

Rules and Regulations for PhD programme in NIIT University (2023)

The rules and regulations of PhD programme of NIIT university (NU) are as per the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 [1] and are benchmarked with reputed Institutions, to ensure that the eligibility, processes, course work, assessment criteria and quality of research meet global standards of excellence. These Rules and Regulations may be called as “Rules and Regulations for PhD programme in NIIT University (2023)” and supersede all earlier rules and regulations for PhD programme at NIIT University. Resolution to any extraordinary situation that is not covered by these rules will be proposed by NU research committee [2] to NU Academic Council for approval.

These rules and regulations along with number of available seats subject/area wise for admission will be permanently available on NU’s website. The website will also have a list of PhD supervisors along with details of PhD students such as topic and date of registration. The list will be updated at the beginning of every academic year latest by end of month of August.

1. Classification of PhD Students

PhD programme at NU is offered in residential as well as non-residential mode depending on the requirement of duration of physical presence of student at NU campus. Students pursuing the residential mode must normally reside at NU campus during the complete duration of the programme whereas, those pursuing non-residential programme visit the campus for typically two weeks every semester. Further, the PhD programme is also differentiated based on the source of financial support to the student. Student can be financially supported by NU, can be sponsored by an external agency or can be self-supported. Depending on the mode and nature of support the PhD students at NU are classified as

- i) **NU sponsored Residential PhD Student:** Pursuing PhD in residential mode and financially supported by NU.
- ii) **Sponsored Residential PhD Student:** Pursuing PhD in residential mode and financially supported by any external agency.
- iii) **Self-Supported Residential PhD Student:** Pursuing PhD in residential mode and financially supported by self.
- iv) **NU sponsored Non-Residential PhD Student:** Pursuing PhD in non-residential mode and financially supported by NU.
- v) **Sponsored Non-Residential PhD Student:** Pursuing PhD in non-residential mode and financially supported by any external agency.
- vi) **Self-Supported Non-Residential PhD Student:** Pursuing PhD in non-residential mode and financially supported by self.

Conversion of Status of Registration of PhD student from one class to another class shall be permitted by NU research committee [2] on the recommendation of Dean Research on the student’s request that is routed through the Student Doctoral Committee. The total period of full-time residential plus part-time non-residential status shall not exceed the prescribed maximum permissible duration. However, the financial support by NU will be subject to the availability of the funds and progress of the PhD students.



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2. Admission to PhD Programmes

Candidates are allowed to apply for pursuing PhD at NU throughout the year on a rolling basis. Selected candidates for PhD program are admitted both in odd and even semesters as per PhD admission calendar. Odd and even semesters start in August and January, respectively. NU will adhere to the National/State level reservation policy, as applicable.

2.1. Eligibility for Admission to PhD Programmes

- Candidates should have at least 60% marks in Class X, Class XII and Bachelor's degree.
- Candidates who have completed any of the following qualification from an Indian educational institution or equivalent qualification from a foreign educational institution shall be eligible for admission to the PhD programme at NU:
 - A one-year/two-semester master's degree programme after a four-year/eight-semester bachelor's degree programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
 - A two-year/four-semester master's degree programme after a three-year bachelor's degree programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
 - Qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
 - A four-year/eight-semester bachelor's degree programme with a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
 - The MPhil programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

The foreign educational institution must be 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.

A relaxation of 5% marks or its equivalent grade in master's or bachelor's degree 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 University Grants Commission from time to time.

A candidate who is already registered as a PhD student in any other Indian educational institute and fulfils the minimum eligibility criteria as listed in University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 [1], may be transferred to PhD programme at NU. In that case, the student will cancel the PhD programme registration in earlier institute and will be registered in PhD programme in NU. The student will request for such transfer to Dean Research through the faculty member concerned. NU research committee [2] may allow such transfers based on recommendation of Dean Research.

2.2. Process for Admission to PhD Programmes



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Admission to PhD programmes shall be according to a merit list based on a written entrance test of 70% weight followed by a Research Interaction of 30% weight. NU may decide to call only some of eligible applicants for research interaction based on the number of available PhD seats and the merit list in the entrance exam. Dean Research will be responsible for the conduct of the entrance examination and subsequent interaction for selection of applicants for admission to the PhD Programme.

• **Entrance Exam**

- Half of the entrance test syllabus shall be subject specific, and the other half shall consist of research methodology. The subject specific syllabus will be corresponding syllabus in the GATE exam for engineering and basic sciences and corresponding syllabus in the UGC-NET exam for management, humanities and social science area.
- Applicants who secure at least 50% marks in the entrance test are eligible to be called for research interaction.
- Area Director concerned will provide the subject specific part of the entrance exam on request of Dean Research. The research methodology part of the entrance exam will be provided by the Dean Research.
- Applicants who have qualified for fellowship/scholarship in UGC-NET/UGC-CSIR/NET/GATE/CAT/CEED and similar National level tests as well as those who are employed at the level of Assistant Professor or higher in educational institutes in India will be exempt from the entrance exam. The position of such exempted applicants in merit list will be decided by considering only research interaction marks of all candidates.
- The entrance exam will preferably be held in person on NU campus. However, depending on the situation Dean Research may hold the entrance exam online or at any other location.

• **Research Interaction**

A Research Interaction Committee will be constituted by Dean Research for every admission with following membership:

Dean Research or his/her nominee	Chairman
Area Director	Member
One area expert (External)	Member
One professor from the area	Member (nominated by the President)
One professor from another area	Member (nominated by the President)

The research interaction will focus on the following:

- Competence of the applicant for the proposed research area.
- Can the work be suitably undertaken at NU in case of Residential PhD applicants?
- Will the applicant be able to arrange the facilities outside NU to carry out the proposed work in case of Non-Residential PhD applicants?
- Does the proposed area of research contribute to new/additional knowledge?



The interaction will preferably be held in person on NU campus. However, depending on the situation Dean Research may allow members including the applicant to join online.

- **Steps in Admission Process**

Step 1: The applicant submits the duly completed Admission Application form along with self-attested copies of all the required documents and a self-written Statement of Purpose (SOP). The applicant can submit the application form at the NU website: www.niituniversity.in

Other documents using any or more of the following modes:

- Send printed copy of the form along all documents by post to NU Central Admissions Office at NIIT House, 85, Sector 32, Institutional Area, Gurgaon – 122001.
- Email printed copy of the form along all documents to admissions@niituniversity.in and mark CC to Dean Research Office <Dean.Research.Office@niituniversity.in>
- One may also submit the printed copy of the form along all documents in person at Research Office, NU Campus.

Step 2: NU Research Office informs the eligible applicants the dates and locations of entrance exam and/or interview through email.

Step 3: Applicants write the entrance exam as per schedule.

Step 4: NU Research Office informs the applicants who have qualified for interview through email.

Step 5: NU Research Office holds the interviews and announces the list of successful candidates on NU Website. Successful candidates are informed of their success through email also.

Step 6: NU Research Office sends the admission offer letter to the successful candidates.

Step 7: Successful candidates to confirm their acceptance by submitting an admission acceptance letter duly signed by them and their respective parent/guardian/spouse along with the non-refundable admission acceptance fee within 5 working days of receiving the admission offer letter. They would also need to pay the applicable semester fee within 15 days of receiving the admission offer letter by cash or electronic transfer or Crossed Demand Draft, in favour of NIIT University, payable at New Delhi.

- **First Registration**

Candidates who have confirmed their admission are required to present themselves at the University campus on the date prescribed in the Academic Calendar to complete the first registration formalities including payment of prescribed fees and verification of their original documents. Candidates who will remain employed while pursuing PhD at NU will have to submit a “No Objection Certificate” from the appropriate authority in the employing organization clearly stating that

- The applicant is permitted to pursue studies while being employed.
- The applicant’s official duties permit him/her to devote sufficient time for research.
- If required, the applicant will be relieved from duty to complete the course work.

3. Thesis Supervisor and Thesis Research Plan

- Every PhD student will be allocated a Thesis Supervisor among the faculty members of NU within two weeks of first registration.



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- Research Co-Supervisors from NU or from outside including institutions and companies may be permitted with the approval of the NU research committee [2].
- PhD Applicants will be provided details of research areas of eligible faculty members by the Research Office and an opportunity to discuss with them. Individual faculty members will be responsible for providing their research areas to NU Research Office. The applicants will submit their choice of Research Supervisors in order of preference to the NU Research Office. Area research committee [2] will discuss with the faculty members on the list to recommend the name of Research Supervisor based on the order of preference and consent of the faculty member. The Research Supervisor will be appointed by Dean Research based on the recommendations of the Area research committee [2]. The eligibility of the Research Supervisor will be examined by Human Resource (HR) Unit on request of Research Office.
- Research Supervisor will propose the name(s) of Co-Supervisor(s) to the Area research committee [2] with justification in writing. Area research committee [2] will recommend the name(s) to Dean Research. NU research committee [2] will appoint Research Co-Supervisor(s) based on recommendation of Dean Research. Normally no more than one Research Co-Supervisor from NU and one from outside NU will be appointed. However, NU research committee [2] may approve additional number of Research Co-Supervisors in special cases with reasons recorded in writing.
- A change of Research Supervisor and Research Co-supervisors under exceptional circumstances shall be permitted by NU research committee [2] on the recommendation of the Dean Research on the student's request that is routed through the Student Doctoral Committee. It is mandatory for the NU research committee [2] to obtain the consent of (i) the concerned student concerned and (ii) the current and proposed Research Supervisor and Research Co-supervisors. The entire research programme of the student would be re-examined by the Student Doctoral Committee and if warranted it would be modified. Under such a circumstance, the registration date may be revised if found necessary.
- If a student's Supervisor leaves NIIT University service permanently or is on leave for a period exceeding one year, then Dean Research will appoint a new Research Supervisor on the recommendation of Area research committee [2]. The Area research committee [2] shall propose a new supervisor in consultation with the student and take the consent of the new research supervisor and the student. Dean Research will request the original supervisor to continue as Co-Supervisor. Whether or not the original supervisor continues as Co-Supervisor depends on his/her response to the request.
- If a student's supervisor is away from NIIT University for a period of less than one year, Dean Research will appoint a research co-supervisor on the recommendation of Area research committee [2] concerned if there is no co-supervisor. The Area research committee [2] will consult the student and get the consent of the student and the new co-supervisor.
- No change in Research Supervisor/ Co-supervisor shall be permissible after the thesis has been submitted. In case both Supervisor and Co-supervisor are not available due to any reason and the PhD Thesis has been submitted, then Dean Research will appoint an Administrative Supervisor on recommendations of the Area Director to take care of the process of evaluation of the thesis. Associate Dean (Research) will be the Administrative Supervisor if no such arrangements could be done. No credit will be given for the supervision of the thesis work to Administrative Supervisor.
- All appointments or change of supervisor / Co-supervisor shall be communicated by Research Office to Area research committee [2], Student Doctoral Committee and Academic Section.

3.1. Eligibility to be a Research Supervisor/Co-Supervisor



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Faculty members of NU subject to following conditions are eligible to be a Research Supervisor or Research Co-Supervisor:

- Professors with a PhD and at least 5 (five) research publications in peer-reviewed or refereed journals.
- Associate Professor with a PhD and at least 5 (five) research publications in peer-reviewed or refereed journals.
- Assistant Professors with a PhD and at least 3 (three) research publications in peer-reviewed or refereed journals.

In areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the NU research committee [2] may relax the condition of number of publications for recognition of a person as Research Supervisor with reasons recorded in writing.

- Permanent Faculty members of NU cannot be Research Supervisor of students enrolled in PhD programme of other institutes. However, they can act as Research Co-Supervisor for such students with the prior permission from NU Research Committee [2].
- A Professor, Associate Professor and Assistant Professor of NU can act as a Research Supervisor to up to 8 (eight), 6 (six) and 4 (four) PhD students, respectively, at any given time. However, each supervisor can guide up to 2 (two) international PhD students on a supernumerary basis over and above these numbers.
- Faculty members of NU with less than 3 (three) years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise PhD students who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 (seventy) years.
- Adjunct Faculty members of NU cannot be Research Supervisor for students enrolled in NU and can only be co-supervisor for such students.

3.2. Thesis Research Proposal

A PhD student must prepare and present a Thesis Research Proposal consisting of proposed research for the thesis and associated work plan with expected timelines to the Student Doctoral Committee for approval. The student can register for research credits only after approval of the Thesis Research Proposal. Following steps need to be taken for preparing the thesis research proposal and its approval.

- The student will prepare the proposal in consultation with thesis supervisor and submit it to NU Research Office. It is recommended that this activity is over by the second semester after first registration.
- NU Research Office will vet the proposal with respect to its format and if necessary, get it revised by the student.
- NU Research Office shares the vetted thesis research proposal with the student doctoral committee.
- Student makes an oral presentation of the proposal to the student doctoral committee as scheduled by Chairperson of the student doctoral committee.
- Student Doctoral Committee evaluates the proposal and the presentation and provides feedback to the student. The student incorporates the feedback and makes a presentation of the revised proposal to the committee if required. This step is continued until the committee approves the thesis research proposal.



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- Chairperson of the student doctoral committee issues a letter of acceptance of thesis research proposal to the student and thesis supervisor/co-supervisors with a copy to NU Research Office and NU Academic Unit.

4. Student Doctoral Committee

A Student Doctoral Committee will be constituted by Dean Research as early as possible but no later than four weeks after admission of the student. The composition of the Student Doctoral Committee is as follows:

Area Director *	Chairperson
Research Supervisor	Member
Co- Supervisors (if any)	Members
Two faculty members from the area**	Members (nominated by the Dean Research on the recommendation of the Area Director)
One faculty from another area	Members

* To be replaced by nominee of the President among the faculty members of the area if the Area Director is the Research Supervisor of the student.

** One external area expert will be the member of SDC If the number of faculty member (excluding supervisor) is less than two.

In case any member of a Student Doctoral Committee proceeds on leave exceeding one year, or resigns or superannuates from service of NU, another member in lieu thereof will be nominated as per the same procedure as the incumbent member.

Faculty members who themselves will be pursuing PhD cannot not be the member of Student Doctoral Committee. The Student Doctoral Committee will advise the student in various academic matters and will monitor the progress of the student in the PhD Programme.

5. Credit requirements and evaluation

- A student must successfully earn 62—74 credits to complete the credit requirement of the PhD programme. Of these credits, 40 and 10 credits must be earned through Thesis Research and Seminar, respectively. Remaining 12—24 of the credits must be earned through course work.
- A student has the flexibility to register for 2, 4, 6 or 8 Thesis credits in a Semester in PhD Programme with approval of Doctoral Committee with no change in permissible duration of PhD Programme.
- Course work shall be prescribed by the Student Doctoral Committee on the advice of the Research Supervisor and recorded in student's transcript. The prescribed courses shall all be postgraduate courses with courses on **i) Research Methodology** bearing 4 credits and **ii) Research and Publication Ethics** bearing 2 credits being compulsory courses.
- Transfer of course work credits earned during any other programme either in NU or elsewhere by any student may be allowed by NU research committee [2] on the recommendation of Dean Research if the performance in those courses is equivalent to a GPA of 8 or more. The student will claim the transfer of course work credits by applying to NU Research Office through the Student Doctoral Committee (if already formed).
- Student Doctoral Committee may advise that a student takes an additional course, even after the course work credit requirement has been fulfilled, in view of its direct relevance to his/her thesis research. In



such a case, the student concerned would be permitted to register for that recommended course on an Audit basis.

- Non-Residential PhD students will have the option of registering for the courses in the synchronous on-line delivery mode.
- Student Doctoral Committee can also recommend UGC recognized online courses as part of course work credit requirement for the PhD programme.
- In each course that a student is registered, the student shall earn certain approved credits and is awarded a letter grade indicating his/her overall performance in that course. The number of credits assigned to individual courses, the approved letter grades currently in vogue and the corresponding points (on a 10-point scale) for each letter grade are as per in the Students Handbook of NU.
- A student who is awarded a non-passing grade in any particular course prescribed in his/her transcript must repeat it or substitute it by another course as approved by the Student Doctoral Committee.
- A student is deemed to have satisfactorily completed his/her course work credit requirement, if he/she has earned the required credits in course work and has cleared all the courses that have been advised by the student doctoral committee and his/her CGPA is at least 6.0.
- The overall academic performance of a student in all courses for which he/she has registered in a given semester is measured in terms of the Semester Grade Point Average (SGPA). The SGPA is defined as the weighted average for all courses for which a student is registered in the semester and is computed as follows:

$$SGPA = (C_1G_1 + C_2G_2 + \dots) / (C_1 + C_2 + \dots)$$

where G_1, G_2 , etc. are the grade points awarded associated with the grade and C_1, C_2 , etc. are the corresponding credits. In the above computation, the “Satisfactory”/ “Unsatisfactory” Grades awarded for Thesis Research and Seminars are ignored. Akin to the SGPA, a Cumulative Grade Point Average (CGPA) is also defined. CGPA indicates the cumulative academic performance in all courses taken by a student including those in the current semester.

- Students must earn their course work credits by the end of first two semesters after their joining the PhD programme. Under genuine circumstances, an extension of at most one additional semester can be granted by Dean Research upon student’s request that is routed through Student Doctoral Committee. NU research committee [2] can allow a further extension of one more semester based on recommendations of Dean Research with reasons recorded in writing.
- A PhD student who has registered for thesis research units must present a semester activity plan within first two weeks of the semester to the student doctoral committee. The Committee evaluates and approves the semester activity plan. The committee may ask the student to modify the plan before approving. The student presents a semester progress report to the committee towards the end of the semester. The committee evaluates the report and the presentation and awards either “satisfactory” or “unsatisfactory” grade to the student. Thesis research credits bearing “Satisfactory” grade will be considered earned whereas those bearing “Unsatisfactory” grade will not be considered earned.
- Student’s performance in Seminar credits is evaluated as “satisfactory” or “unsatisfactory” by the course coordinator. Seminar credits bearing “Satisfactory” grade will be considered earned whereas those bearing “Unsatisfactory” grade will not be considered earned.
- All PhD students shall be required to train in teaching/education/pedagogy/writing related to their chosen PhD subject during their doctoral period. NU will provide opportunities for such training.



- Residential PhD students may be sponsored by NU to do some of their thesis research outside NU as non-degree students. Such period of sponsorship shall, however, not exceed 12 months and this period shall count towards the maximum allowable time of PhD registration. An application seeking permission for such 'sponsorship' along with a proposed work plan and a letter of acceptance from the outside university/institute shall be submitted by the student through his/her Supervisor to his/her Doctoral Committee who shall forward the same along with their recommendation to the Dean Research or its nominee for approval. Such sponsorship shall normally be granted without continuation of the doctoral stipend during the period of sponsorship. However, in special cases such as sponsorship under an Exchange Scheme entered by NU with an outside University/Institute continuation of the doctoral stipend may be allowed.
- Transfer of research data to relocating institute in case of relocation of a female PhD student to or from NU may be allowed by NU research committee [2] on recommendation of Dean Research provided all the other conditions in these Regulations are followed and the research work does not pertain to a project sanctioned to the earlier institution by any funding agency. Such students shall, however, give due credit to earlier institution and the research supervisor at the earlier institution for the part of research already undertaken. In no case, any research or seminar credits will be transferred to or from NU. Student will make a request for transfer of data to Research Office through Student Doctoral Committee (if already formed).

6. Subsequent Registrations after the First Registration, Duration of PhD Programme and Leave Rules

- All PhD students will be required to register for course work, if not completed, Research and Seminar each semester on the stipulated registration date till submission of the Thesis.
- If a PhD student's CGPA falls below 6.0 at the end of any given semester and/or the student's performance in Research/Seminar is graded "Unsatisfactory" then the student will be placed on probation for the next semester. NU Research Office will issue a warning to under probation PhD students indicating the conditions on which they will be permitted to continue their registration beyond the probation semester. Registration beyond the next semester will be allowed only if the student is able to bring CGPA to 6.0 or above and/or is able to get a "satisfactory" grade in Research/Seminar in the probation semester.
- Registration of PhD students who fail to register in a semester without having the permission to do so is likely to be cancelled.
- The registration of a PhD student who has not submitted his/her thesis within the allowed time will be cancelled.
- Ordinarily, a student whose registration to the PhD programme has been cancelled for any reason is not eligible for re-registration. However, he/she may be considered for re-registration by the NU research committee [2] based on recommendations of Dean Research on request of the student that is routed through Student Doctoral Committee.
- A PhD student may be permitted by Dean Research to withdraw for not more than two consecutive semesters and not more than four semesters in total for reasons of ill health or any other genuine reason on recommendation of Student Doctoral Committee.
- PhD Programme shall be for a minimum duration of 3 (three) years, including course work, and a maximum duration of 6 (six) years from the date of first registration to the PhD programme. A maximum of an additional 2 (two) years can be given through a process of re-registration as per the



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Statute/Ordinance of NU. However, the total period for completion of a PhD programme should not exceed 8 (eight) years from the date of first registration in the PhD programme.

- Female PhD students and differently abled PhD students may be allowed an additional relaxation of 2 (two) years. However, the total period for completion of a PhD programme in such cases should not exceed 10 (ten) years from the date of first registration in the PhD programme.
- Any maternity/paternity leave availed during the PhD programme will be over and above the maximum allowed duration for completion of the programme.
- Residential PhD students are required to mark their attendance on the NU Attendance Portal. NU Human Resource Unit shall maintain a system of recording leave and/or absence for Residential PhD students.
- Residential PhD students will make themselves available on duty if NU requires their services on any holiday. No extra compensation/alternative leave will be given in lieu thereof.
- Any leave must be sanctioned by Dean Research by deciding on student's request for leave routed through Student Doctoral Committee.
- Residential PhD students shall be entitled to avail 4 days of casual leave per semester and 30 days of vacation leave annually.
- Female PhD Scholars may be provided Maternity Leave/Childcare Leave for up to 240 days in the entire duration of the PhD programme.
- Male PhD Students may be provided Paternity Leave for up to 30 days in the entire duration of the PhD programme.

7. PhD Thesis Submission and Evaluation

A student can submit thesis for evaluation with the approval of the Student Doctoral Committee after completion of earned credit requirements. The student must present State of Art, Pre-Submission and Synopsis Seminars before submitting the synopsis and thesis.

7.1. State of Art Seminar

Student shall present a State of Art Seminar to all faculty and students of NU covering the current state of art in the area of his/her thesis research. This seminar must be delivered before the pre-submission seminar. A report of satisfactory completion of this requirement shall be communicated by the Thesis Supervisor through the Chairperson of the Student Doctoral Committee to Dean Research and the NU Academic Unit.

7.2. Pre-Submission Seminar

Student shall present a Pre-Submission Seminar before proceeding to finalize the thesis. It is an open seminar to faculty and students in which the research work to be contained in the thesis will be presented to obtain comments and criticism. The comments and criticism may be incorporated in the thesis. All students, staff and faculty members of NU must be informed four days in advance about the title, location and time of the seminar. The Research Supervisor shall inform the successful completion of the seminar to Dean Research and Academic Section through Student Doctoral Committee.

7.3. Synopsis and Synopsis Seminar

Student must submit title and synopsis of the thesis along with the similarity check report of the synopsis generated as per the guidelines of similarity check at NU [3]. Additionally student should present the Synopsis Seminar to Student Doctor Committee with the approval of Research Supervisor and Research Co-Supervisors to be able to submit thesis for evaluation. The student must have completed the credit



requirements and should have successfully delivered the pre-submission seminar prior to these. The Student Doctoral Committee will approve the synopsis based on the work reported in the synopsis and

the seminar, and allow the PhD Scholar to submit the thesis. The Committee will inform Dean Research Office and Academic Section.

Selection of Examiners

- The Student Doctoral Committee shall propose a list of at least six external examiners each from both within and outside India.
- Student Doctoral Committee will verify the following before finalizing the proposed list of examiners:
 - Examiners should be active researchers in the area of the thesis.
 - Examiners must not be working below the level of Associate Professor levels.

However, Chairman, NU research committee [2] may approve the name of Assistant Professor as one of the external examiners in special cases on Research Supervisor's request routed through Student Doctoral Committee and Dean Research.

- Examiners must not have co-authored any article with the student. It is desirable that examiner must not have co-authored any article with the Research supervisor/Co-supervisors.
- The list of proposed examiners will be approved by Dean Research.
- The list of proposed examiners must be known only to Student Doctoral Committee members, Dean Research and Chairman, NU research committee [2]. In no case the list or part of list must be revealed to the student. It is advised that the student is not involved in finding the names of experts active in the area of the thesis and their contact details.
- Chairman, NU research committee [2] will select two examiners, one each from India and outside India, from the proposed list of examiners in consultation with Dean Research.
- Dean Research will seek consent of the selected examiners to be examiner of the thesis by sending them the copy of the synopsis. If a refusal is received or consent is not received within four weeks of the request (with a reminder sent after two weeks) then another examiner will be selected by Chairman, NU research committee [2] and Dean Research. Dean Research may ask for additional names of examiners from the Student Doctoral Committee if required.
- Names of the selected external examiners must be kept confidential by Dean Research and Chairman, NU research committee [2] till successful completion of the Viva Voce Examination. However, the external Indian examiner will be included on the PhD Viva Voce Board and thus its identity will be revealed to selected persons at the time of Viva-Voce.

7.4. Submission of PhD Thesis

The student should follow the policy on Promotion of Academic Integrity and Prevention of Plagiarism, NIIT University, 2023 [4]. Student shall submit requisite number of copies of the thesis prepared in accordance with the approved format along with the similarity check report of the thesis generated as per the guidelines of similarity check at NU [3] within two months of acceptance of the Title and Synopsis by the Student Doctoral Committee provided the student has completed the credit requirement, has



successfully delivered the Pre-submission and Synopsis Seminars and the list of proposed examiners has been duly approved.

Student Doctoral Committee can give an extension of two months for submission of thesis on the request of the student routed through Research Supervisor. NU research committee [2] can give an extension of further two months on the recommendation of Dean Research on student's request routed through Research Supervisor and Student Doctoral Committee.

Student must have published or had acceptance of two articles in SCI/SCIE/SSCI/AHCI indexed Journals or in ABDC Category journals from the thesis research work before thesis can be submitted. NU research committee [2] can consider patents granted in lieu of journal articles on recommendation of Dean Research on student's request routed through Student Doctoral Committee.

7.5. Evaluation of Thesis

- Dean Research will send a copy of the thesis along with a thesis evaluation form for the examiner's report and copies of publications to each examiner who has accepted and to the Research Supervisor.
- Dean research will send the copies of the similarity check reports of the synopsis and thesis, generated as per the guidelines of similarity check at NIIT University, 2023 [3] if the examiner (s) will send a request for the same.
- The examiners and the Research Supervisor are expected to send their report on the thesis within three months from the date of receipt of the thesis. In case of delay of more than a year in receiving the thesis report, another examiner for evaluating the thesis will be appointed through due process.
- Based on the report of the thesis examiners, Dean Research will classify each of the reports in one of the following four categories:
 - **Category 1:** Wherein an examiner accepts the thesis and suggests either no corrections or minor corrections regarding grammar, punctuation, spelling or language. The examiner indicates that the thesis after changes, if any, be referenced back to the examiner.
 - **Category 2:** Wherein an examiner points out minor technical mistakes or raises some queries or suggests modifications but does not imply that the acceptance of the thesis is subject to the removal of the said defects to the satisfaction of the examiner or requiring reference back to the examiner.
 - **Category 3:** Wherein an examiner raises technical points or suggests modifications which must be answered/carried out to the examiner's satisfaction and thus requires reference back to the examiner.
 - **Category 4:** Wherein an examiner outrightly rejects the thesis.

Copies of the examiners' report along with categorization, without revealing identity of the examiners, will be shared with the Research Supervisor, Research Co-Supervisor and the Chairperson of the Student Doctoral Committee.

Following table specifies the course of action depending on the category of reports:

One report	Other Report	Step wise actions to be performed sequentially
Category 1	Category 1	1. Changes in thesis at the discretion of student and Research Supervisor. 2. Prepare for Viva Voce#



Category 1	Category 2	<ol style="list-style-type: none"> 1. Changes in thesis to be done and revised thesis along with a list of changes and response to examiner's comments to be communicated to Dean Research within one semester. 2. Prepare for Viva Voce[#] with the revised thesis
Category 1	Category 3	<ol style="list-style-type: none"> 1. Changes in thesis to be done and revised thesis along with a list of changes and response to examiner's comments to be communicated to both examiners through Dean Research. 2. Depending on the comments from the examiners on the revised thesis either repeat step 1 (once only) or prepare for Viva Voce[#]. 3. If Category of reports does not become better than category 3 after step 2 then appoint a new examiner (once only) following due process of appointment. Follow relevant actions depending on the category of report from the new examiner. 4. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action.
Category 1	Category 4	<ol style="list-style-type: none"> 1. A new examiner is appointed following due process of appointment. This step is to be taken once only. 2. Follow relevant actions depending on the category of report from the new examiner. 3. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action. 4. NU research committee [2] may recommend cancellation of registration or recommend sending the thesis to a new examiner once only. 5. Follow the relevant course of action depending on the category of reports from the new set of examiners.
Category 2	Category 2	<ol style="list-style-type: none"> 1. Changes in thesis to be done and revised thesis along with a list of changes and response to examiner's comments to be communicated to Dean Research within one semester. 2. Prepare for Viva Voce[#] with the revised thesis



Category 2	Category 3	<ol style="list-style-type: none"> 1. Changes in thesis to be done and revised thesis along with a list of changes and response to examiner's comments to be communicated to both examiners through Dean Research. 2. Depending on the comments from the examiners on the revised thesis either repeat step 1 (once only) or prepare for Viva Voce[#]. 3. If Category of reports does not become better than category 3 after step 2 then appoint a new examiner (once only) following due process of appointment. Follow relevant actions depending on the category of report from the new examiner. 4. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action.
Category 2	Category 4	<ol style="list-style-type: none"> 1. A new examiner is appointed following due process of appointment. This step is to be taken once only. 2. Follow relevant actions depending on the category of report from the new examiner. 3. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action. 4. NU research committee [2] may recommend cancellation of registration or recommend sending the thesis to a new examiner once only. 5. Follow the relevant course of action depending on the category of reports from the new set of examiners.
Category 3	Category 3	<ol style="list-style-type: none"> 1. Changes in thesis to be done and revised thesis along with a list of changes and response to examiner's comments to be communicated to both examiners through Dean Research. 2. Depending on the comments from the examiners on the revised thesis either repeat step 1 (once only) or prepare for Viva Voce[#]. 3. If Category of reports does not become better than category 3 after step 2 then appoint a new examiner (once only) following due process of appointment. Follow relevant actions depending on the category of report from the new examiner. 4. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action.



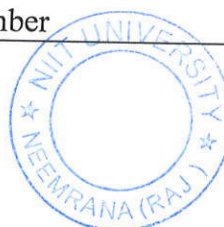
		<ol style="list-style-type: none"> 5. NU research committee [2] may recommend cancellation of registration or recommend sending the thesis to a new examiner once only. 6. Follow the relevant course of action depending on the category of reports from the new set of examiners.
Category 3	Category 4	<ol style="list-style-type: none"> 1. A new examiner is appointed following due process of appointment. This step is to be taken once only. 2. Follow relevant actions depending on the category of report from the new examiner. 3. Proceed for Viva Voce[#] if both reports become better than category 3 or put up the case in NU research committee [2] with all documents for guidance on further action. 4. NU research committee [2] may recommend cancellation of registration or recommend sending the thesis to a new examiner once only. 5. Follow the relevant course of action depending on the category of reports from the new set of examiners.
Category 4	Category 4	<ol style="list-style-type: none"> 1. Put up the case in NU research committee [2] with all documents for guidance on further action. 2. NU research committee [2] may recommend cancellation of registration or recommend sending the thesis to a new set of examiners once only. 3. Follow the relevant course of action depending on the category of reports from the new set of examiners.

[#] The Research Supervisor's report also must be better than Category 3. It is expected that the thesis is acceptable to the Research Supervisor with minor changes at most. In the rare case of category of the report being 3 or lower the issue is put up in NU research committee [2] with all documents for guidance on further action. NU research committee [2] may decide to give the student one more chance to resubmit the thesis or recommend cancellation of registration.

7.6. PhD Viva Voce Committee

PhD Viva Voce will be an open exam and will be conducted by PhD Viva Voce Committee that is created for this purpose. PhD Viva Voce Committee shall be constituted by Dean Research as per the following composition:

Dean Research	Chairperson
Chairperson of Student Doctoral Committee	Member
Indian External Thesis Examiner	Member
Research Supervisor	Member



Research Co-supervisors (if any)	Member
Faculty member from the Area	Member, nominated by the Chairperson, NU research committee [2] in consultation with the Dean Research

The SDC will also be present during the PhD Viva Voce examination. President's nominee will replace Dean Research if Dean Research is the thesis supervisor of the student.

The role of the PhD Viva Voce Committee shall be to:

- Examine the thesis reports.
 - Examine the required modification in thesis.
 - Elicit replies to questions raised by the thesis examiners.
 - Authenticate that the thesis is the work of the student.
 - Evaluate the presentation of the research work in the thesis and answers to questions.
 - Evaluate overall performance of the student.
- Dean Research will consult the Indian external examiner for a suitable date and mode of Viva Voce examination and fix the date and mode of the Viva Voce. Some members of the Viva Voce Committee can be present online during the examination. The student should preferably take the exam in person.
 - Dean Research Office will intimate the date, time and location of the PhD Viva Voce examination to the Student Doctoral Committee, all faculty members, all students and the Academic Section. The identity of the thesis examiners will not be revealed in this process.
 - Each member of the Viva Voce Board shall be given a copy of the thesis along with the entire technical correspondence with the thesis examiners at least one week before the date of the viva voce examination.
 - The student will make a presentation about the research work contained in the thesis and answer the questions raised by the audience.
 - The Viva Voce Board will examine the student in an open defence on his/her thesis research and evaluate his/her performance as "Satisfactory" or "Unsatisfactory".
 - In the case the performance is evaluated "Unsatisfactory", he/she shall be asked by Dean Research to appear for another viva voce later. The new Viva Voce will be arranged as per procedure but not earlier than a month and not later than three months from the date of the first viva voce. If the Viva Voce committee again grades the performance of the student as "Unsatisfactory" then the matter is referred to NU research committee [2] for guidance on further action. NU research committee [2] may give another chance to the student to take the Viva Voce examination or recommend cancellation of student's registration to the academic council.
 - The Viva Voce Committee may also recommend revision to be made in the thesis after taking into consideration suggestions of the thesis examiners and the discussion at the viva voce. The student will be given a month's time for making the revision. The Chairperson of the Viva Voce Board shall forward the thesis to the Academic Section certifying that the revisions recommended by the Viva Voce Board, if any, have been incorporated in the copy of the thesis along with the report of the Viva Voce Board.



- The Viva Voce Board will submit a consolidated joint report based on the written reports of the examiners and performance at the viva voce with a recommendation on the final report “Satisfactory” or “Unsatisfactory” to the Academic Section.
- The Ph. D. Scholar shall submit five copies of the final thesis in A4 size and an electronic version in PDF format after the Viva Voce Board recommends the award of the PhD degree.

8. Award of Ph. D. Degree and Provisional Certificate

If the performance of the PhD student in the viva voce is satisfactory, he/she will be awarded PhD degree on the recommendation of the Academic Council and with the approval of the Board of Management of NU. Prior to the actual award of the PhD degree, NU will issue a provisional certificate to the student to the effect that the PhD is being awarded in accordance with the provisions of University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 [1].

A checklist of the requirements for award of PhD degree is presented here:

- Student has completed the credit requirement of course work, thesis research and Seminar and has a CGPA of 6.0 or more.
- Student has satisfactorily delivered the State of Art Seminar.
- Student has satisfactorily delivered the Pre-submission Seminar.
- Student has successfully delivered the Synopsis seminar.
- Category of Examiner’s report is better than Category 3.
- Student has satisfactorily completed the PhD Viva Voce.
- Student must have published or had acceptance of two articles in SCI/SCIE/SSCI/AHCI indexed Journals or in ABDC Category journals from the thesis research work. NU research committee [2] can consider patents granted in lieu of journal articles on recommendation of Dean Research on student’s request routed through Student Doctoral Committee.
- Student has no pending case(s) of unfair means or indiscipline.

9. Preservation of the Thesis

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, NU Research Office will send an electronic copy of the thesis to the NU Library Information and Resource Center (NU LIRC) and to the supervisor(s). NU LIRC will, without delay, submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same to make it accessible to all the Higher Educational Institutions and research institutions.

10. NU PhD Scholarship and Fee Waivers

- All registered NU sponsored Residential and NU sponsored Non-residential PhD students, who have at least 60% marks throughout from class X to master’s degree, will be eligible for NU PhD Scholarship. This scholarship will be for a maximum of five years or till the date of submission of final thesis, whichever is earlier. Students should maintain a CGPA equal to or more than 6.0 in course work in every semester and later on, are graded “satisfactory” in thesis research/Seminar credits per semester to remain eligible for this scholarship. The following are the schedule and terms & conditions:
 - Financial assistance of INR 30,000/- per month will be provided during the course work and till the date of approval of thesis research proposal to the students who have an MTech degree.



- Financial assistance of INR 20,000/- per month will be provided during the course work and till the date of approval of thesis research proposal to the students who do not have an MTech degree.
- Financial assistance of INR 35,000/- per month will be provided after approval of thesis research proposal till the end of five years after first registration or submission of thesis whichever is earlier.
- Financial assistance may be increased to INR 40,000/- per month after three years of registration by Research committee [2] based on recommendation of Dean Research on student's application routed through student doctoral committee.
- Time spent as registered student is considered for counting time for the purpose of financial assistance. If a student takes a break between two semesters, the break period will not be counted and the student will not be paid during the break period.
- The number of NU scholarships is limited in number and may not be awarded to all NU Residential and NU Non-residential PhD Students.
- Grant of NU scholarship will be at the sole discretion of NU and no disputes will be entertained.
- NU Residential PhD students may be exempt from paying university fees for a maximum of six years from the date of first registration if they assist to the extent of 4 to 6 hours per week in academic activities as teaching assistant. The area director will engage the fulltime research scholars in different academic activities like
 - Assisting in laboratory setup and sessions
 - Assisting in preparing quizzes/assignments and invigilation
 - Assisting in tutorials
- NU Alumni will be granted 50% waiver in University Fee
- NU Employees will be exempt from paying university fees for a maximum of 6 years from the date of first registration. However, they will have to pay the full university fee if they cease to be employee of NU for any reason whatsoever.
- In order to attract more students in the PhD program, a special drive has been implemented since 2023 January session. The special drive allows one PhD candidate to enrol with eligible faculty member at a considerable reduce fee of Rs 16,000/- per semester. This special drive is applicable for the PhD students (ii), (iii), (v) and (vi) students, mentioned in section 1 - **Classification of PhD Students**.
- Two publications are mandatory for all PhD students as mentioned in section 7.4 – **Submission of PhD thesis**. The monetary incentive for students to publish articles in Q1 SCI/ SSCI/ SCIE/ AHCI indexed Journals is INR 15000/- (fifteen thousand only) per publication will be provided from third publication onwards. The publication should be on PhD thesis work. Maximum incentive amount is INR 45000/- only (forty-five thousand only) as per the policy for promotion of research, NIIT University, 2023 [5].

Reference

[1] University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.

[2] Policy for Promotion of Research, NIIT University, 2023.

[3] Guidelines of similarity check, NIIT University, 2023

[4] Policy on Promotion of Academic Integrity and Prevention of Plagiarism, NIIT University, 2023

[5] Policy for promotion of research, NIIT University, 2023

