

Ph.D. REGULATIONS (2017)



HINDUSTAN
INSTITUTE OF TECHNOLOGY & SCIENCE

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HINDUSTAN INSTITUTE OF TECHNOLOGY AND SCIENCE

Ph.D. REGULATIONS

1.0 Program Objective

The objective of the Ph.D. program is to provide a congenial academic environment and infrastructure facilities to talented and suitably qualified candidates enabling them to undertake a substantial programme of individual research, involving the sustained exercise of independent critical powers, including the ability to use research outcomes to guide the development of the research programme and leading to a significant original contribution to knowledge in areas of current national and international importance at peer acceptance standard.

2.0 Categories of Admission

Candidates will be admitted to the Ph.D. programme of the Institute under one of the following categories:

- a) Regular full time scholars with or without Institute fellowship or with project support.
- b) Research scholars who are staff members of the institute (Part time –Internal).
- c) Research scholars under the external registration programme (Part time – External) sponsored by and employed in industry/organisation having R & D facilities and recognised by DST or HITS, national laboratories, reputed universities/colleges or employed in research/analysis jobs in public sector/private sector/ government in the case of management area.

(A research scholar under the external registration programme will normally carry out part or all of his /her research work in the industry/ organization/national laboratories/universities employing the scholar under the supervision of a co-supervisor also employed in the same organization and a supervisor at HITS.

The candidate must have at least two years' experience in the case of registration in Engineering/Sciences/Social Sciences and in Management).

- d) Research scholars working on a part time basis from a reputed University / Institution /Organisation.

(A research scholar working on a part time basis shall normally carry out the research work at his/her place of work under the supervision of a supervisor at HITS, Padur. The feasibility of doing this with sufficient intensity will be an important consideration in admitting the scholar in this category).

3.0 Eligibility

3.1 Minimum Educational Qualifications for Regular Full Time / Part Time Research

The minimum educational qualifications for admission to the Ph.D. programme of the Institute are as follows:

3.1.1 Ph.D. in Engineering

- (a) Master's degree in Engineering/Technology in relevant branch with a good academic record and having a valid GATE score or equivalent qualification tenable for the current year in the relevant area.
- (b) Master's degree in Engineering/Technology in relevant branch with **second class**.
- (c) In those cases in which class is not awarded in the qualifying examination but only marks, the candidate should have obtained a **minimum of 55 % mark**.
- (d) In those cases in which class is not awarded in the qualifying examination but only grades, the candidate should have obtained a **CGPA 6.1 on a seven point scale**.
- (e) Master's degree by Research in Engineering/ Technology disciplines, with a good academic record.
- (f) 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.

3.1.2 Ph.D. in Humanities and Sciences including Physical Education

- a) Master's degree in an eligible discipline/MCA with a good academic record and having a valid GATE score or UGC/CSIRNET/NBHM or equivalent qualification tenable for the current year in the relevant area.
- b) Master's degree in an eligible discipline/MCA with **second class**.
- c) In those cases in which class is not awarded in the qualifying examination but only marks, the candidate should have obtained a **minimum of 55 % mark**.
- d) In those cases in which class is not awarded in the qualifying examination but only grades, the candidate should have obtained a **CGPA 6.1 on a seven point scale**.
- e) Master's degree by Research in eligible discipline, with a good academic record.
- f) 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.

3.1.3 Ph.D. in Architecture and Planning

- a) Master's degree in an eligible discipline with a good academic record or equivalent and having a valid GATE score or UGC/CSIRNET/ NBHM or equivalent qualification tenable for the current year in the relevant area.
- b) Master's degree in an eligible discipline with **second class**.
- c) In those cases in which class is not awarded in the qualifying examination but only marks, the candidate should have obtained **a minimum of 55 % mark**.
- d) In those cases in which class is not awarded in the qualifying examination but only grades, the candidate should have obtained **a CGPA 6.1 on a seven point scale**.
- e) Master's degree by Research in eligible discipline, with a good academic record.
- f) 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.

3.1.4 Ph.D. in Management

- a) Master's degree or equivalent PG Diploma or Associateship (CA/ICWA etc.) in any discipline, and a Bachelor's degree with a minimum of 60 percent marks OR Qualifying in national level examinations such as JMET /CAT /XAT /MAT /ATMA /GATE /UGC or CSIR / NET / JRF or Lectureship or equivalent or international level post graduate admission examination such as GMAT / GRE or equivalent. (**a minimum of 55 % mark / CGPA 6.1 on a seven point scale**)
- b) Five year integrated master's degree / dual degree or equivalent in any discipline with a minimum of **55 percent marks** OR Qualifying in national level examinations such as JMET /CAT /XAT /MAT /ATMA /GATE /UGC or CSIR/NET / JRF or Lectureship or equivalent or international level post graduate admission examination such as GMAT / GRE or equivalent.
- c) Master's degree in Engineering / Technology with a good academic record (mentioned in para 3.1.1) or a Master's degree by Research in Engineering / Technology in a relevant discipline are exempted from qualifying in National level examinations.
- d) 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.

3.1.5 Institute staff members / Research scholars under External Registration/Research scholars working on part time basis.

- For Research Scholars in the above categories, the minimum educational qualifications are the same as prescribed for full time research Scholars in 3.1.1, 3.1.2, 3.1.3 and 3.1.4 for admission to the Ph.D. programme in the respective categories. However, valid GATE score or CSIR / UGCJRF or Lectureship / NBHM / JMET / CAT / AIMA or equivalent qualification as applicable for regular full time research scholars may not be required in these cases.

- The research scholars may be admitted to the Ph.D. programme under the part time Category from a reputed University/ Institution/ Organization and they must have a minimum of two years' experience for Ph.D. in the case of registration in Engineering / Science / Social Sciences / Management Studies.
- HITS will not conduct Ph.D. Programmes through distance education mode.
- The candidates studied their PG or M.Phil. Degree courses in foreign Universities should produce equivalency certificate from recognized Indian universities.

4.0 International Students

Foreign nationals with valid passport and visa may be admitted under any one of the four categories of admission mentioned in 2.0. Such candidates with degrees from Indian Universities should have the same educational qualifications as mentioned in 3.0 for Indian students. Foreign nationals with foreign degrees shall possess the minimum educational requirements equivalent to the qualifications mentioned in 3.1.1, 3.1.2, 3.1.3 and 3.1.4 as recognized by HITS. After admission, they should apply, through HITS, for necessary clearance from the Government of India for study in India.

5.0 Selection Procedure

- 5.1** Eligible candidates possessing the minimum educational qualifications mentioned in 3.0 should apply in the prescribed application form (through proper channel wherever applicable) before the due date mentioned in the relevant notification issued by the University.
- 5.2** The applications by the candidates shall be processed by committees constituted by the Vice-Chancellor, HITS in consultation with Head of concerned Department.
- 5.3** Such committees will scrutinize the applications for eligibility norms. They will also conduct test/interview for the eligible candidates. Based on the performance in the test/interview, successful candidates shall be short listed by the committees for the purpose of admission.
- 5.4** For the short-listed candidates, the committees shall nominate research supervisors, taking into account the area of research of the candidate and the field of expertise of the supervisors. The recommendations of the committees will be forwarded to the Director, Research for Placing before the Vice-Chancellor.

6.0 Admission

- 6.1 After consent of the Vice-Chancellor, the Registrar's Office will inform the candidate about his/her provisional selection for the Ph.D. program and ask him/her to pay the prescribed fees.
- 6.2 Ph.D. Research scholars are bound to remit their prescribed annual course fees as per the instructions of HITS on or before one's own registration date without fail.
- 6.3 After candidate pays the prescribed fees, the candidate is provisionally admitted and registered for the program effective from the last date prescribed for the payment of fees.

6.4 The candidate shall submit joining report along with the copy of payment of fees to the Director, Research through concerned HOD, supervisor(s) and the sponsoring institution, if any.

7.0 Supervisor Recognition

7.1 Only a full time regular teacher of the HITS 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.

7.2 Any regular Professor of the HITS with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the HITS 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.

Faculty with Ph.D. degree working in other institutions and who get themselves recognized by HITS can act as Co-supervisors.

7.3 The recognized supervisors working in public sector R&D organizations such as DAE, ISRO, DRDO can act as co-supervisors along with a Joint-supervisor from Hindustan University.

7.4 The recognized supervisors working in private sector R&D organizations can act only as Joint-supervisors along with a main supervisor from Hindustan University for Part-time (External) candidates sponsored by their organizations.

7.5 When a faculty member, who has supervised a candidate, retires, he can continue to be a supervisor. In such a case a faculty who is in service shall be appointed as a co-supervisor. The supervisor will be invited for all meetings in which the candidate's work is reviewed.

7.6 In case a faculty member supervising a candidate goes on leave exceeding 6 months, another faculty member will be appointed as co-supervisor of the candidate.

7.7 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.

7.8 Change/Addition of Supervisor :

The Doctoral Committee of a Ph.D. scholar may recommend change of supervisor or appointment of a co-supervisor for valid reasons.

7.9 Maximum number of candidates under supervision of a supervisor:

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.

7.10 However, the Vice – Chancellor of HITS on recommendations of the Board of Research Studies can relax these conditions in an extraordinary case.

8.0 Doctoral Committee: There shall be a doctoral committee for each Ph.D. scholar to monitor the progress of the scholar. The Head of the Department will inform the Director, Research for each scholar the area of research, the name(s) of the supervisor(s) and panels of names, indicating the area of specialization, for constitution of doctoral committee within two weeks of the registration of the candidate.

8.1. The following will be the composition of the doctoral committee :

- | | | |
|-----|---|---------------|
| (1) | Dean Research | Chairman |
| (2) | Head of the Department where the scholar is studying | Member |
| (3) | Supervisor | Convener |
| (4) | Co-supervisor if any | Member |
| (5) | One faculty member of HITS nominated by Dean, Research
(from a panel of 3 names provided by the HOD) |Member |
| (6) | One external member nominated by Dean, Research
(from a panel of 3 names provided by the HOD) | Member |

In case any member goes on leave exceeding 6 months or resigns or retires from the University, Dean, Research will nominate another member.

9.0 Program Structure

9.1 Course Work

- 9.1.1 A minimum of four courses relevant to the area of research shall be prescribed by the Research Advisory Committee / Doctoral Committee of which one shall compulsorily be Research Methodology with four credits. Other three courses may be from one's own main / relevant discipline or one among the three can be in self-study / elective mode, if necessary and approved by the committee.
- 9.1.2 The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 9.1.3 The course content of these courses following the rules for P.G. courses may be designed by the doctoral committee and got approved by the concerned Board of Studies. At least two of these shall be those that are offered under any approved P.G. Program of HITS.
- 9.1.4 All the candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the department during the initial one or two semesters.
- 9.1.5 One semester Residency is mandatory for Ph.D. Part time external scholars.

- 9.1.6 The Ph.D. scholar shall obtain a minimum CGPA of 6.5 in the courses prescribed for him subject to a minimum Grade of “C” in individual subject.
- 9.1.7 The Doctoral Committee may give credit to courses already undergone by a research scholar in this Institute or other Institutions, provided they are the same or equivalent to those prescribed, and the performance level of the scholar in them meets the minimum requirements. The Doctoral Committee may prescribe additional courses for research scholars wherever found necessary.
- 9.1.8 Candidates with the M.Phil. Degree in the Faculty of Science and Humanities may be exempted from course work carried out in the M.Phil. Programme, provided the M.Phil. Degree is related to the proposed Ph.D. field of research and if duly recommended by the doctoral committee.
- 9.1.9 The Doctoral Committee of the scholar shall meet within two weeks from the date of its constitution, where the research scholar will make a presentation. The Doctoral Committee will consider the proposed research topic and prescribe/approve the courses of study in this meeting.

10.0 Comprehensive Examination

- 10.1.1 On the successful completion of the course work, the Comprehensive Examination Committee constituted by the competent authority will conduct for the scholar a comprehensive examination. This will be in the form of a written-cum-oral examination to test the knowledge of the scholar in the fundamentals of the broad area of specialization and the course work undergone by him.
- 10.1.2 The Comprehensive Examination Committee will consist of five members nominated by the competent authority. The committee will include the candidate’s supervisor and Doctoral committee as members. The result of the examination will be conveyed by the Chairman of the comprehensive examination committee to the Director, Research either as satisfactory or not satisfactory.
- 10.1.3 The Ph.D. research scholars are normally expected to complete successfully the Comprehensive Examination within a year and half (i.e. 3 semester) after his/her registration in the Ph.D. programme and in any case not later than three semesters after his registration in the Ph.D. programme. However, for Part-time candidate, the Comprehensive Examination should be completed no later than four semester after his registration.
- 10.1.4 If the performance of the scholar in the comprehensive examination in the first attempt is not satisfactory, he will be given one more opportunity to appear for the comprehensive examination within six months of the first attempt. The registration of the candidate who fails in both the attempts will be cancelled.

11.0 Progress Report

- 11.1 The six months progress report submitted by the research scholar should be duly verified by the Guide and Supervisor(s) and counter checked by the Head of the Department, which will be collected, perused and reported by the research co-

ordinator of department to the research office and then after for consideration by the Doctoral Committee.

- 11.2 The progress made by a research scholar shall be reviewed by the Doctoral Committee once in every six months.
- 11.3 Continuance of registration and award/continuance of scholarship/Research Assistantship will be based on the recommendation of the Doctoral Committee.
- 11.4 In the case of research scholars under external registration or working on a part time basis, the Doctoral Committee will pay particular attention to the quantum of effort put in by the scholar towards doctoral studies and progress.
- 11.5 Inadequacy of effort/progress can be a reason for cancellation of registration.

12.0 Relief from Ph.D. programme to take up job

Full Time Ph.D. Scholars who gets offer in an Industry/Institute can get relief from the programme, while keeping their registration alive on payment of the requisite fees every year, on the following condition:

Scholars who take up jobs will be relieved on their request, based on the recommendations of Doctoral Committee, if they have completed their:

- (a) Course work and
- (b) Comprehensive examination.

The renewal of their registration for every year/semester however, will be considered only if the Doctoral Committee finds his/her progress to be satisfactory and recommends continuance of registration.

13.0 Duration of Program

- 13.1.1 From the date of commencement of the Ph.D.programme, the minimum and the maximum period prescribed for completion of Ph.D. Programme are as follows:

<u>Category</u>	<u>Minimum period of the programme</u>	<u>Maximum period of the programme</u>
<u>Full-time</u>	<u>2 years for candidates with M.Phil.</u>	<u>6 years</u>
	<u>3 years for other candidates (M.E. / M.Tech.,M.A., M.Sc., M.B.A. or equivalent)</u>	<u>6 years</u>
<u>Part-time</u>	<u>3 years for candidates with M.Phil.</u>	<u>6 years</u>
	<u>4 years for other candidates (M.E. / M.Tech., M.A., M.Sc., M.B.A. or equivalent)</u>	<u>6 years</u>
<u>(Internal/</u>		

<u>External)</u>		
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13.2 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. In exceptional cases on the recommendation of the Doctoral committee, the minimum duration may be reduced by one year by the Vice-Chancellor's approval and the matter will be reported to Board of Management.

14.0 Extension of Maximum Duration

14.1 A maximum period of one year beyond the maximum stipulated time may be granted by the Vice-Chancellor, three months at a time, to enable the research scholar to submit the thesis.
 14.2 If the research scholar fails to submit the thesis within the extended period of one year, the registration of the candidate shall be cancelled.

15 Cancellation of Registration

- 15.1 The registration is liable for cancellation with one week prior notice to the Ph.D. Research Scholars for the following reasons:
- 15.2 The scholar has not paid the prescribed annual fees within the stipulated time.
- 15.3 Two consecutive six monthly progress reports are not submitted or found to be not satisfactory by the doctoral committee.
- 15.4 The scholar submits an application for withdrawal from the program.
- 15.5 In all the above cases, the fees paid by the scholar shall not be refunded.

16.0 Submission of Synopsis

- 16.1 On satisfactory completion of the course work, Comprehensive Examination and the Researchwork, the scholar shall submit six copies of the synopsis of his/her research work in the required format through the supervisor and the Head of the Department to the Research Office.
- 16.2 Ph.D. scholars must publish at least two (2) research paper in refereed journal and make two paper presentations in conferences/seminars (and the proceedings should be published in journals with Scopus index, IEEE or Web of Science that should reflect in SCIMAGO Q1, Q2, Q3 or Q4 status) in their relevant area of research, before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints).
- 16.3 If the Doctoral Committee approves the research work reported in the synopsis, it shall forward six copies of the approved synopsis to the Research Office along with a panel of six examiners, out of which three either from within the State or from outside the State

and three from abroad. The examiners from India should preferably be from Institutes of National importance (IIT, IISc., NIT and recognized Universities.)

17.0 Submission of Thesis

17.1 The research scholar shall, within three months of acceptance of the synopsis, submit three copies of the thesis prepared in accordance with the format and specification prescribed. Along with the thesis copies, three copies of the abstract of the thesis in about 400 words will also be submitted. Under no circumstances, the thesis submission can be delayed beyond 3 months after acceptance of synopsis. In extraordinary circumstances, an extension of three months may be permissible with the recommendation of the doctoral committee.

18.0 Thesis Evaluation

- 18.1 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 HITS of whom one examiner may be from any of the Government recognized Universities / research Institutes with high standards of academic research and excellency within the country and another one examiner may be from universities par excellence outside the country (Refer 16.3).
- 18.2 Director/ Dean Research is to take such steps as necessary to receive the reports from the examiners as quickly as possible.
- 18.3 The examiners will be requested to send in the prescribed form their reports within three months from the date of receipt of the thesis.
- 18.4 The examiner shall include in his report an overall assessment of the thesis and state his recommendation in one of the following categories:
- a. Recommended for the award of the degree of Doctor of Philosophy: Highly commended / Commended.
 - b. Recommended for the award of the degree of Doctor of Philosophy subject to revision being incorporated in the thesis as mentioned in the report which may be verified by the Viva-voce committee.
 - c. Revision required as mentioned in the report and the revised thesis to be sent to him for final recommendation.
 - d. Rejected.
- 18.4.1 The examiner in his report of 200 to 300 words shall indicate the standard attained in case of category (a), the nature of revision required in case of categories (b) and (c) and the reasons for rejection in case of category (d).
- 18.4.2 If both the examiners recommend the award of the degree, the thesis shall be provisionally accepted.
- 18.4.3 If both the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar will stand cancelled.

18.4.4 If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice-Chancellor. If two of the three examiners recommend the award, the thesis shall be provisionally accepted. If two of the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar will stand cancelled.

18.4.5 If the recommendation from any examiner is of the category (c), then the scholar will be asked to revise the thesis as required and resubmit the thesis within 6 months. The revised thesis will be referred to the same examiner for his final recommendation.

18.4.6 Individual cases not covered by any of the above clauses shall be referred to the Vice-Chancellor for his final decision.

19.0 Viva - Voce Examination

19.1 Vice-Chancellor shall constitute the Viva-Voce Examination Board as follows :

- | | | |
|-----|--------------------------------------|----------------|
| (a) | Supervisor of the Candidate | Convener |
| (b) | One Examiner of the thesis | Member |
| (c) | An examiner from the panel in (16.3) | Member |

The doctoral committee members of the Research Scholar will be invitees to viva-voce.

19.1.1 The Viva-Voce Board will ensure that the candidate has carried out the revisions, if any, pointed out by the thesis examiners. They will examine the scholar on his thesis work, in particular, on the questions if any raised in the thesis evaluation reports. The Viva-Voce Board will evaluate the candidate's performance as either satisfactory or otherwise.

19.2 If the Viva-Voce Board declares the performance of the scholar not satisfactory, he /she may be asked to reappear for viva-voce examination at a later date (not later than 3 months from the date of the first viva-voce examination).

19.3 If the performance of the candidate on the second viva-voce examination also is not satisfactory, the Vice-Chancellor, if he deems it necessary, shall refer the report of the Viva-Voce Examination Board, along with the thesis and the Thesis Examiner's Reports to a committee constituted for the purpose. The decision of the Vice-Chancellor shall be final.

19.4 On satisfactory completion of viva-voce examination, the candidate shall submit a copy of the thesis in the following forms with a certificate by the supervisor that all the revisions, if any as suggested by the examiners have been carried out.

- a) Hard copy in A5 size and soft-bound
- b) CD ROM or any other electronic medium as prescribed

20.0 Depository with INFLIBNET:

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree the HITS shall submit an electronic copy of the Ph. D. thesis to the UGC directed INFLIBNET.

21.0. Award of Ph.D. Degree

If the report of the viva-voce Examination Board is satisfactory, the candidate will be awarded the Ph.D. Degree with the approval of the Academic Council and the Board of Management.

22 .0 The Act of Plagiarism

22.1 In the case of scholars who committed the act of plagiarism in the Thesis/Journal Publication, his/her Thesis/Degree shall be forfeited and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other programme in the University.

22.2 For the abetment of above such action, the recognition of research guide / supervisorship of the scholar's supervisor shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars for any research programme in the University till such period.

23.0 Items not covered under the Regulations

Items not covered under the above-said regulations will be dealt with by the vice-chancellor or a committee duly appointed by the vice-chancellor.

24.0 Power to Modify

The Board of Management has the right to modify any of the above regulations from time to time.