



डॉ० शकुन्तला मिश्रा राष्ट्रीय पुनर्वास विश्वविद्यालय, लखनऊ  
Dr. Shakuntala Misra National Rehabilitation University, Lucknow  
उत्तर प्रदेश सरकार

पत्राक 1355/पत्रा.सं०-607/D.S.M.N.R.U./शोध अध्यादेश/2024-25

दिनांक 26 अक्टूबर, 2024

**Notification of Doctor of Philosophy (Ph.D.) Regulation-2024**

Doctor of Philosophy (Ph.D.) Regulation-2024 of Dr. Shakuntala Misra National Rehabilitation University, Lucknow approved by the Academic Council in its 32<sup>th</sup> meeting held on 30.07.2024 (letter no.1062/पत्रा.सं०-568(द्वितीय)/डा.श.मि.रा.पु.वि./वि०परि०/2024-25 dated 03.09.2024 agenda point no. 11/32 (क)) and Executive Council in its 46<sup>th</sup> meeting held on 12.09.2024 (letter no. 1140/फा०सं०-36(सप्तम)/डॉ.श.मि.रा.पु.वि./कार्य परिषद/2024-25 dated 12.09.2024 agenda point no. 10/46), is hereby notified for information and compliance.

(Rohit Singh)  
Registrar

C.C

1. P.S. to Honorable Vice Chancellor.
2. Dean, Academics.
3. All Deans of the Faculty.
4. All Heads of the Departments.
5. Controller of Examination.
6. System Analyst with instruction to upload it on University website.
7. Guard File.

(Rohit Singh)  
Registrar



# **Dr. Shakuntala Misra National Rehabilitation University, Lucknow**



## **DOCTOR OF PHILOSOPHY (Ph.D.) REGULATION -2024**

[To cohere and cover all the provisions made by the University Grants Commission (Minimum Standards and Procedure for the Award of Ph.D. Degree) Regulations, 2022 and subsequent guidelines.]

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# Dr. Shakuntala Misra National Rehabilitation University, Lucknow

## Ph.D. Regulation-2024

This Regulation of Dr. Shakuntala Misra National Rehabilitation University, Lucknow shall be known as Doctor of Philosophy (Ph.D.) Regulation- 2024, and shall come into effect from the date *it is duly notified by the University*. This Regulation shall cohere to, and cover all the provisions made by the University Grants Commission (Minimum Standards and Procedure for the Award of Ph.D. Degrees) Regulations 2022, and in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil./ Ph.D. Degree) Regulations, 2016 and its amendments. The Degree of Doctor of Philosophy (Ph.D.) of Dr. Shakuntala Misra National Rehabilitation University, Lucknow shall be conferred upon the candidates who fulfill the requirements as specified in this Regulation.

### 1. Short Title, Application and Commencement

- 1.1 This Regulation shall be known as “Doctor of Philosophy (Ph.D.) Degree Regulation– 2024” of Dr. Shakuntala Misra National Rehabilitation University, Lucknow.
- 1.2 This Regulation shall govern the minimum standards and procedure for the award of Ph.D. degree “Doctor of Philosophy” of Dr. Shakuntala Misra National Rehabilitation University, Lucknow complying University Grants Commission (Minimum Standards and Procedure for the Award of Ph.D. Degrees) Regulations, 2022 and subsequent guide-lines of UGC and shall come into effect from the date it is duly notified by the University.
- 1.3 Dr. Shakuntala Misra National Rehabilitation University, Lucknow (herein after referred to as University) would conduct the Ph.D. programme complying the provisions laid down in this Regulation.
- 1.4 Those candidates who have been registered for Ph.D. before the promulgation of this Regulation would be governed by the earlier Regulations/Ordinance for the award of Ph.D. degree

### 2. Definitions

- 2.1 “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places.
- 2.2 “Credit” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit.
- 2.3 “Course Work” means courses of study prescribed by the Department/ Institute to be undertaken by a student registered for the Ph.D. Degree.
- 2.4 “External examiner” means an academician/researcher with published research work who is not part of Dr. Shakuntala Misra National Rehabilitation University, Lucknow (where the Ph.D. scholar has registered for the Ph.D. programme).

- 2.5 “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme (s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode.
- 2.6 “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale.
- 2.7 “Guide/Research Supervisor” means a faculty member recognized by University to supervise the Ph.D. scholar for his/ her research.
- 2.8 “Interdisciplinary Research” means research conducted by a Ph.D. Scholar in two or more academic disciplines.
- 2.9 “Open and Distance Learning Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning programmes and online programmes) Regulations, 2020.
- 2.10 “Online Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning programmes and Online programmes) Regulations, 2020.
- 2.11 “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own.
- 2.12 “Research Proposal” or “Synopsis” means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration in Ph.D. programme.
- 2.13 “Registration” means allotment of an enrollment number to the duly selected candidate for admission in Ph.D. programme after paying the total stipulated fee for the programme to the University. “De-registration” means discontinuing the full-time Ph.D. programme for a certain period of time paying the retention fee for retaining the enrollment to the University.
- 2.14 “Re-registration” means further continuing the full-time Ph.D. programme after paying the stipulated fee for re-registration along with the fee prescribed for Ph.D. programme to the University.

### **3. Eligibility Criteria for admission to the Ph.D. Programme**

- 3.1 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 would be allowed for those belonging to SC/ ST/ OBC (non-creamy layer)/ Differently-Abled/ Economically Weaker Section (EWS).

- 3.2 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).
- 3.3 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 would be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled/ Economically Weaker Section (EWS).

#### 4. Duration of the Programme

- 4.1 Ph.D. programme shall be for a minimum duration of 03 (three) years, including course work, and a maximum duration of 06 (six) years from the date of admission to the Ph.D. programme. Date of admission would be reckoned with effect from the date of first Fee Receipt.
- 4.2 Course work shall be completed in first two semesters from the date of registration in the Ph. D. programme. The Ph.D. programmes being governed by other regulatory bodies shall follow the duration mentioned in their concerned regulation.
- 4.3 Residential requirements, including the duration of coursework, shall be 03 (three) continuous years without break. During residency period, the scholar is expected to be present full-time on all working days in the department/ location identified by the supervisor for conducting Ph.D. related work. After three years, the candidate if fulfills the requirements may be allowed adopting due procedure stipulated in this Regulation to submit his/her Ph.D. thesis for evaluation.
- 4.4 A maximum of an additional 02 (two) years beyond 06 years may be given to the candidate through the process of re-registration in special cases only where DRC recommends on cogent grounds and approval is granted by the Vice Chancellor. However, the total period for completion of a Ph.D. programme and submitting the thesis should not exceed 08 (eight) years from the date of registration to the Ph.D. programme. For this, the application for the same shall be submitted by the candidate at least 01 month before the date of completion of the maximum period (06 years) giving the reasons due to which he/she was not able to complete his/her research work and submit the thesis. The candidates' application in this regard should be duly forwarded by the Supervisor and recommended by Departmental Research Committee (herein after referred to as DRC).  
Provided further that, Female and Divyang (person with disability more than 40%) may be allowed an additional relaxation of 02 (two) years beyond 08 years if DRC recommends on justified grounds and approval is granted by the Vice Chancellor.

However, the total period for completion of a Ph.D. programme and submitting the thesis in such cases should not exceed 10 (ten) years from the date of registration to the Ph.D. programme. For this, the application for the same shall be submitted by the candidate at least 01 month before the date of completion of the extended period of 08 years giving the justifications due to which he/she was not able to complete his/her research work and submit the thesis. The candidates' application in this regard should be duly forwarded by the Supervisor to the DRC.

- 4.5 However in case the candidate gets a regular job in any Organization (government/ autonomous body/ local body/ PSU/ private sector) after 02 (two) years from the date of admission in Ph.D. programme, then at this stage the candidate may **temporarily de-register** himself/ herself with due recommendation of DRC and subsequent approval of Vice Chancellor. The minimum residency for de-registration shall be 02 (two) years from the date of admission. In such cases, the candidate has to pay retention fee that should be the same fee prescribed for Ph.D. programme. If, candidate fails to pay the retention fee within stipulated period of time, he/she shall be governed by the applicable University norms (Clause 6 of this Regulation). In this situation, the seat of such Ph.D. scholar shall be retained under the concerned supervisor and he/she shall be considered on roll with the same supervisor. After re-registration, the candidate would be required to complete minimum residency period if not completed earlier.

A candidate may re-register up to (01) one year before the maximum stipulated time of his/ her Ph.D. duration. In this case also, the maximum period will be 06 years as prescribed under clause 4.1 of this regulation and the extension beyond 06 years as stipulated under clause 4.4 of this regulation can only be given if the candidate has re-registered himself/her-self. Re-registration request should be routed through proper channel to DRC.

In case, the candidate wants to join the job even after completing the minimum residency period and not submitted the thesis, he/she has to temporarily de-register himself/herself. He/she has to re-register to submit the thesis. The requirements for the re-registration shall be as follows:

- i. The candidate should get relieving/ leave from his/her employer till the submission of the Thesis.
  - ii. Retention fee that should be the same fee prescribed for Ph.D. programme should be paid regularly till the date of re-registration.
  - iii. The candidate should have RAC & DRC approved satisfactory six monthly progress-report till the date of de-registration.
  - iv. The re-registration fee stipulated by the University from time to time has to be paid by the candidate.
- 4.6 Female Ph.D. scholars may be provided Maternity Leave/Child Care Leave for up to a maximum of 240 days in the entire duration of the Ph.D. programme.
- 4.7 A registered research scholar cannot pursue two full time/ regular (Online/ Offline) academic degree programmes during the duration of his/her Ph.D. programme.
- 4.8 The candidate already in regular job, if selected for admission, can pursue full time/ regular Ph.D. programme only after getting relieving/leave from his/ her employer for the duration of his/her Ph.D. programme.

## 5. Procedure for admission

- 5.1 The University shall advertise Ph.D. admission notification in advance on its website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in Hindi.
- 5.2 University shall notify a prospectus well in advance on the University website specifying the subject/discipline-wise number of seats for admission implementing the reservation rules of the U.P. Government/University, criteria for admission, the procedure for admission, and all other relevant information for the candidates.
- 5.3 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/ norms issued by the UGC from time to time and taking into account the reservation policy of the State Governments/ University subject/ discipline-wise.

Hence in the pursuance of the Public Notice no. F.4-1(UGC-NET Review Committee)/2024(NET)/140648 dated 28<sup>th</sup> March, 2024/8 चैत्र, 1946. mentioning the sub: National Eligibility Test (NET) as an Entrance for admission to Ph.D. wherein Higher Education Institutional (HEIs) have been requested to utilize the NET score for admission to Ph.D. programmes instead of conducting their entrance test from the forthcoming academic session 2024-2025 in order to overcome the multiple entrance tests and to help the students with one national entrance test for admission to Ph.D. as a part of the implementation of National Education Policy (NEP)-2020.

The following categories of NET qualified candidates have been laid down with the provision that the result of the NET would be declared in percentile along with the marks obtained by the candidate.

**Category-1:** Eligible for (i) admission to Ph.D. with JRF and (ii) appointment as Assistant Professor.

**Category-2:** Eligible for (i) admission to Ph.D. without JRF and (ii) appointment as Assistant Professor.

**Category-3:** Eligible for admission to Ph.D. programme only and not for the award of JRF or appointment as Assistant Professor.

Hence, the marks obtained by the candidate shall be utilized as the marks for admission to Ph.D. programme. However, the marks obtained in the NET by the candidate in categories 2 and 3 would be valid for a period of 01 (one) year for admission to Ph.D. as per the provision of the aforesaid public notice of UGC.

A weightage of 70 % marks obtained in NET result and 30 % of the performance in the interview/viva- voce shall be given.

**The criteria for the weightage of 70% of marks obtained in NET result shall be:**

**Entrance Test component (70 marks) = % marks obtained in NET result x 70/100**

Candidate shall be called for interview in a ratio of 1:5 with respect to the notified vacant seats.

**The criteria for the weightage of 30% marks for the performance in the interview shall be as follows-**

**The Interview component (30 marks) will comprise of-**

**A. Weightage for Academics-10 Marks**

- (i) The candidate having a 2-year/4-semester master's degree after a 3-year bachelor's degree:
- 3-year bachelor's degree (% of Marks obtained in UG X 4/100),
  - 2-year/ 4-semester master's degree (% of Marks obtained in PG X 6/100)
- (ii) The candidate having a 1-year/2-semester master's degree after a 4-year/ 8-semester bachelor's degree:
- 4-year/ 8-semester bachelor's degree (% of Marks obtained in UG X 6/100),
  - 1-year/2-semester master's degree (% of Marks obtained in PG X 4/100)
- (iii) The candidate seeking admission after a 4-year/ 8-semester bachelor's degree having a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed:
- 4-year bachelor's degree having a minimum of 75% marks in aggregate (% of Marks obtained in 4-year UG X 10/100)

**B. Weightage for Research Proposal-10 Marks**

Candidates are required to discuss their research interest/area through a presentation of his/her research proposal. The heads under which the research proposal to be made and the marks to be allocated for each head shall be as follows:

- |                      |            |
|----------------------|------------|
| i. Title             | (01 Marks) |
| ii. Objectives       | (02 Marks) |
| iii. Methodology     | (02 Marks) |
| iv. Feasibility      | (01 Marks) |
| v. Expected outcome  | (02 Marks) |
| vi. Societal impact. | (02 Marks) |

Total= 10 Marks

**C. Weightage for Fellowship/ Scholarship in UGC-NET/ UGC-CSIR NET/ GATE/ CEED/ GPAT/ DST/ DBT/ DAE/ ICMR/ ICAR/ ICHR/ ICSSR / - 05 Marks**

**D. Weightage for Personal Interaction-05 Marks**

The basis of final short-listing of candidates for admission will be on the merit of marks obtained in Entrance Test Component (70 marks) and Interview component (30 marks) put together.

- 5.4** In the case, if the seats remain vacant due to non-availability of NET- Qualified candidates in any subject/ or NET examination is not held in the subject, then the admission against such vacancy shall be made through the Research Entrance Test (RET) of 100 Marks conducted by university adhering the criteria laid down for this purpose under clause 5 ( 2)-ii, iii, iv & v of University Grant Commission (Minimum Standards and Procedure for the Award of Ph.D. Degrees) Regulations, 2022 quoted as under:

“5 (2)-

- ii. *“HEIs may admit students through an Entrance Test conducted at the level of the individual HEI. 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. *HEIs may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available”.*

*A weightage of 70 % for the Entrance Test and 30 % for the performance in the interview/viva- voce shall be given as per the following criteria:*

Entrance Test component (70 marks) = Marks obtained in RET x 70/100

The weightage of 30% for the performance in the interview/viva-voce shall be given as per the criteria stipulated for this purpose under clause 5.3-A, B, C & D of this Regulation.

The basis of final short-listing of candidates for admission will be on the merit of marks obtained in Entrance Test Component (70 marks) and Interview component (30 marks) put together.

- 5.5 UGC regulations/ guidelines/ norms pertaining to the admission in Ph.D. programmes issued from time to time shall be automatically implemented.
- 5.6 The University shall maintain the list of all the Ph.D. registered students on its website. The list shall include the name of the registered candidate, the topic/ area of his/her research, the name of his/her supervisor/co-supervisor(s), the date of enrollment/registration.
- 5.7 The number of vacancies for the Ph.D. scholars to be admitted shall be recommended by DRC of respective departments in accordance with clause number 7.2 of this Regulation and the availability of fellowship grants from UGC/ University.
- 5.8 **Reservation in the Admission to Ph.D. programme:** Department shall be the Unit for the purpose of reservation in Ph.D. admission. Total no. seats in a Department will be calculated in accordance with clause no. 7.2 of this regulation and the reservation policy of the U.P. Government/University shall be implemented on the total no. of seats to determine the distribution of seats according to the vertical and horizontal reservation.

## 6. Registration and Fee-Submission:

- 6.1 Students admitted shall get registered after paying the prescribed fees for the semester in which he/ she is admitted. The fee structure for Ph.D. admission will be as per the University norms and revision may be carried out by the University in the fee structure from time to time as and when required.
- 6.2 Fellowship for Ph.D. shall be given as per applicable UGC norms. The research scholars who fail to complete their research work within stipulated period of time and availed the scholarship from UGC/ ICSSR/ CSIR/ ICAR/ DST/ MoE/ University/ or

any other funding agency of the central government/ state government/ UT, will have to follow the norms of the concerned funding agency for the scholarship.

- 6.3 Late fee of Rs.500/ shall be charged for the first 10 days after the due date of registration/fee submission notified by the University. Beyond 10 days to 30 days- Rs. 1,000/ (30 USD for foreign candidates) will be charged as late fee and fee can be submitted on the recommendation of supervisor (if allotted) and HoD. After expiry of one month, the registration of the candidate will be cancelled automatically.
- 6.4 Fee, once paid to the University, shall not be refunded except the caution money.
- 6.5 Fee payable for Ph.D. programme shall be decided by the University from time to time.

## 7. Allocation of Research Supervisor:

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

- 7.1. Permanent faculty members working as Professor/Associate Professor of the University with a Ph.D., and at least five (05) research publications in UGC- CARE/ Scopus/ Web of Science/ SCI/ SSCI indexed journals and permanent faculty members working as Assistant Professor in the University with a Ph.D. and at least three (03) research publications in UGC-CARE/ Scopus/ Web of Science/ SCI/ SSCI/ indexed journals may be recognized as a Research Supervisor in Dr. Shakuntala Misra National Rehabilitation University Lucknow. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only be co-supervisors. In addition to this, any provision given by UGC for supervision of research scholar shall also be applicable. The Vice Chancellor of the University may also supervise Ph.D. scholar following the provision of this Regulation. The details of the faculty members to be recognized as supervisor shall be submitted before the DRC in the prescribed Format-**Appendix-A**.
- 7.2 An eligible Professor/ Associate Professor/ Assistant Professor can guide up to eight (08)/ six (06) / four (04) Ph.D. scholars respectively at any given time. However, each supervisor can guide up to two (02) international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars.
- 7.3 A supervisor shall not be allowed to supervise a candidate who is his/her relative whether by blood, adoption or by marriage. In this Regulation “relative” means the relations provided in Section 20 of U.P. state University Act 1973 which is quoted as under:  
*“Explanation - In this section ‘relative’ means the relations defined in Section 6 of the Company Act 1956 and includes the wife’s (or husband’s) brother, wife’s (or husband’s ) father, wife’s (or husband’s) sister, brother’s son and brother’s daughter”.*
- 7.4 If the supervisor of a candidate proceeds on long leave for a period of more than 12 months, or he/she proceeds on leave for a period of less than 12 months but later extends it beyond 12 months, then prior to proceeding on leave beyond six months the supervisor must recommend/ propose the name of authorized signatory/ Co- supervisor to the DRC with the consent of research scholar. If a supervisor is on leave for more than 02 years then he cannot continue as supervisor.

- 7.5 If the supervisor of the candidate passes away or is terminated from the University service or shifted to other institution, he/she shall cease to be the supervisor.
- 7.6 In all the cases where the existing supervisor of a candidate ceases to be the supervisor and if there is no co-supervisor for the concerned candidate/ or if the co-supervisor is from a different discipline, then the DRC shall appoint a new supervisor from amongst the faculty members with the consent of scholar. This seat may be allotted beyond the maximum no. of seats permissible.

In the case where only one faculty member as a supervisor is available in any Department and if he/she ceases to be the supervisor due to any reason, then the subject-expert member of RAC of the candidate/or faculty member of the allied subject/discipline may be permitted to act as supervisor provided that he/she should be a permanent faculty member of this University, on the recommendation of DRC and approval of the Vice Chancellor.

- 7.7 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars for Ph.D. under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered under their supervision until superannuation and as a co supervisor after superannuation, but not after attaining the age of 70 years.
- 7.8 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 this Regulation 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.
- 7.9 Adjunct Faculty shall not act as a research supervisor and can only act as a co-supervisor.

#### **7.10 Co-Supervisor/Joint Supervisor/Administrative Supervisor**

- 7.10.1 In case of interdisciplinary/multidisciplinary research work, if required, a co-supervisor from within or outside the Department/ Faculty/ Centre/ University may be appointed.
- 7.10.2 Co-supervisors from within the same department or other departments of the same institution or other institutions may be permitted by the DRC on the duly justified recommendation of the supervisor & RAC of the student within one & half year (03 semester) from the date of registration in the Ph.D. programme. The seat of supervisor will be treated as 01 (one) seat and co-supervisor will be treated as ½ (half) seat while counting of the seats under his/ her supervision. There shall also be a provision to appoint Co-Supervisor from those foreign Universities and institutions which have signed MoUs with Dr. Shakuntala Misra National Rehabilitation University, Lucknow and have research collaboration with the University before the approval of the topic in the DRC.
- 7.10.3 In Ph.D. programme, there should not be more than two co-supervisors. When there is more than one co-supervisor, it should be counted ½ seat for each of the co-supervisors.
- 7.10.4 The eligibility of Co-Supervisor would be same as that of Supervisor. The Co-

Supervisor shall submit NOC issued by the Head of Institute/ Centre/ Department for co-supervising the thesis.

- 7.10.5 In case of joint Ph.D. registration where Ph.D. degree shall be provided jointly from two institutions under MoU, the first supervisor shall be from the institution where the candidate has taken the admission. Supervisor from other institution will be termed as “Joint Supervisor”.
- 7.10.6 In case the candidate has successfully defended pre-Ph.D. seminar of his/her thesis as per the Regulation of the University and thereafter the supervisor proceeds on long leave or is absent from the University, the DRC of the department may appoint the Head of the Department as “Administrative Supervisor” for completing the rest of the formalities. However, the existing supervisor shall continue to be considered as supervisor. The name of the Administrative Supervisor will not be displayed in the thesis as supervisor and the number will not be counted in the supervision. In this case, wherever in the thesis/or regarding the thesis, the certificate/format will be required to be signed by the supervisor, the Administrative Supervisor shall sign as the Head of Department for completing the formalities.
- 7.11 Change of Supervisor shall normally be not allowed. If special circumstances arise due to inevitable reasons, then DRC may consider the case and recommend the change of Supervisor which shall be sent to the Academic Council for approval.
- 7.12 If a scholar has submitted his/her Ph.D. thesis, it will be presumed that a vacancy has been created and the concerned faculty member may be allowed to take another Ph.D. scholar for supervision in lieu of such vacancy.
- 7.13 In case the vacant seats in the department are being summed up and resulting in a fractional number while declaration of vacant seats, in all such cases lower round-off number shall be considered.

#### 7.14 Process of allotment of Research Supervisor

- 7.14.1 The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/ faculty/ center), 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 University and update this list every academic year.
- 7.14.2 When selected research scholar shall submit his/her admission-fee/ registration-fee, then he/she shall be provided an opportunity to put his/her choice for supervisor and vice-versa for which a Research Supervisor Allotment Form -**Appendix-B** shall be provided to the candidate and he/she shall submit it to the department within stipulated time. Thereafter, considering the preference of choice and number of vacancy available under the supervisor, DRC shall appoint the supervisor.

### 8. Course Work-

- **Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**

- 8.1 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 course on Research Methodology,

except for the candidates with 4-year/8-semester Bachelor's degree programme. If, the candidates with a 4-year/8-semester Bachelor's degree programme having a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed, are admitted to Ph.D. programme then, they should complete additional courses of 12 credits as per the recommendation of RAC and approval of DRC.

- 8.2 The Research Advisory Committee can also recommend UGC-recognized online courses as part of the credit requirements for the Ph.D. programme and it may be approved by the DRC.
- 8.3 The minimum credit assigned to the Ph.D. course work shall be 12 credits except for the candidates with 4-year/8-semester Bachelor's degree programme, as mentioned in given table.

S. No.	Course code	Paper Title	Credit
1	DPH 101	Research Methodology	04
2	DPH 102	Elective-1 (Subject)	03
3	DPH 103	Elective-2 (Subject)	03
4	DPH 104	Research Publication and Ethics	02
Total credits			12

- 8.4 The candidate admitted with a 4-year/8-semester Bachelor's degree programme having a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed, 12 additional credits i.e. total = 24 credits should be completed in initial two semesters.

Selection of elective course of 12 additional credits may be 4 courses of 3 credit each / or 3 courses of 4 credit each and shall be specified by the concerned DRC. During course work, the elective courses may be opted through MOOCS recognized by UGC. Literature review will not be counted as an elective course. Duration for completion of course work for 12 – credits/and 24 – credits shall be one/and two semester respectively.

**In course work for Ph.D.:**

- (i) Required attendance is 75% and  
(ii) The pass percentage is 55% marks or its equivalent grade.

In the Ph.D. course work, the Results and Grade sheets will only carry- **Pass/ Fail** Results with CGPA and Percentage.

- (iii) Grading for Ph.D. programme will be the same as University follows for other programmes.

- 8.5 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 to 6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluations as assigned by the department.

- 8.6 A Ph.D. Scholar must obtain a minimum 55% marks or its equivalent grade in the UGC

10-point scale in the course work to be eligible to continue the programme and submit his or her thesis.

#### **9. Mode of Evaluation of Course Work**

- 9.1** Every course will be evaluated on the basis of 30% Internal Assessment and 70 % End-semester examination. However, for UGC-recognized online/ MOOCs, their evaluation scheme shall be followed.
- 9.2** The composition of Internal Assessment (such as term paper, book review, presentation, written examination) may be decided in detail by the department. However, there shall be written test in the End Semester Examination based on the syllabus in each course/subject/discipline.
- 9.3** If the admitted candidate fails in the course-work semester examination once, he/she can be given another chance to re-appear in the next semester course-work examination after submission of prescribed fee. In this case the scholar may be allowed to carry out his/her research work till the declaration of the result. If candidate fails in the second attempt, his/her registration shall be cancelled.
- 9.4** The course work shall be treated as pre-requisite to proceed for carrying out research for the award of the Ph.D. Degree.

**10. Research committees including Research Advisory Committee and its Functions.** –Subject to the general provision of the Academic Council, all matters connected with the Ph.D. programme of the University shall be dealt in accordance with this Regulation by following committees-

- I.** Research Advisory Committee (RAC)
- II.** Department Research Committee (DRC)
- III.** Research Degree Committee of the University (RDCU)

#### **10.1 Research Advisory Committee (RAC)**

**10.1.1** There shall be a Research Advisory Committee for each Ph.D. scholar to be constituted immediately after the admission. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and there will be two members working in a similar/ allied/ connected field, one from the DRC of the Department and another shall be recommended by the Supervisor. Co-Supervisor may also be added to RAC as per requirement. Hence, RAC shall consist of the following:

- I.** Supervisor of the concerned Ph.D. scholar- Convener
- II.** Co-Supervisor (if any) of the concerned Ph.D. scholar- Member
- III.** One DRC-Member as representative recommended by DRC- Member
- IV.** One subject Expert recommended by Supervisor- Member

The name of the subject expert in RAC shall be approved by the Vice Chancellor.

#### **Function of RAC:**

- 10.1.1.1** To review the research proposal and finalize the topic of research.
- 10.1.1.2** To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course (s) that he/ she may have to do.

10.1.1.3 To periodically review and assist in the progress of the research work of the Ph.D. scholar.

10.1.2 In each semester, the Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work as per the format of **Appendix-C** for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph. D. scholar's progress report to the DRC. A copy of such recommendations shall also be provided to the Ph. D. scholar.

10.1.3 In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the grounds for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific grounds, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

## 10.2 Department Research Committee (DRC)

The DRC shall consist of the following:

- I. The Head of Department- Chairperson
- II. All Professors in the Department
- III. One Associate Professor and one Assistant Professor of the department concerned, by rotation according to the seniority for a period of two years provided such teachers have Ph.D. degree.
- IV. Supervisor and Co-supervisor, if any, shall attend as special invitee(s) for disposal of cases of his/her Ph.D. scholar.
- V. One SC/ST/OBC/Divyang (differently-abled) nominee with Ph.D. degree shall be nominated by the Vice Chancellor from amongst the teachers of the University for a period of two years if there is no SC/ST/OBC/Divyang member in the committee.  
Generally, DRC shall meet at least twice a year, but special meetings may be held in case of necessity.

### Functions of DRC:

10.2.1 To review and finalize the topic of research recommended by RAC.

10.2.2 To periodically review and advise on the progress of the research work of the research scholar.

10.2.3 A research scholar shall appear before DRC once in six months (preferably towards the end of the semester) to make a presentation of the progress of his/ her work for evaluation and further guidance. The six- monthly progress reports shall be submitted to the Department through proper channels.

10.2.4 In case the progress of the research scholar is observed as unsatisfactory by the DRC, the DRC shall record the ground for the same and suggest the corrective measures.

10.2.5 If the research scholar fails to implement those corrective measures, the DRC may recommend cancellation of the registration of the research scholar to the research degree committee with specific reasons.

10.2.6 A record of the progress of work of Ph.D. scholars shall be kept by his/ her supervisor. The six monthly (Semester) progress report of the candidate shall be forwarded by the

supervisor/ co-supervisor (if any), as the case may be, to the Head of the Department on the prescribed format in triplicate. The concerned DRC shall consider and comment on the progress of reports and forward the same with specific recommendations to the Dean. The subsequent six-monthly reports shall be sent in a similar manner. The first or second six monthly reports shall indicate the specific topic of research, although not necessarily the precise title of the thesis, which can be notified in subsequent DRC.

- 10.2.7 Minor modification/change in the title of the research topic** shall be permitted only once before the submission of the thesis on the recommendation of supervisor & RAC.
- 10.2.8** Normally, there should be minimum 75 % attendance of the research scholar (Ph.D. students), based on the Attendance-Register records verified by the Supervisor. In case of field or library-based studies the requirement of attendance can be relaxed by the Head of Department on recommendation of the concerned supervisor and RAC.
- 10.2.9** In case the research scholar is working in other Institution/ University/ Centre, with his/her co-supervisor, the co-supervisor may maintain his/her attendance in that institution and inform the supervisor about it. However, such research scholars will be required to be present in the degree-awarding University i.e. Dr. Shakuntala Misra National Rehabilitation University during the period of their course work.
- 10.2.10 Registration of Ph.D. scholar shall be liable to be cancelled by the DRC at any time if:** (a) the course work is not completed in stipulated time. (b) two consecutive six-monthly (semester) progress reports are not submitted or not found satisfactory by DRC. (c) Attendance is not as per the requirements. (d) Admission may be cancelled at any time if the University finds any wrong information given by the candidate (e) if any disciplinary action is taken by competent authority.
- 10.2.11** DRC shall appointment the Supervisor/ Co-Supervisor (if any) following the due procedure stipulated under clause 7.0 of this Regulation.
- 10.2.12** The Minutes of the meeting of DRC should be approved by the Vice Chancellor routed through the Dean of Faculty and Registrar. The approved minutes shall be reported to Academic Council through Faculty-Board. Vice Chancellor may also refer the minutes to the Academic Council for its approval.
- 10.2.13** The DRC shall report to the Academic Council through Faculty Board, all its proceedings pertaining to the Ph.D. programme in the Department.

**10.3 The Research Degree Committee of the University (RDCU) shall consists of the following:**

- |   |                                 |
|---|---------------------------------|
| <b>I.</b> Vice Chancellor-                              | Chairperson or his/ her nominee |
| <b>II.</b> Registrar –                                  | Member                          |
| <b>III.</b> Dean of the concerned Faculty-              | Member                          |
| <b>IV.</b> Head of the concerned Department-            | Member                          |
| <b>V.</b> Concerned Supervisor/ Co-Supervisor (if any)- | Member                          |
| <b>VI.</b> Controller of Examination -                  | Member Secretary                |

**Function of RDCU:**

- 10.3.1** RDCU shall be the apex body pertaining to the Research Degree of the University.
- 10.3.2** To monitor and ensure the uniformity of policies pertaining to Research Degree throughout the University.

- 10.3.3 Any dispute/ambiguity if arises in DRC shall be referred to RDCU for final decision.
- 10.3.4 To approve cancellation of the registration of the candidate on the recommendation of DRC.
- 10.3.5 To accept the submitted thesis on the basis of the report of the examiners as well as viva-voce board for the award of Ph.D. degree as per Statutes/ Regulations of the University.
- 10.3.6 The degree of Ph.D. will be conferred in the Convocation of the University after approval of the RDCU. Provisional Degree can be issued if required before the Convocation.
- 10.3.7 To reject the submitted thesis on the basis of evaluation report of the examiners.

**11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.-**

- 11.1 Upon satisfactory completion of course work and obtaining the marks/grade prescribed in this Regulation, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis.
- 11.2 Before submitting the thesis the Ph.D. research scholar shall make a presentation before the concerned Research Advisory Committee (RAC) which may also be open to all faculty members and other research scholars/ students.
- 11.3 Ph.D. scholar must publish at least two (02) research papers in UGC- CARE/Scopus/Web of Science/SCI/ SSCI indexed journals and shall make at least one (01) presentation in the National/International conferences/seminars/symposia before the submission of the thesis for evaluation and produce evidence for the same in the form of presentation certificates and/or reprints. A Patent granted shall be considered equivalent to a publication.
- 11.4 The Research Scholar must produce adequate volume of research work which embodies the thesis and should significantly contribute to the creation of new knowledge/enhancement of existing knowledge.
- 11.5 **Pre – Ph.D. Submission Seminar:** On completion of the research work for the Ph.D. by the candidate, the Head of Department, on the candidate's request duly forwarded by supervisor and on the recommendation of RAC, shall permit a pre-Ph.D. submission seminar of the candidate to apprise the DRC and other teachers and research scholars of the department regarding the research work done by the candidate and to receive the suggestions. The suggestions (s) received, if any, may be incorporated in the thesis if supervisor considers it necessary.
- 11.6 After the seminar, the supervisor shall forward the application of the candidate for submission of the thesis along with the pre- Ph.D. submission seminar (PPS) report in the prescribed format of **Appendix – D** and a copy of (02) research papers in UGC- CARE/Scopus/Web of Science/SCI/ SSCI indexed journals and certificate of presentation of at least one (01) research paper/article in National/International conferences/seminars/symposia (excluding review papers and book chapters).
- 11.7 Candidate should submit his/her thesis for evaluation to the Controller of Examination (CoE) Office of the University within 06 (six) months from the date of pre-Ph.D. submission seminar/ or within the expiry of the maximum period whichever is earlier.
- 11.8 The research scholar shall go for similarity checks in research work through on- line platform authorized by UGC from time to time. The research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree. In case of any violation, it should be dealt under the provisions of UGC Regulation on Academic Integrity and Prevention of Plagiarism (PROMOTION OF ACADEMIC INTEGRITY AND

PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018) and subsequent guidelines issued from time to time,

- 11.9 The thesis submitted by the candidate shall be in English or any other language approved by the concerned DRC. The cover page and other Annexure to be included in the thesis should be as per **Appendix – E** and **Annexure – 01 to 07** respectively. The candidate should enclose the copies of 02 research papers published in UGC- CARE/ Scopus/ Web of Science/ SCI/ SSCI indexed Journals and certificate of 01 conference/seminar/symposium presentation along with plagiarism report at the end of the thesis.
- 11.10 No Ph.D. scholar shall submit any work that has been accepted or rejected for any other degree in this or any other University as his/her thesis provided that in such a case, he/ she shall indicate in his/her application that in the Preface of his/her thesis, the extent to which such a work, previously done, had been incorporated.
- 11.11 A Ph.D. scholar shall submit the thesis in prescribed format in 05 (five) copies (hard copies & soft copies) along with the Abstract of the research work in not more than 3000 words and all relevant documents maintained through his/her personal file as per **Appendix –F** for evaluation after getting No-dues from concerned section/ department along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution. A thesis submission certificate shall be issued to the candidate as per the format of **Appendix – G**.
- 11.12 The concerned research supervisor shall submit a panel of eight (08) external experts from the area concerned with the research for evaluation of the thesis to the DRC for its approval. Subsequently, the list approved by DRC shall be submitted to the Controller of Examination (CoE) office in sealed envelope. The CoE shall present the panel of Examiners to the Vice Chancellor for appointment of 02 (two) external examiner(s). Out of the two external examiners nominated by the Vice Chancellor for evaluation of Ph. D. thesis, one will be invited to conduct Viva-Voce Examination of the scholar. Vice Chancellor may also nominate name of examiners from India as well as abroad, other than the list of examiners approved by DRC.
- 11.13 Following are the criteria for recommending the external examiner(s) for the submission of the panel of examiners to evaluate the thesis.
- (a) The examiner should not be below the rank/ grade of Professor or equivalent. The senior scientists from research organizations having pay scale of Professor may be permitted to be an examiner. The examiner should be preferably from Central/ State Universities/ IITs/ NITs/ IISC/ CSIR/ ICAR/IISER/ Institution of National Importance/ Institute of Eminence.
  - (b) Examiner who has been appointed for thesis evaluation will not be repeated for one year.
  - (c) More than one examiner should not be from the same University/ Institution/ Organization etc.
  - (d) The panel of recommended external examiners should contain the correct designation, name of affiliating institution with complete postal and email address with telephone/ mobile numbers for the speedy evaluation of the thesis.
  - (e) The CoE shall get in touch with each examiner and send the offer letter of examiner-ship along with a copy of the abstract of the thesis for acceptance.
- 11.14 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her research

supervisor and two external examiners nominated by the Vice-Chancellor who are experts in the field and not in employment of this University. Such examiner(s) should be academicians having a good record of scholarly publications in the field. Wherever possible, one of the external examiners may be chosen from an organization located outside India.

**11.15** The examiner shall ordinarily be required to accept the appointment offered by the University within two weeks (15 days) from the issue of the letter. A reminder may be sent through email by the CoE after two weeks (15 days) from the issue of the offer letter of examiner-ship. In case no response is received up to the next 15 days from the issue of the reminder letter i.e. in case of non-receipt of any information from an examiner within one month time from the date of issue of the letter of appointment, his/her appointment shall stand cancelled and another examiner shall be appointed.

**11.16** After evaluation of the thesis, the examiner (s) may recommend any one of the following:

- (a) The thesis be accepted for the award of the Ph.D. degree
- (b) The thesis be accepted for the award of the Ph.D. degree after the clarifications on the list of points attached herewith. After the submission of the clarifications, the thesis need not be referred back to me.
- (c) The thesis be accepted for the award of the Ph.D. degree after incorporation of the changes suggested attached herewith. After incorporation of the changes suggested, the thesis need not be referred back to me.
- (d) The thesis be re-submitted in a revised form after incorporation of the clarifications/suggestions attached herewith. After modification, the thesis be referred back to me for final assessment.
- (e) The thesis be rejected.

**11.17** If the examiner is accepting the thesis for the award of the Ph.D. degree after incorporation of changes suggested by him/ her but does not ask for sending it back for re-examination, in this case, report(s) of the examiner(s) concerned without mentioning the name(s) shall be sent to the Ph.D. scholar through the supervisor concerned to enable the former to submit clarification through the supervisor on the points raised. The changes incorporated as per suggestion of the examiner should be verified by the RAC & DRC and the same should be communicated to the CoE.

**11.18** In case one or more examiners seek clarification or recommend revision and ask for sending it back for re-examination, in this case, the report(s) of the examiner(s) concerned without mentioning the name(s) shall be sent to the Ph.D. scholar through the supervisor concerned to enable the former to submit clarification through the supervisor on the points raised or to submit the thesis in a revised form, as the case may be. The clarification shall be sent to concerned examiner(s) for perusal and if examiner(s) is satisfied, he/she will make specific recommendation for the award of the Ph.D. degree and the Controller of Examination will take suitable action(s) to get the report of the examiner(s) expeditiously. A thesis once submitted, cannot be re-submitted except when so directed by the examiners. The revised thesis must be submitted within six months after the requirement of revision is communicated.

**11.19** If a report is not received from an examiner within the stipulated period of three months, the Controller of Examination shall send reminder, and if required, two more reminders, with a time gap of 15 days. If an examiner does not send a report, despite two reminders, the Controller of Examinations, after seeking the approval of Vice Chancellor shall send the thesis to another examiner.

- 11.20** In case of unsatisfactory report of two external examiners, the thesis shall be rejected. However, candidates may be permitted by DRC only once to re-register with the same or similar topic again. In such cases; the minimum period for submission of the thesis shall be three (03) semesters and the maximum period shall be six (06) semester counted from the date of re-registration in the Ph.D. programme provided that the total period i.e. maximum six semester from the date of re-registration and the period spent by the candidate before the previous date of submission of thesis counted from the date of admission in Ph.D. programme clubbed together should not exceed to the prescribed limit for the total period (08 years/10 years as the case may be) under clause 4.4 of this regulation.
- 11.21** The Viva-Voce of the Ph.D. scholar to defend the thesis shall be conducted only if both the external examiners recommend acceptance of the thesis for award of the Ph.D. degree, after incorporating suggestions/corrections, if any, suggested by them. The date and time of the viva-voce examination shall be fixed by the Supervisor in consultation with the external examiner, chairman and other members, if any.
- 11.22** The viva-voce board shall consist of Research Supervisor and one of the two external examiners nominated by the Vice-Chancellor who have evaluated the thesis. The Viva-Voce may also be conducted online. The Viva-Voce shall be open to the members of the Research Advisory Committee /DRC /faculty members/research scholars, students and shall be conducted under the presence of the Head of Department.
- 11.23** The external Examiner shall submit a comprehensive report on the Viva-voce examination of the candidate regarding his/ her performance, including the response of scholar on questions raised. The Board, conducting the open Viva-Voce shall make the final recommendation for the award of the Ph.D. degree taking into consideration the candidate's performance at the Viva- voce and the reports of the examiners.
- 11.24** If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the report of the alternate examiner is unsatisfactory i.e. he/she does not recommend acceptance of the thesis for award of the degree, the thesis shall be rejected. however, in this case also, the candidate may be permitted by DRC only once to avail an opportunity for re-registration as stipulated under clause 11.20 of this regulation in case of rejection of the thesis.
- 11.25** The University shall preferably complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (06) months from the date of submission of the thesis.
- 11.26** The candidate shall, in case of publication of the thesis in any form, in full or in part, state on the title page that it was a thesis approved for the award of the Ph.D. degree by Dr. Shakuntala Misra National Rehabilitation University, Lucknow.

## **12. Admission of International students in Ph.D. Programme**

- 12.1** The admission for foreign/NRI/PIO candidates shall be taken up as per University regulations prescribed for the Foreign/NRI/PIO candidates.
- 12.2** Each supervisor can supervise up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 7.2 above.

- 12.3 The University may decide its 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.

### 13. Ph.D. through Part-time Mode

- 13.1 Ph.D. programme through part-time mode will be permitted, provided all the conditions applicable in this Regulation are fulfilled.
- 13.2 Minimum duration of the Ph.D. programme for part-time mode shall be 04 Years from the date of admission in the Ph.D. programme, provided other conditions as specified for regular mode of Ph.D. shall be applicable.
- 13.3 Ph.D. through Part-time Mode will be allowed only to those candidates who are already in the employment of Government/Semi-government/Autonomous organizations/ Government-aided Colleges or Educational Institutions/ Research and Development Projects funded by Government or Reputed Non-Government Agencies/ Reputed Industries/ Business organizations (registered under the Companies Act & listed in the Stock Exchange), on the recommendation of DRC and subsequent approval of Vice chancellor with relevant work experience stipulated under clause 13.6 of this Regulation.
- 13.4 The Minimum qualification for the candidates to be admitted in part-time mode shall be same as that for full-time candidates stipulated under clause 3 of this Regulation.

#### 13.5 Procedure of Admission in Part-Time Mode

For the selection of candidates based on the National Level Test as defined in clause 5.3 & 5.4 of this Regulation, a weightage of 70% of the Entrance test and 30% of the performance in the interview/ interaction shall be given.

- **The criteria for Entrance test component (70 marks) should be as prescribed under clause 5.3 and 5.4 of this regulation.:**
- The candidate shall be called for the interview in a ratio of 1:5 with respect to the notified vacant seats.

**The criteria for 30% marks for the performance in the interview/ Interaction shall be as follows:**

**The Interview component (30 marks) will comprise of-**

#### A. Weightage for Academics- 10 Marks

- (i) The candidate having a 2-year/4-semester master's degree after a 3-year bachelor's degree:
- 3-year bachelor's degree (% of Marks obtained in UG X 4/100),
  - 2-year/ 4-semester master's degree (% of Marks obtained in PG X 6/100)
- (ii) The candidate having a 1-year/2-semester master's degree after a 4-year/ 8-semester bachelor's degree:
- 4-year/ 8-semester bachelor's degree (% of Marks obtained in UG X 6/100),
  - 1-year/2-semester master's degree (% of Marks obtained in PG X 4/100)
- (iii) The candidate seeking admission after a 4-year/ 8-semester bachelor's degree having a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed:

- 4-year bachelor's degree having a minimum of 75% marks in aggregate (% of Marks obtained in 4-year UG X 10/100)

**B. Interview/Interaction-10 Marks**

**C. Marks of relevant work experience in relevant industry or organization/ Patents/ Consultancy/ Sponsored Research Projects as P.I./ Co-P.I./C.I. (Max.-10 Marks)**

The maximum cumulative marks in this section shall be 10 and categorized as follows:

**Category-1:** Marks of relevant experience in relevant industry or organization: **Marks-04**

For the candidates having Master's degree:

Experience > 5 Years and ≤ 6 Years	02 Marks
Experience > 6 Years and ≤ 7 Years	03 Marks
Experience > 7 Years	04 Marks

For the candidates having Undergraduate degree:

Experience > 6 Years and ≤ 7 Years	02 Marks
Experience > 7 Years and ≤ 8 Years	03 Marks
Experience > 8 Years	04 Marks

(The minimum work experience required for such candidate is 06 years)

**Category-2:** Marks for Patents (Granted Only): **Marks-03**

Marks for patent credentials when applicant is listed in first three Patentees:

01 Patent-	01 Marks
02 Patents-	02 Marks
03 Patents and more-	03 Marks

**Category-3:** Marks for Consultancy/ Sponsored Research Projects as P.I./ Co-P.I./ C.I (Marks: 03)

Consultancy/ Project up to Rs. 10, 000, 00/ -	01 Marks
Consultancy/ Project up to 20, 000, 00/ -	02 Marks
Consultancy/Project up to 30, 000, 00/and above-	03 Marks

- The minimum eligibility criteria will be the same as stipulated under clause 3 of this regulation.
- The norms/ guidelines pertaining to the part-time programme issued by UGC from time to time shall be implemented automatically.
- **The basis of final short-listing of candidates for admission will be on the merit of marks obtained in Entrance Test Component (70 marks) and Interview component (30 marks) put together.**

13.6 The minimum full-time experience required after obtaining the qualifying degree and as on the date of registration is given below in Table:

<b>Qualifications</b>	<b>Work Experience<sup>#</sup> (Post Qualification)</b>
Master's Degree	05 Years
Undergraduate Degree	06 Years

**#supporting document of work experience along with ITR/ Form-16 of respective years shall be submitted by the candidate along with the application.**

13.6.1 Part-Time candidate shall also present their progress report before Research Advisory Committee in each semester.

13.6.2 Part-time candidates seeking admission to a Part -time Ph.D. programme are required to submit a “No Objection Certificate” (NOC) and “Relieving Certificate” from the appropriate authority in the organization clearly stating the following:

- i. That he/she will be relieved and granted leave for a minimum period of 01 year or till completion of course work, whichever is earlier.
- ii. That his/ her official duties permit him/ her to attend required classes/ interaction.
- iii. That his /her official duties permit him/ her to devote sufficient time to research.

13.6.3 Lack of confirmation and clarity on one or more of the above points in the NOC may prevent the applicant’s application form being processed, even if he/she qualifies for the interview/screening.

13.6.4 Fee of Part-Time Ph.D. shall be as decided by the University from time to time.

13.7 The ratio of part-time seats may not be more than the 20% of the vacant seats subject to the maximum of 10% of sanctioned seats at any point of time for each Department.

This shall not be applicable to the full-time mode candidate switching over to part-time mode.

13.8 The full time research scholars who have completed at least 02 (two) years in the University; then in special cases like his/her selection on a permanent post etc., may be permitted to continue as Part-Time research scholar through the process of re-registration under the supervision of the same research supervisor on the recommendation of RAC and DRC to be approved by the Vice Chancellor. When permitted, such candidate will have to pay the prescribed fee for re-registration and the fee for Part-Time mode stipulated by the University from time to time and all other rules would be applicable to him /her as applicable to Part-Time category. The candidate has to complete the minimum duration of 04 years as stipulated under clause 13.2 of this regulation including the previous 02 years of residency. After four years, the candidate if fulfills the requirements may be allowed adopting due procedure stipulated in this Regulation to submit his/her Ph.D. thesis for evaluation. The seat of the candidate under the supervisor shall be treated as filled till the submission of the thesis by the candidate/or cancellation of his/her registration.

**The requirements for re-registration shall be as follows:**

- (i) The registration of the candidate as full-time research scholar is not discontinued.
- (ii) The candidate should have RAC & DRC approved satisfactory six monthly progress-reports till the date of re-registration.
- (iii) The re-registration fee stipulated by the University from time to time has to be paid by the candidate along with the prescribed fee for Part-Time mode.

#### **14. Joint Degree Ph.D. Programme (JDP)**

14.1 “Joint Degree Ph.D. programme” (JDP) shall be offered jointly by the collaborating Institutions and upon completion of the programme the Degree shall be awarded jointly with a single Certificate by the institution where the scholar has taken admission first (home institution).

14.2 A research scholar will have one of the institutes assigned as home institute for the administrative purpose.

14.3 Candidates admitted in Ph.D. programme shall also be given an option to join JDP. The list of available institutions for JDP programme shall be advertised in the admission prospectus.

14.4 The supervisors of both the institutions joining JDP shall mutually finalize the area of research work and it should be notified along with vacancy under this programme.

- 14.5 A research scholar will be able to work in any pair of departments between collaborating institutions and such scholar must spend at least 12 months at each of collaborating institution at any time while pursuing JDP. The minimum duration of stay for the scholar combining both the institutions shall be at least 03 years including the course work. The scholar can pursue the course work at any one of the collaborating institution. If a scholar completes course work at collaborating institutions, its credit must be transferred to scholar's credit bank at home institution.
- 14.6 Travel expenses shall be governed by the rules and policies set by collaborating institutions.
- 14.7 Scholar enrolled in JDP shall receive fellowship / assistantship as per norms of home institution framed for JDP.
- 14.8 A scholar enrolled in JDP shall be governed by leave rules of home institution.
- 14.9 A candidate to be awarded the Joint Ph.D. Degree has to submit a thesis at home institution, embodying the findings of his/her research carried out under this programme. The thesis should make an original contribution of high quality to the advancement of knowledge as judged by the experts in the relevant area.
- 14.10 A candidate becomes eligible for the award of the Joint Ph.D. Degree after fulfilling the academic requirements prescribed in this regulation.
- 14.11 The award shall be made upon the recommendation of the governing bodies of home institute.
- 14.12 The Joint Ph.D. degree shall be awarded in the title of the thesis of Joint Ph.D. programme.
- 14.13 All other provisions related to offering of JDP shall be decided mutually by the collaborating institutions conforming to the respective guidelines, rules, regulations and laws of their respective institution and country.

## **15. Sponsored Full-Time Research Scholar**

- 15.1 Sponsored Full-Time Research Scholars are those who receive financial support from employer belonging to Government/ Semi-government/ Autonomous organizations/ Government-aided colleges/ Research and Development Projects/ Reputed Industries/ Business organizations (registered under Companies Act & listed in Stock Exchange) approved by the DRC, with relevant work experience as mentioned in clause 13.6 of this regulation.
- 15.2 Such sponsored full-time research scholars must be sponsored by his/ her employer and must have been in employment with the sponsoring organization for at least five years at the time of admission. Candidates in service are to be relieved on leave from the organization for full-time research work at the Institute and must furnish a sponsorship along with No-Objection Certificate from the employer.
- 15.3 Such candidates will have to fulfill the minimum residency requirement of 03 years. Other rules shall be same as stipulated for regular mode of Ph.D. programme of this University.

## **16. Issuing Provisional certificate-**

Prior to the actual award of the degree, just after the notification of the result of Ph.D., the Registrar may issue a provisional certificate to the effect that the degree has been awarded in accordance with the provisions laid down in applicable UGC Regulations for Award of the Ph. D. Degree.

**17. Depository with INFLIBNET**

Following the successful completion of the evaluation process and notification of the result, the research scholar concerned shall submit an electronic copy of the Ph.D. thesis to the library for uploading on INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

- 18.** Any doubt/ dispute/ circumstance/ case if arises at later stage which cannot be covered/interpreted under the ambit of this Regulation, then the decision of the Vice-Chancellor, in his capacity as the Chairman, Academic Council shall be final.

### Form for Recognition of Research Supervisor for Ph.D. Scholar

(To be submitted before DRC)

Name of the Teacher:.....Date/year of award of Ph.D.....

Designation: .....Date of Joining : .....Date of Superannuation.....

List of best (05) Five Research Papers for Professor/Associate Professor and best 03 Research papers for Assistant Professor published in the journals indexed in UGC-CARE/web of Science/SCOPUS/SCI/SSCI:

S. N.	Title of Research Paper	First author/ corresponding author/co-author	Name of Journal Indexed in UGC-CARE/ web of Science/SCI/SSCI with Impact factor	Citation and H-Index of the Teacher
1				
2				
3				
4				
5				

Date :.....

Signature

**Format for the Allotment of Research Supervisor for pursuing PhD in--**  
**-----for the Admission Year.....**  
*(To be filled up by the Research Scholar)*

Name (In Capital letters)	:	
Father's Name	:	
Enrolment No.	:	
Department	:	
Area of Interest for research	:	
Address	:	
Mob. No.	:	
Email	:	

Order of preference for the Supervisor under whom the Research Scholar would like to pursue his/her PhD:

- |    |    |
|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Signature of the Scholar

Consent of the concerned Teacher to act as PhD Supervisor of the aforesaid Research Scholar:

Sl. No.	Name of the Teacher (To be filled up by the Research Scholar)	Signature of the Teacher	
		Agreed	Not Agreed
1			
2			
3			
4			
5			

Proposed allotment of Supervisor by the Head of Department:

1. Name of the Teacher:-

Designation of the Teacher:-

Put up for the consideration of DRC

Signature of the Head, Department of .....

Name & Designation-----

## First/.../...Progress-Report for continuing

Ph.D. Programme in-----

Dated: xx/xx/xxxx

Title of the research topic:

.....  
 .....  
 .....

(A) Details of research work carried out:

.....  
 .....  
 .....  
 .....

(B) Presentations in conferences/ seminars/ symposia:

S. N.	Name of conference/ symposium/ seminar	Organizer & Date	Level	Type of participation	Title of presented paper	Type of paper (Abstract/ Full paper)	Remarks
1							
2							
3							

(C) Research Papers Published in Journals:

S.No	Title of Research Paper with Authors (DOI No. if available)	Name of Journal with Volume No., Page No. ,Year (Impact factor if any)	Indexed In UGC CARE/Web of Science/SCOPUS/SCI/SSCI	Whether Corresponding/ First/Co-author
1				
2				

This progress report of the research work carried out from -----to----- pertaining to aforesaid topic is submitted for necessary action.

Yours faithfully

Remarks of PhD Supervisor:

(Name &amp; Signature of Scholar)

Enrollment No.:

Date of registration:

Head of Department

**Pre-Ph.D. Submission Seminar (PPS)  
Report**

Name of PhD Research Scholar:

Enrollment No:

Date & Time of Pre-Ph.D. Submission Seminar:

Venue:

Topic: “.....”

- 1- Description of at least 02 research articles published in UGC CARE/ Web of Sciences/SCOPUS/SCI/SSCI indexed Journals (*specifically mention the indexing of the Journal*):
  
- 2- Description of Patent granted with title, Patent No. & and role as Inventor or Co-Inventor (if any) (*Certificate to be attached*):
  
- 3- Description of at least 01 research paper/article presented in Conference/Seminar /Symposium:
  
- 4- Overall assessment about the adequacy of the volume of research work carried out on the aforesaid topic:
  
- 5- Resultant outcomes and any other specification noticed during the presentation:
  
- 6- Suggestions if any:

Recommendation on the basis of the inputs from points no 1 to 6:

- |                          |   |                              |
|--------------------------|---|------------------------------|
| 1. Supervisor            | 2. Co- Supervisor (if any)                  | 3. DRC Representative in RAC |
| 4. Subject Expert in RAC | 5. Head of Department<br>(Chairperson, DRC) |                              |

Prototype as an example

Appendix-E

*Computational Study of Some Naturally  
Occurring Biologically Active Compounds*



Thesis

SUBMITTED FOR THE DEGREE OF  
*Doctor of Philosophy*  
IN  
PHYSICS



Satya Prakash

Enrollment No: xxxxxxxxxxxxxxxx)

(Research Scholar)

Dr. A.K. Mishra

(Research Supervisor)

Department of Physics  
Faculty of Science

Dr. Shakuntala Misra National Rehabilitation University, Lucknow,  
India-226017

2024

Documents required to be preserved in the Personal File of candidate maintained at  
Department level

- 1- Application – Form for admission to Ph.D. programme.
- 2- Result for selection to Ph.D. programme including NET certificate.
- 3- Aadhar –Card’s Photo Copy (Self - attested).
- 4- Mark sheet & Certificate: High School to PG degree (Self - attested).
- 5- Migration certificate from the last Institution (if applicable).
- 6- Allotment of topic, supervisor and synopsis by D.R.C.
- 7- Mark sheet of Ph.D. Course Work.
- 8- Progress Reports approved by RAC and DRC.
- 9- Fee Receipts (All Years)
- 10- Certificate of regular attendance in the department duly verified by supervisor.
- 11- All the applications, NOC, Leave order, Relieving order etc submitted by the candidate
- 12- Pre – Ph.D. Submission Seminar (PPS) Report.
- 13- Signed plagiarism Report.
- 14- Copy of two research papers published in UGC CARE/web of sciences/SCI/SSCI indexed journals (Self – attested.)
- 15- Copy of the certificates for presentations in at least 01 (one) Conference/Seminar/ Symposia (Self – attested).
- 16- Any other document relevant to the candidate and programme.

No.: Res/Ph.D.-Thesis sub./F. .... /subject-----/-----

Dated

**Ph.D. Thesis-Submission Certificate**

Certified that Mr./Mrs./Ms. \_\_\_\_\_ S/O, D/O \_\_\_\_\_  
EnrollmentNo. \_\_\_\_\_ Subject- \_\_\_\_\_  
Department \_\_\_\_\_ has submitted his/her Ph.D. Thesis  
entitled \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

On (date) \_\_\_\_\_ for evaluation. The aforesaid Ph.D. Thesis embodies the  
research work carried out under the supervision of Dr. \_\_\_\_\_  
Designation \_\_\_\_\_ Department of \_\_\_\_\_  
\_\_\_\_\_ Faculty of \_\_\_\_\_ of  
this University.

**Controller of Examination**

cc

- 1. Concerned Supervisor/Co-Supervisor (if any)
- 2. Concerned Candidate's file

**Controller of Examination**

Title .....



THESIS

SUBMITTED FOR THE DEGREE OF  
Doctor of Philosophy

IN

Subject-----



Forwarded by

**Candidate's Name**

Enrollment No.....

**Co- Supervisor(s) (if any)**

(Dr./ Prof.....)

**Research Supervisor**

(Dr./ Prof.....)

**Name of Head of Department**

(Department of .....)

Faculty of .....

Dr. Shakuntala Misra National Rehabilitation University Lucknow,

India-226017

202...

UNDERTAKING BY THE CANDIDATE

I.....present the thesis entitled.....that has no plagiarism and has been found similarly of .....% checked through the online plate-form authorized by UGC which is less/or equal to the permissible limit and the e-certificate generated through this UGC-authorized online plate-form is attached at the end of this thesis.

I would be wholly accountable for my research work and in case of any error / omission/revision; I shall be ready for the desired correction.

Date:

(Signature)

Place: Lucknow

(Under PhD regulation-2022 of UGC)

DECLARATION BY THE CANDIDATE

I..... certify that the present Ph.D. thesis embodies the original research work carried out by me from.....to.....under the supervision of Dr./ Prof. .... Department of ....., Dr. Shakuntala Misra National Rehabilitation University, Lucknow. The matter embodies this Ph.D. thesis has not been submitted partially or wholly for the award of any other degree/ diploma to any other Higher Education Institution.

I declare that I have faithfully acknowledged, given credit to and referred to the researchers wherever their works have been cited in the text and the body of the thesis. I further certify that I have not willfully lifted up some other's work, para, text, data, results, figures etc. reported in the journals, books, magazines, reports, dissertations, thesis, etc., and/or any other materials available at web-sites included in this Ph.D. thesis have not been cited as my own work.

Date:

(Signature)

Place: Lucknow

(Under PhD regulation-2022 of UGC )



Department of .....

Faculty of .....

Dr. Shakuntala Misra National Rehabilitation

University, Lucknow, India-226017

Certificate from the Research Supervisor

This is to certify that the thesis entitled “.....”submitted by .....is original research work carried out under my supervision\* and has not been submitted for the award of any other degree /diploma to any other Higher Education Institution to the best of my Knowledge.

Dr. /Prof. ....

(Supervisor)

\* (Name & Signature of HoD in case of  
Administrative Supervisor)

(Under PhD regulation-2022 of UGC )

\*In case of Administrative Supervisor, this will be issued by the Head of Department writing the name & designation of supervisor in place of “my supervision” in the format.



Department of .....  
Faculty of .....  
Dr. Shakuntala Misra National Rehabilitation  
University, Lucknow, India-226017

PRE-SUBMISSION PRESENTATION COMPLETION CERTIFICATE

This is to certify that .....(Enrollment No: Ph.D-.....) is a bonafide Ph.D. Research Scholar of Department of .....,Faculty of ..... he/she has successfully completed the Pre-Ph.D. Submission Seminar on the research topic entitled “.....” held on ..... required as a part of his/her Ph.D. programme.

Supervisor

(Dr./Prof. ....)

Head of Department

Date:

Place: Lucknow

(Under PhD regulation-2022 of UGC )



Department of .....  
Faculty of .....  
Dr. Shakuntala Misra National Rehabilitation  
University, Lucknow, India-226017

Ph.D. COURSE WORK IN COMPLIANCE OF UGC REGULATION, 2022

This is to certify that..... (Enrollment  
No: Ph.D.-.....) Ph.D. Research Scholar, Department  
of ....., Dr. Shakuntala Misra National Rehabilitation University,  
Lucknow completed Ph.D. Course work during the session ..... having enrolled for pursuing  
Ph.D. programme in the session ..... He was declared passed in the aforesaid  
Ph.D. Course.

Head of Department

**COPYRIGHT TRANSFER CERTIFICATE**

Title of the Thesis : "....."  
....."

Name of Candidate : .....

The undersigned hereby assigns all rights to Dr. Shakuntala Misra National Rehabilitation University, Lucknow under copyright that may exist for this thesis submitted for the award of the Ph.D. degree in .....

Signature of the Candidate

Date:

Place: Lucknow



**Specific recommendation**

1. The Thesis be accepted for the award of the Ph.D. degree: \_\_\_\_\_ [     ]

OR

2. The thesis be accepted for the award of the Ph.D. degree after the clarifications on the list of points attached herewith. After the submission of the clarifications, the thesis need not be referred back to me: \_\_\_\_\_ [     ]

3. The thesis be accepted for the award of the Ph.D. degree after incorporation of the changes suggested attached herewith. After incorporation of the changes suggested, the thesis need not be referred back to me: \_\_\_\_\_ [     ]

OR

4. The thesis be re-submitted in a revised form after incorporation of the clarifications/suggestions attached herewith. After modification, the thesis be referred back to me for final assessment: \_\_\_\_\_ [     ]

OR

5. The thesis be rejected: \_\_\_\_\_ [     ]

Place: -----

Date : -----

Signature of the Examiner

Name and address of the Examiner -----

-----  
-----  
-----

- Enclosures: (a) Detailed report on separate sheet (s)  
(b) List of points for clarification/changes suggested.

**CONFIDENTIAL**

**Ph.D. ORAL EXAMINATION REPORT**

Name of Candidate : Mr./Ms. \_\_\_\_\_

Department/School : \_\_\_\_\_

Title of the Thesis : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Oral Examination held on : \_\_\_\_\_

(date)

(time)

A. Main Contribution made by :  
the Research Scholar

B. Brief Summary of :  
Examiners Comments

C. Incorporation of Correction/ :  
Modifications  
Suggested by the Examiner (s)

D. Answering of the Queries :  
raised by Examiner (s)

P.T.O.

E. Performance during :  
Viva-Voce

F. Final recommendation of :  
Viva-Voce Board for award of  
the Ph.D. Degree (Please write  
“YES” or “NO” only)

Signature of the Supervisor

Name:

Date:

Place:

Signature of External Examiner

Name:

Date:

Place:

Forwarded by Head of Department

(Name & Signature of HoD with date)

