

IG/RU/2017/365/318
November 6, 2019

NOTIFICATION

In exercise of the powers vested in it, under the provisions of Statute 26(2) of the IGNOU Act, 1985 (No.50 of 1985), the Board of Management of the University at its 131st meeting held on 22.12.2018 made the following Regulations for conducting Research Degree Programme in the University followed by few changes thereon communicated by the UGC. This has the approval of the President of India, in his capacity as the Visitor of the University, conveyed by the MHRD vide its letter No.F.5-15/2014-DL(Pt.) dated 17.06.2019. This supersedes the earlier notification No.IG/RU/Notifications.2017/6806 dt.27.3.2017.

Regulations for Conducting Research Degree Programme (Section 27 of the IGNOU Act, 1985 and IGNOU Research Ordinance read with Statute 9A(aa) of the University)

1. Preamble

In exercise of the powers conferred by Section 27 of IGNOU Act, 1985 and the Statute 9A (aa), Indira Gandhi National Open University hereby makes the Regulations to conduct Research Degree Programme. These Regulations will be called as **IGNOU Regulations for conducting Research Degree Programme (IRCRDP)**.

These Regulations provide details of the process for the award of Research Degree(s), viz. Master of Philosophy (MPhil) and Doctor of Philosophy (PhD). The award shall be given by the University to a registered candidate on his/her successfully completing the prescribed programme of research offered by the University.

2. Statutory Structures

Research studies leading to the award of the Degree of Master of Philosophy (MPhil)/Doctor of Philosophy (PhD) shall be organized and managed by the Academic Council (AC), Research Council (RC), School Board (SB), Doctoral Research Committee (DRC) and Research Committee in accordance with their respective roles as specified in IGNOU Research Ordinance and IGNOU Regulations for conducting Research Degree Programme.

3. Constitution and functioning of Doctoral Research Committee (DRC):

3.1.1 There shall be a Doctoral Research Committee for each Discipline offering Research Degree Programmes that shall oversee all aspects of the Research Degree Programmes in the concerned Discipline in accordance with these Regulations approved by the Research Council and Academic Council. The Doctoral Research Committees will function under the supervision of the respective School Boards. However, in case, any discipline is offering more than one doctoral programme, there shall be separate Doctoral Research Committee for each Research Degree Programme.

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3.1.2 The composition of the Doctoral Research Committee shall be as follows:

- (i) Director of School (Chairperson)
- (ii) All eligible Research Supervisors of the Discipline
- (iii) External experts (at least one, maximum three) in the same or allied disciplines from a panel recommended by the School Board and approved by the Vice- Chancellor for a period of three years. Joint Supervisors/ Co-supervisors with the approval of the Director of the School concerned if applicable, may be special invitees to the Doctoral Research Committee
- (iv) Research Programme Coordinator of the Discipline (Convener).

3.1.3 Powers and Functions of the Doctoral Research Committee:

- i. Advise on all such activities as are relevant to the Research Degree Programme of the Discipline.
- ii. Recommend to the School Board the names of students for admission/cancellation, to the Research Degree Programme.
- iii. Ensure implementation of the Reservation Policy of the Government of India.
- iv. Consider and recommend the CVs and names of research supervisors/co-supervisors in accordance with the Clause 9.2 of these regulations.
- v. Prescribe or grant exemption from course work if a similar coursework is successfully completed by the candidate from a University/institution recognized by the UGC for this purpose.
- vi. Recommend the topic of research and allocation of research supervisor(s).
- vii. To review the research proposal and finalize the topic of research.
- viii. 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.
- ix. To periodically review and assist in the progress of the research work of the research scholar.
- x. Consider and recommend the synopsis of each research student to the School Board.
- xi. Assess and recommend the progress reports of research scholar.
- xii. Recommend change of title of dissertation/thesis, change of research supervisor and status of researcher (full-time to part-time or vice-versa).
- xiii. Assess and recommend extension of period for research scholar's duration of Research Degree as per the regulations of the UGC and/or upgrading of fellowships, if applicable.
- xiv. Undertake any other function assigned to it by the statutory bodies (Academic Council, Research Council and School Boards).

3.1.4 A research scholar shall appear before the Research Advisory Committee (RAC)/Doctoral Research Committee (DRC) once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee (RAC)/Doctoral Research Committee (DRC) to the School/ University with a copy to the research scholar.

3.1.5 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee (RAC)/Doctoral Research Committee (DRC) 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(RAC)/Doctoral Research

Committee(DRC) may recommend to the School/ Discipline with specific reasons for cancellation of the registration of the research scholar.

4. Research Committee

- 4.1. In case Academic Council decides to offer Research Degree Programme in the discipline(s) which has/have not been assigned to any of the Schools of Studies established under section 10 (A) of IGNOU Act, a Research Committee may be constituted for administration of the research degree programmes belonging to such disciplines. Separate regulations may be formulated for the Research Committee.
- 4.2 Schools/Disciplines with adequate facilities for research as mentioned below alone shall offer M.Phil./Ph. D. programmes:
 - 4.2.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
 - 4.2.2 Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;
 - 4.2.3 Schools/Disciplines may also access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D Laboratories/Organizations which have the required facilities.

5. Registration and Procedure for Admission

5.1 The process and schedule of registration shall be prepared and announced by IGNOU in accordance with the Guidelines given by the Research Council from time to time. Research Unit/Research Coordination Division (RCD) shall be responsible for the overall co-ordination of the Research Degree Programmes of the University.

5.2 Eligibility criteria for admission to the M.Phil. Programme

A candidate will be eligible for admission and registration for the MPhil programme provided he/she fulfils the requirement stipulated in the UGC (**Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degree**) Regulations, 2016 as amended from time to time as well as the following conditions:

5.2.1 Possesses Master's Degree from a University recognized by UGC or any other qualification recognized as equivalent thereto in such fields of study as are notified for the purpose from time to time by the University 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) [50% marks in the case of SC, ST, OBC (Non-creamy Layer) and Differently-abled and other categories of candidates as per the decision of UGC from time to time, or for those who had obtained their Master's Degree prior to 19th September, 1991] excluding grace marks.

5.2.2. Qualified in the Entrance Test conducted by the University at the national level and such other conditions as specified in the MPhil guidelines.

However, a discipline may decide separate terms and conditions for short-listing of the candidates who have qualified UGC NET (Including JRF/UGC-CSIR NET/ GATE/Teacher Fellowship holders.) for the purpose of finalizing the list of the candidates to be called for interview.

5.3. Eligibility criteria for admission to Ph.D. programme:

A candidate will be eligible for admission and registration for the PhD programme provided he/she fulfils all the requirements stipulated in the **UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degree) Regulations, 2016** as amended from time to time as well as the following conditions:

- 5.3.1. Possesses Master's Degree from a University recognized by UGC or any other qualification recognized as equivalent thereto in such fields of study as are notified for the purpose from time to time by the University with at least 55% marks [50% marks in the case of SC, ST, OBC (Non-creamy Layer) and Differently-abled and other categories of candidates as per the decision of UGC from time to time, or for those who had obtained their Master's Degree prior to 19th September, 1991] excluding grace marks.
- 5.3.2. Qualified in the Entrance Test conducted by the University at the national level and such other conditions as specified in the PhD guidelines.
However, a discipline may decide separate terms and conditions for short-listing of the students who have qualified UGC NET (Including JRF/UGC-CSIR NET/GATE/Teacher Fellowship holders and M.Phil. Degree Holders.) for the purpose of finalizing the list of the candidates to be called for interview.
- 5.3.3. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution or 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, shall be eligible for admission to Ph.D. programme.

6. Structure and duration

- 6.1 The M.Phil. programme shall consist of 32 credits of which 16 credits shall involve course work. The minimum duration of M.Phil Programme shall be 2 consecutive semesters/one year and maximum duration of 4 consecutive semesters/2 years. **The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of one year in maximum duration.** In exceptional circumstances extension of one year may be granted by the Vice Chancellor as per the recommendation of the Doctoral Research Committee and the School Board. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil./Ph.D. for up to 240 days.
- 6.2 The PhD programme shall consist of 80 credits of which at least 16 credits shall involve course work. The minimum duration of Ph.D. Programme shall be 3 years (including course

work) and maximum duration of 6 years. 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 M.Phil/Ph.D. for up to 240 days.

7. Course-Work

MPhil/PhD students of the University shall be required to undertake course work. Exemption from course work in the Ph.D. Programme may be given for M.Phil. Degree awarded by another University by the DRC and concerned School Board.

- 7.1. The credit assigned to the M.Phil. or Ph.D. course work shall be of 16 credits of one semester duration. Further DRC may also recommend area specific Bridge Course/ Additional Course to a student in case the student is lacking the knowledge in the respective area of his research work.
- 7.2. The course work shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, qualitative methods, mixed methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.
- 7.3. Transaction of course work with class room teaching shall take place as per the provisions contained in the broad guidelines of the University in consonance with UGC Regulations. The course-content of all courses in the MPhil/PhD programme will be approved by the School Board and the Academic Council on the recommendations of the Expert Committee.
- 7.4. The course work shall be completed within a maximum period of 2 semesters from the date of the commencement of the academic session the student has been admitted to in accordance with the Guidelines prescribed from time to time by the Research Council and in conformity with the UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D. Degree) Regulations, 2016. If a student fails to complete coursework within prescribed time period, his/her admission/ registration shall be cancelled automatically.
- 7.5. The evaluation of the Pre-PhD course work will be done in accordance with the evaluation methodology provided in the IGNOU Guidelines for MPhil/PhD Programmes approved by the Research Council in consonance with UGC Regulations, 2016 and as amended from time to time.
- 7.6. Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Discipline from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Discipline.
- 7.7. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Doctoral Research Committee and the Department and the final grades shall be communicated to the School/Discipline.
- 7.8. A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading

system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

8. Procedure for Admission

The University offers MPhil/ PhD programme through regular mode. A discipline admitting students for MPhil/ PhD Programme in a particular session shall conduct Entrance Test for admission. The selection of candidates for admission to MPhil/ PhD Programmes shall be governed by the UGC Regulations, 2016, as amended from time to time.

8.1 (i) The Discipline shall decide on an annual basis a predetermined and manageable number of M.Phil. and/ or Ph.D. scholars to be admitted depending on the number of Research Supervisors, other academic and infrastructural facilities available, conforming to the teacher – scholar norms (as indicated in Clause 9.6), laboratory, library and such other facilities.

ii) The selection of candidates shall be made strictly on the basis of the performance in the Entrance of 70% to the Entrance Test and 30% to performance in the Interview/ Viva shall be given.

(iii) The Candidates securing 50% marks in the Entrance Test (45% marks in case of SC/ST/OBC and PH) shall be shortlisted for the interview.

(iv) The interview/*viva voce* shall also consider the following aspects, viz. whether:

- a) the candidate possesses the competence for the proposed research;
- b) the research work can be suitably undertaken at the School/Discipline
- c) The proposed area of research can contribute to new/additional knowledge.

(v) The University shall maintain the list of all the M.Phil. / Ph.D. registered students on its 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.

8.2. The number of students to be admitted in each admission cycle, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates will be notified well in advance on the University website. Advertisement relating to admission announcement will be issued in at least two national newspapers.

8.3. The University shall adhere to the national reservation policy in admission to MPhil/PhD Programmes.

8.4. The admission shall be based on the criteria laid down in the comprehensive IGNOU Guidelines for M.Phil/PhD Programmes as approved by the Research Council of the University and also in consonance with UGC Regulations, 2016 as amended from time to time.

8.5. All MPhil students admitted shall be full-time. However, there shall be two categories of Ph.D. students: **Full-time and Part-time**.

8.5.1. All those who are not employed and are registered with the University to pursue Research Degree Programme of the University shall belong to the category of **full-time** students.

8.5.2. The employed persons in regular employment pursuing the research degree programme will be treated as part time research scholars. Such students on leave may be permitted to register on full-time basis for the period corresponding to their leave.

8.6 Initially all admissions to M.Phil./ Ph.D. Programmes shall be provisional and the same shall be confirmed on approval of their synopsis for M.Phil./ Ph.D. programme by the Research Council.

8.7 The registration of a student and/or award of degree may be cancelled on the recommendation of Supervisor(s), the Doctoral Research Committee and the School Board concerned and approval of the Research Council, for any of the following reasons:

- (i) Non-payment of fees.
- (ii) Unsatisfactory progress.
- (iii) Non-compliance with the provisions of the Ordinance and Regulations of the University.
- (iv) Failure to submit the Dissertation/ Thesis within the time limit prescribed.
- (v) Plagiarism.
- (vi) Misconduct as specified in the code of discipline applicable for research students

9. Allocation of Research Supervisor

9.1 Every student registered for a Research Degree Programme shall be required to pursue the programme under the supervisor(s) recognized by the University. Supervisor/ Co Supervisor for students shall be recommended by the Doctoral Research Committee and the School Board concerned or the Research Committee in accordance with their choice from among the panel of Supervisors recognized by the University. Where there are Co-Supervisors, main Supervisor shall be a permanent teacher from the University.

9.2. Eligibility criteria for a Research Supervisor

All the regular Professors of the University with at least five research publications in refereed journals and all regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals will be eligible for recognition 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.

9.3. Only a full time regular teacher of the University 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 University or from other related institutions with the approval of the Research Council.

9.4. Research Supervisor for a selected research scholar shall be allocated by the DRC concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.

9.5. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside in addition to the

supervisor from the Department, who shall be known as the Research Supervisor, may be assigned a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/.

9.6. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, will not guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor will guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

9.7. In case of relocation of an M.Phil/Ph.D. woman scholar from the University to any other recognized institute due to her marriage or otherwise, the research data shall be allowed to be transferred to the University 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.

10. Progress of Research Students

Commencing from the date of registration, a student shall submit progress report periodically (once in six months until pre-submission seminar) in the prescribed format to the supervisor(s) who shall forward the same along with his/her detailed assessment of the work done to the School Board concerned through the Doctoral Research Committee.

11. Submission and evaluation of M.Phil./Ph.D. Thesis

11.1. Upon satisfactory completion of the course work, a student registered for M.Phil. will be required to submit a dissertation in the format given in the Comprehensive Guidelines approved by the Research Council. The dissertation may be based on any of the following: field work, research study or exploratory/laboratory work or such other work on a subject as is approved by the Doctoral Research Committee and School Board, as the case may be, ratified by the Research Council.

11.2. Upon satisfactory completion of the course work, a student registered for Ph.D. will be required to submit a thesis in the format given in the Comprehensive IGNOU Guidelines approved by the Research Council. The thesis must be a piece of original research work which creates new knowledge or furthers existing knowledge through new or innovative ideas and/methods, theoretical interpretations or critical analysis.

11.3. On completion of the draft of Ph.D. thesis, student will be required to present the thesis in the pre-submission seminar before the Department/Doctoral Research Committee as provided in the broad guidelines approved by the Research Council.

11.4. Three copies of dissertation in case of M.Phil. programme and four copies of thesis in case of Ph.D. programme along with soft copy as per the guidelines of INFLIBNET will be submitted to the Director, Research Unit through the concerned Research Supervisor and Director of the School concerned in the manner prescribed in Comprehensive Guidelines approved by the Research Council.

11.5. The scheme of evaluation and the procedure for appointment of examiners of the MPhil/PhD dissertation/ thesis shall form a part of the Guidelines to be laid down by the

Research Council in consonance with UGC Regulations, 2016 and as notified from time to time. This will include among others the number of examiners, both internal/external and weightage to be given to each component of the programme.

11.6. The Research Council shall lay down the rules that may be necessary for acceptance/revision/rejection of dissertation/thesis.

11.7. The Research Council will develop mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. The Research Scholar while submitting his/her Thesis/Dissertation for evaluation, shall provide an undertaking 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. Format for the same will be provided in the guidelines.

11.8. Prior to the submission of the dissertation/thesis, the scholar shall make a presentation before the Research Advisory Committee/Doctoral Research Committee concerned which shall 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/thesis in consultation with the Doctoral Research Committee.

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

11.10. The M.Phil. dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the School/Discipline. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be open to be attended by Members of the Research Advisory Committee/Doctoral Research Committee, all faculty members of the Discipline, other research scholars and other interested experts/researchers.

11.11. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the Institution/College, of whom one examiner may be from outside the country. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee/Doctoral Research Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

11.12. The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of the external examiner in case of M.Phil. dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the Institution shall send the dissertation/ thesis to another

external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

11.13. The IGNOU shall develop appropriate methods so as to complete the entire process of evaluation of M.Phil. dissertation/ Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.

12. Award of M.Phil./Ph.D. Degree

12.1. Once the Viva Voce is completed, the evaluation reports and the report of the viva voce examination prepared by the External Examiner and the Research Supervisor(s) will be sent to the Research Unit through the Director of the School concerned. The report shall be placed before the Vice Chancellor for approval. After approval of the report, the Grade Card and the Provisional Certificate will be issued by the Registrar, Student Evaluation Division in accordance with the provisions of UGC Regulations, 2016 and as amended from time to time.

12.2. A student shall be awarded the M.Phil./Ph.D. Degree, with the approval of the Academic Council.

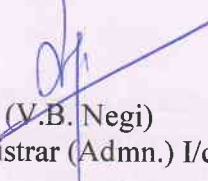
13. Depository with INFLIBNET:

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

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

14. Removal of Difficulties

Notwithstanding anything contained in the above Regulations, the Vice-Chancellor may take such measures as may be necessary within the framework of the UGC Regulations, in respect of students for M Phil/ Ph D who are registered with the University.


(V.B. Negi)
Registrar (Admn.) I/c

1. All Directors of Schools/Heads of Divisions/Centres/Units
2. All IGNOU Regional Centres
3. Director, Research Unit
4. DD, VCO
5. PS to PVCs
6. PS to Registrar (Admn.)