

U.P. R.T. Open University, Prayagraj

Ph.D. Guidelines

- 1- Ph.D. Programmes shall be offered in various subjects as per prior approval of the Academic Council of the UPRTOU from time to time in regular mode.
- 2- Every student registered for the Ph.D. Programme shall be required to pursue the Programme under a supervisor from the University.
- 3- The allocation of Research Supervisors for a selected scholar shall be decided by the University Research Degree Committee 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- The Academic Counsel shall decide on an annual basis a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors. The University Shall notify well in advance on the UPRTOU website and through advertisement in at least two national newspapers, of which at least one shall be in the Hindi language, the number of seats for admission, subject/ discipline and category wise distribution of available seats, criteria for admission, procedure for admission, Entrance test centre(s) and other relevant information's for the candidates.

5- Research Supervisor

- 5.1 Those Full time regular teachers of the university who have already guided/ produced Ph.D., they will be deemed to be the approved supervisors of the University. Other regular faculty member has to apply to be recognized as the Research Supervisor. After considering their applications, the concerned school board shall recommend within 15 days, a panel of experts to be recognized as the Research Supervisors for the final approval of the Academic Council.

- 5.2 Only a full time regular teacher (Professor/Associate Professor/Assistant Professor) of the UPRT Open University will 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 UPRT Open University or from other related institutions with the approval of the Research Degree Committee (RDC).
- 5.3 Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the University with a Ph.D. degree in concern/Allied/Relevant subject/Area/Discipline and 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 University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- A- A Regular teacher of the University, fulfilling all criteria to be a research supervisor, can be the Supervisor of a Ph.D. student if he/she has more than three years of service before superannuation. Teachers having less than three years to superannuate may be research Co-supervisors and in such cases a research supervisor from the regular teachers in the Subject shall be allotted to the concerned research student. In case of research students who are already allotted supervisor who are to superannuate in less than three years, the RDC of the Subject concerned will make necessary arrangements for re-allocating supervisor.
- B- Research Supervisors shall be allotted to students only after successful completion of their coursework. Research topics and Supervisors shall be allocated within one year of completion of coursework. The Supervisor allotted by the DRC of the Subject concerned can be changed on the request of the student or the concerned supervisor on academic, administrative ground or any other exigency with valid justification. The

DRC will consider such applications and will send its recommendations to the School Board. The recommendation of the School Board will be placed before RDC for approval.

6- Eligibility criteria for admission in Ph.D. Programme

A candidate will be eligible for admission and registration for the Ph.D. programme, provided he/she:

- 6.1 Possesses Master's Degree in concern/Allied/Relevant subject/Area/Discipline 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-mark.
- 6.2 Qualifies in the entrance examination conducted by UPRT Open University.

7- Fees -

- 7.1 Candidates having applied or admitted to Ph.D. programme of the University shall pay the fees as determined by the Academic Council.
- 7.2 The fees shall be payable on such dates and such mode as may be notified.
- 7.3 A Candidate, who has been offered registration, shall deposit the prescribed registration fee within a period of three months from the date of registration, failing which his/her registration may be treated as cancelled.

8- Entrance Test and Procedure for Admission

There shall be a objective type paper of one and half hour in Ph.D. Entrance Test containing 70 Multiple Choice Answer questions. The items of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance test shall be conducted at the centre(s) notified in advance by the University.

9- Selection Process

The procedure and criteria for declaration of result for UPRT Open University Ph.D. Programme, comprises the following steps:

Step I:

UPRT Open University Ph.D. Entrance Test will be a merely qualifying for selection process for Ph.D. Programme. For this the candidates are required to obtain the minimum 50 percent marks on the Entrance Test to be conducted. A relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non –creamy Layer)/Differently-abled category and other categories of candidates as per the decision of UGC from time to time

Step II:

As per availability of seats, admission for Ph.D. course work shall be given to the candidates on the basis of merit list. Amongst those candidates who have cleared Step-I, **a merit list in 100 Points** comprise of Entrance Test Marks, weightage marks and presentation of tentative synopsis followed by an Interview shall be prepared subject-wise and category-wise.

Break –up of 100 Merit Base Points shall be as below:

01	Entrance Test* 70 Marks	70 Point
02	Weightage	Maximum 10 Marks
	(i) UGC-JRF (including JRF UGC-CSIR /GATE/ in the Concern Subject	10 Point
	(ii) UGC-NET (including NET, UGC-CSIR /GATE/SLET/Teacher Fellowship Holder/ have Passed M. Phil. Programme in the Concern Subject	05 Point
03	Presentation of Tentative Synopsis through PPT and Interview	20 Point
	Total Merit Base Points	100 Point

The presentation of tentative synopsis followed by an Interview shall be organized by the concerned school of studies.

10- Registration :

10.1 After Selection the candidate shall be admitted to Ph. D. course work and after successful completion of the Ph. D. course work the candidate shall be provisionally enrolled for Ph. D. program.

10.2 Candidates already holding M. Phil. Degree and having cleared the M. Phil Course work with at least 55% marks in aggregate and admitted to the Ph.D. Programme shall be eligible to proceed to do research work leading to Ph.D. degree in an integrated programme. All other candidates admitted to the Ph.D. Programme shall be required to complete the Ph.D. course work prescribed by the concerned School of Studies. A relaxation of 5% of marks, from 55% to 50% may be allowed for those belonging to SC/ST/OBC (Non creamy layer)/ differently –abled and other categories of candidates as per decision of the U.G.C. from time to time.

10.3 All those candidates who are offered a fellowship by the University or any other agency and registered with the University to pursue a research degree programme of the University on full time basis shall belong to the category of full- time students. In exceptional cases, the Research Degree Committee may allow registration of full time students who do not have fellowships. The full-time students shall work on their projects at Prayagraj.

- (i) Students who are employed in the UPRT Open University and desirous of pursuing a research degree programme may be permitted to register as part-time students. Ordinarily, teachers and other academic staff of the University while continuing on their Jobs shall belong to this category.

11- Final Synopsis:

The Three copies of synopsis duly forwarded by the proposed supervisor and Joint-supervisor (if any) have to be submitted between 3 to 6 months from the date of Research Degree Committee (RDC). Each page of the synopsis must be signed by the candidate and the supervisor both. The synopsis must include (i) the title of the problem, (ii) the need of study, (iii) the review of the related literature, (iv) the methodology, (v) the data sources, (vi) the chapter plan and (vii) the bibliography.

12- Duration of the Programmes:

12.1 Ph.D. Programme shall be for a minimum duration of three years, including course work and a maximum six years.

12.2 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 candidate may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

12.3 Commencing from the date of registration a student shall submit progress reports periodically (once in six months) in the prescribed format to the

supervisor(s) who shall forward them along with his/her remarks about and assessment of the work done so far to the Research Advisory Committee.

12.4 There shall be a Research Advisory Committee, for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee which shall consist of two senior most teachers of the subject. However if there is no subject teacher, the other member(s) will be nominated by the Vice- Chancellor from outside. This committee shall have following responsibilities-

- a. To review the research proposal and finalize the topic of research.
- b. 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.
- c. To periodically review and assist in the progress of the research work of the research scholar.
- d. A research scholar shall appear before the Research Advisory Committee 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 to the Research Cell with a copy to the Research Scholar.
- e. 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 this corrective measure, the Research Advisory Committee may recommend to the Research Degree Committee with specific reasons for cancellation of the registration of the research scholar.

13- Evaluation and Awards for Pre- Ph.D. Course Work.

- 13.1 The School Board concerned shall prescribe an evaluation scheme for the course work to be done by the students. Depending on the nature of the course and the specific needs, the evaluation methodologies may include:
- 13.2 Evaluation system or a comprehensive examination as applicable to the prescribed credit-based courses.
- 13.3 A term paper on a theme or presentation of an assignment at a seminar.
- 13.4 Oral examination
- 13.5 Any combination of these methods
- 13.6 A Student shall be deemed to have completed his/her course work successfully if he/she obtains a minimum of 55% of marks in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis
- 13.7 The Course work of 16 credits shall be prescribed by the School Board Concerned for Ph.D.
- 13.8 In each theory paper of Ph.D. Course work 30% of the total marks shall be assigned for the sessional assessment, while rest 70% marks will be assigned through written Examination.
- 13.9 Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conference/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.
- 13.10 While submitting for evaluation, the dissertation/ 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 same University where the work was carried out or to any other Institution/ University.

14- Change of Topic/Title of the Thesis

Change in the Topic/Title of the Thesis will be approved in the following manner:

- 14.1 Change in the Topic/ Title in nature of grammatical corrections/syntax will be approved by the Director, Research Unit on the proposal of the concerned supervisor through the Director of the School Concerned and recommended by the RDC.
- 14.2 On the request of the candidate for Minor change in the Topic of the thesis, the matter will be considered by the DRC and on the recommendations of the DRC and the School Board the change will be approved by the Vice Chancellor. However, the minor change in the title of Ph.D. thesis can be effected within two years of provisional registration for Ph.D.
- 14.3 A request for a major change of topic may be considered within one year from the date of approval of the original topic. Such request for a major change in the topic will be considered and recommended by the DRC, concerned School Board and finally will be approved by the RDC. Such a student will be required to pay the additional Fee of one year duration.

15- Submission of Final Dissertation/Thesis

- 15.1 On the successful completion of the course work, a student shall be required to pursue his research work under the guidance of his/her supervisor(s) at the end of which he/she shall be required to write a dissertation/thesis as the case may be in accordance with the format and the guidelines prescribed by the School Board concerned.
- 15.2 Each research student will attend and present research paper in at least two seminars/conferences **prior** to the Pre-submission presentation.
- 15.3 Before submitting his/her thesis, the candidate shall have to give a pre-submission presentation of his/her thesis before the Departmental Research Committee (DRC) of the concerned subject, and the supervisor of the

candidate. The Pre-submission presentation shall be open for all and relevant suggestions can be invited from the audience after the presentation by the candidate. The suggestions, which shall be relevant and necessary as felt by the Departmental Research Committee shall be recorded and will be incorporated by the candidate in the thesis before its submission.

15.4 The Pre-submission presentation to be organized by the Research Programme Coordinator concerned will be before the Subject Group / DRC to be chaired by the Director of the School concerned and will be open to all. The minutes of the Pre-submission presentation containing the suggestions by the faculty present in the Seminar will be recorded by the Supervisor concerned and the copy of the same will be forwarded to the Research Unit for the record. A written certificate from the Supervisor that the suggestions made by the faculty in the pre-submission presentation have been duly incorporated in the thesis will be submitted by the supervisor at the time of submission of the thesis. The thesis shall be submitted by the student to his/her research supervisor between 15 to 90 days of the pre-submission presentation.

15.5 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 University, 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, all faculty members of the Department, other research scholars and other interested experts/ researchers.

15.6 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 one of the evaluation reports of the external examiner of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the University 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.

15.7 The entire process of evaluation of Ph.D. thesis shall be completed within a period of six months from the date of submission of the dissertation/ thesis.

16. Cancellation of Registration & Refund of Fee

16.1 The registration of a student for Ph.D. Programme may be cancelled for any of the following reasons.

- (a) Non-Payment of fees.
- (b) Unsatisfactory progress.
- (c) Non-compliance with the provisions of the ordinances
- (d) Failure to submit the Thesis within the time limit prescribed.

16.2 The Research Degree Committee may consider requests for re-registration from students whose registration is cancelled. An application for re-registration, if made within a period not exceeding one year from the cancellation of the student's registration, may be considered only on the recommendation of the Director concerned.

16.3 Generally any prescribe fees by the candidate will be nonrefundable. In specific case or condition, the Vice Chancellor will take a decision in the light of university rules or UGC (Minimum Standards and Procedure for awards of M. Phil. /Ph.D. Degree) Regulations 2016 which shall be final.