

**INDIAN INSTITUTE OF FOREIGN TRADE**  
(Deemed to be University)

**Ph.D. (Management) Programme, 2021**

**(Full Time and Part Time)**

**Rules and Regulations**



## **TABLE OF CONTENTS**

| <b>S. No.</b> | <b>Contents</b>                                                                                                                                               | <b>Page No.</b> |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| 1.            | About the Institute                                                                                                                                           | 3               |
| 2.            | Objectives of the Ph.D. Programme                                                                                                                             | 3               |
| 3.            | Registration                                                                                                                                                  | 3               |
| 4.            | Duration of Ph.D. Programme                                                                                                                                   | 4               |
| 5.            | Course Structure                                                                                                                                              | 4               |
| 6.            | A. Roles and Responsibilities of Full Time Scholars<br>B. Attendance of Part-Time Scholars                                                                    | 5               |
| 7.            | <b>Stage I:</b> Course Work and Allocation of Doctoral Supervisor                                                                                             | 5-7             |
|               | A. Course Work                                                                                                                                                |                 |
|               | B. Course Outlines                                                                                                                                            |                 |
|               | C. Evaluation                                                                                                                                                 |                 |
|               | D. Missed Evaluation Component                                                                                                                                |                 |
|               | E. Allocation of Doctoral Supervisor & Doctoral Advisory Committee (DAC)                                                                                      |                 |
| 8.            | <b>Stage II:</b> Confirmation of Ph.D. Candidature                                                                                                            | 7-8             |
| 9.            | <b>Stage III:</b> Title of Ph.D. Thesis                                                                                                                       | 8               |
| 10.           | Progress and Evaluation of Doctoral Research DAC                                                                                                              | 8               |
| 11.           | <b>Stage IV:</b> Submission of Thesis                                                                                                                         | 8-9             |
| 12.           | <b>Stage V:</b> Ph.D. Thesis Evaluation and Viva-Voce at IIFT                                                                                                 | 9-10            |
| 13.           | Extension Provision in the Ph.D. Programme                                                                                                                    | 11              |
| 14.           | De-Registration from the Ph.D. Programme                                                                                                                      | 11              |
| 15.           | Plagiarism policy                                                                                                                                             | 11-12           |
| 16.           | Administration of the Programme                                                                                                                               | 12              |
| 17.           | Online Feedback                                                                                                                                               | 12              |
| 18.           | Imposing of Penalty for late / Non-Payment of Fees by Part Time Scholars                                                                                      | 13              |
| 19.           | Withdrawal from the Programme                                                                                                                                 | 13              |
| 20.           | Residency Period of Full Time Scholars                                                                                                                        | 13              |
| 21.           | Attendance and Leave Rules for Full Time Ph.D. Scholars                                                                                                       | 13-14           |
| 22.           | Annexure – I University Grants Commission (Promotion of Academic Integrity And Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018 |                 |
| 23.           | Annexure – II UGC’s Public Notice on Self-Plagiarism dated 20th April, 2020                                                                                   |                 |

## **Rules and Regulations for Ph.D. Programme (Management) (Full Time and Part Time)**

### **1. About the Institute**

The Indian Institute of Foreign Trade (IIFT) was set up in 1963 by the Government of India as an autonomous organization to help professionalize the country's foreign trade management and increase exports by developing human resources; generating, analyzing, and disseminating data; and conducting research. The Institute visualizes its future role as:

- A catalyst for new ideas, concepts and skills for the internationalization of the Indian economy;
- The primary provider of training and research-based consultancy in the areas of international business, both for the corporate sector, government and the student community;
- An institution with proven capability to continuously upgrade its knowledge base with a view to servicing the requirements of government, trade and industry through both sponsored and non-sponsored research and consultancy assignments.

The Institute's portfolio of long-term programs is diverse, catering to the requirements of aspiring International Business executives and mid-career professionals alike.

### **2. Objectives of the Ph.D. Programme**

The Ph.D. Programme of the Institute covers Doctoral research in a variety of areas leading to the award of Ph.D. Degree. The main learning goals and objectives of the Ph.D. Programme are:

- Develop Subject-Specific Knowledge and Understanding
- Promote Effective Learning and Planning
- Develop Critical and Reflective Thinking Ability
- Promote Effective Analytical Skills
- Develop Ethical Understanding and Reasoning
- Contribution to Existing Knowledge
- Encourage and Facilitate research on contemporary issues in the field of International Business and Management
- Encourage publication of research papers in academic journals, occasional papers and monographs, books, and other refereed forums.

One of the primary purposes of Doctoral studies is to encourage in-depth analysis and enrich knowledge in the chosen field. This includes the ability to independently apply methodologies of scientific research as well as to create new scientific knowledge. Further, the Ph.D. Scholars should demonstrate an ability to critically analyze research findings and understand their importance in the relevant context. Skills to undertake and to effectively communicate research results are needed in order to succeed in Doctoral studies. Thus, it is important to assume an adequate knowledge and understanding of the problems, research methodologies, historical developments, theory formulation and societal importance of the scientific disciplines which are related to the scholar's own research field.

### **3. Registration**

All Ph.D. scholars selected for admission must register by the day of commencement of the Programme, with the payment of necessary fees. Any extension of the period of registration may be granted by the Competent Authority only under exceptional circumstances.

#### 4. Duration of Ph.D. Programme

| <b>Stage</b> | <b>Stage of Research</b>                                                              | <b>Timeline</b>                                                                                                                                                                                                                                                                         |
|--------------|---------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Stage I      | Course Work & Allocation of Doctoral Supervisor and Doctoral Advisory Committee (DAC) | One year (Semester I & II)                                                                                                                                                                                                                                                              |
| Stage II     | Confirmation of Ph.D. Candidature                                                     | After successful completion of coursework, the synopsis of the thesis is to be presented in front of a panel consisting of IIFT Faculty and External Experts. Once the suggestions received at the presentation are duly incorporated, the synopsis will be confirmed and communicated. |
| Stage III    | Thesis Writing                                                                        | Once the synopsis is confirmed, the Doctoral research and thesis writing will commence.                                                                                                                                                                                                 |
| Stage IV     | Submission of Thesis                                                                  | Before the end of FIVE years, from the date of Registration                                                                                                                                                                                                                             |
| Stage V      | Evaluation and Viva-Voce                                                              | Once the comments from all the external examiners are received, the Viva-Voce will be conducted.                                                                                                                                                                                        |

#### 5. Course Structure

The Course Structure of IIFT Ph.D. Programme is as follows:

|                        | <b>Name of Course</b>                                                                                                                                 | <b>Credits and hours</b> |
|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| <b>First Semester</b>  | Research and Publication Ethics                                                                                                                       | 2 Credits (20 hours)     |
|                        | Statistics & Research Methodology                                                                                                                     | 3 Credits (30 Hours)     |
|                        | Advanced Data Analytics                                                                                                                               | 2 Credits (20 hours)     |
|                        | <b><i>Elective Courses</i></b><br><b><i>(Student has to opt three courses from the below mentioned five courses. Seminar paper is Compulsory)</i></b> |                          |
| <b>Second Semester</b> | Research Issues in Finance                                                                                                                            | 3 Credits (30 Hours)     |
|                        | Research Issues in General Mgmt. & strategy                                                                                                           | 3 Credits (30 Hours)     |
|                        | Research Issues in IT Innovation & Tech. Mgmt.                                                                                                        | 3 Credits (30 Hours)     |
|                        | Research Issues in Marketing                                                                                                                          | 3 Credits (30 Hours)     |
|                        | Research Issues in Global Trade Operations and Logistics                                                                                              | 3 Credits (30 Hours)     |
|                        | Research Issues in Operations Management & Supply Chain                                                                                               | 3 Credits (30 Hours)     |
|                        | Seminar Paper                                                                                                                                         | 2 Credits                |

**Note:** Course Structure is subject to revision by the Institute's Academic Council from time to time.

- The classes for the Coursework for full time and part time scholars will be held during weekends.
- The course structure will be same for both part time and full-time scholars.

## 6. (A) Roles and Responsibilities of Full time Scholars:

- i. The Full Time Scholars have to come to the Institute on all working days from 9.00 am to 5.30 p.m. Compensatory off may be taken by the scholar in lieu of attending classes/working on weekends. Post-allocation of the supervisor the application has to be routed through the supervisor. The application for the same has to be approved by the PD (Ph.D.)
- ii. The full time Ph.D. Scholars need to be involved in teaching, research and other academic activities in the Institute. The research scholars involved in different academic activities have to report to their respective Supervisors (after Supervisor allocation).
- iii. The performance of the full time Ph.D. Scholars will be evaluated by the Doctoral Supervisor /Faculty concerned on regular basis. They need to submit quarterly / half yearly progress report based on their involvement in different academic activities in the institute.
- iv. The above rules are applicable for full time scholars drawing fellowship from UGC and scholars drawing fellowship from the institute.
- v. The full time Ph.D. scholars drawing fellowship from the institute will receive scholarship during fifth year for the first SIX months only.

## (B) Attendance of Part-Time Scholars

The Part-Time Scholars must meet their supervisors personally at least 10 times in a year, failing which the supervisor, in consultation with the DAC members, may recommend cancelling the registration of the scholar. The supervisor has the prerogative to allow for an online meeting in case it is impractical to meet in person. The attendance record of such meetings (both personal and online) must be endorsed by the supervisor.

## 7. Stage I: Course Work and Allocation of Doctoral Supervisor

The curriculum for coursework of Ph.D. is revised regularly keeping in mind the changing global environment in International Business and the requirements of Management Education to meet these new challenges. The curriculum places emphasis on developing a global perspective on various issues and developing these skills for taking an integrated view on managerial problems and being able to adapt to changing situations.

### A: Course Work

- i. The duration of Coursework at IIFT Ph.D. Programme is ONE year, spread over two semesters.
- ii. Minimum required Grade for clearing the course work is 'Overall B'.
- iii. Minimum of **75% attendance** is also required for each course. Less than 75% would lead to assessment status of the course as incomplete.
- iv. During the Ph.D. course work stage, if the scholar is not able to attend the classes due to some unavoidable circumstances, the same needs to be communicated to Programme Director (Ph.D.-M)/Research Division/Head (Research) of the respective centers within a fortnight citing the reason.
- v. IIFT provides an option to a scholar for dropping a semester and attend the missed courses with the next batch. If the scholar is willing to do so, she/he has to apply to the Programme Director (Ph.D.-M)/Head (Research) providing a valid reason & necessary documents. She/he will then be allowed to attend the course work along with the next batch as an exception after taking the due approval from Vice Chancellor, IIFT.
- vi. If the course work of a scholar remains incomplete for **TWO** years from the date of joining of the Ph.D. Programme, her / his admission for Ph.D. Programme will be automatically cancelled.
- vii. Regarding the seminar paper, the scholar will identify a topic of their interest in semester one and will consult with Doctoral Supervisor on this. However, the scholar may consult other Faculty members for his / her seminar paper. The Seminar Paper by the Research Scholars will

be evaluated by a panel of IIFT faculty. It is strongly recommended that the seminar papers be transformed into IIFT working papers/journal publications, which will help in shaping the research skills of the Ph.D. scholars and help them in comprehending the nuances of publishing.

### ***B: Course Outlines***

A course outline will be made available to the student for each course before the start of the course. The course outline would provide the following:

- ✓ Objectives of the course;
- ✓ Pedagogy to be adopted;
  - Session-wise details of topics;
  - Required readings, supplementary readings, assignments;
  - Scheme of evaluation and weightage for each component.

The Course Coordinator will either be offering the course completely or would be coordinating the course in case different modules of the course are taught by different faculties.

### ***C: Evaluation- Applicable from Ph.D. 2021 batch onwards***

The evaluation components to be adopted for a course would be indicated by the Course Coordinator to the class at the beginning of the course. This would cover faculty's expectations and relative importance of each component.

- A scholar has to obtain a minimum of C Grade in each course. To be eligible to continue in the programme, the overall grade in the coursework is 'B'.
- Any scholar who gets a grade less than C in any of the courses undertaken including evaluation of seminar paper may apply for improvement in next 3 months and re-presentation in case of seminar paper (Max. 2 attempts). The application for the same has to be submitted to and approved by the PD (Ph.D.).
- In case of less than 75% attendance, additional assignments/tutorials etc. may be suggested by the course coordinator and intimated to PD (Ph.D.).
- In case of incomplete academic grade, the course coordinator will decide the final grade/marks.

### ***D: Missed Evaluation Component***

Students are not allowed to miss any class examinations or quizzes or end-term examinations, without the permission of the Programme Director / Course Coordinator. If a student misses such a component without prior permission, s/he will not receive the marks for the component. It is the responsibility of the student that all components are duly submitted on time.

### ***E: Allocation of Doctoral Supervisor & Doctoral Advisory Committee (DAC)***

- i. Allocation of Doctoral Supervisor will be made based on the preferences given by the research scholar in the order of 1, 2 & 3 (minimum three preference) from the selected area and number of scholars available to Faculty (determined as per UGC guidelines). The scholars need to submit the preferred topic related to their research interests. In this regard, the scholars are suggested to consult the IIFT Faculty members. In case of change of discipline, the request will be sent to RAPC through research division.  
Supervisor allocation process will happen during the first semester of coursework.

- ii. In order to ensure timely submission of the Doctoral thesis, IIFT follows the policy of maintaining an upper limit on the number of research scholars to be allocated per faculty.
- iii. Maximum number of scholars allotted for a Professor, Associate Professor and Assistant Professor are Eight (8), Six (6) and Four (4) respectively.
- iv. Every scholar will be having a Doctoral Advisory Committee (DAC), consisting of the Ph.D. Supervisor and two other Faculty members. The Ph.D. supervisor may indicate the name of DAC members to PD (Ph.D.-M). The DAC may include an external member as an expert from the industry depending upon the research area of the scholar. It would require the recommendation of the Supervisor with appropriate justification and approval of the Head (Research) of the respective center. The appointment would be on honorary basis only (no remuneration).
- v. The scholars are advised to contact the Doctoral Advisory Committee (DAC) Members on regular basis for their research work. Minimum 3 DAC meetings at minimum half yearly interval are to be conducted during the entire Doctoral Research tenure of the student. For any relaxation on valid ground the decision of PD (Ph.D.) and Head (Research) will be final.
- vi. Scholars and Supervisors need to follow the Ph.D. rules for completion of the Doctoral work.

#### **Co-Supervisor:**

- vii. Besides the supervisor, in case scholars find an academician from inside/outside of the Institute who is conversant with her/his topic of research she/he may apply to consider her/him as Co-supervisor with the consent of the Supervisor, requesting Programme Director and getting the final approval from Head (Research) and the Vice-Chancellor, IIFT. Only one Co-supervisor is allowed.
- viii. In case of multidisciplinary research, a scholar may be allowed to receive allocation of both Ph.D. supervisor and Co-supervisor from within IIFT, with due permission of Head (Research) and the Vice Chancellor.
- ix. In case the Supervisor leaves the Institute (resignation / deputation), the following process will be followed:
  - If the Zero draft / Final draft of the thesis submitted by the scholar is approved, the supervisor will remain same but one of the DAC Members may be allocated as Co-supervisor to complete the formalities required at different stages.
  - In case the synopsis is confirmed but zero draft is not submitted, the Supervisor will be re-designated as Co-supervisor and a new supervisor will be allocated by the PD(Ph.D.-M) and approved by the Competent Authority.
  - In case the synopsis is not confirmed then a new supervisor will be allocated by the PD(Ph.D.-M) and approved by the Competent Authority.

#### ***8. Stage II: Confirmation of Ph.D. Candidature***

- i. All scholars are required to confirm their Ph.D. registration within two years from the date of Admission. (i.e. Completion of course work, seminar paper writing and synopsis confirmation).
- ii. Admission to the Ph.D. Programme is 'Provisional'. However, after completion of the coursework, the scholar is required to submit and present her/his Ph.D. 'Synopsis' before a panel consisting of IIFT Faculties and External Experts for approval.
- iii. While preparing the synopsis, the Ph.D. scholars need to consult their Doctoral Supervisor, DAC Members and other faculties on regular basis.
- iv. The Synopsis must contain a clear title of the research, statement of the problem, review of

literature and research gap, objectives / research questions, proposed hypothesis, methodology, data sources, tentative chapterization and a detailed bibliography.

- v. After completion of course work, the scholar has to appear in the Synopsis Confirmation Seminar, where the scholar needs to explain the above-mentioned points (as per point iv above) before a panel consisting of IIFT Faculties and external experts. The panel will assess the presentation and approve the Synopsis and Thesis Title. Suggestions / comments given by the panel have to be incorporated and the Scholar will submit the updated synopsis to the Research Division with the approval of Supervisor within next three months. This timeline may be extended by the Supervisor (Max. 1 Year), if not then the candidature may be cancelled.
- vi. All submissions such as seminar paper and synopsis must be submitted by the scholar through his supervisor.
- vii. Once the scholar clears the coursework satisfactorily and her/his synopsis gets final approval, her / his registration will get '**Confirmed**'. Scholars will be issued a Certificate of 'Confirmation of Synopsis'.
- viii. A scholar is allowed to submit her/his doctoral thesis after a minimum period of TWO years from the date of '**Confirmation of the Synopsis**'.
- ix. If a scholar delivers an unsatisfactory performance during her/ his synopsis presentation, s/he will be given two more chances of synopsis presentation. The total 3 chances of synopsis presentation need to be completed within two years from the date of admission to the Ph.D. Programme.

#### **9. Stage III: Title of Ph.D. Thesis**

- i. The '**Title**' of Ph.D. thesis needs to be finalized along with synopsis confirmation.
- ii. The '**Title**' can be partially changed only once before final submission of the thesis, if required. In this case, the scholar needs to apply to Head (Research) through her/his Supervisor for the same.

#### **10. Progress and Evaluation of Doctoral Research by DAC**

- i. After confirmation of the synopsis and the title, the scholar has to work for completion of Ph.D. thesis under the guidance of Doctoral Supervisor and DAC members.
- ii. The scholars must report the progress to the DAC on a regular basis and the concerned DAC would periodically certify his/her progress to the Research Division in the approved format.
- iii. The scholar should present her/his research to the concerned DAC regularly. S/he would be required to have at least three DAC prior to submission of Zero draft.
- iv. If a scholar opts for extension or de-registration, s/he would be required to appear before one DAC prior to submission of Zero draft.

#### **11. Stage IV: Submission of Thesis**

- i. Ph.D. scholars must make two paper presentations in national /international conference/seminars (within country/abroad) before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and/or reprints. The full-time candidates are entitled to an amount of Rs. 20,000/- for paying the registration fees for the conferences during their entire tenure with Ph.D. Programme (maximum 5 years). No TA/DA will be paid to the candidate to attend the conferences. For accessing the IIFT Financial support on this ground, the Scholar will be sending the application for the same through their respective supervisors to the PD (Ph.D.-M). No such financial support is provided to Part-Time scholars.

- ii. Ph.D. scholars are also required to submit the proof of publication / acceptance of at least TWO research papers in TWO Reputed Academic Journals indexed in UGC-CARE List Group II/ Scopus/ ABDC/ABS/AMS/Web of Science. The published papers must be related to the topic of their Doctoral Research area during their Ph.D. work.
  - a) If the Journal at the time of the publication of paper of the scholar is indexed in the above-mentioned Journal lists but at the time of the submission of zero draft / thesis, the Journal is removed from the Journal list, the paper will be accepted.
  - b) If the paper is published by the scholar along with the Supervisor, as a part of Ph.D. Programme, in the paper the scholar's name should come as first author and supervisor's name as second author.
  - c) If the paper is published by two scholars, the publication credit would be claimed by one scholar whose name has come as first author.
- iii. Before submission of the final thesis, Ph.D. scholar must have to present their Doctoral Research work in a Pre-Submission Defense Seminar before a panel consisting of IIFT faculty members and an external expert. The scholar is required to incorporate all suggestions/comments received during Pre-submission Defense Seminar in the thesis for final submission, after duly discussing with the doctoral Supervisor.
- iv. The scholar needs to submit her/his thesis within SIX months from the day of the pre-submission defense seminar.
- v. Details of the Submission Requirements are provided in the Box that follows:

| <b>Submission Requirements</b> |                                                                                                                                                                                                                                                                                     |
|--------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1.</b>                      | Course work Grade sheet (Minimum requirement is Overall B Grade).                                                                                                                                                                                                                   |
| <b>2.</b>                      | Synopsis Confirmation Certificate.                                                                                                                                                                                                                                                  |
| <b>3.</b>                      | Proof of paper presentation in conference <u>at least TWO</u> (Certificate and/or reprints)                                                                                                                                                                                         |
| <b>4.</b>                      | Proof of publication / acceptance of <u>at least TWO</u> research papers in Reputed Academic Journals indexed in UGC-CARE List Group II/ Scopus/ ABDC/ABS/AMS/Web of Science. The published papers must be related to the topic of their Doctoral Research during their Ph.D. work. |
| <b>5.</b>                      | Successful defense of the thesis at the defense seminar                                                                                                                                                                                                                             |
| <b>6.</b>                      | Report of Plagiarism Test                                                                                                                                                                                                                                                           |
| <b>7.</b>                      | All Clearances from the Institute                                                                                                                                                                                                                                                   |
| <b>8.</b>                      | <b>SIX</b> copies of "Abstract" and thesis duly signed by the scholar and countersigned by the Supervisor declaring that it is an original work of the Ph.D. scholar and not submitted partly or fully for the award of any degree in any other institution                         |

## 12. Stage V: Ph.D. Thesis Evaluation and Viva-Voce at IIFT

- i. The scholar needs to submit five copies of Abstract including Table of Contents to the Head (Research) through PD (Ph.D.-M) two weeks before final submission of thesis (both in soft and hard). The Head (Research) will forward the copies to Controller of Examinations.
- ii. Supervisor of the scholar has to submit names of FIVE External Examiners / Experts on the subject area to the Vice-Chancellor, IIFT, through Head (Research). At least **THREE** External Examiners must be named from outside Delhi / Kolkata. External Examiners should be an expert in relevant field and not in current employment at IIFT. S/he should be an academician with good record of scholarly publications in the field, with atleast one thesis going to a Professor for evaluation.

- iii. The Vice-Chancellor will rank the names of the five proposed External Examiners /Experts in the order of his preference (1, 2,3 and so on) and forward the document to the Controller of Examinations.
- iv. The Examination Cell will send the soft copies of the abstract of the thesis to THREE Experts in the order approved by the Vice-Chancellor for checking their availability and willingness for the evaluation. The experts will be requested to respond by TWO weeks. This will facilitate immediate communication of the submitted thesis to the External Examiners / Experts. Upon receiving their positive response, the Examination Cell will send the hard copy of the thesis to the External Examiners / Experts.
- v. If one of the three External Examiners / Experts (approved by the Vice Chancellor) expresses her/his inability to evaluate the thesis by the proposed timeline, the next External Examiner / Expert approved in the same order will be contacted by the Examination Cell.
- vi. A scholar, after getting all clearances, shall submit FIVE printed copies of the thesis and an electronic copy to the Research Division, IIFT. The electronic copy of the thesis can be submitted in a CD after the viva to Research Division during working hours of the Institute.
- vii. A scholar shall be permitted to submit the thesis only after getting due certificate from her / his Supervisor for the award of Ph.D. Degree.
- viii. The thesis work must be satisfactory in terms of its academic rigor, language, and presentation.
- ix. The scholar may incorporate in her/his thesis the contents of any work which she/he may have published in refereed/non-refereed forum, after clearly mentioning that in the thesis. However, in his/her current Ph.D. thesis, she/he shall not submit/include any work or part of work for which a degree has been conferred on her/him by any other University earlier.
- x. The scholar needs to submit an undertaking that the submitted thesis involves original research by her/him. Copy of the undertaking, along with the results obtained from Anti-Plagiarism Software, needs to be attached with every bound thesis.
- xi. Submitted thesis will be sent for evaluation to THREE 'External Examiners / Experts' and at least **TWO** of them need to be located outside the state.
- xii. The Examination Cell will request the External Examiners / Experts to submit their comments by THREE months.
- xiii. In case, an External Expert does not send her/his comments by the deadline suggested by Examination Cell, another expert earlier approved by the Vice- Chancellor in order of preference might be approached, after intimating Head (Research) and obtaining necessary permission.
- xiv. On submission of the evaluation report by **THREE** External Experts, viva-voce will be conducted if at least two reports are favorable. The scholar is required to defend her/his thesis in an open/public defense, attended by External Examiners / Experts (**TWO** External Experts are desirable to be present), Research Supervisor, Programme Director of Ph.D. Programme (M) and Head (Research) and others.
- xv. The External Experts may recommend that the Ph.D. Degree may be awarded subject to satisfactory viva-voce test on the thesis, or the thesis may be rejected / or re-submitted.
- xvi. The Ph.D. Degree shall be awarded only after TWO external experts unanimously recommend for the same and following the successful open/public viva-Voce. Faculty / Research Scholars are encouraged to attend the open defense, but the scholar would be asked questions and evaluated by the examiners only.
- xvii. In case of re-submission of thesis, the thesis must be resubmitted within SIX months from the date of sending the comments of the External Examiners / Experts to the scholar by the Office of the Controller of Examinations, IIFT. The thesis may only be re-submitted ONCE.
- xviii. In case of re-submission, the thesis needs to be sent to the original External Examiners / Experts, unless they explicitly express their inability.
- xix. Any issue concerning the Ph.D. Thesis evaluation procedure or interpretation of the approved provisions shall be referred to the Vice Chancellor, IIFT whose decision shall be final.

### 13. Extension Provision in the Ph.D. Programme

- i. If any scholar who has received confirmation of Synopsis for the Ph.D. Programme fails to submit her/his thesis within the stipulated FIVE years (from the date of admission) she/he may seek for '**Extension**'.
- ii. Only ONE year extension will be given to the scholar if the Doctoral Advisory Committee (DAC) is satisfied by the progress of the thesis work. The recommendations of the DAC in the approved format will be put up for approval of the Vice Chancellor, IIFT. The scholar has to submit her / his thesis within the extension period without paying any extra fees.
- iii. If the scholar is not able to submit her / his thesis during the extension period, her / his registration from the Ph.D. Programme will be cancelled automatically.
- iv. The women scholars and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration (five years).
- v. If the scholar has submitted the zero draft within the specified maximum time limit, s/he may be allowed to complete her /his Ph.D. within six months on the payment of RS.50,000/-.
- vi. In any other case, the decision of the RAPC will be final.

### 14. De-Registration from the Ph.D. Programme

- i. If any scholar who has received confirmation of Synopsis for the Ph.D. Programme fails to submit her/his thesis within the stipulated FIVE years (from the date of admission) she/he may apply for the '**De-registration**'.
- ii. The scholar who has been granted extension of ONE year for the submission of Ph.D. thesis will not be permitted to avail the facility of De-registration.
- iii. The scholar willing to apply for De-registration has to send her/his request for de- registration in writing through the Supervisor in consultation with DAC Members to the Programme Director. De-registration will be allowed only when the Vice Chancellor, IIFT approves the recommendation of the Head (Research).
- iv. Any De-registered scholar may Re-register herself/himself within FOUR years from the date of De-registration after payment of the registration fee of Rs. 1,25,000. In addition to this, the scholar availing the option of De-registration would be required to pay Annual Fee of Rs. 10,000/- for use of various databases/journals available in IIFT library.
- v. During the Re-registration of a de-registered scholar, she/he has to furnish the following documents
  - a. Deregistration Certificate
  - b. Synopsis Confirmation Certificate
  - c. Re-registration Fee Payment receipt
  - d. Fulfilment of publication and presentation requirements as per the Institute's criteria.
- vi. In case of de-registration, the, scholar has to submit her/his thesis within FIVE years from the date of De-registration. ***Failing to do so, her/his registration from Ph.D. Programme will be cancelled automatically.***
- vii. Prior to submission of zero draft, the de-registered scholar has to complete one DAC.

### 15. Plagiarism policy

As in lieu of the ethics in higher education, fair conduct of research and prevention of misconduct, as per UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2017, students, researchers and faculty members should not perform any academic misconduct by the theft of intellectual property in any manner. The rules as and when changed by UGC will be applicable as prescribed by UGC.

The research work carried out by the scholar shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions, and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words. The similarity checks for plagiarism shall exclude the following:

- i. All quoted work reproduced with all necessary permission and/or attribution (attribution means that the scholar declares that the work quoted in his/her thesis is own work and co-authors permission have been taken and the source is duly cited with due permission).
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

Seminar Paper, Synopsis, Zero Draft and Final Thesis with Similarities up to 10% can only be submitted. The submission will be approved by the supervisor and forwarded to the PD (Ph.D.-M) for further process.

## 16. Administration of the Programme

The Programme Director under the guidance of the Head (Research), administers the Programme. The Programme Director will be the link between the students and the faculty. The Section Officer (Research) looks after all administrative matters concerning the Programme. A Research Associate / Programme Assistant will assist the Programme Director to look after the day-to-day academic matters.

The RAPC will decide academic matters pertaining to the Programme which will then be forwarded to the Vice Chancellor for approval. Any other issue not covered by the above- mentioned rules will be decided by the RAPC.

The Programme Director will interact regularly with the students. The students are free to meet the Programme Director, individually after taking prior appointment. In case, where students have problems of an academic nature they may also meet the Head (Research), after prior appointment.

## 17. Online Feedback

IIFT firmly believes in taking regular and organized feedback from students on the progress of their courses and the delivery of the course coordinators. For this, a very robust feedback system is followed and the same is described below:

The end-term feedback is taken online in the last session of the course, after teaching for the course has been completed. All students are expected to be present for this exercise, and to provide their feedback objectively. If, for some compelling reasons, a student is not able to provide feedback in the last session, the RA/PA will coordinate with the student to provide feedback on the day of end term exam for the course, by coming 30 minutes early. **A student who still does not give feedback their course work completion certificate will be withheld. Therefore, students are advised to take the feedback exercise very seriously.**

The mid-term feedback for a course will be taken by the RA/PA after the completion of 4 sessions for a 2-credit course and 7-10 sessions for a 3-credit course. This mid-term course review is conducted with the purpose of obtaining an opinion from the students on the progress of a course, and students are strongly advised to provide their feedbacks in an impartial and productive manner.

### **18. Imposing of Penalty for late / Non-Payment of Fees by Part Time Scholars**

If the scholar does not deposit the fee within the stipulated time, a penalty of Rs.2,000/- for one month will be imposed and if it is delayed by two months a penalty of Rs.5,000/- will be imposed. Delay in depositing of fee is more than two months to twelve (12) months, a penalty of Rs.12,000/- will be imposed.

### **19. Withdrawal from the Programme**

The scholar has to route the withdrawal request from the Ph.D. programme through the supervisor alongwith no dues certificate from Finance, Library and Research Division. S/he has to submit an undertaking that the affiliation to the institute mentioned in the published paper would sustain post exit from the Ph.D. Programme at IIFT.

### **20. Residency Period of Full Time Scholars**

Every Full-Time scholar is required to pursue the coursework and full-time research for a minimum period of three years. During this tenure, regular attendance is mandatory. After three years s/he can take up the engagements with due permission of the Supervisor and PD(Ph.D.-M). No scholarship will be paid thereafter by the IIFT in that case.

### **21. Attendance and leave rules for Full Time Ph. D. Scholars**

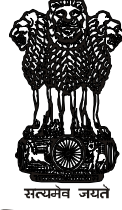
For **full time scholars (JRF)**, leave rules as per UGC latest norms will apply.

For **full time scholars (non JRF)**, the following leave rules as per Institute' policy will apply.

- i. The Full-Time Scholars will be granted casual leave up to 8 days during a calendar year, subject to the condition that such leave will not be longer than 5 days at a stretch. The casual leave cannot be combined with any other kind of leave.
- ii. Restricted Holiday (RH) for 2 days.
- iii. "Leave with prior permission" up to 20 days in a calendar year other than the public holidays.
- iv. Both RH and "Leave with prior permission" need to be approved by the Head (Research) upon recommendation of Ph.D. Supervisor and Programme Director.
- v. Any leave cannot be carried over to the next calendar year.
- vi. Leave will be calculated proportionately in accordance with date of joining and leaving.
- vii. Women candidate may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- viii. The punctuality of the attendance will be governed as per the IIFT Rules as follows:
  - a) The Full-Time scholars may come until 09.30 am in the morning. However, they are required to sit late by equal minutes in the evening to compensate their late coming.
  - b) Relaxation to come late until 10.00 am is admissible for 30% working days of a month subject to being compensate by sitting late by equal minutes.
  - c) Grace time upto ten minutes is allowed in respect of arrival time to cover any unforeseen contingencies. Such late coming be condoned unless it becomes a matter of frequent recurrence.
  - d) Late attendance upto an hour, on not more than two occasions in a month may be condoned, if the same is due to unavoidable reasons.

In addition to the above, the following have been incorporated:

- i) Leaving office early upto an hour, on not more than two occasions, is condoned provided a scholar can avail either coming one hour late in the morning or leaving one hour before Institute timings in the evening on not more than two occasions in a month.
- ii) In some unfortunate incidents like accidents and death of blood relatives (Father, Mother, Sisters, Brothers, Sons and Daughters only), the scholar can take a short leave from the Institute for the day. Such leave will be treated as special leave and may be allowed.
- iii) Full-Time scholars are required to strictly adhere to the prescribed attendance rules. They are also advised to take prior approval of leaves (except emergent circumstances) and ensure timely submission to the Research Division for necessary action.



# भारत का राजपत्र The Gazette of India

असाधारण

EXTRAORDINARY

भाग III—खण्ड 4

PART III—Section 4

प्राधिकार से प्रकाशित

PUBLISHED BY AUTHORITY

सं. 287]

नई दिल्ली, मंगलवार, जुलाई 31, 2018/श्रावण 9, 1940

No. 287]

NEW DELHI, TUESDAY, JULY 31, 2018/SHRAVANA 9, 1940

विश्वविद्यालय अनुदान आयोग

अधिसूचना

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

नई दिल्ली, 23 जुलाई, 2018

मि. सं. 1-18/2010 (सीपीपी-II).—

प्रस्तावना

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

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

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

1. संक्षिप्त शीर्षक, अनुप्रयोग तथा प्रारंभ :

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

**2. परिभाषा:**

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

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

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

### 3. उद्देश्य:

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

### 4. उच्चतर शिक्षा संस्थान के दायित्व :

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

### 5. जागरूकता कार्यक्रम एवं प्रशिक्षण :

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

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

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

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

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

#### 6. साहित्यिक चोरी पर रोकथाम :

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

#### 7. साहित्यिक चोरी के बहिष्करण हेतु समरूपता रोकथाम :

साहित्यिक चोरी के लिए समानता जांच में निम्नवत वर्जित होंगे :

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

नोट:

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

#### 8. साहित्यिक चोरी के स्तर :

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

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

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

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

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

**10. विभागीय शैक्षिक सत्यनिष्ठा नामसूची (डीएआईपी) :**

- i. उच्चतर शिक्षा संस्थान के सभी विभाग एक डीएआईपी को अधिसूचित करेंगे जिसकी संरचना नीचे दी गई है:
  - क. अध्यक्ष—विभागाध्यक्ष
  - ख. सदस्य—विभाग से इतर एक वरिष्ठ शिक्षाविद्, जिसे उच्चतर शिक्षा संस्थान के प्रमुख द्वारा नामित किया जाएगा।
  - ग. सदस्य—साहित्यिक चोरी के साधनों से भली-भांति परिचित एक व्यक्ति, जिसे विभागाध्यक्ष द्वारा नामित किया जाएगा।
- बिंदु 'ख' तथा 'ग' के संबंध में सदस्यगणों का कार्यकाल दो वर्षों का होगा। बैठक के लिए सदस्यों की गणपूर्ति 3 में से 2 सदस्यों द्वारा होगी (सभापति सहित)।
- ii. डीएआईपी, छात्रों, संकाय, शोधकर्ताओं तथा कर्मचारिवृंदों के विरुद्ध साहित्यिक चोरी के आरोपों के संबंध में निर्णय देते हुए नैसर्गिक न्याय के सिद्धांतों का पालन करेगा।
- iii. डीएआईपी, को साहित्यिक चोरी के स्तरों का मूल्यांकन करने तथा तदनुसार, दण्ड की सिफारिश करने की शक्तियां प्राप्त होंगी।
- iv. शिकायत प्राप्त होने/ कार्यवाहियां आरंभ किए जाने की तिथि से 45 दिनों के भीतर डीएआईपी, जांच उपरांत, अपनी रिपोर्ट सहित लगाए जाने वाले दण्डों पर अपनी सिफारिशों को आईएआईपी को प्रस्तुत करेगी।

**11. संस्थागत शैक्षिक सत्यनिष्ठा पेनल (आईएआईपी) :**

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

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

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

**12. दण्ड :**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 13. कठिनाइयों का निवारण

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

प्रो. रजनीश जैन, सचिव

[विज्ञापन—III/4/असा./161/18]

## UNIVERSITY GRANTS COMMISSION

### NOTIFICATION

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

New Delhi, the 23rd July, 2018

#### F. 1-18/2010(CPP-II).—

##### Preamble

*Whereas*, University Grants Commission (UGC), as per UGC Act, 1956, is mandated to coordinate and determine the standards of higher education;

*And whereas*, assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by Higher Educational Institutions (HEIs);

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

#### 1. Short title, application and commencement –

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

**2. Definitions -**

In these regulations, unless the context otherwise requires—

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

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

### 3. Objectives

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

### 4. Duties of HEI:

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

### 5. Awareness Programs and Trainings:

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

### 6. Curbing Plagiarism

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

## 7. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

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

### Note:

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

## 8. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities upto 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

## 9. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the HEI.

The authorities of HEI can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

## 10. Departmental Academic Integrity Panel (DAIP)

- i. All Departments in HEI shall notify a DAIP whose composition shall be as given below:
  - a. Chairman - Head of the Department
  - b. Member - Senior academician from outside the department, to be nominated by the head of HEI.
  - c. Member - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

## 11. Institutional Academic Integrity Panel (IAIP)

- i. HEI shall notify a IAIP whose composition shall be as given below:
  - a. Chairman - Pro-VC/Dean/Senior Academician of the HEI.
  - b. Member - Senior Academician other than Chairman, to be nominated by the Head of HEI.
  - c. Member - One member nominated by the Head of HEI from outside the HEI
  - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.

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

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

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

## 12. Penalties

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

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

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

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

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

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

### 12.2 Penalties in case of plagiarism in academic and research publications

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

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

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

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

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

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

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

### **13. Removal of Difficulty**

UGC reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Government of India/ Ministry of Human Resource Development.

Prof. RAJNISH JAIN, Secy.

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

RAKESH  
SUKUL

Digitally signed by  
RAKESH SUKUL  
Date: 2018.07.31 22:44:34  
+05'30'



UNIVERSITY GRANTS COMMISSION  
BHADURSHAH ZAFAR MARG  
NEW DELHI-110 002

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

20<sup>th</sup> April, 2020

PUBLIC NOTICE

**SELF-PLAGIARISM**

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

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

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

(Prof. Rajnish Jain)  
Secretary