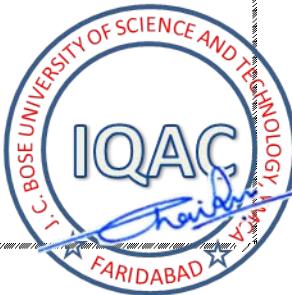


# J.C. BOSE UNIVERSITY OF SCIENCE AND TECHNOLOGY, YMCA, FARIDABAD



*Approved in 20th Academic Council Meeting dated 31/08/2020*<sup>1</sup>



## **1. Research Policy Statement**

J.C. Bose University of Science & Technology, YMCA, Faridabad (JCBUST YMCA) is a technical university committed to promote research, innovation & entrepreneurship as well as ensure that the outcomes of the same benefit the society.

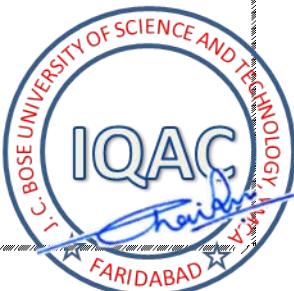
## **2. Applicability of the Research policy**

2.1 The policy applies to all the faculty members, teaching & non-teaching staff, research scholars and students of JCBUST YMCA, Faridabad University who are engaged in any form of research & innovation activity.

2.2 All research activities will be undertaken in accordance with the university's regulatory and ethical considerations.

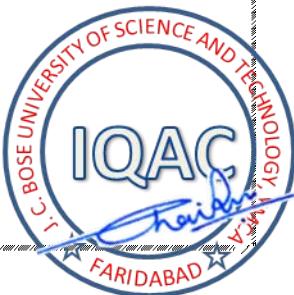
## **3. Objectives**

- (i) To explore technological development opportunities in common application areas for the welfare of the people of our country.
- (ii) To encourage and incentivize faculty members of the university for research publications in SCI and Scopus Index or other equivalent peer-reviewed / reputed / prestigious indexed journals.
- (iii) To organize research promotion events like summits, conferences, seminars, workshops, expert lectures and panel discussion through talks with eminent personalities from reputed institutions and industries etc.
- (iv) To motivate faculty members, research scholars, staff and students to apply for patent and also encourage to present research papers in national and international conferences/ workshops.
- (v) To provide appropriate facilities and infrastructure for the advancement of research.
- (vi) To take Initiatives for signing MoU's with reputed national/international institutions and industries for collaborative consultancy and research projects, etc.
- (vii) To identify the technical problems faced by the industry and find effective solutions for the same through research projects and consultancy work, etc.



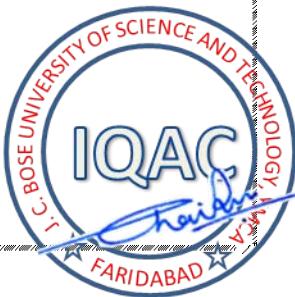
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*Approved in 20th Academic Council Meeting dated 31/08/2020* <sup>4</sup>



## Research Promotion Board (RPB)

The Research Promotion Board (RPB) is the principal research body of the University and provides the larger holistic vision, the research to be undertaken by the University, including prioritization of the research areas.

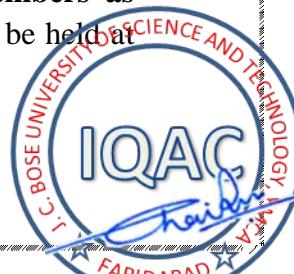
The RPB also supervises, directs and monitors all the research activities and Ph.D. programs of the University.

The Research Promotion Board will take cognizance of the problems being faced by the teachers/researchers for submission of their proposals/projects to various Government agencies like SAP, FIST, DST etc. Policy matters related to research will also be put in the board meeting for consideration before putting it in Academic Council for approval.

### Constitution of Research Promotion Board

S. No.	Constituent	Number	Designation
1	Vice-Chancellor	1	Chairman
2	Dean (Academic Affairs)	1	Ex-officio Member
3	UGC coordinator	1	Ex-officio Member
4	Director IQAC	1	Ex-officio Member
5	Ex Dean(R&D)	1	Ex-officio Member
6	Dean(R&D)	1	Member
7	External outstanding experts from leading Research Organizations / Institutions/ Industries/ Corporate / Academia Representative in different domains nominated by the Vice-Chancellor	3	Member
8	Faculty members of University having proven research track record to be nominated by the Vice-Chancellor.	5	Member
9	Dy. Dean ( R &D)	1	Member Secretary/ Convener

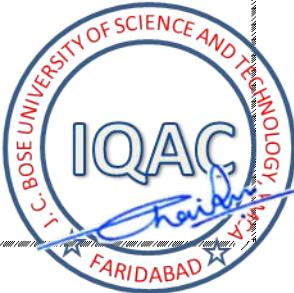
**Research Promotion Board may be expanded with the inclusion of more members as necessary.** The Dean (R&D) shall be guided by the RPB. The RPB meetings should be held at least twice in a year. The Research Policy shall also be reviewed every two years.



# Research Award policy for facilitating the faculty/students for outstanding research



*Approved in 20th Academic Council Meeting dated 31/08/2020* <sup>6</sup>



# Guidelines for the Award for Published Paper of the Researchers of J.C. Bose University of Science & Technology, YMCA, Faridabad.

The cash awards will be presented to researchers in the recognition of importance of the published research work and to celebrate the individual excellence in research. The publications considered must be listed in SCI or SCI expanded. The awards will be granted for the journal papers published in each year (1<sup>st</sup> April-31<sup>ST</sup> March, Published along with DOI, pagination and year of Publication). A call will be circulated annually and the entry form consisting of published research papers qualifying the selection criteria must be completed and returned. The publication made in the journals, which seeks publication fee, shall not be considered for cash awards (irrespective of the listing in the publication houses specified in the following lists).

## 1. DEFINITIONS:

- “University” shall mean J.C. Bose University of Science and Technology, YMCA, Faridabad
- **Paper:** Any publication appearing in journal namely .... Excluding letters to the editor and editorials. The publication must be electronically available online.
- **University Faculty:** An individual who is a regular faculty of the J.C. Bose University of Science and Technology, YMCA. Faridabad
- **University Student:** An individual who is registered for any degree in the J.C. Bose University of Science and Technology, YMCA. Faridabad
- **Researcher:** An Individual who is either a University faculty or a University student.

## 2. AWARD CATEGORIES & SELECTION CRITERIA:

### A) Outstanding Research Awards

A cash prize of Rs. 5,00,000/- will be awarded along with certificate of merit.

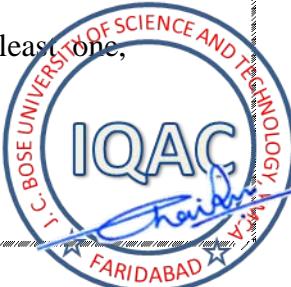
Selection Criteria: The paper must be SCI/SSCI journal paper of impact factor at least two, and published in the following:

- Nature Journal
- Science
- Harvard Business Review

### B) Premier Research Awards

A cash Prize of Rs.1,00,000/- will be awarded along with certificate of merit.

Selection Criteria: The paper must be a journal paper of impact factor at least one, indexed in SCI or SCI expanded and published in the following:



1. Proceedings of Royal Society
2. American Mathematical Society
3. American Physical Society
4. American Society of Civil Engineers(ASCE)
5. American Society of Mechanical Engineers(ASME)
6. IEEE Transactions
7. Association for computing machinery (ACM) Transaction
8. Institute of Civil Engineering Publishing, London
9. Institute of Mechanical Engineering, London
10. American Society of Testing Materials(ASTM)
11. Nature Publishing Group

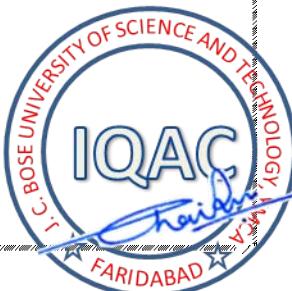
In addition to the above list, the journals with impact factor equal to or more than thirty (30) will be also be considered for the award.

### c) Commendable Research Awards

A cash prize of Rs. 50,000/- will be awarded along with certificate of merit.

Selection Criteria: The paper must be a journal paper of impact factor at least one, indexed in SCI or SCI expanded and published in the following:

1. IEEE Journals
2. Springer
3. Elsevier(Science Direct)
4. Oxford University Press
5. Pergamon Elsevier Science Ltd
6. Cambridge University Press
7. Wiley- Blackwell
8. Blackwell Publishing
9. John Wiley & Sons
10. Institute of Engineering and Technology(IET)
11. Biomedical Central Ltd
12. MIT Press
13. Indian University Press
14. American Meteorological Society
15. American Physiological Society
16. American Society of Microbiology
17. American Chemical Society
18. American Institute of Physics
19. IOP Publishing Ltd
20. Massachusetts Medical Society
21. IOS Press
22. Princeton University Press
23. Society of Industrial and Applied Mathematics
24. Proceedings of National Academy of Sciences of the USA
25. Taylor and Francis Publishing
26. American Society of Mechanical Engineers (ASME)



In addition to the above list, SCI and SCI expanded indexed journal not included in the above list having impact factor equal to or more than five shall also be considered for the award.

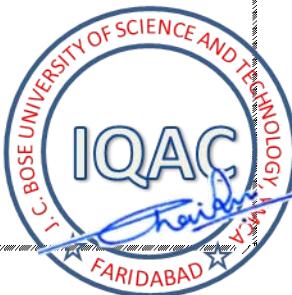
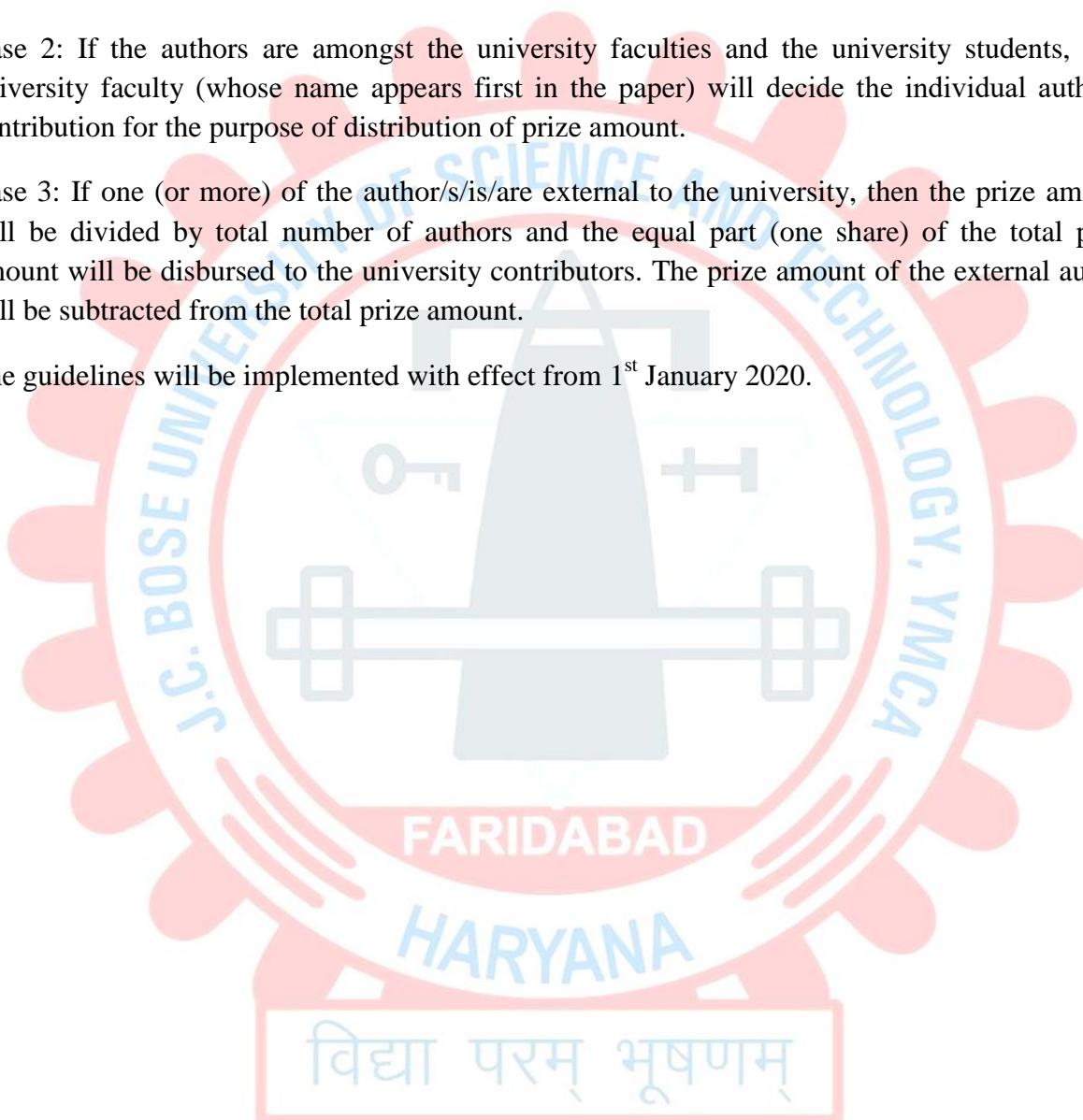
### **3. REGULATIONS FOR DIVISION AND DISTRIBUTION OF AWARD PRIZE**

Case 1: If all the authors are amongst the university faculties, then first author will decide the individual author's contribution for the purpose of distribution of prize amount.

Case 2: If the authors are amongst the university faculties and the university students, then university faculty (whose name appears first in the paper) will decide the individual author's contribution for the purpose of distribution of prize amount.

Case 3: If one (or more) of the author/s/is/are external to the university, then the prize amount will be divided by total number of authors and the equal part (one share) of the total prize amount will be disbursed to the university contributors. The prize amount of the external author will be subtracted from the total prize amount.

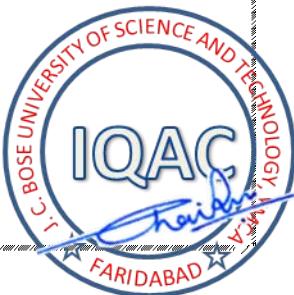
The guidelines will be implemented with effect from 1<sup>st</sup> January 2020.



# Guidelines For Carrying Out Sponsored Research Projects



*Approved in 20th Academic Council Meeting dated 31/08/2020* <sup>10</sup>



## 1. Introduction

J.C. Bose University of Science & Technology, YMCA. Faridabad, considers the need to facilitate the research and development activities systematically to lay strong foundation and register growth in research by generation of resources, research collaborations and establishing links with industry as well as with social organizations. The University will handle the project management aspects related to accounts, purchases, recruitment, audits, liaisons with sponsors, and prepare the status reports, by the following rules and regulations.

## 2. Scope

The rules and regulations are applicable to all activities stated therein.

1. The proposals submitted by a Department/ Center/ Employee of the University or by the University as such.
2. Sponsored Research Projects involving external funding sources.
3. International Research Collaborations involving international funding sources or international collaborators
4. Industry/ Organization Sponsored Projects, Industrial Consultancy involving funding from industry

## 3. Definitions

1. *Sponsored Research Project* means a time and cost bound project sponsored by government, public, private, national/international agencies or autonomous bodies.
2. *Sponsor* means the organization that offers a sponsored Project to the J.C. Bose University of Science & Technology, YMCA, Faridabad, and provides necessary financial support for successful completion of the project in time.
3. *Principal Investigator (PI)* means a member of the faculty who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding.
4. *Co-Investigator or Co-principal Investigator* means a working/retired faculty member co-opted by the PI to work jointly with him/her and approved by the funding agency. In the absence of PI (PI goes abroad for long time, PI gets retired, PI leaves the university) Co-PI will become in-charge of project as per norms of funding agency.
5. The *project staff* includes research technical and office personnel.
6. *DRD* means Dean (Research and Development) of J.C. Bose University of Science & Technology, YMCA. Faridabad.

## 4. Submission of the Project Proposals

- a. The PI will complete the project initiation form as per Form 1/Annexure 1 for submission of 'Research Project' to the various funding agencies and submit to DRD through the chairperson of the concerned department. The Chairperson shall ensure that it would be possible for the department to accommodate the work of the research project.

b. In case, the project is to be sponsored by a non-government agency, a statement on the terms and conditions of the project including the rights of patents and royalties must be spelled out clearly through a MoU/Agreement (to be vetted by Legal officer of the university) to be signed by the Registrar, DRD of the university and PI and the competent authority of the funding agency.

## 5. Sanction of the Project

- a. The sanction letter and details of the amount sanctioned under different Budget heads, duration of the project and other terms and conditions shall be communicated to the Account Branch for entering the grant in the grant register by the PI.
- b. The date of the start of the Project will be taken as the date when the first installment of the Grant is received. In case of any conflict, the guidelines of the funding agency shall supersede.

## 6. Operation of the projects

### 6.1 Procedure for purchase of equipments, consumables, up gradation, repairs, annual maintenance contracts (AMC), renovation and TA/DA expenses.

6.1.1 All purchases shall be executed by a Committee called the ‘Project Purchase Committee (PPC)’ for each project consisting of the DRD’s nominee, chairperson of the department, PI (convener), Co-PI (if any) and one/two members of the Teaching Faculty.

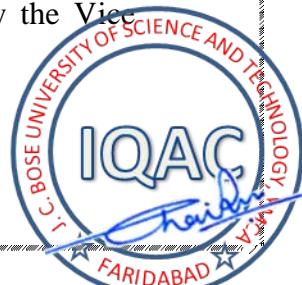
6.1.2 An imprest amount equivalent to 5% of the total contingency grant with a ceiling of Rs.10,000/- will be provided to the PI for smooth running of the Project.

6.1.3 (a) Purchase of items(s) upto Rs.10,000/- can be effected by the PI without inviting quotations.

(b) Purchase above Rs 10,000/- will be affected by inviting quotations or by spot quotation from the reputed firms (minimum three) by the PPC. E-Tenders/GEM will be used by the purchase department of the university as per university/ funding agency rules.

(c) The DRD will maintain a list of all the equipments costing more than Rs.2 lacs that have been purchased in the university by different PIs in various departments. New purchases shall be added to the list as and when orders are placed.

(d) Consumables may be purchased from standard Indian or foreign companies as per university rules. Special requirement, if any, in this regard will be approved by the Vice Chancellor.



6.1.4 The University TA/DA rules/rules will normally be applicable to all sponsored research projects for field work and visits in Haryana or outside Haryana (in India or abroad). However, keeping in view the time-bound nature of the projects, the PI/Co-PI/research staff will be allowed to travel by taxi/own car/ by air irrespective of their entitlement on the approval of Vice Chancellor.

6.1.5 Imprest amount for the field work: For the payment required for field work connected with the sponsored research increase in imprest amount will be allowed by the DRD upto Rs. 50000/- and beyond that by the Vice Chancellor.

6.1.6 The PI, Co-PI and the Project Staff shall be allowed to avail the leave to carry out the field work or collaborative work in another Laboratory relating to research work of the Project (In India or Abroad) on the approval of DRD for a leave upto 10 days in a year. Beyond that the approval shall be given by the Vice Chancellor on the recommendation of DRD. All such requests shall be forwarded by concerned chairperson.

6.1.7 The Secretarial assistance: To look after the processing of bills, preparation of accounts reports, utilization certificate and other project related secretarial work a person may be hired on the Govt. Approved rates by PI in consent with DRD.

6.1.8 The appointment of clearing agent: The clearing of the imported equipment and other items at the air-port is a very tedious and time consuming process. In order to save time and energy of the PI, the University shall appoint a clearing agent. The charges of the agent for each case shall be met out of the corresponding project budget head. Further, the University will provide a suitable vehicle if needed to bring the imported items from the airport.

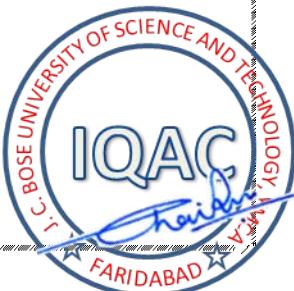
6.1.9 Annual statement of expenditure and utilization certificate: The PI shall prepare the statement of expenditure and utilization certificate of every project by 30<sup>th</sup> April of the relevant year and send the same to the DRD/Accounts Branch for confirmation or reconciliation for onward transmission to the funding agency, or vice-versa.

## **7. Management of Overhead Charges**

Out of the total overhead charges in the project, 20% share shall be transferred to the University Accounts, 20% will be credited to the DRD fund and will assist the faculty members in establishing the research labs or other such facilities. Remaining 60% of the overhead charges shall be at the disposal of the PI. The funds under this head can be utilized by the PI during the Project period on items of expenditure 7.1 to 7.7 as per prescribed procedures of the University.

## **7 Infrastructure:**

### **7.1 Expenses related to**



- Laboratory maintenance & renovation
- purchase/ repair of furniture, air conditioners, Personal Computers, Laptops and Printers

**7.2** Repair and up-gradation of scientific equipments and purchase of minor accessories of equipment.

**7.3** Advertisements in the newspapers of positions as well as other public notices.

**7.4** Hiring of manpower including secretarial assistance (typing /computer operation/accounting /bills etc.) shall be subjected to approval by the DRD as appropriate at university/State Govt. approved rates. Assistance of student of Master's and Ph.D. course not getting any financial support can be provided at the rate of Rs. 125/- hour with a maximum limit of 25 hours per week after getting approval of the DRD.

**7.5** Expenses to meet local, domestic or international travels, hotel expenses, DA registration fee for participation of PI, Co-PI and project staff in conference/symposia and for visit to other laboratories (in India and abroad) for discussion or for collaborative research work subject to prior approval of the PI (upto Rs. 5000/-), DRD (upto Rs. 20,000/-) and Vice-Chancellor for the expenses above Rs. 20,000/. Expense to meet filing of Indian patent will be as per University/ State Govt. rules. The expense of the membership fee of various professionals/academic societies can also be met out of PIs share.

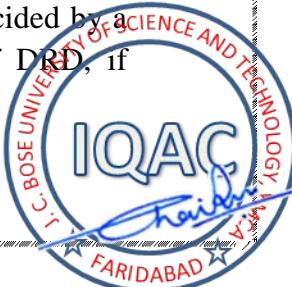
**7.6** Provision of communication facilities including installation and the periodical bills payment of telephone, intercom, fax and E-mail in the office /laboratory of the PI/ Co-PI charge on STD /ISD call made from actual telephone or public call office and E-mail charge for project work may be paid from this head on actual basis .

**7.7** Annual maintenance contract (AMC) fee/charges for the equipments, computers/printers, air conditioner etc.. The allotment of AMC of the technical instruments upto Rs. 50,000/- shall be executed by the PI after the approval of DRD. Beyond Rs. 50,000/- the AMC will be awarded by the PI after the approval of Vice-Chancellor.

The unspent amount from the 60% share of the PI shall be transferred to the DRD fund after three months of the final closing of the Project.

## **8. Appointments**

For appointments under the project, the PI will send the draft advertisement to the DRD for approval, who will return it to the PI for notification/advertisement after giving approval. Application should be invited after giving wide publicity/as per the funding agency rules regarding the vacancies. The terms and conditions of the appointments can be decided by a committee duly constituted by the Vice-Chancellor on the recommendation of DRD, if required.



## **9. Maintenance of Stock Registers**

Each project should have separate stock register for consumable and non- consumable items to be maintained by PI or his/her office. The non-consumable items/equipments shall be transferred to the regular stock register of the department/university after completion of the project unless otherwise stated by the funding agency.

## **10. Interim Progress and Accounts Reports of the Project**

The PI shall prepare the progress report along with the statement of accounts which will be submitted to the Accounts Branch through DRD. These statements will be used by the Accounts Branch for preparing the utilization certificates (UC) to be submitted to the funding agency.

## **11. Final Technical and Financial Report of the Project**

11.1 The final technical report shall be prepared by the PI in accordance with the requirements of the funding agency and submitted to the DRD for approval. However, the submission of the technical report to the funding agency will be the responsibility of the PI.

11.2 The final financial report including UC shall be prepared by the Accounts Branch in consultation with PI as per the requirements of the funding agency and submitted to the Registrar for approval. The submission of the required financial reports, approved by the Registrar, to the concerned agencies will be the responsibility of the PI.

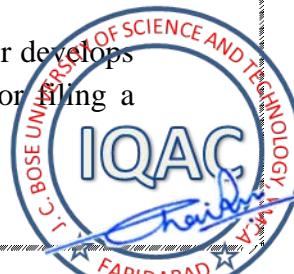
## **12. Closing of the projects**

After the preparation of the final technical and financial reports on the closing of the projects, the following activities will be taken up:

- a) Transfer of equipments and non-consumable items to the department/university through proper transaction in the stock registers.
- b) Closure of Project stock registers
- c) Return of unutilized funds to the funding agency along with UC.
- d) Any other activity as mandated by funding agency or university authorities.

## **13. Filing of Patents**

In case of the PI creates/invents a novel product having commercial significance or develops a technique which may have industrial application, DRD will initiate process for filing a



patent through a negotiated settlement involving the PI, the funding agency and the University. All costs related to filing as well as maintenance of patent (Indian, International or any other patent) will be paid out of DRD funds.

## 14. Generation of Income

Any income from the project upto Rs. 5,000/- shall be used by the PI as per the approval of DRD. Any income beyond Rs. 20,000/- shall be spent by the PI as per the approval of Vice-Chancellor. An income beyond Rs. 20,000/- may be returned to the funding agency or utilized by the university as per the decision of the Vice-Chancellor.

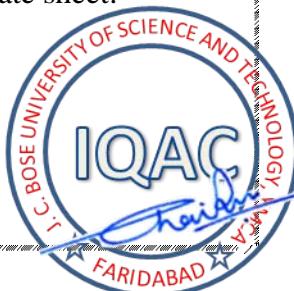
### Annexure/ Form – 1

#### **FORMAT FOR FORWARDING RESEARCH PROJECTS PROPOSALS**

(Enclose two copies of project proposal with this form)

1. Name of the Investigator : \_\_\_\_\_
2. Designation : \_\_\_\_\_
3. Date of Birth/Retirement : \_\_\_\_\_
4. Department/Centre : \_\_\_\_\_
5. Name of the Co-Investigator (if any) : \_\_\_\_\_
6. Designation : \_\_\_\_\_
7. Date of Birth : \_\_\_\_\_
8. Department/Centre : \_\_\_\_\_
9. Title of the Project : \_\_\_\_\_
  
10. Duration of the Project : \_\_\_\_\_ from \_\_\_\_\_ To \_\_\_\_\_
  
11. Funding Agency : \_\_\_\_\_
12. Total Funds requested including \_\_\_\_\_
13. salaries without overhead charges \_\_\_\_\_
14. Overhead charges asked \_\_\_\_\_
15. Whether the account of the earlier \_\_\_\_\_
16. Completed projects finally closed : \_\_\_\_\_
17. If not, the reasons for the same : \_\_\_\_\_
18. Information to be provided by the Principal Investigator
  - i) Total number of ongoing Projects: \_\_\_\_\_
  - ii) Total number of Projects completed in the last 10 years: \_\_\_\_\_
  - iii) The following information for each project should be given on separate sheet: \_\_\_\_\_

Title of the project,  
Funding Agency,



Total Grant of the project,  
Date of Commencement,  
Date of completion.

I understand that (i) University will not provide any funds for the project work, equipment, salaries or contingencies, (ii) Any electrical wiring, water pipes and drains, etc. Within the laboratory, renovation and air conditioning has to be met out of the 60% of the overhead budget and/or Department funds, (iii) Any extra space for the project has to be settled within the Department, University may not provide any additional space.

The investigators will follow the norms for the operation of the project framed from time to time by the DRD.

Signature of the Investigator:

Date:

Signature of the Co-Investigator (if any):

Date:

Head of the Department

Signature:  
seal

Date:

Notes:

- a) Two copies of the project proposal, one for the signature of the competent university authority and one for the records will be sent to the office of DRD. The investigator should get the signed copy collected within 2-5 days of submission, required copies with forwarding letters to the funding agency, directly or through the department.
- b) Co –Investigator who is not retiring before the date of the completion of the project is essential if the investigator is retiring before the date of completion of the project.
- c) The university may/ may not forward the project proposal even if the answer to Q.14 is No.
- d) A copy of the norms for operation of the project will be sent along with the acknowledgement of the first installment of the money to the DRD.

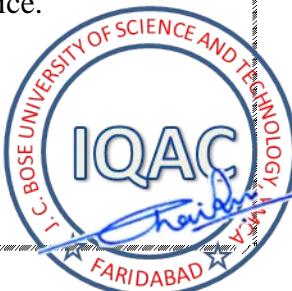
**Annexure/Form –II**  
**FORMAT FOR CLOSING RESEARCH PROJECT**

(Submit 5 copies)

Name of the terminated/completed project

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1. Name of the PI : .....
2. Designation : .....
3. Department/Centre : .....
4. Name of the Co-PI), if any : .....
5. Designation : .....
6. Department/centre : .....
7. Duration of the project : .....
  
- Date of the commencement : .....
  
- Date of completion : .....
  
- Reasons for delay, if any : .....
8. Funding agency : .....
9. Total funds received including salaries without overhead charges : .....
10. Total overhead charge received : .....
11. Whether the final account of the Completed project for all the Years have been submitted and Closed if not, reasons thereof : .....
12. Amount of the unspent balance : .....
13. Whether the unspent balance is to be returned to the sponsoring agency : .....
14. Whether the final technical and financial report of the project for onward transmission to the sponsoring agency, is enclosed or not. ....
15. List of non-consumable articles  
S.No.      items (s)      date of purchase      cost at time of purchase
  
- Whether transferred to the University/Department. If yes, details thereof. If no, reasons thereof.
16. Whether all the advance have been rendered and reconciled with the finance office. If not, reason thereof.



Signature of the investigator :

Date :

Signature of the Co-PI :

Date:

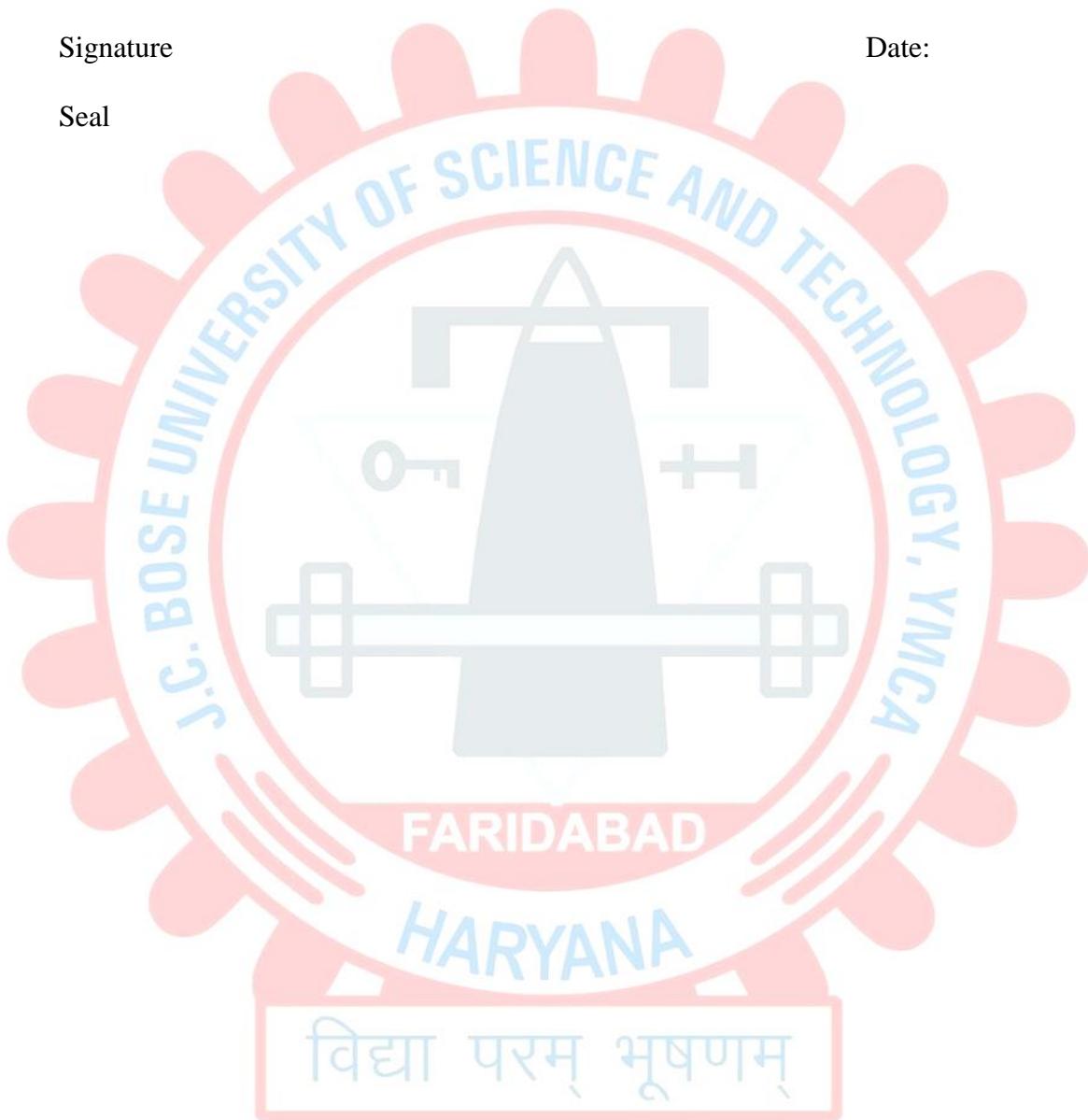
(If any)

Name : Head of the Department

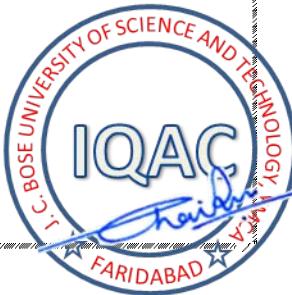
Signature

Date:

Seal



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Approved in 20th Academic Council Meeting dated 31/08/2020

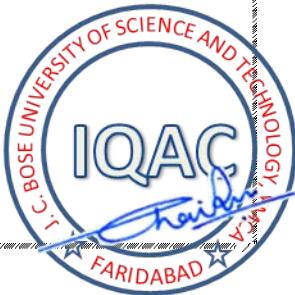


# Seed Money To The Young Researchers



*Approved in 20th Academic Council Meeting dated 31/08/2020*

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To motivate the young researchers of the University, R&D proposals are invited from the interested faculty members in collaboration with students every year. These projects are sponsored by the University through UGC funding. The seed money of maximum Rs 2 Lakhs can be granted to the selected projects for two years. For selection the proposals are scrutinized by the expert committee comprising of external experts.

### **Formats For Submission Of Research Proposal**

**(To be filled by applicant)**

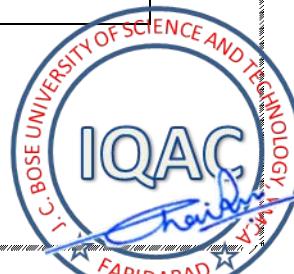
1. Project Title
2. Broad Subject:
3. Sub Area:
4. Duration in months:
5. Project summary (maximum 150 words)
6. Key words (maximum 6)
7. Technical details
8. Introduction
9. Review of status of Research and Development in the subject
10. Importance of the proposed project in the context of current status
11. Methodology
12. Details about Principal Investigator

Name	वेद्या परम् भूषणम्		
Exact designation			
Appointment Type			
Department			
Qualifications			

Experience in years			
Students guided			
Publications			
Relevant experience			
Other information			
Cell number			
Email			
Signature			

### 13. Details about Co-Investigator

Name			
Exact designation			
Appointment Type			
Department			
Qualifications			
Experience in years			
Students guided			
Publications			
Relevant experience			
Other information			
Cell number			
Email			
Signature			



14. Facilities / equipment available in the area of research proposed in the Department

Name of equipment	Make and model	Cost in Rs.	Year purchased

15. Budget Estimates – Non Recurring

Proposed equipment/s	Specifications	No of units	Cost in Rs.	Justification
<b>Total(INR)</b>				

16. Budget Estimates –Recurring

	Estimate for Year 1	Estimate for Year 2
AMC/Service charges	Nil (warranty period)	
Consumables & Contingencies		

By signing this certificate, I/We undertake to

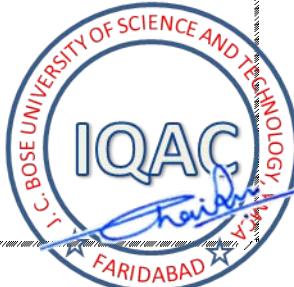
- i. Abide by all the rules / regulations regarding utilization of amount that may be granted by the Institute.
- ii. Submit timely progress reports about grant utilization.
- iii. Submit utilization certificate duly authenticated by CA on/before project period is over.
- iv. Return full/partial unutilized grant amount to the institute.

**Signature of the Applicant**

**Date :**

**Signature of Chairman of the Department**

**Scrutiny report format for the project**



Title of the project:

Department:

Name of Principal Investigator:

Area of Project:

Date of Scrutiny

Reasons of selections/rejection:

- a viable and researchable problem
- an acceptable plan of action for undertaking the research
- done sufficient preparation to establish the rationale for the research
- a feasible chance of completing the research
- originality
- creative thinking
- Budget and cost: Cost effectiveness/ cost

Any other comment:

Research Proposal Scoring

Evaluation comments	Score
All relevant aspects of the criterion are successfully addressed.	5
The criterion is well addressed, although certain improvements are possible.	4
The criterion is broadly addressed, yet significant weaknesses need to be corrected.	3
There are serious weaknesses in relation to the criterion	2
The criterion is addressed in an unsatisfactory manner.	1

Project: Selected/ Rejected

विद्या परम् भूषणम्

Signature of the expert

Name of the expert

Designation

**Report format of the work done on the Research Project. (Report to be submitted after every 8 months)**

1. Project report No. 1st /2nd \_\_\_\_\_
2. Period of report: from \_\_\_\_\_ to \_\_\_\_\_
3. Title of research project \_\_\_\_\_
4. (a) Name of the Principal Investigator \_\_\_\_\_  
(b) Deptt. \_\_\_\_\_
5. Effective date of starting of the project \_\_\_\_\_
6. Grant approved and expenditure incurred during the period of the report:
  - a. Total amount approved Rs. \_\_\_\_\_
  - b. Total expenditure Rs. \_\_\_\_\_
  - c. Report of the work done: (Please attach a separate sheet)
- i. Brief objective of the project \_\_\_\_\_
- ii. Work done so far and results achieved and publications, if any, resulting from the work (Give details of the papers and names of the journals in which it has been published or accepted for publication).
- iii. Has the progress been according to original plan of work and towards achieving the objective? If not, state reasons
- iv. Please indicate the difficulties, if any, experienced in implementing the project
- v. If project has not been completed, please indicate the approximate time by which it is likely to be completed.
- vi. If the project has been completed, please enclose a bound copy of the final report of work done.
- vii. Any other information which would help in evaluation of work done on the project.

At the completion of the project, the first report should indicate the output, such as

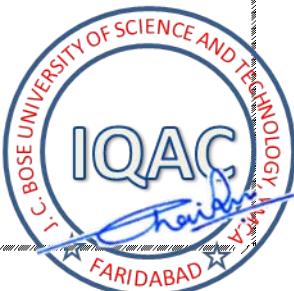
- (a) Manpower trained
- (b) Ph. D. awarded
- (c) Publication of results
- (d) other impact, if any

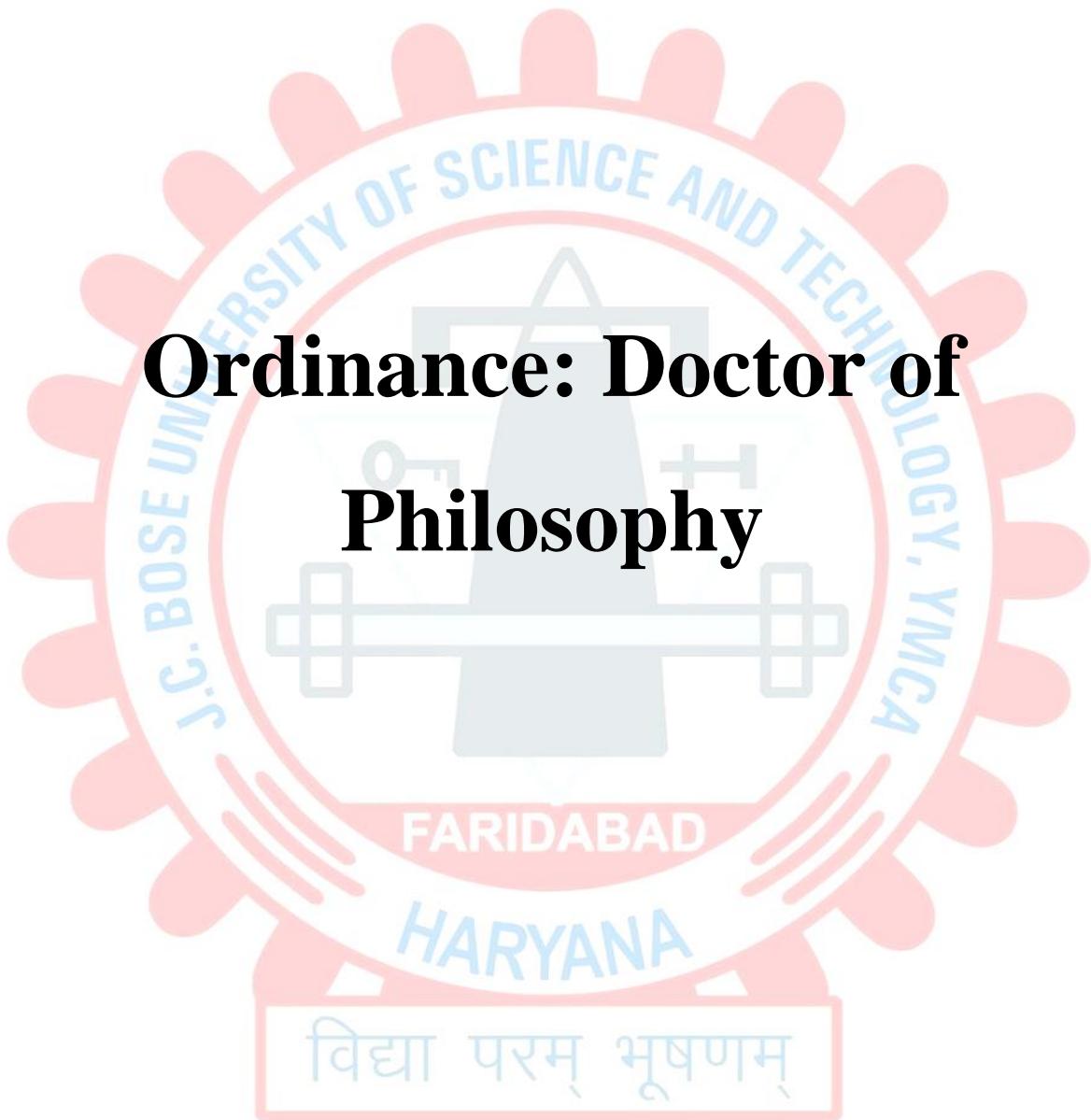
Signature of  
principal investigator

Chairman

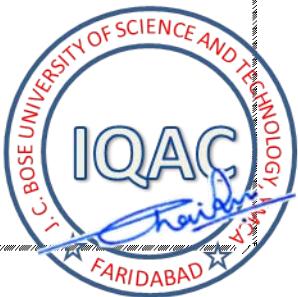
Dean

Signature of  
co-investigator





*Approved in 20th Academic Council Meeting dated 31/08/2020* <sup>26</sup>



## 1. Preamble

The Ph.D. programme is an integral component of the higher technical education in the University. All the teaching departments offer Ph.D. programmes in identified thrust areas which are based on facilities available and market requirements. Each year a consolidated list of number of seats available will be prepared by the University for which the admission to be made as per the process laid down in this Ordinance.

## 2. Locale

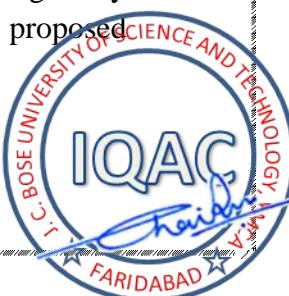
- (i) The degree of Doctor of Philosophy (Ph.D.) shall be granted by the J.C. Bose University of Science & Technology, YMCA, Faridabad in any of the faculties in which PG teaching is imparted on its campus.
- (ii) Subject to general guidelines issued by the Academic Council and overall control of the administration, the research activities for Ph.D. programmes regulated by the various Post-graduate Boards of Studies and Research.
- (iii) The applicants/scholars shall be classified in the following ways :-
  - (a) On the basis of the time devotion to the Ph.D. programme
    - Full time
    - Part-time
  - (b) On the basis of fellowship/scholarship
    - A research scholar getting JCBUST fellowship/scholarship
    - A research scholar receiving fellowship/scholarship from outside organizations such as CSIR, UGC, QIP, DST, AICTE etc.
    - Non fellowship/scholarship

Preference will be given to full time candidates.

## 3. Constitution of Department Research Committee

The Departmental Research Committee (DRC) shall consist of the following provided each qualifies to be a Ph.D. Supervisor:-

- (i) The Chairman of the Department
- (ii) All Professors of the Department
- (iii) Three Associate Professors of the department by rotation, having doctoral degree.  
The term of an Associate Professor will be of 2 years. If such teachers are not available in the department then chairperson of DRC may co-opt members from outside the department/university.
- (iv) Supervisors of the scholars:- They do not, however, constitute the regular members {unless covered under (i) or (ii) or (iii)}. They participate in DRC meetings only when the cases of their respective scholars are taken up. Also, the proposed

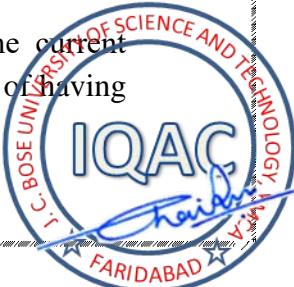


supervisor is to be invited to participate in the DRC meeting when the case of his prospective candidate is taken up.

The chairman of the department shall be the chairman of the DRC. If the chairman does not qualify, the senior most qualifying faculty member of the department will act as the chairman of the DRC.

#### 4. Eligibility

- (i) A candidate for admission to the course of Ph.D. program shall have masters 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 where ever 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 statuary authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institution. The equivalence of the degree will be decided by the Board of Studies (BOS) in the University.
- (ii) 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 are permissible based only on the qualifying marks without including the grace mark procedures.
- (iii) Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
- (iv) 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. The candidates who appeared in regular master's level examination in the current session may also appear in the entrance test. But they must submit the proof of having



passed the examination on the pre-designated date before admission to the Pre-Ph.D. course.

- (v) 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.
- (vi) The state reservation policy shall be followed in Ph.D. Admission.
- (vii) A candidate provisionally registered for Ph.D. shall be required to attend classes for one semester for a Pre-Ph.D. course work.
- (viii) The candidates who are awarded fellowship by the university/outside agency to carry out Ph.D. work, shall be required to stay at university headquarter for whole duration of the fellowship. The chairperson of the department concerned will certify the stay of the candidate.

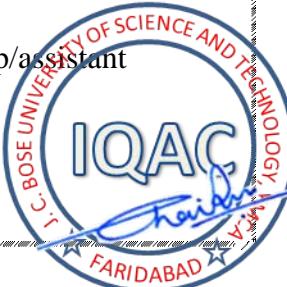
## 5. Additional Eligibility Conditions for Part-Time Ph.D. Admission

- (i) The applicant should be an employee of an educational institute/organization/Industry and must produce No Objection Certificate (NOC) from his/her employer on or before the interview.
- (ii) The candidate proves to the satisfaction of the DRC that his/her official duties permit him/her to devote sufficient time to research.
- (iii) The candidate proves to the satisfaction of the DRC that facilities for pursuing research are available at his/her place of work in the chosen field of research.
- (iv) He/she will be required to visit university (on working days) to meet his/her supervisor in the department at least twice in a month and such visit is to be reported to the chairman- DRC for record.

## 6. Rules for Full Time Ph.D.

The full time Ph.D. program will have following three categories of scholars admitted to program

- (a) A research scholar getting University fellowship / scholarship.
- (b) A research scholar receiving fellowship / scholarship from outside organizations such as CSIR, UGC, QIP, DST, AICTE etc.
- (c) Self-financed A scholar who does not receive financial help like scholarship/assistant ship from university, or from any other source during his Ph.D. program.

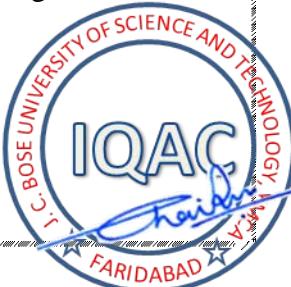


## 6 (i) University Research Scholarship

- I. Each department will have two scholarships every year. The amount of this scholarship shall be Rs.10000/- per month. It will be tenable for two years in the first instance. This scholarship may be extended only for a period not exceeding one year i.e. 3rd year by the Vice- Chancellor on the recommendations of the Committee consisting of the Chairperson, senior most teacher of the Department and the Supervisor of the scholar. Each scholar receiving this scholarship shall also receive a contingency grant of Rs. 5000/- per annum. This scholarship will be awarded on the basis of the merit of the qualifying examinations. In addition to the above, three University Research Scholarships or 20% of the allocated URS whichever is higher will be awarded to SC/ST candidate.
- II. This scholarship shall be awarded on the recommendations of the Selection Committee consisting of the Chairperson of the Department and two members of the department nominated by the Vice-Chancellor.
- III. This scholarship will be awarded from the date of joining in the department before registration including pre-registration period. However, the amount will be payable after his/her registration in the department. Failure to get registered will disqualify the candidate for this scholarship.
- IV. The scholar will be required to do whole-time research work under approved guidance.
- V. The scholar will be required to submit a certificate of progress and satisfactory work, duly countersigned by his/ her Supervisor and recommended by the concerned Chairperson to the Registrar.
- VI. The scholar shall complete the full period of research work. In the event of a scholar discontinuing or giving up his work before the expiry of two years, or before the expiry of the extended period, if extension was allowed, for no valid reason he shall be required to refund to the University the entire amount received by him.

Provided that in very exceptional cases this condition may be waived by the Vice-Chancellor in consultation with the Dean of the Faculty, the Chairperson of the Department concerned and the Supervisor. The scholar shall, execute a Bond with the University in the form prescribed for the purpose giving surety of any of the following:-

- (a) A permanent employee of this University.
- (b) A person possessing property in the jurisdiction of Faridabad Court (mentioning the details of property).
- (c) A permanent employee of the Government.



Provided that the Vice-Chancellor may, on the recommendation of the Chairperson of the Department grant a person who was awarded a University Research Scholarship, leave not exceeding six months and allow him to resume the scholarship on the expiry of this leave to complete the remaining tenure of the scholarship.

Provided further that the Vice-Chancellor may, in very hard and exceptional cases, allow extension in leave for a period not exceeding three months to a Research Scholar to prosecute academic pursuits only.

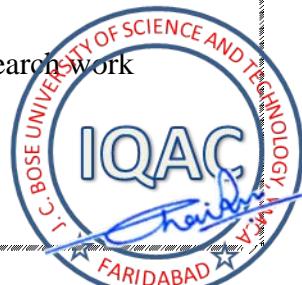
VII. Reports on the satisfactory progress on the work of the scholar shall be submitted to the Board of Studies by the Chairperson of Department concerned once every quarter. The continuance of the Scholarship would depend on the satisfactory progress of work of the Scholars.

### **6 (ii) Leave**

Leave for a maximum of 15 days in a year in addition to general holidays may be allowed to a Research Scholar by the Chairperson of the Department on the recommendation of the Supervisor. The scholar will not be entitled to any vacations. No other leave of any kind with scholarship will be admissible to a Research Scholar.

### **6 (iii) Contingency Grant**

- (a) The contingency grant of Rs. 5000/- per student, per annum may be utilized on apparatus, chemicals, books and journals, Photostat copies, macro films, typing, stationery, postage and field work/ travel needed in connection with the approved research projects with the approval of the Chairperson of the Department on the recommendations of the Supervisor.
- (b) The contingency grant is not intended for making payment of examination and other fees.
- (c) The non-consumable articles purchased out of the contingency grant will be first entered in the accession/ stock register of the Library/ Store of the concerned department and then the articles will be issued to the research scholar (s) so as to ensure that on expiry/ termination/ relinquishment of scholarship, these are returned to the Department
- (d) For all expenditure out of the contingency grant, a certificate from the supervisor duly countersigned by the Chairperson of the Department concerned to the effect that the expenditure incurred is in furtherance of the approved research work will be necessary.
- (e) Travelling allowances for approved field work/ travel in connection with the research work will be admissible according to the rules of the university.



(f) The unspent balance, if any, out of the contingency grant of the previous year will not be carried forward to the next year at any cost.

(g) The grant will be released in the installments in a year i.e. at the rate of Rs. 1500/- half yearly on submission of the bills duly recommended and certified by the Supervisor and the Chairperson of the Department concerned. The bills of each installment will be accepted in the same period for which the grant has been allocated.

*A full time Ph.D. program may be converted to a part time program at the completion of minimum two years. No scholarship will be provided on part time conversion.*

## 7. Part time Ph.D. for sponsored candidates

A part time PhD program will be for candidates with minimum 15 years of experience in reputed industry / organization having R & D facilities, Govt. R&D Departments / National Research Laboratories / Units of Government / Quasi Government / Public sector etc. **Separate guidelines will be issued for these seats.**

## 8. Enrollment

(i) The enrollment to Ph.D. programmes in the teaching departments shall be made once/twice a year through the entrance test conducted by the Controller of Examination. The cut-off date for this will be decided on year to year basis. The applications in the prescribed form shall be submitted by candidates to the Academic section.

(ii) The number of vacancies in various departments will be given on university website and mention of the same will be made in the admission notices for information of the candidates. At the time of notifying the vacancies in newspapers, the number of vacancies for registration shall be indicated course wise.

The eligible candidate shall apply for admission in the prescribed form downloadable from the university website.

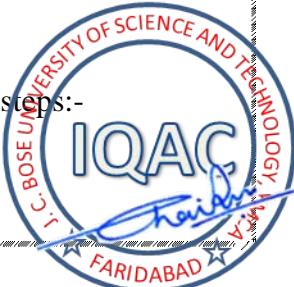
### Duration of the Programme:

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

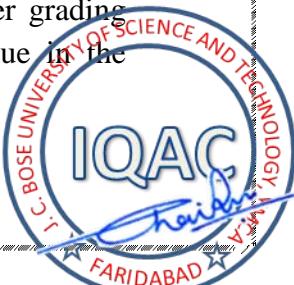
(ii) The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days.

## 9. Procedure for Admission

The procedure for admission to Ph.D. programme shall consist of the following steps:-



- (i) Receipt of applications
- (ii) Scrutiny of the applications by the concerned department
- (iii) 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. The Entrance test will be of 2 hours duration having 80 questions of one mark each of concerned discipline / branch. Entrance Test shall be followed by an interview to be organized by the department concerned.
- (iv) The candidates who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil programme will be exempted from appearing in the entrance test for Ph.D. Programme. However, they will have to appear in the interview as per schedule.
- (v) At the time of interview, doctoral candidates are expected to discuss their research interest/area through a presentation before duly constituted DRC.
- (vi) Only the predetermined number of students will be admitted to Ph.D. programme in a department with provisional registration.
- (vii) The interview/*viva voce* shall also consider the following aspects, viz. whether:
  - a. the candidate possesses the competence for the proposed research;
  - b. the research work can be suitably undertaken at the Institution/College;
  - c. the proposed area of research can contribute to new/additional knowledge
- (viii) After having admitted, each provisionally registered Ph.D. student shall be required to pass pre-Ph.D. course work of one semester (minimum attendance required is of 75%). The course work shall include a compulsory course on :-
  - a. Research methodology (credit 4) including quantitative methods and computer applications
  - b. Course suggested (credit 4) by DRC and supervisor
  - c. The course work will also include reviewing of published research in the relevant field. The Departments should submit the report in their BOS in this regard.
- (ix) For admission to Pre-Ph.D. course work the candidate will be required to deposit fee as prescribed by the university.
- (x) 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
- (xi) 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.
- (xii) A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.



(xiii) The evaluation of Pre-Ph.D. examination will be got done internally. The result will be declared within one month of Pre-Ph.D. examination. Reappear examination for Pre. Ph.D. course shall be conducted along with the other semester exams. The candidates attaining less than the minimum qualifying CGPA will have to qualify with minimum CGPA requirement for confirmation of registration within two years.

A student admitted to the Ph.D. Programme shall be required to clear the course work within the first two consecutive semesters. The name of a student admitted to pre-Ph.D./Ph.D. programme may be removed from the roll of the University after two semesters at the recommendation of the concerned chairperson.

(xiv) The presentation of Synopsis by the candidate will be before DRC of the department as per the schedule decided by the department concerned. In the synopsis student should mention the broad area of research and tentative topic of the research. The final topic of the research will be submitted by the student before six months of submission. The BOS will consider and approve the synopsis of all candidates and shall confirm the registration by the date of approval by DRC.

(xv) The Vice-Chancellor may cancel the registration of a candidate at any time, after the issue of a due show-cause notice, on disciplinary or any other grounds, which are considered to be not in consonance with the dignity and behavior of a research scholar or non-payment of hostel or any other dues.

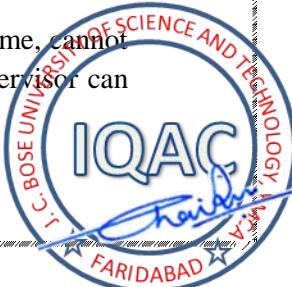
## 10. Cancellation Rules

- (i) If the candidate is not able to submit the fees, the accounts section should send his/her name to the respective department and department will issue a letter to the candidate. If the candidate will not submit fees after two consecutive semesters his/her name may be struck off from the rolls of University after the recommendation of chairman and supervisor.
- (ii) If the candidate fails to submit his/her progress report after every semester, after two consecutive such semesters, DRC may recommend the cancellation of admission.
- (iii) In case two consecutive six monthly reports are unsatisfactory, DRC may recommend for cancellation of the registration.
- (iv) If the supervisor feels that the candidate lacks interest and motivation for research after completion of course work, he can recommend his/her case to the DRC and DRC can recommend for cancellation of admission.

Finally, the Academic Council, on the recommendation of the DRC, may cancel the registration of a research scholar.

## 11. Allocation of Supervisor/Co-Supervisor

- (i) Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can



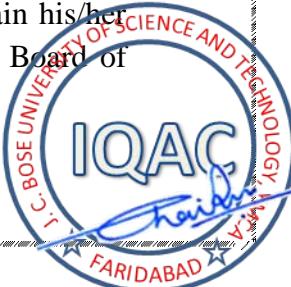
guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. Teachers working in JCBUST and approved faculty in recognized colleges affiliated to this university with Ph.D. degree and one year post Ph.D. experience with proven research record in the form of 05 research publications shall be permitted to act as supervisor on the recommendation of Board of Post Graduate Studies and Research. The Vice-Chancellor may permit these limits to exceed marginally on special ground to be recorded. No fresh registration will be allowed by BOS/AC to teachers who proceeded on extra ordinary leaves.

The allocation of research supervisor for a selected research scholar shall be decided by the department concerned depending upon the number of scholars per supervisor, the available specialization among the supervisors and research interest of the scholars as indicated by them at the time of interview/Viva voce.

- (ii) Scientist/Researchers/Faculty working on regular basis in various IIT/NIT/Research Laboratories/Industrial Establishments (which are recognized by JCBUST/Central university/state govt university/govt. aided institutions/Directorate of technical Education (DTE) with Ph.D. degree shall, however, be permitted to act as co-supervisor. The prior consent of the co-supervisor shall be obtained before registration.
- (iii) The faculty member to be appointed as supervisor or co-supervisor shall not be a spouse/blood relation of the research scholar to be registered for Ph.D. course.
- (iv) In case of relocation of Ph.D. women 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 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 the funding agency. The scholar will however give the credit to the parent guide and the institution for the part of research already done.
- (v) The teacher(s) on extra ordinary leaves may continue to guide the candidates registered for Ph.D. programme under his/her supervision in the university. If the supervisor(s) of a candidate leave(s) the university before the completion of the research work or is/are otherwise unable to see the work through, due to some valid reasons, the Vice-Chancellor may allow change of the supervisor, as chosen by the candidate, on the recommendation of the DRC, if it is considered that the change of supervisor is in the interest of the completion of the work.

## 12. Evaluation and Assessment Methods

- (i) Research Scholar shall submit progress report along with the presentation in every six months before DRC.
- (ii) Every supervisor shall, through the chairperson of the department, send to the chairman Board of Post Graduate Studies and Research annually (at the end of September) a report of research work done by the research scholar during the said period.
- (iii) If the work of a research scholar is found unsatisfactory at any stage as reported by the supervisor(s), the DRC shall give him or her an opportunity to explain his/her position and make suitable recommendation including de-registration. The Board of



Post Graduate Studies may then recommend cancellation of his or her registration to the appropriate bodies.

(iv) No candidate shall join any other regular course of study or appear at any examination while conducting research. The Vice-Chancellor may, however, allow a candidate to appear in any examination or to attend a course which is conducive to his or her research and is of minor nature, including improvement of any previous result.

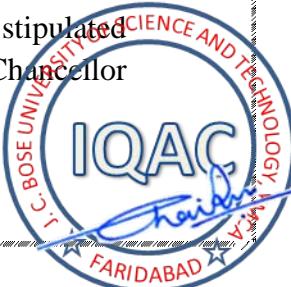
### 13. Pre-submission of Thesis

(i) A Pre-Ph.D. submission is an essential requirement to assess the contents of the Thesis before the committee. On completion of the research work and complying with the submission requirements, the candidate shall submit to Supervisor(s), a copy of the extended synopsis (**Annexure A**) of his research work.

(ii) If supervisor(s) is / are satisfied that the research work has been completed as per pre-defined objectives and the research scholar meets the eligibility criteria for Pre-Ph.D. submission including published work (*two research papers in reputed journals and two papers in the conferences/seminars during the period of registration in the form of acceptance letter or the reprint*), he/she/they shall forward the same with the certificate (**Annexure B**) through the chairperson to the dean of the faculty concerned. **“One research paper in any SCI, Scopus, Web of sciences journals and one research paper in a reputed journal in the form of acceptance letter or reprint”.**

The extended synopsis and other concerned papers of the research scholar shall then be forwarded to Dean R & D for verification as per checklist (**Annexure C**). The file would then be routed back within three working days. Dean of faculty concerned would formulate a 3-5 member committee of the concerned department comprising of at least 2 Professors, Associate professor and Assistant professor possessing Ph.D. degree for conduct of Pre-Ph.D. presentation, the date and time for the same would be fixed in consultation with supervisor (except on holidays and vacations). Pre-Ph.D. presentation of the research scholar shall be in the presence of faculty members, research scholars and PG students. One external member/ expert may be nominated for the same in case numbers of cadre are not available in the department. The committee would submit report of the pre Ph.D. presentation as per format (**Annexure D**) to the concerned chairperson along with extended synopsis and submit its recommendations to the dean of faculty as under:

(a) If the committee is fully satisfied with the research work completed by the research scholar, through DRC it will recommend to BOS to allow the research scholar to write his / her thesis and submit the final draft within 6 months from the date of clearance by BOS. The thesis can be submitted only after two months from the date of recommendation by DRC. If a candidate fails to submit the thesis in stipulated period, then extension in submission period can be provided by the Vice-Chancellor



on the recommendation of BOS. If the research scholar even then fails to submit his / her thesis within a stipulated period of 8 months, he / she will have to submit the thesis after making Pre-Ph.D. submission presentation again.

(b) If committee is not satisfied with the research work done by the research scholar, it will advise the research scholar to make the specific changes / undertake additional research work and resubmit the extended synopsis.

(iii) Notice for Pre-Ph.D. submission presentation must be issued by the office of Dean R & D with the approval of the dean concerned, date in consultation with the concerned chairperson and supervisor, **at least 7 working days in advance**.

(iv) The final report of the committee and all other papers will be submitted to office of **Dean R & D** for records.

## 14. Submission of Thesis

(i) When a research scholar is ready to submit his or her thesis for evaluation, he or she shall obtain a certificate from his or her supervisor to this effect and shall apply to the chairperson.

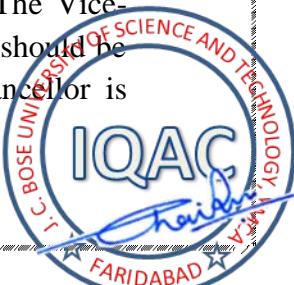
(ii) The Ph.D. candidate shall submit three soft bound (format given in Annexure A-1) and soft copy stored on CD to the concerned department. Four hard bound copies shall be submitted after the final viva.

(iii) The candidate should also submit to the chairperson six copies of the summary of the thesis each indicating how far the thesis embodies the results of his or her own research or observation and in what respect his or her investigations appear to him or her to advance the study of the subject of his or her thesis. This will be done two weeks before the meeting of the BOS.

(iv) The Board of Studies shall approve a panel of 10 specialists (examiners) of Professors rank either working or retired from Govt. / Govt. aided Institute / Govt. Universities / IITs / NITs/ Central R & D Organization / Govt. Departments in the relevant field, out of which 5 specialists (examiners) will be from local states (Haryana, Punjab, Rajasthan and NCR Delhi) and 5 from outside states and country. However, the examiner shall not be from University / Institute of the Supervisor / Candidate and will not be related to them. Member of BOS shall be avoided as an examiner / evaluator of the thesis. The BOS is free to include or change the names of the examiners.”

(v) The chairperson of the department shall send this examiner's list (sealed envelope), duly signed by the members of the BOS, along with the copies of the thesis and summary to the office of dean R & D. After verifying the check list (see Annexure 2), the office of dean R & D shall forward this to the examination branch.

(vi) The COE shall forward this examiner's list to the Vice-Chancellor. The Vice-Chancellor shall appoint finally three examiners, out of which at least one should be outside the state and one should be outside the country. The Vice-Chancellor is



authorized to appoint examiners from outside the panel forwarded by the BOS. The examination branch shall seek the consent of the examiners, if any of the examiner(s) show his/her inability to evaluate the thesis then the consent may be obtained from other examiner(s) approved by the Vice-chancellor. If the reply regarding the consent is not received within a month then the examination branch can communicate with the other examiner after the approval of the Vice-Chancellor.

(vii) If any examiner does not reply even after three months, two reminders should be given to him at the gap of one month by COE and after that the thesis may be sent to the next examiner after the approval of Vice Chancellor. The entire process of evaluation of Ph.D. thesis should be completed within a period of six months from the date of submission of the dissertation/thesis.

The evaluator will state categorically whether in his or her opinion:

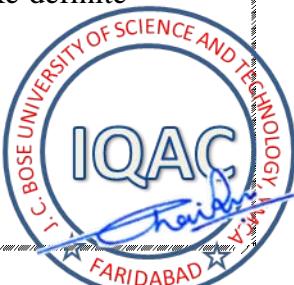
- (a) Thesis should be accepted for the award of Ph.D. Degree;  
OR
- (b) It should be referred to candidate for presenting it again in revised form;  
OR
- (c) It should be rejected.

(viii) The evaluator shall state reasons for approval or rejection of the thesis. If he or she recommends re-submission /rejection, he or she shall specifically indicate what modifications he or she wants the candidate to effect and incorporate in the thesis. If all the examiners recommend the award of degree, they may also give in their report a set of questions which they would like to put to the candidate at the time of viva-voce. In case two of the examiners rejects the thesis the Vice Chancellor will send the thesis for evaluation to the another examiner. If only one of the examiners recommends re-submission with modification, in that case the candidate shall be asked to modify the thesis and submit the same after having carried out all the modifications within a year with a certificate from the supervisor(s) that all the modifications have been carried out as suggested by the examiner.

(ix) A re-submitted thesis shall be examined by the examiner(s) who evaluated the original thesis unless any of them is unable or unwilling to do so in which case substitute(s) shall be appointed from the panel by the Vice-Chancellor. The examiner(s) for the revised thesis will only see whether the objections raised have been met or not.

(x) A candidate whose thesis is rejected shall not be registered again for the Ph.D. degree with the same topic.

(xi) The examiner for a thesis shall indicate in their report whether the thesis is fit for publication in its original or modified form. In the later case, he shall make definite suggestions for improvement.



(xii) If all examiners recommend award of the degree, the candidate shall be examined through viva-voce examination by one of the examiners, to be nominated by the Vice-Chancellor. If all the examiners are unable or unwilling to conduct the viva-voce examination another person will be approved for the purpose by the Vice-Chancellor from the panel already approved by PG Board of Studies.

(xiii) The viva-voce examination shall be conducted by the external examiner and will be held in the department concerned at JC Bose University of Science & Technology, YMCA Faridabad unless otherwise approved by the Vice-Chancellor. All the teachers including supervisor/ co-supervisor and research scholars will be invited to attend the viva-voce examination. The viva-voce examination will be based on the questions given by all the examiners. The candidate will openly defend the thesis in viva-voce examination.  
The viva-voce examination of the candidate should be on **any working** day and Saturday in consultation with the examiner and supervisor. Notice for Ph.D. viva must be issued **at least 7 working days in advance**.

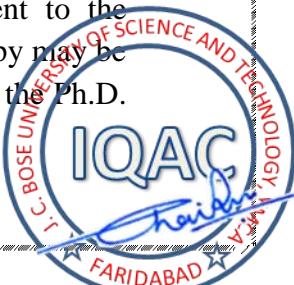
(xiv) After the viva-voce examination, the reports of all the examiners shall be placed before the research degree committee consisting of the Vice-Chancellor, the Dean of the Faculty concerned, chairperson of the university teaching department and one of the supervisor/co-supervisor. It shall be the function of the committee to consider the reports and to recommend to the Academic Council, whether;

- (a) The degree be awarded;  
OR
- (b) The thesis be revised and resubmitted for re-examination;  
OR
- (c) The thesis be rejected.

(xv) Further, provisional degree shall be issued from the date of meeting of research degree committee to such students in whose cases the research degree committee has recommended for award of Ph.D. Degree. Along with the degree, the university shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions to the UGC (Minimum Standards and Procedures for the award of Ph.D. Degree) Regulation, 2009 for PhD candidates registered before July 5, 2016; While those registering after July 5, 2016 will be awarded in accordance with the regulations of 2016.

(xvi) Controller of Examination, Dean (R&D) be added in Research Degree Committee (RDC) and COE will act as Member Secretary of this Committee. Further, COE will issue notification of the candidates whose Ph D degree is recommended by RDC within 7 working days of RDC meeting to all concerned.

(xvii) After finalization of the award of Ph.D. Degree, one copy will be sent to the University Library and the other to the Departmental Library. The third copy may be returned to be candidate. Further, the university shall submit a soft copy of the Ph.D.



thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all institutions/universities.

(xviii) No thesis shall be published without the prior permission of the university. The research scholar may apply to the chairperson of the department for permission to publish his or her thesis. The chairperson will place the request before the DRC which shall satisfy itself that the thesis is in publishable form. It will be guided by the reports of the examiners. A certificate will be obtained from the supervisor to the effect that the necessary improvements suggested by him or her and the examiners have been duly carried out. All the published thesis will be put on university website and will include catalogue and abstract of the thesis.

(xix) The Academic Council, on the recommendation of the Vice-Chancellor, shall have the right to withdraw the degree if plagiarism or duplication or any other form of malpractice is detected at any stage and to initiate such further action as it deems fit. Provided that the Vice-Chancellor shall get the complaint in the matter investigated confidentially and shall give the accused an opportunity to explain before he makes his recommendation on the matter to the Academic Council. There shall be no limitation of time for this action of the Academic Council.

(xx) Research Promotion Board (RPB) has the final authority to take decisions for the promotion of research in the University.

## 15. Fee Structure

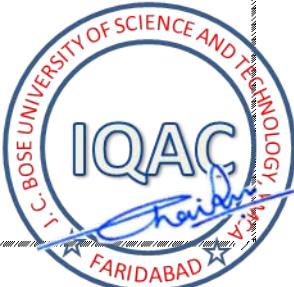
Fees to be paid by Pre-Ph.D. or Ph.D. candidate during the Ph.D. programme will be as laid down by the University from time to time.

Current Fee structure is as follows:

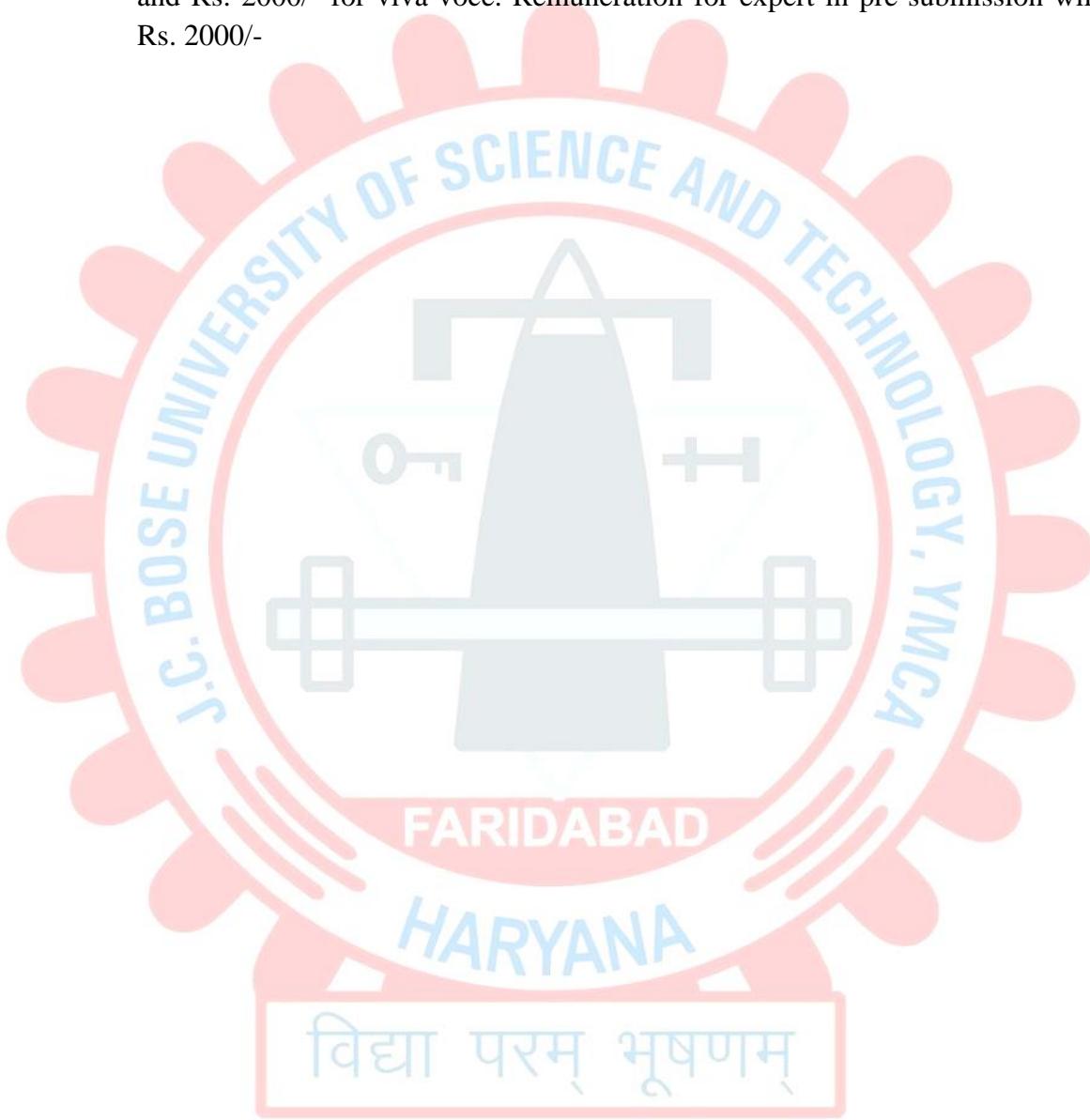
- i) Fee for Pre Ph.D. Course: Rs. 10000/-
- ii) Registration fee: Rs. 3000/- one time.
- iii) Tuition fee: Rs. 10000/- per semester.
- iv) Tuition fee (for University Employees): Rs. 5000/- per semester.
- v) Caution Money (Refundable): Rs. 5000/- one time.
- vi) Full fee is required to be paid for the semester upto pre-submission. In case the thesis is submitted by the scholar beyond stipulated period of six months of pre-submission, full fee of the next semester shall be payable.

During the registration period, the Ph.D. Scholars are required to deposit their semester & other fees on or before 30<sup>th</sup> September and March. Otherwise late fee for delayed payment will be as under:

- a) upto 90 days: Rs. 1000/-
- b) from 91 days to semester end: Rs. 2000/-
- c) For more than one semester: Rs. 5000/- per semester



- vii) Caution money / fee deposited for Ph.D. programme by the scholars will be refunded by the Accounts Branch of the university as per procedure of UG/PG courses on the recommendations of Chairperson / Director of the department / school concerned.
- viii) Remuneration payable to each examiner will be Rs. 3000/- for evaluation of thesis and Rs. 2000/- for viva-voce. Remuneration for expert in pre-submission will be Rs. 2000/-



## Guidelines for Submission of Extended Synopsis

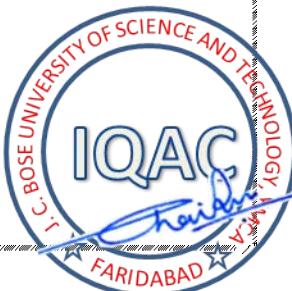
The Extended Synopsis should broadly indicate the work done, objectives proposed and achieved, methodology adopted and outcomes in chapter wise description. In general, the following should be the sequence of Extended Synopsis:-

1. Cover Page
2. Certificate by Supervisor
3. Content Page
4. Summary/Introduction
5. Research Objectives
6. Organization of proposed thesis (chapter wise)
7. Contribution
8. Scope for further work

The Extended Synopsis should typically be 15 to 20 pages (excluding title pages). It should be neatly typed on both sides in Times New Roman Font of size 12 with 1.5 spacing.

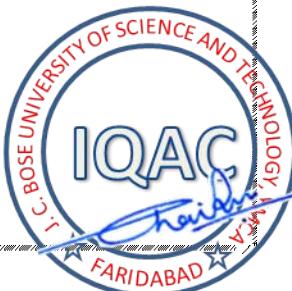
The general guidelines are as follows:

1. Synopsis must be unambiguous. Title of the Synopsis must be as approved by DRC/BOS.
2. The objectives and methodology of the research should be started in bullet form/itemized.
3. The entire text should be grammatical correct and must be at a reasonable language level.
4. The Synopsis must clearly mention the expected outcomes of the research.
5. Synopsis must be accompanied with a Certificate duly signed by Supervisor and countersigned by Chairperson concerned testifying therein that the entire text of the Synopsis has been read thoroughly and it is as per the guidelines.



Certificate from research supervisor(s) stating that

- (i) Two research papers in reputed journals and two papers in the conferences/seminars during the period of registration in the form of acceptance letter or the reprint) from which one research paper is in any SCI, Scopus, and Web of sciences journals.
- (ii) There is *prima facie* case for the submission of the thesis and the thesis does not contain any work, which has been previously submitted for the award of any degree anywhere.
- (iii) Undertaking from the candidate as well as research Supervisor(s) shall mention that: “The thesis is based on the individual, original work of the candidate, which is previously unpublished research work”.
- (iv) It shall be ensured by the research supervisor(s) that: the thesis shall not contain any material that infringes the copyright of any other individual or organization and does not hurt the sentiments of any individual(s) or religion(s). The information such as text, tables, equations, diagrams, figures, charts, graphs, and photographs taken from sources such a published work, like research papers, books, periodicals, web Sites or other sources has been cited appropriately. Further, the opinions expressed or implied in the thesis shall be entirely of the candidate.



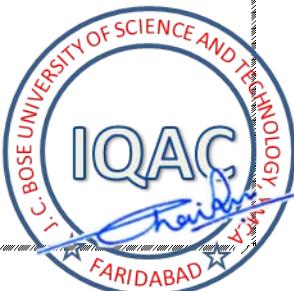
**Check List for Students/ R&D/ Academic Section at the time of pre submission**

1. Minimum duration of three years, including course work and a maximum of six years.
2. Research Scholar should submit progress report every six months. Minimum 05 satisfactorily progress report is required for thesis submission. Copy of every progress report should be send periodically to academic section for records.
3. Pre-Ph.D. course work certificate /DMC with a 55% or above marks or its equivalent grade in the UGC 7-point scale.
4. 6 copies of extended synopsis.
5. Two research paper (along with the cover page and contents list of that issue) from which one research paper is in any SCI, Scopus, and Web of sciences journals, during the period of registration in prestigious refereed international journal in the research area. The candidate should be the main author in the paper. The List of Publication out of thesis should be divided into three categories:
  - (i) List of Published papers
  - (ii) List of accepted papers
  - (iii) List of communicated papers

The format of the list is given below

S.No	Title of the paper along with volume, Issue No, year of publication	Publisher	Impact factor	Referred or Non-Referred	Whether you paid any money or not for publication	Remarks

6. Patents, if any



Pre-submission Seminar Report

**Thesis examination is unable to commence until the pre-submission seminar has been completed.**

**Candidate details:**

Name of the candidate

Student Registration  
No:

Faculty:

Department:

Family Name:

 Title: 

Supervisor/s:

Date of Registration:

 / 

Title of the thesis

**Section A: Committee Report**

**Members of the Committee**

	Name
1.	
2.	
3.	
4.	
5.	

### Oral presentation

On what date was the oral presentation given?

/	/
---	---

Did the candidate provide a satisfactory oral presentation of at least 20 minutes?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Did all members of the review panel attend the oral presentation?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

### Written submission

Did candidate meet the guidelines for the written submission including any additional requirements of the faculty and/or Department?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Comments:

### Overall feedback

(If insufficient space below, please attach further information to this form)

Comment on the quality of the content and delivery of the candidate's written and oral presentation.

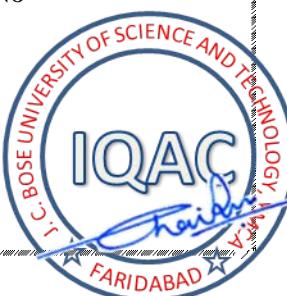
Committee shall give specific Recommendation: *Whether the candidate is allowed to submit his/her thesis as per the presentation of the work or modification are required.*

The research work is of high standard, novel and sufficient for the submission of the thesis

Yes/No

### Signatures of committee members

46  
Approved in 20th Academic Council Meeting dated 31/08/2020



**JC Bose University of Science & Technology, YMCA Faridabad**

Faculty of .....

**FORMAT TO BE USED FOR Preparation of Ph.D. Thesis**

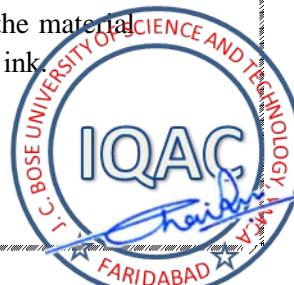
**1. ARRANGEMENT OF CONTENTS:**

The sequence in which the thesis material should be arranged and bound should be as follows:

1. Cover page
2. Inner cover page
3. Dedication (optional)
4. Candidate's Declaration
5. Certificate of the supervisor
6. Acknowledgement
7. Abstract
8. Table of contents
9. List of tables
10. List of figures/graphs
11. List of photographs
12. List of abbreviations
13. Body of the thesis
14. References
15. Appendices
16. Brief bio data of the research scholar
17. List of publications out of thesis

**2. PAGE DIMENSION, TYPING AND BINDING SPECIFICATIONS**

- a. The dimension of the thesis should be in A4 size
- b. The Thesis should be hard bound with cover page printed on it in specified format.
- c. Photographs, if necessary, should be suitably mounted on the same quality paper as the thesis.
- d. The typing of cover page, title page, declaration of candidate, certificate of supervisor and name of chapters should be only on one side of the paper whereas the other printing should be on both sides of the paper.
- e. The chapter numbers should be indicated in Roman.
- f. Three copies of the thesis in soft bound and soft copy stored on CD. In case of candidate being supervised by more than one supervisor, appropriate number of additional copies must be submitted.
- g. The colour of the binding (in hard) would be Red. The cover should have the material indicated in the item 'b' above printed on it and should be written with golden ink.

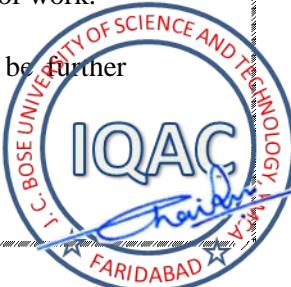


- h. The general text shall be typed in the font style ‘Times New Roman’ and Font size 12. Use 1.5 spacing between the regular text and quotations.
- i. **FONT**
  - REGULAR TEXT** – Times Roman 12 pts. And normal print
  - CHAPTER HEADING**- Times Roman 16 pts., bold print and all capitals
  - SECTION HEADINGS**- Times Roman 12 pts., bold print and all capitals
  - SUBSECTION HEADINGS** – Times Roman 12 pts., bold print and leading capitals i.e. only first letter in each word should be in capital. Single line spacing should be used for typing the general text.
- j. The margins for the regular text should as follows:  
Front Side - LEFT = 1.50", RIGHT = 1.00", TOP = 1.00", BOTTOM = 1.00"  
Back Side - LEFT = 1.00", RIGHT = 1.50", TOP = 1.00", BOTTOM = 1.00"

### 3. PREPARATION FORMAT

- 3.1 Cover Page - A specimen copy of the cover page of thesis is given in Appendix-1.
- 3.2 Inner Cover Page - A specimen copy of the inner cover page of thesis is given in Appendix-2.
- 3.3 Dedication - A specimen copy is given in Appendix-3.
- 3.4 Candidate’s Declaration – A specimen copy of Declaration certificate is given in Appendix-4.
- 3.5 Certificate of the supervisor – A specimen copy of Title page of certificate is given in Appendix-5. The certificate shall carry the supervisor’s signature and shall be followed by the Supervisor’s name, academic designation department etc.
- 3.6 Acknowledgment – A specimen copy of Acknowledgement certificate is given in Appendix-6.
- 3.7 Abstract – Abstract should be one or 2 pages synopsis of the thesis typed in one and a half line spacing, Font Style Times new Roman and Font Size 12. A specimen copy abstract of the thesis is given in Appendix-7.
- 3.8 Table of contents – The table of contents should list all material following it as well as and material which precedes it. One and a half spacing should be adopted for typing the matter under this head. A specimen copy of the Table of Contents is given in Appendix-8
- 3.9 List of Tables – The list should use exactly the same captions as they appear above the tables in the text. One and a half spacing should be adopted for typing the matter under this head. A specimen copy of the list of Tables is given in Appendix-9.
- 3.10 List of Figures – The list should use exactly the same captions as they appear below the figures in the text. One and a half spacing should be adopted for typing the matter under this head. A specimen copy of the List of Figures is given in Appendix-10.
- 3.11 List of photographs –A specimen copy of the List of photographs is given in Appendix-11.
- 3.12 Body of the thesis - The chapters may be broadly divided into 5 parts (i) Introductory chapter including over view of the concerned area and organization of the thesis (ii) Literature review (iii) Scope and objective, methodology of the thesis (iv) Chapters developing the main theme of the thesis work (v) Conclusion and future scope of work.

The main text will be divided into several chapters and each chapter may be further divided into several divisions and sub-divisions.



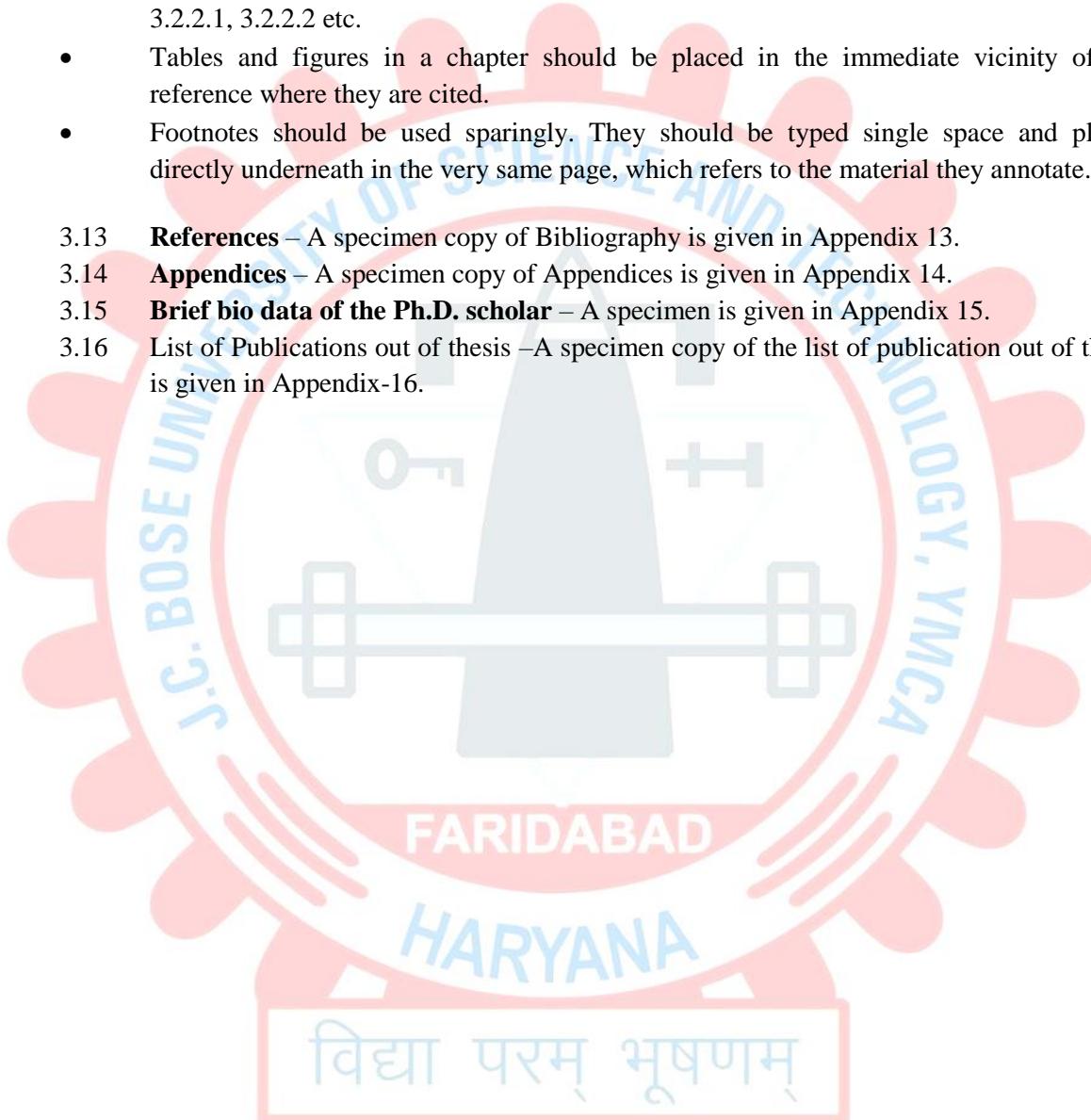
- The chapter title is the first-order heading. A chapter may be divided into section each of which has a section title (second-order heading). For example, in Chapter 3, the sections will be numbered 3.1, 3.2, etc. If at all possible do not further subdivide a section.
- Use subsections (third-order headings) only if unavoidable. For instance, in section 3.2, the subsections will be numbered 3.2.1, 3.2.2, etc. Do not further subdivide beyond this point For example, subsection 3.2.2 may not be further divided into sub-subsections 3.2.2.1, 3.2.2.2 etc.
- Tables and figures in a chapter should be placed in the immediate vicinity of the reference where they are cited.
- Footnotes should be used sparingly. They should be typed single space and placed directly underneath in the very same page, which refers to the material they annotate.

3.13 **References** – A specimen copy of Bibliography is given in Appendix 13.

3.14 **Appendices** – A specimen copy of Appendices is given in Appendix 14.

3.15 **Brief bio data of the Ph.D. scholar** – A specimen is given in Appendix 15.

3.16 List of Publications out of thesis –A specimen copy of the list of publication out of thesis is given in Appendix-16.



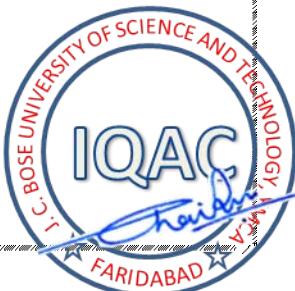
**Check List for Students/R&D Section at the time of submission**

1. Minimum duration of three years, including course work and a maximum of six years.
2. Research Scholar should submit progress report every six months. Minimum 05 satisfactorily progress report is required for thesis submission. Copy of every progress report should be send periodically to academic section for records.
3. Pre-Ph.D. course work certificate /DMC with a 55% or above marks or its equivalent grade in the UGC 7-point scale.
4. 6 copies of extended synopsis.
5. Two research paper (along with the cover page and contents list of that issue) from which one research paper is in any SCI, Scopus, and Web of sciences journals, during the period of registration in prestigious refereed international journal in the research area. The candidate should be the main author in the paper. The List of Publication out of thesis should be divided into three categories:
  - (i) List of Published papers
  - (ii) List of accepted papers
  - (iii) List of communicated papers

The format of the list is given below

S.No	Title of the paper along with volume, Issue No, year of publication	Publisher	Impact factor	Whether Referred or Non-referred	Whether you paid any money or not for publication	Remarks

6. Plagiarism report (not more than 10%) and certificate by supervisor and Chairman.
7. Thesis submission fee of Rs. 3500/-
8. No Dues Certificate from all the concerned departments/sections.



**APPENDIX 1 & 2**

**TITLE OF THESIS**

<Font Size 18><1.5 line spacing>

**THESIS**

<Font Size 14><1.5 line spacing>

**submitted in fulfillment of the requirement of the degree of**

<Font Size 14><Italic>

**DOCTOR OF PHILOSOPHY**

<Font Size 16>

**to**

<Font Size 14 ><Italic>

**JC BOSE UNIVERSITY OF SCIENCE & TECHNOLOGY, YMCA FARIDABAD**

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**FARIDABAD**

**by**

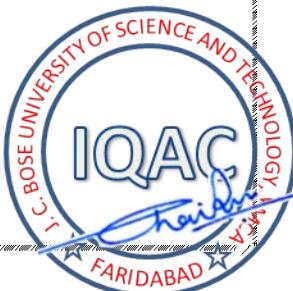
<Font Size 14 ><Italic>

**NAME OF THE CANDIDATE**

<Font Size 14>

Registration No.

**Under the Supervision of**



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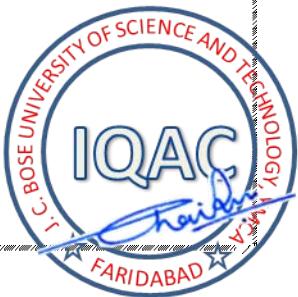
**NAME OF THE SUPERVISOR**

**DESIGNATION OF SUPERVISOR**

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*Approved in 20th Academic Council Meeting dated 31/08/2020* 52



## APPENDIX 3

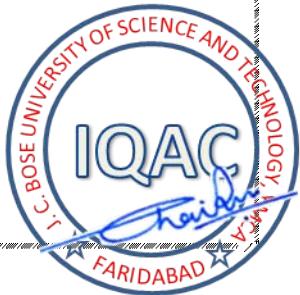
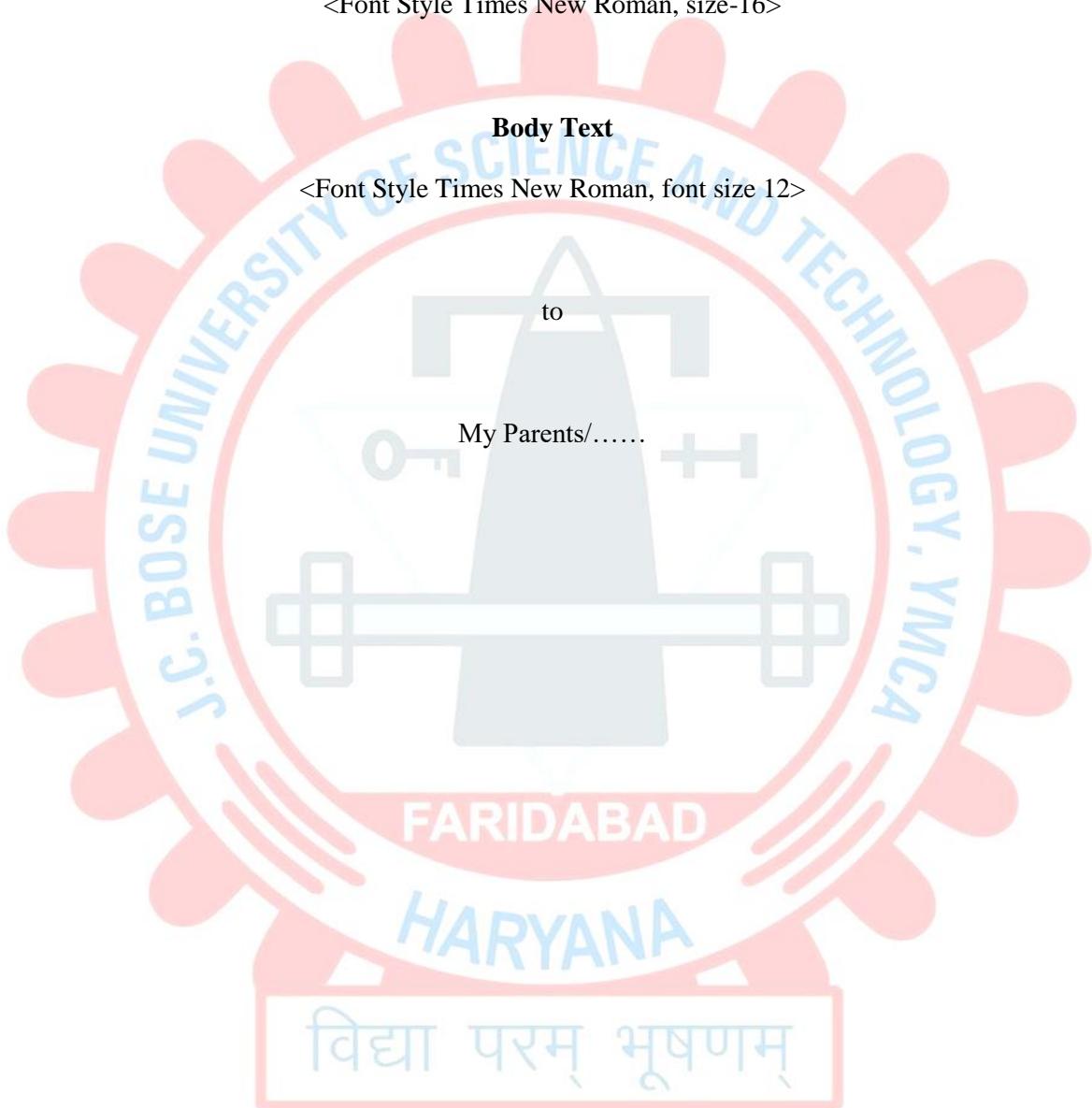
### DEDICATION

<Font Style Times New Roman, size-16>

Body Text

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My Parents/.....



## APPENDIX 4

(A typical specimen of Acknowledgement)

### DECLARATION

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Body Text

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I hereby declare that this thesis entitled <TITLE OF THESIS> by <NAME OF STUDENT>, being submitted in fulfillment of the requirements for the Degree of Doctor of Philosophy in <NAME OF THE BRANCH> under Faculty of \_\_\_\_\_ JC Bose of University of Science & Technology, YMCA Faridabad, during the academic year \_\_\_\_\_, is a bona fide record of my original work carried out under guidance and supervision of **NAME OF SUPERVISOR, DESIGNATION, DEPARTMENT** and has not been presented elsewhere.

I further declare that the thesis does not contain any part of any work which has been submitted for the award of any degree either in this university or in any other university.

(Name of Student)

Registration No. \_\_\_\_\_



**CERTIFICATE**

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This is to certify that this Thesis entitled **<TITLE OF THESIS>** <by **NAME OF STUDENT**>, submitted in fulfillment of the requirement for the Degree of Doctor of Philosophy in **<NAME OF THE BRANCH>** under Faculty of \_\_\_\_\_ JC Bose of University of Science & Technology, YMCA Faridabad, during the academic year \_\_\_\_\_, is a bonafide record of work carried out under my guidance and supervision.

I further declare that to the best of my knowledge, the thesis does not contain any part of any work which has been submitted for the award of any degree either in this university or in any other university.

**(Signature of Supervisor)**

Name of Supervisor

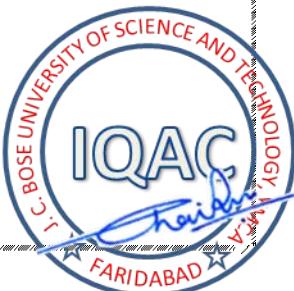
**DESIGNATION**

Department of \_\_\_\_\_

Faculty of \_\_\_\_\_

JC Bose University of Science & Technology,  
YMCA Faridabad,

Dated:



## ACKNOWLEDGEMENT

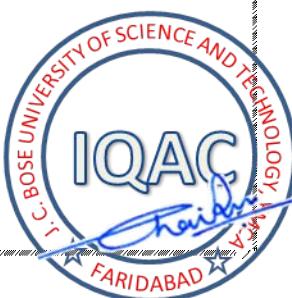
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I would like to express my sincere gratitude to my Supervisor <Name of Supervisor> / Joint Supervisor <Name of Joint Supervisor> for giving me the opportunity to work in this area. It would never be possible for me to take this thesis to this level without his/her innovative ideas and his/her relentless support and encouragement.

(Name of Student)  
Registration No. \_\_\_\_\_

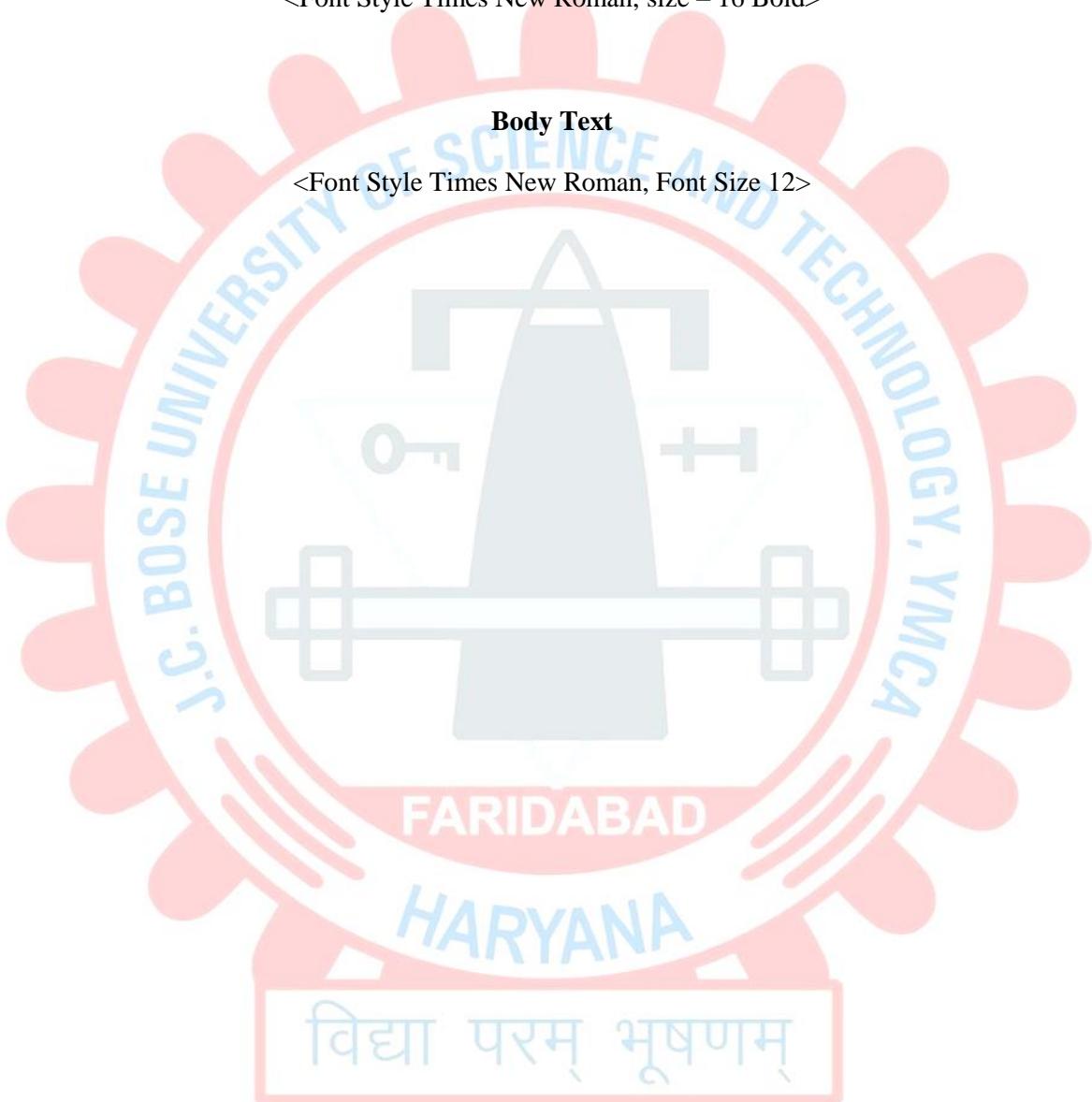


## ABSTRACT

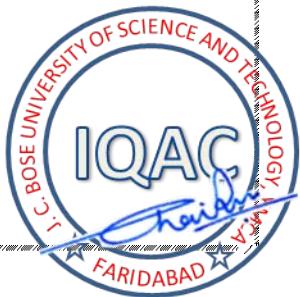
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## Appendix 8

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#### Contents /Body of Thesis

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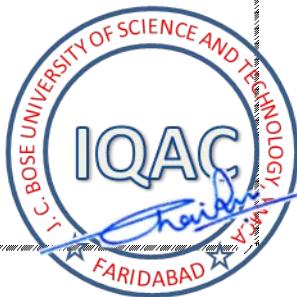
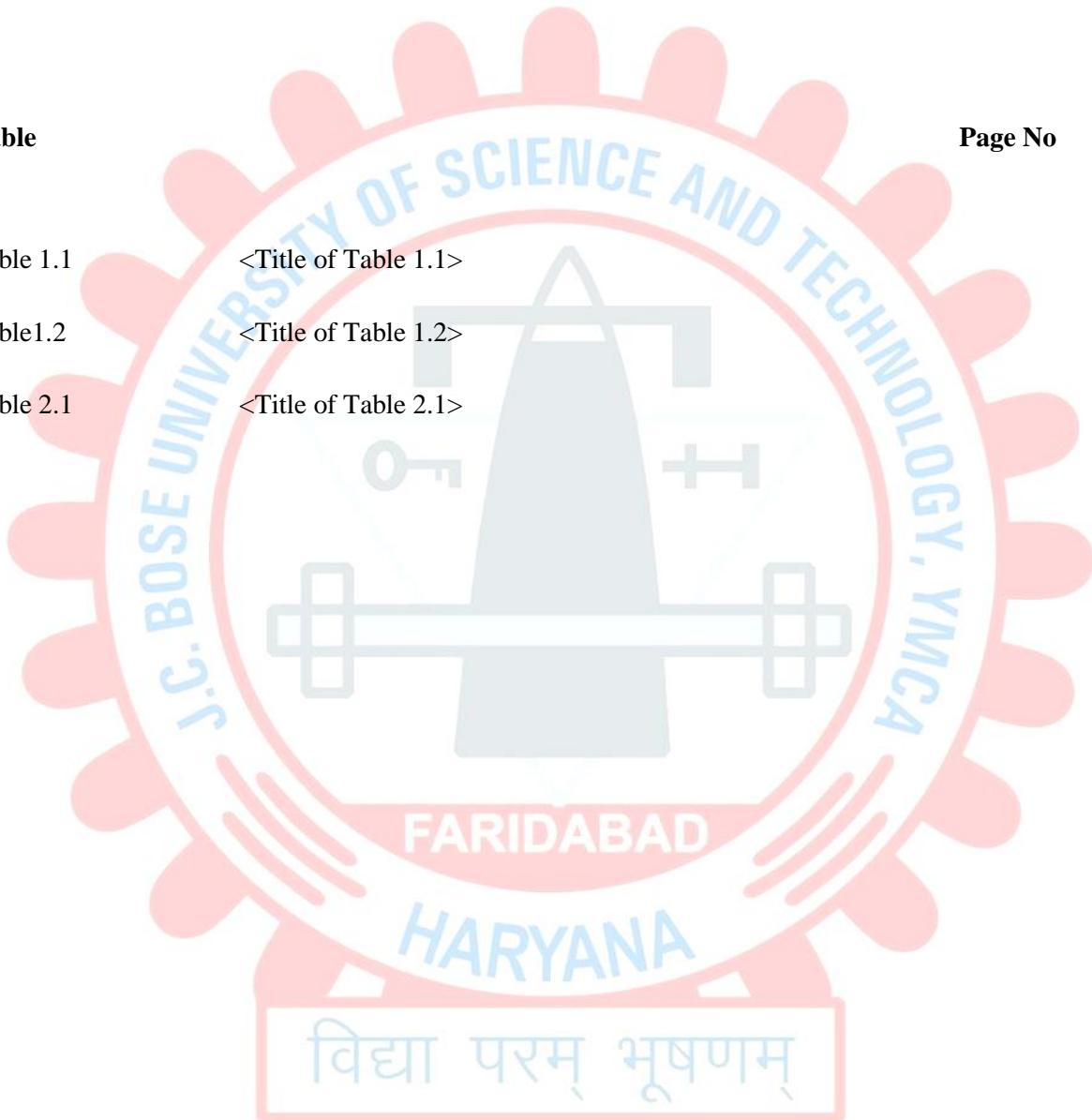
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6. Objectives of the Thesis
7. Methodology
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## APPENDIX 9

### LIST OF TABLES

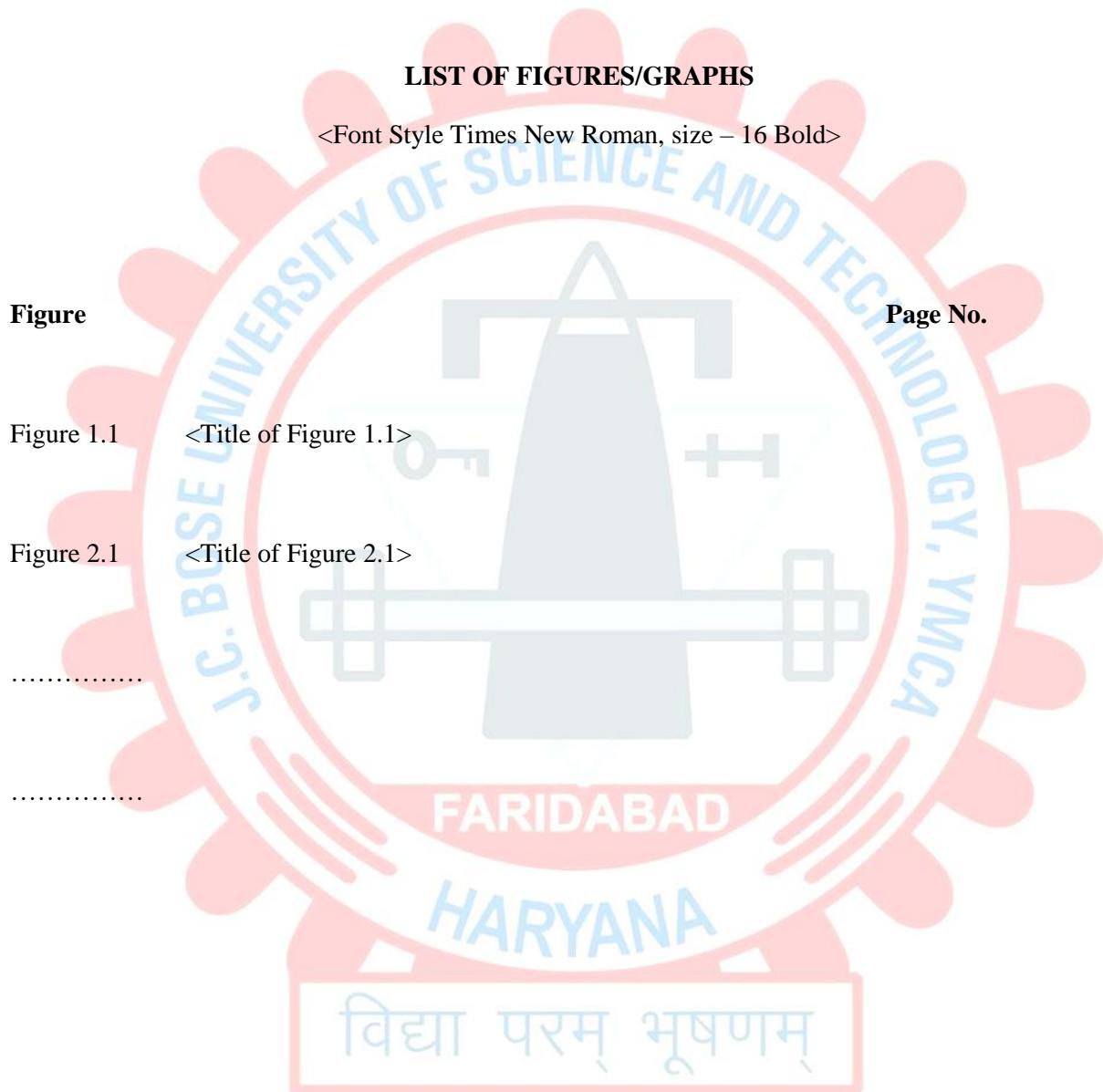
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**APPENDIX 11**

**LIST OF PHOTOGRAPHS**

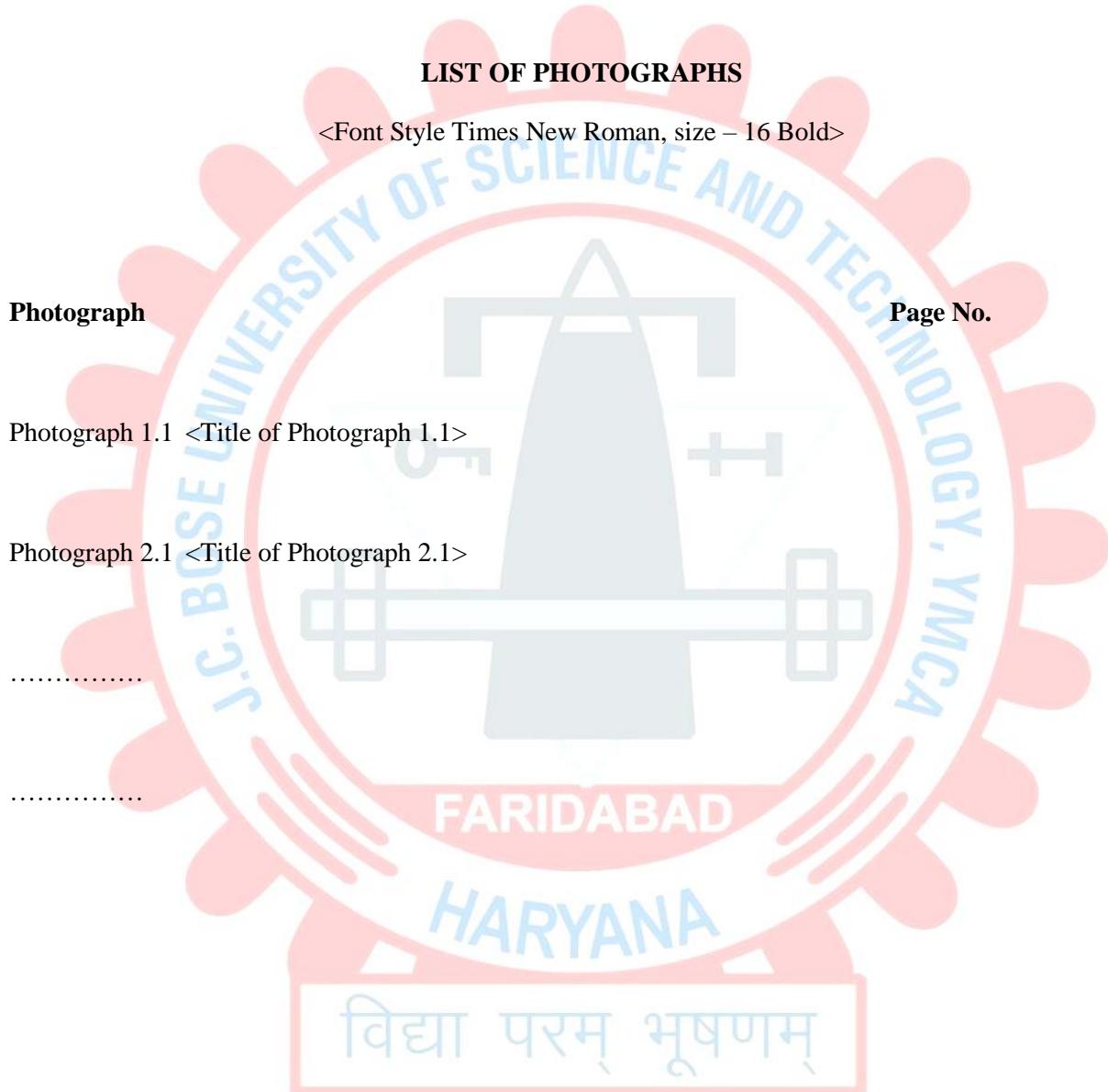
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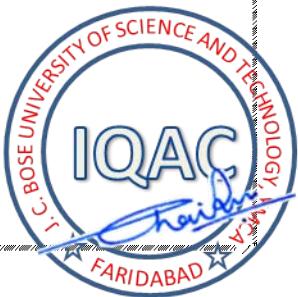
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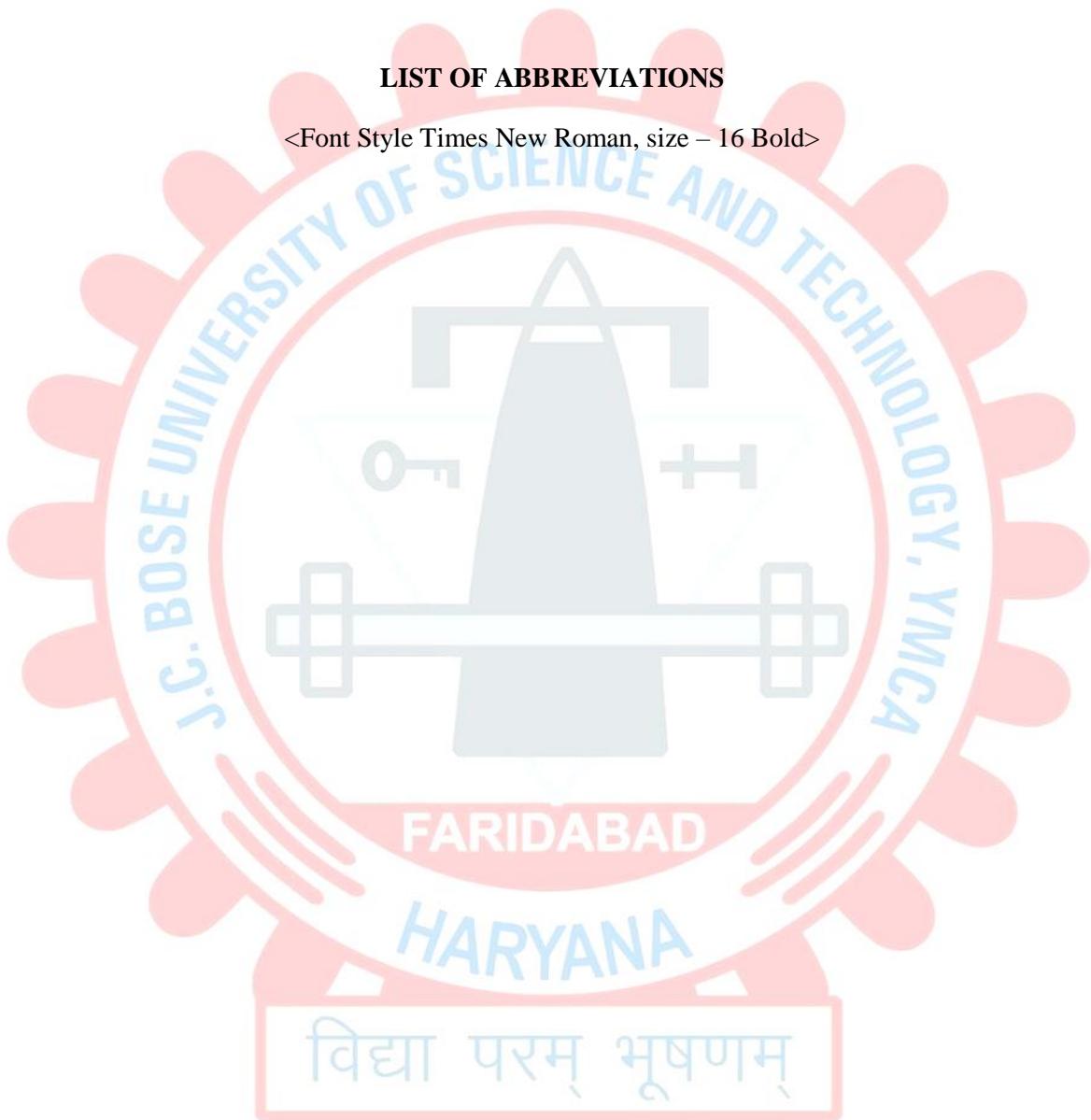
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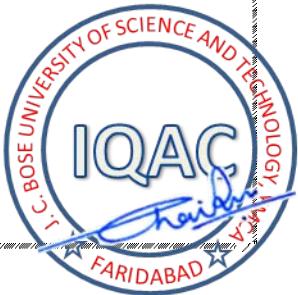
## APPENDIX 12

### LIST OF ABBREVIATIONS

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## REFERENCES

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APPENDICES

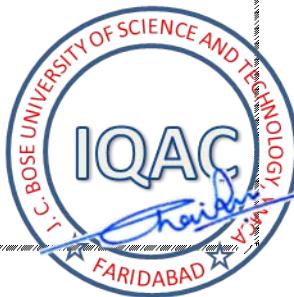
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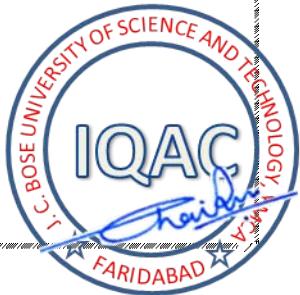
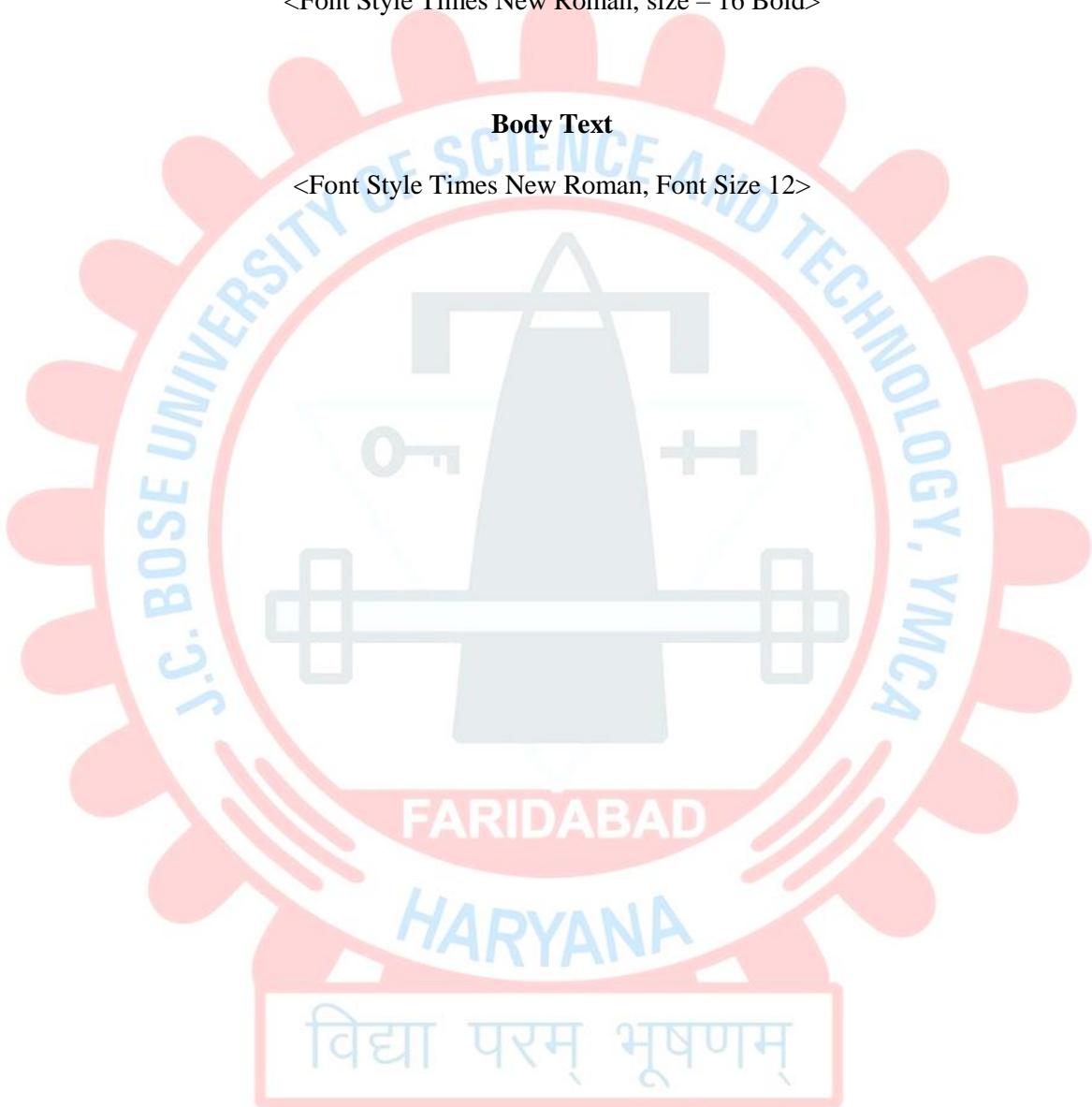


**BRIEF PROFILE OF THE RESEARCH SCHOLAR**

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## APPENDIX 16

### LIST OF PUBLICATIONS OUT OF THESIS

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#### List of Published Papers

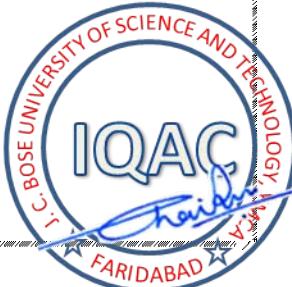
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#### List of Accepted Papers

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#### List of Communicated Papers

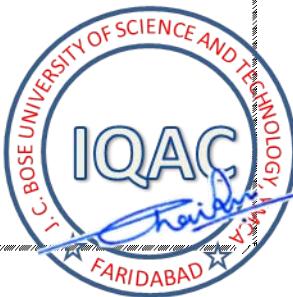
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# Code of Ethics for Research



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## UNIVERSITY GRANTS COMMISSION

### NOTIFICATION

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

New Delhi, the 23rd July, 2018

##### **F. 1-18/2010(CPP-II).—**

##### **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);

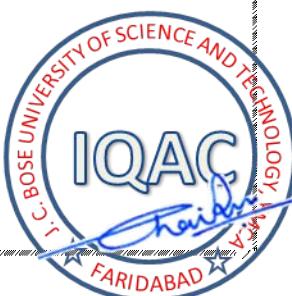
Therefore, in exercise of the powers conferred by clause (j) of Section 12 read with clauses (f) and (g) of subsection (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations:-

##### **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. 8 THE GAZETTE OF INDIA: EXTRAORDINARY [PART III—SEC. 4]

##### **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;

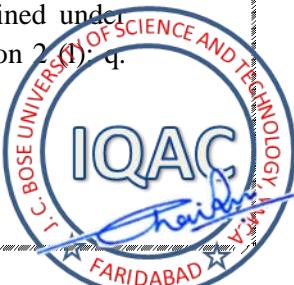
l. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.

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) (v).



“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.

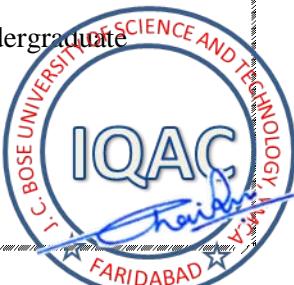
### **5. Awareness Programs and Trainings:**

(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 curricular of Undergraduate (UG)/Postgraduate (PG)/Master’s degree etc. as a compulsory course work/module.



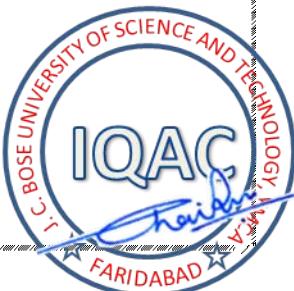
- ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
- iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff 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:



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

**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%

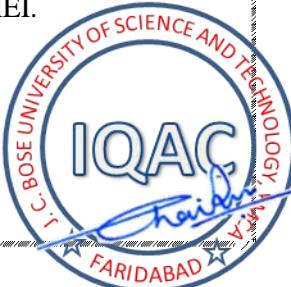
**9. Detection/Reporting/Handling of Plagiarism**

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 *suomotu* 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 an 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.

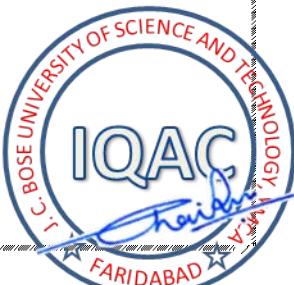
iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.

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%**

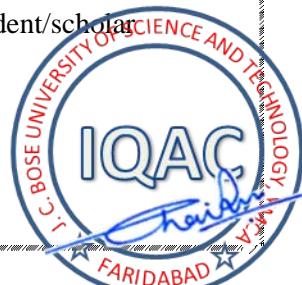
- i) Shall be asked to withdraw manuscript.

**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.

### **13. 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.