



Gyanmanjari
Innovative University

GMIU REGULATIONS FOR Ph.D PROGRAM

(Effective from July 2023)

GMIU Regulations For Ph.D Program

Contents

PhD 1. Short title and Commencement:.....	3
PhD 2. Eligibility criteria for admission:	3
PhD 3. Procedure for admission:	5
PhD 4. Scholarship / Financial Assistance	8
Ph.D.5 Duration of the Program	8
Ph.D.6 Supervisor:.....	8
6.1 Eligibility criteria for Ph.D. Supervisor.....	8
6.2 Eligibility criteria for Ph.D. Co-Supervisor.....	9
6.3 Allocation of Supervisor.....	10
6.4 The Supervisor’s Obligations.....	11
6.5 Provision for change of supervisor/co-supervisor:.....	12
Ph.D.7 Course Work.....	12
7.1 Course work Credits.....	12
7.2 Course work Subjects	14
7.3 Course Work Rules	14
7.4 Registration process of a selected Ph.D. candidate.....	15
Ph.D.8 The Doctoral Research Committee and its Functions	16
8.1 DRC Regulations:.....	16
8.2 Functions of the DRC.....	17
Ph.D.9 Evaluation & Assessment	18
9.1. Synopsis submission.....	20
9.2. Panel of Examiners.....	20
9.3. Thesis Submission for Initial Evaluation.....	21
9.4. Thesis Evaluation	21
Ph.D.10 Final Defense and Thesis Submission	24
Ph.D.11 Research ethics.....	25
Ph.D.12 Award of Degree.....	25
Ph.D.13 Category of Admission.....	26
13.1 Change of category of candidature.....	27
Ph.D.14 Issuing a Provisional certificate	27
Ph.D.15 Depository with INFLIBNET.....	27
Ph.D.16 Payment of Tuition & other fees:	27

Preamble:

The degree of Doctor of Philosophy (Ph.D.) is awarded by the Gyanmanjari Innovative University (GMIU) for high academic achievement and independent research. The basic requirement of research is creative and productive inquiry.

Upon completion of the Ph.D. program, a non-optional research thesis will be required, as well as course credit requirements at the discretion of the University.

A candidate who fulfills the requirements specified in these ordinances and regulations shall be awarded the Doctor of Philosophy (Ph.D.) degree of Gyanmanjari Innovative University.

PhD 1. Short title and Commencement:

- a) These Regulations may be called Gyanmanjari Innovative University (Minimum Admission Standards and Procedure for Award of Ph.D. Degrees) Regulations, 2023.
- b) These shall apply to every Faculty of Gyanmanjari Innovative University (GMIU).
- c) These shall come into force from May 2023.

PhD 2. Eligibility criteria for admission:

The Gyanmanjari Innovative University (GMIU) has categorized the Ph.D. candidates into two types, Full Time and Part Time. The following sections define the required qualification for all the two categories.

The candidate aspiring admission for Ph.D. must satisfy the below-mentioned educational qualification specified as:

- a) A 1-year/2-semester master's degree program after a 4-year/8-semester bachelor's degree program or a 2-year/4-semester master's degree program after a 3-year bachelor's degree program or qualifications declared equivalent to the master's degree¹ 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.

GMIU Regulations For Ph.D Program

- b) 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.
- c) 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.
- d) A relaxation of 5% of marks, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled categories of candidates. Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- e) 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.

1/ Necessary documents to be provided by the candidate and will be verified by the Research advisory Council (RAC).

PhD 3. Procedure for admission:

Admission to the Ph.D. programme shall be made using the following methods:

- a) GMIU shall admit Ph.D. Scholars through a research entrance test via the GMIU-RET conducted at the university level. Provided that, any circular/notification/communication by the UGC/Ministry of Education, Govt. of India regarding the conduct of a common entrance test for this purpose shall be applicable and binding on the Universities concerned (and covered under such a circular/notification/communication) taking into account the reservation policy of the central/state government from time to time.
- b) Ph.D. admission notification shall well in advance be published on the institutional website and through advertisement in the newspaper/news portal, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, examination center(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the prospective candidates. Admission to Ph.D. shall adhere to the National/State-level reservation policy, as applicable.
- c) Admission to the Ph.D. programme shall be made using the below criteria:
 - i. Eligible candidates may download the application form available in the website of GMIU. The application form must be completely filled up and the form along with the required documents (duly attested) shall be sent to the Academic registrar office on or before the deadline indicated for the purpose. No application shall be entertained beyond the specified date deadline.
 - ii. Apart from regular candidate, selected candidates who fall under any of the categories viz (a) Sponsored, (b) Part-time, and (c) Project Fellow must include along with the application format, a No Objection Certificate (NOC) from their employer/Project Investigator in the prescribed format. Such candidates shall complete their course work within the specified period and shall be allowed to submit the

GMIU Regulations For Ph.D Program

Research proposal by the third semester only after obtaining necessary leave in the prescribed format from their employers

- iii. Candidates who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/GPAT/CEED and similar National level tests shall be automatically selected for direct interview and shall be exempted from the GMIU-RET written test. For review, a copy of the certificate proving passing the competitive national level test must be sent with the application. For general applicants who do not meet the requirements of the aforementioned National level assessments, a written test (GMIU-RET) and interview will be required.
- d) The panel of applicants suggested for admission by a committee chosen by the Chairperson, DRC, shall be forwarded to the Controller of Examination for further process of examination. The list of candidates qualifying in the entrance test shall be displayed in the University website for further progress to personal interview with specified dates.
- e) GMIU-RET syllabus shall consist of 50% of research methodology, and 50% shall be subject specific.
- f) Performance in the Ph.D. Entrance Test to be conducted by Gyanmanjari Innovative University & fulfillment in the subsequent Interview.
- g) The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject specific.
- h) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- i) 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.
- j) GMIU may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

GMIU Regulations For Ph.D Program

- k) An interview/viva-voce has to be organized at University level, wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC).
- l) The interview/viva-voce shall also consider the following aspects, viz. whether:
 - i. The candidate possesses the competence for the proposed research;
 - ii. The research work can be suitably undertaken at the University;
 - iii. The research topic is relevant.
- m) The selection shall be evaluated in the ratio 70 (written test): 30 (interview). Minimum of 50% overall marks is required to be eligible for admission to Ph.D. programme.
- n) A relaxation from Ph.D. Entrance Test for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil. programme. Relevant document is required for the exemption in the entrance test.
- o) The Controller of Examination will notify final list of the selected candidates for admission to the Ph.D. program via the university website and other channels.
- p) The students admitted to the Ph.D. program will be required to register in the university. The registration will be renewed every stage on satisfactory progress.
- q) After registration, the candidate will be termed as a research scholar.
- r) GMIU 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 /registration.

PhD 4. Scholarship / Financial Assistance

- a) The scholarship may be awarded to meritorious students for doing Full-time Ph.D. as per University rules and regulations.
- b) Part time and sponsored research scholars shall not be awarded any research fellowship/ assistantship by the University.
- c) Other financial assistance will be governed as per University rules and regulations.

Ph.D.5 Duration of the Program

- a) Ph.D. program in GMIU including course work shall be for a minimum duration of three years and a maximum of six years as per specified in UGC regulations 2022 and update time to time. A maximum duration of six years from the date of admission to the Ph.D. program.
- b) For any extensions that go beyond the aforementioned parameters shall be subject to the pertinent provisions outlined in the ordinances of the University or specific Institution in question, but not for longer than two years and not exceeding eight (8) years from the date of admission.
- c) The women candidates and Persons with Disability (more than 40% disability) maybe allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

Ph.D.6 Supervisor:

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

6.1 Eligibility criteria for Ph.D. Supervisor.

- a) Permanent faculty members working as Professor/Associate Professor of Gyanmanjari Innovative University 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 Gyanmanjari Innovative

GMIU Regulations For Ph.D Program

University with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor

- b) 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.
- c) Research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors with prior approval of the Provost/Chief Executive Officer. 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. Provided that in areas/disciplines where there is no or only a limited number of peer reviewed or refereed journals, GMIU may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- d) Only a full-time regular teacher of the University concerned can act as a Research Supervisor. Adjunct faculties are not permitted to be Research Supervisors except being Co-supervisor.

6.2 Eligibility criteria for Ph.D. Co-Supervisor.

- a) Co-Supervisors from within the same department or other departments of the Gyanmanjari Innovative University or other institutions may be permitted with the approval of the Research and Innovation Committee and other requirements are as per UGC guidelines
- b) In the case of topics which are inter-disciplinary/multidisciplinary and where the Schools/Department concerned feels that the expert opinion in the research topics has to be supplemented from outside, the GMIU on behalf of DRC may appoint a Research Co- supervisor from the outside the Department/ Institute/ Faculty/ College/ University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

6.3 Allocation of Supervisor.

- a) The allocation of Research Supervisor under GMIU for a selected research scholar shall be decided strictly as per UGC regulations (2022). This may be decided by the Departmental Research Committee concerned depending on the number of scholars per Research Supervisor, availability of specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.
- b) A Research Supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars as per UGC regulations or will be update as time to time.
- c) 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(b) above.
- d) 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 above
- e) 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 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 research already done.
- f) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision as per UGC regulations. 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.

6.4 The Supervisor's Obligations

- a) It is supervisor's responsibilities to ensure all formalities described in the PhD Regulations and also in the Ordinances of GMIU are fulfilled. The supervisor is also expected to guide the PhD. scholars in other related issues of teaching skills and career guidance.
- b) The supervisor's responsibilities include information and advice to scholars on all aspects related to the Ph.D./Post-PhD program 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).
- c) The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors were deemed appropriate, whether the proposed Ph.D./Post-PhD project is feasible within the given time frame, whether the project has the potential to lead to new results of significantly high standard of an international level Ph.D./Post-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. program necessitates a good working relationship between the student and the supervisor from the beginning of the PhD programme and they have reached an agreement on the demands and expectations from each other.
- d) Other responsibilities of the supervisor include:
 - Guiding the scholar about the choice of relevant courses and conferences related to the field.
 - Advising the scholar for contacting relevant national and international organizations in the area of research.
 - Assisting the scholar on incorporation of knowledge dissemination element in the course of study.
 - Regular review and feedback on the Scholar's project.
 - Preparation of the final statement from supervisor summarizing the overall PhD. program at the time of PhD. thesis submission
 - Active participation in the assessment and PhD defense.

6.5 Provision for change of supervisor/co-supervisor:

- a) For change of supervisor/co-supervisor within the Ph.D./Post-PhD tenure, a candidate may apply in the prescribed format with an undertaking letter (specifying valid reasons) to the Chairman (Research and Innovation Committee) of the university. A candidate's request to switch supervisors may or may not be approved depending on the application's scrutiny and the Research and Innovation Committee's recommendation.
- b) In any circumstances, if the supervisor leaves the University permanently, and to maintain the smooth functioning of the Ph.D./Post-PhD research work, the Research and Innovation Committee shall recommend him/her to act as Co-supervisor of his/her Ph.D. students and in the meanwhile may appoint a qualified faculty member as mentioned above of the University to act as Supervisor.
- c) In any circumstances, if the supervisor temporarily leaves the University on lien or voluntarily retires from service, he/she shall continue to supervise the student(s) till the project work is completed. However, with the supervisor's approval, the student(s) may submit an application to the Research and Innovation Committee for a Co- or a different supervisor.
- d) In any circumstances, on the death/serious illness of supervisor while guiding the PhD student's, the DRC based on (i) the consent of the ill supervisor inability to guide further, and (ii) student's concern, shall take necessary actions to appoint a new supervisor from the respective department/Institute, while ensuring that the student's work and tenure in the PhD program are not jeopardized.

Ph.D.7 Course Work

7.1 Course work Credits

- a) 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

GMIU Regulations For Ph.D Program

recognized online courses as part of the credit requirements for the Ph.D. programme.

- b) Any school or department that wishes to enrol Ph.D. candidates must first establish the DRC and create a course syllabus along with course curriculum with the appropriate permission of the relevant Committee(s) for the students' course work. No department or school should be permitted to enroll Ph.D. students without fully developing its own course syllabus.
- c) All candidates admitted to the Ph.D. program shall be required to complete the coursework prescribed by the Schools/Department during the initial one or two semesters. In case of pandemic like situation, provision of blended mode should be made available.
- d) The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Research Committee (DRC).
- e) All courses prescribed for Ph.D. course work shall conform to the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.
- f) During course work, students must report to the department/center on a regular basis and attend courses or complete given assignments. For all categories of students, the proportion of attendance during course work must be 75%.
- g) Once the DRC decides on the nature of course work a student shall register for the course(s), submitting the course registration form in the prescribed format.
- h) Those who have completed course work of equivalent standard/credits at another university may be exempted from course work at GMIU, and credits obtained by the student in other universities may be transferred to GMIU for continuation process of the Ph.D. program. The DRC may take all necessary actions by recommending to the Chairperson (RAC) for necessary approval. However, if the DRC believes it is necessary, it may recommend course work (credit or non-credit) for the benefit of such applicants.

GMIU Regulations For Ph.D Program

- i) During their doctoral term, all Ph.D. scholars regardless of their discipline are obliged to complete training in the teaching, education, pedagogy, and writing associated with the Ph.D. subject they have chosen. In order to carry out tutorial or laboratory work and evaluations, Ph.D. scholars may also be given a 4-6 hour per week teaching/research assistantship provided that their research work shall not be hampered.
- j) 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 program and submit his or her thesis. If a student does not achieve the required or desired percentage marks or CGPA, he/she will be given the opportunity to improve the CGPA, but only one time.

7.2 Course work Subjects

The course work shall include at least three courses, namely

- a) A minimum 4-credit course on research methodology (may include quantitative methods and computer applications) or a course proposed by the RAC (for those who have studied a similar course on Research Methodology at PG level).
- b) A minimum 3-credit professional/technical course related to the department /faculty of the research scholar. (if not offered by any Department, its syllabus to be proposed by the allocated supervisor and approved by RAC)
- c) A minimum 3-credit professional/technical course related to the research field of the scholar. (if not offered by any Department, its syllabus to be proposed by the allocated supervisor and approved by RAC)
- d) A scholar, who has completed his/her bachelor and master program in regional language other than English, will have to undergo university level audit course in the English language.

7.3 Course Work Rules

- a) The process of registration in the course work, examination, evaluation and grading shall be same as followed according to PG programmes and it will be governed by the examination section.

GMIU Regulations For Ph.D Program

- b) Only those candidates who successfully complete the course work within one year of admission and with a minimum CGPA of 6.00 on 10.00-point scale shall be allowed to continue the Ph.D. programme.
- c) Courses may also be prescribed from those offered by university other than that in which the research scholar is registered. No change in courses prescribed shall be made without the approval of the RC. It shall, however, be open to the RAC to prescribe additional courses wherever found necessary.
- d) If research scholar who secures less than 6.00 CGPA, will be given another chance for repeating one or more of the courses or for taking an alternative course (to be identified by the RAC) to obtain the minimum percentage of marks. If the research scholar fails in the second attempt to secure 6.00 or more CGPA, his/her registration will be cancelled. However, giving this chance arises only if all the course work can be completed within the extended period of six months over the maximum time limit of one year.
- e) Every research scholar will be required to submit a research proposal, duly recommended by the Supervisor (s), after successful completion of the course work.
- f) In case the proposal is rejected by the RAC, research scholar may resubmit it within next six months from the date of the meeting of RAC, failing which his/her admission will be cancelled.

7.4 Registration process of a selected Ph.D. candidate

The candidate who has completed the minimum requirement for completion of course work as prescribed in the UGC guidelines shall be eligible to register under the following clause

- a) The student after prior discussion with his supervisor/co-supervisor(s) shall submit a research proposal/synopsis to the DRC through his/her supervisor in the next semester after completion of the course work. The Chairperson of the DRC shall arrange for seminar of the students for presentation of the research proposal.
- b) Proposed research proposal/synopsis areas must be socially relevant/locally need- based/nationally important/globally significant/create value for society

or in cutting-edge areas or contribute to new/additional knowledge in areas of emerging concerns worldwide. The proposal must include the hypothesis/novelty, study technique, types of experiments/field work, and the predicted output and significance of the research proposal, all of which must be accompanied by authentic literature/references.

- c) The DRC shall finally take necessary steps to assess the feasibility and novelty of the research proposal/synopsis and the final report shall be submitted to the RAC for further progress based on the following criteria:
 - i. If the study plan is appropriate and feasible and the student is qualified and prepared, the research project may be approved.
 - ii. If the research proposal is rejected or requires significant change by the DRC, the student may be required to submit an updated research proposal followed by presentations within the allotted time frame, incorporating the DRC's suggestions and criticisms.

Ph.D.8 The Doctoral Research Committee and its Functions

Composition of the Doctoral Research Committee is the Research Committee of a teaching department of the University. There shall be a Doctoral Research Committee (DRC) constituted as below in each Department

- a) Director of Research and Innovation Committee (Chairperson) or his/her representative
- b) Supervisor (s)
- c) Head of the Department All eligible Ph.D. Supervisors of the subject concerned – Members
- d) Minimum two members outside of the department - Members nominated by the Vice Chancellor/Chief Executive Officer as and when necessary.

8.1 DRC Regulations:

- a) In case, the Head of the Department is not an eligible Ph.D. Supervisor, the Dean /Director of the institute concerned shall be the Chairperson of the DRC concerned. He/ She shall function until the Head of the Department acquires eligibility to be a Supervisor.

GMIU Regulations For Ph.D Program

- b) Provided that in the case of Departments where the Head of the Department being a single eligible recognized Supervisor, at least two members for the DRC of such Departments shall be nominated by the Dean/Director of the institute concerned from the allied Departments in consultation with the Chairperson, DRC.
- c) Provided further that the Vice-Chancellor shall constitute appropriate DRCs for the subjects in which there is no Post Graduate teaching Department in the University.

8.2 Functions of the DRC

- a) It shall look after all activities related to entrance and admission to the PhD. Course Work as per the prescribed admission criteria and procedure.
- b) Review the research proposal and finalize the research topic
- c) It shall conduct and do the needful for evaluation of the PhD. Course Work.
- d) It shall consider the recommendations of the Research and Innovation Committees related to the registration of the PhD. research Scholars. It shall recommend a PhD proposal (synopsis) for registration only after its presentation before the DRC by the concerned Scholar.
- e) It shall convene the end Semester presentations of the PhD. Scholars of the concerned department
- f) It shall scrutinize the progress reports of the PhD. research Scholars in regular interval and recommend the same to the head of the concerned department.
- g) The DRC shall organize the Pre-submission seminars of the PhD. Scholars and receive the abstracts along with the panel of examiners from the Research and Innovation Committees and recommend to the Research Council concerned for further needful.
- h) The DRC shall consider any other issues relevant to the PhD. works of the scholars.
- i) The DRC shall examine the research proposals and forward recommendation to Research and Innovation committee

GMIU Regulations For Ph.D Program

- j) It shall monitor the progress of research of the scholar and recommend the progress reports to the Research and Innovation Committee. The progress of the research scholar shall be regularly monitored by the DRC. The six-monthly progress reports shall be first presented before the DRC. The DC shall forward the same subject to its recommendation to the Research and Innovation Committee.
- k) It shall monitor, suggest and guide the Ph.D. Scholar on her/his research as and when necessary
- l) It shall examine the abstracts of the Ph.D. Thesis prior to the pre-submission seminar and recommend the same to the Research and Innovation Committee.
- m) It shall ensure the corrections and modifications in the thesis as per the recommendation of the examiners before the viva-voce examination.
- n) Each semester, a Ph.D. scholar shall appear before the Doctoral Research Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance.
- o) In case the progress of the Ph.D. scholar is unsatisfactory, the Doctoral Research Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Doctoral Research Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. program.

Ph.D.9 Evaluation & Assessment

- a) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in above-clause, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations. The DRC shall constitute a Research and Innovation Committee at respective

GMIU Regulations For Ph.D Program

Schools/Department level to monitor the continuous assessment and progress of the research work.

- b) During the tenure of research work and with the consent of the supervisors, the Ph.D. candidate shall present a seminar on his/her progress report on every semester to the DRC. For documentation purpose, a copy of the progress report and minutes of the meeting with attendance register shall be maintained by the Ph.D students (Ph.D file) through the supervisor and a copy shall be submitted to the DRC duly signed by the respective members. The DRC shall send the progress report to the Controller of Examination for appraisal one of the following recommendations:
- c) Satisfactory reports wherein the Ph.D. candidate may be allowed to enroll in the next semester.
- d) Satisfactory reports with minor/major revision, wherein the Ph.D. candidate may be allowed to enroll in the next semester (provided changes/revision has been made).
- e) Unsatisfactory reports, wherein the Ph.D. candidate may be advised to discontinue.
- f) Submission of thesis: The Ph.D. candidate shall strictly follow the guidelines of drafting the thesis as per the template specified in the university website. Before the submission of the thesis, the scholar shall make a presentation in the Department before the Doctoral Research Committee (DRC) of the University concerned which shall also be open to all faculty members and other research scholars. The pre-submission seminar must be presented during the final semester, and the thesis must be submitted on or before the last date of the specified time, completing all thesis submission requirements.
- g) The thesis/dissertation of the Ph.D. scholar shall be submitted together with an originality report produced by an anti-plagiarism software application officially approved by UGC. 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 on the submission.

- h) Note: An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for a re-investigation.
- i) The Academic Council of GMIU shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have (a) an undertaking from the research scholar claiming of plagiarism with permissible percentage (as per UGC) (b) a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted elsewhere for the award of any other degree/diploma of the same department/School where the work was carried out, or to any other Institution/Universities.

9.1. Synopsis submission

- a) Prior to the submission of the synopsis, the scholar shall have approval of at least 4 RPR from RAC. The presentation is open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the synopsis before submitting.
- b) All research scholars shall write their synopsis in English language. Research scholars can submit synopsis covering relevant points of the research work carried out as per format given by university.
- c) The candidate shall submit two soft bound copies and one soft copy of the synopsis along with Synopsis submission fees to the university.
- d) If the RAC is satisfied about the quality of the work and considers it fit for submission as a Ph.D. thesis, it will send its recommendation to competent authority along with two soft bound copies and one soft copy of the synopsis.

9.2. Panel of Examiners

- a) At least TWO external reviewers not in employment of GMIU will evaluate the Ph.D. Thesis. At least one reviewer shall be from outside the state/country.

- b) A panel of at least six reputed reviewers (within India /foreign countries) with brief bio-data will be recommended by RAC. Synopsis will be sent by the Vice Chancellor to the renowned researchers for seeking consent to evaluate thesis. The Vice Chancellor reserves the right to appoint two reviewers for the thesis evaluation.

9.3. Thesis Submission for Initial Evaluation

- a) The research candidate shall be required to submit FOUR soft bound copies of Ph.D. thesis within 6 months of RAC recommendation for submission of thesis.
- b) In case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the RC grants an extension in time. Research Council may allow the extension of maximum for six months.
- c) If the research scholar fails to submit a thesis within the extended period by RC, research scholar ceases to be a research scholar.
- d) Research scholar has to publish (Accepted) at least TWO research papers (excluded literature survey papers), from the list of Science Citation Index (SCI-indexed), ABDC, SCOPUS-indexed, Thomson Router listed journals after the peer-review or has one patent granted.
- e) In case of other high-quality journals, not available in the above listed databases, the Provost may relax the above condition on recommendations of a Committee constituted by the Research Council with two external experts (designation equivalent to a Professor or above) and one Professor of the concerned institute / department/area as the members.
- f) It is desired that research scholar should file a patent as the first researcher before the submission of the thesis for evaluation.
- g) Format of the thesis should be as per the university norms.
- h) Similarity check index is required as per the UGC norms.

9.4. Thesis Evaluation

- a) The Ph.D. thesis submitted by a research scholar shall be evaluated by at least two external examiners, who are experts in the field and not in employment of the University. Examiner(s) should be academics/renowned professionals in the concerned discipline having a good record of scholarly publications in the

GMIU Regulations For Ph.D Program

field. Out of the two external examiners, one must be from out of the state in which the university is located. Where possible, one of the external examiners may preferably be chosen as a distinguished academician from outside India.

- b) DRC of the concerned school/department shall form an internal committee (Board of Examiners for thesis evaluation) duly approved by the Academic Council to look into the entire process. The supervisor shall act as an internal examiner of the internal committee thereby certifying the thesis right from the process of submission, evaluation, receipt of comments of the external examiners and vice versa. He/she will be given the thesis as well as the remarks of the External Examiners without their identities. The Supervisor/Internal Examiner must examine not only the thesis but also the opinions of the External Examiners, which must be considered/incorporated by the concerned Ph. D. student in his/her thesis.
- c) The external examiners appointed for evaluating the thesis shall submit the examination report to the examining authority in the format prescribed by the university which indicates whether the thesis is
 - i. Accepted as such without modifications; or
 - ii. Accepted with major/minor modifications; or
 - iii. Not satisfactory for further process to viva-voce, but re-submission may be permitted for re- evaluation: or
 - iv. Fully rejected.
- a) If TWO reviewers consider the thesis unsuitable for the award of the degree, the thesis is considered as rejected. Research scholar will have to apply for registration again after approval from RAC.
- b) Accepted thesis with major corrections may be resubmitted after due revision. The thesis will be sent to the reviewers again for the review.
- c) Accepted thesis with minor corrections will be submitted after incorporating necessary corrections for approval by RAC.
- d) The scholar will have to defend public viva-voce of the thesis after the evaluation report(s) of both the external examiner(s) on the thesis are received as satisfactory and including their recommendations. If one of the evaluation

GMIU Regulations For Ph.D Program

reports of the external examiner is unsatisfactory and does not recommend viva-voce, then the university shall take remedial measures like asking candidate to rectify / rewrite the thesis, reworking on research and similar. Thereafter, the university shall send the thesis to external examiner out of the approved panel of examiners. The viva-voce examination will be held only if the report of the latest examiner is received satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis will be rejected and the research scholar shall be declared ineligible for the award of the degree.

- e) The time period allowed for the completion of the evaluation process by the external examiner shall be limited to four months from the date of submission with the provision of two months extension period. For any circumstances, that the report of thesis has not been within the desired period (six months), the thesis shall be automatically to another external examiner.
- f) In the event of recommendations under Clause above, the student must submit the modified/corrected version of the thesis within six (6) months after making the requested changes. In the event of recommendations under Clause, where both the external examiner completely rejected the thesis, the candidate may be allowed to re-register to the Ph.D. program taking into account that he/she may be exempted from the duration to complete the course work. For any instance, where one examiner accepts the thesis and the second examiner rejects the thesis, the third examiner duly approved by the concerned authority may be appointed for re-evaluation and if the third examiner rejects the same, then the thesis shall deemed remains rejected and the candidate may re-register to Ph.D program as specified above in this section.
- g) For any comments and corrections to the revise thesis made by both the examiners, the same shall be intimate and sent to the supervisors from the Examination cell. The supervisor along with his/her candidate shall made necessary corrections/revisions/modifications to the thesis minimum within the period of four months or as decided by the university and the revised report shall be sent back to the examiner for review.

- h) For open defense, the Provost shall appoint any ONE of the two reviewers and RC.
- i) However, in the case of unavailability of either the reviewers or delay from reviewers to submit a review within six months, the Provost may appoint another reviewer from the panel.

Ph.D.10 Final Defense and Thesis Submission

- a) If the entire process of Ph.D. evaluation is successful, the viva-voce examination based, among other things, on the critiques given in the evaluation report, shall be conducted, wherein the controller of examination shall fix a date for open defense/viva- voce of the concerned Ph.D. candidate. The Research Supervisor and at least one of the two external examiners and shall be open to be attended by Members of the Research Council, DRC members, all faculty members of the Department, other research scholars and other interested experts/researchers.
- b) A notification will be published on GMIU website regarding open invitation to attend the research work presentation of the scholar.
- c) The research work will be examined by the panel for open defense formed by the Provost.
- d) During the viva-voce, research scholars must present their thesis.
- e) Research scholar has to satisfy the comments given by the reviewers during the final defense.
- f) A Research Scholar must submit FOUR copies of the upgraded thesis (incorporating all suggestions/corrections) to the RC after completing the defense. Research Council will check the same and forward to the Registrar for Ph.D. notification.
- g) On completion of all necessary formalities, the house shall recommend its opinion to the Chairperson, AC through the Controller of examination in the standard format prescribed by the university.
- h) If the research results of the thesis constitute new possible things for the protection of intellectual property rights (IPRs), the Ph.D. candidate and

GMIU Regulations For Ph.D Program

Supervisor shall inform the University or the Research advisory Council 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 IPR Cell or the competent body of the university 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 defense 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.

Ph.D.11 Research ethics

- a) The highest ethical standards are expected from research scholars while undertaking their research. Academic dishonesty should be taken extremely seriously, resulting in disciplinary actions for research scholars and supervisors.
- b) In order to be considered for evaluation, the thesis must contain an undertaking from the research scholar as well as a certificate from the supervisor attesting to the originality of the research work, stating that there is no plagiarism, and that the work has not been submitted for any other degree or diploma at the same institution where it was done, or at any other institution.

Ph.D.12 Award of Degree

- a) The degree shall be entitled to the relevant candidate by the Board of Management, and the award shall be announced by the Controller of Examinations of GMIU.
- b) By ordinance, the Chairperson of Board of management or Academic Council is authorized to grant the provisional Degree Certificate before Convocation to a needy student upon receipt of a written request, a supporting document, and payment of any applicable fees.

- c) GMIU will issue a notification of award of Ph. D. degree and research scholar will receive the degree in the forthcoming convocation.

Ph.D.13 Category of Admission

Research Scholar will be admitted to Ph. D. Program under following categories:

a. Ph.D. through Full Time Mode: A Candidate willing to pursue Ph. D. in full time category will carry out the research activity within the campus under the supervision of respective Research Supervisor on full time basis. Attendance record of such research scholars will be maintained at the Institute Level

b. Ph.D. through Part-time Mode

- GMIU shall permit Ph.D. program through part-time mode, provided all the conditions stipulated in these Regulations are fulfilled. A “No Objection Certificate” shall be obtained through the candidate for a part-time Ph.D. program 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.
- Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. program through distance and/or online mode.
- Who are professionally employed may be admitted as Part Time Research Scholars. These candidates may meet supervisor regularly at the University for Guidance for their research work. The applicant must be a regular employee of a recognized R&D organization, national institute, academic institution, government organization or industry at

the time of admission and be engaged in professional work in the discipline in which admission is sought.

13.1 Change of category of candidature

A Ph. D. student may change his/her category from full time to part time or vice versa exclusively once throughout the program's duration based on valid and genuine reasons viz. (a) Medical ground, (b) Employability, (c) Other valid reasons. Change of category may be allowed in the prescribed format only after successful completion of the course work with valid documents (NOC/appointment letter) of proof for above reasons

Ph.D.14 Issuing a Provisional certificate

Prior to the actual award of the Ph.D. degree, the degree- awarding GMIU will issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

Ph.D.15 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 Institution concerned may submit an electronic copy of the Ph. D. Thesis to the INFLIBNET, for hosting the same to make it accessible to all Institutions/Colleges.

Ph.D.16 Payment of Tuition & other fees:

- a) A research scholar admitted to any of the Ph. D. Program in the University shall be required to pay the tuition fees and other fees as prescribed from time to time for all the terms from the registration to the date of submission of thesis.
- b) A Ph.D. registration will be automatically canceled if fee is not paid for three consecutive terms.
- c) On the university website, a notice of the deadline for fees payment will be posted one month in advance. After deadline, he/she has to pay fee along with penalty fee decided by the university as per rules.

GMIU Regulations For Ph.D Program

- d) No request for the fees refund shall be entertained

Gyanmanjari Innovative University follows all norms of UGC as and when published by UGC and changes in above regulations will be made accordingly which will be bound to all the research scholar (PhD Candidates) of the University.