U.P. R.T. Open University, Prayagraj
Ph. D. Guidelines (Revised) - 2026

General

1. Ph. D. Programmes will 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 candidate registered for the Ph. D. Programme shall be required to pursue the Programme under a approved supervisor from the University.
3. The allocation of research topic and 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 on the proposal of concerned School Board.
4. The Academic Council shall decide on an annual basis a pre-determined and manageable number of Ph. D. scholars to be admitted, depending on the number of available Research Supervisors.
5. 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.

Eligibility criteria for admission in Ph. D. Programme

The Candidates who have completed:

1. 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.
2. 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. 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.
4. 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.

Registration:

1. **After selection in the combined merit (the JRF/NET or equivalent test/Entrance Test Scores and Interview Scores) announced by UPRT Open University the candidate shall be admitted to Pre-Ph. D. course work and after approval of tentative research title and allotted supervisor the candidate shall be provisionally enrolled for Ph. D. program. The successful completion of the Pre-Ph. D. course work shall be treated as prerequisite for Ph. D. Programme.**
2. The selected 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. All other candidates admitted to the Ph. D. Programme shall be required to complete the Pre-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, Economically Weaker Section (EWS), and other categories of candidates as per decision of the U.G.C. from time to time.
3. There shall be two categories of Ph. D. candidates: **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. 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 shall belong to the category of full-time candidates. In other cases, the Research Degree Committee may allow registration of **full-time candidates** who do not have fellowships. The full –time candidates shall work on their projects at Prayagraj. Candidates who are employed and desirous of pursuing a research degree programme may be permitted to register as **part- time candidate**. Ordinarily, teachers and other staff while continuing on their jobs shall belong to this category. But such candidates 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 (NoC)"** through the candidates 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.
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. After declaration of step III result, a candidate, who has been offered admission for Ph. D. Programme shall deposit the prescribed Pre-Ph. D. course work fee within a prescribed period and the programme fee with registration fee within a period of six weeks from the date of approval of **tentative research title** and **research supervisor**, failing which his/her admission may be treated as cancelled. However, a candidate who has been registered for Ph. D. Programme **the Ph. D. registration of a candidate may be cancelled for any of the following reasons:**
   (i) Non-payment of fees within due date
   (ii) Unsatisfactory progress of research
   (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.
6. The Research Degree committee may consider requests for **re-registration** from candidates whose registration is cancelled. An application for re- registration, if made within a period not exceeding one year from the cancellation of the candidate's registration, may be considered only on the recommendation of the Director concerned.
7. 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.

Programme Fee

1. Candidates having applied or 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.
3. A Candidate, who has been offered registration for Ph. D. Programme, shall deposit the prescribed registration fee, programme fee and Pre-Ph. D. course work fee within a period of six weeks from the date of approval of research topic and research supervisor, failing which his/her registration may be treated as cancelled.
4. Generally the deposited fee by the candidate will be non-refundable. In specific case or condition, the Vice Chancellor will take a decision in the light of university rules or direction of the UGC which shall be final.

Entrance Test Procedure

There will be an objective type question paper of one and half hour duration (90 minutes) in Pre-Ph.D. Entrance Test containing 70 Multiple Choice Answer questions. The items of the Entrance Test will consist of 50% of research methodology and 50% will be subject specific. The Entrance test will be conducted at the University campus or examination centre(s) situated in Prayagraj city only as per number of examinees.

Selection Process For Admission

The JRF/NET/Equivalent test qualified/appeared Candidates or the candidates who will meet the required cut off of the Entrance Test will be called for an interview. The overall merit list would be prepared on the basis of JRF/NET/Equivalent test scores or marks obtained in the written test and interview.

Steps of Selection Process:

Step I : **Ph.D. Entrance Test**	**Category-1: (NET with JRF or Equivalent Qualified Candidates)** Exempted from Entrance Test **Category-2: (Only NET or Equivalent Qualified Candidates in the Current year)** Exempted from Entrance Test **Category-3: (NET or Equivalent Exam Qualified for Admission to Ph.D. Programme Candidates in the Current year)** Exempted from Entrance Test **Category-4: (Other than Category 1, 2 & 3 Candidates)** UPRT Open University Ph.D. Entrance Test will be merely **qualifying** for selection process to 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, Economically Weaker Section(EWS), and other categories of candidates as per the decision of UGC from time to time.
Step II : **Interview** **All Candidates of Category 1, 2, 3 and Qualified candidates of category 4**	A research proposal in the area of research interest of the applicant's which will be submitted to the interview board. A power point presentation of the said research proposal by the applicant must be presented before the interview board. The presentation of tentative synopsis followed by an Interview shall be organized by the concerned school of studies. Candidates must bring all the relevant documents during interview.
Step III : **Merit List Preparation**	As per availability of seats, admission for Ph.D. Program shall be given to the candidates on the basis of merit list. **The reservation policy of Uttar Pradesh State Government will be followed in admission and other process.** Amongst those candidates who have cleared Step-I, and Step II a merit list in

	100 Points comprise of 70 % Scores of JRF/NET/Equivalent Exam or Entrance Test scores, and Scores on 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:**		
S.N.	**Particulars**	**Maximum Marks**	**Maximum Point**
1.	UGC-**JRF/NET or Equivalent** in the Concern Subject **Scores or Entrance Test**	**70 percent** of JRF/NET Exam Scores	**70**
2.	Presentation of Tentative Synopsis through PPT and **Interview**	**30**	**30**
	Total	**100**	**100**

The presentation of tentative synopsis followed by an Interview shall be organized by the concerned school of studies. The reservation rules/policy of U.P. Govt. will be followed for admission. Vertical and horizontal reservation rules/policy of U.P. Govt. will be implemented as per availability of seats in the particular subject under 100 point's roster rule. If there is no eligible or selected candidate available in a particular category of reservation, the backlog will followed for the coming session only and after that those seats will convert and filled with open category.

Course Work

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.
2. The course work shall be treated as prerequisite for Ph. D. thesis submission for evaluation. 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.
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.
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 8 below, of the research scholar.
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.
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.

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.
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 Ph. D. thesis.
9. The Course work shall be prescribed by the School Board Concerned for Ph. D.
10. 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.
11. 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.

Final Ph. D. Synopsis

The Three copies of synopsis duly forwarded by the proposed supervisor and co-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, the need of study, research questions/hypotheses, the review of the related literature, the methodology, data sources, expected outcomes, the significance of the study, the chapter plan and the bibliography.

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.
3. 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.
4. 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.
5. 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.
6. 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 allied/concerned area of subject within the University or from outside. This committee shall have the 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 and (c) to periodically review and assist in the progress of the research work of the research scholar.

7. 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 and Development Cell with a copy to the Research Scholar.
8. 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.

Evaluation, Submission of Ph. D. Thesis and Award of Degree

Submission of Ph. D. Thesis

1. On the approval of the research topic, 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 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 research supervisor concerned and shall also be open to all faculty members and research scholars.
3. 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.
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.
5. 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.

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) Term paper on a theme or presentation of an assignment at a seminar, (iii) Oral examination or any combination of these methods.
2. A Student shall be deemed to have completed his/her course work successfully if he/she qualifies **point 8 of Course work**. The course work successfully **completion** certificate may be issued as Post Graduate Diploma in Research (PGDR).
3. The Ph. D. thesis submitted by a research scholar shall be evaluated by at least three external examiners, who are not in employment of the University, of whom one examiner may be from outside the Uttar Pradesh/ country. 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, 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 Ph. D. 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.

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.

Change of Topic/Title of the Thesis

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

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.
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.
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.

Depository with INFLIBNET

1. 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.

Fees

1. The aspirants or admitted candidates to Ph. D. programme of the university shall pay the prescribed fees;

The fee schedule for Doctor of Philosophy (Ph.D.) Programme

SN	Details of Fee	Amount of Fee	Specifications
(1)	Application Processing fee for **(Entrance Test Exempted Candidates)**	Rs. 1000.00	(Not Refundable)
		Rs. 500.00	For SC/ST Applicants (Not Refundable)
(2)	Application Processing fee with late payment for **(Entrance Test Exempted Candidates)**	Rs. 1500.00	(Not Refundable)
		Rs. 750.00	For SC/ST Applicants (Not Refundable)
(3)	Application Processing fee for **(Entrance Test Appearing Candidates)**	Rs. 2000.00	(Not Refundable)
		Rs. 1000.00	For SC/ST Applicants (Not Refundable)
(4)	Application Processing fee with late payment for **(Entrance Test Appearing Candidates)**	Rs. 2500.00	(Not Refundable)
		Rs. 1500.00	For SC/ST Applicants (Not Refundable)
(5)	Ph.D. Programme Registration fee	Rs. 3000.00	Once (Not Refundable)
(6)	Ph.D. Programme fee	Rs. 20,000.00	Per Annum (Refundable)*
(7)	Late payment for Ph.D. Programme fee	10% of Programme fee	Per Annum (Not Refundable)
(8)	Admission with Exam fee for Pre-Ph.D. Course Work	Rs. 10,000.00	Once (Refundable)*
(9)	Pre-Ph.D. Course Work Back Paper fee, **if required**	Rs. 2000.00	Per Paper (Not Refundable)
(10)	Pre-Submission Viva fee for **final submission of Ph. D. Thesis**	Rs. 10,000.00	At the time of request for Pre-Submission Viva (Not Refundable)
(11)	Re-Pre Submission Viva fee for **final submission of Ph. D. Thesis**	Rs. 3000.00	For each Re-Pre Submission Viva (Not Refundable)
(12)	Evaluation of Thesis and viva voce fee	Rs. 15,000.00	At the time of Submission of Thesis Once (Not Refundable)

Or As determined by the Academic Council from time to time. The fees shall be payable on such dates and such mode as may be notified from time to time.

POLICY FOR Ph.D. PROGRAMME FEE REFUND *

Category	% of Refund of Fees*	Point of time when notice of Withdrawal of admission/registration is received in the University
(1)	100%	15 days or more **before** the formally notified last date of admission/registration
(2)	90%	Less than 15 days **before** the formally notified last date of admission/registration
(3)	80%	15 days or less **after** the formally notified last date of admission/registration
(4)	50%	30 days or less, but more than 15 days **after formally** notified last date of admission/registration
(5)	00%	More than 30 days **after** formally notified last date of admission/registration