

(An Autonomous Institute with 'A' Grade Accredited by NAAC)

**Kamla Nehru Institute of Physical and Social Sciences**



**Sultanpur (U.P.)-228118**

**DOCTOR OF PHILOSOPHY DEGREE**

**ORDINANCES-2024**

## DOCTOR OF PHILOSOPHY DEGREE ORDINANCES, 2024

This ordinance of Kamla Nehru Institute of Physical & Social Sciences, Sultanpur shall be known as Doctor of Philosophy (Ph.D.) Ordinances, 2024 with effect from the approval by executive Council and BOG. This ordinance shall Integrate and cover all the provision made by the University Grants, Commission (Minimum Standards and Procedure For Award of M.Phil./Ph.D. Degree) regulations, 2016 following its subsequent amendments as on August 27, 2018; October 16, 2018 and November 7, 2022.

1.1- This Ordinances may be called 'The Kamla Nehru Institute of Physical & Social Sciences, Sultanpur, Doctor of Philosophy (Ph.D.) Degree Ordinances, 2024'.

1.2- They shall come into force from the session 2024-25.

### Enumeration of Ph.D. Seats

2.1- At any point of, time, total number of Ph.D. seats (including those for D.Sc., D.Litt. & LL.D.) shall not exceed 08 for a Professor, 06 for and Associate Professor and 04 for and Assistant Professor.

2.2- Based on the above norm and number of Ph.D. scholars already registered for Ph.D. with all supervisors in the Department, a pre-determined and manageable number of feasible vacancies available for new Ph.D. candidates shall be counted on annual basis and communicated by the each Head of Department in consultation with respective faculty members of the department, to the Principal through their respective Deans available for these vacant positions.

2.3- The subject wise number of seats for Ph.D. shall be decided well in advanced and displayed on the Institute website and advertisement. The Institute shall widely advertise the number of available seats for Ph.D. studies and conduct admission on regular basis.

2.4- These vacant positions shall be divided as per reservation policy of the state-vertical & horizontal categories into unreserved, reserved for OBC and reserved for SC/ST and so classified for each Department.

### ELIGIBILITY

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

3.1- 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.

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.

3.2- 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.

### PROCEDURE FOR ENTRANCE TEST

4.1- The Institute shall admit Ph.D. students through Combined Research Entrance Test named as 'KNIPSS-CRET'.

4.2- The Institute shall conduct Combined Research Entrance Test named as 'KNIPSS-CRET'.

4.3- The Institute shall publish a KNIPSS-CRET public notification through its website and in at three issue of the daily newspapers already earmarked.

4.4- The said advertisement will contain the salient features necessary for the purpose, i.e. eligibility criteria, subject, fee and mode of its payment, reservation, syllabus, scheme, Centre, submission of application, other relevant instructions and anticipated date of the declaration of results thereof.

4.5- A candidate for admission to the Ph.D. degree shall apply to the Institute conducting the KNIPSS-CRET on a prescribed form.

4.6- The syllabus, examination paper pattern and qualifying criteria of the KNIPSS-CRET will be the same as prescribed for NET examinations conducted by the University Grant Commission/Council of Scientific and Industrial Research/Indian Council of Agriculture Research, etc.


### Exemptions from the Entrance Test

4.7- The following categories of candidates shall be exempted from the KNIPSS-CRET for admission to Ph.D. Programmed.

a. Permanent/Regular teachers of the Institute.

b. International students (including NRIs) which shall be subject to the general rules framed by the government of India from time to time and as applicable to the Institute with regard to the admission, fees etc.

c. All candidates selected by the UGC/CSIR/ICAR or other central regulatory bodies for their fellowships, subject to the validity norms of the respective fellowship.

  
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A. K. Verma







## PROCEDURE FOR ADMISSION

**5.1-** Candidates having merit score certificate, with duly attested photo copies of certificates and degrees shall apply to the Institute on a prescribed application form with a fee for admission to the Ph.D. degree duly forwarded by the proposed supervisor.

**5.2-** A Candidates shall ordinarily be permitted to work for the Ph.D. Degree in the subject in which he/she holds Master's Degree:

Provided that such research work leading to Ph.D. degree in allied subject in the same or other faculty may also be allowed, if the Research Degree Committee concerned, on recommendation of the concerned dean of the faculty and the Head of department on being satisfied that the candidates possesses the requisite qualification/capabilities to take up the proposed work in multi-disciplinary areas.

## COURSE WORK

**6.1-** Each student shall pay one time course work fee (as per Dr. RML Avadh University Ayodhya) for whole Ph.D. Programme.

**6.2-** All Admitted candidates shall undergo a course work for a minimum period of one semester of six months as prescribed by the Institute.

**6.3-** The course work shall be treated as pre-Ph.D. preparation and include a course on research methodology, quantitative methods and computer applications or reviewing of published research in the relevant field.

**6.4-** The Head of Department shall prepare the time-table for the course work, teaching and continuous evaluation and shall conduct the same under the overall supervision of the concerned Dean of faculty/Senior Professor of respective Faculty.

**6.5-** Minimum attendance required to become eligible to appear in the qualifying examination for each paper shall be 75% of all class lectures. In case a student is short of attendance due to illness, participation in sport, extra-curricular activities etc., the following rules may be applied :-

a. Shortage up to 20% may be condoned by the Head.

b. 50% relaxation in attendance can be given by the Principal.

**6.6-** The semester end qualifying examination based on the course work will be conducted by supervisors and HOD concerned. The pass marks in the course work shall be 50 percent for all students in each paper and in aggregate as well.

**6.7-** If a candidate fails to qualify the course work examination in first attempt, he will be given only one additional chance to clear the course work examination along with the next regular batch to qualify this examination.

**6.8-** The course work may be carried out by doctoral candidates in Department/Institute.

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## **CONSTITUTION OF DEPARTMENT RESEARCH COMMITTEE (DRC)/RESEARCH DEGREE COMMITTEE (RDC) & ALLOCATION SUPERVISORS AND SUBMISSION OF SYNOPSIS**

7.1- The student shall interact with Ph.D. supervisors with vacant seats available in his chosen broad sub discipline before counseling for admission/registration. The student will submit prescribed Ph.D. registration form along with synopsis forwarded by the proposed supervisor to the concerned Department. The registration of the student will be recommended by the DRC.

7.2- The Department Research Committee (DRC) will be constituted in the following manner:

- Head of Department (Chairman).
- One external subject expert nominated by Principal.
- At least One Internal subject expert (Member).

Finally the RDC (Research Degree Committee) will approve the candidate for registration in Ph.D. Programme.

Research degree committee will be constituted in the following manner:

- Principal (Chairman)
- Dean/Senior Professor of concern Faculty.
- Head of the Department.

After approval of RDC the student will be registered for Ph.D. Programme.

The allocation of the supervisor for an eligible student shall be recommended by the Department Research Committee (DRC). The allocation shall take care the number of student per faculty member, the available specialization among the faculty supervisors, and the research interested of the student as indicated during the interview by the candidate.

In case, the DRC finds that the synopsis is not up to the mark, it shall make specific suggestions for improving the synopsis in future.

### **ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, CO-SUPERVISOR, NUMBER OF Ph.D. SCHOLARS PERMISSIBLE PER SUPERVISOR ETC.**

8.1- All the regular faculty members already recognized as research supervisor in the parent University (Dr. RML Avadh University) and any regular professor of the Institute with at least 5 research publications in refereed journals and any regular Associate Professor/Assistant Professor of the College with a Ph.D. degree and at least 2 research publications in referred journals may be recognized as research supervisor.

8.2- Only a full time regular teacher of the College can act as supervisor. The external supervisors are not allowed. However Co-Supervisor can be allowed in interdisciplinary areas from other departments of the same institute or from other institution. Any regular faculty member of same institute or from other institution submits their application to DRC to recognize as Co-Supervisor and recommendation of above faculty members as Co-Supervisor by DRC, finally approved by the RDC.

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Provided also that the retired teachers of the Institute may be permitted to remain as supervisor of his/her Ph.D. student during the remaining tenure of Ph.D. studentship of the students already registered with him/her. If the research scholar is unable to submit the thesis within the regular studentship period, the change of supervisor may be considered as per provisions:

- a. The Principal in consultation with the Deans of the faculties shall approve a list of qualified supervisors in accordance with the aforesaid ordinances and may add or delete names accordingly.
- b. A supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood or by marriage.

Explanation-In this ordinances "relative"

Explanation to section 20 of the U.P. State Institute Act, 1973.

**8.3-** On recommendation from the RDC through the Dean of the faculty the Principal may allow a candidate to have co-supervisor for his/her thesis from an allied Department or institution recognized by the Institute for this purpose, if the research is of an inter-disciplinary nature. The Supervisor shall be from the Department where the candidate is registered:

Provided that if Supervisor is not available in the Department in inter-disciplinary area, RDC may appoint supervisor from the other concerned departments of the Institute.

**8.4-** No change of supervisor shall ordinarily be allowed, but in special cases, where the Head of the Department is satisfied that the research work of a scholar will suffer –

- a. On account of migration, retirement, long leave or for any other reason.
- b. The supervisor may not be available to guide the scholar.
- c. As the supervisor is not willing to, or not in a position to supervise a scholar.
- d. Due to existence of extra-ordinarily situations necessitating such a change.

In such case, the DRC may recommend a change of supervisor to the Principal through the Dean of faculty who may allow change of the supervisor.

### **SUBMISSION OF THESIS**

**9.1-** The period of candidate's students which he/she had deposited his/her fees before the commencement of the course work, as mentioned in ordinance 6.01.

**9.2-** Continuation of the registration of a candidate in the Ph.D. Programmed shall depend on his/her satisfactory progress and good conduct. The Institute reserves the right to cancel the registration of any candidate in the event of his/her conduct and progress being found otherwise.

**9.3-** The candidate shall be required to submit a progress report (minimum four 04) every six months to the Institute through supervisor prior to submission of final thesis.

**9.4-** A candidate registered for the Ph.D. Degree shall be required to pursue his/her research at the head-quarter of the College under the supervisor and on the subject approved for not less than thirty six months including the period of course work commencing from the date of approval by RDC.

**9.5-** Provided that the Principal, on the recommendation of the supervisor, the Head of the Department and the Dean, grants permission to candidate to reside outside for purpose of the research work for a

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total period of not more than one and half year. In special circumstances, a candidate may, not later than one year from the date on which approval was granted to him or next meeting of the RDC, modify the scheme of the topic with the approval of the Principal on the recommendation of the supervisor, the Head of the Department/ the Dean.

**9.6-** In case, a candidate fails to submit his/her thesis within six years, he/she shall cease to be a bonafide student of the Institute and shall not be entitled to the rights and facilities extended to a regular student:

**9.7-** The registration of the candidate who does not submit his/her thesis within six years from the date of his/her registration shall be deemed to be cancelled automatically. However the extension for the period may be given by the Principal.

**9.8-** Prior to submission of the thesis, the student shall make a Pre-Ph.D. presentation in the concerned Department that will be open to all faculty members and research students. The Head of Department shall provide a certificate to this effect.

**9.9- a).** The research scholar shall publish at least two research papers of the Ph.D. work in refereed journals out of which at least one must be in UGC Care listed journals before the submission of the thesis for evaluation.

**b).** The research scholar shall present at least two research papers of the Ph.D. work in separate seminars/conferences organized by higher academic institutes before the submission of the thesis for evaluation.

**9.10- a).** A scholar may be permitted to make minor modifications in the title of his/her thesis by the Dean of faculty concerned on recommendation from the supervisor and the Head of the Department, but not later than six months before the submission of his/her thesis.

**9.12- i.** When the thesis is ready for submission, the scholar shall apply through his/her supervisor stating therein that the thesis is on the point of completion. Such a report is received at least three months before the completion of the thesis.

**ii.** The Head of Department and Supervisor recommends a panel of six experts separately (three Export from other state) along with their e-mail and postal address.

**iii.** The Principal will finally approve the panel of examiners at least one examiner out of state and Chairman of the RDC can modify the list of examiners in special circumstances.

**iv.** In the case, the thesis is not submitted within the stipulated time of twelve months, the panel shall stand lapsed and a fresh panel shall have to be recommended.

**9.13-** The research scholar shall submit the thesis in five printed or type written, but not published earlier, copies of his/her thesis, and two CDs in PDF format along with five copies of summary.

**9.14-** The thesis shall comply with the following conditions:

- i.** The Academic council (or its equivalent body) of 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 thesis shall have an undertaking

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from the research scholar and a certificate from the 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.

- ii. All the relevant certificate given by the candidates/supervisor/Head of the department/Director/Dean must be attached to the thesis.

### EVALUATION AND ASSESSMENT METHODS

**10.1-** Upon satisfactory completion of the coursework and obtaining the mark a minimum of 55% or its equivalent grade in the UGC seven-point scale, Ph.D. scholars shall continue to the research work.

**10.2-** On receipt of the thesis along with the certificates, fee receipt and No-dues, the thesis will be sent within two weeks to the examiners selected for the purpose after their consent.

**10.3-** i. If the examiners consider the thesis to be of sufficient merit, they may recommend that the thesis be accepted for the award of the degree of doctor of Philosophy.

ii. If the RDC is satisfied that the reports of the examiners are unanimously recommending to award the Ph.D. Degree, the candidate shall require to undergo a viva voce examination to be conducted by two examiners (One supervisor and one external examiner).

iii. The viva voce examination shall be conducted at the Institute headquarters and will be open to all interested in the subjects.

iv. After satisfactory viva voce examination the RDC will grant the permission for the award of the Ph.D. Degree to the candidate.

v. If the majority of the examiners recommend that the candidate be asked to modify his/her thesis, the RDC chairman (Principal) will permit the candidate to resubmit the thesis not earlier than three months and not later than the date fixed by the RDC Chairman (Principal).

vi. If one examiner asked to revise the thesis than the report of examiner will be sent to the other two examiners for their comments. If both of them are not agreed to revise, than the thesis will be sent to the alternate of the previous examiner for fresh evaluation.

vii. After receiving the report of the alternate examiner the RDC will take suitable decisions to grant the permission for viva voce examination.

viii. The Institute will complete the entire process evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

### DEPOSITORY WITH INFLIBNET/UGC

**11.1-** Following the successful completion of the evaluation process and conferment of the award of Ph.D., the Institute shall submit a soft copy of the Ph.D. thesis to the Institute Grants Commission within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institution/Universities.

**11.2-** The Institute shall host another soft copy of the Ph.D. thesis on its website for general viewing.

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**11.3-** The Institute, along with the Degree, shall issue a Provisional Certificate certifying to the effect that the degree has been awarded in accordance with provisions to the University Grant

Commission 'Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degree Regulations, 2016.' and as on further amended time to time.

**Award of Ph.D. Degree Prior to Notification of these Regulations or Awarded by the Foreign Universities.**

**12.1-** Award of degrees to the candidates registered for Ph.D. programmed on or after may 05, 2016 till date of notification of these regulations shall be governed by the provision of the UGC (Minimum standards and procedure for the award of Ph.D.) regulations 2016.

**12.2-** If the Ph.D. degree is awarded by a Foreign Institute, the Institute considering such a degree shall refer the issue to a standing committee constituted by the Institute for the purpose of determining the equivalence of the degree awarded by the foreign Institute.

**REMUNERATION**

During the whole process of Ph.D. Programme remuneration to the faculty members (external & internal) involve in admission, course work, DRC meeting, RDC meeting etc. paid according to parent University Dr. Rammanohar Lohia Avadh University, Ayodhya.

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