U.P. Rajarshi Tandon Open University

Research Programmes

Ph.D. Ordinance (Revised- 2026)

CHAPTER XV

Research Degree Programme and Constitution of Committee

(Under Stature 9.01 (5) A

A. Management and Co-ordination

(1) The Degree of Doctor of Philosophy (Ph. D.) or such other degree may be awarded by the University to a registered student on his/her successfully completing the prescribed programme of research offered by the university under regular mode.

(2) Research studies leading to the award of the Doctor of Philosophy (Ph. D.) or such other degree shall be organized and managed by the following bodies in accordance with their respective roles as specified here under.

(3) The Research degree programmes of the University shall be in accordance with the Research Policy adopted by the Academic Council subject to the provisions of the Act and the Statutes of the University.

B. Research Degree Committee (RDC)

(1) There shall be a Research Degree Committee which, subject to the overall guidance and supervision of the Academic Council shall be responsible for the planning, management, organization and monitoring of Research programmes.

(2) Subject to the provisions of the Act and Statutes, the Research Degree Committee shall perform the following functions.

(i) Management and administration of the research policy, programme design, evaluation and awards of research degrees.

(ii) Formulation of guidelines for registration, supervision, programme design, evaluation and awards of research degrees.

(iii) Monitoring of research indicators for such evaluation.

(iv) Determination of the criteria for purview of the research areas/themes/ topics relevant to the School Board.

(v) Advice on research priorities and allocation of resources for research.

(vi) Preparation of the consolidated reports on research efforts of the University.

(vii) Any other work related to research development and co-ordination.

(3) The composition of Research Degree Committee shall be as follows.

(i) The Vice-Chancellor or his/her representative shall be the Chairman of the Research Degree Committee.

(ii) One expert of the subject concerned who is not employee of the University,

nominated by Vice-Chancellor.

(iii) Director of the School concerned or as nominated by the Vice-Chancellor.

(iv) Director, Research and Development cell shall be the Member Secretary of the Research Degree Committee

(4) The term of the members will be two years from the date of nomination.

(5) The Research Degree Committee shall meet at least twice a year. One third of the total membership shall form the Quorum for the meeting.

C. Registration and Supervision.

The registration for the Ph. D. programme shall be made through the combined merit of NET or equivalent to NET exam marks or an entrance test marks conducted by the University and the marks obtained in the interview. The interview should be organized by the concerned school of studies. The process and schedule of registration shall be prepared and announced by the University in accordance with the guidelines given by the Academic Council from time to time.

(2) Eligibility Criteria for admission to Ph. D. programme:

(1) Candidates who have completed :

A I-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 the 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 UGC 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 or 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 UGC from time to time.

3- There shall be two categories of Ph. D. student: **Full-time and Part-time**. Part time Ph. D. will be allowed provided all the conditions mentioned in the extant of Ph. D. ordinance are met.

(**a**) All those who are offered a fellowship by the University or by any other agency and registered with the University to pursue a research degree programme of the University on a full time basis shall belong to the category of full-time students. In other 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 **Ph. D. research** at Prayagraj.

(b) Students who are employed and desirous of pursuing a research degree programme may be permitted to register as part- time students. Ordinarily, teachers and other staffs while continuing on their jobs shall belong to this category. But such student have to devote not less than 200 days with the supervisor for his/her research work and the University 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.

(4) All registrations to Ph. D. Programmes shall be provisional and the same shall be confirmed according to the procedures prescribed by the Academic Council from time to time.

(5) A candidate, who has been offered registration, shall deposit the prescribed registration and programmme fee within a period of six weeks from the date of approval of **research area** and research supervisor, failing which his/her registration may be treated as cancelled.

(6) The registration of a student may be cancelled for any of the following reasons:

(i) Non-payment of fees

(ii)Unsatisfactory progress

(iii) Non-compliance with the provisions of the ordinances

(iv) Non completion of Pre-Ph. D. course work

(v) Failure to submit the Ph. D. Thesis within the time limit prescribed.

(7) 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.

(8) Except fee for registration all other fees prescribed by the University shall always be charged on annual basis or as decided by the university from time to time.

D. Allocation of Research Supervisor

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

(1) Permanent faculty member working as Professor/Associate Professor of the Higher Education Institution with a Ph. D., and at least five research Publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professor in Higher Educational Institutions 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. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. 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 reasons 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/ Co-guide up to eight (8)/ Six (6) Four (4) Ph.D. Scholars, respectively, at any given time. The University may increase not more than ten percent of total available seats in a concern subject under an eligible Professor/ Associate Professor / Assistant Professor provided that **Non- availability** of seats in concern subject for Ph. D. to working teachers of the University.

(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 Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in UGC

Regulations 2022 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 Year.

E. Course Work

Credit Requirements, Number, Duration, syllabus, minimum standards for completion etc

1.1 The credit assigned to the Pre-Ph. D. Course work shall be a minimum of 12 credits and a maximum of 16 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 Academic Council can also recommend UGC recognized online courses or MOOCS as part of the credit requirements for the Ph. D. programme.

1.2 The course work shall be treated as prerequisite for Ph. D. Preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which cover areas such as quantitative 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 Ph. D. degree.

1.3 All courses prescribed for Ph. D. course shall be in conformity with the hour instructional requirement and shall specify content, instructional and assessment methods. They shell be duly approved by the authorized academic bodies.

1.4 The School where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-clause 1.8 below, of the research scholar.

1.5 All Candidates admitted to the Ph. D. programmes shall be required to complete the course work prescribed by the School during the initial one or two semesters.

1.6 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 been permitted to proceed to the Ph. D. and they may be exempted by the School 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 School.

1.7 Grades in the course work including research methodology courses are finalized after a combined assessment by the Research Advisory Committee or Subject committee and the School and the final grades shall be communicated to the

University.

1.8 A 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.

2. The Course work shall be prescribed by the School Board concerned for Ph. D.

3. 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.

4. 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 counseling sessions/research assistantship for conducting tutorial or laboratory work or field work and evaluation.

F. Research Advisory Committee and its Functions

(1) There shall be a Research Advisory Committee (RAC), for each Ph. D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee which shall consist of two senior teachers of the subject. However if there is no subject teacher, the other member(s) will be nominated by the Vice- Chancellor from Allied/Concerned area of subject within the University or 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 & Development Cell with a copy to the Research Scholar.

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.

Duration of the Programme:

(1) Ph.D. Programme shall be for a minimum duration of three (3) years, including

course work, and a maximum duration of six (6) year from the date of Registration to the Ph. D. Programme.

(2) A maximum of an additional two (2) years may be allowed for Ph. D. in the maximum duration. However, that the total period for completion of a Ph.D. Programme should not exceed eight (8) years from the date of registration 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.

(3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph. D. Programme.

H. Submission of Ph. D. Thesis

(l) On the successful completion of the course work, a student shall be required to pursue his research work under the guidance of his supervisor(s) at the end of which he/she shall be required to write a Ph. D. thesis as the case may be in accordance with the format and the guidelines prescribed by the School Board concerned.

(2) Prior to the submission of the thesis, the student shall make a pre-Ph. D. presentation in the department/school before the RDC which must be attended by the Supervisor concerned and shall also be open to all faculty members and research scholars. The feedback and comments obtained from them may be suitably incorporated in to the draft of the Ph. D. thesis in consultation with the Research Degree Committee.

(3) For Ph.D. degree, a student shall be required to submit a Ph. D. thesis in the format as may be prescribed by the School Board concerned. The Ph. D. thesis must be a piece of original research work characterized either by the discovery of new facts or invention of new ideas or a new interpretation of theories among others.

(4) While submitting the Ph. D. thesis for evaluation, the Ph. D. thesis shall have an undertaking from the research scholar and a certificate from the research Supervisor attesting to the attendance, originality of the work, vouching that there is no plagiarism with a plagiarism checking certificate 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 as per Academic Integrity and Plagiarism Regulations-2018.

Evaluation and Assessment

(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:

(i) Evaluation system or a comprehensive examination as applicable to the prescribed credit-based courses.

(ii) A term paper on a theme or presentation of an assignment at a seminar.

(iii) Oral examination

(iv) Any combination of these methods

(2) A Student shall be deemed to have completed his/her course work successfully if he/she qualifies clause E (1.8). The course work successfully **completion** certificate may be issued as Post Graduate Diploma in Research (PGDR).

(3) The Ph. D. theses submitted by a research scholar shall be evaluated by – His/Her Research Supervisor and at least two external examiners, who are expert in the field and not in employment of the University. The list/name of six examiners out of which at least three external examiners from outside of the Uttar Pradesh/country and three external examiners from the Uttar Pradesh will be proposed by the research supervisor and director of concerned school for nomination separately. The Hon'ble Vice Chancellor of the University will nominate the panel of examiners at least one examiner from outside of the Uttar Pradesh and one from the Uttar Pradesh from the proposed list or self added name of Examiners. The Viva Voice examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one external examiner, and shall be open to be attended by Members of the Research Advisory Committee, All faculty members of the Department/School, other research scholars and other interested experts/ researchers.

(4) The public viva-voice of the research scholar to defend the Ph. D. thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the Ph. D. thesis is/are satisfactory and include a specific recommendation for conducting the viva- voice examination. The viva- voice examination may be conducted through off-line or on-line mode. If the evaluation reports of the external examiners, one of the evaluation reports of the external examiner is unsatisfactory and does not recommend viva-voice, the University shall send the Ph. D. thesis to another external examiner out of the approved panel of examiners and the viva-voice 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 referred to RDC for further decision. If the evaluation reports of more than one external examiner's is unsatisfactory and does not recommend viva-voice, the Ph. D. thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

(5) 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 Ph. D. thesis.

J. Fees

(1) Students admitted to Ph. D. programme of the university shall pay the fees as determined by the Academic Council.

(2) The fees shall be payable on such dates and such mode as may be notified.

K. Award of Ph. D. Degree

(1) A scholar shall be awarded the Ph. D. Degree, with the approval of the Academic Council.

(2) Prior to the actual award of the Ph. D. degree, a provisional certificate may be issued to the effect that the Ph. D. is being awarded in accordance with the provisions of UGC Regulations-2022.

(3) If the Ph. D. degree is awarded by a foreign University, the University considering such a degree shall refer the issue to the Academic Council to determine the equivalence of the degree awarded by the foreign University through Equivalence committee duly constituted by the Vice Chancellor.

L. Depository with INFLIBNET

(l) Following the successful completion of the evaluation process and before the announcement of the award of Ph. D. degrees, the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

(2) In case of any ambiguity the Vice-Chancellor will take a decision in the light of UGC (Minimum Standards and Procedure for Awards of Ph. D. degree) Regulations-2022 which shall be final.