

Documents related to Code of Ethics



National Institute of Educational Planning and Administration

17-B, Sri Aurobindo Marg, New Delhi-110016

Website: www.niepa.ac.in



National Institute of Educational Planning

Policy Documents



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Website: www.niepa.ac.in

National Institute of Educational Planning and Administration

(Deemed to be University)

17-B, Sri Aurobindo Marg, New Delhi – 110 016

August 30, 2022

NOTIFICATION

Consequent upon the approval of policies by the Board of Management {Item No 21.7 dated 08.11.2019 and Item No 23.3.4 dated 26.03.2021}, following Institutional Policies are being notified for information of all concerned. Attached herewith in the form as Compendium of Institutional Policies:

1. Code of Ethics and Conduct for Students
2. Code of Professional Ethics for Teachers
3. Institutional Code of Ethics to Check Plagiarism and Malpractices
4. Consultancy & Resource Generation Policy of NIEPA
5. Policy for Professional Development of Teachers
6. Research and Innovation Policy of NIEPA
7. Guidelines for NIEPA Publications

This issues with the approval of the Competent Authority.


(Dr. Sandeep Chatterjee) 30/8/2022
Registrar

Copy to:

1. P.S. to the Vice-Chancellor – for information of the Hon'ble VC
2. PA to the Registrar
3. All Faculty members (through email)
4. All Officers of the Institute (through email)
5. All NIEPA Scholars (through email)
6. Office Order File
7. System Analyst (for uploading on the NIEPA Website – Staff Corner)



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

**Compendium of
Institutional Policy Documents**

17 B, Sri Aurobindo Marg, New Delhi -110016

website: www.niepa.ac.in

Compendium of Institutional Policy Documents



National Institute of Educational Planning and Administration

17-B, Sri Aurobindo Marg, New Delhi-110016

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(Deemed to be University)

17-B, Sri Aurobindo Marg, New Delhi-110016, INDIA

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Code of Ethics and Conduct for Students

Preamble

Code of ethics and conduct enforces punctuality, discipline, co-operation and academic work culture in the Institute. All students enrolling with the National Institute of Educational Planning and Administration in different programmes must know that it is incumbent upon them to abide by this Code of Ethics and Conduct (hereinafter referred to as the 'Code') and the rights, responsibilities, including the restrictions flowing from it.

1. Jurisdiction

- 1.1 The Institute shall have the jurisdiction over the conduct of the students associated/ Enrolled with the Institute and to take cognisance of all acts of misconduct, including, incidents of ragging or otherwise which are taking place on the Institute campus or in connection with the Institute-related activities and functions.

The code of conduct of students shall cover the following areas:

- a) Sexual harassment and misconduct as defined in the Government of India Act, UGC Regulations and Court Orders.
- b) Physical, emotional and mental harassment against any person.
- c) Possession or use of weapons, explosives, or destructive devices.
- d) Production/procurement, sale, distribution and use of prohibited drugs, alcohol and other such substances.
- e) Maintenance of clean, smoke-free, noise-free and healthy environment.

2. Ethics and Code of Conduct

- 2.1 The code of conduct mentioned in the following clauses shall be adhered to by students of the Institute.
- 2.2 At the time of admission, each student shall sign a statement accepting the Code of Conduct by giving an undertaking that,
- a) He/she shall be regular and shall complete his/her studies in the Institute.
 - b) In the event of his/her discontinuing studies for any legitimate reason, he/she may be relieved from the Institute following its due procedure.
- 2.3 The student shall uphold academic integrity, respect all persons and their rights and property.
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- 2.4 The student shall deter from indulging in all forms of misconduct, including any act of discrimination (physical or verbal) based on gender, caste, race, religion or religious beliefs, colour, region, language, disability, sexual orientation, marital and family status.
- 2.5 The student shall deter from other forms of misconduct, including, among others, the following:
 - 2.5.1 Organising meetings and processions without the permission of the Institute.
 - 2.5.2 Accepting membership of all types of organisations, bodies and groups banned by the Institute and the Government of India.
 - 2.5.3 Unauthorised possession or use of harmful chemicals and banned drugs.
 - 2.5.4 Smoking in the campus of the Institute.
 - 2.5.5 Possessing, consuming, distributing, selling of alcohol in the campus of the Institute.
 - 2.5.6 Theft or unauthorized access to others' resources.
 - 2.5.7 Damage to or destruction of any property of the Institute or any other private/public property.
- 2.6 The student shall not interact on behalf of the Institute with media representatives, or invite media persons on to the campus without the permission of the Institute.
- 2.7 The student shall use the social media responsibly.
- 2.8 The student shall switch off his/her mobile phones/ other audio/video equipment in lecture halls, library and during any other academic engagements.
- 2.9 The student shall be punctual and regular in his/her classes and other academic engagements. He/she shall maintain the decorum of the classroom, library and cafeteria and other Institutional spaces.
- 2.10 The student shall not engage himself/herself in any manner in any anti-social and anti- national activity.
- 2.11 The student shall adopt environment-friendly practices.

3. Code of Conduct in Library

- 3.1 The student shall make effort to minimise noise and disturbance in and around the library.
- 3.2 The student shall not take out any book/material from the library without authorisation.
- 3.3 The student shall return the borrowed library materials on or before the due date.
- 3.4 The student shall treat the books/materials with care. He/she shall not make any mark by pen or pencil in the books/materials.

- 3.5 The student shall abide by the rules of the library, including the right of the library staff on duty to request the user to leave the premises for violating any of the library rules.

4. Academic Integrity

- 4.1 As a premier institution focusing on educational planning and administration, the Institute values academic integrity and is committed to fostering an intellectual and ethical environment based on the principles of academic integrity.
- 4.2 Academic integrity encompasses honesty and responsibility and awareness relating to ethical standards for the conduct of research and scholarship. The Institute believes that in all academic work, the ideas and contributions of others must be appropriately acknowledged. Academic integrity is essential for the success of the Institute and its research missions, and hence, violations of academic integrity constitute a serious offence.
- 4.3 The principles of academic integrity require that a student acknowledges and cites use of ideas, results, material or work of others and acknowledges contributions to a given piece of work.
- 4.4 The student shall abide by the UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, and modified from time to time, in his/her academic work.
- 4.5 The student shall abstain from cheating which includes, but is not limited to the following:
- (a) Copying in examinations, homework assignments, term papers, theses, and any other manuscript.
 - (b) Facilitating copying in writing a report/examination, and impersonating in an examination.
 - (c) Using unauthorised material, collaboration, purchase, and borrowing of papers or material.
 - (d) Fabricating (making up) or falsifying (manipulating) data and reporting them in thesis and publications.
 - (e) Creating sources, or citations that do not exist.
 - (f) Altering previously evaluated and re-submitting the work for re-evaluation.
 - (g) Signing another student's name on an assignment, report, research paper, thesis or attendance sheet.

5. Anti-ragging Policy

The student shall abide by the anti-ragging policy of the Institute which is based on the 'UGC Regulation' on *Curbing the Menace of Ragging in Higher Educational Institutions, 2009*.

6. Disciplinary Action

The student violating any of the codes of conduct shall be subject to disciplinary action as per the rules of the Institute.

7. Appeal

If the student is aggrieved by the disciplinary action, he/she may appeal to the Vice-Chancellor. The Vice-Chancellor shall decide the manner in which the appeal may be addressed. The decision of the Vice-Chancellor shall be final and binding in all the cases.

Code of Professional Ethics for Teachers

1. Teachers and Their Responsibilities

NIEPA adopts the code of professional ethics as notified by UGC.

Whosoever adopts teaching as a profession assumes the obligation to conduct himself/herself in accordance with the ideal of the profession. A teacher is constantly under the scrutiny of his/her students and the society at large. Therefore, every teacher should see that there is no incompatibility between his/her precepts and practice. The national ideals of education which have already been set forth and which he/she should seek to inculcate among students must be his/her own ideals. The profession further requires that the teachers should be calm, patient and communicative by temperament and amiable in disposition.

Teachers should:

- (i) Adhere to a responsible pattern of conduct and demeanour expected of them by the community;
- (ii) Manage their private affairs in a manner consistent with the dignity of the profession;
- (iii) Seek to make professional growth continuous through study and research;
- (iv) Express free and frank opinion by participation at professional meetings, seminars, conferences, etc. towards the contribution of knowledge;
- (v) Maintain active membership of professional organisations and strive to improve education and profession through them;
- (vi) Perform their duties in the form of teaching, seminar and research work conscientiously and with dedication;
- (vii) Co-operate and assist in carrying out functions relating to the educational responsibilities of the university such as: assisting in appraising applications for admission, advising and counselling students as well as assisting the conduct of university examinations, including supervision, invigilation and evaluation; and
- (viii) Participate in extension, co-curricular and extra-curricular activities, including community service.

2. Teachers and the Students

Teachers should:

- (i) Respect the right and dignity of the student in expressing his/her opinion;
 - (ii) Deal justly and impartially with students regardless of their religion, caste, political, economic, social and physical characteristics;
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- (iii) Recognise the difference in aptitude and capabilities among students and strive to meet their individual needs;
- (iv) Encourage students to improve their attainments, develop their personalities and, at the same time, contribute to community welfare;
- (v) Inculcate among students scientific outlook and respect for physical labour and ideals of democracy, patriotism and peace;
- (vi) Be affectionate to the students and not behave in a vindictive manner towards any of them for any reason;
- (vii) Pay attention to only the attainment of the student in the assessment of merit;
- (viii) Make themselves available to the students even beyond their class hours and help and guide them without any remuneration or reward;
- (ix) Aid students to develop an understanding of our national heritage and national goals; and
- (x) Refrain from inciting students against other students, colleagues or administration.

3. Teachers and Colleagues

Teachers should:

- (i) Treat other members of the profession in the same manner as they themselves wish to be treated;
- (ii) Speak respectfully of other teachers and render assistance for professional betterment;
- (iii) Refrain from lodging unsubstantiated allegations against colleagues to higher authorities; and
- (iv) Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavour.

4. Teachers and Authorities

Teachers should:

- (i) Discharge their professional responsibilities according to the existing rules, and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and/or professional organisations for change of any such rule detrimental to the professional interest;
 - (ii) Refrain from undertaking any other employment and commitment, including private tuitions and coaching classes which are likely to interfere with their professional responsibilities;
 - (iii) Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand;
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- (iv) Co-operate through their organisations in the formulation of policies of the other institutions and accept offices; and
- (v) Co-operate with the authorities for the betterment of the institutions keeping in view the interest, and in conformity with dignity of the profession.

5. Give and expect due notice before a change of position is made; and

- (i) Refrain from availing themselves of leave except on unavoidable grounds and, as far as practicable, with prior intimation, keeping in view their particular responsibility for completion of the academic schedule.

6. Teachers and Non-Teaching Staff

- (i) Teachers should treat the non-teaching staff as colleagues and equal partners in a cooperative undertaking, within every educational institution; and
- (ii) Teachers should help in the functioning of joint staff-bodies covering both teachers and the non-teaching staff.

7. Teachers and Guardians

Teachers should:

- (i) Try to see through teachers' bodies and organisations, that institutions maintain contact with the guardians, their students, send reports of their performance to the guardians whenever necessary, and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the Institution.

8. Teachers and Society

Teachers should:

- (i) Recognise that education is a public service and strive to keep the public informed of the educational programmes which are being provided;
- (ii) Work to improve education in the community and strengthen the community's moral and intellectual life;
- (iii) Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence, the country as a whole;
- (iv) Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices; and
- (v) Refrain from taking part in or subscribing to or assisting in any way activities, which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups but actively work for National Integration.

9. Institutional Code of Conduct for Staff and Support Staff

1. All staff members of the Institute are responsible for protecting and taking reasonable steps to prevent the theft or misuse of, or damage to the Institute assets, including all kinds of physical assets, movable and immovable property.
2. All the staff Members should follow the rules and regulations of the Institution as prevalent from time to time.
3. All staff shall devote their time and their best efforts for the progress of the Institute.
4. Staff should contribute to the vision, mission and goals of the Institute through engagement of working hours.
5. Staff must be punctual, sincere and regular in their approach.
6. Staff must attend all functions of the Institute as required by the head of the department.
7. Staff must refrain from any form of harassment or unlawful discrimination based on existing legislative requirements relating to: (i) gender/sexuality/age/marital status, (ii) pregnancy or likelihood of pregnancy, (iii) physical features, disability or impairment (physical disability or medical status).
8. Staff should work in cooperation and collaborative manner with others through academic and administrative activities to achieve the Institutional goals.
9. Every staff member should maintain the confidentiality regarding the Institute's affairs, and the affairs of its constituents, and should not divulge, directly or indirectly, any information of confidential nature either to a member of the public or of the Institute's staff, unless compelled to do so by a judicial or other authority or unless instructed to do so by a superior officer in discharge of his/her duties.
10. The staff should show no partiality to any segment / individual student.

Leaves

Staff shall get casual leaves, medical leaves; earned leaves and vacations as per Rules of NIEPA.

Administrative Staff

1. Confidential report of the department should be part of the personal file of that employee and should be kept confidential by staff members working with this department.
2. Staff should take additional responsibilities if required, as assigned by the authority.
3. Administrative staff should maintain service books of all staff of the Institute.
4. Administrative staff should maintain the Institute level/department level all document files.

Accountant

1. Accountant should prepare, examine, and analyses accounting records, financial statements, and other financial reports.
2. Accountant should prepare accounts, taxes and tax returns, ensuring compliance with payment, reporting and other tax requirements.
3. Accountant should establish tables of accounts, and assign entries to proper accounts.
4. Accountant should report to the Vice Chancellor regarding the financial status of the Institute at regular intervals.
5. Accountant should assess accuracy, completeness, and conformance to reporting and procedural standards.
6. Accountant should provide all the necessary account statements and documents for various committees of the Institute.
7. Accountant should provide all necessary accounting documents and financial statements for yearly account audits.

Student Section

Student section should

1. Ensure the eligibility of the students and prepare related documents to submit them to Registrar's office within the prescribed time limit.
2. Ensure the student document verification by Registrar's office within the time limit.
3. Ensure caste certificate/caste validity from the concerned divisional office.
4. Provide all necessary student data to prepare various committee reports.

MTS

1. MTS should report to the Institute half-an-hour before the Institute time. MTS should maintain cleanliness of class and staffrooms.
2. MTS should do all the work assigned by the head of the department and other staff members.
3. MTS should not leave the office until and unless the higher authority permits.

Institutional Code of Ethics to Check Plagiarism and Malpractices

1. Guiding Principle of Institutional Codes of Ethics

The institutional code of ethics of NIEPA to check plagiarism and malpractices for students, staff and researchers has been formulated with the following guiding principles:

- (i) To **create awareness** about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct, including plagiarism in academic writing among students, faculty, researchers and staff.
- (ii) To establish **institutional mechanism** through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- (iii) To **develop systems to detect plagiarism** and to set up mechanisms to prevent plagiarism and take punitive action against a student, faculty, researcher or staff of NIEPA committing the act of plagiarism.

2. Code of Ethics for Checking Plagiarism and Malpractices

NIEPA shall take up appropriate measures to establish mechanisms to promote academic integrity and prevent malpractices in academics and research endeavours. Towards this objective, the Institute shall conduct awareness programmes, sensitise its students, faculty, researchers and staff about issues related to plagiarism and their implications. The Institute shall procure the software **Turnitin[#] or any other related software**, a plagiarism detector on permanent basis.

2.1 Awareness Programmes and Trainings

The following measures shall be taken to sensitise students, faculty and staff about plagiarism and malpractices and their consequences as well as building their capacity to deal with the issues of plagiarism and malpractices:

- (i) The students, faculty, researchers and staff shall be instructed 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.
- (ii) The sensitisation/ awareness programmes shall be conducted on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researchers and staff.

[#] NIEPA shall use “OURIGINAL” (erstwhile known as ‘URKUND’) as Plagiarism Detection Software (PDS) with reference to UGC D.O. Letter no. 75-1/2018 (e-Gov./TAC) dated 02.08.2019.

- (iii) NIEPA shall
- a) Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for M. Phil. and Ph.D. programmes.
 - b) Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organised for its faculty and staff members.
 - c) Train students, faculty, researchers and staff for using plagiarism detection tools and reference management tools.
 - d) Establish facility equipped with modern technologies for detection of plagiarism which is usage of software **Turnitin[#]/similar software**.
 - e) Encourage students, faculty, researchers and staff to register on international researchers' registry systems.

3. Curbing Plagiarism

- 3.1 NIEPA shall declare and implement the technology-based mechanism using appropriate software, for example, **Turnitin[#]**, so as to ensure that documents such as theses, dissertations, publications or any other such documents are free of plagiarism at the time of their submission.
- 3.2 The mechanism, as defined at Clause 3.1 above, shall be made accessible to all engaged in research work, including students, faculty, researchers and staff.
- 3.3 Every student submitting a thesis, dissertation, or any other such documents to NIEPA shall submit an undertaking indicating that the document has been prepared by him/her and that the document is his/her original work and free of any plagiarism.
- 3.4 The undertaking shall also state that 'the document has been duly checked through a plagiarism detection tool approved by NIEPA'.
- 3.5 Each supervisor shall submit a certificate indicating that the work done by the researcher under him/her is plagiarism-free.
- 3.6 NIEPA shall submit to INFLIBNET the soft copies of all dissertations and theses within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- 3.7 NIEPA shall create Institutional Repository on its website which shall include dissertations/theses/papers and other research documents.

4. Similarity Checks

The following shall be exempted from the similarity checks:

- i. All quoted work reproduced with all necessary permission and/or attribution.

[#] NIEPA shall use "OURIGINAL" (erstwhile known as 'URKUND') as Plagiarism Detection Software (PDS) with reference to UGC D.O. Letter no. 75-1/2018 (e-Gov./TAC) dated 02.08.2019.

- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

It may be underlined that the research work carried out by a 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.

5. Levels of Plagiarism

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

- i. Level 0: Similarities up to 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%

6. Detection/Reporting/Handling of Plagiarism

If any student, faculty and staff of NIEPA suspects, with appropriate proof, that a case of plagiarism has happened in any document, he/she shall report it to the concerned Committee/authority having the responsibility of checking plagiarism and malpractices at NIEPA. As recommended in the UGC Regulations 2018, Institutional Academic Integrity Panel (IAIP) of NIEPA shall be constituted that takes cognisance of such a complaint or allegation. The Committee shall investigate the matter and submit its recommendations to the IAIP.

The NIEPA authorities can also take *suo moto* notice of an act of plagiarism and initiate proceedings under these guidelines. Similarly, proceedings can also be initiated by the Institute based on the findings of an examiner. All such cases will be investigated by the IAIP.

7. Penalties

Penalties shall be applicable on students, researchers, faculty and staff only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted, and the individual, in question, has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

7.1 Penalties in case of Plagiarism in Submission of Theses and Dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the plagiarism, which shall be as under:

- i. Level 0: Similarities up to 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's registration for that programme shall be cancelled.

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.

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.

7.2 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% - 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.

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 the highest level is committed, the punishment for the same shall be operative. In case level 3 offence is repeated, the disciplinary action, including suspension/termination as per service rules shall be taken by NIEPA.

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

If there is any complaint of plagiarism against the Institutional Head of NIEPA, a suitable action shall be taken by the Controlling Authority of NIEPA.

If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action shall be recommended by the IAIP and approved by the Competent Authority.

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

8. Guidelines for Plagiarism Check

The following guidelines shall be adhered to for submission of the plagiarism reports generated by **Turnitin software[#]** at the time of submission of Ph.D. thesis and M. Phil dissertation:

- 8.1 M.Phil./Ph.D. thesis and dissertation must undergo a plagiarism check by **Turnitin software[#]**.
- 8.2 The exclusion at the time of performing the check shall be limited to the following:
 - A. Quotes
 - B. Bibliography
 - C. Phrases
 - D. Small matches up to 10 words
 - E. Small similarity less than 1%
 - F. Mathematical formula
 - G. Names of the Institutions, Departments, etc.
- 8.3 Regarding self-plagiarism or cases where published work of the student is shown as plagiarism in the check, a certificate (Plagiarism Self-exclusion Certificate, attached) has to be issued by the Supervisor specifying and attaching the articles that have been published by the student from his/her thesis work. Only these articles should be excluded from the check. No other article of the Supervisor or the student shall be excluded from the check. This shall be for reference of the library for performing the final check.
- 8.4 The final Plagiarism check from the library and documentation centre is essential so that the correct report is submitted at the time of thesis submission.

[#] NIEPA shall use “OURIGINAL” (erstwhile known as ‘URKUND’) as Plagiarism Detection Software (PDS) with reference to UGC D.O. Letter no. 75-1/2018 (e-Gov./TAC) dated 02.08.2019.

- 8.5 The NIEPA library shall issue the final certificate of plagiarism check called the 'Plagiarism Verification Certificate', certifying and authenticating the check performed by the student/Department. This certificate shall be submitted to the Examination Branch at the time of submission of the thesis.
- 8.6 Any publication of NIEPA shall be subject to the plagiarism check as outlined above.
- 8.7 NIEPA shall provide training and any other facilitation to the faculty and students for ensuring plagiarism-free publication.

Consultancy & Resource Generation Policy of NIEPA

1. Preamble

In order to motivate faculty to share their knowledge and expertise for the betterment of society, and to strengthen institutional networking, the Institute shall promote consultancy services, both national and international, in educational planning and administration as well as related areas. The consultancy services of NIEPA may cover research, technical support, programme/project evaluation studies, and other related activities in relevant areas with government and non- governmental organisations in India and abroad.

2. Scope of Consultancy Services

The consultancy services of NIEPA may cover a variety of activities and shall include activities such as sponsored research material preparation, in-service training programmes, the use of different aids (print material, audio-video aid, teleconferences), consultancies on staff development/human resource development, developing plans and strategies, IT, media and social awareness programmes, undertaking collaborative research, case studies, feasibility studies, programme/project/scheme evaluation studies, technology assessments, assessment of designs of educational administration, systematic changes, organisational designs, training of trainers, capacity building, turnkey projects of establishing institutions, policy planning, or any other activities related to NIEPA's mandate.

3. Activities not to be considered part of Consultancy

There are some activities which are undertaken by faculty such as chairing sessions in meetings, acting as an expert in meetings/lectures/presentations in seminars and conferences on behalf of the Institute or on their own behalf, shall not be considered part of this consultancy. The remuneration received on account of these activities shall not become part of consultancy.

Similarly, services, which may involve use of Institute's computational facilities/software/hardware and other technical, physical infrastructure for the benefit of students, researchers, scientists, faculty - outside or within NIEPA - for educational purposes and without profit motive, shall not be the part of the policy on consultancy services.

4. Eligibility to Undertake Consultancy

Full-time regular faculty, core researchers, if any, of Departments/Centres, etc., who are employees of the Institute, shall take up the consultancy work individually or collectively.

5. The Standard Operating Procedure

The following standard operating procedures shall be adopted for delivering institutional and individual consultancy services of NIEPA:

- A Committee for Consultancy & Resource (C&R) shall be established at NIEPA.
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- The Committee shall be the nodal agency for any consultancy activity in the Institute.
- The Committee shall also be the custodian of all documents for consultancy.
- Any faculty, department or centre may initiate the ground work and explore such possibilities. After the basic ground work, it would be reported to C&R Committee.
- The C&R Committee shall examine and put up the matter to the Vice-Chancellor, who may approve or seek approval, if need be, from the concerned statutory body.
- If a client approaches individual faculty member/ department for consultancy services, it may be put up for approval of the C&R Committee.
- Related payments shall be routed through the Registrar, NIEPA or through the concerned faculty to be managed by the Institute.
- The payment received for consultancy shall be deposited by the faculty in bank account as per terms of the agreement in a separate budget head entitled 'C&R' to be maintained at NIEPA.
- The concerned faculty will sign an undertaking with respect to the time spent on the activity.

6. Financial, Leave and Academic Performance Rules

The following norms relating to financial management leave and academic performance of the faculty engaged in delivering consultancy services shall be adopted:

- 6.1 The payment received by the concerned faculty for delivering consultancy services equivalent to up to his/her one month's salary in a financial year shall be exempted from resource sharing by the Institute.
- 6.2 The payment/remuneration received by the faculty from such consultancy exceeding his/her one month's salary shall be deposited with the Institute. This amount, after deducting cost incurred in the execution of the consultancy activity, shall be shared between the faculty and NIEPA in the ratio of 60:40, i.e. 60% of the net consultancy fee (i.e. net of all expenses incurred in delivering the service) shall be paid to the faculty/staff who worked for the consultancy service and 40% shall be retained by the Institute. The Institute shall plough back the resources generated through consultancy services in augmenting facilities to improve infrastructure, IT and other facilities at NIEPA.
- 6.3 The fees from consultancy services of an individual faculty shall not exceed more than his/her total salary for six months in one financial year.
- 6.4 The C&R Committee shall develop a format of undertaking to be submitted by the faculty engaged in consultancy services. The faculty shall not undertake consultancy at the cost of basic teaching and research functions expected of him by the Institute. However, academic leave and other types of leave due to the faculty can be availed to carry out consultancy assignments.
- 6.5 The faculty shall report the output of the consultancy assignment in the academic performance reports such as the performance appraisal report and annual reports of the Institute.

Policy for Professional Development of Teachers

1. Preamble

Faculty development is an essential pre-requisite of an organisation development. NIEPA shall promote personal, social, teaching and research skills of the faculty. It shall enable the faculty to use technology in teaching, training and research. It shall promote managerial skills of the faculty. Overall, it will promote an academic culture conducive for the professional development of faculty and the growth of an organisation.

2. Objectives

The major objectives of the faculty development programmes are:

1. To promote interpersonal skills, team building and leadership.
2. To develop capacity for course and curriculum design, instructional technology and course delivery.
3. To provide opportunities for research.
4. To promote academic culture to lead the organisation for 21st century

3. Guiding Principles

All the faculty members shall be provided opportunities for participation in international and national conferences, short- and long-term training programmes in the institutions/universities of international repute, diverse committees and decision-making process of the Institute, faculty development programmes of UGC and other professional development programmes, and sabbatical and other leaves for the promotion of professional development without any discrimination on grounds of caste, gender and religion.

4. Capacity Development Programmes

In view of the interdisciplinary nature of NIEPA faculty, the continuous capacity building programme shall be provided to all the faculty members in the area of educational planning and administration.

- 4.1 Induction through attachment with senior faculty shall be provided to the newly recruited faculty.
 - 4.2 Faculty shall be imparted training on new methodologies like designing and transaction of online courses. Faculty may select courses/programmes from among the categories of Refresher Courses, Research Methodology Course, Syllabus Upgradation Workshop, Teaching-Learning-Evaluation Workshop, Learning Management Workshops in house or outside NIEPA.
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4.3 Participation in the national and international seminar and conferences:

- i. International seminars and conferences: NIEPA shall extend support (financial and academic) to all faculty members if their paper/abstract is selected for presentation in an international conference(s). A faculty may avail of this support once in two years. However, to avail this, the faculty must submit their full paper to the Institute.
- ii. NIEPA shall extend support (financial and academic) to all faculty members if their paper/abstract is selected for presentation in a national conference/seminar. A faculty may avail it twice in an academic year. However, to avail this, the faculty must submit their full paper(s) to the institute.
- iii. The financial support needs to include, travel grant, boarding and lodging, daily allowances as per the entitlement of concerned faculty member and registration fees.

4.4 Faculty exchange and visiting faculty programmes:

A faculty may be given up to 4 weeks of academic leave in a year to work as a visiting faculty/scholar in other national and/or international higher education institute.

- i. NIEPA must facilitate academic collaboration, engagement of faculty members in faculty exchange and visiting faculty programmes for career advancement.

4.5 Dissemination of academic contribution/ publication/ research reports:

Provision to disseminate research results/work in progress/findings shall be facilitated by NIEPA at regional/national/international levels. The funding provisions for the same should be integral to the research proposal.

4.6 Development of courses, planning for a programme:

The development of courses, planning for a programme, the theme selection for conducting a programme and the course material and training material development for a training programme are some of the most important activities for a faculty member to learn and imbibe in NIEPA. Carrying out such an activity requires understanding of the field situations and also the need of the clientele for whom the programme is being designed/organised.

- i) The faculty members of NIEPA shall contribute in designing course material and training material for the programmes in accordance with their expertise.
- ii) The senior faculty shall also provide in-depth understanding and adequate inputs for carrying out such an activity effectively.

- iii) It is important for the development of the university that all the faculty members are associated with various committees, so that they also feel the responsibility of the university and work to achieve the objectives. There shall be equal distribution of tasks through different committees.
- iv) The committees shall be created with both senior and junior faculty members. It is important to initiate collaborative research programmes with desired expertise.

5. Teaching, Training and Research Guidance

- 5.1 Teaching and training are two important activities for NIEPA faculty. Faculty members shall be given opportunities to engage classes in all teaching and training programmes of NIEPA so as to earn API score for the professional development.
- 5.2 Senior faculty shall mentor junior faculty by allowing them the opportunity to teach through the joint course delivery.
- 5.3 Faculty members shall be given an opportunity to guide and evaluate M.Phil./ Ph.D. programme on the basis of their specialisation.

6. Research, Innovation and Publication

NIEPA is a research-oriented higher education institute. Hence, the faculty is expected to conduct/participate in research and innovation of various nature, scale and timelines.

- 6.1 Faculty shall be given an opportunity to conduct research in NIEPA after having duly completed the research proposal process and the sanction of the research proposal by the academic council.
- 6.2 Faculty shall be given an opportunity to collaborate/coordinate with any existing/new research of the department/Institute. They shall also be allowed to have collaborative research work within the department and/or with other departments or with other universities/institutions.
- 6.3 All faculty members may be encouraged to publish their research work and present it in seminars/conferences and other forums of academic nature for their professional growth.
- 6.4 All faculty members shall be given an opportunity to publish in NIEPA journal and occasional papers, policy briefs or any other NIEPA publication.

7. Linking Academic Performance Indicators (API) to Career Advancement

- 7.1 All academic programmes such as teaching/training/research/dissemination of research work/ presentation in conferences and seminars, etc. shall be linked with the API scores for the career advancement of faculty(s).
- 7.2 If required, NIEPA specific API score may be devised/revised to reflect all the academic/administrative contributions of the faculty.

Research and Innovation Policy of NIEPA

1. Preamble

One of the major agenda of NIEPA is to undertake and promote research and innovation in areas related to policy, planning, administration, financing, and management of development programmes at all levels of education. Given the unique role of NIEPA as a national level resource organisation extending policy and technical support to the national and sub-national governments, the research at NIEPA assumes profound importance in generating new and innovative ideas and promoting strategic management of education in the country. With changing contours of public sector reforms and to improve efficiency and effectiveness of public expenditure, research at NIEPA is expected to feed into decision-making processes. It is, in this context, NIEPA gives renewed emphasis on its research and innovation function. Keeping in view the need for deepening research for promoting evidence-based management of education, and at the same time, considering the provisions in the UGC Regulations, 2018 "Minimum Qualifications of Teachers - "governing the research load and outputs of the faculty", NIEPA shall adopt the following policy for promoting research and innovation.

2. Nature and Scope of Research to be pursued at NIEPA

- 2.1 NIEPA shall engage in all sorts of research – i.e. inductive, deductive, action research, surveys, and assessment and evaluation studies.
 - 2.2 Given its dual mandate as a university and an organisation that acts as a ‘think tank’ for the Central as well as the State Governments, NIEPA shall look for the ‘right mix of research studies’ to be implemented in a given medium-term plan period. However, too much of descriptive research (documentation of a given phenomenon) in the absence of correlation and explanatory research may not help much in improving policy planning and management practices, which shall be kept in view while reviewing research proposals for consideration for funding by NIEPA.
 - 2.3 As a national level resource organisation, NIEPA shall adopt “what works clearing house approach (WWC)” for identifying the scope and priority areas of research in education. NIEPA shall pursue research (i.e. practice-oriented, action research, small scale exploratory studies, evaluation studies, etc.) not only to support practitioners, particularly at the sub-national levels but also use this as the best way to be in touch with states.
 - 2.4 It is important to promote large-scale, multi-stage, longitudinal and collaborative research at NIEPA. It is more critical to promote small scale empirical research in order to promote individual identity and areas of specialisation of the faculty, and more importantly, to make research feasible. At the same time, inter-disciplinary perspective and approach to research design (mixed design) shall also be encouraged.
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3. Promoting In-house and Sponsored Research

- 3.1 The medium-term research perspective of NIEPA, indicating thematic areas/topics of research, shall be developed in every planning cycle based on the research perspectives of individual departments.
- 3.2 A timeline for developing and processing research proposals keeping in view the faculty engagement in teaching, and capacity development programmes, etc. (i.e. to enable individual faculty to plan his/her time on task) shall be decided and disseminated to the faculty well in time.
- 3.3 NIEPA shall not exclude the possibility of submitting and processing research proposals at any point of time in a given financial year. However, it would be better to follow a front loading strategy in developing and submitting research proposals by the faculty, i.e. most research proposals shall be developed in the first quarter of the financial year. However, this policy shall not apply for NIEPA-sponsored research.
- 3.4 Relevant guidelines and generally accepted formats/templates for developing and submitting research proposals shall be developed by the Project Management Unit (PMU) following a consultative process. The same shall be applicable for promoting NIEPA-sponsored research.
- 3.5 The PMU shall be responsible for managing in-house as well as sponsored research at NIEPA right from the submission of the research proposal to review, approval, notification, implementation, monitoring progress and closure of the research project/study with submission of the final research report.
- 3.6 NIEPA shall develop commonly accepted criteria for evaluating in-house as well as NIEPA-sponsored research proposals, focusing on rationale, specification of research questions, research design, data and analysis plan, budget estimates and expected findings/deliverables. The faculty/external agencies seeking funding support from NIEPA shall be made aware of evaluation criteria for processing the research proposal, which shall help them firm up their research proposals right from the very development stage.
- 3.7 Project staff recruitment process shall be institutionalised where the concerned Department and the Project Investigator shall have a larger say in the selection process.
- 3.8 Copy rights/patents of innovative ideas and developmental research at NIEPA producing new educational planning and management techniques, tools and methodologies, etc. shall be ensured by NIEPA.

4. Development of Research Capacity

- 4.1 NIEPA shall develop rules and regulations guiding research at NIEPA, which shall contribute towards creating an enabling environment for promoting research. It is better to have these institutional arrangements in the form of by-laws, guidelines, monitoring frameworks, dissemination/ publication policies, etc. NIEPA shall not only help institutionalise research but also make management of research at NIEPA transparent, accountable and effective.
- 4.2 Capacity development activities for faculty, including skill-oriented research workshops on specific research methods, data processing skills, training in the use of software like SPSS, STATA, GIS, research design, quantitative modelling skills, etc. shall be a regular feature at NIEPA and find a place in its Calendar of Activities.
- 4.3 Besides, individual faculty members shall be encouraged to attend research-related capacity development programmes and courses organised by national and international organisations/universities. As far as possible, NIEPA shall sponsor their participation in such professional development programmes as per its rules.

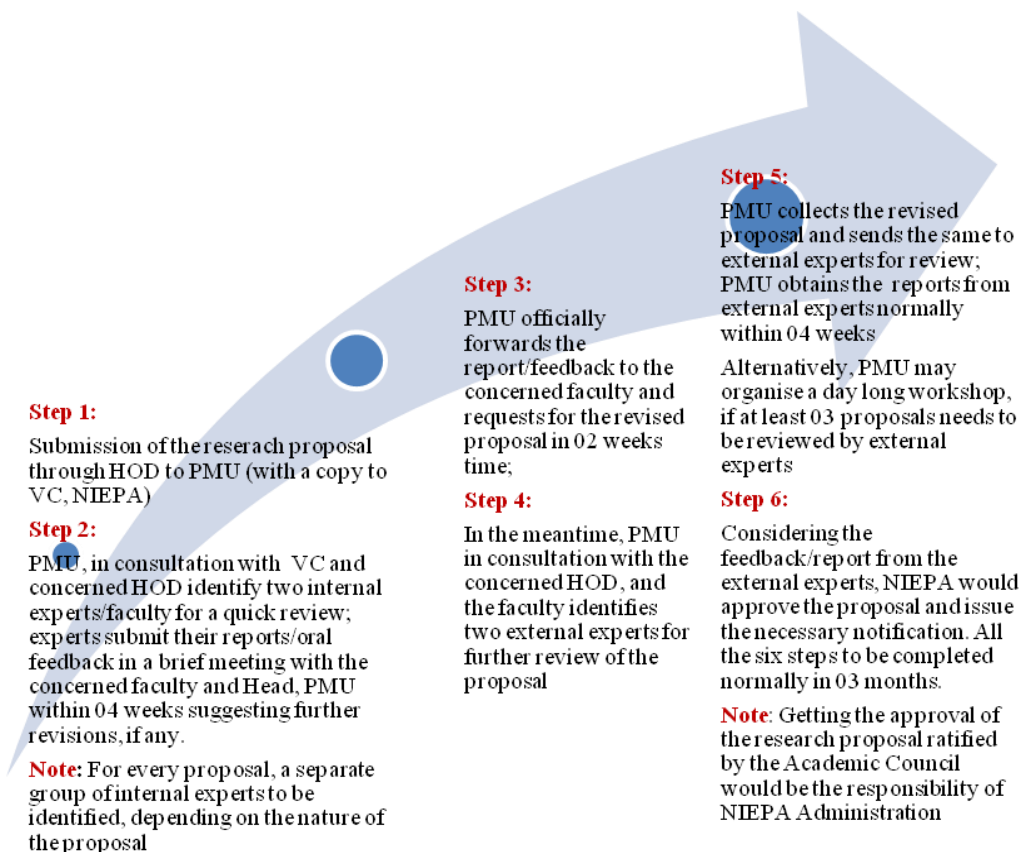
5. Medium-term Priority Areas of Research at NIEPA

- 5.1 While research at NIEPA shall focus on educational planning and management-related areas, each Department shall go for identifying a manageable number of priority areas for research, including fundamental and large scale collaborative and longitudinal studies.
- 5.2 The experiences of Departments' engagements in their core areas of work and various education development programmes, together with the feedback received from the Departmental Advisory Committee Meetings, shall be considered in identifying the key areas of research. Each Department shall have its own research perspective. While doing so, individual faculty interests and specialisation shall be taken into consideration.
- 5.3 At the beginning of every medium-term planning cycle of NIEPA, research workshops considering the research perspectives of individual Department shall be undertaken to articulate NIEPA's research agenda.
- 5.4 In the current medium-term period (2020-25), NIEPA shall prioritise the following broad thematic areas for undertaking research and innovative interventions:
- (i) ICT in Planning and Management of Education, including Teacher Management and Professional Development;
 - (ii) Managing Diversity in Education and Quality of Learning Outcomes;
 - (iii) Educational Governance, including Managing for Results; and
 - (iv) Equity and Inclusion in Education.

- 5.5 Given the broad thematic areas identified, each Department shall identify and prioritise 2-3 sub-themes for developing its medium-term research perspective. Once developed, the research plan of each Department shall be placed before the Departmental Advisory Committee for consideration and approval.
- 5.6 Sponsored research by the MHRD and other national and international organisations, if any, shall also be considered by each Department while developing its medium-term/annual plan for implementing its research programme.

6. Institutional Arrangements for Streamlining Research Approval, Monitoring and Closure Procedures

- 6.1 The screening and approval procedures of research proposals, in-house as well as sponsored shall be streamlined by formulating appropriate norms, standards and procedures. It shall include the maximum timeline (in months) to be taken by NIEPA to process research proposals following a transparent method of evaluation of research proposals and allocation of research studies to individual faculty and external agencies.
- 6.2 Once an in-house full-fledged research proposal is submitted, normally three months shall be taken to process and sanction the proposal. This period would take care of the revisions to be carried out in the proposal on the basis of comments from internal and external experts and the administrative procedures to be followed to sanction a research proposal.
- 6.3 Similarly, NIEPA shall take around three months to process research proposals received from external agencies/individuals.
- 6.4 NIEPA while processing the research proposals, both in-house and sponsored, shall adopt the following procedures not only to reduce the time currently taken to approve a research proposal but also to ensure transparency in the allocation of research studies (see Figure 1). The PMU shall take full responsibility for processing in-house as well as NIEPA-sponsored research proposals.



- 6.5 About two weeks shall be given for revising the proposals on the basis of comments and suggestions received from the external experts or made in the research workshop. Further, around two weeks from the date of receiving the revised research proposal (on the basis of external experts' comments/comments in the workshop) shall be sufficient to sanction a research proposal.
- 6.6 NIEPA shall decide the starting and finish time of approved research studies and closely monitor the duration of implementation of these studies. The date of issue of notification, sanctioning the research study with budgetary provisions, shall be considered as the starting date of the research study subject to appointment of related project staff within a month from the date of notification.
- 6.7 The finish date of the study shall be the starting date plus the study duration. However, extension of the project duration can be sought with genuine reasons, including any delay in appointing the research staff.
- 6.8 Ordinarily, no extension shall be given to a sanctioned project. In other words, efforts shall be made to complete the project within the approved project duration. If it is absolutely unavoidable, any delay in the completion of the research study shall be officially informed, and approval from the competent authority, stating the compelling circumstances for extension of the project duration, will be sought.

- 6.9 A framework for monitoring progress in the implementation of research at NIEPA and reporting/feedback system for the same shall be developed. Individual Department shall make available quarterly progress report on research to the PMU, which, in turn, shall compile the same and report to the concerned authorities. The feedback on the monitoring report shall also be communicated to the individual Department by the PMU.
- 6.10 The project/research study shall be officially closed after its report is presented in a faculty meeting/research workshop/NIEPA Colloquium and the revised final report is submitted to VC, with a copy to Registrar and PMU.
- 6.11 The PMU shall ensure the closure of the research study by coordinating with the concerned faculty/Principal Investigator for sharing of the research findings in a faculty meeting/research workshop/NIEPA Colloquium, and reviewing the final research report on the basis of comments and suggestions received in the faculty meeting/research workshop/NIEPA Colloquium. A quality assurance mechanism for ensuring minimum standard in the research report shall be developed by the PMU following a participatory method.
- 6.12 The PMU shall provide necessary support in terms of making research staff available in time and organising research review and sharing workshops, capacity development workshops, etc. to facilitate research at NIEPA.
- 6.13 A Project Management Information System (PMIS) shall be put in place to build a database on research at NIEPA as well as to facilitate effective management of research studies.
- 6.14 The accounts of individual research study shall be kept separately. At the end of the research project/study, its accounts details shall form part of the PMIS.

7. Dissemination of NIEPA Research

- 7.1 All in-house as well as sponsored research shall result in some sort of publications/monographs. NIEPA shall take appropriate measures to facilitate dissemination of research, including publications, uploading of the final research report in NIEPA website, development of training materials on the basis of research studies, wherever appropriate.
- 7.2 As far as possible, outputs of a research study shall be diversified in the form of books/monographs, policy briefs, articles in journals and occasional papers.
- 7.3 Appropriate editorial and related services shall be made available to the faculty for finalising research reports/publications.
- 7.4 NIEPA shall organise national and international research seminars to share and disseminate research in specific thematic areas.
- 7.5 E-dissemination strategies, including uploading of research reports and publications at NIEPA website shall be developed.

Guidelines for Publications

1. The Guidelines for publication prepared by the *Committee for Preparing Guidelines for Various Publications in NIEPA*, constituted vide Notification No. F. NUEPA/Admin/RO/Circular/030/2018-19 Dated January 08, 2020, for NIEPA Publications shall be referred as Guidelines for Publications in NIEPA-2020.
2. As NIEPA is engaged in teaching, research and extending professional support to national and state governments through its various activities of research and capacity building in educational planning and administration and also brings out publications of different categories, there has been a felt need of a well-defined Guidelines for Publication in NIEPA which could also be uploaded on NIEPA Website for transparency and for reference of the faculty, staff and public at large. The said Guidelines shall be applicable to different categories of publications in NIEPA.
3. NIEPA brings out the documents related to research in the areas of educational policy, planning, administration and finance in the form of Scholarly Works, i.e. Research Reports, Conference Proceedings, Scholarly Writings, Edited Anthologies, Policy Briefs, Books & Other Reports, Journals, Occasional Papers, Research Papers, and other Publications related to training and teaching like, M. Phil. & Ph. D. Prospectus, Curriculum Guide, Rules and Regulations, Schedule, Newsletter, Training Materials, Folders, Booklets, Announcements, etc.. All kinds of publications in NIEPA have been categorised and broad guidelines for each category of publications are given below:
4. Broadly, NIEPA Publications are categorised into the following groups:

4.1 Regular Publications

- a) Journals
 - i. Priced English Journal
 - ii. Un-priced Hindi Journal
- b) Occasional Paper Series
- c) ANTRIEP Newsletter
- d) Annual Reports (English and Hindi)

4.2 Research Publications

- a) **Online Publications/Web version** (where only soft copy version is uploaded on NIEPA website)
- b) **In-house Printed/Photocopied version of Publications** (with or without uploading on NIEPA website)
 - i. Priced Publications including various Projects
 - M. Phil. & Ph. D. Prospectus
 - Books and Reports

- ii. Un-priced Publications including various Projects
 - Research Paper Series
 - Research Report Series
 - Policy Briefs
 - Select M. Phil. & Ph. D. Thesis
 - Commissioned Project Reports
 - NIEPA/MHRD Funded Project Reports
 - Reports funded under Grants-in-Aid Scheme
 - Degrees for M. Phil. & Ph. D. Programmes
 - M. Phil. & Ph. D. Curriculum Guide, Schedule and Rules
- c) ***Outsourced Priced Books/Publications***
 - i. Through Small and Medium range Publishers
 - ii. Through well-established National and International Publishers
- d) ***Outsourced Publications/Books Published directly by the Faculty without any involvement of NIEPA***

4.3 Programmes related Publications (Folders, Pamphlets, Flyers, Booklets, Announcements, Report Covers, Seminar Reports, Speeches, Invitation Cards, Dinner Cards, Posters, Programme Schedule)

- a) Regular Major Programmes Like Diploma and Post-Graduate Diploma Programmes
- b) Training Programmes
- c) International and National Seminar/Workshop related Publications
- d) Innovations Awards related publications
- e) Foundation Day Programme Material
- f) National Education Day Programme Material
- g) Writing Pads, File Docket Folder
- h) Programme Certificates

4.4 General and Miscellaneous Publications

- a) Memorandum of Association
- b) Rules, Regulations and Guidelines
- c) Letterheads, Visiting Cards
- d) New Year Greetings Cards, Desk Calendar, Book Planner and Sheet Planner
- e) Other Miscellaneous jobs

4.5 Quick Publications/Urgent Publications

- a) Flyers, Posters and Folders for unscheduled demand
- b) Other urgent material printing and services

Guidelines for Various Publications in NIEPA

1. The guidelines are applicable to the NIEPA Publications as specified for both priced and un-priced publications, whether published in-house or outsourced, as the case may be. These guidelines are effective from the date of its approval from the Competent Authority of NIEPA.
2. The Publication Unit of NIEPA shall take care of the conversion of different manuscripts into a suitable format (electronic or printed version) for reading and its presentation, based on their technical expertise and know-how with due consultation/coordination with the related Faculty/Author/Editor and the Competent Authority.
3. The Competent Authority shall be the Vice-Chancellor who shall act through Registrar in the execution of day-to-day work of the publications and the Board of Management for any specific/special work as per NIEPA Rules and Regulations 2020 and its defined Financial Powers.
4. The Faculty/Author/Editor shall submit the manuscript/material to the Competent Authority for consideration
5. A reasonable time will be given for execution of publication as the process involves various operations within NIEPA and/or if outsourced by engaging various individual/professional and firms for bringing out into an electronic/printed form.
6. All NIEPA Publications/Website material shall contain the **NIEPA LOGO**.
7. The **Copyright** of the publication shall vest with NIEPA, and shall be governed by the Indian Copyright Act, 1957 or as amended from time to time.
8. The **List of NIEPA Publications/information** shall be displayed on NIEPA Website for reference of Readers/Researchers/Faculty and Public at large.
9. The full text of the un-priced publications, be it reports, books, occasional papers, research papers, policy briefs, booklets, journal, printed speeches, folders, newsletter, etc., shall be uploaded on NIEPA website.
10. To bring out a quality publication, NIEPA shall get the Manuscripts vetted from their empanelled freelance Copy-editors before publication.

Who can Publish through NIEPA

1. NIEPA shall consider publishing Research/Books/Reports/Occasional Papers, Research Papers, Policy Briefs, etc., of NIEPA Faculty or research work completed in collaboration with NIEPA Faculty/Departments with other outside Individual/ Agency/Country based on the approval of the Competent Authority of NIEPA.
2. NIEPA may consider publishing select Research works the form of in a Book/Report for which Financial Grants under Grants-in-Aid Scheme are provided by NIEPA after following the due process of review and other procedures as envisaged in the Flow Chart.

3. Publish any other work as decided by the Competent Authority of NIEPA or Ministry of Education, Government of India.

Copyright and the Publisher for NIEPA Publications

1. That for all Publications, the **Copyright** © shall vest with the **Institute (NIEPA)**.
2. That **Registrar**, NIEPA shall be the **Publisher for all NIEPA Publications**.
3. That all Books/Publications shall have the print line with the words: **‘Published by the Registrar, National Institute of Educational Planning and Administration, New Delhi with year of Publication’**.

Disclaimer

That all NIEPA Publications shall have a **‘Disclaimer’** stating that the—

“The facts and figures stated, conclusions reached and views expressed in the Publication are those of the authors/editors and should not be attributed to National Institute of Educational Planning and Administration (NIEPA), New Delhi.”

Royalty

1. That the **Royalty** shall be in favour of the **National Institute of Educational Planning and Administration (NIEPA), New Delhi** for all Publications brought out by all the categories of the Private Publishers.

Review Process

1. That all Research Reports/Books before accepting to be published as NIEPA Publication shall have to go through one of the **Processes of Review**—
 - (a) internally by the **‘Committee for Review of Research Reports and Dissemination’/Peer Review**;
 - (b) the established procedure of getting Review from the Three outside subject experts as approved by the Competent Authority of NIEPA;
 - (c) for the books/publications to be got published through the well-established Private Publishers/International Publishers, who have their own system of rigorous review process of manuscript and content editing before taking up for publication by them, shall be exempted from the review process through NIEPA.
2. Occasional Paper Series, Research Papers Series, ANTRIEP Newsletter, Journals, Policy Briefs, Research Reports, shall be published only by adopting **Process of Review**, either internally by the **‘Committee for Review of Research Reports and Dissemination’/Peer Review** or from the established procedure of getting Review from outside subject experts, as the case may be.

Responsibilities of the Editor/ Author/ Coordinator of NIEPA's works /materials to be Published

1. The Editor/Editorial Team/Project Team/Author/Contributor/Coordinator/Faculty engaged in publishing NIEPA material shall have the responsibility to ensure the quality of publication and its publication in time
2. The author/ contributor shall have the responsibility to ensure that the material submitted for publication is free from any copyright issue, libel or any defamatory text or anti-government/anti nation or also free from the plagiarism. NIEPA shall not be liable for any violation
3. The Editor/Editorial Team/Project Team/Author/Coordinator/Faculty engaged in publishing NIEPA material, shall work in collaboration with the Publication Unit and bring it out in a reasonable time with quality.
4. The Publication Unit shall extend all technical support, like getting the manuscript copy-edited, layout and page setting, colour scheming, providing page proofs of text/cover/jacket/blurb matter, etc., getting it printed or published through NIEPA empanelled printers or private publishers, as the case may be.

Anti Plagiarism

- All the Manuscripts/Publications or web material shall be subjected to the '**Plagiarism Software**' check.
- The Editor/Editorial Team/Author/Coordinator/Faculty engaged in the publishing of NIEPA material shall have the responsibility to ensure that every manuscript submitted has gone through the 'Plagiarism Software' check so as to confirm that it is free from the menace of plagiarism.
- The extent of similarity in case of scholarly works does not go beyond 10% and in case of use of Acts, Notifications, Orders and Data with proper citation for interpretation, validation does not go beyond 20 %.

Signing of the Memorandum of Agreement (MoA) with the Publisher

That all NIEPA Publications which are to be brought out from the private publishers (small, medium or well-established national and international publishers) shall have a **Contract** or **Memorandum of Agreement (MoA)** signed between the respective publisher and the NIEPA, before taking them for publication and with prior approval of the Competent Authority of NIEPA.

1. That **Registrar, NIEPA shall have the sole right to sign the Memorandum of Agreement** or **Contract** with the Publisher subject to compliance of procedure and approval of the Vice-Chancellor.
2. That the MoA shall be signed by NIEPA with the Publisher keeping in view the following points/requirements :
 - (a) That the NIEPA's priced publications shall be brought out through the Private Publishers **without any financial subsidy to the publisher.**

- (b) That the Copyright of the work shall remain with NIEPA.
- (c) That the full Royalty of the work shall be given to NIEPA by the Publisher within the reasonable time with the Royalty Statement.
- (d) That the NIEPA Logo shall be published suitably at the prominent place on the Cover and the Title page of the Book/Report.
- (e) That the Publisher shall provide suitable number of complimentary copies to the Institute and copies to the Contributors in case of edited volume, as the case may be, and as per the Agreement.
- (f) That the Publisher shall offer attractive trade discounts to the Institute (NIEPA)/Authors/ Editors/ Contributors, in case of purchase of copies of the work.
- (g) That the **Agreement shall be governed by the Indian Law** and in case of any dispute the same shall be settled either by Arbitration or by the due process of law in the Courts of New Delhi, India.

Publications brought out directly by the Faculty themselves (Without involving NIEPA)

1. The Authored/Edited Books by NIEPA Faculty or the Staff based on their original work/research work, etc., that does not involve any financial contribution/support from the Institute (NIEPA) and also no research work/material/content and outcome of various seminars, workshops, colloquium, etc., and paraphernalia is used for making that publication, may be published directly by the Faculty with any Publisher (Local, National or International) i.e., without any involvement of the Institute (NIEPA), New Delhi, whatsoever. However, the Faculty/staff is also free to use any information/data available in the Public domain as reference to the extent as per the permissible limits as envisaged in the Indian Copyright Act and with due prior permission from the NIEPA authorities.

The following caution shall be made before publishing the private work:

- (a) There shall not be any Agreement/Contract/Assurance to the Publisher on behalf of NIEPA by the said Faculty/Staff.
- (b) If any reference is made for and about NIEPA content, the 'Disclaimer' must be published appropriately in the published work, clearly indicating that NIEPA is not directly or indirectly responsible for any information given in the book/work.
- (c) The NIEPA Logo and Name of the Institute shall not be published in the Book.
- (d) NIEPA shall not bear any financial expenditure on account of the publication and/or promotion/distribution of the book/work.

Guidelines for NIEPA Journals

NIEPA brings out one Journal in English i.e., Journal of Educational Planning and Administration, (*A quarterly*) and one Journal in Hindi Language i.e., *Pariprekshya* (*A tri-annual*).

1. The collection and selection of articles/other textual material, their review and academic assessment for maintaining good standards and quality content of the Journals shall be the responsibility of the Editorial Team duly constituted for Journals of each language.
2. The Editorial Team shall, as far as possible, ensure the authenticity and originality of the content that the same is free from any libel/anti-government or copyright infringement or from Plagiarism, however, the author/contributor shall be liable and solely responsible for such contents.
3. The Publication Unit shall get the manuscript copy-edited so received from the Editorial Team and after finalisation of the manuscript by the Editorial Team the same shall be converted into pages as per norms/standards and shall be printed within a reasonable time after obtaining approval from the Competent Authority/Editorial Team (Chief Editor/Editor).
4. All the printed issues of the Journal with full-text shall be uploaded on NIEPA website till one year (four issues) prior to the last printed issue.
5. The full details about the Journal, its articles of the current and forthcoming issues and its subscription along with form shall be displayed on NIEPA website.

Guidelines for Other Publications

1. The Competent Authority of NIEPA shall decide in consultation with the respective faculty/department or concerned official to bring out a NIEPA Publication out of the **select Research Reports** under **Grants-in-Aid Scheme** or out of some best **Theses of NIEPA Scholars**, if they deem fit.
2. The Editorial Team/Project Team/Editor/Author/Coordinator/Faculty dealing with the above material/project/research work shall have the responsibility to ensure quality publication and within a reasonable time.
3. The author/ contributor shall be responsible for ensuring that the work is free from any copyright issue, i.e., libel or any defamatory text or anti-government/anti-nation text or also free from the Plagiarism.

The Publication Unit shall extend all technical support, like getting the manuscript copy-edited, layout and page setting, colour scheming, providing page proofs of text/cover/jacket/blurb matter, etc., getting it printed or published through NIEPA empanelled printers or private publishers, as the case may be.

NOTE

That if any issue arises out of any publication or material, which does not cover under the above Guidelines, the same shall be governed by **NIEPA Rules and Regulations and other related Policy Documents, 2020** as in place or as amended from time to time and as per the decision of the Competent Authority of NIEPA.

Flow Chart of Processing various NIEPA Publications

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
1	Regular Publications				
A	Priced English Journal [Journal of Educational Planning and Administration (JEPA)]	Approval shall be obtained from the Competent Authority to publish the Quarterly Journal (published every January, April, July and October)	<ul style="list-style-type: none"> The Editorial Board of the Journal shall have all the powers for the acceptance/selection/rejection of the articles, book reviews and other related material etc. The Editorial Board shall have the articles, book reviews and other materials reviewed from the Internal Committee for review of research reports and dissemination or from an outside subject expert/reviewer. Only after the recommendations of the expert and incorporating the suggestions of the expert by the author the Article shall be considered for Publication. 	<ul style="list-style-type: none"> The Editor of the Journal shall be responsible for the Editing, maintaining NIEPA house style and timely publication of the Journal. The Copy-editing from an outside expert shall be got done by the Publication Unit to maintain NIEPA's house style and the quality of the Journal. The Editor shall be responsible to reply all editorial/academic queries. 	<ul style="list-style-type: none"> The Page layout-setting shall be done through the Publication Unit. The services of one of the empanelled Printers or lowest tendered, as the case may be, shall be availed for printing the Journal. The Subscription and distribution of the Journal shall be dealt by the Publication Unit.
B	Un-priced Hindi Journal <i>(Pariprekshya)</i>	Approval shall be obtained from the Competent Authority to publish the Tri-annual Journal (i.e., every April, August and December)	<ul style="list-style-type: none"> The Editorial Board of the Journal shall have all the powers for the acceptance/selection/rejection and review of the articles, book reviews and other related material etc. The Editorial Board shall have to ensure that the good quality articles and book reviews are published so as to maintain the high standard of the Journal. 	<ul style="list-style-type: none"> The Editor of the Journal shall be responsible for the Editing, maintaining NIEPA house style and timely publication of the Journal. The Editor shall be responsible to reply all editorial/academic queries. 	<ul style="list-style-type: none"> The Composing and Page layout-setting shall be done through outsourcing/panel typesetter by the Publication Unit. The services of one of the empanelled Printers or lowest tendered, as the case may be, shall be availed for printing the Journal. The Subscription and distribution of the Journal shall be dealt by the Hindi Cell.

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
C	Occasional Paper Series	Approval shall be obtained from the Competent Authority by the Series Editor to publish the manuscript as Occasional Paper as and when manuscript is ready for publication	<ul style="list-style-type: none"> The Series Editor of NIEPA Occasional Paper shall be responsible for the acceptance/ selection/ rejection and review of the paper. The Series Editor shall have the right to review the paper through a Committee for review of research reports and dissemination or from an outside subject expert/ reviewer. Only after the recommendations of the expert and incorporating the suggestions of the expert by the author the Paper shall be considered for Publication. 	<ul style="list-style-type: none"> The Series Editor shall be responsible for the Editing, maintaining NIEPA house style and timely publication of the Occasional Paper. The Series Editor shall be responsible to reply all editorial/ academic queries. 	<ul style="list-style-type: none"> The Page layout-setting shall be done In-house or through outsourcing/panel typesetter by the Publication Unit. The Digital Printing of Covers and Text Photocopying/ Reprography services shall be availed from the approved/ empanelled printer/firm.
D	ANTRIEP Newsletter (Asian Network of Training and Research Institutions in Educational Planning)	Approval shall be obtained from the Competent Authority to publish the <i>ANTRIEP</i> Newsletter Bi-annually (i.e. every January, and July)	<ul style="list-style-type: none"> The Editor of the <i>ANTRIEP</i> Newsletter shall be responsible for the acceptance/ selection/ rejection and review of the articles The Editor of the <i>ANTRIEP</i> Newsletter shall also coordinate with the authors/members of the partner countries and the distribution/ dissemination of the Newsletter to them. 	<ul style="list-style-type: none"> The Editor of the <i>ANTRIEP</i> Newsletter shall be responsible for the Editing, maintaining NIEPA house style and timely publication of the <i>ANTRIEP</i> Newsletter. The Editor shall be responsible to reply all editorial/ academic queries. 	<ul style="list-style-type: none"> The Composing and Page layout-setting shall be done in-house or through outsourcing/panel typesetter by the Publication Unit. The services of one of the empanelled Printer or lowest tendered, as the case may be, shall be availed for printing the <i>ANTRIEP</i> Newsletter.
E	Annual Reports (English and Hindi)	To Publish Every year in English and Hindi languages for placing before the Parliament by the Ministry of Education.	<ul style="list-style-type: none"> The materials for the Annual Report in hard copy print out form shall be submitted by the Faculty and Academic Support Units/Cells/ Sections/Centres etc., to the Registrar, NIEPA through their HODs for consideration of publication. The Softcopy of the same shall also be sent to the 	<ul style="list-style-type: none"> One faculty member shall be nominated by the Competent Authority who shall take care of the Content/Text of the Annual Report from Academic angle and shall provide the finally corrected soft 	<ul style="list-style-type: none"> The Designing, Page layout setting etc., shall be got done by the Publication Unit from the professional designer/artist. The services of one of the empanelled Printer or lowest

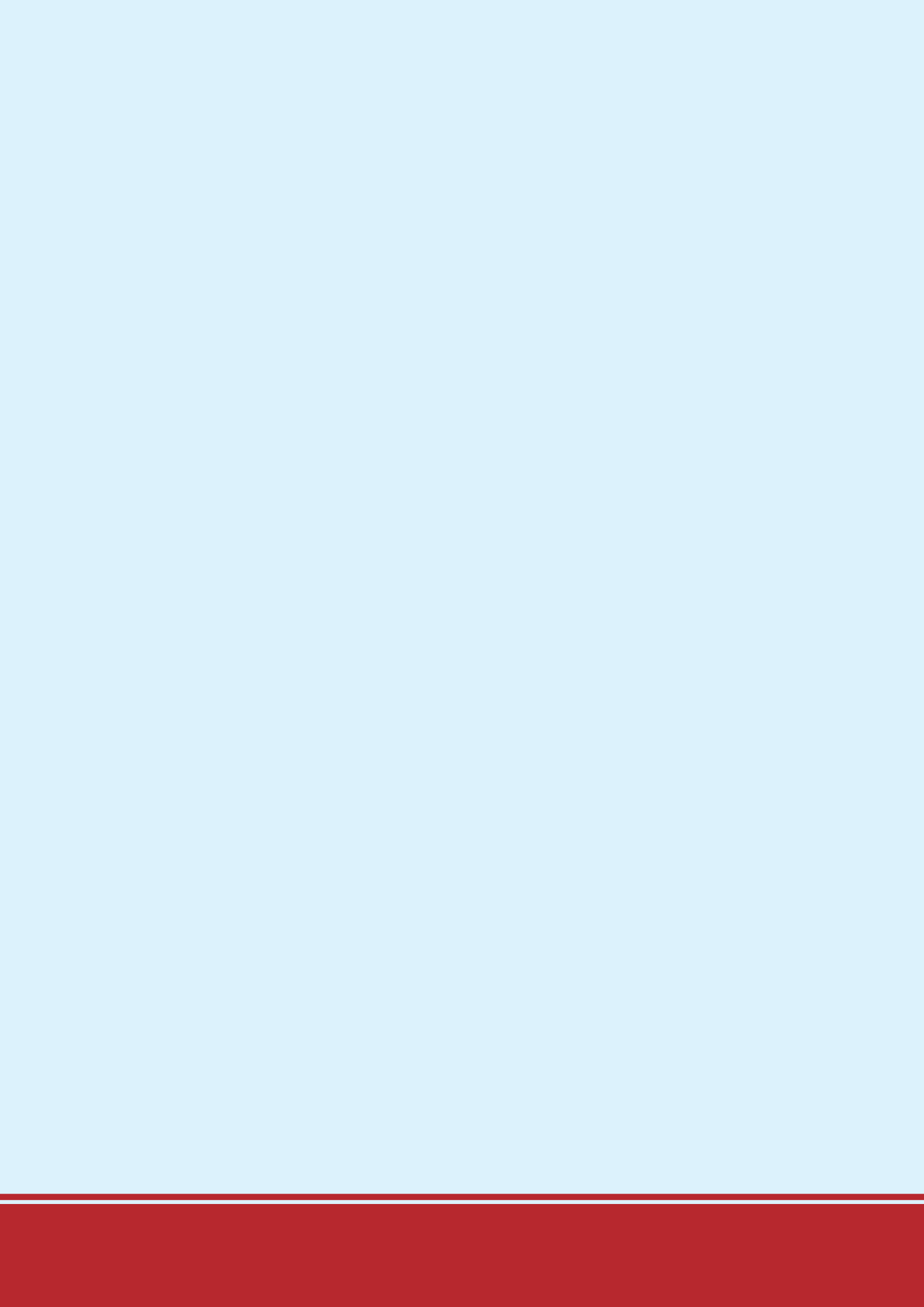
SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
			Registrar NIEPA and copy to Publication Unit. <ul style="list-style-type: none"> The final Manuscript for the Annual Report shall be finalised and approved by the Registrar/VC/ Board of Management before publishing. 	<ul style="list-style-type: none"> copy version of the Manuscript to the publication unit for sending it for Copy-editing. The Copy-editing and Proofreading of the Manuscript shall be got done by the Publication Unit for maintaining the quality and NIEPA's house style. 	<ul style="list-style-type: none"> tendered, as the case may be, shall be availed for printing the Annual Report. The adequate number (presently 60 copies each) of Published Annual Report of both the Languages shall be provided to the Office of the Registrar for their onwards supply to the MHRD for placing before the Parliament. The remaining distribution of copies shall be undertaken by the Publication Unit as per approved mailing list.
2	Research Publications				
A	Online Publications/ Web version (where only soft copy version is uploaded on NIEPA website)	The Faculty/Staff shall submit their Manuscript to the Vice-Chancellor, NIEPA for considering it to be published as NIEPA Publication.	The concerned Author/Editor shall have to ensure about the correctness of the content and it's free from Plagiarism. The content shall be reviewed through a Committee for review of research reports and dissemination or from an outside subject expert/ reviewer as may be decided by the competent authority. Only after the recommendations of the committee/expert and incorporating the suggestions of the expert by the author/editor the soft copy shall be uploaded.	<ul style="list-style-type: none"> Copy editing of the text shall be got done from one of the empanelled Copy Editor as and when required with the approval from Competent Authority. 	<ul style="list-style-type: none"> The Page layout-setting shall be done in-house by the Department concerned by themselves or through outsourcing/panel typesetter by the Publication Unit. The uploading of the document on the NIEPA Website shall be done by the System Analyst, NIEPA.

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
B	<i>In-house Printed/ Photocopied version of Publications</i> (with or without uploading on NIEPA website)				
	<ul style="list-style-type: none"> • M. Phil. & Ph. D. Prospectus; • Degrees for M. Phil. & Ph. D. Programmes; • M. Phil. & Ph. D. Curriculum Guide, • Schedule and Rules & Regulations 	<p>The Faculty/ concerned Section In-charge shall submit their Manuscript to the Vice-Chancellor, NIEPA for considering it to be published.</p>	<ul style="list-style-type: none"> • The Concerned Unit shall prepare the manuscript and it-be finalised by the Chairman, Steering Committee of M Phil-PhD Programmes. 	<ul style="list-style-type: none"> • Copy-editing of the text shall be got done from one of the empanelled Copy-editors as and when required with the approval of the Competent Authority. 	<ul style="list-style-type: none"> • The Designing, Page layout setting etc., shall be got done by the Publication Unit from the professional designer/artist. • The services of empanelled Printer(s) shall be availed for printing these items.
	<ul style="list-style-type: none"> • Books and Reports • Research Paper Series • Research Report Series • Policy Briefs • Select M. Phil. & Ph. D. Thesis • Commissioned Project Reports • NIEPA/ MHRD Funded Project Reports • Reports funded under Grants-in-Aid Scheme 		<ul style="list-style-type: none"> • The concerned Author/ Editor/ Coordinator shall finalise the manuscript and submit it to the Committee for Review of Research Reports and Dissemination for consideration of publication. • The Committee shall review the Manuscript and after the favourable recommendations by the Committee, the Manuscript may be published with the approval of the Competent Authority. 		
C	<i>Outsourced Priced Books/Publications</i>				
	<p>a) Through Small and Medium Publishers</p>	<p>The Faculty/Staff shall submit the Manuscript to the</p>	<ul style="list-style-type: none"> • After accepting the Manuscript by NIEPA, it shall be reviewed from the Committee for Review of Research Reports and 	<ul style="list-style-type: none"> • The Manuscript shall be published through one of NIEPA's approved/regular Publishes and may 	<ul style="list-style-type: none"> • The publisher shall take care for the Copy editing, Designing, Page layout-setting and fixing of the

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
		Vice-Chancellor, NIEPA for considering it to be published as NIEPA Publication with copyright to NIEPA.	<p>Dissemination and/ or through outside three subject experts for suitability of its publication.</p> <ul style="list-style-type: none"> • The Subject experts shall be nominated by the Vice-Chancellor, NIEPA. • Only after getting favourable comments from at least two experts the Manuscript shall be considered for its publication. • The Author/Editor(s) would submit the final Manuscript to NIEPA authorities only after incorporating the modifications as suggested by the Experts. 	<p>be selected in consultation with Author/Editor(s).</p> <ul style="list-style-type: none"> • MoA (Memorandum of Agreement) shall be executed between the Publisher and NIEPA while assigning the work/manuscript and shall be signed by both the authorized signatories of the parties. The Registrar, NIEPA shall sign on behalf of the Institute. The clauses used in the Agreement shall be approved by the Institute or mutually agreed by the Institute and the Publisher. 	<p>reasonable price, Printing and the marketing and sales of the books.</p> <ul style="list-style-type: none"> • The Copyright of the content/book shall rest with Institute (NIEPA). • The Publisher shall give 6 (six) hard bound printed books to the Institute and one copy each to primary contributors (in case of edited version).
	b) Through well-established National and International Publishers	The Faculty/ Staff shall submit their Manuscript to the Vice-Chancellor, NIEPA for considering it to be published as NIEPA Publication with copyright to NIEPA.	<ul style="list-style-type: none"> • Once the Manuscript is accepted by NIEPA, the Author/ Editor(s)/ Faculty may select/contact the Publisher of their choice directly for publishing their manuscript through them. However, they shall follow NIEPA guidelines for publishing the manuscript as stipulated in NIEPA rules and regulations and above. • The well-established Publishers have their own system of review and editing of the manuscript before taking up for publishing, however, the Faculty/Author/Editor concerned shall have to ensure the quality, correctness of the content and for its being free from any plagiarism. • After finalising the manuscript in consultation with Publisher, the Author/Editor(s)/Faculty 		

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
			<p>would submit the final copy to NIEPA before its onward transmission to the Publisher.</p> <ul style="list-style-type: none"> The duly signed MoA (Two original Agreement copies) shall be arranged by the Author/Editor(s)/Faculty from the Publisher (who has given consent for publishing the manuscript) on the basis of NIEPA's approved terms and MoA clauses for publishing the manuscript and submit it to the Registrar, NIEPA through Publication Unit for signatures of the Registrar, NIEPA after approval of the competent authority. One copy of the signed Agreement shall be forwarded to the Publisher for their record. 		
3 On Demand Publications					
A	Publications brought out as per the demand/ requirement of the MHRD	The concerned Faculty / Concerned Section In-charge shall submit the Manuscript to the Vice-Chancellor, NIEPA for considering it to be published		<ul style="list-style-type: none"> Copy editing of the text may be got done from one of the empanelled Copy Editors as and when required with approval of the Competent Authority. 	<ul style="list-style-type: none"> The issue related to the Designing, Page layout setting etc., shall be done by the Publication Unit from the empanelled designer/artist. The services of empanelled Printer(s) shall be availed for printing these items.
B	Reports of the Seminar/ Conferences/ Programmes				

SN	Type of Publications	Approval Process	Content Approval and Review	Editing/Copy editing/ Processing and Finalization of Manuscript	Designing and Layout/ Page makeup + Printing and Publishing
C	Programmes related Publications (Folders, Flyers, Pamphlets, Booklets, Report, Covers, Posters, Announcements, Seminar Reports, Speeches, Invitation Cards, Dinner Cards, Programme Schedule.)				
D	General and Miscellaneous Publications (Memorandum of Association, Rules, Regulations and Guidelines, Letterheads, Visiting Cards, New Year Greetings Cards, Desk Calendar, Book Planner and Sheet Planner Other Miscellaneous jobs)				



NIEPA

M.Phil./Ph.D. Degree Regulations 2020

(Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees)



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

NIEPA

M.Phil./Ph.D. Degree Regulations 2020

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

(Deemed to be University)

17-B, Sri Aurobindo Marg, New Delhi – 110016 (INDIA)

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(Deemed to be University)

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NIEPA

M.Phil./Ph.D. Degree Regulations 2020

(Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees)

NOTIFICATION

New Delhi, March, 2020

The National Institute offers M.Phil./Ph.D. integrated programme, Ph.D. (Full time and part-time) programme in Educational Planning and Administration from broader interdisciplinary social science perspective. The National Institute of Educational Planning and Administration (NIEPA) hereby makes the following Regulations, namely:- M.Phil./Ph.D. Degree Regulations 2020 (Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees)

A. M.Phil. Programme

1. Eligibility criteria for admission to the M.Phil. programme

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

1.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently-abled and other categories of candidates as per the decision of the Institute from time to time, or for those who had obtained their Master's degree

prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedure.

2. Duration

2.1 M.Phil. programme will be of four (4) consecutive semesters / two years duration.

2.2 Extension beyond the above limits will be governed by the relevant clauses as stipulated in the rules of NIEPA.

2.3 The women candidates and Persons with Disability (more than 40% disability) are allowed a relaxation of one year. In addition, the women candidates shall be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil. programme for up to 240 days.

2.4 M.Phil. scholars will be entitled for a maximum period of 30 days of leave in a calendar year in addition to public holidays as stipulated in the UGC guideline. They will not be entitled to any other leave. A scholar will be given leave up to 60 days without fellowship in special/exceptional circumstances of medical exigency. The period of leave without fellowship will be counted towards the total tenure of the programme.

3. Procedure for Admission

3.1 Institute conducts Entrance Test for M.Phil.-Ph.D Programme.

3.2 The candidates who qualify the Entrance Test are interviewed by the Interview Committee to ascertain the interest and merit of the candidates for research.

3.3 The Interview Committee, among others, also considers the following aspects, viz whether:

3.3.1 The candidate possesses the competence for research.

3.3.2 The proposed research work can be suitably undertaken at the Institute.

3.3.3 The proposed area of research can contribute to new knowledge.

3.4 Personal interview is conducted where the candidates are required to discuss their area of research interest.

3.5 Reservation policy of the Central Government issued from time to time is implemented in the Institute.

4. Course Work

4.1 The M.Phil programme shall cover both Compulsory (Core) Courses as well as Optional Courses followed by Dissertation. Each scholar shall be required to take seven Compulsory Courses and two Optional Courses or the number of courses decided by the Institute from time to time.

4.2 Each of the Compulsory Course shall be of two credits while Optional Courses shall be of one credit each.

4.3 75% of attendance is mandatory during the course work. However, under unforeseen circumstances and in exceptional cases the Vice-Chancellor may give relaxation of up to 25% in attendance on the recommendation of the SAC. Scholars having less than 75% of attendance shall be required to repeat that particular course as and when conducted next time.

4.4 In case a scholar fails to qualify the course work in the first year, he/she shall not be allowed to proceed for dissertation work.

4.5 While 'C+' (C Plus) shall be the minimum qualifying grade in each course, the overall qualifying grade required for pursuing the next stage of the programme (dissertation/thesis work) shall however, be 'B'.

4.6 Scholars securing less than 'B' grade shall be given an opportunity to improve their grades on both the components of the CCE. Such an opportunity for improvement of grades shall be extended only to four out of nine courses.

Also, any scholar who secures grade 'B' or less in any course shall be given opportunity to improve her/his grade in the respective course. This process is expected to be completed within one month from the date of declaration of result of that course.

5. Research Advisory Committee and its functions

5.1 There shall be a Research Advisory Committee for M.Phil. scholars. The Member Secretary of Committee shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- 5.1.1 To review the Research Proposals and allocate Research Supervisors.
- 5.1.2 To guide the research scholar to develop the study design and methodology of research.
- 5.1.3 To periodically review and assist in the progress of the research work of the research scholar.

6. Allocation of Research Supervisor

6.1 Any regular Professor of the Institute with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the Institute with a Ph.D. degree with at least two research publications in refereed journals are recognized as Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

6.2 Only a full time regular faculty of the Institute can act as a supervisor. The external supervisors are not allowed. However, Co-supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.

6.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Institute depending upon the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

6.4 In case of topics which are of inter-disciplinary nature where the Institute feels that the expertise in the Institute has to be supplemented from outside, the Department may appoint a Research Supervisor from the Institute itself, who shall be known as the Research Supervisor, and a Co-supervisor from outside the Institute on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

6.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. scholars.

6.6 In case of relocation of an M.Phil. woman scholar due to marriage or otherwise, the research data will be allowed to be transferred to the Institute to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however, give due credit to the parent guide and the institution for the part of research already done.

7. Registration of M.Phil. Title/Topic

7.1 Every scholar shall be assigned a research supervisor by the Committee for Allotment of Supervisor (CAS). The CAS may, if necessary, recommend appointment of a co-supervisor. The reason for joint supervisor will be recorded in the proceedings by the CAS. The joint supervisor should be an eminent scholar. Prior consent of the joint supervisor shall be obtained before candidates' registration.

7.2 The scholars will finalize the topic for research in consultation with the assigned supervisor.

7.3 The synopsis of M.Phil. Dissertation submitted by the scholar through his/her supervisor shall be reviewed in Faculty and Peer Review Seminar. Minor changes in the Topic of the Dissertation may be made by scholar in consultation with the Supervisor and with information to Steering Committee/CAS.

7.4 After presentation, the scholar shall improve upon the synopsis and submit the final synopsis to Steering Committee. The final version of the synopsis duly approved by the supervisor(s) will be submitted for approval by the Board of Studies (BOS)/Academic Council (AC). Title shall not be changed once the title is approved by the Academic Council. However, without changing the area of research, minor modifications may be made in the title.

7.5 The list of all the M.Phil. registered students will be uploaded on website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/ registration, etc.

8. Change of Supervisor

8.1 In case a supervisor, under whose supervision a dissertation has been prepared in part or in full, ceases to be a faculty of the Institute, another faculty member will be recommended as supervisor by the CAS for approval and the change will be reported to BOS/AC.

8.2 In certain cases the CAS shall recommend the name of joint supervisor from outside the faculty of the Institute if it considers desirable, for approval by BOS/AC. Such a person will be a scholar of eminence with the specialization in the field and with proven ability. The reason for appointing such a person as supervisor shall be recorded.

8.3 If the supervisor of a scholar leaves the Institute before completion of the research work or is unable to supervise the work due to some reasons, the CAS may recommend change of supervisor and inform BOS/AC.

9. Submission of M.Phil. Dissertaiton

9.1 **Pre-submission:** Prior to the submission of the dissertation, the scholar shall make a presentation in the Pre-submission Seminar which will also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation in consultation with supervisor and endorsed by the Steering Committee.

9.2 M.Phil. scholars shall present at least one (1) research paper in a conference/ seminar which is mandatory before the submission of the dissertation/dissertation for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

9.3 M.Phil. Dissertation is to be submitted on or before 30th April of Second year of M.Phil. programme.

10. Evaluation and Assessment Methods, minimum standards/ credits for award of the degree, etc.

10.1 The overall minimum credit requirement, including credit for the course work, for the award of M.Phil. degree shall be 36 credits (16 +4+16).

M.Phil Course Structure

First Semester (8 credits)		Second Semester (8 credits)	
CC-1 Perspective on Education	(2 Credits)	CC-5 Research Methodology-II	(2 Credits)
CC-2 Education in India	(2 Credits)	CC-6 Educational Planning	(2 Credits)
CC-3 Research Methodology-I	(2 Credits)	CC-7 Educational Administration and Management	(2 Credits)
CC-4 Educational Policy	(2 Credits)	OC: Optional Course	(1 Credit)
		OC: Optional course (2 Optional Courses to be selected by the scholar from the List of Optional Courses)	(1 Credit)
		Summer Internship/Project Work	(4 Credits)
Third Semester		Fourth Semester	
1. Workshop on the use of Software Application in Research		Dissertation and Viva Voce (One third weightage will be assigned for Viva Voce)	(16 Credits)
2. Writing Workshop			
3. Tutorials with Guides			
4. Dissertation Writing			
Total Credits=36 Credits (1 Credit= 18 hours) Total Credit hours=648 hours			

10.2 The Institute shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

10.3 The supervisor of the candidate shall submit three names of the experts, to the Chairperson, Steering Committee along with contact details, which will be examined by Standing Advisory Committee (SAC). The experts shall be either Professors, Associate Professor or Persons of Eminence or Persons holding equal status and their specialization shall be relevant to the dissertation.

10.4 SAC may recommend names of 3 external examiners to the Vice- Chancellor by adding or deleting any name of expert from the list of examiners recommended by the supervisor of the candidate.

10.5 The dissertation submitted by the scholar for the award of M.Phil. degree shall be examined by two examiners-one external (shall be persons not on the faculty of the Institute) and second will be Internal (supervisor).

10.6 Vice-Chancellor will nominate one external examiner out of the list of three examiners recommended by the SAC. Examiner will be requested to send his/her evaluation reports within a period of 3 weeks in a suggestive format given by the Institute (Annexure A- I)

10.7 The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together who will submit a joint report as per Annexure A- II. The viva voce shall be open to all faculty members of the Institute, other research scholars and other interested experts/ researchers and will be organized by the examination committee.

10.8 The entire process of evaluation of M.Phil. dissertation will be completed within a period of six months from the date of submission of the dissertation.

10.9 The candidates shall have to secure a minimum of B+ (B PLUS) Grade in M.Phil for the transition from M.Phil. to Ph.D.

Report of Evaluation of M.Phil. Dissertation

1.	Name of the candidate	
2.	Department	
3.	Proposed Date of Viva	
4.	Topic of Dissertation	
5.	Detailed Report regarding evaluation of dissertation (Additional Sheet be attached if needed)	
(i)	Usefulness and importance of the topic selected	
(ii)	Review of Literature	
(iii)	Work Plan/ Chapterization	
(iv)	Data Obtained – its evaluation or analysis and interpretation	
(v)	Language – Clarity and Coherence	
(vi)	Inferences/conclusions drawn	

1. Grade Awarded:

The rules for examining and classifying the Dissertation and Viva-voce are as under:-

- (i) Grade 'O', with 'Distinction', if the candidate deserves 85% or more marks
- (ii) Grade 'A+', if the candidate deserves 75 % or more but less than 84% marks
- (iii) Grade 'A only', if the candidate deserves 70 % but less than 74% marks.
- (iv) Grade 'A-', if the candidate deserves more than 65 % marks but less than 69% marks
- (v) Grade 'B+', if the candidate deserves more than 60 % marks but less than 64% marks
- (vi) 'Unsatisfactory', if the candidate deserves less than 60% marks

2. Grade Awarded

Signature of Examiner

Name.....

Address

Date:

Report of Viva-voce Examination of M.Phil.

1.	Name of the candidate	
2.	Department	
3.	Proposed Date of Viva	
4.	Topic of Dissertation	
5.	Report Regarding Viva-voce of the Candidate	
(i)	Comprehension of the subject dealt in the Dissertation:	
(ii)	Clarity in answering questions raised during Viva:	
6.	Grade Awarded (Please see overleaf for details)	

Signature of Internal Examiner

Name.....

Address

Date:

Signature of External Examiner

Name.....

Address

Date:

Signature of Chairperson/Member Examination

Committee_____

B. Direct Ph.D. Programme (Full Time/Part-Time)

1. Eligibility criteria for admission to Ph.D. programme

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

1.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Institute from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace marks procedure.

1.3 Candidates who have cleared the M.Phil. with at least 'B+' grade and successfully completed the M.Phil. Degree of the Institute and meet FGPA of 5 or above on the ten point scale are eligible to proceed to do research work leading to the Ph.D. Degree in the Institute. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Institute from time to time.

1.4 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, have to undergo test conducted by the Institute for admission to Ph.D. programme.

1.5 In Integrated M.Phil.-Ph.D., the M.Phil. scholars will be given provisional admission to the Ph.D. Programme till the declaration of M.Phil. Programme result subject to the condition that they score FGPA of 5 or more on the ten point scale. The provisional admission stands cancelled if any M.Phil. student does not obtain a FGPA of 5 or above on the ten point scale.

2. Duration of the Ph.D. Programme

2.1 Direct Ph.D. programme shall be for a minimum duration of three years and a maximum of five years, including one-year course work. Ph.D. part-time programme will be of minimum duration of 5 years and maximum of 8 years including one-year course work.

Programmes and Duration

Programme	Minimum Duration	Maximum Duration
Integrated M.Phil.-Ph.D. Programme	2 years M. Phil. + 2 years Ph.D.	2+3+1=6 years 02 years M.Phil. 03 years Ph.D. 01 year extendable
Direct Ph.D. Programme	3 years including 1 year course work	4 +1 year extendable = 5 years
Ph.D. (Part-time)	3 years including 1 year course work	7 years including 1 year course work

2.2 Extension beyond the above limits, subject to the recommendation of the supervisor, will be considered by the Vice-chancellor on the recommendation of Standing Advisory Committee of the Institute.

2.3 The women candidates and persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/ Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

2.4 Ph.D. scholars shall be entitled for a maximum period of 30 days of leave in a calendar year in addition to public holidays as stipulated in the UGC guideline. They shall not be entitled to any other leave. A scholar shall be given leave up to 60 days without fellowship in special/exceptional circumstances of medical exigency.

The period of leave without fellowship will be counted towards the total tenure of the programme.

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

3. Procedure for Admission

3.1 Institute conducts Entrance Test for Ph.D. Programme.

3.2 Reservation policy of the Central Government issued from time to time is implemented in the Institute.

3.3 Personal interview is conducted where the candidates are required to discuss their interested area of research through a presentation before a duly constituted Interview Committee.

3.4 The interview committee also considers the following aspects, viz whether:

3.4.1 The candidate possesses the competence for the proposed research.

3.4.2 The research work can be suitably undertaken at the Institute.

3.4.3 The proposed area of research can contribute to new additional knowledge.

3.5 The list of all the Ph.D. registered students will be uploaded on website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her Supervisor/Co-supervisor, date of enrolment/registration, etc.

4. Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

4.1 Any regular Professor of the Institute with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the Institute with a Ph.D. degree with at least two research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

4.2 The allocation of Research Supervisor for a selected research scholar shall be decided by the Institute depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva-voce.

4.3 Only a full time regular teacher of the Institute can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other related institutions with the approval of the Research Advisory Committee.

4.4 In case of topics which are of interdisciplinary nature where the Institute feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Institute on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

4.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

4.6 In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data will be allowed to be transferred to the Institute to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

5. Research Advisory Committee and its functions

5.1 There shall be a Research Advisory Committee for Ph.D. scholars. The Member Secretary of the Committee shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- 5.1.1 To review the research proposal and finalize the topic of research;
- 5.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 5.1.3 To periodically review and assist in the progress of the research work of the research scholar.

5.2 A research scholar shall appear before the Research Advisory Committee (Half -Yearly Progress Review Committee) once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The presentation will be attended by supervisor of the scholar and other faculty members. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institute with a copy to the research scholar.

5.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institute with specific reasons for cancellation of the registration of the research scholar.

5.4 In addition, the research scholar shall make a presentation of the progress of his/her work for evaluation and further guidance in the Annual Seminar of Ph.D. Scholars. The annual Seminar report shall be submitted by the Research Advisory Committee to the Standing Advisory Committee of the Institute with a copy to the research scholar. It is mandatory for all Ph.D scholars to make a presentation of their research progress once in a year in the Annual Seminar, if the scholar does not present in Annual Seminar, necessary action will be taken including discontinuation of fellowship and de-registration of the scholar as deemed fit.

6. Registration for Ph.D.

6.1 The date of registration for direct Ph.D scholars will be the date of admission. The date of registration for Integrated M.Phil- Ph.D scholars will be 1st July.

6.2 Every scholar admitted to the Ph.D. programme shall be assigned a research supervisor by the Committee for Allotment of Supervisor (CAS) on the recommendation of the Steering Committee. The CAS may, if necessary, recommend appointment of a co-supervisor. The reason for joint supervisor will be recorded in the proceedings by the CAS. The joint supervisor shall be a scholar of

eminence. Prior consent of the joint supervisor shall be obtained before candidates' registration.

6.3 Research preparation for Ph.D. programme will be assessed through specific research seminars wherein the scholar will present draft synopsis for the peer review and faculty observations in a seminar. These review seminars will be organised by the Steering Committee.

6.5 After presentation, the scholar shall improve upon the synopsis and submit the final synopsis to Steering Committee. The final version of the synopsis duly approved by the supervisor(s) will be submitted for approval by Academic Council (AC).

6.6 The above is expected to be completed within six months from the date of start of the Ph.D. programme.

6.7 *Change of Supervisor*

6.7.1 In case, a supervisor under whose supervision a thesis has been prepared in part or in full, ceases to be a faculty of the Institute, another faculty member will be recommended as supervisor by the CAS for approval by BOS/AC.

7. Post Registration Requirements for Ph.D.

7.1 Once registered, the scholar and his/her work shall be under the general disciplinary control of the Institute. Provided that the Vice-chancellor shall have the powers to cancel the registration of a candidate at any time, after the issue of due show cause notice, on disciplinary or any other grounds which are considered to be not in consonance with the dignity and behaviour of a researcher.

7.2 Steering Committee/Standing Advisory Committee may allow minor changes in the wording of the title of the thesis before the pre-submission seminar.

7.3 Every thesis shall be a piece of research work characterized either by discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts. In either case, it shall evince the capacity of the candidate for critical examination and judgement. The literary presentation of the thesis should be of high standard i.e. concise, laid out logically and in proper sequence free from grammatical and typographical errors and referenced properly.

7.4 Any original paper(s) pertaining to the area of specialization published by the scholar during the Ph.D. programme may be submitted as subsidiary or supporting material in favour of his/her candidature for the award of the Ph.D. degree.

7.5 The scholar may incorporate in his/her thesis the contents of any work that he may have published on the subject but shall declare this fact in the thesis. However, he/she shall not submit his/her thesis on any work for which the degree has been conferred on him/her by any Institute.

7.6 **Minimum duration of Ph.D. programme for submission of thesis.** Upon confirmation of title of the thesis, full time scholars are expected to pursue their research on the approved topic for a period of minimum two years before their work can be submitted. In case of part-time Ph.D. students, minimum period would be three years.

7.7 **Extension to submit Ph.D. thesis for regular period of beyond 4 years.** In exceptional cases, an extension of additional one year can be granted by the competent authority, on recommendation of the supervisor at least one month before the deadline, for full time scholars.

7.8 **Pre-submission presentation.** A Pre-submission presentation will be made by the scholar. External Expert is invited for Pre-submission Seminar which will also be open to all faculty members and other research scholars. The feedback and comments obtained from them may suitably be incorporated into the draft thesis in consultation with the supervisor and endorsed by Steering Committee. Draft thesis is to be submitted in a spiral-bound form within a period of six months.

7.9 After making Pre-submission seminar presentation, if a scholar is unable to submit the thesis for evaluation within six months period, the Scholar is required to make another Pre-submission seminar. A penal fee as decided by the Vice Chancellor will be imposed for second Pre-submission seminar presentation.

7.10 Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

8. Re- registration

8.1 The name of a scholar shall be removed from the rolls of the Institute if he/she fails to submit his/her Ph.D. thesis within five years from the date of admission to full time Ph.D. programme or seven years from the date of his/her admission for the Part-time Ph.D. Programme. However, the Academic council may, accept the request of the scholar whose name has been removed after confirmation from the rolls of the Institute on recommendation of Board of Studies/Standing Advisory Committee, to get re-registered and become eligible for submission of his/her thesis, provided that he/she submits his/her thesis within one year from the date of his/her re-registration.

8.2 The scholar will have a maximum period of 3 years to apply for re-registration from the date of de-registration. After getting re-registration, he/she should submit his/her thesis within one year from the date of his/her re-registration. It is further resolved that scholar must inform in writing through his/her supervisor, the intent of his/her de-registration.

9. Evaluation and Assessment Method, minimum standards/credits for award of the degree, etc.

9.1 Institute shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the Institute where the work was carried out, or to any other Institution.

9.2 The supervisor of the candidate shall submit names of five external experts (one of the experts may be from another country), to the Steering Committee along with contact details which will be examined by Standing Advisory Committee (SAC). The experts shall be either Professors or Persons of Eminence or Persons holding equal status and their specialization shall be relevant to the thesis.

9.3 SAC may recommend name of 05 external examiners to the Vice-Chancellor by adding or deleting any name of expert from the list of examiners recommended by the supervisor of the scholar.

9.4 The thesis submitted by the scholar for the award of Ph.D. degree shall be examined by three examiners - two external and third will be the supervisor.

9.5 Vice-Chancellor will nominate two external examiners out of the list of five examiners recommended by the SAC. Examiners will be requested to send their evaluation reports within a period of maximum 3 months in a suggestive format given by the Institute (Annexure B- I).

9.5.1 Each examiner shall, after examining the thesis submitted by the candidate for the award of the Ph.D. degree, submit a report in a prescribed proforma to the Institute containing a clear recommendation that in his/her opinion.

- (a) The thesis is recommended for the conduct of viva-voce;
- (b) The thesis should be modified/revised and resubmitted for evaluation; or
- (c) The thesis is rejected

9.5.2 Viva-voce will be conducted after the two external examiners' recommendation.

9.5.3 If one of the two external examiners recommends resubmission with some modification in the thesis, the scholar shall be asked to modify the thesis and resubmit the same not more than twice, the maximum period being one year for each submission after having carried out all the modifications with a certificate from the supervisor that all the modifications have been carried out.

9.5.4 A resubmitted thesis shall be examined by both external examiners who evaluated the original thesis unless any of them is unable or unwilling to do so in which case, a substitute shall be appointed from the panel by the Vice-Chancellor.

9.5.5 In case one of the external examiners recommends the rejection of thesis it shall be referred to third examiner to be appointed by the Vice-Chancellor out of the panel.

9.5.6 If the third examiner also recommends the rejection of thesis, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

9.6 Viva-voce examination of Ph.D. is open to all faculty and all research scholar of this Institute. However, the discussion during the viva-voce examination will be strictly between the examiners and the Ph.D. scholars. Observations/questions etc. can be raised by others only after viva-voce examination is over.

9.7 After the viva-voce, the report shall be prepared by examiners conducting the viva-voce examination, clearly stating whether the candidate deserves to be awarded Ph.D. degree for the thesis submitted by him/her. A suggestive format of Viva-voce report is given as Annexure B-II.

9.8 In case, the candidate is unable to attend the viva-voce on the fixed date for unavoidable reasons, the Vice-Chancellor on a request of the candidate in writing may allow one time postponement up to a maximum period of three months from the date of previously fixed date of viva-voce by the Institute failing which the candidate will be declared ineligible for the award of degree.

9.9 A scholar whose thesis is rejected shall not be registered again for the Ph.D. degree with the same topic.

9.10 The process of evaluation will be completed within 6 months but may not take more than 1 year.

10. Depository with INFLIBNET

10.1 Following the successful completion of the evaluation process and before the announcement of the award of the M.Phil. and Ph.D. degree(s), the Institute shall submit an electronic copy of the M.Phil. dissertations and Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/ Colleges.

10.2 Prior to the actual award of the degree, the Institute shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.

Ph.D. Thesis Evaluation Proforma

Name of the Scholar	
Title of the Thesis	
Kindly give your evaluation report in terms of the following:	
A. General Observations on the Work (Covering rationale of the study; objectives of the study, review of literature; methodology; sampling, instruments, data analysis, result & discussion; identification of research gaps; suggestions for further research; original contribution to the field) (An additional Sheet may be used)	
B. Chapter-wise comments (also covering presentation of work) (An additional Sheet may be used)	
C. Modification suggested (An additional Sheet may be used)	

Recommendation

- (a) Thesis is accepted in the present form and viva voce be conducted
- (b) Thesis may be modified/revised and resubmitted for evaluation
- (c) Thesis is rejected

The questions to be raised during viva-voce:

- (i)
- (ii)
- (iii)
- (iv)
- (v)

Signature of the Examiner	
Name & Designation	
Date	
Email Address	
Mobile No.	

Annexure B-II

**Viva-voce Examination Report of Ph.D. thesis
(Jointly by the examiners)**

Name of the Scholar	
Title of the Thesis	
Report enclosed	
Date	
Recommendations: Degree may be Awarded (i) YES (ii) NO	

Signature of Internal Examiner Signature of External Examiner Signature of External Examiner

Name..... Name..... Name.....

Address Address Address

Email..... Email..... Email.....

Date: Date: Date:

C. Miscellaneous

1. Once registered, the scholar and his/her work shall be under the general disciplinary control of the Institute. Provided that the Vice-Chancellor shall have the powers to cancel the registration of a candidate at any time, after the issue of due show cause notice, on disciplinary or any other grounds which are considered to be not in consonance with the dignity and behaviour of a researcher.
2. Steering Committee/Standing Advisory Committee (SAC) may allow minor changes in the wording of the title of the M.Phil. dissertation/Ph.D. thesis before the pre-submission seminar.
3. Regular fees are payable for the full period until submission. Scholars are expected to pay any other administrative/submission fees as per rules.
4. A full time Ph.D. scholar, after confirmation of the research topic and on the recommendation of the supervisor will be allowed to convert into Part-time Ph.D. Scholar on getting permanent job in the Central/State Governments or Universities/Collages.
5. No candidate shall join any other course or appear at any examination of any Institute while conducting research. The Vice-Chancellor may, however, allow a candidate to attend a course in the NIEPA or any other University which is relevant to his/her research.
6. Notwithstanding what is contained in the rules, the Vice-Chancellor may in exceptional circumstances consider relaxation of any of the provisions at his/her discretion.

NIEPA

M.Phil./Ph.D. Degree Regulations 2020

(Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees)



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

(Deemed to be University)

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F. No.1-5/2021(NEP/DESK-PARL)

14th March, 2022

Subject: Implementation of Guidelines for Establishment of Research & Development Cell in Higher Education Institutions (HEIs)

Dear Vice Chancellor/Principal,

As you are aware, the National Education Policy (NEP 2020) focuses on catalyzing quality research in the nation and lays the framework to strengthen research ecosystems in Higher Education. With this in mind, the University Grants Commission has recently formulated Guidelines for Establishment of Research & Development Cell (RDC) in Higher Education Institutions (attached herewith). The establishment of RDC in HEIs will pave the way for integrating the key elements- Research, Innovation and Technology development for India's *Atma-Nirbhar Bharat* mission and address our societal challenges of the 21st Century.

To facilitate its effective implementation, the Vice Chancellors of Universities and Principals of Colleges are requested to take appropriate action for the establishment of the Research & Development Cell as per the enclosed guidelines in their respective universities and colleges. I would appreciate if you share the initiatives taken in this regard on UGC's University Activity Monitoring Portal (UAMP) www.uamp.ugc.ac.in.

Looking forward to your active cooperation in this regard.

With regards,

Yours sincerely,

(Prof. M. Jagadesh Kumar)

Encl: as above

To

1. The Vice-Chancellors / Directors of all Universities/Institutions
2. The Principals of all Colleges

.....

Guidelines for Establishment of Research & Development Cell In Higher Education Institutions

.....



ज्ञान-विज्ञान विमुक्तये

Guidelines for Establishment of Research & Development Cell In Higher Education Institutions



ज्ञान-विज्ञान विमुक्तये

University Grants Commission

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Foreword

National Education Policy (NEP) 2020 envisages the promotion of quality research within the Higher Education System. Research, innovation and development are important aspects to enhance quality education by the Higher Education Institutions (HEIs). Societal challenges of our country can only be addressed by having a strong and vibrant higher education ecosystem with an emphasis on research, innovation and technology development. The integration of Research, Innovation and Technology Development is the foundation of Atma-Nirbhar Bharat (Self-reliant India).

I am delighted to present the Guidelines for Establishment of Research and Development Cell (RDC) in HEIs. The establishment of RDC in HEIs will enable attainment of targets of Atma-Nirbhar Bharat and is expected to play a pivotal role in catalyzing research culture mandated in NEP 2020. The purpose of these guidelines is to put in place a robust mechanism for developing and strengthening the research ecosystem within HEIs, aligned with the provisions of NEP-2020. The essential elements of such an ecosystem, viz., generation of knowledge and facilitation of research, innovation and technology development for industrial & societal benefits, are addressed by human resource, intellectual capital, governance and financial resources, information management system, research promotion & guidance, Integrity and ethics, capacity building and research monitoring. The Guidelines are to create a conducive environment for enhanced research productivity; to encourage collaboration across industry, government, community-based organizations, and agencies at the local, national, and international levels and to facilitate greater access to research through mobilization of resources and funding.

I am confident that the establishment of RDC in HEIs will help in creating new knowledge, creating a research ecosystem for reliable, impactful, and sustained research output and facilitating intellectual growth that would promote quality research and contribute meaningfully towards the goal of a self-reliant India. It is expected that these guidelines would be great help to HEIs in the establishment of RDC. I hope HEIs will find it useful and take the benefits of this initiative of UGC.

I take this opportunity to sincerely acknowledge the significant contributions of UGC Officials and external experts in formulating these Guidelines.



(Prof. M. Jagadesh Kumar)
Chairman, University Grants Commission

4th March, 2022

Guidelines for Establishment of Research & Development Cell In Higher Education Institutions

Introduction

The National Education Policy (NEP) 2020 envisages the promotion of quality research within the Higher Education system. Research and innovation are important aspects to enhance quality education by the Higher Education Institutions (HEIs). Societal challenges of our country can only be addressed by having a strong and vibrant higher education ecosystem with an emphasis on research, innovation, and technology development. The integration of Research, Innovation and Technology Development is the foundation of Atma-Nirbhar Bharat (Self-reliant India). The establishment of Research and Development Cell (RDC) in HEIs will enable attainment of targets of Atma-Nirbhar Bharat and is expected to play a pivotal role in catalyzing multidisciplinary/transdisciplinary and translational research culture mandated in NEP 2020.

Vision

To put in place a robust mechanism for developing and strengthening the research ecosystem within HEIs, aligned with the provisions of NEP-2020.

Mission

- To create a conducive environment for enhanced research productivity.
- To encourage collaboration across industry, government, community- based organizations, and agencies at the local, national, and international levels.
- To facilitate greater access to research through mobilization of resources and funding.

Objectives

1. To create an organizational structure with role-based functions of RDC, formulate Research Policy for the HEIs, identify thrust areas of research, and form related cluster groups/ frontline teams/consortia of researchers.
2. To create enabling provisions in Research Policies for recruitment of research personnel, procurement of equipment, and financial management with adequate autonomy to the Principal Investigator(s) and disseminate research outcomes to stakeholders and the public at large.
3. To establish a special purpose vehicle to promote researchers and innovators, identify potential collaborators from industry, research organizations, academic institutions & other stakeholders for cooperation and synergistic partnerships.
4. To act as a liaison between researchers & relevant research funding agencies, extend guidance in preparation & submission of project proposals and post-sanctioning of the grants to oversee adherence to timelines.

5. To have better coordination among other cells/centers dealing with University-Industry Inter Linkage, Incubation, Innovation and Entrepreneurship Development and Intellectual Property Rights (IPR).
6. To develop an Institutional Research Information System for sharing the status of ongoing/completed research projects/Programmes, expertise & resources, etc., making effective use of Information & Communication Technology (ICT) for preparing the database of in-house experts to provide industrial consultancy and services.
7. To engage & utilize the services of superannuated active faculty/scientists in research capacity building of talented young minds and promote mobility of researchers across institutions and R&D Labs.
8. To serve as nodal center for ideation and conceptualization of research topics/themes by organizing workshops and training programs and ensuring the integrity and ethical practices in research activities including clearance of bioethical committee wherever required.

Functions

The UGC launched an initiative to establish a RDC in HEIs with the mandate for promoting quality research that contributes meaningfully towards the goal of a self-reliant India ("Atma-Nirbhar Bharat"), aligned with the provisions of NEP-2020.

The RDC would help creating a research ecosystem for reliable, impactful, and sustained research output. The essential elements of such an ecosystem, viz., generation of knowledge and facilitation of research, innovation and technology development for industrial & societal benefits, are addressed by human resource (researcher & faculty), intellectual capital (knowledge & skills), governance (regulation & policies) and financial resources (funding & grants).

1. Governance

An efficient governance mechanism, which ensures functional autonomy, transparency, accountability, adaptability by strengthening interlinkages to create a conducive research environment.

The HEIs can foster the human elements (faculty, staff, scholars, and students), logistics (land, buildings, and facilities), knowledge resources (research equipment, project utilities, and consumables), fund flow, etc. through a steady, proficient, effective governance (Rules, Norms, and Policies) and financial (Grants and Funds) management. Dedicated leadership and administrative structure for research, led by experienced researchers, are essential for establishing an effective and robust Research Governance in RDC at HEIs.

The Research Governance will have a Research Advisory Council (RAC) headed by the Vice-Chancellor/Principal or his/her nominee as the apex body of RDC. The Director, nominated by Vice-Chancellor among the distinguished researchers from the university, will head various committees to drive the governance. RDC may form multiple committees to smoothen its functioning with respective committee members nominated by the Director – RDC and approved by RAC. The organisational structure of RDC comprising of various committees for specified functions may be as under:



2. Administration

Established organizational structure (Bodies, Authorities, and Committees) will facilitate planning, implementation, and monitoring of research activities in HEIs, formulate rules, regulations, and policy frameworks for utilization of facilities and resources at HEIs.

A strategy adopted to integrate multiple functional units can support institutional research under a single-window operational system for effective administration.

The activities of RDC will be mentored and monitored by various committees for devising research models, technology, appraisal, foresight & review functions, mediating sectoral R&D progress, and IPR protection.

RDC should keep a close contact with Ministry Innovation Cell to make use of various innovative plans for facilitating the researchers.

3. Research Ecosystem/Collaboration

A vibrant research ecosystem in HEI aims to provide meaningful thrust for sustainable research and innovation and promote collaboration between government, universities, research institutes and industries.

HEIs need to build a sustainable research ecosystem that leads to consistent quality research outcomes and enhanced productivity.

In order to make RDC functionality viable, the HEIs that are relatively new or not so well established should develop a connection with RDCs of already well-known/established HEIs for their research.

RDC in each HEI will act as a facilitator for networking and collaborative research with other national and international institutions working in inter- disciplinary, trans-disciplinary, and multidisciplinary research areas. Reformed administrative structure at HEIs can reach out to key industry players, research organizations, institutions, associations, NGOs, government bodies to forge strategic partnerships.

HEIs need to establish collaborations, teams/consortia, partnerships, and combined ventures for joint research activities through clustering institutions and organizations to facilitate the exchange of students, scholars, and faculty.

There is a need to strengthen resource sharing in content and infrastructure both within the university and among universities, funding agencies, industries, corporates and government.

4. Information Management System

HEIs play a key role in the advancement of research and innovation as two distinct entities through Research Information Management System (RIMS) for the benefit of faculty, students, industry and other stakeholders.

HEIs should put in place a RIMS to collect and manage research-oriented information, databases, publications, research projects, fellowships, collaborations, patents, thrust areas, innovations etc. aligned with the institution's research policies.

RIMS would also provide a platform for accessing resource-centric information pertaining to human capital (Expertise), physical capital (State-of-Art Research Laboratories and Sophisticated Instrumentation Facility), and knowledge capital (Digital Library & Information, Intellectual Property Facilitation, Quantitative Methods & Data Analysis, Analytical and Consultancy Services).

As per the requirements of various regulatory agencies, researchers can submit, modify, or update their research compliances such as protocol approval, training records, equipment lists, etc. RIMS can provide a centralized and integrated database to manage issues related to and radioactive-safety approval clearances for use and disposal of biological, chemical and radioactive hazardous materials, protective equipment measures, surveillance of staff, appropriate trainings/workshops, etc.

Each HEI needs to create a blog or portal for Institutional Research Information and Institutional Repository and sign an MoU with UGC- INFLIBNET to access and upload the research information through Shodh Ganga, Shodh Gangotri, Shodh Sindhu, Shodh Shuddhi, and Shodh Chakra.

The Innovation Management (ISO 56002:2019) can be implemented as a common framework to develop and deploy innovation capabilities, evaluate performance, and achieve intended outcomes of global standards.

5. Human Resources

The Director (RDC), the Conveners and members of various committees (nominated by the Director-RDC from/among the existing faculties with research credentials) and supporting administrative/technical staff would ensure smooth conduct of the research activities in HEI.

Re-employing or designating superannuated faculty/scientists with exceptional research profiles and eminent faculty as Mentors/ Scientists/ Professor Emeritus on a selective basis will help to build a resilient research ecosystem. Distinguished faculties or research scientists grooming young talents can help replenish the void created as a result of superannuated faculty/researchers.

6. Research Promotion & Guidance

Research promotion activities at the HEI should be aligned with the mandates of various National Missions, SDGs, Start-up India leading to a Self-Reliant India (Atma-Nirbhar Bharat).

Research Guidance from RDC will aim to encourage faculties to conceive ideas through enhanced industry-academia interactions and prepare research proposals for funding from various agencies. Organizing events like capacity- building programs (Research

Methodology and Research Techniques) and specific research theme-based workshops and Research Internships will motivate the end-users (students, scholars, and faculties) to participate actively in the process of ideation and innovative research in emerging areas.

a. Research Thrust and Clustered Areas

Thrust areas for Research in an HEI should be identified, underpinning the societal needs and the availability of key resources, including in-house human resources, faculty research competencies, and support systems. This would enable HEI to consider establishing a Center of Excellence (CoE) in these identified contemporary areas of research.

Research Clusters and/or Regional Research Consortia prompted/formed by RDC to bring all researchers, faculty, students, scholars, and Post-Doctoral Fellows for joint high value (interdisciplinary and trans-disciplinary) research projects to avail national and international funding opportunities. Shared infrastructure and expertise will enable cross-fertilization of ideas and mobilization of resources. Further, forming Regional Research Consortia adds a synergistic advantage in finding solutions in inter-disciplinary, trans-disciplinary, and multidisciplinary areas.

CoEs' can serve as Incubation Centres to transform innovative ideas into processes and products administered and monitored by the proposed RDC. RDC could also provide an avenue for community talent with prior learning/expertise to engage in research and innovation activities of HEI.

b. Research Incentives and Recognition

Incentives play a significant role in triggering and catalyzing research interest among scholars and faculties. Incentivizing quality publications and patents by students and faculty will have an enduring positive impact.

Institution of Excellence Awards for accomplishments/achievements in the form of impactful quality research and/ or research-based teaching will further stimulate and invigorate the research and innovation activities of the HEI.

RDC should also develop a policy focussing on identifying specific intensives for research faculty and develop a unique Research Career ladder for strengthening the mission "Research".

c. Technology Development and Business Centred Facility

The Technology Development and business-centered facility will be a hub for strategic partnerships/ collaborations, industry-institute interface, sponsored or contract research, new knowledge generation, IPR, and patent services, venture capital, trade/market portfolio, technology transfer, and commercialization of research to facilitate innovation, incubation, entrepreneurship and start-up ventures.

d. Finance

RDC can facilitate resource mobilization and create a Corpus for research and development from government, industry, and other funding agencies and channelize Corporate Social

Responsibility (CSR) funds for sustenance and furtherance of research activities. Apart from creating a Corpus fund exclusively for R&D, RDC can explore venture capitalists and angel investors for funding in research and innovation. It needs to liaise with funding agencies, and track funding opportunities from industrial consortia. The HEI may make provision for research in the annual budget subject to the availability of funds.

The corpus created for research could also support the seed funding for freshly recruited faculty for developing research facilities, publications and patenting.

7. Integrity and Ethics

Regular initiatives by RDC will ensure that researchers understand the importance of integrity and ethics and comply with ethical codes of research and publishing practices at institutional, national, and global levels. A standard plagiarism check should be mandatorily implemented and the requisite software in this regard made accessible to all researchers. In addition, the RDC will sensitize the research community about dubious research and publishing practices and predatory journals.

8. Capacity Building

RDC would play a crucial role in building the capacity of faculty and students to undertake research problems in line with the latest advances in diverse disciplines to push the boundaries of knowledge through publications and contribute to technological developments relevant to societal needs. It would also pave the way for HEI to attract more research grants under norm-based funding, improve its accreditation ranking and enhance its brand image. Regular events such as refresher courses, workshops, trainings/internships, group discussions and seminars/conferences may be organized for capacity building. RDC would play a pivotal role in creating central R&D facilities with the provisioning of associated training/internship thereon.

9. Research Monitoring

The current policy environment in India encourages HEIs to be responsible and accountable for research development and innovation activities through the creation of infrastructure, generation of resources, promotion of business, and facilitation of policy framework to nurture the culture of quality research by adhering to ethical practices. Among the standard functions, the RDC in an HEI needs to monitor and oversee research progress, coordinate program, manage and facilitate optimizing resources, timely review of research activities for completion of the projects as per schedule.

HEIs need to formulate and adhere to specific quality benchmarks for research to meet the global/ international standards. The proposed RDC should conduct a quality review (SWOC Analysis) or internal evaluation of the research papers and suggest Scopus Indexed, Web of Science (WoS), or UGC-CARE recognized journals for appropriate publications.

R & D Cell of HEIs must ensure that all the Research Labs in the institution fulfill the norms of Good Laboratory Practices (GLP) and Safety (Bio and Chemical) measures, recognized as QIP center and by the National Accreditation Board of Laboratories (NABL).



विश्वविद्यालय अनुदान आयोग
University Grants Commission



**National Institute of Educational Planning and Administration
17-B, Sri Aurobindo Marg, New Delhi-110016**

F.No. 11-6/2019-20/Academic Council/NIEPA
May 6, 2022

NOTIFICATION

The revised guidelines for submission of M.Phil dissertation and Ph.D. thesis, with the approval of the BOS & Academic Council and subsequent approval of the Competent Authority, NIEPA are notified to all concerned as Annexure 'A' & 'B' for information and necessary action.

To:

All Ph.D. and M.Phil scholars

U. K. S.
Registrar
6/5/2022

Copy to:

1. All Faculty Members (through e-mail)
2. PS to VC-
3. PA to Registrar
4. Notice board
5. Librarian
6. Master file
7. Concerned file

NATIONAL INSTITUTE OF EDUCATIONAL PLANNING AND ADMINISTRATION
17-B, Sri Aurobindo Marg, New Delhi – 110016

REVISED GUIDELINES FOR SUBMISSION OF DOCTORAL THESIS

Pre-Submission

A scholar who has completed his/her doctoral research work can submit thesis for pre-evaluation. The thesis will be presented in the pre-submission Seminar.

As a part of the pre-submission seminar the scholar is expected to make a presentation of his/her research work. The presentation will be reviewed by external experts, faculty members and scholars. The feedback and comments obtained during the pre-submission seminar should be incorporated into the draft thesis in consultation with the supervisor.

The scholar is expected to submit his/her thesis within a period of six months from the date of pre-submission seminar. In case the scholar fails to submit within the time period, he/she is expected to make the presentation of his/her research work in the second pre-submission seminar. A penal fee is to be paid by the scholar for the same.

Submission

A scholar is expected to submit 3 copies of draft thesis in a spiral-bound form within a period of **six months from the date of pre-submission to the Registrar**. The student has to submit a 15-page synopsis at least two months before the intended date of submission of the thesis. The list of required documents at the time of submission is as under:

1. Spiral Bound Thesis (3 copies)
2. Soft copy of the thesis in PDF format through email on registrar@niepa.ac.in.
3. Abstract in hard and soft copies.
4. Plagiarism check certificate
(Note: It is mandatory for the scholar to check Plagiarism from the Institute)
5. Proof of one research paper in refereed journal
6. Proof of two paper presentations in conference/seminars
7. Evaluation Fee @ 4000/-
8. No Dues Certificate

The procedure for submission of thesis is as follows:

1. Prior to the submission of thesis by the scholar, the supervisor of the scholar shall submit names of five external experts to the Steering Committee along with the contact details which will be examined by the Standing Advisory Committee (SAC).
2. The SAC will recommend names of 05 external examiners to the Vice-Chancellor by adding or deleting name of experts from the list recommended by the supervisor.
3. The Vice-Chancellor will nominate two external examiners out of the list of five examiners recommended by the SAC. The external examiner will be contacted by the Student Cell for taking their consent for evaluation of thesis.
4. The thesis will be sent to the concerned External Examiners for evaluation.
5. Thereafter, External examiners will send the evaluation report, duly approved, to the Institute within a period of 3 months in the prescribed format.

6. These reports will be shared with the scholar and his/her respective supervisor to incorporate any suggestion/comment. The scholar is expected to revise and submit his/her thesis within a period of 4 weeks.
7. On receiving the revised thesis, the external examiners will be contacted to conduct the Viva-Voce examination. After confirmation from the two external examiners the date of viva-voce will be fixed.
8. The Viva-Voce examination will be conducted in the presence of both the external examiners and the supervisor of the scholar.
9. The external examiners shall jointly submit a report on the thesis submitted and the performance of the scholar in the viva-voce examination to the Examination Committee in prescribed proforma after conducting the viva -voce examination. The report after viva-voce will have following four options:

1.	Thesis is acceptable in the PRESENT FORM and degree may be awarded. (In outstanding cases, examiners may approve the thesis and recommend the thesis for award of the degree without any revision.)
2.	Thesis is acceptable with MINOR changes; degree may be awarded after changes are incorporated. (Candidate may be asked to carry out minor corrections in the thesis; in which case the revised version of the thesis with minor corrections will have to be approved by one of the examiners. Once it is approved the scholar will submit thesis to the Institute.)
3.	MAJOR changes are recommended; thesis may be resubmitted for evaluation. (Examiners recommend major corrections in thesis; in this case the revised version of the thesis will be re-examined by both the external examiners. If approved by both the external examiners thesis will be resubmitted. External examiners may propose another viva-voce and accordingly it will be conducted. After the approval from both the examiners the thesis would be submitted.)
4.	Rejection a. When one of the examiners accepts the thesis and the second examiner rejects the thesis. In this case, the thesis will be sent to the third examiner, nominated by the Vice Chancellor. The recommendation of the third examiner shall be final and binding. b. When both the examiners reject the thesis. In this case, the thesis is rejected and registration is cancelled.

10. The thesis will be accepted for award of the Degree only if both the examiners recommend so.
11. In case, scholar is unable to attend viva-voce on the fixed date due to compelling circumstances, the Vice-Chancellor on written request of the candidate may allow him/her one time postponement up to a maximum period of three months from the date of previously fixed date, failing which the scholar will be declared ineligible for the award of degree.
12. A scholar whose thesis is rejected shall not be permitted for registration again for the Doctoral degree on the same topic.

13. After the award of Doctoral Degree, the scholar will submit both soft and hard copies of the final thesis to the Registrar through the supervisor. The list of the required documents at the time of final submission is as under:
 1. Hard bound thesis (3 copies)
 2. Abstract (3 Copies)
 3. Soft copy of the thesis in CDs (3) and send through email on registrar@niepa.ac.in
14. Thereafter, submission of final thesis, the award of the Doctoral Degree will be notified through a Notification.
15. A scholar is eligible to apply for the following certificates subject to the production of No Dues Certificate after award of Doctoral Degree:
 - A. Provisional certificate
 - B. Mark sheet for course work
 - C. Migration Certificate
 - D. Character Certificate (if required)
 - E. Degree (Doctor of Philosophy)

Guidelines for Formatting of Ph.D. Thesis:

1. The scholar is expected to submit three hard bound copies of thesis and also three paper bound copies of Abstract to the Registrar, NIEPA. Hard copy, soft copy and CDs should be submitted along with it.
2. Topic of the thesis and the name of the scholar should be written on the CDs.
3. **The name of the scholar and the supervisor should be written on the cover page of dissertation.**
4. The thesis should be on A4 size Bond paper
5. It should be typed in MS-Word in 'Normal- Times New Roman' on 12 point with 1.5 spaced.
6. The page set up should be as follow:

Top	2.54 cm	Bottom	2.54 cm
Left	3.17 cm	Right	3.17 cm
Gutter Position	0	Gutter Position	0


7. The text part of the thesis can be typed on one side of the page.
8. The cover page of the thesis should be as per the format (attached as page 4).
9. The second page should have the declaration duly signed by the scholar (attached as Page 5).
10. The third page should have the certificate by the supervisor (attached as Page 5).
11. The fourth page should have the acknowledgement by the candidate.
12. Other pages should have contents, list of tables and list of figures.

1. PRELIMINARY SECTIONS:

1.1 THE TITLE PAGE:

The title page of a research report includes the title of the report, name of the author, the degree requirement to be fulfilled, the name and location of the institution awarding the degree, the date of submission of the report.

SAMPLE

TITLE PAGE	
(TOPIC OF THE THESIS---- ALL IN CAPITAL)	
THESIS	
SUBMITTED TO THE NATIONAL INSTITUTE OF EDUCATIONAL PLANNING AND ADMINISTRATION, NEW DELHI IN PARTIAL FULFILLMENT OF THE REQUIREMENT FOR THE DEGREE OF Doctor OF PHILOSOPHY (Ph.D.)	
(NAME OF THE SCHOLAR)	(NAME OF THE SUPERVISOR)
	
NATIONAL INSTITUTE OF EDUCATIONAL PLANNING AND ADMINISTRATION, NEW DELHI Month/year	
The Spine of the thesis should have Title and the Name of the Scholar	

(Second Page)

DECLARATION

Date:

I,-----, hereby declare that this Ph.D. thesis entitled '-----' is based on my original research work, and to the best of my knowledge, has not been submitted in whole or in part in this University or in any other University for the award of any degree.

Signature of the scholar

(Name of the Scholar)

(Third page)

CERTIFICATE

This is to certify that the thesis entitled '-----' is the work undertaken by Mr./Ms.----- under the supervision of----- as part of his/her Ph.D. degree. We recommend that this thesis be placed before the examiner(s) for evaluation and award of the degree of Ph.D.

Signature of the Supervisor

(Name of the Supervisor)

Signature of Department, Head

(Name of the Department, Head)

NATIONAL INSTITUTE OF EDUCATIONAL PLANNING AND ADMINISTRATION
17-B, Sri Aurobindo Marg, New Delhi - 110016

REVISED GUIDELINES FOR SUBMISSION OF M.PHIL DISSERTATION

Pre-Submission:

Prior to submission of the M.Phil dissertation, the M.Phil scholar must present his/her dissertation in the pre-submission seminar. The pre-submission seminar will be held in mid-February of the second year of the M.Phil programme. The pre-submission seminar is open to the faculty members and the scholars.

Submission:

The scholar is expected to submit his/her draft copy of dissertation to his/her supervisor one month prior to the date of submission. The final copy of dissertation is to be submitted to the registrar through supervisor by April 30th of second year of M.Phil programme.

The list of the required documents at the time of submission of M.Phil dissertation is as follows:

1. Hard Bound dissertation (3 copies).
2. Soft copy of the dissertation in PDF format through email on registrar@niepa.ac.in
3. Abstract in hard and soft copies (3 copies).
4. Plagiarism check certificate
(Note: It is mandatory for the scholar to check Plagiarism from the Institute)
5. Proof of one paper presentation in conference/seminar
6. Evaluation Fee
7. No dues certificate

The procedure of submission of dissertation and final result therein is as under:

1. One month prior to submission of the dissertation, the supervisor of the scholar shall submit names of three external experts to the Steering Committee along with the contact details which will be reviewed by the Standing Advisory Committee (SAC).
2. The SAC will recommend names of 03 external examiners to the Vice-Chancellor by adding or deleting name of experts from the list recommended by the supervisor.
3. The Vice-Chancellor will nominate one external examiner out of the list of three examiners recommended by the SAC. The external examiner will be contacted by the Student Cell for taking their consent for evaluation of dissertation.
4. The dissertation will be sent to the External as well as Internal Examiner (Internal examiner will be the Supervisor) for evaluation.
5. Thereafter, External and Internal examiner will send the evaluation report, duly completed in the prescribed format, to the Institute within a period of 15 days from the date of receipt of dissertation.
6. After receipt of evaluation reports from external and internal examiners, the viva-voce examination will be organised. The date of viva-voce examination will be fixed after discussion with External and Internal Examiner.

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6. After receipt of evaluation reports from external and internal examiners, the viva-voce examination will be organised. The date of viva-voce examination will be fixed after discussion with External and Internal Examiner.

7. The Viva-Voce examination will be conducted in the presence of the faculty, scholars, external examiner and the supervisor of the scholar.
8. The external examiners shall jointly submit an evaluation report of the dissertation and the performance of the scholar in the viva-voce examination to the Examination Committee in prescribed proforma after completion of viva –voce examination. The dissertation will be accepted if both the supervisor and examiner recommend so.
9. The final result will be declared by the Examination Committee after successful completion of Viva-voce examination.
10. After declaration of the final result, a scholar is eligible to apply for the following subject to production of No Dues certificate :
 - A. Provisional certificate
 - B. Mark sheet for course work
 - C. Migration Certificate
 - D. Character Certificate (if required)
 - E. Degree (Master of Philosophy)

Guidelines for Formatting of M.Phil. Dissertation:

1. The scholar is expected to submit three hard bound copies of Dissertation and also three paper bound copies of Abstract to the Registrar, NIEPA. Hard copy, soft copy and CDs should be submitted along with it.
2. Topic of the dissertation and the name of the scholar should be written on the CDs.
3. **The name of the scholar and the supervisor should be written on the cover page of dissertation.**
4. The dissertation should be on A4 size Bond paper
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Gutter Position	0	Gutter Position	0


7. The text part of the Dissertation can be typed on one side of the page.
8. The cover page of the dissertation should be as per the format (attached as page 3).
9. The second page should have the declaration duly signed by the scholar (attached as Page 4).
10. The third page should have the certificate by the supervisor (attached as Page 4).
11. The fourth page should have the acknowledgement by the candidate.
12. Other pages should have contents, list of tables and list of figures.

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(NAME OF THE SCHOLAR)	(NAME OF THE SUPERVISOR)
	
NATIONAL INSTITUTE OF EDUCATIONAL PLANNING AND ADMINISTRATION, NEW DELHI Month/year	
The Spine of the Dissertation should have Title and the Name of the Scholar	

(Second Page)

DECLARATION

Date:

I,-----, hereby declare that this M.Phil. Dissertation entitled '-----'
is based on my original research work, and to the best of my knowledge, has not been submitted
in whole or in part in this University or in any other University for the award of any degree.

Signature of the Scholar

(Name of the scholar)

(Third page)

CERTIFICATE

This is to certify that the dissertation entitled '-----' is the work undertaken
by Mr/Ms.----- under the supervision of ----- as part of his/her M.Phil.
degree. We recommend that this dissertation be placed before the examiner(s) for evaluation
and award of the degree of M.Phil.

Signature of the Supervisor

(Name of the Supervisor)

Signature of Department Head

(Name of the Department, Head)

F 13-5 /2021-22/Pub.

National Institute of Educational Planning and Administration
17- B S/4 Aurobindo Marg, New Delhi - 110016

June 09, 2021

Office Note

Exploring the possibilities of publishing of Books, Articles, Research Papers and doctoral thesis in Indian Regional languages --- Minutes of the 23rd BoM meeting—regarding

With reference to the extracts of the 23rd BoM Meeting held on 26.03.2021 for Agenda Item no. 23.3.4 (Guidelines for NIEPA Publications 2020) --- The Board noted and approved the Guidelines being followed in NIEPA for Institute's Publications and they have also suggested in the minutes that: ---

"... Members also desired to include Papers and Articles in Sanskrit and other Indian Languages, in view of easy understanding, Knowledge creation and reach out of *Lingua Franca*. Benefit of translation of the existing work and publication of high quality doctoral thesis shall also be explored, either through in-house publication capability or through empaneled publishers, under a co-publishing model. The national narrative and proposed changes in the policy and original research across all the three segments of education shall be the aim, both in national and international context."

Though in the past few years also several publications were developed/published by the NIEPA Faculty in collaboration with State Institutions (SIEMATs/SCERTs etc) on their demand in Indian languages, all the Faculty members are requested to explore more possibilities for Selection of the Articles/ Research Papers/Books/Reading Materials/ Doctoral thesis etc. as they may deem fit, which could be developed/reproduced after translation in Indian languages on utility-basis


(Dr Sandeep Chatterjee) Registrar

Copy to---

1. All Faculty members
2. PS to Vice-Chancellor for information
3. PA to Registrar for Information
4. System Analyst (for uploading on the NIEPA Website)

November 20, 2020

NOTIFICATION

In partial modification to the Notification of even number dated 24-10-2019, the Vice Chancellor is pleased to revise the constitution of the Research Review Committee as follows:-

- | | |
|--|-------------|
| 1. Prof. A.K. Singh, Dept. of Educational Policy | Chairperson |
| 2. Prof. Kumar Suresh, Dept. of Educational Administration | Member |
| 3. Prof. Mona Khare, Dept. of Educational Finance | Member |
| 4. Prof. Vineeta Sirohi, Dept. of Educational Administration | Member |
| 5. Dr. Nidhi S. Sabharwal, Centre for Policy Research in Higher Edu. | Member |

As per decision of the 24th meeting of the Academic Council held on 18-03-2019, the institute will develop a sound mechanism and strategy to disseminate the research through publications in various forms like report, book, research papers, occasional papers etc.

The same Committee will also look into the review of research reports submitted by the faculty for dissemination/ publication.


Registrar

To

The Chairperson/ members of the Committee

Copy to

1. All Faculty
2. Head, Project Management Unit
3. P.S. to the Vice Chancellor; for kind information of Hon'ble VC
4. PA to the Registrar
5. System Analyst, for uploading on the website
6. Administrative Officer
7. Section Officer (Academic Administration)



National Institute of Educational Planning & Administration
(A Deemed to be University U/s 3 of the UGC Act, 1956)
17-B, Sri Aurobindo Marg, New Delhi – 110 016\

No. F. NIEPA/RO/UGC./002/2021-22

Date: August 12, 2022

NOTIFICATION

In response to the UGC letter No. 1-5/2021(NEP)/DESK-PARL-I dated 14th March, 2022 for implementation of **Guidelines for Establishment of Research and Development Cell**, The Hon'ble Vice-Chancellor of NIEPA has decided to establish a Research and Development Cell which consist of the following:

- | | | |
|---|---|-------------|
| 1. Prof. A.K. Singh
Dept. of Educational Policy | : | Chairperson |
| 2. Prof. Kumar Suresh
Dept. of Educational Administration | : | Member |
| 3. Prof. Mona Khare
Dept. of Educational Finance | : | Member |
| 4. Prof. K. Srinivas,
ICT & Project Management Unit | : | Member |
| 5. Prof. Vineeta Sirohi
Dept. of Educational Administration | : | Member |
| 6. Dr. Nidhi S. Sabharwal
Centre for Policy Research in Higher Education | : | Member |

The Committee will work as per the UGC guidelines to put in place a robust mechanism for developing and strengthening the research ecosystem in NIEPA, aligned with the provisions of NEP-2020.



(Dr. D.S. Thakur)
Administrative Officer (I/c)

To

The Chairperson/ members of the Committee

Copy to

1. All Faculty Members
3. P.S. to the Vice Chancellor - for kind information of Hon'ble VC
4. PA to the Registrar
5. System Analyst - for uploading on the website 'Staff Corner'
6. Administrative Officer (I/c)
7. Section Officer (Academic Administration)
8. Project Management Unit
9. File



National Institute of Educational Planning and Administration

F. No. 02/NUEPA/Steer.Comm./2018-19

August 29, 2019

NOTIFICATION

Sub: Re-constitution of Steering Committee.

In supersession of Notification No. F.No. 02/NUEPA/Steer.Comm./2018-19, dated 04.07.2019 regarding constitution of Steering Committee, the committee is hereby re-constituted with the following members:

1.	Prof. Vineeta Sirohi	Chairperson
2.	Dr. Rashmita Das Swain	Member
3.	Dr. Naresh Kumar	Member
4.	Dr. Suman Negi	Member

This issues with the approval of the Competent Authority.


(Prof. Kumar Suresh)
Registrar (I/c)

To,

All the members of the above Committee

Copy to:-

1. All Faculty Members (through e-mail)
2. PS to VC - for information of VC
3. PA to Registrar



NATIONAL INSTITUTE OF EDUCATIONAL PLANNING & ADMINISTRATION
17-B, Sri Aurobindo Marg, New Delhi-110016

No. F. 11-1/2012-13/AA/S.com.
December 04, 2019

NOTIFICATION

In supersession of notification no. F. 11-5/2014-15/AA dated February 29, 2016 the 'Student Counselling Centre' is hereby reconstituted comprising following members for effective redressal of problems & challenges faced by the students:

- | | | |
|--|---|-------------|
| 1. Prof. Pranati Panda | - | Chairperson |
| 2. Dr. Rashmita Das Swain, Associate Professor | - | Member |
| 3. Dr. Kashyapi Awasthi, Assistant Professor | - | Member |

This issues with the approval of Competent Authority.


(Prof. Kumar Suresh)
Registrar (I/c)

To,
All members of the Committee

Copy to:-

1. Chairperson, Steering Committee
2. All Faculty Members- through e-mail
3. PS to VC for information of VC
4. PA to Registrar
5. Administrative Officer(I/c)
6. Notice Board



**National Institute of Educational Planning and Administration
(Deemed to be University)
16-B, Sri Aurobindo Marg, New Delhi-110016**

F. No. 11-13/2022-23/IQAC/Student Cell/NIEPA
Dated: 19.07.2022

NOTIFICATION

In partial modification of Notification dated 07.07.2022, the Competent Authority has been pleased to constitute a Committee for organising colloquiums amongst students and others, related to Internal Quality Assurance Cell (IQAC) with the following members:

- | | | |
|--|---|----------|
| 1. Prof. Manisha Priyam, Professor
Department of Educational Policy | : | Convenor |
| 2. Dr. Anshu Srivastava, Associate Professor
Department of Educational Administration | : | Member |
| 3. Dr. V.P.S. Raju, Assistant Professor
Department of Educational Finance | : | Member |

This issue with the approval of the Competent Authority.


Dr. Sandeep Chatterjee
(Registrar)

To,

The Convenor and Members

1. Sr. PS to VC for information of VC
2. All faculty-through e-mail
3. PA to Registrar
4. Finance Officer
5. NAAC Coordinator
6. IQAC
7. Administrative Officer (I/c)
8. Incharge Student Cell
9. Master File
10. Guard File
11. Systems Analyst – with the request to withdraw the earlier Notification dated 07.07.2022 and replace the same with the present Notification.