academic departments/center/units of University;
 - 7) 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;
 - 8) scrutinize the applications received for Patents and IPRs received from teachers and students of University.
 - 9) The supervisors and Co-Supervisors will be approved by RDC on the recommendations of RAC.

11. Research Advisory Committee and its Functions.-

- (1) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the University concerned for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:
 - i. To review the research proposal and finalize the topic of research.
 - ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
 - iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- (2) Each semester, a Ph.D. scholar shall appear before the Research

Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.

- (3) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

12. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.-

- (1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- (2) Before submitting the draft dissertation/ thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Higher Educational Institution concerned, which shall also be open to all faculty members and other research scholars/students.
- (3) The Higher Educational Institution concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- (4) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- (5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The

viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of these Regulations.

- (6) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- (7) The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

13. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes.-

- (1) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
- (2) Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:
 - i.** At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
 - ii.** Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

14. Ph.D. through Part-time Mode-

- (1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- (2) The University shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme 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.

- (3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no University or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.
- (4) 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).
- (5) (Transfer from Full time to Part-time will be approved by the RDC based on the subjects) (A full-time scholar may be allowed by RDC to convert his registration into part-time registration only after completion of at least 2 years.
- (6) The part-time mode will be approved by the RDC based on the nature of the subjects (non-experimental).

15. Grant of M.Phil. Degree.- Higher Educational Institutions shall not offer the M.Phil.(Master of Philosophy) programme.

16. Issuing a Provisional certificate.-Prior to the actual award of the Ph.D. degree, the degree- awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

17. Award of Ph.D. degrees prior to Notification of these Regulations.- Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D.Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes

commencing prior to the enactment of these Regulations.

- 18. Depository with INFLIBNET.-** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

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