

Regulations Governing the Degree of Doctor of Philosophy (Ph.D.), 2023

1. Preamble

The doctoral programme shall create a community of scholars in education policy, planning and management to support the quality and excellence of education system.

Short Title and Commencement

The regulations shall be called the "Regulations Governing the Degree of Doctor of Philosophy" offered by the National Institute of Educational Planning and Administration (NIEPA).



नीपा डीरक जयंती
NIEPA Diamond Jubilee
1962-2022

**National Institute of Educational
Planning and Administration (NIEPA)**
(Deemed to be University)

Regulations Governing the Degree of Doctor of Philosophy (Ph.D.), 2023



**National Institute of Educational
Planning and Administration (NIEPA)**

(Deemed to be University)

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(Deemed to be University)

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Regulations Governing the Degree of Doctoral Philosophy (Ph.D.)

1. Preamble

The doctoral programme shall create a community of high-class researchers in education policy, planning and management to support the quality and governance of education system.

2. Short Title and Commencement

- 2.1 The regulations shall be called the “Regulations Governing the Degree of Doctor of Philosophy” offered by the National Institute of Educational Planning and Administration (NIEPA).
- 2.2 These regulations are based on the UGC (Minimum Standards and Procedures for award of Ph.D. degree) Regulation, 2022.
- 2.3. The regulations hereunder are subject to amendments, from time to time, after considering the recommendations of the Board of Studies and Academic Council, and finally approved by the Board of Management. Such amendments will come into force from the date of their notification by the University and apply to such batches of candidates, including those already undergoing the programme, as may be announced.

3. Definition

- i. ‘UGC’ means the University Grants Commission established at New Delhi by an Act of Parliament in 1956.
- ii. ‘Ph.D.’ means Doctor of Philosophy.
- iii. ‘Programme’ means the academic Programme leading to the award of the Degree of Ph.D.

- iv. **‘Guide/Research Supervisor’** means an academician/ researcher recognized by NIEPA to supervise the Ph.D. scholar for his/ her research.
- v. **‘Co-supervisor’** means the additional Research Supervisor who supervises the doctoral research of a candidate along with the Research Supervisor.
- vi. **‘DPC’** means Doctoral Programme Committee constituted by the University as per these Regulations.
- vii. **‘DAC’** means Doctoral Advisory Committee constituted by the University as per the provisions of the UGC Regulations in force from time to time.
- viii. **‘Programme Advisory Committee’** means a committee constituted by the university as per the provisions of these Regulations.
- ix. **‘Course Work’** means the courses prescribed as a part of the Ph.D. programme, which the candidate shall successfully complete as a pre-requisite.
- x. **‘Full-Time Scholar’** means Research Scholars who are spending their Full-Time on campus for a research programme.
- xi. **‘Part-Time Scholar’** means Research Scholars who are employed and are spending a part of their time on campus for a research programme.
- xii. **‘Degree’** means a degree awarded by NIEPA.
- xiii. **‘External examiner’** means an academician/researcher with published research work who is not part of the NIEPA where the Ph.D. scholar has registered for the Ph.D. programme.
- xiv. **‘Grade Point’** means a numerical weight allotted to each letter grade on a 10-point scale.
- xv. **‘Plagiarism’** means the practice of taking someone else’s work or idea and passing them as one’s own;
- xvi. **‘Prospectus’** means any document, whether in print or otherwise, issued for providing fair and transparent information relating to NIEPA and programmes, to the general public (including to those seeking admission in NIEPA) by the NIEPA;

- xvii. **‘Research Proposal’** means a brief write-up, giving an outline of the proposed research work, which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;

4. Eligibility Criteria

4.1 Ph.D. Programme

4.1.1 Candidates who have completed:

A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme in Social Sciences and applied disciplines or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme in Social Sciences and applied disciplines or qualifications declared equivalent to the master's degree in Social Sciences and applied disciplines by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

Or

equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

- #### **4.1.2 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in Social Sciences and applied disciplines in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess,**

accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

- 4.1.3 Candidates who are yet to clear their final examination at the master level are also eligible to apply provided they have passed the examination as per the eligibility conditions laid down in the regulation previous semesters and submit its proof at the time of final admission. In case, because of delay in examination, a candidate fails to provide the proof of minimum eligible marks, an extension of six months from the date of submission shall be given by the DPC, failing which the admission of such candidate shall be cancelled.

5. Duration of the Programme

For Full-Time Ph.D. Programme

- (1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

For Part-Time Ph.D. Programme

- (2) The Ph.D. Programme shall be for a minimum duration of five (5) years, including course work, and a maximum duration of eight (8) years from the date of admission to the Ph.D. (Part-time) Programme.
- (3) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of NIEPA concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- (4) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

6. Procedure for Admission

- (1) 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/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- (2) Admission to the Ph.D. programme shall be made using the following methods:
 - i. NIEPA may admit scholars who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests based on written test and interview. And/or
 - ii. NIEPA may admit scholars through an Entrance Test conducted by NIEPA.
 - iii. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the UGC from time to time.
 - iv. NIEPA may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
 - v. Provided that for the selection of candidates based on the entrance test conducted by the NIEPA, a weightage of 70% for the entrance test and 30% for the performance in the interview/viva-voce shall be given.
 - vi. NIEPA shall adhere to the National level reservation policy as applicable in admitting candidates to the Ph.D. programme

7. Allocation of Research Supervisor

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

- (1) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university. Such recognized research supervisors cannot supervise research

scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.

Co-Supervisors from within the NIEPA or other Higher Education Institutions may be permitted with the approval of the Competent Authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- (2) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the NIEPA may be appointed.
- (3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- (4) 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.

8. Admission of International Scholars in Ph.D. Programme

- (1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in these regulations.
- (2) The NIEPA may decide their own selection procedure for Ph.D. admission of international scholars keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

9. Number of Ph.D. Students Allotted to Faculty

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number as given in the regulation.

10. Course Work - Credit Requirements, Number, Duration, Syllabus, Minimum Standards for Completion, etc.

- (1) The Credit requirement for the Ph.D. coursework shall be of minimum 16 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- (2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- (3) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to become eligible to continue in the programme and submit his or her thesis.

11. Research Advisory Committee and Its Functions

- (1) There shall be a Research Advisory Committee or an equivalent body for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convenor of this committee, and this committee shall have the following responsibilities:
 - i. To review the research proposal and finalize the topic of research.
 - ii. 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.
 - iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.
- (2) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the DPC. A copy of such recommendations shall also be provided to the Ph.D. scholar.

- (3) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

12. Programme Advisory Committee

There shall be a Programme Advisory Committee of Ph.D. Programmes in NIEPA for the support and advise to upgrade the standards of the programme. The composition of the Committee shall be as follows:

1. All the Heads of the department in NIEPA shall be the members of the committee.
2. The Chairperson of the Doctoral Programme Committee and MA in Education and Development Programme Committee shall be ex-officio members of the committee.
3. The Committee shall be headed by one of the members of the Committee preferably by the senior most Professor .
4. Upto two members may be coopted for specific purpose from time to time.

The major role and responsibilities:

1. The Committee shall meet from time to time and take a view on the overall functioning of the programme including quality of teaching and research, student graduation outcomes, student support and progression, standarised and rationalized assessment and outcome.
2. The Committee shall advise and recommend measures or action for improving the programme or courses.
3. The Committee may extend support and guide the programme committees on any matter refered to by the Doctoral Programme Committee and MA in Education and Development Programme Committee.
4. Programme Advisory Committee shall report to the Vice-Chancellor.

13. Governance of the Ph.D Programme

- 13.1 **Doctoral Programme Committee (DPC):** There shall be a Doctoral Programme Committee. The Committee shall be responsible to carry out different activities such as admission, teaching learning, examination, supervision to run the doctoral programme through the different sub committees. The committee shall also support students towards the successful completion of the programme. Overall, this committee shall be responsible for the successful running of the Doctoral Programme. Doctoral Programme Committee shall be constituted by the Vice-Chancellor, NIEPA.
- 13.2 The Committee shall report to the Vice-Chancellor and prepare all the minutes of the meetings of the committee and its sub- committees. It shall also prepare all the agendas for Board of Studies, Academic Council and the Board of Management.

14. Responsibility of Supervisor

The supervisor is expected to guide the Ph.D. scholars. The responsibilities of the supervisor include:

- Regular contact with the Ph.D. scholars, and discuss to see if the ideas are good for the research project.
- Guiding the scholar about the choice of relevant courses and conferences related to the field.
- Advising the scholar for contacting relevant national and international organisations in the area of research.
- Assisting the scholar for incorporation of knowledge dissemination element in the course of study.
- Regular review and feedback on the Ph.D. work.
- Preparation of the final statement from supervisor summarizing the overall Ph.D. programme at the time of Ph.D. thesis submission.

15. Change of Research Supervisor

- 15.1 Transfer of Ph.D. scholars from one Research Supervisor to another Research Supervisor can be considered, if mutual willingness is given by both the original and proposed Research Supervisors, for valid reasons with the approval of Vice-Chancellor based on the recommendations of the DPC.
- 15.2 The Research Supervisors who wish to avail leave/lien/deputation beyond a period of six months shall nominate a Supervisor (I/c) in the subject concerned and the fact shall be intimated to the DPC. If the Research Supervisor has not made any such nomination, it will be open to the Vice-Chancellor to appoint the Research Supervisor on the recommendation of DPC.
- 15.3 In the event of requirement of change of Supervisor of a Ph.D. candidate due to unforeseen circumstances, or based on the request by the supervisor to be relieved as supervisor, the same shall be referred to the DPC for suitable recommendations to the Vice-Chancellor, whose decision will be final.

16. Ph.D. through Part-Time Mode

- (1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- (2) The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
- i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
- (3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

17. Conversion of Full-Time Registration into Part-Time and Vice-Versa

- 17.1. The Institute may permit conversion from Full-time to Part-time category of registration, for valid reasons and subject to satisfying the regulations in force after completion of course work and after confirmation of provisional registration.

18. Cancellation of Ph.D. Registration

- 18.1 The registration is liable for cancellation if,
- 18.1.1 An act of plagiarism is identified in the publication/thesis of the scholar (as per University Policy on Academic Integrity and Prevention of Plagiarism);
 - 18.1.2 Any ethical violation until the time of submission of synopsis;
 - 18.1.3 The scholar fails to obtain confirmation of provisional registration within 24 months after his/her provisional registration for the Ph.D. Programme;
 - 18.1.4 On the recommendation of the DAC that the progress of research is not satisfactory in at least three consecutive six monthly reports;
 - 18.1.5 Scholar does not respond to any communication from the Research Supervisor/DPC beyond one year continuously at any stage;
 - 18.1.6 Where a scholar has not submitted the thesis within the period prescribed or has also failed to do so within the extended period/ re-registration of the Ph.D.,
 - 18.1.7 Any violation of the rules and regulations of Ph.D. Programme.
- 18.2 In case of recommendation for cancellation of the registration by the Research Supervisor/DPC based on reasons listed above, the matter shall be referred to the Board of Studies, which may recommend cancellation of registration depending on the merit of the case. The scholar shall be intimated about the grounds on which the registration is being cancelled and given an opportunity to seek redressal within 15 working days. The recommendations of the Board of Studies shall be placed before the Vice-Chancellor whose decision will be final.

19. Leave/Break of Study

- 19.1 A scholar shall be entitled for a maximum period of 30 days of leave in a calendar year in addition to public holidays as stipulated in the current UGC Regulations on Minimum Standards and Procedures for Award of Ph.D. Degree. They shall not be entitled to any other leave. If a scholar exceeds the maximum limits of leave i.e., 30 days, the fellowship will be deducted for the extended period of leave beyond 30 days. Saturday, Sunday and Public holidays shall not be counted while proceeding for such kind of leave.
- 19.2 Scholar shall be given leave up to 60 days without fellowship in special/ exceptional circumstance of medical exigency.
- 19.3 In addition, the women candidates may be provided Maternity Leave/ Child Care Leave once in the entire duration of Ph.D. Programme for up to 240 days.
- 19.4 The DPC may permit, if deemed fit valid reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrants his/her absence from the programme.
- 19.5 For permitting a break in study on medical grounds, a certificate from the Medical Officer (CMO) of the institute is essential. For resumption of studies, such a candidate should produce a fitness certificate from the CMO of the institute.
- 19.6 For accepting a job/fellowship abroad, the scholar should have completed the minimum period after registration, coursework, examination. The request has to be accompanied by a clear statement of the status of research work, a copy of letter of appointment and a letter of undertaking from the research scholar that he will rejoin the institute at the end of the break period to complete the remaining part of the work and/or take to public Viva-Voce, as the case may be, required to qualify for the degree.
- 19.7 Break of study shall be granted up to a maximum period of one year and not exceeding six months at a time. Such requests should be made prior to availing break of study through the research supervisor to the DPC.
- 19.8 The scholar should pay the applicable tuition and other fees during the break of study period also, to keep him/her on the roll.

- 19.9 In special cases, Ph.D. scholars may be allowed leave without fellowship up to one academic year during the entire tenure for accepting teaching assignments on a temporary basis, provided the assignments is in the same city/town. The period of leave without fellowship will be counted towards the total tenure.

20. Evaluation and Assessment Methods, Minimum Standards/ Credits for Award of the Degree, etc.

- (1) Upon satisfactory completion of course work and obtaining the marks/ grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/ thesis.
- (2) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Higher Educational Institution concerned, which shall also be open to all faculty members and other research scholars/students.
- (3) The Higher Educational Institution concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- (4) A Ph.D. scholar shall submit the 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 Higher Educational Institution.
- (5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academician with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to affect the provisions of this Regulations.

- (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 Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only when 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.
- (7) The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

21. Issuing a Provisional Certificate

Prior to the actual award of the Ph.D. degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

22. Award of Ph.D. Degrees Prior to Notification of these Regulations

Award of degrees to candidates registered for the 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 Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

23. 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 Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.



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