

# Nirma University

## ACADEMIC REGULATIONS FOR Ph.D. (FULL-TIME) PROGRAMME IN FACULTY OF MANAGEMENT AT NIRMA UNIVERSITY

The Board of Governor on the recommendation of Academic Council in pursuance to the UGC regulations for Ph.D programme published vide no F.1-2/2009(EC/PS) V (I.) Vol. II dated 5<sup>th</sup> May 2016 in supersession of the existing Ph.D regulations for Ph.D (Full-Time) students in Faculty of Management under Nirma University notified vide notification number NU-567 dated 29/02/2004 and amendments in notification number NU-81 dated 20/05/2017. Further incorporating the amendments made by the Board of Governors in its meeting held on 28/03/2023 under resolution no. 3(11), in line with UGC regulations for Ph.D programme published vide no.F-No.1-3/2021(QIP dated 7.11.2022) dated 7<sup>th</sup> November 2022.

### **R.Ph.D 1 Eligibility criteria for admission to the Ph.D programme**

<sup>H</sup>Candidates who have completed:

- 1.1 A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme OR
- 1.2 A 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- 1.3 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.
- 1.4 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.

Published vide notification no.81 dated 20/05/2017

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

R.Ph.D 2 **Duration of the programme, Leave Rules & Attendance requirement for Ph.D Scholar.**

2.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years. (Till submission of thesis).

Provided however that the Director General, on the recommendation of the Research Advisory Committee (RAC) and Dean, Faculty of Doctoral Studies & Research, on completion of 6 years, permit the research scholar to renew the registration on payment of due fees up to <sup>H</sup>8 years.

2.2 Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of <sup>H</sup>two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed <sup>H</sup>ten (10) years. The women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days and male research scholars shall be eligible for paternity leave as per University rules once during their entire tenure.

2.3 A Full-Time research scholar is required to sign on all working days of the faculty in an attendance register to be kept in the concerned department, or <sup>H</sup>Biometric attendance except when he is on duty/ sanctioned leave. Ph.D. scholar shall be eligible to avail a leave of 30 days in an academic year. He shall not be entitled for any inter semester breaks, winter and summer vacations. However, he is entitled for an additional leave of up to 10 days on medical grounds in an academic year.

<sup>C</sup> Notwithstanding anything contained above, on application of the student, the Director General may grant additional leave(s) on grounds of prolonged illness or under exceptional circumstances on recommendation of the Research Advisory Committee (RAC).

Provided that the period spent on leave(s) should not result into extension for submitting the Ph.D. thesis beyond the maximum period as prescribed.

2.4 **Attendance requirement:**

A research scholar, who is pursuing course-work as a part of his Ph. D. Programme, is expected to have full (100%) attendance in each course. However, a maximum of 30% attendance may be condoned by the Dean, Faculty of Doctoral Studies & Research for genuine reasons.

<sup>C</sup> Amended by addition vide Notification no. 139 dated 31.10.2018, BoG mtg 29.09.2018,reso.no.5(A)(ii)

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

R.Ph.D 3 **Procedure for admission**

3.1 The University will decide on an annual basis through Faculty of Doctoral Studies & Research a predetermined and manageable number of 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.

3.2 <sup>H</sup>The University will notify on the website the details about the procedure and all other relevant information related to admission in the programme for the candidates.

3.3 Candidates, who intend to take admission for Ph.D. have to apply in a prescribed proforma. On the receipt of applications, an entrance test will be conducted for the eligible candidates irrespective of number of applications received, which will be followed by an interview by a Departmental Research Committee consisting of the 1) Dean of the faculty concerned <sup>E</sup> Or Nominee of Dean of the faculty concerned to be appointed by The Director General, 2) Head of the Department(s)/ Area 3) probable Research Supervisor, 4) domain external expert. The domain expert will be decided by the Dean concerned.

Provided, however, if Dean, Head of Department/ Area Head/ Area Chairperson as the case may be and probable supervisor are the same person then the Director General will nominate a member in order of preference as under:

1. Professor
2. Associate Professor
3. Expert

(Such member must be recognized supervisor and from the concerned area of research work of the student)

The selection criterion for the admission in Ph.D programme are as under

(i) An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific.

(ii) The list of candidates clearing the entrance test shall be declared on the notice board/ website of the University.

(iii) An interview/*viva-voce* to be organized by the University when the candidates are required to discuss their research interest/area through a presentation before Department Research Committee specified under R.Ph.D 3.3.

<sup>D</sup> The final selection will be based on following criteria:

Weightage of 70% to the entrance test and weightage of 30% to the performance in the interview/ *viva-voce*.

<sup>D</sup>Amended by addition vide Notification no.NU37 dated 03.05.2019,BoG mtg19.4.2019,reso.no.4(C)(I).

<sup>E</sup>Amended by addition vide Notification no.NU144 dated 11.10.2019,BoG mtg28.9.2019,reso.no.5(A)(IV)

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

(iv) The candidates who qualify the fellowship/scholarship in <sup>H</sup>\*UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests with a valid score in terms of cut-off marks and duration, shall be exempted from appearing in the entrance test and deemed to be qualified for personal interview.

**<sup>J</sup>The candidate, who is awarded category 1 in \*NET examination will be granted full marks of written test.**

**The marks obtained in the \*NET examination by the candidates in categories 2 & 3 will be valid for a period of one year for admission to Ph.D. The marks obtained in NET examination will be considered while finalizing the merit.**

**The final merit will be computed applying weightage of 70% to written test and 30% weightage to interview.**

3.4 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 Institution;
- (iii) the proposed area of research can contribute to New/additional knowledge.

3.5 On the recommendation of the Departmental Research Committee and on the approval of Dean, Faculty of Doctoral Studies & Research the list of selected candidates will be displayed on the notice board / website of the University. However, the final admission will be given after getting eligibility as per the provisions of the relevant regulations of the University.

3.6 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department Research Committee depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*

3.7 The Ph.D. Research Scholar, will create his profile on the website of the Institute, in which he is registered. The profile shall include the name of the registered candidate, topic of his research, name of his supervisor/co-supervisor, date of enrolment/registration.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

<sup>J</sup>Amended by addition vide Notification no. 99 dated 19/10/2024, AC mtg 17.09.2024 reso.no.11(D)

R.Ph.D - 4 Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Scholars permissible per supervisor etc .

4.1 <sup>H</sup>Permanent faculty members working as Professor/Associate Professor under the Nirma 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 with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor.

<sup>J</sup>**The criteria for journal publications will be as under:**

**For Professor/Associate Professor:**

- **Out of the required five papers, the faculty member shall have at least four research publications in any combination in the journals indexed in Web of Science / ‘Q2 or higher category’ of Scopus / ‘B or higher category’ of ABDC.**
- **Further, the faculty member should have authored atleast two papers as first author or corresponding author.**

**For Assistant Professor:**

- **Out of the required three papers, the faculty member shall have at least two research publications in any combination in the journals indexed in Web of Science / ‘Q2 or higher category’ of Scopus / ‘B or higher category’ of ABDC.**
- **Further, the faculty member should have authored atleast one paper as first author or corresponding author.**

**The remaining one publication for any faculty member shall be in any journal indexed in the Web of Science / Scopus / ABDC / EBSCO (For Architecture & Design) / UGC-CARE List (For Law, Management, Architecture and Commerce)/ Any other journal approved by the University from time to time.**

**At the same time, none of these publications should be in any of the predatory journals.**

Any Faculty member during probation, can also be recognized as Ph.D. supervisor with, approval of the Director General and fulfilling all conditions stated herein.

Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Faculty member of Nirma University can become Co-Supervisors for students registered for Ph.D. in the centrally funded Institutions such as IITs, NITs, IIMs, NIPER etc. with the permission of the Director General.

For Ph.D. scholars working in Central government/ State government research institutions and registering for Ph.D degree for them the Scientist working in Research Institute, who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill all the requirements of this regulations

H Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)  
J Amended by addition vide Notification no. 98 dated 19/10/2024, AC mtg 17.09.2024 reso.no.11(C)

In case of other high-quality journals, not available in the above listed databases, the Director General may relax the above condition on recommendations of a Committee constituted by the Director General with two external experts (designation equivalent to a Professor or above) and one Professor of the concerned institute/department/area as the members.

4.2 Only a full-time regular teacher of the Nirma University can act as a Research Supervisor. However,<sup>H</sup>Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the Director General.

4.3 In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/ /University may be appointed subject to approval of the Director General. Provided that, while recognizing researchers as Supervisor/ Co-Supervisor from Recognized Institutions following criteria be followed:

a) Researchers should have a Ph.D. Degree from the recognized University in the concerned field,  
and

b) Research experience of atleast 10 years.

4.4 A Research Supervisor /Co-Research Supervisor who is a Professor, at any given point of time, cannot guide more than Eight Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

**4.4 (a)** <sup>H</sup>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 R.Ph.D 4.4 above.

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in R.Ph.D. 4.4 & 4.4 (a).

Provided further that before recognizing the teacher as a Ph.D Research Supervisor who meets with the above requirements a screening committee to scrutinize the potential of the teacher be constituted as under:

(i) Dean, Faculty of Doctoral Studies & Research

(ii) Dean, Concerned

(iii) Head of Department concerned

(iv) <sup>C</sup>One expert to be nominated by Director General.

<sup>C</sup> Amended by replacement vide Notification no .NU 44 dated 28.05.2018, BoG mtg 21.04.2018,reso.no. 4 (C)

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

Provided, however, if Dean, Head of Department/ Area Head/ Area Chairperson as the case may be and probable supervisor are the same person then the Director General will nominate a member in order of preference as under:

1. Professor
2. Associate Professor
3. Expert

(Such member must be recognized supervisor and from the concerned area of research work of the student)

**R.Ph.D 5 Pre-Registration Course-work: Credit Requirement, duration, syllabus, minimum standards for completion etc:**

5.1(a) R.Ph.D 5.1 (a) Requirement of pre-requisite course work before formal registration for Ph.D:

1. The candidates would be required to undergo one-year pre-requisite course work equal to 32 Credit Hours before formal registration for Ph.D.
2. The Institution Research Committee (IRC) consisting of the Dean, Area Chairpersons, DPM Chairs and Chairperson of IRC (to be nominated by the Dean) would specify the courses to be taken up by the scholars from the MBA (Full-Time)/ MBA (Family Business) Programmes. The IRC would decide core (first year) courses relevant to doctoral programme, and first year/second year courses in the area/related area of the scholar from MBA (Full-Time) /MBA (Family Business) Programmes. The teaching, assessment and grading of courses will be same as per MBA (Full-Time) / MBA (Family Business) Programmes. The teaching, assessment and grading of courses will be same as per MBA (FT) / MBA (FB&E).
3. Passing Standard: For successful completion of pre-requisite course work a student is required to obtain a minimum Cumulative Grade point Average of <sup>E</sup> 6.00. Apart from this s/he should not obtain any <sup>E</sup> 'FF' or 'IF' in any of the courses.

In case a student fails to meet the minimum CGPA/ letter grade requirement s/he will be given an extension of maximum six months by IRC and during this period s/he will not be eligible for getting any fellowship.

If the student fails to successfully complete the prerequisite course work during the extended period of six months his/her admission will be cancelled automatically

4. On successful completion of the pre-requisite course the scholars will be eligible for the further studies and also for the registration to the Ph.D programme.

5.1 (b) The credit assigned to the Ph.D. course work shall be of 16 credits

<sup>E</sup> Amended by addition vide Notification no.144 dated 11.10.2019, BoG mtg 28.09.2019,reso.no.5(A)(iv)

5.2 <sup>H</sup>The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, fieldwork, etc.

<sup>F</sup> In addition to that there shall be two credits course on Research and Publication Ethics (RPE), one advanced level course of four credits, and another two advanced level courses of three credits each preparing the students for Ph.D. degree.

5.3 The Department where the scholars pursues research shall prescribe the course(s) after <sup>J</sup>**sufficient discussions and deliberations by the Departmental Research Committee. The courses approved by the Departmental Research Committee shall be informed to the Research Advisory Committee through the concerned Ph.D. supervisor. The first Research Advisory Committee shall be called for approving the course work result.** The format of the scheme is at (Annexure -1)

5.4 All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department within initial two semesters.

However, if the student is not in a position to complete the course work in the prescribed time limit as above, due to genuine reasons, may file an appeal and on the recommendation of the RAC, the Director General may grant extension up to additional one semester.

<sup>D</sup> Provided further, that due to prolonged illness or under similar conditions Director General may grant extension up to one additional semester on the recommendation of the RAC.

Failing to complete the course work in the extended period will lead to cancellation of admission.

<sup>D</sup> Amended by addition vide Notification no. 139 dated 31.10.2018, BoG mtg 29.09.2018, reso.no.5(A)(ii).

<sup>F</sup>Amended by addition vide Notification no.58 dated 15.09.2020

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

<sup>J</sup> Amended by addition vide Notification no. 83 dated 23/08/2024.



5.6 The course work result including Research methodology course/s shall be finalized after a combined assessment by the Research Advisory Committee and the Area/ Department and the final marks shall be sent to the Ph.D Section for preparing the result within reasonable time but not beyond one month after submission of course work by the student at the department.

5.7 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC **10**-point scale in the course work in order to be eligible to continue in the programme and submit the thesis.

Course wise grade shall be given on basis of the percentage marks obtained by the student in the respective course/s. For converting, the percentage marks in to corresponding grade (G) following table shall be used:

<b>H%</b> marks	<b>Grade</b>	<b>Grade Point</b>
<b>91 and above</b>	<b>O</b>	<b>10</b>
<b>81-90</b>	<b>A+</b>	<b>9</b>
<b>71-80</b>	<b>A</b>	<b>8</b>
<b>61-70</b>	<b>B+</b>	<b>7</b>
<b>55-60</b>	<b>B</b>	<b>6</b>

A Ph.D scholar has to obtain a minimum of <sup>H</sup>**B** grade in each course and minimum CGPA 6.00 in order to be eligible to continue in the programme.

The CGPA is the ratio of sum of the product of the number of credits with the grade points scored by a student in all the courses taken by a student and the sum of the number of credits of all the courses undergone by a student i.e.

$${}^H\text{CGPA} = \frac{\sum(C_i \times G_i)}{\sum C_i}$$

Where  $C_i$  is the number of credits of the  $i$ th course and  $G_i$  the grade point scored by the student in the  $i$ th course. The CGPA shall be round off to two decimal points and reported in the grade report. CGPA can be converted in to % marks as under:

$$\% \text{ marks} = \text{CGPA} \times 10$$

5.8 After successfully completing the course work, within three months, the Research scholar will be required to develop a comprehensive research proposal under the guidance of his/her Research Supervisor and will be examined by Research Advisory Committee (RAC) and on the recommendation of the committee, the final shape of the research proposal along with tentative title of the topic of research shall be decided.

Minor changes in the topic can be done by the Research Scholar on recommendations of Research Advisory Committee before submission of the synopsis.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

**Research Advisory Committee and its functions**

Research Advisory Committee should be formed soon after the candidate is registered for the Ph.D programme. The Research Advisory Committee (RAC) consisting of Head of the Department <sup>A</sup>/Area Head/ Area Chairperson as the case may be & DPM Chair Person (For Management only) Research Supervisor-Convener of the Committee, Co-Research Supervisor, if any, and two experts to be nominated by the Director General, one of whom will be from outside the University will meet at least once in a semester and monitor the progress of the research scholar and, based on the suggestions of the committee, the research scholar will take follow-up actions. <sup>H</sup>The RAC will share the six-monthly progress report with Ph.D. section with a copy to the research scholar

Functions of the Research Advisory Committee (RAC) shall have the following responsibilities:

- (1) The Department where the scholar pursues his research shall prescribe the course(s) to him based on the recommendations of the Research Advisory Committee, of the research scholar.
- (2) To review the research proposal and finalize the topic of research;
- (3) <sup>J</sup>**Guide the research scholar to develop the study design and methodology of research.**
- (4) To periodically review and assist in the progress of the research work of the research scholar.
- (5) 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 to the Institution/College with specific reasons for cancellation of the registration of the research scholar.
- (6) <sup>H</sup>Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University. A copy of such recommendations shall also be provided to the Ph.D. scholar.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

<sup>J</sup> Amended by addition vide Notification no. 83 dated 23/08/2024.

R. Ph.D 7 **Evaluation and Assessment Methods, minimum standards for award of the degree etc:**

7.1 On successful completion of the course work and research work for the Ph.D. by a research scholar, the supervisor shall organize a pre-synopsis seminar in consultation with the Head of the Department to appraise the researchers and other research workers of the department, the research scholar's work and receive suggestions for improvement of the research work. The RAC shall assess the work of research scholar through this seminar. If the RAC is not satisfied with the quality of the work of the research scholar then the research scholar shall do further work and deliver a fresh seminar after a definite period specified by the RAC.

7.2 If the RAC is satisfied with the pre-synopsis seminar of the research scholar, the supervisor shall forward the application along with synopsis of the research scholar including a certificate about the completion of the pre-synopsis seminar to the Executive Registrar through the Dean, Faculty of Doctoral Studies & Research.

7.3 (i): The research scholar shall have to/ submit the thesis within maximum of 6 (six) months from the date of submission of synopsis.

<sup>D</sup> However, there should be minimum gap of 30 days between the date of submission of the synopsis and the thesis.

(ii) The research scholar has to publish at least one research paper in refereed journal and make two paper presentations in reputed national/international conferences/seminars OR has to publish at least two research paper in refereed journal and make one paper presentations in reputed national/international conferences/seminars in his/her area of research, before the submission of the thesis for evaluation and produce evidence for the same in the form of presentation certificates and/or reprints.

In addition, the student is required to develop a case under the guidance of the Ph.D. supervisor which will be assessed by an Institute level committee for acceptance.

<sup>J</sup>**At least one research paper should be in the journal indexed in Web of Science / 'Q2 or higher category' of Scopus / 'B or higher category' of ABDC.**

**Provided further that, the remaining journal publication as mentioned above should be in the refereed journal indexed in the Web of Science / Scopus / ABDC / EBSCO (For Architecture & Design) / UGC-CARE List (For Law, Management, Architecture and Commerce).** In case of other high-quality journals, not available in the above listed databases, the Director General may relax the above condition on recommendations of a Committee constituted by the Director General with two external experts (designation equivalent to a Professor or above) and one Professor of the concerned institute / department/area as the members.

<sup>D</sup> Amended by addition vide Notification no. 139 dated 31.10.2018, BoG mtg 29.09.2018, reso.no.5(A)(ii).  
<sup>J</sup> Amended by addition vide Notification no. 98 dated 19.10.2024, BoG mtg 28.09.2024, reso.no.4(A)

- 7.4 Each research scholar shall submit one final copy of the thesis embodying the results of his/her research <sup>B</sup> with soft copy in appropriate storage device. A copy will be sent to the INFLIBNET before the announcement of the award of the Ph.D. degree. The thesis shall contain an account of the research work carried out by the research scholar leading to the discovery of new facts or techniques or new correlations of scientific facts already known, the work being of such quality that it makes a definite contribution to the advancement of knowledge
- 7.5 <sup>H</sup>The Institute level committee shall examine the plagiarism and research and integrity using ICT.  
The thesis shall be submitted through the Supervisor, Head of the Department and the Dean, Faculty of Doctoral Studies and Research to the Executive Registrar. It shall contain certificate to the effect (Annexure-II)
- (i) Thesis incorporates the results of independent investigations carried out by the Research Scholar himself.
  - (ii) The work contains no plagiarism and that the work has not been submitted for the award of any other degree/ diploma of the same Institutions where the work was carried out or to any other Institution.
  - (iii) Text, diagrams or any other material taken from other sources (including but not limited to books, journals and web) have been acknowledged, referred and cited.
- and signed by the Research Scholar and the supervisor.
- 7.6 The Research Scholar shall not be permitted to submit thesis for which degree has already been conferred by this or any other University. But the Research Scholar shall not be precluded for incorporating his work, which has already been submitted elsewhere for a degree, in his present thesis covering a wide field. In such a case, he shall so indicate in written statement, which shall accompany the thesis.
- 7.7 The Director General, from among at least eight names (Four Indian experts and four foreign experts) recommended by the Faculty of Doctoral Studies and Research giving present or past designation and complete address of each of the person on the panel, shall appoint a Board of Referees consisting of three members. One of the three referees, ordinarily the guiding teacher under whom the research scholar has worked shall be the internal referee and the other two shall be the external referee. The two external referees shall examine the thesis and submit individual reports, within the time specified for this purpose.

<sup>B</sup> Amended by replacement vide Notification no .NU 44 dated 28.05.2018 ,BoG mtg 21.04.2018,reso.no. 4 (C)

7.8 After receiving favourable reports from both the external referees, a public viva-voce test by the internal referee with the help of one of the external referees to be appointed by the Dean, Faculty of Doctoral Studies shall be arranged <sup>H</sup>online / hybrid mode and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers. The two referees shall prepare a joint report on the viva-voce test.

Provided, however, that in exceptional cases where the Internal referee is not able to conduct the viva-voce due to unavoidable circumstances, the co-supervisor/ joint supervisor as the case may be will work as internal referee and conduct the viva-voce with the prior approval of Director General.

Provided further that where the co-supervisor or joint supervisor is not appointed than one of the following will work as internal referee in order of preference:

1. Head of Department concerned/ Area Chair Person who is recognized Ph.D Supervisor.
2. Dean, of the Faculty concerned.
3. Dean, Faculty of Doctoral Studies & Research

A public viva-voce will be chaired by the Dean, Faculty of Doctoral Studies & Research or his nominee. The date & time of the seminar to be conducted, be communicated to the University by the supervisor through proper channel

7.9 <sup>F1</sup> If any one or both of the external referees make any suggestion to improve the research work before giving their recommendations, the internal referee shall communicate the same to the concerned research scholar for necessary action. If the internal referee is satisfied that the suggestions given by the external referees have been carried out by the Research Scholar, then the same be communicated to the Ph.D. Section.

The corrections carried out by the research scholar shall be communicated to the concerned external referees within six months duration from the date of receipt of comments in case of minor revisions in thesis. In case of major revision, the duration shall be one year from the date of receipt of comments. In case of minor revision: no further extension will be granted to the student to implement the suggestions.

In case of major revision: in exceptional circumstances if the student is unable to carry out the suggestions in the prescribed time, then on the written request of the student, the RPC/RAC (wherein Dean of Faculty concerned will also be an additional member) will examine the case. Based on the satisfactory examination of the case, the RPC can recommend to the Director General for the grant of an extension maximum up to six more months.

In such cases, where the external referees reserve their recommendations and internal referee may forward all the reports including that of the viva-voce, to the Executive Registrar who in turn will submit one document to the Faculty of Doctoral Studies and Research for final recommendation and on such recommendation, the Academic Council will take final decision.

<sup>F1</sup> Amended by addition vide Notification no.70 dated 13.10.2020

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

7.10 In case of difference of opinion between the two experts referees, the Director General shall appoint from the list recommended by the Council, a third external referee. If third external referee finds the thesis unacceptable, no viva-voce will be held and the thesis be rejected. In case the third external referee considers that there is a *prima-facie* case for the award of the degree, the viva-voce test of research scholar shall be held at which the external referee who is in favour of the acceptance of thesis will be present.

Provided further that when it is decided to appoint third external referee the copies of the reports of both the referees, favourable as well as adverse, be sent to the third referee for his perusal, without disclosing the identity of the said both referees.

7.11 Where no internal referee is appointed, the Dean, Faculty of Doctoral Studies and Research will arrange the viva-voce examination with the help of at least one of the two external referees.

7.12 All reports of the Board of Referees and the report of the viva-voce as approved by the Academic Council shall be submitted to the Board of Governors for approval and on the approval of the Board the Degree will be awarded

Prior to the actual award of the degree, a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, <sup>H</sup>2022 be issued. (Annexure -III)

Normally the University shall ensure the completion of the process of evaluation of the thesis within a period of six month from the date of its submission.

R.Ph.D 8 **Academic , administrative and infrastructure requirement to be fulfilled by Institutions**

8.1 Institutions shall be considered eligible to offer Ph .D programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.

8.2 Post-graduate Departments of Institutions with at least two Ph.D. qualified teachers and other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 8.3 , shall be considered eligible to offer Ph.D. programmes. Institutions should additionally have the necessary recognition by the University under which they operate to offer Ph.D. programme.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

8.3 Institutions with adequate facilities for research as mentioned below alone shall offer Ph. D. programmes:

(i) In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;

(ii) Earmarked library resources including latest books, Indian and International journals, ejournals, extended working hours for all disciplines, adequate space for research scholars in the Department/library for reading, writing and storing study and research materials;

(iii) Institutions may also access the required facilities of the neighboring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.

8.4 <sup>H</sup>Ph.D. through Part-time Mode:

(1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

(2) The candidates intending to register in Part-Time mode shall submit a “No Objection Certificate” issued by the appropriate authority where the candidate is employed, stating the following:

(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.

R.Ph.D - 9. **Award of Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities**

Award of degrees to candidates registered for the Ph.D programme <sup>H</sup>on or after the notification number NU - 267 dated 14.10.09, till the date of Notification of these Regulations shall be governed by the provisions of the Regulations NU-267, dated 2009 or Notification No.329 dated 25/10/2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or NU notification 329 dated 25/10/2016.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

- 9.1 <sup>H</sup>In case of transfer of a Ph.D. scholar due to genuine reasons, the research data shall be allowed to be transferred to the University to which the scholar intends to transfer, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the Nirma University / Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken. The candidate will have to produce No Objection Certificate from the parent institution and parent supervisor. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken. Any such student seeking transfer to Nirma University and having spent more than two years duration in parent University shall work on research for atleast two years at Nirma University.

Further, in case if the student has earned less than 16 credits, then he/she has to undertake the coursework to meet with the deficiency.

- R.Ph.D 10 Change of Topic of Research: Normally the research scholars who are so registered shall not be permitted to change topic of research. The Faculty of Doctoral Studies and Research may waive this, provided the problem of research remains substantially the same, with the approval of Director General.

R.Ph.D 11 Cancellation of Registration:

The Director General shall be competent to cancel the registration of a research scholar in the following events

1. On recommendation of Research Advisory committee due to unsatisfactory Research progress
2. Violation of discipline rules (R-1 to R-7) of the University.
3. Submission of false information at the time of registration.
4. Voluntary withdrawal of admission.
5. Non-conformity with the regulations of the programme.
6. In cases where Research Scholar is found to be involved in plagiarism as per Rules for Preventing Plagiarism of the University notified vide notification no.117 dated 30/10/2015.
7. On recommendation of Examination Reforms Committee due to unfair means in examination.

In the process of cancellation of registration, principle of natural justice be observed.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)



R.Ph.D 12 **Conversion of Registration:** The Director General be empowered to permit the conversion of registration from Ph.D (Full-Time) to Ph.D (part-time) and vice-versa, subject to the guidelines prescribed by Academic Council. <sup>A</sup>(Annexure-IV)

R.Ph.D 13 Payment of Tuition & other fees: The research scholar registered for the Ph. D. degree 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.

R.Ph.D 14 Research Fellowship: <sup>E</sup>Ph.D. Research Scholar will be given Fellowship on the basis of final merit of Ph.D. admission. The Full-Time research scholar will be given Junior Research Fellowship (JRF) for first two years, and Senior Research Fellowship (SRF) for the third year for all the Faculty (Faculty of Tech.&Engg, Pharmacy, Science and Law) except Faculty of Management.

<sup>H</sup>All Ph.D., scholars, who are recipient of stipend from Nirma University or any other external agencies shall be required to take credit-based courses in teaching/education/pedagogy/writing/administrative load related to their chosen Ph.D. subject during their doctoral training period. Ph.D. scholars shall be assigned 08 hours per week of teaching/research assistantship for conducting tutorial or laboratory, studio work and evaluations.

Provided however that, such research scholars will be associated with teaching work for 8-hours in a week as assigned by the Head of the Department (HoD) concerned, in consultation with the supervisor.

Provided further that if any full-time candidate is registered as a sponsored research scholar, then he will not be entitled for such fellowship.

(a) Full-Time Ph.D Research Scholars after completion of minimum period of three years may be exempted from attending the department on fulfilment of following conditions:

1. Completion of experimental work up to the satisfaction of the Research Advisory Committee.
2. On submission of synopsis

Payment of prescribed fees as per the regulations applicable to external students

Provided that in case of sponsored candidates the Director General may relax any of the conditions as mentioned at sr.no. 1 & 2 above on the merit of individual case.

R.Ph.D 15 Change of Supervisor:

A student desirous to change his Supervisor shall apply to the Executive Registrar through both the old and the new guiding teachers, Head of the Department, Dean of the faculty concerned and the Dean of Doctoral Studies and Research. The decision on this will be taken by the Director General on the recommendation of the Dean, Faculty of Doctoral Studies and Research. Provided that in the case of death of a Supervisor or long leave or prolonged sickness of a

supervisor or the cases of similar nature, a candidate may apply to the Executive Registrar for changing his supervisor and such application shall be forwarded by the Executive Registrar to the Director General through the Dean, Faculty of Doctoral Studies and Research.

Or

On the application of the students / supervisor for the reasons other than above for change of supervisor the Director General may form a Committee and after thorough inquiry and on the report of the committee the Director General will take appropriate final decision.

R.Ph.D 16 <sup>H</sup>Faculty members with less than three years of service before superannuation shall not be permitted to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

R.Ph.D 17 Co-supervisor: <sup>H</sup>If any Supervisor/ co-supervisor in the recognized centre recognized under regulations R.Ph.D 4, if found to be involved in any dishonesty in conduct of research or unethical academic practices or plagiarism, his supervisorship will be withdrawn subject to following procedures laid down under the rules of plagiarism of the University. The decision taken in this respect will be informed to parent organization of the co-supervisor.

<sup>H</sup> Amended by addition vide Notification no. 33 dated 13/04/2023, BoG mtg 28.03.2023 reso.no.3(11)

Annexure – I  
Nirma University  
Ph. D. Programme

Faculty: \_\_\_\_\_ Name of the Supervisor: \_\_\_\_\_  
Student's Name: \_\_\_\_\_ Registration No: \_\_\_\_\_

Course Work Format

(Under Regulation R. Ph.D 5.3)

Course Code	Course Name	Examination Scheme (Weightage)					
		L	P	C	Continuous Evaluation (CE)	Lab Project Work (LPW)	Sem End Exam (SEE)
Ph.D. FT/PT01	Research Methodology			4			
CPE-RPE	Research and Publication Ethics			2			
Ph.D. FT/PT02	Advanced Level Course			4			
Ph.D. FT/PT03	Advanced Level Course			3			
Ph.D. FT/PT04	Advanced Level Course			3			
Total credits				16			

FT: Full Time      PT: Part Time

L: Lecture      P: Practical

CE: Continuous Evaluation LPW: Lab Project Work SEE: Semester End Examination

C: Credit (1 Credit = 15 Hours of Lecture) & (1 Credit = 30 Hours of LPW)

N. B. On recommendation of Research Advisory Committee (RAC), Departmental Research Committee (DRC) will finalize the course work as per R.Ph.D. – 5.0

Annexure -II

Nirma University  
Ph.D Programme

Certificate  
(Under Regulation R. Ph.D 7.5)

This is to certify that the thesis entitled \_\_\_\_\_ has been prepared by \_\_\_\_\_ under my supervision and guidance. The thesis is his / her own original work completed after careful research and investigation. The work of the thesis is of the standard expected of a candidate for Ph.D. Programme in \_\_\_\_\_ and I recommend that it be sent for evaluation.

Date:

\_\_\_\_\_  
Signature of the Supervisor

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Forwarded Through:

\_\_\_\_\_  
(i) Name and signature of the  
Head of the Department (if any)

\_\_\_\_\_  
(ii) Name and signature of the Dean Faculty of \_\_\_\_\_

\_\_\_\_\_  
(iii) Name and signature of the Dean Faculty of Doctoral Studies and Research

To:  
Executive Registrar  
Nirma University

Nirma University  
Ph.D Programme

Declaration  
(Under Regulation R. Ph.D 7.5)

I, \_\_\_\_\_, registered as Research Scholar, bearing Registration No. \_\_\_\_\_ for Doctoral Programme under the Faculty of \_\_\_\_\_ of Nirma University do hereby declare that I have completed the course work, pre-synopsis seminar and my research work.

I do hereby declare that the thesis submitted is original and is the outcome of the independent investigations / research carried out by me and contains no plagiarism. The research is leading to the discovery of new facts / techniques / correlation of scientific facts already known. (Please tick whichever is applicable). This work has not been submitted to any other University, Body or of the same Institution where the work was carried out in quest of a degree, diploma or any other kind of academic award.

I do hereby further declare that the text, diagrams or any other material taken from other sources (including but not limited to books, journals and web) have been acknowledged, referred and cited to the best of my knowledge and understanding.

Date:

\_\_\_\_\_  
Name & Signature of the student

I endorse the above declaration made by the student.

\_\_\_\_\_  
Name & Signature of the Supervisor

Annexure-III

PROVISIONAL PASSING CERTIFICATE

This is to certify that the following student has completed all the academic requirements under prescribed regulations for Ph.D Programme of Nirma University in line with UGC notification dated **7<sup>th</sup> November 2022** and become eligible for awarding the degree of Doctor of Philosophy in \_\_\_\_\_. Relevant details are given as under.

Part- I	
Name of the Candidate	
Registration No.	
Date of Registration	
Title of the Thesis	
Faculty	
Name of the Research Supervisor	
Part-II	
The above student was admitted in Ph.D programme through entrance test and interview.	
The above student completed the course work of 16 credits including 04 credits of Research Methodology and 02 credits of Research and Publication Ethics.	
The above student has published one research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis or the research scholar has published two research papers in refereed journals and make one paper presentations in reputed national/international conference/seminar.	
The thesis of the student was evaluated by two external referees one Indian and on Foreigner.	
The above student submitted soft copy of thesis and same was deposited with INFLIBNET before the announcement of award of Ph.D degree.	
The student meets with all the academic requirements for the award of the Ph.D. degree.	

The said degree will be awarded after approval of the Board of Governors in the next convocation

No:NU/Ph.D.PPC/

Date

Executive Registrar

Conditions for conversion from Full-Time to Part-Time for the students registered under Faculty of Management.

General Conditions:

- a) Date of initial registration will be the date for all the purpose (like completion of coursework, submission of thesis etc)
- b) In the entire tenure of Ph.D programme conversion from Full-Time to Part-Time can be done only once as per the conditions given hereunder:
  - 1 The student should be employed in any educational Institutions/ R&D Centre, Industry wherein sufficient infrastructure is available to carry out the research by the student. The student has to submit No Objection Certificate and Infrastructure certificate from the employer where the student is going to carry out the research.
  - 2 <sup>E</sup> The conversion can be done at any point of time after registration.
  - 3 The minimum duration for submission of Ph. D. thesis shall be 3 years from the date of initial registration and maximum period should not exceed seven years. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years in the maximum duration i.e. up to 9 years.(R.Ph.D 2)
  - 4 Approval from the supervisor, Head of Department & Dean concerned will be required.

<sup>E</sup>(N.B: These guidelines will be applicable to all Full-Time Ph.D. students seeking conversion.)

<sup>E</sup> Amended by addition vide Notification no.144 dated 11.10.2019, BoG mtg 28.09.2019, reso.no.5 (A)(iv)