



**RULES AND REGULATIONS FOR THE
DEGREE OF DOCTOR OF
PHILOSOPHY
(Ph.D. Degree-2022 Onwards)**



RULES AND REGULATIONS FOR THE PH.D. DEGREE

The Arni University offers Research programme in different subjects & in interdisciplinary areas leading to the Degree of Doctor of Philosophy. A candidate shall ordinarily work in a recognized place of research including the University Departments and Research Institutes recognized by the University under the supervision of a Research faculty supervisor of the University. The rules regarding eligibility, registration, supervision, submission and evaluation of thesis, viva voce and defence of thesis shall be as follows:

ACADEMIC CONTROL

Subject to the general control of the Academic Council, research studies for Ph.D. programme shall be organized by the concerned Board of Studies assisted by:

- Standing Committee
- Departmental Research Committee (DRC)
- Research Degree Committee (RDC)

1. ELIGIBILITY CRITERIA FOR ADMISSION TO THE PH.D. PROGRAMME: -

The following are eligible to seek admission to the Ph.D. programme:

[1] Candidates who have completed:

- i). A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.
- ii). A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the



Commission from time to time. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

[2] Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

[3] Duration of the Programme.-

- i). Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- ii). A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the University concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.



- iii). Female Ph.D. Scholars may be providing Maternity Leave/Child Care Leave for up to 240days in the entire duration of the Ph.D. programme.

2. PROCEDURE FOR ADMISSION: –

[1] The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

[2] Admission to the Ph.D. programme shall be made using the following methods:

- i). University may admit students who qualify for fellowship/scholarship in UGCNET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

And/or

- ii). University may admit students through an Entrance Test conducted at the level of the University. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject specific.
- iii). Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- iv). A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- v). University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
- vi). Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

[3] University shall:

- i). Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;



- ii). Adhere to the National/State-level reservation policy, as applicable.
- [4] The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department, along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.
- [5] Ph.D. Through Part-Time Mode:-
- i). Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
 - ii). The University obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - a) The candidate is permitted to pursue studies on a part-time basis.
 - b) His/her official duties permit him/her to devote sufficient time for research.
 - c) If required, he/she will be relieved from the duty to complete the course work.
 - iii). University shall not conduct any Ph.D. programmes through distance and/or online mode.

3. ADMISSION OF INTERNATIONAL STUDENTS IN PH.D. PROGRAMME: -

- i). Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 3.3 above.
- ii). The University may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

4. COURSE WORK.- CREDIT REQUIREMENTS, NUMBER, DURATION, SYLLABUS, MINIMUM STANDARDS FOR COMPLETION, ETC.

- i). The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online



courses as part of the credit requirements for the Ph.D. programme.

- ii). All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- iii). All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies i.e. Academic Council on the recommendations of the respective Board of Studies.
- iv). All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- v). 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 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 University.
- vi). A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-pointscale in the course work to be eligible to continue in the programme and submit his or her thesis.

5. ALLOCATION OF RESEARCH SUPERVISOR

Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- [1] Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five research publications in peer-reviewed or refereed Journals and permanent faculty members working as Assistant Professors in University with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other



institutions, where they can only act as co-supervisors. Ph.D. awarded by auni university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations. For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- [2] In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- [3] An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- [4] In case of relocation of a female Ph.D. scholar due to 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, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- [5] Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after



attaining the age of 70 years.

6. SYNOPSIS AND TOPIC

- [1] After deposit of the dues, within a year of registering for Ph.D. the candidate shall present the synopsis of the proposed research at an open seminar in the department, incorporate the suggestions and then submit it to the Research Degree Committee. The RDC may either accept the synopsis or recommend further changes before re-submission. Provided, those candidates who were required to undergo course work will present his/her synopsis after the satisfactory completion of the course work within a period of one year, excluding six months of course work period (i.e. 1st sem.). Provided further, that those candidates who are exempted from undergoing the course work will present the synopsis of the proposed research work within a period of one year from the date of registration for Ph.D.
- [2] After approval of the topic and synopsis of the Research Scholar with name of the Supervisor/Co-Supervisor by the Research Degree Committee (RDC), the Chairman of the Research Degree Committee (RDC), will host/upload the Synopsis on the topic approved on the INFLIBNET website of ‘Shodhgangotri (shodhganga.inflibnet.ac.in)’ within one month of the approval by the Research Degree Committee (RDC).
- [3] The research topic of a candidate can be allowed to be modified within one year from the date of approval of the topic with fee and the synopsis by the Research Degree Committee (RDC). However, the date of registration shall remain the same. In case the research topic of the Ph.D. Programme of any candidate is modified at any subsequent stage, the synopsis on the modified topic will also have to be got uploaded on the website of the INFLIBNET by the Chairman, Research Degree Committee (RDC) within one month of the approval of the same by the Research Degree Committee (RDC).

7. RESEARCH PROGRESS REPORT

- [1] The Ph.D. scholar shall submit a six monthly progress report (through the Supervisor and HOD/Principal/Dean) to the Departmental Research Committee (DRC). The approval of the report by the DRC will be required for continued registration of the candidate to the Ph.D. programme. The six monthly progress reports duly approved



by Departmental Research Committee (DRC) shall be submitted to the concerned department and copy of the same should be retained by the Research scholar.

[2] In case the progress of the research scholar is unsatisfactory, the Department 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 may recommend to the University for Cancellation of the registration of the research scholar with specific reasons.

8. FEE

Admission Fees, Semester Fee, Evaluation Fee, etc. to be paid by the candidates shall be as prescribed by the University from time to time. In case any candidate does not pay his/her dues in time, his/her registration/enrolment shall be cancelled without any further notice.

9. JOINING OF OTHER COURSE

No candidate shall join any other course of study or appear in any other examination while pursuing research. The Vice-Chancellor may, however, allow a candidate to appear in an examination or to attend a course in this University which is relevant to his/her research and is of minor nature, including improvement of any previous result.

10. SUBMISSION OF THESIS

[1] Upon satisfactory completion of the course work and obtaining the marks/grade as prescribed in clause 6.6 above, as the case may be, the Ph.D scholar shall be required to undertake research work and produce a draft thesis within six years but not before three years from the date of registration to the Ph.D. Programme in the University unless the period is extended by the Vice-Chancellor on the recommendations of his/her Supervisor.

[2] Prior to the submission of the thesis, the scholar shall make a pre-submission in the form of presentation before the Department Research Committee (DRC) of the Department 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 thesis in consultation with the Department Research



Committee (DRC) under the guidance of his/her supervisor.

- [3] While submitting thesis, an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, with plagiarism report (**plagiarism less than 10% and without AI content**) 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 University. Ph.D. scholars must publish at least **two 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 acceptance and/or reprints at the time of requesting for pre-submission along with evaluation fee, request for appointment of Examiners, No Dues from the University and Completion Certificate duly countersigned by the Supervisor.
- [4] If a candidate fails to submit his/her thesis within a period of six years and does not apply for extension before the expiry of his/her period, his/her registration will stand automatically cancelled without any further notice by the University. The period of six years for submission of Ph.D. thesis may be extended in exceptional cases with extension fee Rs 10,000 by a maximum of two years on yearly basis by the Vice-Chancellor on the recommendation of the Supervisor.
- [5] The research scholar shall submit five typed hard copies of his/her thesis along with two soft copies of the same in the form of CD/Pen drive in PDF file and deposit thesis submission fee in the university.

11. EVALUATION OF THESIS, VIVA-VOCE & AWARD OF THE DEGREE

- [1] The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners of whom one examiner may be from outside the country, selected by the Vice-Chancellor out of a panel of 6 experts of respective discipline.
- [2] When the evaluation reports from both the external examiners have been received, the public viva-voce of the research scholar to defend the thesis shall be conducted



only if the evaluation reports of both the external examiners on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination. If one of the evaluation reports of the external examiners is unsatisfactory and does not recommend viva-voce, the Institution shall send the 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 thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

The evaluator will state categorically whether in his/her opinion:

i). Thesis should be accepted for the award of Ph.D. Degree and is recommended for viva voce examination.

or

ii). It should be rejected. The evaluator shall state reasons for approval or rejection of the thesis.

In case of any doubt or conflict between the reports by the External Examiners, the matter will be referred to the Standing Committee comprising the Vice-Chancellor, the Dean of Research, HOD and other members which will examine the reports for making recommendations to the Vice-Chancellor if the thesis be referred to the third examiner or viva to be got conducted.

The viva-voce examination, based among other things, on the critiques given in the evaluation reports, shall be conducted by the Research Supervisor and at least one of the two external examiners preferably the one from within the country, and shall be open to be attended by the members of the Department Research Committee (DRC), all faculty members of the Department/Institute, other interested experts/researchers and research scholars.

If the examiner appointed by the University is unable or unwilling to conduct the viva-voce examination, another name will be picked up by the Vice-Chancellor from the panel to conduct the Viva.

[3] The scholar will have to present himself/herself for the viva-voce examination when fixed by the University failing which he/she will be declared ineligible for the award



of Degree. However, in case the scholar is unable to attend the viva-voce on the fixed date for any unavoidable reason, by the University can allow one-time postponement of the date up to a maximum period of three months from the date previously fixed by the University, failing which the candidate will be declared ineligible for the award of Degree.

[4] The Dean R&D, after considering the reports on the thesis and the viva-voce, shall recommend to the Appropriate Body of Governance of the university regarding the award of the Ph.D. Degree to the candidate.

12. PH.D THROUGH PART-TIME MODE:

- 1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- 2) The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i). The candidate is permitted to pursue studies on a part-time basis.
 - ii). His/her official duties permit him/her to devote sufficient time for research.
 - iii). If required, he/she will be relieved from the duty to complete the course work.
- 3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

13. GRANT OF M.PHIL. DEGREE:

Arni University shall not offer the M.Phil. (Master of Philosophy Programme).

14. ISSUING A PROVISIONAL CERTIFICATE: -

Prior to the actual award of the Ph.D. degree, the degree-awarding University shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.



15. AWARD OF PH.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS: -

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

16. DEPOSITORY WITH INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, the Controller of Examinations shall submit an electronic copy of the thesis in the form of PDF file to the Co-ordinator - INFLIBNET Collaboration of the University, who will host/upload the same on the INFLIBNET website of Shodhganga.inflibnet.ac.in so as to make it accessible to other Institutions/Universities.

Prior to the actual award of the Degree, the University shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions of UGC regulations.

17. PUBLICATION OF THESIS

No thesis shall be published without prior permission of the University. The research scholar may apply to the Dean/Head of the Department for permission to publish his/her thesis within five years from the date of notification for the award of degree. The Dean/Head shall satisfy himself/herself that the thesis is in publishable form. He/she will be guided by the reports of the examiners. A certificate will be obtained from the Supervisor to the effect that necessary improvements suggested by him/her and the examiners have been properly carried out.



18. RESEARCH FELLOWSHIP:

The Arni University also offers Research Fellowship of Rs. 12,000/- P.M. to the scholars enrolled for Ph.D. in various disciplines. The Fellowships will be awarded taking into consideration the overall merit and research aptitude of the scholars with the following:

Conditions:

- Initially the Fellowship will be awarded for one year w.e.f. the date of completion of the course work extendable for a maximum period of next two years on year to year basis or till the date of submission of the Thesis whichever is earlier.
- Each Scholar of Ph.D., who is awarded Fellowship, will have to work on whole time basis and will attend the Department regularly to carry on his/her Research work under the guidance of his/her supervisor and will have to mark his/her attendance in the department.
- The Scholar will have to undertake academic load of 10-12 hours a week to be assigned by the HOD/Institution.
- The Scholar will regularly submit his/her six monthly Progress Report to be monitored by the Departmental Research Committee (DRC) as further continuance of Fellowship will depend on satisfactorily Progress Report of the research work done by him/her.
- After completion of the Ph.D., this Deemed to be University will have first right to utilize the services of the scholar on a teaching/academic assignment for a period of at least three years with salary as prescribed by the University, failing.

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