

GAUTAM BUDDHA UNIVERSITY

Minimum Standards and Procedure for Award of M.Phil./ Ph.D. Degree

Gautam Buddha University (GBU)

Minimum Standards and Procedure for Award of M.Phil./ Ph.D. Degree

1. These Regulations may be called as “Gautam Buddha University regulations for M.Phil./Ph.D. programme” based on University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and time to time amendments therein.
 - 1.1 These Regulations may be called University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations.
 - 1.2 They shall apply to every University established or incorporated by or under a Central Act, a Provincial Act, or a State Act, every affiliated college, and every Institution Deemed to be a University under Section 3 of UGC Act, 1956.
2. **Eligibility criteria for admission to the M.Phil. Programme:**
 - 2.1 Candidates seeking admission to the M.Phil. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
 - 2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed), and the relaxation of 5% to the categories mentioned above is permissible only based on the qualifying marks without including the grace mark procedures.
3. **Eligibility criteria for admission to Ph.D. Programme:**

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

 - 3.1 Master's Degree holders satisfying the criteria stipulated under Clause 2 above.
 - 3.2 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 completed the M.Phil. Degree, shall be eligible to proceed for 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/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
 - 3.3 A person whose M.Phil. dissertation has been evaluated and the viva voce is pending, may be admitted to the Ph.D. programme of the same Institution.

- 3.4 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.
- 3.5 Research Associate/Faculty Associate (RA/FA) is a full-time faculty member of the Gautam Buddha University involved in teaching and research. He / She will be required to apply for Ph.D.in Gautam Buddha University within six months of joining his / her assignment.
- 3.6 At the time of admission (in case of RA/FA) for Ph. D. programme, the candidate should hold a postgraduate degree in the relevant / allied discipline from a university / institution established by law, and should have secured at least 55% marks (50% marks in case of SC / ST candidates) in relevant subject /allied area. There will be a uniform process for admissions in PhD Programme for all candidates.

4 Duration of the Programme:

- 4.1 M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters / one year, and a maximum of four (4) consecutive semesters / two years.
- 4.2 Ph.D. programme shall be for a minimum duration of three (3) years, including course work and a maximum of six (6) years.
- 4.3 The Vice Chancellor may, however, grant an extension for submission of doctoral thesis upto one (1) year (beyond six years) under specific circumstances on the recommendation(s) of the Research Supervisor(s) and Dean of the School concerned.
- 4.4 The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of one (1) year for M. Phil and two (2) years for Ph.D. programme in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil./Ph.D. programme for up to 240 days.
- 4.5 If a full-time scholar takes any other assignment along with the Ph.D. programme, that will be treated illegal, and attract a legitimate action.

5 Procedure for admission:

- 5.1 Gautam Buddha University shall admit M.Phil./Ph.D. students through an Entrance Test conducted at the level of University. The University may decide separate terms and conditions for 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.
- 5.2 Gautam Buddha University shall:
 - 5.2.1 decide on an annual basis through its academic bodies a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 6.5), laboratory, library and such other facilities;

- 5.2.2 decide the number of seats in Ph.D. programme on an annual/half yearly basis through BoS of the respective Department, depending on the number of Research Supervisors available;
- 5.2.3 notify well in advance in the GBU website and through advertisement in at least two (2) national newspapers, (of which at least one shall be in the regional language) indicating the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre (s) where the entrance test(s) shall be conducted, and all other relevant information for the benefit of the candidates; and
- 5.2.4 adhere to the State-level reservation policy, as applicable.
- 5.3 The admission shall be based on the criteria notified by the GBU, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 5.4 Gautam Buddha University shall admit candidates by a two-stage process through:
- 5.4.1 an Entrance Test with qualifying marks as 50% and qualifying marks for SC/ST/OBC-Non Creme Layers, differently abled candidates are 45% as per *1st Amendment Regulation 2018 of the UGC*. The syllabus of the Entrance Test shall consist of 50% for “Research Methodology” and 50% for “specific subject”. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, be notified well in advance) at the level of the GBU;
- 5.4.2 an interview to be organized by the GBU, where the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee/ Research Advisory Committee (RAC); and
- 5.4.3 a weightage of 70% of entrance test and 30% to the performance in the interview shall be given and no exemption is granted from entrance test to the JRF/NET candidates. (16 Oct 2018, 2nd Amendment Regulation 2018)
- 5.5 The interview shall also consider the following aspects, viz., whether:
- 5.5.1 the candidate possesses the competence for the proposed research;
- 5.5.2 the research work can be suitably undertaken at the respective School/Department; and
- 5.5.3 the proposed area of research can contribute to new/additional knowledge.
- 5.6 The University shall maintain the list of all M.Phil. / Ph.D. registered students on its website on yearly basis. The list shall include the name of the registered candidate(s), topic of his/her research, name of the supervisor/co-supervisor(s) and date of enrolment/registration.
- 5.7 **International Scholars:** The case of international students will be processed under the Ordinances on the Admissions of International students. After the admissions in the Ph. D. programme, all the clauses of Ph. D. programme will be binding on all such cases.
- 5.8 **Terms and conditions for non-teaching staff for pursuing Ph.D. from GBU:**
- They have to follow all UGC rules for Ph.D. programme.
 - They will be eligible for admission in Ph.D. programme after five years of regular service in the GBU.
 - Only 20% of staff may be recommended by the Dean of the respective School at a time, on the basis of duration and performance of their services in the GBU.

- They have to take leave during course work period.
- 50% of the academic fee and full thesis evaluation fee will have to be paid necessarily by the staff member.

5.9 Terms and conditions for working faculty member(s) for pursuing Ph.D. from outside the GBU:

- Faculty member(s) may be allowed to pursue Ph.D. programme from outside the GBU after the approval of competent authority.
- Faculty member has to follow all UGC rules for Ph.D. programme.
- For regular mode, the concerned faculty member has to take leave from the university (GBU) for entire duration of the PhD programme.
- For working professional mode of Ph.D. programme, the concerned faculty member has to take leave as admissible while going out of the campus.
- There will be no financial liability on the GBU for this programme.

6. Allocation of Research Supervisor:

Eligibility criteria for a Research Supervisor, Co- Supervisor, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc., are as follows:

- 6.1 Any regular Professor of the University with at least five research publications in refereed journals or any regular Associate/Assistant Professor of the University with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. In areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above conditions for recognition of a person as Research Supervisor with reasons recorded in writing.
- 6.2 Only a full-time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other Department(s) of the GBU or from other related institutions with the approval of the Research Advisory Committee and the competent authority.
- 6.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned, depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors, and research interests of the scholar(s) as indicated by them at the time of interview.
- 6.4 In case of topics of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
 - 6.4.1 In order to promote interdisciplinary research, each School will have multiple Departments. In case a School has single or a few teaching Departments, the concerned School shall make research Department(s) and divide the faculty members accordingly.
- 6.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide upto a maximum of two (2) M.Phil. and six (6) Ph.D. scholars, and an Assistant Professor as Research Supervisor can guide upto a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

- 6.6 In case of joint supervision, the number of students enrolled will be counted as half for each of the joint supervisor.
- 6.7 In cases where a supervisor (s) retires, resigns, proceeds on leave/deputation exceeding one year, or where unforeseen circumstances necessitate redistribution / reallocation of a research scholar, the RAC shall appoint supervisor(s)/joint supervisor (s)/caretaker supervisor as supernumerary allotment. However, in case who's the pre-Ph.D. submission seminar has been conducted or scholar has applied for pre-Ph.D. submission seminar, the supervisor should not be changed since the Ph.D. work has been completed already. This shall require the approval of the Vice Chancellor.
- 6.8 In exceptional circumstances, a candidate may be allowed to change the supervisor(s) following approval of the Vice-Chancellor on the recommendation of the Dean of the School concerned with the proper justification for the change.
- 6.9 In case of relocation of an M.Phil./Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all 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 must, however, give due credit to the parent guide and the institution for the part of research already done.
- 6.10 The Vice Chancellor/Pro-Vice Chancellor/Registrar/ Finance officer/ Chairperson/ Controller of Examinations/Admissions of the GBU shall be eligible to act as a Ph.D. supervisor at the GBU in case they satisfy the following conditions:
- He/She is Ph.D. and has served as a faculty member or equivalent scientific position in a university/Institute at least for eight years, and fulfils all the conditions laid out by the UGC for a supervisor.
 - He/She is left with at least two years of tenure as Vice Chancellor/Pro-Vice Chancellor/Registrar/Finance officer/Chairperson Examinations/Admissions with the University at the time of admission of the candidate. In case the tenure is less than two years, he/she shall be appointed as joint supervisor/co-supervisor only.
- 6.11 Faculty member appointed in special mode/adjunct faculty/faculty emeritus/faculty on re-employment shall be eligible to act as a PhD supervisor in the GBU, in case they satisfy the following conditions:
- He/She fulfils the criteria to act as PhD supervisor as per Ph.D. ordinance of the University/UGC.
 - He/She is left with at least two years of tenure with the university at the time of PhD admission of the candidate. In case the tenure is less than two years he/she shall be appointed as joint supervisor/co-supervisor only.
- 6.12 Any Department of University may appoint faculty member of the other Department as independent Ph.D. supervisor after obtaining consent of the concerned faculty member, and the approval of the Research Advisory Committee of the student, and the Vice Chancellor, GBU.
- 6.13 On request from other University/Research Institute, the GBU faculty members can act as Ph.D. Co-supervisor for students working in other University/Research Institute, in their respective area of specialization, with the approval of the Vice Chancellor, GBU.

7. Course Work: Credit Requirements, Number, Duration, Syllabus, Minimum Standards for completion, etc.

- 7.1 The credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 7.2 The course work shall be treated as pre-requisite for M.Phil./Ph.D. programme. A minimum of four credits shall be assigned to one or more courses on “Research Methodology” which should cover areas, such as, quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses upscaling the knowledge and skill of the students for M.Phil./Ph.D. degree research work.
- 7.3 All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement, and specify content, instructional and assessment methods. They must be approved duly by the authorized academic bodies.
- 7.4 The Department where the scholar pursues his/her research, shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-Clause 8.1 below, of the research scholar.
- 7.5 All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 7.7 Grades in the course work, including “Research Methodology” course, shall be finalized after a combined assessment by the Research Advisory Committee and the Department, and the final grades shall be communicated to the University.
- 7.8 A M.Phil./Ph.D. scholar has to obtain a minimum SGPA of 5.5 (equivalent to 55% of marks) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis. Student must score a minimum of B grade in each course.
- 7.9 **Evaluation of Course - work:**

All courses shall be evaluated at the end of the Semester in a manner as follows:

- i. Internal 30 % weightage given by the concerned course teacher.
- ii. External 70 % weightage to be placed on the written examination.
- iii. The reviewing of research papers / books / manuals / case - studies and any other resources shall be evaluated by a panel of the area experts available in the Department / School in an open seminar mode (30 % weightage to be given by the concerned supervisor and 70 % weightage given by the panel).

8. Research Advisory Committee (RAC) and its functions:

- 8.1 There shall be a Research Advisory Committee, or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the Institution concerned, for each M.Phil. and Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

8.1.1 To review the research proposal and finalize the topic of research.
Meeting of RAC shall be held at least twice in an academic year depending on the need of the Concerned Department / School. The meeting shall be conducted not later than three months from the date of receiving of the application in the office of the Dean after being duly forwarded and recommended by the concerned supervisor(s).

On the basis of the content of the research proposal and its presentation given by the candidate, the RAC may:

- a) approve the Research Proposal as submitted, or
- b) approve the Research Proposal subject to some changes to be incorporated within stipulated time, or
- c) advise the candidate to submit the fresh Research Proposal if there are major changes required.

"If the research proposal falls in category (b), the candidate will incorporate the relevant changes and submit the proposal duly approved by the supervisor(s) to the RAC to ensure that the necessary changes have been incorporated within the three months failing which the fresh proposal is to be submitted in the next RAC meeting.

"If the research proposal falls in category (c), the candidate will have to submit the fresh proposal within 6 months.

A candidate will be provided only two chances to defend the research proposal before the RAC. After that the candidate, with prior approval of the competent authority, may, however, be permitted to re-register in the Ph.D. programme otherwise RAC may recommend for cancellation of the admission of the research scholar.

8.1.2 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 undertake.

8.1.3 To periodically review and assist in the progress of the research work of the research scholar.

8.2 A research scholar shall appear before the Research Advisory Committee once in six months since admission to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress report(s) shall be submitted by the Research Advisory Committee (RAC) to the concerned School with a copy to the research scholar. If the scholar fails to attend the progress seminar without informing to the Department/Supervisor then it may be treated as negative report. If RAC convinced with the reason(s) provided by the scholar for not attending the progress seminar, the RAC may give the chance to present the progress in later date.

8.3 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 with specific reasons for cancellation of the registration of the research scholar. The negative remarks in two consecutive progress evaluations may become basis of the cancellation of Ph.D. registration of the scholar.

8.4 Research Advisory Committee (RAC) will replace the Research Degree Committee (RDC) and School Research Committee (SRC) existing at present in the university system.

The RAC of the School shall be constituted by the Dean of the School of Studies concerned from time to time with the approval of the Vice Chancellor.

The Research Advisory Committee will consist of:

- Dean of School concerned
- Head of the concerned Department/Centre of Studies
- Supervisor (s)
- Two Experts in subject area (s) either from Gautam Buddha University or from other National-level Institutes/Universities or Industries

(One external expert is mandatory in case of the approval of new research proposal, and prior approval for external expert from the Hon'ble Vice Chancellor is also mandatory.)

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

- 9.1 The overall minimum credit requirements, including credits for the course work, for the award of M.Phil. degree shall not be less than 24 credits.
- 9.2 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 7.8 above, as the case may be, the M.Phil./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.
- 9.3 Prior to the submission of the dissertation/thesis, the Scholar shall make a presentation in the Department before the Research Advisory Committee (RAC) concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may suitably be incorporated into the draft dissertation/thesis in consultation with the Supervisor/Research Advisory Committee.
- 9.4 Modification in the title of the thesis, fixed at the time of RAC may be allowed provided the same has to be re-approved at the time of a pre-submission seminar in presence of RAC and an external expert. The external expert for a pre-submission seminar is not mandatory if there is no change in the title of the thesis fixed at the time of RAC.
- 9.5 Four copies of the spiral binding thesis and four copies of the summary have to be submitted within 6 months from the date of the pre-submission seminar for the evaluation process. If a student fails to submit the thesis within 6 months from the date of the pre-submission seminar, he/she shall present another seminar after the approval of competent authority.
- 9.6 M.Phil scholars must have presented at least one (1) research paper in a conference/seminar, and Ph.D. scholars must have published at least two (2) research papers in refereed journal/indexed Journal, and presented two papers in conferences/seminars as evidenced by presentation certificates and/or reprints prior to the submission of the thesis for adjudication.
- 9.7 The Academic Council (or its equivalent body) of the University shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work,

vouching that there is no plagiarism (below accepted norms) and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

9.8 List of Documents to be attached in the file of research scholar before submission of the thesis for evaluation process:

- Admission letter
- Course work Mark Sheet
- RAC Letter
- Letter for change in Supervisor (if any)
- Undertaking Form for Co-Supervisor (if any)
- All six-monthly progress reports (since admission)
- Attendance record (Half yearly in %)
- Copy of at least two papers published in refereed/indexed journals
- Certificates of papers presented in at least two conferences/seminars
- Time Extension Letter (if any)
- Notice and Pre-submission seminar report
- Pre-Ph.D. presentation attendance
- UGC compliance report
- Plagiarism Verification report given by the library
- Supervisor's certificate for exclusion of self-published work
- Thesis evaluation fee receipt
- No dues certificate from the Accounts Section
- Control Sheet (on the back of file cover)
- Other pertinent documents, if any.

9.9 Noting of the following information in the scholar's file is required while submitting thesis for evaluation:

Name of Scholar	
Year of Admission	
Name of Supervisor/Co-supervisor	
Date of Change of Supervisor (if any)	
Date of RAC (Proposal Approved)	
Date of Extension (if any)	
Date of Pre-submission seminar	
Date of Thesis submission	

9.10 The M.Phil. dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the GBU. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, research scholars and other interested experts/ researchers.

9.11 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the GBU, of whom one examiner may be from outside the state/country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be

attended by Members of the Research Advisory Committee, all faculty members of the Department, research scholars and other interested experts/researchers.

- 9.12 The supervisor(s) has/have to produce a certificate about incorporating suggestions in the final thesis given by experts to improve the quality of the thesis in the given format.
- 9.13 The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report (s) of the external examiner (s) on the dissertation/thesis is/are satisfactory, and include(s) a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of the external examiner(s) in case of M.Phil. dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners, and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree.
- 9.14 One copy of the final thesis (Hard Bound) and soft copy of the thesis and soft copy of summary of the thesis in CD/PD (with information regarding scholar and thesis title on the cover of the CD/PD) have to be submitted by the supervisor within 15 days after conduction of viva-voce examination in the examination section for library and other purpose/s, such as, submission in digital repository under the “Soth Ganga e-repository”.
- 9.15 For evaluation of thesis by the appointed examiner(s) and supervisor(s) an honorarium of Rs. 2500/- (Two thousand five hundred only) to each shall be paid after receiving the evaluation report. For conducting the Viva-Voce examination by one of the two external examiners, an honorarium of Rs. 2500/- (Two thousand five hundred only) and TA (as per modification approved in the 18th Academic Council) shall be paid.
- 9.16 The GBU has developed appropriate methods so as to complete the entire process of evaluation of M.Phil. dissertation/ Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.
- 9.17 The viva-voce examination will be conducted by one of the thesis examiners as approved by the Vice Chancellor. After receiving file of scholar from the Dean Academics, the Head of Department/Dean of the School concerned has to arrange the viva-voce examination within 30 days from the receiving of the last report.

10 Treatment of Ph.D / M.Phil. through Distance Mode/Part-time:

- 10.1 The Gautam Buddha University shall not conduct M.Phil. and Ph.D. Programmes through distance education mode.
- 10.2 Part-time Ph.D. will be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met.

11 Award of M.Phil./Ph.D. Degrees prior to Notification of these Regulations, or Degrees awarded by foreign Universities:

- 11.1 Award of degree to the candidate(s) registered for the M.Phil./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 Awards of M.Phil./Ph.D. Degree) Regulation, 2009.

11.2 If the M.Phil./Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the concerned institution for the purpose of determining the equivalence of the degree awarded by the foreign University.

12 Depository with INFLIBNET:

12.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the GBU shall submit an electronic copy of the M.Phil. dissertation /Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

12.2 Prior to the actual award of the degree, the degree-awarding Institution (GBU) shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

13. Notwithstanding anything contained in above ordinances, the Vice Chancellor shall be authorized to take suitable decision(s) on any academic or administrative matter in consultation with the Dean(s) concerned in the interest of the University as and when required.

UNIVERSITY GRANTS COMMISSION
(PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF
PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS)
REGULATIONS, 2018

NOTIFICATION

23rd July, 2018

Preamble

Whereas, University Grants Commission (UGC), as per UGC Act, 1956, is mandated to coordinate and determine the standards of higher education;

And whereas, assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by Higher Educational Institutions (HEIs);

Therefore, in exercise of the powers conferred by clause (j) of Section 12 read with clauses (f) and (g) of sub- section (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations: -

1. Short title, application and commencement:

- a. These regulations shall be called the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.
- b. They shall apply to the students, faculty, researchers and staff of all Higher Educational Institutions in the country.
- c. These regulations shall come into force from the date of their notification in the Official Gazette.

2. Definitions:

In these regulations, unless the context otherwise requires—

- a. “Academic Integrity” is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b. “Author” includes a student or a faculty or a researcher or staff of Higher Educational Institution (HEI) who claims to be the creator of the work under consideration;
- c. “Commission” means the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. "Common Knowledge" means a well-known fact, quote, figure or information that is known to most of the people;
- e. “Degree” means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;
- f. “Departmental Academic Integrity Panel” shall mean the body constituted at the departmental level to investigate allegations of plagiarism;

- g.** “Faculty” refers to a person who is teaching and/or guiding students enrolled in an HEI in any capacity whatsoever i.e., regular, ad-hoc, guest, temporary, visiting etc;
- h.** “Higher Educational Institution (HEI)” means a university recognized under section 2(f) of the UGC Act, 1956 or an institution deemed to be university under section 3 of the UGC Act, 1956 or an affiliating college/institution or a constituent unit of a university;
- i.** “Information” includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;
- j.** “Institutional Academic Integrity Panel” shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- k.** “Notification” means a notification published in the Official Gazette and the expression “notify” with its cognate meanings and grammatical variation shall be construed accordingly;
- l.** “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own.
- m.** “Programme” means a programme of study leading to the award of a masters and research level degree;
- n.** “Researcher” refers to a person conducting academic / scientific research in HEIs;
- o.** “Script” includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- p.** “Source” means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2 (1);
- q.** “Staff” refers to all non-teaching staff working in HEIs in any capacity whatsoever i.e., regular, temporary, contractual, outsourced etc.;
- r.** “Student” means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- s.** “University” means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;
- t.** “Year” means the academic session in which a proven offence has been committed.

Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

3. Objectives:

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- 3.3. To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

4. Duties of HEI:

Every HEI should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

5. Awareness Programs and Trainings:

- (a) HEI shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- (b) HEI shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- (c) HEI shall:
 - i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory course work/module.
 - ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
 - iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the HEI.
 - iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
 - v. Establish facility equipped with modern technologies for detection of plagiarism.
 - vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

6. Curbing Plagiarism:

- a) HEI shall declare and implement the technology-based mechanism using 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.
- b) The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.
- c) Every student submitting a thesis, dissertation, or any other such documents to the HEI shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the HEI.
- e) HEI shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the HEI website.
- f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- g) HEI shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- h) HEI shall create Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-house publications.

7. Similarity checks for exclusion from Plagiarism:

The similarity checks for plagiarism shall exclude the following:

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

Note:

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.

8. 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%

9. Detection/Reporting/Handling of Plagiarism:

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the

Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the HEI.

The authorities of HEI can also take Suo-motu notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

10. Departmental Academic Integrity Panel (DAIP):

- i. All Departments in HEI shall notify a DAIP whose composition shall be as given below:
 - a. Chairman - Head of the Department
 - b. Member - Senior academician from outside the department, to be nominated by the head of HEI.
 - c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the Department.
The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

11. Institutional Academic Integrity Panel (IAIP):

- i. HEI shall notify a IAIP whose composition shall be as given below:
 - a. Chairman - Pro-VC/Dean/Senior Academician of the HEI.
 - b. Member - Senior Academician other than Chairman, to be nominated by the Head of HEI.
 - c. Member - One member nominated by the Head of HEI from outside the HEI
 - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.
- The Chairman of DAIP and IAIP shall not be the same. 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).
- ii. The IAIP shall consider the recommendations of DAIP.
 - iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
 - iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of HEI.
 - v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
 - vi. The IAIP shall send the report after investigation and the recommendation on

penalties to be imposed to the Head of the HEI within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.

- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

12. 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 of the HEI 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.

12.1 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 and approved by the Head of the Institution.

12.2 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, M.Phil., 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, M.Phil., 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 by the HEI.

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 and approved by the Head of the Institution.

Note 3: HEIs shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the HEI is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Head of an HEI, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the HEI.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

Removal of Difficulty:

UGC reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Government of India/ Ministry of Human Resource Development.
