



Mewar University

Chittorgarh, Rajasthan 312901

MEWAR UNIVERSITY M.PHIL//PH.D. GUIDELINES

UGC (Minimum Standards and Procedures for Awarding M.Phil./Ph.D. Degrees) Regulations, 2016 (Notified on 5 May 2016) adopted in BOM (held on 12-11-2016) and 4th Academic Council Meeting (held on 23-12-2016)

(APPLICABLE FOR 2017 BATCH ONWARDS)



MINISTRY OF HUMAN RESOURCE DEVELOPMENT
UNIVERSITY GRANTS COMMISSION
NOTIFICATION

New Delhi, the 5th May, 2016

University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./PH.D Degrees) Regulations, 2016

{In supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009, notified in The Gazette of India [No. 28, Part III- Section 4] for the week July 11-July 17, 2009}

No. F. 1-2/2009(EC/PS)V(I) Vol. II - In exercise of the powers conferred by clauses (f) and (g) of sub-section (1) of Section 26 of the University Grants Commission Act, 1956 (3 of 1956), and in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009, notified in The Gazette of India [No. 28, Part III-Section 4] for the week July 11 — July 17, 2009, the University Grants Commission hereby makes the following Regulations, namely:-

1. Short title, Application and Commencement:

- 1.1 These Regulations may be called University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016.
- 1.2 They shall apply to every University established or incorporated by or under a Central Act, a Provincial Act, or a State Act, every affiliated college, and every Institution Deemed to be a University under Section 3 of UGC Act, 1956.
- 1.3 They shall come into force from the date of their publication in the Gazette of India.

2. Eligibility criteria for admission to the M.Phil. programme:

- 2.1 Candidates for admission to the M.Phil. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

3. Eligibility criteria for admission to Ph.D. programme:

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

- 3.1 Master's Degree holders satisfying the criteria stipulated under Clause 2 above.
- 3.2 Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully 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.



- 3.3 A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution;
- 3.4 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

4. Duration of the Programme:

- 4.1 M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters / one year and a maximum of four (4) consecutive semesters / two years.
- 4.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 4.3 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.
- 4.4 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.

5. Procedure for admission:

- 5.1 All Universities and Institutions Deemed to be Universities shall admit M.Phil/Ph.D. students through an Entrance Test conducted at the level of Individual University/Institution Deemed to be a University. The University/Institution Deemed to be a University may decide separate terms and conditions for Ph.D. Entrance Test for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil programme. Similar approach may be adopted in respect of Entrance Test for M.Phil programme.
- 5.2 Higher Educational Institutions (HEIs) referred to in sub-clause 1.2 above and Colleges under them which are allowed to conduct M.Phil. and/or Ph.D. programmes, shall:
- 5.2.1 decide on an annual basis through their academic bodies a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 6.5), laboratory, library and such other facilities;
- 5.2.2 notify well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;
- 5.2.3 adhere to the National/State-level reservation policy, as applicable.
- 5.3 The admission shall be based on the criteria notified by the Institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 5.4 HEIs as mentioned in Clause 1.2 shall admit candidates by a two stage process through:
- 5.4.1 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 shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also to be notified well in advance) at the level of the individual HEI as mentioned in clause 1.2; and

- 5.4.2 An interview/*viva-voce* to be organized by the HEI as mentioned in clause 1.2 when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Department Research Committee.
- 5.5 The interview/*viva voce* shall also consider the following aspects, viz. whether:
- 5.5.1 the candidate possesses the competence for the proposed research;
- 5.5.2 the research work can be suitably undertaken at the Institution/College;
- 5.5.3 the proposed area of research can contribute to new/additional knowledge.
- 5.6 The University shall maintain the list of all the M.Phil. / Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

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

- 6.1 Any regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.
- Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 6.2 Only a full time regular teacher of the concerned University/Institution Deemed to be a University/College can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.
- 6.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.
- 6.4 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- 6.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.
- 6.6 In case of relocation of an M.Phil./Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- 7. Course Work:** Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.
- 7.1 The credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.



- 7.2 The course work shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.
- 7.3 All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.4 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-Clause 8.1 below, of the research scholar.
- 7.5 All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 7.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Institution/College.
- 7.8 A M.Phil./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.
- 8. Research Advisory Committee and its functions:**
- 8.1 There shall be a Research Advisory Committee, or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the Institution concerned, for each M.Phil. and Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:
- 8.1.1 To review the research proposal and finalize the topic of research;
- 8.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 8.1.3 To periodically review and assist in the progress of the research work of the research scholar.
- 8.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institution/College with a copy to the research scholar.
- 8.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.
- 9. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**
- 9.1 The overall minimum credit requirement, including credit for the course work, for the award of M.Phil. degree shall not be less than 24 credits.
- 9.2 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 7.8 above, as the case may be, the M.Phil./Ph.D. scholar shall be required to undertake research work



- and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.
- 9.3 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.
- 9.4 M.Phil scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 9.5 The Academic Council (or its equivalent body) of the Institution shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- 9.6 The M.Phil. dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the Institution/College. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 9.7 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College, of whom one examiner may be from outside the country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 9.8 The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of the external examiner in case of M.Phil. dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the Institution shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 9.9 The Institutions shall develop appropriate methods so as to complete the entire process of evaluation of M.Phil. dissertation/ Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.
10. Academic, administrative and infrastructure requirement to be fulfilled by Colleges for getting recognition for offering M.Phil./Ph.D. programmes:
- 10.1 Colleges may be considered eligible to offer M.Phil./Ph.D programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.
- 10.2 Post-graduate Departments of Colleges, Research laboratories of Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 10.3, shall be considered eligible to offer M.Phil./Ph.D. programmes. Colleges should additionally have the necessary recognition by the



Institution under which they operate to offer M.Phil./Ph.D. programme.

- 10.3 Colleges with adequate facilities for research as mentioned below alone shall offer M.Phil./Ph. D. programmes:
- 10.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 10.3.2 Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;
- 10.3.3 Colleges may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.
- 11. Treatment of Ph.D / M.Phil. through Distance Mode/Part-time:**
- 11.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, no University; Institution, Deemed to be a University and College shall conduct M.Phil. and Ph.D. Programmes through distance education mode.
- 11.2 Part-time Ph.D will be allowed provided all the conditions mentioned in the extant Ph.D Regulations are met.
- 12. Award of M.Phil./Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:**
- 12.1 Award of degrees to candidates registered for the M.Phil./Ph.D. programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D Degree) Regulation, 2009.
- 12.2 If the M.Phil./Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the concerned institution for the purpose of determining the equivalence of the degree awarded by the foreign University.
- 13. Depository with INFLIBNET:**
- 13.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil./Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the M.Phil. dissertation /Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- 13.2 Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

Prof. JASPAL S. SANDHU, Secy.

[ADVT.-III/4/Exty./143(113)]



चलाएगा। संबंधित विश्वविद्यालय अपनी स्वयं की प्रवेश प्रक्रिया के साथ ही अर्हता शर्तें तैयार करेगा ताकि यह सुनिश्चित किया जा सके कि इन श्रेणियों में से अधिकांश सीटें भरी जा सकें।”

प्रो. रजनीश जैन, सचिव वि.अ.आ.
[विज्ञापन-III/4/असा./202/18]

MINISTRY OF HUMAN RESOURCE DEVELOPMENT
(UNIVERSITY GRANTS COMMISSION)

NOTIFICATION

New Delhi, the 27th August, 2018

University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) (1st amendment) Regulations, 2018

F.No.1-1/2002(PS)Exempt(Pt.Fl.III) Vol-II.—In exercise of the powers conferred under clauses (f) and (g) of sub-section (1) of Section 26 of University Grants Commission Act, 1956 (3 of 1956), the University Grants Commission, hereby makes the following Regulations to amend to UGC (Minimum Standards and Procedure for Awards of M.Phil/Ph.D Degree) Regulations 2016.

1. Short title, application and commencement:

- 1.1. These Regulations may be called the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) (1st Amendment) Regulations 2018.
- 1.2 They shall come into force from the date of its publication in the Official Gazette.

2. The following proviso shall be added to the clause 5.4.1 of the University Grants Commission (Minimum Standards and Procedure for award of M.Phil/Ph.D Degrees) Regulations, 2016

“provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC(Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the Universities.

provided further that, if in spite of the above relaxation, the seats allotted for SC/ST/OBC(Non Creamy layer)/Differently-Abled categories remain unfilled, the concerned Universities shall launch a Special Admission Drive, for that particular category within one month from the date of closure of admissions of General Category. The concerned University will devise its own admission procedure, along with eligibility conditions to ensure that most of the seats under these categories are filled.”

Prof. RAJNISH JAIN, Secy.,UGC
[ADVT.-III/4/Exty./202/18]



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“बशर्त, उम्मीदवारों के चयन हेतु प्रवेश परीक्षा के लिए 70% तथा साक्षात्कार/मौखिक परीक्षा में प्रदर्शन को 30% का महत्त्व दिया जाएगा।”

प्रो० रजनीश जैन, सचिव,
[विज्ञापन-III /4/असा./312/18]

UNIVERSITY GRANTS COMMISSION

NOTIFICATION

New Delhi, the 16th October 2018

University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) (2nd amendment) Regulations, 2018

F.No.1-1/2002(PS)Exempt(PFI.III) Vol-II.—In exercise of the powers conferred under clauses (f) and (g) of sub-section (1) of Section 26 of University Grants Commission Act, 1956 (3 of 1956), the University Grants Commission hereby makes the following Regulations to amend to UGC (Minimum Standards and Procedure for Awards of M.Phil/Ph.D Degree) Regulations 2016.

1. Short title, application and commencement:
- 1.1. These Regulations may be called the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degrees) (2nd Amendment) Regulations 2018.
- 1.2. They shall apply to every University established or incorporated by or under a Central Act, Provincial Act or a State Act, every affiliated College and every Institution Deemed to be a University under Section 3 of the said Act.
- 1.3. This shall come into force from the date of its publication in the Official Gazette.
2. The following proviso shall be added to the clause 5.4.2 of the UGC (Minimum Standards and Procedure for Awards of M.Phil/Ph.D Degree) Regulations 2016.
“provided that for selection of candidates, a weightage of 70% to the entrance test and 30% to the performance in the interview/viva-voce shall be given”.

PROF. RAJNISH JAIN, Secy.
[ADVT.-III/4/Exty./312/18]





भारत का राजपत्र The Gazette of India

असाधारण

EXTRAORDINARY

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PART III—Section 4

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विश्वविद्यालय अनुदान आयोग

अधिसूचना

विश्वविद्यालय अनुदान आयोग (उच्चतर शिक्षा संस्थानों में अकादमिक सत्यनिष्ठा एवं साहित्यिक चोरी की रोकथाम को प्रोत्साहन) विनियम, 2018

नई दिल्ली, 23 जुलाई, 2018

मि. सं. 1-18/2010 (सीपीपी-II).—

प्रस्तावना

जबकि, विश्वविद्यालय अनुदान आयोग (यूजीसी) अधिनियम, 1956 के अनुसार, उच्च शिक्षा के मानकों को समन्वित एवं सुनिश्चित करने के लिए आदेशाधीन है।

तथा जबकि, किसी छात्र या संकाय या शोधकर्ता या कर्मचारी द्वारा निष्णात तथा शोध स्तर पर डिग्री प्रदान करने हेतु आंशिक रूप से सम्पादित किया गया कार्य, जिसका अकादमिक एवं शोधकार्य का मूल्यांकन किया जा चुका हो, जो शोध-निबन्ध, शोध-प्रबन्ध, शोध पत्रों के प्रकाशन, पुस्तकों में अध्याय, सम्पूर्ण पुस्तकों के रूप में हो तथा कोई अन्य समरूप कार्य, जो अकादमिक, सत्यनिष्ठा एवं मौलिकता के मूल तत्वों को दर्शाये तथा जिसका उच्चतर शिक्षा संस्थानों (HEIs) द्वारा अपनायी गई विभिन्न संबंधित प्रक्रियाओं में अवलोकन किया जाए।

अतः, वि. अ. आ. अधिनियम 1956 के अनुच्छेद 26 के उप अनुच्छेद (1) के खण्ड (एफ) एवं (जी) के साथ पठित अनुच्छेद 12 के खण्ड (जे) के द्वारा प्रदत्त अधिकारों का प्रयोग करते हुए, वि. अ. आ. ने एतद्वारा निम्नलिखित विनियम निर्मित किए हैं:-

1. संक्षिप्त शीर्षक, अनुप्रयोग तथा प्रारंभ :

- (ए) इन नियमों को, विश्वविद्यालय अनुदान आयोग (उच्चतर शिक्षा संस्थानों में अकादमिक सत्यनिष्ठा एवं साहित्यिक चोरी की रोकथाम को प्रोत्साहन) विनियम 2018 कहा जाएगा।
- (बी) ये विनियम, देश के सभी उच्चतर शिक्षा संस्थानों के छात्रों, संकायों, शोधकर्ताओं तथा कर्मचारियों पर लागू होंगे।
- (सी) ये विनियम, सरकारी राजपत्र में उनकी अधिसूचना की तारीख से प्रभावी होंगे।



2. परिभाषा:

इन विनियमों में, जब तक कि प्रसंग में अन्यथा अपेक्षित न हो—

- (ए) "अकादमिक सत्यनिष्ठा" से तात्पर्य, किसी क्रियाकलाप को प्रस्तावित करने, निष्पादित करने, सूचित करने एवं बौद्धिक ईमानदारी से है, जिससे बौद्धिक गुणों का सृजन हो सके।
- (बी) "रचनाकार" रचनाकार के अंतर्गत उच्चतर शैक्षिक संस्थान (HEI) के छात्र या संकाय या शोधकर्ता या कर्मचारी आते हैं जो विचाराधीन कार्य के सृजनकर्ता होते हैं।
- (सी) "आयोग" से अभिप्राय वि. अ. आ. से है, जैसा कि वि. अ. आ. अधिनियम, 1956 में यथापरिभाषित है।
- (डी) "सामान्य ज्ञान" से अभिप्राय, सुप्रसिद्ध तथ्य, उद्धरण, आंकड़ा या जानकारी से है जिसकी अधिकांश व्यक्तियों को जानकारी हो।
- (ई) "डिग्री" से अभिप्राय, वि. अ. आ. द्वारा निर्धारित की गई ऐसी डिग्री से है जो कि वि. अ. आ. अधिनियम 1956 के अनुच्छेद 22 के अंतर्गत सरकारी राजपत्र में अधिसूचित की गई हो।
- (एफ) "विभागीय अकादमिक सत्यनिष्ठा नामसूची" से तात्पर्य होगा विभागीय स्तर पर गठित निकाय, जो साहित्यिक चोरी के आरोपों की जांच पड़ताल करेगा।
- (जी) "संकाय" से तात्पर्य, किसी उच्चतर शिक्षा संस्थान में नामांकित किसी व्यक्ति से है जो छात्रों को शिक्षण तथा/या मार्गदर्शन प्रदान करता हो, चाहे वह किसी भी क्षमता का हो अर्थात् नियमित, तदर्थ, अतिथि, अस्थायी, मुलाकाती आदि।
- (एच) "उच्चतर शिक्षा संस्थान (HEI)" से अभिप्राय ऐसे वि. वि. से है जो वि. अ. आ. अधिनियम, 1956 के अनुच्छेद 2(एफ) के अंतर्गत मान्यताप्राप्त हो या वि. अ. आ. अधिनियम 1956 के अनुच्छेद 3 के अंतर्गत वह संस्थान जो मानित वि. वि. के अंतर्गत आता हो या मान्य महाविद्यालय/संस्थान या किसी वि. वि. की एक संघटक इकाई हो।
- (आई) "सूचना" इसके अंतर्गत आंकड़े, संदेश, पाठ्यवस्तु, आकृतियां, ध्वनि, आवाज, कोड, कम्प्यूटर कार्यक्रम, सॉफ्टवेयर एवं डाटाबेस या माइक्रोफिल्म या कम्प्यूटर सृजित माइक्रोफिश सम्मिलित हैं।
- (जे) "संस्थागत अकादमिक सत्यनिष्ठा नामसूची" से अभिप्राय एक ऐसे निकाय से है जो विभागीय अकादमिक सत्यनिष्ठा नामसूची की सिफारिशों पर विचार करने के लिए तथा साहित्यिक चोरी के आरोपों के बारे में उचित निर्णय लेने तथा दण्ड लागू करने संबंधी निर्णय लेने के लिए संस्थागत स्तर पर गठित किया गया हो। अपवादिक मामलों में यह न्यास संस्थागत स्तर पर साहित्यिक चोरी के आरोपों की जांच करेगा।
- (के) "अधिसूचना" से तात्पर्य, सरकारी राजपत्र में प्रकाशित की गई अधिसूचना से है तथा अधिसूचित करने की अभिव्यक्ति का उसके समानार्थी तथा व्याकरण्य भिन्नता के अनुरूप अनुमान लगाया जाएगा।
- (एल) "साहित्यिक चोरी" से अभिप्राय किसी अन्य के द्वारा किए गए कार्य या विचार को निज प्रयोग में लेना तथा अपने नाम से दूसरे को देना।
- (एम) "पाठ्यक्रम" से तात्पर्य, अध्ययन किया जाने वाला वह पाठ्यक्रम जिसके लिए निष्णात एवं शोध स्तर पर डिग्री प्रदान की जाए।
- (एन) "शोधकर्ता" से तात्पर्य है उच्चतर शैक्षिक संस्थानों में अकादमिक/वैज्ञानिक शोध करने वाला व्यक्ति।
- (ओ) "पाण्डुलिपि" के अंतर्गत शोध-लेख, शोध-निबन्ध, शोध-पत्र, पुस्तकों में अध्याय, सम्पूर्ण पुस्तकें तथा अन्य समान कार्य का मूल्यांकन/अभिमत हेतु जमा किया जाने वाला कार्य जो उच्चतर शिक्षा संस्थान के छात्रों या संकाय या शोधकर्ता या कर्मचारी द्वारा निष्णात एवं शोधस्तर की डिग्रियों को प्राप्त करने या प्रिंट या इलेक्ट्रॉनिक मीडिया में प्रकाशन हेतु तैयार किया जाए। तथापि, इसमें नियत कार्य/आवधिक पत्र/परियोजना रिपोर्ट/पाठ्यक्रम संबंधी कार्य/निबन्ध तथा उत्तर पुस्तिकाएं शामिल नहीं होंगी।
- (पी) "स्रोत" से अभिप्राय, किसी भी स्रोत से किसी भी रूप में प्राप्त की गई प्रकाशित मुख्य एवं गौण अध्ययन सामग्री से है, जिसमें लिखित जानकारी तथा अन्य व्यक्तियों अर्थात् विख्यात विद्वानों, लोकप्रिय हस्तियों, किसी भी प्रकार के पेशेवर व्यक्तियों से प्रत्यक्षतः प्राप्त किये गए दृष्टिकोण को शामिल किया गया हो। इसके अतिरिक्त, इलेक्ट्रॉनिक रूप में आंकड़े एवं सूचना यथा श्रव्य, दृश्य, आकृति या पाठ्यक्रम के रूप में, जिसकी सूचना समान अर्थ में, सूचना प्रौद्योगिकी अधिनियम 2000 के अनुच्छेद 2(1)(V) के अन्वये है तथा जिसको यहां विनियम 2(1) में पुनः प्रस्तुत किया गया है।



- (क्यू) "कर्मचारी" से तात्पर्य उच्चतर शिक्षा संस्थानों में कार्यरत गैर-शैक्षणिक कर्मचारी वर्ग से है, जो किसी भी क्षमता अर्थात् नियमित, अस्थायी, अनुबन्धात्मक, बाह्य स्रोत आदि में कार्यरत हों।
- (आर) "छात्र" से तात्पर्य उस व्यक्ति से है, जिसका विधिवत दाखिला हुआ हो, पाठ्यक्रम का अध्ययन कर रहा हो, जिसमें किसी भी पद्धति (पूर्णकालिक या अंशकालिक या दूरस्थ माध्यम) से अध्ययन करने वाले शोध पाठ्यक्रम को सम्मिलित किया गया है।
- (एस) "विश्वविद्यालय" से अभिप्राय उन विश्वविद्यालयों से है, जो केन्द्रीय अधिनियम, प्रान्तीय अधिनियम या राज्य अधिनियम के अधीन स्थापित अथवा निगमित हैं तथा उनमें वह मानित वि. वि. संस्थान सम्मिलित हैं जो यूजीसी अधिनियम, 1956 के अनुच्छेद (3) के अंतर्गत आते हैं।
- (टी) "वर्ष" से तात्पर्य वह अकादमिक सत्र है, जिसमें प्रमाणित अपराध किया गया हो।
- ऐसे शब्द तथा अभिव्यक्तियाँ, जिन्हें इन विनियमों में परिभाषित नहीं किया गया है, लेकिन वि.अ.आ. अधिनियम, 1956 में परिभाषित हैं तथा इन विनियमों के साथ सुसंगत नहीं हैं उनका इस अधिनियम में निर्दिष्ट तदनु रूप अर्थ लगाया जाएगा।

3. उद्देश्य:

- 3.1 शोध, शोध-पत्र, शोध-निबन्ध के दायित्वपूर्ण आचरण, अकादमिक सत्यनिष्ठा के प्रोत्साहन के प्रति जागरूकता पैदा करना, छात्र संकाय, शोधकर्ता एवं कर्मचारी वर्ग में अकादमिक लेखन में साहित्यिक चोरी सहित कदाचार से बचाव करना।
- 3.2 शिक्षण एवं प्रशिक्षण के जरिये, संस्थानात्मक तंत्र स्थापित करना, जिससे शोध, शोध-पत्र शोधनिबन्ध, अकादमिक सत्यनिष्ठा तथा साहित्यिक चोरी के निवारण में प्रोन्नति सहज हो सके।
- 3.3 साहित्यिक चोरी का पता लगाने के लिए पद्धतियाँ विकसित करना तथा साहित्यिक चोरी से बचाव के लिए रचना-तंत्र की स्थापना करना तथा उच्चतर शिक्षा संस्थान के छात्र, संकाय, शोधकर्ता या कर्मचारी को साहित्यिक चोरी का कृत्य करने पर दण्डित करना।

4. उच्चतर शिक्षा संस्थान के दायित्व :

प्रत्येक उच्चतर शिक्षा संस्थान को एक ऐसे तंत्र की स्थापना करनी चाहिए जैसा कि इन विनियमों में निर्दिष्ट किया गया है, जो कि शोध एवं अकादमिक कार्यकलापों के दायित्वपूर्ण आचरण के प्रति जागरूकता लाने में संवर्धन करे, साथ ही अकादमिक सत्यनिष्ठा को प्रोन्नत करे तथा साहित्यिक चोरी से बचाव करे।

5. जागरूकता कार्यक्रम एवं प्रशिक्षण :

(क) उच्चतर शिक्षा संस्थान, अपने छात्रों, संकायों, शोधकर्ताओं तथा कर्मचारियों को उचित आरोपण के संबंध में अनुदेश देगा, जहाँ कहीं भी आवश्यक हो, लेखक से स्वीकृति की मांग करेगा, आवश्यकतानुसार उन सुसंगत तथा अनुमतिनिर्दिष्ट अनुशासनों के स्रोत की जानकारी प्राप्त करेगा तथा जो नियमों के अनुरूप, अंतर्राष्ट्रीय सम्मेलन तथा स्रोत को नियंत्रित करने वाले विनियमों से संबंधित होंगे।

(ख) उच्चतर शिक्षा संस्थान, प्रत्येक सत्र में सम्मेलन/जागरूकता कार्यक्रमों का सुग्राही संचालन करेगा, जो शोध, शोध-पत्र, शोध-निबन्ध के दायित्वपूर्ण आचरण तथा अकादमिक सत्यनिष्ठा की प्रोन्नति तथा छात्रों, संकायों, शोधकर्ताओं तथा कर्मचारियों के लिए शिक्षा में नैतिकता को बढ़ावा देगा।

(ग) उच्चतर शिक्षा संस्थान, निम्नलिखित कार्यों पर जोर देगा :

- i. एक अनिवार्य पाठ्यक्रम कार्यविधि/माड्यूल के रूप में स्नातकपूर्व (यूजी)/स्नातकोत्तर (पीजी)/निष्णात डिग्री की पाठ्यवस्तु में अकादमिक सत्यनिष्ठा के आधारभूत सिद्धांतों को सम्मिलित करना।
- ii. निष्णात एवं शोधविशेषज्ञों के लिए अनिवार्य पाठ्यक्रम कार्यविधि/माड्यूल के रूप में शोध एवं प्रकाशन के दायित्वपूर्ण आचरण संबंधी मूल तत्वों को सम्मिलित करना।
- iii. उच्चतर शिक्षा संस्थान के संकाय एवं कर्मचारी सदस्यों हेतु अभिमुखी एवं पुनश्चर्या पाठ्यक्रमों को आयोजित करना, शोध एवं प्रकाशन के आधारभूत दायित्वपूर्ण आचरण के तथ्यों को शामिल करना।
- iv. छात्र, संकाय, शोधकर्ता एवं कर्मचारियों को साहित्यिक चोरी का पता लगाने वाले उपकरणों/साधनों तथा संदर्भप्रबन्धन उपकरणों को प्रयुक्त करने का प्रशिक्षण प्रदान करना।
- v. साहित्यिक चोरी का पता लगाने हेतु आधुनिक प्रौद्योगिकियों सहित सुविधाओं की स्थापना करना।



- vi. अंतर्राष्ट्रीय शोधकर्ताओं की पंजीकरण पद्धतियों पर छात्र, संकाय शोधकर्ता एवं कर्मचारी सदस्य के पंजीकरण को प्रोत्साहित करना।

6. साहित्यिक चोरी पर रोकथाम :

- (ए) उच्चतर शिक्षा संस्थान, उपयुक्त सॉफ्टवेयर प्रयुक्त करते हुए प्रौद्योगिकी आधारित रचनातंत्र की घोषणा एवं कार्यान्वयन करेगा, जिससे यह सुनिश्चित हो सके कि शोध-पत्र, शोध-निबन्ध, प्रकाशन या कोई अन्य दस्तावेज उसकी प्रस्तुति के समय साहित्यिक चोरी से मुक्त हैं।
- (बी) ऊपर (ए) में वर्णित रचनातंत्र, शोधकार्य में संलिप्त सभी छात्रों को उपलब्ध कराया जाएगा जिसमें छात्र, संकाय शोधकर्ता एवं कर्मचारी सदस्य आदि भी सम्मिलित होंगे।
- (सी) प्रत्येक छात्र, जो शोध-पत्र, शोध-निबन्ध या समान दस्तावेज, उच्चतर शिक्षा संस्थान को प्रस्तुत करने जा रहा है, वह एक ऐसा वचन-बंध प्रस्तुत करेगा जिसमें यह दर्शाया जाएगा कि प्रस्तुत दस्तावेज उसकी द्वारा तैयार किया गया है तथा यह दस्तावेज उसका मौलिक लेखन कार्य है तथा किसी भी प्रकार की साहित्यिक चोरी से मुक्त है।
- (डी) इस वचन-बंध में यह तथ्य भी शामिल किया जाएगा कि इस दस्तावेज की उच्चतर शिक्षा संस्थान द्वारा साहित्यिक चोरी का पता लगाने वाले उपकरणों के जरिये विधिवत जाँच कर ली गई है।
- (ई) संस्थान, साहित्यिक चोरी के संबंध में एक ऐसी संबंधित नीति का विकास करेगा तथा इससे संबंधित विधायी निकायों/प्राधिकरणों से उसे स्वीकृत कराएगा। स्वीकृत नीति को HEI वेबसाइट के होमपेज पर डाउनलोड किया जाएगा।
- (एफ) प्रत्येक पर्यवेक्षक, एक प्रमाण-पत्र प्रस्तुत करेगा जिसमें यह निर्दिष्ट किया जाएगा कि शोधकर्ता द्वारा किया गया अमुक कार्य, शोधकर्ता के द्वारा तथा मेरे अधीन रहकर किया गया है तथा यह साहित्यिक चोरी से मुक्त है।
- (जी) संस्थान, सभी निष्णात, शोध पाठ्यक्रम के शोध-पत्रों तथा शोध-निबन्धों को, डिग्री प्रदान किए जाने के पश्चात् 1 माह के भीतर 'शोध गंगा ई-रिपोजिटरी' के अंतर्गत डिजिटल रिपोजिटरी को पोषित करने हेतु इनफ्लोबनेट पर इसकी सॉफ्ट प्रतियां प्रस्तुत करेगा।
- (एच) संस्थान, संस्थानात्मक रिपोजिटरी का संस्थान की वेबसाइट पर सृजन करेगा जिसमें शोध-निबन्ध/शोध-पत्र/पत्र-आलेख/प्रकाशन तथा अन्य आंतरिक (इन-हाउस) प्रकाशनों को भी सम्मिलित करेगा।

7. साहित्यिक चोरी के बहिष्करण हेतु समरूपता रोकथाम :

साहित्यिक चोरी के लिए समानता जांच में निम्नवत वर्जित होंगे :

- सभी अनिवार्य अनुमतियों और/अथवा गुणधर्म के साथ उद्धृत कार्य।
- सभी सदर्थ, पुस्तकसूची, विषयवस्तु की तालिका, आमुख तथा साभार।
- सभी सामान्य शब्दावली, विधि, मानक, चिह्न तथा मानक समीकरण।

नोट:

छात्रों, संकाय, शोधकर्ताओं तथा कर्मचारिवृंदों द्वारा किया गया शोधकार्य, मूल विचार पर आधारित होगा, जिसमें केवल संक्षेपण, सारांश, अवधारणा, टिप्पणियां, परिणाम, निष्कर्ष तथा सिफारिशें शामिल होंगी तथा इसमें कोई समानताएं नहीं होंगी। इसमें चौदह (14) क्रमगत शब्दों तक सामान्य ज्ञान अथवा अनुरूप शब्दावली विवर्जित होगी।

8. साहित्यिक चोरी के स्तर :

साहित्यिक चोरी को परिभाषित करने के प्रयोजनार्थ उसकी गंभीरता के बढ़ते क्रम में साहित्यिक चोरी को निम्नवत स्तरों में मापा जाएगा:

- स्तर शून्य : दस प्रतिशत तक समानता- थोड़ी बहुत समानताएं, कोई दण्ड नहीं।
- प्रथम स्तर : दस प्रतिशत से चालीस प्रतिशत तक समानताएं।
- द्वितीय स्तर : चालीस प्रतिशत से साठ प्रतिशत तक समानताएं।
- तृतीय स्तर : साठ प्रतिशत से अधिक समानताएं।

9. साहित्यिक चोरी का पता लगाना/जानकारी प्रदान करना/कार्यवाही करना :

यदि शैक्षिक समुदाय का कोई सदस्य उपर्युक्त प्रमाण के साथ संदेह व्यक्त करता है कि किसी दस्तावेज में साहित्यिक चोरी का कोई प्रकरण बनता है, वह इस मामले की जानकारी विभागीय शैक्षिक सत्यनिष्ठा पेनल (डीएआईपी) को देगा। डीएआईपी, ऐसी शिकायत अथवा आरोप की प्राप्ति पर मामले की जांच करेगा तथा उच्चतर शिक्षा संस्थान की संस्थागत शैक्षिक सत्यनिष्ठा नामसूची (आईएआईपी) को अपनी सिफारिशें सौंपेगा।

उच्चतर शिक्षा संस्थान के प्राधिकारी साहित्यिक चोरी के कृत्य का स्वयंमेव संज्ञान भी ले सकते हैं और इन विनियमों के तहत कार्यवाहियां कर सकते हैं। इसी प्रकार, परीक्षक के निष्कर्षों के आधार पर भी उच्चतर शिक्षा संस्थान द्वारा कार्यवाही आरंभ की जा सकती है। ऐसे सभी मामलों की आईएआईपी द्वारा जांच की जाएगी।

10. विभागीय शैक्षिक सत्यनिष्ठा नामसूची (डीएआईपी) :

- i. उच्चतर शिक्षा संस्थान के सभी विभाग एक डीएआईपी को अधिसूचित करेंगे जिसकी संरचना नीचे दी गई है:
 - क. अध्यक्ष-विभागाध्यक्ष
 - ख. सदस्य-विभाग से इतर एक वरिष्ठ शिक्षाविद्, जिसे उच्चतर शिक्षा संस्थान के प्रमुख द्वारा नामित किया जाएगा।
 - ग. सदस्य-साहित्यिक चोरी के साधनों से भली-भांति परिचित एक व्यक्ति, जिसे विभागाध्यक्ष द्वारा नामित किया जाएगा।

बिंदु 'ख' तथा 'ग' के संबंध में सदस्यगणों का कार्यकाल दो वर्षों का होगा। बैठक के लिए सदस्यों की गणपूर्ति 3 में से 2 सदस्यों द्वारा होगी (सभापति सहित)।
- ii. डीएआईपी, छात्रों, संकाय, शोधकर्ताओं तथा कर्मचारिवृंदों के विरुद्ध साहित्यिक चोरी के आरोपों के संबंध में निर्णय देते हुए नैसर्गिक न्याय के सिद्धांतों का पालन करेगा।
- iii. डीएआईपी, को साहित्यिक चोरी के स्तरों का मूल्यांकन करने तथा तदनुसार, दण्ड की सिफारिश करने की शक्तियां प्राप्त होंगी।
- iv. शिकायत प्राप्त होने/ कार्यवाहियां आरंभ किए जाने की तिथि से 45 दिनों के भीतर डीएआईपी, जांच-उपरांत, अपनी रिपोर्ट सहित लगाए जाने वाले दण्डों पर अपनी सिफारिशों को आईएआईपी को प्रस्तुत करेगी।

11. संस्थागत शैक्षिक सत्यनिष्ठा पेनल (आईएआईपी) :

- i. उच्चतर शिक्षा संस्थान, आईएआईपी को अधिसूचित करेंगे जिसकी संरचना नीचे दी गई है :
 - क. अध्यक्ष-उच्चतर शिक्षा संस्थान का सम-कुलपति/संकाय अध्यक्ष/वरिष्ठ शिक्षाविद्।
 - ख. सदस्य-उच्चतर शिक्षा संस्थान के अध्यक्ष द्वारा नामित एक वरिष्ठ शिक्षाविद्।
 - ग. सदस्य-उच्चतर शिक्षा संस्थान से इतर किसी अन्य उच्चतर शिक्षा संस्थान द्वारा नामित किया जाने वाला एक सदस्यगण।
 - घ. सदस्य-साहित्यिक चोरी के साधनों से भली-भांति परिचित एक व्यक्ति, जिसे विभागाध्यक्ष द्वारा नामित किया जाएगा।

एक ही व्यक्ति, डीएआईपी और आईएआईपी का अध्यक्ष नहीं होगा। अध्यक्ष सहित समिति के सदस्यगणों का कार्यकाल 3 वर्षों का होगा। बैठक के लिए सदस्यों की गणपूर्ति 3 में से 2 सदस्यों (सभापति सहित) द्वारा होगी।

- ii. आईएआईपी, डीएआईपी की सिफारिशों पर विचार करेगा।
- iii. आईएआईपी, इन विनियमों में उल्लिखित उपबंधों के अनुसार साहित्यिक चोरी के मामलों की जांच भी करेगा।
- iv. आईएआईपी, उच्चतर शिक्षा संस्थान के छात्रों, संकाय, शोधकर्ताओं तथा कर्मचारिवृंदों के विरुद्ध साहित्यिक चोरी के आरोपों के संबंध में निर्णय देते हुए नैसर्गिक न्याय के सिद्धांतों का पालन करेगा।
- v. आईएआईपी को विधिवत् औचित्य के साथ दण्ड सहित डीएआईपी की सिफारिशों की समीक्षा करने की भी शक्तियां प्राप्त होंगी।
- vi. आईएआईपी जांच उपरांत रिपोर्ट तथा उच्चतर शिक्षा विभाग के प्रमुख द्वारा लगाए जाने वाले दण्ड संबंधी सिफारिशों को डीएआईपी द्वारा शिकायत प्राप्त होने/ कार्यवाहियां आरंभ किए जाने की तिथि से 45 दिनों के भीतर भेजेगा।
- vii. आईएआईपी उस व्यक्ति(यों) को रिपोर्ट की प्रति उपलब्ध कराएगा जिसके विरुद्ध जांच रिपोर्ट प्रस्तुत की गई है।



12. दण्ड :

साहित्यिक चोरी के मामले में निष्णात तथा शोध कार्यक्रमों के स्तर पर उच्चतर शिक्षा संस्थान में अध्ययनरत छात्रों तथा उच्चतर शिक्षा के संस्थानों के शोधकर्ताओं, संकाय तथा कर्मचारिवृंदों पर केवल उस स्थिति में ही दण्ड लगाया जाएगा जब बिना किसी संदेह के किसी व्यक्ति विशेष द्वारा शैक्षिक कदाचार किए जाने की पुष्टि हो जाती है और जब अपील के सभी विकल्पों को पूर्णतः उपयोग कर लिया जाता है और जब अमुक व्यक्ति को अपना बचाव करने के लिए स्पष्ट अथवा पारदर्शी पद्धति से पर्याप्त अवसर प्रदान किया गया हो।

12.1 शोध-प्रबंध (थीसीस) तथा शोध-निबंध (डिसरटेशन) को प्रस्तुत करने के मामले में साहित्यिक चोरी :

संस्थागत शैक्षिक सत्यनिष्ठा नामसूची (आईएआईपी) साहित्यिक चोरी की गंभीरता पर विचार कर दण्ड आरोपित करेगा :

- i. स्तर शून्य : दस प्रतिशत तक समानताएं— थोड़ी बहुत समानताएं, कोई दण्ड नहीं।
- ii. प्रथम स्तर : दस प्रतिशत से चालीस प्रतिशत तक समानताएं— ऐसे छात्रों को अधिकतम छह माह की विनिर्धारित अवधि के भीतर संशोधित आलेख जमा करने को कहा जाएगा।
- iii. द्वितीय स्तर : चालीस प्रतिशत से साठ प्रतिशत तक समानताएं— ऐसे छात्रों को अधिकतम एक वर्ष की अवधि के लिए संशोधित आलेख जमा करने से वंचित किया जाएगा।
- iv. तृतीय स्तर : साठ प्रतिशत से अधिक समानताएं— ऐसे छात्रों के उस कार्यक्रम के लिए पंजीकरण को रद्द कर दिया जाएगा।

नोट 1: बार-बार साहित्यिक चोरी करने पर दण्ड : प्रत्येक छात्र को साहित्यिक चोरी के लिए दण्डित किया जाएगा यदि उसके द्वारा की गई साहित्यिक चोरी पिछली बार की गई साहित्यिक चोरी से एक स्तर अधिक हो। यदि सर्वोच्च स्तर की साहित्यिक चोरी की गई हो तो उसे कारगर दंड दिया जाएगा।

नोट 2: उस स्थिति में साहित्यिक चोरी जब उपाधि/क्रेडिट पहले ही प्राप्त किया गया हो— यदि उपाधि/क्रेडिट किए जाने, जैसा भी मामला हो, प्रदान किए जाने की तिथि के बाद में साहित्यिक चोरी सिद्ध हो तो उसकी उपाधि/क्रेडिट को आईएआईपी द्वारा संस्तुत अवधि के लिए आस्थगित रखा जाएगा तथा संस्थान के प्रमुख द्वारा अनुमोदित किया जाएगा।

12.2 शैक्षिक तथा शोध प्रकाशनों में साहित्यिक चोरी के मामले में दण्ड :

- I. स्तर शून्य : दस प्रतिशत तक समानताएं— थोड़ी बहुत समानताएं, कोई दण्ड नहीं।
- II. प्रथम स्तर : दस प्रतिशत से चालीस प्रतिशत तक समानताएं—
 - i. ऐसे छात्रों को, पांडुलिपि वापस लेने को कहा जाएगा।
- III. द्वितीय स्तर : चालीस प्रतिशत से साठ प्रतिशत तक समानताएं—
 - i. उन्हें पांडुलिपि वापस लेने को कहा जाएगा।
 - ii. उन्हें एक वार्षिक वेतन वृद्धि के अधिकार से वंचित किया जाएगा।
 - iii. उन्हें दो वर्ष की अवधि के लिए किसी नई निष्णात, एम.फिल., पीएच.डी. छात्र/ विद्वान का पर्यवेक्षण करने की अनुमति नहीं दी जाएगी।
- IV. तृतीय स्तर : साठ प्रतिशत से अधिक समानताएं—
 - i. उन्हें पांडुलिपि वापस लेने को कहा जाएगा।
 - ii. उन्हें लगातार दो वार्षिक वेतन वृद्धि के अधिकार से वंचित किया जाएगा।
 - iii. उन्हें तीन वर्ष की अवधि के लिए किसी नए निष्णात, एम.फिल., पीएच.डी. छात्र/ विद्वान का पर्यवेक्षण करने की अनुमति नहीं दी जाएगी।

नोट 1: बार-बार साहित्यिक चोरी करने पर दण्ड : उन्हें पांडुलिपि वापस लेने को कहा जाएगा और उन्हें की गई साहित्यिक चोरी के निम्न स्तर से एक स्तर ऊपर की साहित्यिक चोरी के लिए दण्डित किया जाएगा। यदि की गई साहित्यिक चोरी सर्वोच्च स्तर की हो तो उसके लिए विहित दंड लागू होगा। यदि तृतीय स्तर के दोष की पुनरावृत्ति की गई हो तो उच्चतर शिक्षा संस्थान द्वारा सेवा नियमों के अनुसार निलंबन/सेवा समाप्ति/निलंबन अनुशासनात्मक कार्रवाई की जाएगी।



नोट 2 : उस स्थिति में दण्ड, जब साहित्यिक चोरी का लाभ अथवा क्रेडिट पहले ही प्राप्त किया गया हो- यदि लाभ अथवा क्रेडिट प्राप्त किए जाने, जैसा भी मामला हो, की तिथि के बाद साहित्यिक चोरी सिद्ध हो तो उसके द्वारा प्राप्त लाभ अथवा क्रेडिट को आईएआईपी द्वारा संस्तुत अवधि के लिए आस्थगित रखा जाएगा तथा संस्थान के प्रमुख द्वारा अनुमोदित किया जाएगा।

नोट 3 : उच्चतर शिक्षा संस्थान ऐसा तंत्र विकसित करेंगे ताकि यह सुनिश्चित किया जाए कि छात्र, संकाय, शोधकर्ता अथवा कर्मचारिवृंद द्वारा प्रकाशित किए गए प्रत्येक पत्र/शोध-प्रबंध (थीसीस) तथा शोध-निबंध (डिसरटेशन) को अग्रेषित/ प्रस्तुत किए जाने के समय साहित्यिक चोरी के लिए जांचा जाए।

नोट 4 : यदि उच्चतर शिक्षा संस्थान के प्रधान के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, इन विनियमों के अनुरूप उच्चतर शिक्षा संस्थान के नियंत्रण अधिकारी द्वारा उपर्युक्त कार्रवाई की जाएगी।

नोट 5 : यदि संस्थागत स्तर पर विभागाध्यक्ष/प्राधिकारियों के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, इन विनियमों के अनुरूप आईएआईपी द्वारा उपयुक्त कार्रवाई की जाएगी जिसे सक्षम अधिकारी द्वारा अनुमोदित किया जाएगा।

नोट 6 : यदि डीएआईपी अथवा आईएआईपी के किसी सदस्यगण के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, ऐसा सदस्य ऐसी बैठकों में भाग नहीं लेगा जहां उसके मामले के संबंध में चर्चा की जा रही हो/अथवा जांच की जा रही हो।

13. कठिनाइयों का निवारण

विश्वविद्यालय अनुदान आयोग, इन विनियमों के कार्यान्वयन के दौरान सामने आने वाली कठिनाइयों को भारत सरकार/मानव संसाधन विकास मंत्रालय के परामर्श से निवारण करने का अधिकार सुरक्षित रखता है।

प्रो. रजनीश जैन, सचिव

[विज्ञापन-III/4/असा./161/18]

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 sub-section (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations:-

1. Short title, application and commencement –

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



2. Definitions -

In these regulations, unless the context otherwise requires—

- a. "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b. "Author" includes a student or a faculty or a researcher or staff of Higher Educational Institution (HEI) who claims to be the creator of the work under consideration;
- c. "Commission" means the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;
- e. "Degree" means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;
- f. "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- g. "Faculty" refers to a person who is teaching and/or guiding students enrolled in an HEI in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;
- h. "Higher Educational Institution (HEI)" means a university recognized under section 2(f) of the UGC Act, 1956 or an institution deemed to be university under section 3 of the UGC Act, 1956 or an affiliating college / institution or a constituent unit of a university;
- i. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;
- j. "Institutional Academic Integrity Panel" shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- k. "Notification" means a notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- l. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- m. "Programme" means a programme of study leading to the award of a masters and research level degree;
- n. "Researcher" refers to a person conducting academic / scientific research in HEIs;
- o. "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- p. "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2 (l);
- q. "Staff" refers to all non-teaching staff working in HEIs in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- r. "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- s. "University" means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;
- t. "Year" means the academic session in which a proven offence has been committed.

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



3. Objectives

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

4. Duties of HEI:

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

5. Awareness Programs and Trainings:

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

6. Curbing Plagiarism

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



7. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- 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.

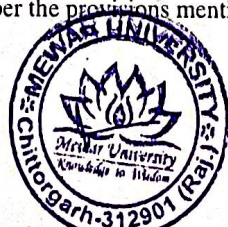
The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher 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 a IAIP whose composition shall be as given below:
 - a. Chairman - Pro-VC/Dean/Senior Academician of the HEI.
 - b. Member - Senior Academician other than Chairman, to be nominated by the Head of HEI.
 - c. Member - One member nominated by the Head of HEI from outside the HEI
 - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The IAIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.



- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of HEI.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the HEI within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

12. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the HEI only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

12.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. **Level 0: Similarities upto 10%** - Minor Similarities, no penalty.
- ii. **Level 1: Similarities above 10% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** -Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

12.2 Penalties in case of plagiarism in academic and research publications

- I. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
- II. **Level 1: Similarities above 10% to 40%**
 - i) Shall be asked to withdraw manuscript.
- III. **Level 2: Similarities above 40% to 60%**
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall be denied a right to one annual increment.
 - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.
- IV. **Level 3: Similarities above 60%**
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall be denied a right to two successive annual increments.
 - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the HEI.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.



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

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

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

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

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.

Prof. RAJNISH JAIN, Secy.

[ADVT.-III/4/Exty./161/18]



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UNIVERSITY GRANTS COMMISSION
BHADURSHAH ZAFAR MARG
NEW DELHI-110 002

N.F.1-1/2020(SECY)

20th April, 2020

PUBLIC NOTICE

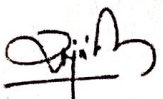
SELF-PLAGIARISM

In the interests of Indian academia, to promote Indian research among the nations, and to ensure credibility and quality, from time to time the UGC has instituted various measures. In its efforts to curb plagiarism the UGC issued the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, so that plagiarised work does not acquire any credibility or value in evaluation. In continuation of its initiative, and in line with global standards of ethical publishing established by leading institutions and Committee on Publication Ethics (COPE), the UGC draws the attention of the academic community to the following:

- (i) Reproduction, in part or whole, of *one's own previously published work without adequate citation* and proper acknowledgment and claiming the most recent work as new and original for any academic advantage amounts to 'text-recycling' (also known as 'self-plagiarism') and is not acceptable.
- (ii) Text-recycling/self-plagiarism includes:
 - republishing the same paper already published elsewhere *without due and full citation*;
 - publishing smaller/excerpted work from a longer and previous *without due and full citations* in order to show a larger number of publications;
 - reusing data already used in a published work, or communicated for publication, in another work *without due and full citation*;
 - breaking up a longer/larger study into smaller sections and publishing them as altogether new work *without due and full citation*;
 - paraphrasing one's own previously published work *without due and full citation* of the original.
- (iii) Self-citations do not add any number/s to the individual's citation index or h-index in global academia.
- (iv) Vice Chancellors, Selection Committees, Screening Committees, IQACs and all/any experts involved in academic performance/evaluation and assessment are hereby strongly advised that their decisions in the case of promotions, selections, credit allotment, award of research degrees must be based on an evaluation of the applicant's published work to ensure that the work being submitted for promotion/selection is not self-plagiarized.

The UGC will be issuing a set of parameters to evaluate instances of text recycling/self-plagiarism soon.




(Prof. Rajnish Jain)
Secretary



Mewar University

Chittorgarh, Rajasthan 312901

MEWAR UNIVERSITY M.PHIL/PH.D. GUIDELINES

UGC (Minimum Standards and Procedures for Awarding M.Phil./Ph.D. Degrees) Regulations, 2016 (Notified on 5 May 2016) adopted in BOM (held on 12-11-2016) and 4th Academic Council Meeting (held on 23-12-2016)

(APPLICABLE FOR 2017 BATCH ONWARDS)





Mewar University

Chittorgarh, Rajasthan 312901

**MEWAR UNIVERSITY PH.D. ADMISSIONS
GUIDELINES**

In concordance with the UGC (Minimum Standards and Procedures for Awarding M.Phil./Ph.D. Degrees) Regulations, 2016 (notified on 5 May 2016) adopted in BOM (held on 12-11-2016) and 4th Academic Council Meeting (held on 23-12-2016)

(APPLICABLE FOR 2017 BATCH ONWARDS)



(Registrar)

Mewar University

Chittorgarh, Rajasthan 312901

MEWAR UNIVERSITY PH.D. ADMISSION GUIDELINES

In concordance with the UGC (Minimum Standards and Procedures for Awarding M.Phil./Ph.D. Degrees) Regulations, 2016 (notified on 5 May 2016) adopted in BOM (held on 12-11-2016) and 4th Academic Council Meeting (held on 23-12-2016)

1. Introduction

Mewar University invites applications from both Indian and international candidates for admission to its Full-time and Part-time PhD programs across various disciplines.

1.1 Detailed PhD admission guidelines and procedures, along with the application form, will be available on the Mewar University website (www.mewaruniversity.org) in the "Call for PhD Admissions" section, which will also include important dates.

1.2 The advertisement for these admissions will be released in advance to ensure wider circulation, allowing sufficient time for applicants to complete their application process.

1.3 Fellowships/teaching assistantships will be offered to deserving candidates.

2. Key Dates

Key dates to remember include:

- Opening date for PhD applications.
- Final deadline for PhD applications.
- Release date for entrance exam admit cards.
- Date of the entrance exam.
- Schedule for interviews.
- Announcement of results.
- Deadlines for fee submission.
- Orientation and commencement of course work classes.



3. Programmes offered with Seat Matrix

The University determines each year, through the Board of Research Studies, a specific and manageable number of Ph.D. scholars to admit, depending upon the availability of Research Supervisors, the scholar-teacher ratio (according to paragraph 6.5 of the UGC Regulations 2016), as well as the academic and physical resources available, including laboratories, libraries, and other facilities.

The University shall notify well in advance on the institutional website and through advertisement in at least two national newspapers, of which at least one shall be in the regional language, the number of seats for admission, discipline-wise distribution of available seats. (seat-matrix), admission guidelines, examination test center(s), and all other relevant information for the benefit of the candidates.

4. Availability and Submission of Application Form

Candidates can download the PDF version of the application form from the university's website or collect a hard copy from the PhD Section at the university. Once the application form is completed, it should be sent to the Director Research at Mewar University, Chittorgarh, Rajasthan, 312901. Applications can be submitted via speed post, courier, or in person.

4.1 Along with the completed application form, the applicant must send, either by email or through post/courier/in-person, the mark sheets and certificates from class 10 onward up to the postgraduate degree.

4.2 Incomplete application forms will be rejected.

4.3 Application forms submitted without self-attested copies of mark sheets, degree certificates, or testimonials will be rejected.

4.4 For candidates applying for a part-time PhD, a "No Objection Certificate" from their employer must be provided at the time of admission. This certificate must clearly state that:

(i) The candidate is permitted to pursue studies on a part-time basis.



(ii) His/her official duties allow sufficient time for research.

(iii) If necessary, he/she will be relieved from their duties to complete the coursework.

5. Eligibility Criteria

The minimum qualifications for admission to a Ph.D. Program (Full-time/Part-time modes) will be as follows:

5.1 Candidate shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

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.

5.2 Candidates who have completed the M.Phil. program in the relevant field with a minimum of 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 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.

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.

5.3 As per the UGC notification dated August 17, 2015, applicants with a Chartered Accountancy (CA) qualification from 'The Institute of Chartered Accountants of India' (ICAI), Cost and Works Accountancy from ICWAI, or Company Secretary from ICSI, with a minimum of 55% marks or an equivalent grade, may be considered eligible for admission to Ph.D. Programs in the relevant field.

5.4 For PhD in Management, 2 Year PG diploma with a minimum of 55% marks or an equivalent CGPA may be considered, provided it is recognized as equivalent to a Master's degree by the Association of Indian Universities (AIU) or the All India Council for Technical Education (AICTE).

5.5 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.

5.6 Foreign/NRI applicants or applicants with a Master's degree from a foreign university must apply with an equivalence certificate from the Association of Indian Universities (AIU) along with the application form.

5.7 National/State reservation policy shall be paid due attention.



6. Mewar University PhD Entrance Test (MUPET) and Interview

6.1 Step-1: All PhD application forms received in the PhD Section will be forwarded to the respective departments. The Deans/Heads of departments will review the applications to determine if the candidates meet the eligibility criteria. A brief report on all received PhD applications, along with the corresponding application forms, must be submitted by the Deans and Heads to the PhD Section for further processing.

6.2 Step-2: All the eligible applicants will issue the Admit Card to appear in the PhD Selection Process.

6.3 Step-3: PhD Entrance Test (MPUET): MUPET of 100 Marks, comprised of two sections:

- Section-A: MCQs on research methodology (50 Marks)
- Section-B: MCQs on subject-specific content (50 Marks) (*Refer to UGC-NET/UGC-CSIR-NET syllabus*)

OR

Refer to section-7 for an exemption from MUPET (Relaxation to NET/ JRF/ GATE/ CEED/ SLET/ teacher fellowship holder or other National-level Exam qualified candidates with a valid certificate or have passed M.Phil. Degree as per clause 5.2/5.5)

6.3.1 Candidates must secure at least 50% of the marks in the entrance test (MUPET) or possess a valid certificate for qualifying a national-level exam in a relevant field to be eligible for an interview.

6.3.2 The MUPET score is only valid for two years unless otherwise specified in the "Call for PhD Applications." However, further extension of maximum one year will be granted by the Vice Chancellor upon the recommendation of the Director Research on a case-by-case basis.



6.3.3 The PhD Entrance Test will be conducted at Mewar University, located in Gangrar, Chittorgarh (Rajasthan). The university may allocate additional test centers depending on the number of applications received.

6.4 Step-4: Document verification, and Interview for MUPET/National level exam qualified Candidates. The Interview will be of 50 Marks to examine the candidates' research skills, competencies, and suitability for the program. An expert committee chaired by the Director of Research will be formed for this purpose.

6.4.1 Candidates appearing in the Interview must bring their Research Proposal (in 1000 words focusing on proposed research area and its relevance in the today's context). Additionally, candidates must present the original marksheets and certificates from class 10 onward, including a set of self-attested copies. If applicable, a valid certificate from a national level exam that qualifies for an exemption from the entrance test should also be included.

6.4.2 The Interviews will be held at the Mewar University, Gangrar, Chittorgarh (Rajasthan).

6.4.3 For the selection of candidates and prepare a final merit list, 50% weightage will be given to both the entrance test and the Interview/Viva-voce.

6.5 Step-5: If a candidate do not secure admission by the deadline, the offer will be given to candidates on the waiting list according to merit order and reservation policies.

6.6 Step-6: If any seats are left in the reserved category, they will be offered to candidates in the general category based on the order of merit.

6.7 Step-7: Following Step-6, if any seats remain available, they will be declared open and offered to the remaining candidates in the order of merit.

6.8 Step-8: Orientation and the beginning of the PhD session.



Note-1: The Orientation Session will include a formal welcome and introduction, allotment of supervisors, interaction with departmental faculty and staff, informative sessions, a university campus visit, and completion of administrative formalities such as obtaining an institutional email ID, identity card, and library access.

Note-2: The University will keep an updated list of all registered Ph.D. students on its website on a yearly basis. This list will include the following information for each candidate: their name, research topic, names of their supervisor and co-supervisor, and the date of their enrolment or registration.

Note-3: There will be a special provision for supernumerary Ph.D. seats for in-service teachers and non-teaching staff, not exceeding 10% of the total capacity. Their admission procedure will be in accordance with clause 6). The supervisor can have two candidates from the supernumerary quota at a given time.

7. Relaxation to M.Phil. and National/State-level Exam qualified candidates

7.1 Candidates who qualify for fellowship/scholarship in UGC-NET/ UGC-CSIR NET/ GATE/ ICAR-AICE-JRF/ ICMR-JRF/SRF/ GPAT/ DBT-JRF/ DST-INSPIRE/ CEED and similar National level tests or teacher fellowship holder are exempted from the Entrance exam and eligible for direct interview. A self-attested copy of the valid certificate confirming exemption from the entrance exam must be included with the application form. A separate merit will be prepared based on interview marks, and 30% of the seats-matrix will be reserved for such candidates, which can be transferred to candidates admitted through entrance test if seats remain vacant.

7.2 A candidate possessing an M.Phil degree in a relevant discipline (as per clause 5.2/5.5) will be directly called for the interview/pre-RDC interaction. A separate merit will be prepared based on interview marks, and 20% of the seats in the seat



matrix will be reserved for such candidates, which can be transferred to candidates admitted through entrance test if seats remain vacant.

8. Fee Structure (Full-time/Part-time)

The application and course fee details will be included in the "Call for PhD Applications" and posted on the University website.

9. Duration of the PhD Programme

9.1 The Ph.D. programme has a minimum duration of three (3) years, which includes coursework, and a maximum duration of six (6) years from the date of admission to the programme.

9.2 An extension of up to two (2) years may be granted by the Vice Chancellor on a case-by-case basis, based on the recommendation of the student's research advisory committee. However, the total time allowed for completing the Ph.D. program must not exceed eight (8) years from the date of admission.

9.3 Additionally, female Ph.D. scholars and individuals with disabilities (having more than 40% disability) may receive an extension of up to two (2) years. In these cases, the total duration for completing the Ph.D. program must not exceed ten (10) years from the date of admission.

9.4 Furthermore, female Ph.D. scholars may be entitled to maternity leave or childcare leave for a maximum of 240 days during their entire duration in the Ph.D. program.

10. Allocation of Research Supervisor

10.1 Permanent faculty members of Mewar University (Rajasthan) working as: Professor with a Ph.D., and at least five research publications in peer-reviewed or refereed journals

Or



Associate/Assistant Professors with a Ph.D., and at least two research publications in peer-reviewed or refereed journals are recognized as a Research Supervisor by the duly constituted “PhD Supervisors Screening Committee” upon final approval of the Hon’ble Vice Chancellor.

- 10.2** Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing by the Chairperson of “PhD Supervisors Screening Committee”.
- 10.3** An eligible Professor/Associate Professor/Assistant Professor can supervise/co-supervise up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. Additionally, Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as above.
- 10.4** The allocation of a Research Supervisor to a selected research scholar shall be decided by the Department concerned, based on the number of scholars per Research Supervisor, the available specialization among the Supervisors, and the research interests demonstrated by the scholar during their interview/viva voce.
- 10.5** Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted in case of interdisciplinary research with the approval of the ‘Student’s Research Advisory Committee’.
- 10.6** Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- 10.7** Faculty members with less than three years of service prior to retirement will not be permitted to supervise new research scholars. However, these faculty members may continue to supervise Ph.D. scholars who are already registered until retirement. They can also serve as co-supervisors after retirement but not beyond the age of 70 years.



- 10.8** If a supervisor leaves the institution, they must continue to serve as a co-supervisor until the PhD scholar defends their final thesis viva-voce. A new supervisor will be assigned based on the recommendation of the 'Standing Committee of the Academic Council' (SCTAC)/'Student's Research Advisory Committee' (SRAC).
- 10.9** If there is no available supervisor in the department, the Dean/HOD/other eligible PhD faculty member may be designated as a caretaker supervisor by the SCTAC/SRAC, pending approval from the Vice Chancellor. If a PhD scholar has completed two years of the program and the supervisor submits a report confirming satisfactory progress towards research objectives, the SRAC may recommend the assignment of a caretaker supervisor (such as the Departmental Dean/HOD/other eligible PhD faculty member) to the student until the final PhD thesis defense.
- 10.10** In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

11. Evaluation and Assessment Methods, Minimum Standards for Award of the PhD Degree

11.1 Coursework

11.1.1 Credit requirements set by the University- 12 Credits

11.1.2 Papers in Coursework-

Paper-I (Res-I (A): Research Methodology (4 Credits)

Paper-II (Res-I (B): ICT (4 Credits)



Paper-IV (Res-II): Dissertation and Presentation related to the proposed area of research (4 Credits)

11.1.3 Visit University website for Important Link-Course Work Syllabus/ Course Work Paper Formats/Guidelines for Assignment.

11.1.4 Duration of Course Work- Six Months (*Course work must be completed within 18 months from the date of admission, with a maximum of two attempts. However, an extension of 6 months will be given by the Vice Chancellor upon the recommendation of the SRAC/SCTAC.*)

11.1.5 Criteria of Coursework Completion- A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 7-point scale in the coursework to be eligible to continue in the programme and submit his or her thesis.

11.1.6 Additional Assignments- Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

11.1.7 M.Phil candidates admitted to the Ph.D programme shall be exempted by the SRAC from the coursework requirement, provided they have undertaken a mandatory paper on research methodology during their M.Phil.

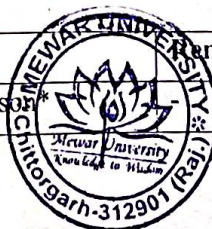
11.2 Publication requirements

Ph.D. scholars are required to publish at least one research paper in a refereed journal and to make two presentations at conferences or seminars before submitting their dissertation or thesis for evaluation. They must also provide evidence of these accomplishments in the form of presentation certificates or reprints.

11.3 Student Research Advisory Committee (SRAC)

11.3.1 Composition-

S.No.	Designation	Position	Remarks
1.	Dean/HOD	Chairperson	



2.	Supervisor	Convener	-
3.	Co-Supervisor	Ex-officio member	Optional
4.	Expert	Member	From the same department/ other department in case of multidisciplinary research/ VC Nominee.
5.	Statistician/ Research Methodology Expert	Member	-

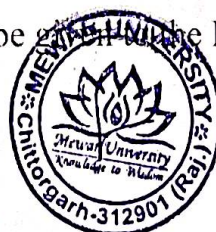
**If the Head of Department (HOD) is not a PhD holder, the Vice-Chancellor (VC) will nominate a senior faculty member from the same or a different department as the committee chairperson, with the HOD serving as a member in this scenario.*

11.3.2 Functions-

- 11.3.2.1 To guide the PhD Scholar in developing the research proposal and topic.
- 11.3.2.2 To recommend the RDC for approval of the research proposal and topic.
- 11.3.2.3 To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- 11.3.2.4 To periodically review and assist in the Ph.D. scholar's research work progress.
- 11.3.2.5 The SRAC will determine if the supervisor/co-supervisor has issued the certificate for incorporating corrections suggested by the examiners.

NOTE:

1. Each semester, a Ph.D. scholar shall appear before the SRAC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance.
2. The SRAC will provide its recommendations, along with a copy of the Ph.D. scholar's progress report, to the Research Section. A copy of these recommendations will also be given to the Ph.D. scholar.



3. In case the progress of the Ph.D. scholar is unsatisfactory, the SRAC shall record the reasons for the same and suggest corrective measures.
4. If the Ph.D. scholar fails to implement these corrective measures in the next consecutive semester, the SRAC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

11.4 Research Degree Committee (RDC)

11.3.1 Composition-

S.No.	Designation	Position	Remarks
1.	VC or his nominee*	Chairperson	-
2.	Supervisor	Member	
3.	Co-Supervisor	Member	Optional
4.	External Subject Expert	Member	Nominated by the VC/ Competent Authority
5.	Director-Research (PhD Section)	Member Secretary	

11.3.2 Roles and Responsibilities- To review the research proposal and finalize the topic of research.

11.3.3 RDC timeline- Within 24 months from the date of admission (eligible only after successful course work completion and Recommendation of SRAC/ competent authority) with a maximum of two attempts. However, an extension of 12 months will be given by the Vice Chancellor upon the recommendation of the SRAC/SCTAC.

11.5 Standing Committee of The Academic Council (SCTAC)- PhD degree

11.5.1 Roles and Responsibilities-

- 11.5.1.1 Consider the examiners' report and make a decision regarding the award of PhD degree.



- 11.5.1.2 Consider the SRAC report regarding the extension of the registration term for a PhD scholar beyond the limits set by UGC PhD regulations (2022 or as applicable).
- 11.5.1.3 The SCTAC may take action against supervisors who are found to be negligent in their responsibilities. This could include considering the possibility of debarring them from supervising future scholars.
- 11.5.1.4 Consider the recommendations from the SRAC regarding the appointment or change of supervisor/co-supervisor.
- 11.5.1.5 Make other decisions related to PhD matters based on recommendations from the Hon'ble Vice-Chancellor/Competent authority.

11.6 PhD Thesis Pre-Defense

Before submitting the Final dissertation/thesis for evaluation, the Ph.D. scholar shall make a Pre-Thesis presentation before the Pre-Viva evaluation board and SRAC members. If the committee gives a positive recommendation, the candidate will be permitted to submit their thesis. If revisions or a resubmission are necessary, the candidate must complete the revised work within a maximum period of nine months. A maximum of two attempts will be allowed to present before the Pre-Viva evaluation board.

11.7 Submission of PhD Thesis for Evaluation and Final Defense

- 11.7.1 After recommendation of the Pre-Viva evaluation board and SRAC, the Ph.D. scholar shall submit the PhD thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not



been submitted for the award of any other degree/diploma to any other University/Institution.

- 11.7.2 A verified plagiarism report from the university's central library must be submitted with the PhD thesis.
- 11.7.3 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners (one from state other than Rajasthan) who are experts in the field (*academicians/ researchers with a good record of scholarly publications in the field*) and not in employment of the Mewar University (Rajasthan).
- 11.7.4 The viva-voce board consist of the Research Supervisor and at least one of the two external examiners.
- 11.7.5 The viva-voce shall be open to the members of the SRAC/faculty members/research scholars, and students.
- 11.7.6 The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- 11.7.7 The entire process of PhD Thesis evaluation, final defense/viva voce, and declaration of the result as mentioned in Section-11.6 shall complete within a period of six (6) months from the date of submission of the thesis.



Note: In case of delay, appropriate reasons shall be recorded by the competent authority and informed to the Supervisor, PhD Scholar, and SCTAC.

12. Issuing a Provisional certificate

Prior to the actual award of the Ph.D. degree, the University, upon recommendation of the SCTAC, shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of UGC Regulations 2016 (or as applicable).

13. Depository with INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET.

14. Annexures/Formats Important for Registered PhD Students

All the annexures/formats/general guidelines on plagiarism, publication/paper presentation requirements, language editing tool, ethical clearance, general formatting, undertakings/ declarations, along with other related information, will be provided and updated periodically on the Mewar University website under the “Research Section tab”.

15. Routine PhD proceedings and Queries:

For Standard Operating Procedures regarding routine PhD proceedings, Registered PhD scholars can contact at PhD Section of the University.

(This document has in total sixteen pages).

