



Ordinance: Regulations of M.Phil and Ph.D. admissions

References: UGC (Minimum Standards and Procedure for the award of Master & Doctor of Philosophy degree) Regulation 2016, Notification 05/05/2016. Here with the University has accepted the UGC Regulation as cited above for admission to M. Phil / Ph.D. program and / or its updating on later dates.

Program Objectives (POs):

1. To provide research training at Master's and Doctoral levels in scientific methods related to a field of education for meeting out challenges at fronts of knowledge in the field.
2. To work out solutions of problems that need advancement of knowledge in an academic, technology, engineering, environment, industry or a new challenge in any unforeseen area where society has stressed need of advance study.
3. To publish the results in scientific journals preferably identified periodicals and journals having wide circulations as per UGC norms. This is to enhance H-index of the University, Programs and individual researcher.
4. To provide academic means of exchange of ideas, knowledge and cooperation for tendering the rigid walls between societies, businesses and managements.
5. To identify the University in pursuit of advance balanced thinking at both national and global level,
6. To promote and enhance scientific - knowledge - base of the global society including the surrounding. New means may be searched or worked out to convert the available past knowledge for attaining a scientific base without changing the text of the old. Similarly, old time methods of harvesting water or any such eco-system and other similar resources to be analyzed. Its vital component may be promoted after its passing through the modern scientific perspective and utility. Conversely, the non-vital part may also be identified for the general awareness and avoidance.
7. To provide a scientific base to the industrial set up in the vicinity and even globally for utilization of resources and even the draining of disposals using the updated know how.
8. Any Ph.D. thesis has to declare one or more PO of this regulation amongst its objectives while preparing summary and outcome of a thesis at the time of submission.

In case of a successful documentation of a research thesis ways and means of its publication may be worked out after evaluation of the thesis.



M.Phil and Ph.D. Regulation:

This will be identified as the M.Phil & Ph.D. regulation 2017 adopted by the University and designed according to the 'regulation 2017' of UGC (minimum standard and procedure for award of M.Phil, Ph.D. degree).

1. Admission and Eligibility:

A) After identifying capacity for enrolment in M.Phil / Ph.D. program, every year in the month of August / September, the university will declare the program along with specialized area of research according to the available faculty members. All the departmental supervisors will carry a registration number of the university. This will be notified / published to the public domain along with the list of identified research areas and departments / centers where research shall be allowed by the university.

B) Eligibility criterion for admission to M.Phil program:

For the M.Phil admissions, a candidate shall have a Master's degree or a professional degree declared to the Master's degree by the corresponding statutory regulatory body with at least 55% marks in aggregate or its equivalent 'B' Grade in UGC 7-point scale (or an equivalent grade in a point scale where grading system is followed) or an equivalent degree from a foreign educational institute accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by law in its home country or any other statutory authority of the country for the purpose of assessing accrediting or assuring quality and standards of educational institutions.

A relaxation of 5% from 55% to 50%, marks (the percentage without including the grace mark procedures) or an equivalent grade as discussed earlier may be given to the candidates belonging to SC/ST/OBC (non creamy layer)/ or other categories of candidates as per the decision of the Commission declared from time to time or for those candidates who have obtained Master's degree prior to September 19, 1991. In case need arises M.Phil admission may be made on the basis of merit in the entrance test which can be a joint M.Phil and Ph.D. entrance test.

C) Eligibility criterion for admission to M.Phil / Ph.D. program:

M.Phil / M.Tech /M.Pharma degrees will be the pre-requisite for admission in Ph.D. program of the Dr. K.N. Modi University. Board of Advance Studies and Research (BASR) of the University will be reviewing the eligibility conditions and admission procedures as an when need arises following UGC regulation(s) in this regard.

A candidate applying for the M.Phil. / Ph.D. entrance test of a discipline must have a Master's degree in the subject from a University or a professional degree equivalent to Master's degree identified by its statutory regulatory body with at least 55% marks in aggregate or its equivalent 'grade B' in the UGC 7-point scale (or an equivalent grade in a point scale where grading system is followed) or an equivalent degree from a foreign



educational institute accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by law in its home country or any other statutory authority of the country for the purpose of assessing accrediting or assuring quality and standards of educational institutions. A relaxation of 5% from 55% to 50%, marks (the percentage without including the grace mark procedures) or an equivalent grade as discussed earlier may be given to the candidates belonging to SC/ST/OBC (non creamy layer)/ differently able or other categories of candidates as per the decision of the Commission declared from time to time or for those candidates who have obtained Master's degree prior to September 19, 1991. After declared successful in the entrance test a candidate will be allowed to take admission in M.Phil.

Candidate with Masters of Engineering or M.Tech or M.Pharma or / M. Agri. Degree of any other university may be allowed to take the Ph.D. entrance test of the Dr. K.N. Modi University and after being successful he can proceed for admission to a Ph.D. program.

A candidate who has submitted M.Phil dissertation and Viva Voce is pending may also be allowed to proceed to the Ph.D. program of the University.

A M.Phil./ M. Tech / M. Pharma / M. Agri. passed candidate from any Indian Institute, from a foreign Educational Institution accredited by an approved Assessment and Accreditation Agency or authorized by an authority established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions shall be eligible for admission to Ph.D. program.

Any other modification in eligibility criterion will be considered on recommendation of the Board of Advanced Studies and Research (BASR) of the University and it need to be approved by the Academic Council of the Dr. K. N. Modi University from time to time. For any such consideration UGC regulation will become basis of consideration.

2. Entrance Test and preparation of final merit for

admission: The entrance test will follow two essential stages,

- i) **Entrance test** shall be conducted at national level at notified centers of the University. Part A of the entrance test will correspond to 50% of the test and will be limited to general ability/ aptitude of research while remaining 50% as part B will be discipline/subject specific. A candidate will be declared successful in the test on 50% score in the combined part A and B.
- ii) **Personal interview/ viva voce** aimed at discussion on area of research interest by giving a presentation before the BASR. The BASR has to identify tentative research area, its feasibility and its contributions towards POs related to the program.

Those who have passed M. Phil degree of an Indian Institute / University or an equivalent degree with at least 60% marks in aggregate or an equivalent grade after post graduation from a accredited foreign university as described above will directly enter at the level of personal interview (in case of foreign student interview may be held 'on Skype' or any such system as a special case). Merit of such candidates will be declared or notified.

UGC-NET / UGC-CSIT -NET(both including JRF)/ SLET/GATE/ Teacher Fellowship holder may be exempted from appearing in the written test and he/she may be allowed to appear in the personal interview directly. Candidature of a Teacher Fellow may be considered as supernumerary. If the BASR of the University considers it necessary then both the NET/SLET/Teacher fellows may be asked to take admission in the M. Phil course. Also, candidates having M.Phil degree who are permitted to take admission in Ph.D. program may be exempted from the compulsory courses and /or directed course for pursuing Ph.D. after careful consideration by the BASR of the University about the preparedness of a candidate.

List of successful candidates allowed to take admission in M.Phil. / Ph. D. program will be declared on the University website and / or on its notice boards after approval of the Vice Chancellor (President) of the University. It may be noted that information of the personal interview will be communicated by the telephone about a week in advance by the office of the chairman of the BASR.

3. Doctoral Committee:

- i) Supervisor / Guide
- ii) A Professor of the same discipline from any UGC approved Institution
- iii) A Professor or an Industrial Expert/ Research Organization with Ph.D. degree who may be a member of BOS in the subject.

It is second important committee after the BASR and it has following responsibilities,

- i) For monitoring continuous progress of a Ph.D. student. The DC will consider his/her six monthly progress reports after having received at least two copies of the progress report from the student after a preview of the supervisor.
- ii) The student has to defend his/her progress report producing a 20 min. power point presentation before the full committee. Supervisor(s) will own the responsibility of pursuing the student to produce report as planned, as well to organize the meetings regularly two times in an academic calendar year of the University.
- iii) A comprehensive report of all Ph.D. students will be produced at the end of DC meeting and to send it for approval of the BASR.
- iv) In case two consecutive progress reports are found unsatisfactory or any indiscipline shown by a student or a Supervisor it will be brought before the DC and a majority judgment of the DC will be reported to the BASR for administrative action.



- v) DC is responsible of getting plagiarism report of the jointly published papers by a student or a supervisor independently or the manuscript of the Ph.D. thesis ready for submission for examination. DC need to get the plagiarism report from an authorized organization identified by the UGC, sign the report and allow for submission along with the thesis as per UGC norms. Three level check of plagiarism as per UGC regulation 2017 need to be followed very strictly. Any irregularity in this regard will be a matter of administrative action of the University after review by the BASR.
- vi) A research student need to publish at least three research papers in refereed journals, two can be in journals enlisted by UGC for a subject. Also, he / she must have produced at least two papers in Conference / Symposia of which proceedings are published at least at the national level with proper ISSN index. BASR may soon bring out a scheme of encouragement / promotion of research in the Dr. K.N. Modi University Campus.
- vii) DC has to ensure that the thesis is submitted by a candidate in the stipulated period and all enclosures are submitted as given in the check list.

4. Ph.D. Supervisor:

A Ph.D. supervisor is a research guide, a mentor and career builder of a Ph.D. candidate in his area of research.

Eligibility: Both a regular Professor and a regular Associate Professor of the Dr. K.N.Modi University, with at least three research publications in refereed journals in last 3 years, can be a M. Phil and Ph.D. supervisor. A regular Associate Professor of any UGC approved Institution of this University having at least three research publications in refereed journals in last 3 years can be a M.Phil/Ph.D. supervisor of Dr. K.N. Modi University, Newai after approval by the BASR. A permanent Assistant Professor having at least three years of University teaching experience with at least 2 research publications in refereed journal may be a M. Phil/Ph.D. supervisor. In special cases after approval by BASR he / she can also be considered to be a co-supervisor. To consider needs of advance industries to play a vital role in building of advanced capabilities, an active scientist or an engineer having intensive experience in the industry demonstrated by his good number of publications in refereed research journals may also be considered to act as a **joint research supervisor** on recommendation of the BASR. He / She should be approved by the BOS of a teaching discipline along with an identified research supervisor of the University. In such special cases he/she must have suitable academic qualifications as laid down for a supervisor. Same condition will apply to a collaboration research organization having a signed MoU with the University in the specific area.

A **Co-supervisor** is supposed to be one amongst the recognized supervisors of the University. He/ She can be from a different Department where a research student is identified. Co-supervisor can be assigned to a candidate in case of interdisciplinary research along with a supervisor of the discipline for carrying out a difficult problem which cannot be solved without utilization of



expertise of the co-supervisor. For this, approval of the Research Advisory Committee (RAC) is necessary. Both a supervisor or co-supervisor can't be from an external university or institution or a research organization(Ref. UGC regulation 2016). In case of a co-supervisor, credit of a supervisor will be divided in two equal parts i.e.50% each. Co-supervisor can also be assigned to a Ph.D. candidate in a typical condition of long leave of the supervisor or if the supervisor will be superannuated within at least next one year. In a unforeseen acute situation, the BASR may recommend statutory head of the department to provide administrative support to the candidate to help completion of Ph.D. work in place of the supervisor.

In case of relocation of a M.Phil / Ph.D. woman scholar due to marriage or otherwise genuine conditions, the research data shall be allowed to be transferred to the University where the candidate is migrating provided that all other conditions are followed up.

After the provisional admission to the Ph.D., program of candidates all Ph.D. supervisors, Joint supervisors and Co-supervisors will be listed by the Research Section/the Registrar of the University after due approval of the BASR. A copy of such list will be communicated for uploading on the University web site.

A Professor in a department or a teaching program is ipso facto Ph.D. supervisor. Number of slots allocated to a Professor are maximum 3 M.Phil and 8 Ph.D. students. An Associate can guide to 2 M. Phil and 4 Ph.D. students and an Assistant Professor can guide to 1 M.Phil and 4 Ph.D. candidates after careful consideration by BASR.

When advertising the M.Phil / Ph.D. programs of the University, number of vacant slots of a recognized Ph.D. supervisor of the University will be declared each year as and when vacancy will arise in a discipline and a candidate does not need a compulsory course.

5. Course Work :

All the candidates pursuing M.Phil /Ph.D. Program shall be required to complete a course work of credits with minimum 8 credits and a maximum of 16 credits. Out of this at least 4 credit each will be dedicated to first course work called Research Methodology - 1 (covering quantitative methods, computer applications, error analysis, research ethics, review of a characteristic published work, patent rules, prominent research organizations both national and international and advance industries etc.) and second course work called as Research Methodology - 2 which is dedicated to Introduction of Practical Applications related to a major discipline. It may cover for example, methods of analysis, training in major tools of software writing, mining of data, practical introduction of general soft-wares and writing practices related to a research manuscript, assembly of prototypes and usage of general data analysis tools etc.

Courses 1 and 2 are compulsory courses. All the candidates need to have 75% attendance in these courses. Course-2 and the 'directed courses' are to be run by the concerning discipline / department with the active support of its research team. Academic support of outside faculty can be taken to make delivery of courses effective. Both need to be developed by the University with the help of faculty of a discipline and finally to be approved by the BOS of a discipline.



The Academic Council of the University will communicate approval of BOS to the BASR with all relevant details for its subsequent approval.

Each discipline having a separate M.Phil program will design a course work of 24 credits before its advertisement is made. This includes two compulsory course works of 4 credits each that are common to M.Phil. and Ph.D. programs. The related departments / discipline will design other suitable courses of a discipline.

Courses and Duration:

Ph.D. Course: Both Research Methodology-1 and 2 are one semester courses. Under the special conditions they can be completed holding classes in the week ends. Examination body of the University in consonance with the Dean Research will bring out result of examination within maximum 15 days of the date of examination. All formalities related to the directed course is a responsibility assigned to the HOD and Ph.D. supervisor of a discipline and need to be completed up to the final examination result and before the student defends his/ her Ph.D. synopsis. Supervisor of a student will maintain attendance record including lecture schemes related to the directed course.

Compulsory course works need to be completed in one semester and additional directed course (if any) can be allowed for completion in next semester. A Ph.D. scholar shall be allowed to complete the research work in 3 yrs. including the period of his/her compulsory course work. This can be extended maximum up to 6 yrs. with extra payments of fees per extended period which can not be more than one year in one instance. No more extra period above 6 yrs. can be allowed. He / She has to re-register again after completion of 6 years of first registration. However, credits earned for his / her course works will be considered active subject to any revision of UGC regulation of the Ph.D. program.

Second time re-registration of the same candidate will not be allowed on the same Ph.D. topic.

Compulsory Courses:

Sr. No.	Name of the Course	Credits L/T/P	Passing percentage	Responsible University Body for conduction of Course
1.	Research Methodology-1 (Compulsory)	4/0/0	60%	University Research Dean
2.	Research Methodology-2 (compulsory)	3/1/0	60%	Research Dean and Head of the Department / Discipline
3.	Directed Course (optional and according to the requirement of a Ph.D. candidate)	3/1/0	60%	Head of the Department / Discipline & Ph.D. supervisor

M. Phil: It Comprises of course work and a dissertation. A candidate has to score minimum 24 credits to pass out. If a candidate fails in an odd semester then he/she can reappear in the next year of the same semester examination by paying extra examination fee and other related financial obligations as per university rules.

The M. Phil course is designed keeping in mind that a candidate will pursue research or any such advanced activity in future. The Course is also equally helpful for advanced or forward looking industry or training of their executives and engineers. Modules of individual or set of courses may also be planned for such requirement. It is worthy that the University keeps several such courses or set of courses readily approved by its statutory bodies.

Compulsory Courses:

Semester	Title of the Course	High Lights of Contents	Credits L/T/P
1.	Research Methodology- 1	covering quantitative methods, computer applications, error analysis, research ethics, review of a characteristic published work, patent rules, prominent research organizations both national and international and advance industries etc.	4/0/0
	Research Methodology-2	Introduction of practical applications according to a major discipline and it may cover for example methods of analysis, training in major tools of software writing, mining of data, practical hands on general soft-wares, like SRIM, MATLAB or any other popular software is use in a discipline, writing practices related to a research manuscript, assembly of prototypes and usage etc. Skill development oriented training can be a compulsory part of the course.	3/1/0

2	History and Advances in a subject discipline-paper -1	<p>It is totally a subject matter and all departments running the M.Phil Course will be developing the paper dynamically so that a candidate knows the upper most layer of developments in the subject. For example paper can be on any of the following,</p> <p>i) Historical Development of Quantum Mechanics up to current status of last few yrs.</p> <p>ii) Historical Development of Nuclear Reactors with last developmental details</p> <p>iii) ultimate nuclear matter with HIGGs status</p> <p>iv) Historical Development of Polymer Chemistry up the current status</p> <p>v) Chaotic or Fuzzy and its ultimate applications in an area of research etc.</p> <p>In the tutorial, problems like concept development of a research topic can be assigned.</p> <p>If a student wants to work on polymers then this paper is to be designed to prepare him/her nearly for an ultimate knowledge. For such dynamical design of course work one or two experts need to be consulted by a DC.</p>	3/1/0
	Subject paper-2 with practical problem solving	To be designed	2/0/2
	Subject paper -3 with practicals	--Do--	2/0/2
3.	Dissertation	In direction of the concept, a dissertation to be produced with derivation, practical input preferably after a presentation in at least one conference/ symposia	8/0/0

The Courses developed by a Department / Discipline need be announced before the start of the program after approval by the related Academic bodies.

6. Subject domain / topic of research study:

After a candidate is admitted for a Ph.D. program in a subject discipline, the candidate with the support of Doctoral Committee (DC) will propose his / her Ph.D. synopsis which necessarily defines a subject area and a tentative topic of research. This is done by searching internationally that same topic is not a subject of study or has not been already studied with the same perspective. A DC has to confirm it and provide help in case of need to student for properly defining the topic. The so worked out tentative topic needs to be confirmed at the



time of production of third half yearly progress report. This is made clear that only small changes will be allowed if a topic needs any last hour change for better definition or improvement.

7. Mode of Ph.D. Program:

Distance learning or similar study mode is not allowed in any of the Ph.D. programs of the University. In a few conditions after careful consideration and approval of the BASR a 'part time' candidate can be allowed for registration if he /she has passed out M.Phil. Degree of the Dr. K.N. Modi University by staying in the campus for the whole tenure and in addition to this he/she has spent at least one more year after registration for Ph.D. with regular guidance of the Supervisor.

8. Evaluation Procedure of Ph.D. thesis:

After completion of at least 6 progress reports a student has to appear before the DC for producing **Pre-submission report**. On its approval by DC a student can submit Ph.D. thesis within 3 months in the form of spiral / flexi binding along with other enclosures given in the check list.

After submission of four copies of a thesis individually in sealed cover having signature of the student and with all enclosures listed in the check list prepared for Examination. The Examination / Research section has to be provided a 'summary of Ph. D. thesis' as a soft copy for communication by email to the three examiners after getting approval and direction of Hon'ble President of the Dr. K.N. Modi University about the two external examiners. An external examiner will be given two weeks time for sending acceptance or denial. After getting individual acceptance of the two external examiners the thesis will be dispatched by post to them within a week time at the most, with a request to send report within three months. A 'Performa of Examiner's report' need to be developed in consultation of Examination / Research Section of the University. Supervisor of a thesis will be the first and internal supervisor for evaluation of the thesis with other two external examiners as mentioned earlier. For any lapse in regard of examination and its time schedule will be treated as a serious offense after proper examination by the Chairman of BASR. Guide lines of submission of Ph.D. thesis can be seen on university web site.

The reports received from examiners will be submitted to the Hon'ble President by the COE / Deputy Registrar (Research)/ Research Dean in presence of the full BASR of the University for final decision. In case of favorable reports of examination, the Ph.D. student will be defending his thesis (Viva Voce is a part of the defense) before an external and the internal examiner, Dean Research and Head of the discipline. Other research scholars and teachers of the University will be informed through at least a notice on university website.



When a final report is submitted after holding Viva Voce, it will be produced before the Hon'ble President of the University in second meeting of the following members,

1. President of the University (Chairman)
2. Dean Research
3. BASR members
4. COE / Registrar or Dy. CoE or Dy. Registrar

After approval of the thesis the University can provide a 'provisional certificate' to the student pending approval of the Academic Council of the University. Final Ph.D. degree will be given in a Convocation of the University which is held annually. In case of any long delay of the Convocation, provision of the award of the degree can be made on getting special permission of the Hon'ble President of the University. All such proceedings will be conducted by the Research Section / Dean Research.

9. Evaluation Procedure of M.Phil. Dissertation:

Except evaluation of M.Phil. dissertation all other course papers will follow a normal examination procedure of the University. M.Phil dissertation need to be evaluated by the external examiner. An external examiner can be requested to evaluate maximum 5 dissertations of a subject. In case of need of more than one external examiners marking may require a moderation properly by one of the BASR member and the HOD of the department jointly. COE has to organize such meeting after discussion with Hon'ble President of the University.

A M.Phil student has to provide three copies of the dissertation duly signed by the M.Phil supervisor along with his registration number and a certificate of attendance and sincere completion of the dissertation. Guide lines / format of submission of both M. Phil and Ph. D thesis are available on University web site.

10. Leave during Ph.D. program:

University will allow leave, special leave and maternity leave to a research scholar / Ph.D. student as per UGC guidelines.

11. Insurance:

The University will observe insurance policy as declared by the Government(s) or UGC in case of M.Phil and Ph.D. students from time to time.

12. Doctorate of Science(D.Sc.) in engineering / other Science discipline / Lit (D.Sc./ D.Lit.) degree : University will promote the D. Sc. degree for scholars of eminence and Ph.D. holders. A Ph.D. holder may submit D.Sc. thesis under a University Supervisor who has long experience of research and supervised at least 5 Ph.D. students successfully in recent years. The stipulated period of submission of D. Sc. degree thesis is three years from the time of final registration. A separate Doctoral Committee will be constituted for a D.Sc. candidate. The thesis submitted for examination will be sent to two Indian examiners and third one to a foreign origin examiner of eminence. Its fee structure will be announced along with that of M.Phil. /Ph.D. programs.

13. Check List for Submission of Ph.D. Thesis

- i) Copy of Registration letter. In conjugation, School or the Department support it by enclosing a copy of the BOS where registration was approved..
- ii) Copy of the result of examination of the compulsory Course work and the Directed Course(s). In case of Directed Course assigned to a scholar the copy of approval of the BOS need to be attached.
- iii) Copies of at least last six DC minutes in respect of the last six progress reports. They need to be substantiated by the corresponding BOS minutes.
- iv) Copy of minutes of DC approving the 'Pre Submission' presentation. Also, to be substantiated by the BOS minutes.
- v) Plagiarism certification from a UGC assigned agency.
- vi) One CD containing entire text of the Ph.D. thesis along with the photos of the duly signed certificates of supervisor etc.
- vii) Four Copies of the soft bound thesis in four sealed envelopes with mark 'confidential matter' and signed by the student on the cover will be submitted along with 6 copies of 'summary of Ph.D. thesis' as a soft copy' along with 6 hard copies similarly packed in 6 envelopes marked confidential and signed by both student and the supervisor. The soft copy of the summary can be sent by email on an adequate email id of the examination body.
- viii) NOC from Department / Library/hostel/Research Section after verification of all dues payments including submission fee.
- ix) A certificate of the Supervisor in regard of attendance and truthful completion of the assigned research work.
- x) Duly signed by DC, a certificate about Plagiarism with report received from the authorized UGC agency.
- xi) Copies of payment slips.
- xii) List of Examiners from the Research Supervisor(s) as per direction of the University. This must come in a closed confidential envelop from the Supervisor. There can be 4 national and 4 international examiners with their complete addresses (residential address in case of superannuation) with telephonic contacts and email id. The list of examiners has to be prepared after checking properly their expertise in the research area of the theme title of the thesis. A teacher below the rank of Associate Professor cannot be a Ph.D. examiner. Also, an examiner belonging to any university of the state of Rajasthan will be avoided as far as possible.