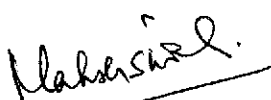


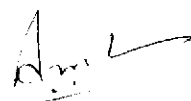
Guidelines for Enrolment into Research Program leading to award of Ph. D. Degree by


Dr K N Modi University, Newai, Tonk, Rajasthan

Dr. K. N. MODI University, Newai District Tonk, Rajasthan offers research programmes in different subjects and interdisciplinary areas leading to the award of Degree of Doctor of Philosophy (Ph. D.). A candidate shall ordinarily work in a recognized place of research including the University Departments and Research Institutes or institutions recognized by the University under the supervision of assigned research guide. The general guidelines for enrolment and the research program leading to the award of Ph.D. are as following:-

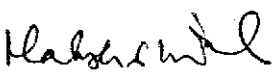
- A. PRIMARY PROCESS AND GUIDELINES:-
1. The Ph.D. degree awarded by Dr. K. N. Modi University shall be designated as Doctor of Philosophy. The certificate shall not indicate the subject or specialty. The title of the thesis shall be indicated in the certificate.
 2. The Ph.D. Programme is modelled on UGC (Minimum Standard & Procedure for award of M.PHIL, PH.D Degree) "Regulations, 2016.
 3. A candidate seeking admission to the course of study leading to the award of a degree of Doctor of Philosophy (Ph.D.) must fulfil following eligibility criteria.
 - 3.1 Candidate shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding 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 wherever grading system is followed) or an equivalent degree 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
 - 3.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
 - 3.3 Candidates who have cleared the M.Phil. Course work from DKNMU, 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 wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree. A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of DKNMU.

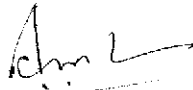

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- 3.5. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.
- 3.5 Candidates who have passed their final examination of ICAI/ ICWA/ ICSI, and are graduates would be treated to have completed post graduate degree in commerce / management or allied discipline for the purpose of Ph. D registration Such candidates with professional experience of minimum of five years, will be eligible for a relaxation of 5% in marks under eligibility conditions / prescribed herein below
- 3.6 Any other modification in eligibility criteria will be considered, if recommended by the BASR to the Academic Council, of Dr K N Modi University time to time.
4. Applications for Ph. D. registration will be received by the University after issuance of notice time to time depending on the availability of research supervisor time to time.
5. Application form can be downloaded from www.dknmu.org, through it's research icon.
6. Fill the form and attach the required testimonials and enclose Research Proposal at least of two pages along with the List of required documents.
7. The complete application form along with demand draft for Rs. 5000/- in favour of "Dr K N Modi University" payable at Newai, DisttTonk, Rajasthan and send the same to, The Registrar, Dr. K.N. Modi University INS-1, RIICO Industrial Area Phase II, NewaiDistt. Tonk. Rajasthan - 304 021, India.
6. All the applicants for research work leading to award of Ph.D. Degree required to take a University Research Aptitude Test which shall be of 100 marks a minimum score of 50% shall be required to clear the test and eligible to present himself / herself for an interview and Viva-Voce before the Committee as and when intimated by the university, as per schedule.
7. Whenever University faculty members have research grants, with provision for selecting the research students, the faculty member holding the grant will select the candidates based on the guidelines of funding agency and of Dr. K.N. Modi University.
8. Dr. K.N. Modi University employees who seek admission to Ph.D. program must submit their application through their Head of Institution and follow the procedure as laid down for general applicants.
9. Research Scholars sponsored by funding agencies must submit their application along with a synopsis of the project and details of funding.


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10. Candidates applying under University approved scholarship/fellowship programs must submit a copy of their scholarship /fellowship approval along with their application.
11. Candidates intending to carry out research in collaborative research centres must submit a no objection letter from the appropriate authority of such centre. The applications must be forwarded by the research centres.
14. After the Registration (successful completion of course work), Ph.D Scholar shall undertake research work and produce a draft synopsis within a reasonable time but not less than minimum prescribed time. The duration of the Ph. D Program shall be calculated from the date of Registration till the submission of Thesis as per the details given below:

Program	Duration	
	Minimum	Maximum
Full time	3 Years	4 ½
Part Time	3 Years	5 Years
Dual(Full time integrated Program)	First three semester includes course work of Ph. D + 2 ½ yrs.	First Three Semester includes course work of Ph. D + 5 Years.

15. Categories of Candidates for Admission to Ph. D Programme

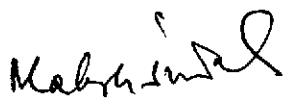
i. Full – time candidates

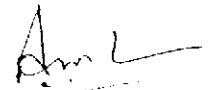
A Full Time candidate shall have to remain the University for full time during working hours of the University for complete duration of course work and for minimum prescribed duration of research.


Such candidates are eligible for applying to receive assistantship (subject to prior announcement) for the University or fellowship from CSIR/ UGC or any other funding agency to cover his / her living expenses and expenditure on his / her research work.

ii. Part- time candidates.

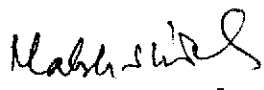
A Part Time Candidate shall have to attend the six month course work of the University as per the UGC Guidelines 2016. The part time candidates shall have to work in the University recognized research lab/ organization for his / her research work and shall be submitting all reports to University as stipulated.

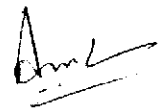

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16. Candidates from other Institutions / Organizations (which are not the recognized research centres of Dr. K.N. Modi University) should submit a list of research facilities available at their Institution / Organization duly signed by the Head of the Institution / Organization.
- 16.1 After inspection and evaluation of research facilities by the Expert Team of Dr. K N Modi University, Centres would be certified as 'Centre of Excellence' for conducting research for Ph. d Degree by DKNMU, if found suitable.
17. The University will nominate a regular teacher of the University to act as supervisor. However co-supervisor can be allowed in inter disciplinary areas with the approval of RAC.
18. Allocation of Research Supervisor: Eligibility criteria to a Research Supervisor, Co-Supervisor, Number of M. Phil/Ph. D. scholars permissible per Supervisor, etc.
- 18.1 Any regular Professor of the University with at least five research publications in refereed Journals and any regular Associate / Assistant Professor of the University with a PhD. degree and at least two research publications in refereed journals will be recognized as Research Supervisor provided that in area/disciplines where there is no or only a limited number of refereed journals the University will the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 18.2 Only a full time regular teacher of the University can act as a supervisor The external supervisors are not allowed However, Co Supervisor can be allowed in inter-disciplinary area from other department of the same institute or other related Institutions with the approval of the RAC.
- 18.3 The allocation of Research Supervisor for a selected research scholar shall be decided depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview /viva voce.
- 18.4 In case of topics which are of inter-disciplinary nature the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research supervisor, and a Co-Supervisor from outside the Department on such terms and conditions as may be specified and agreed upon by the consenting Institutions/colleges.
- 18.5 A Research Supervisor /Co-supervisor who is a Professor , at any given point of time cannot guide more than(3) M. Phil. and Eight (8) PhD. scholars An Associate professor as Research Supervisor can guide up to a maximum of two (2) M. Phil. and six (6) PhD. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M. Phil and four(4) PhD scholars.
- 18.6 In case of relocation of an M. Phil./PhD. woman scholar due to marriage or otherwise , the research data shall be allowed to be transferred to the University to which the scholar


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Intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

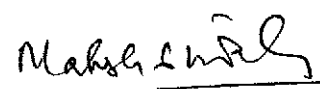
- 18.7 The Completed application form for approval of Co-Supervisor/Visiting Faculty, with certificates and undertaking has to be sent through proper channel to The Registrar, Dr K N Modi University.
- 18.8 The Co-Supervisor must submit an undertaking, with effect to not guiding more candidates than as specified by UGC from time to time.
- 18.9 The approval of Supervisor/Co-Supervisor/Visiting faculty would be solely as per the approved Guidelines/Statutes of Dr K N Modi University.

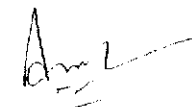
19 COURSE WORK


Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.

- 19.1 The credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 19.2 The course work shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.

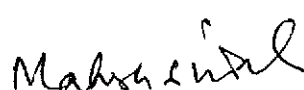
Paper	Title	Credits
1	Research Methodology	4
2	Computer Application	4
3.	Literature Review	4
4.	A Paper related/Specific to the research stream (Optional)	4

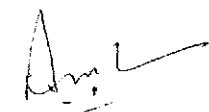

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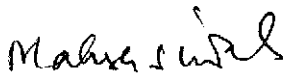
- 19.3 All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 19.4 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the RAC, as stipulated under Clause 20 below, of the research scholar.
- 19.5 All candidates admitted to the M.Phil. and Ph.D. Programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters and ensure 75% attendance.
- 19.6 Candidates already holding M. Phil. degree and admitted to the Ph.D. Programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. Programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 19.7 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the RAC and the final grades shall be communicated to the Institution/College.
- 19.8 A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) AND 5% in case of SC/ST/OBC(non- creamy layer)/Differently Abled candidates. in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
- 20 Research Advisory Committee (RAC) and its functions:
- 20.1 There shall be a RAC for each M.Phil. and Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:
- 20.2 To review the research proposal and finalize the topic of research;
- 20.3 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 20.4 To periodically review and assist in the progress of the research work of the research scholar.

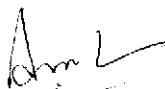

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- 20.5 A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to the Institution/College with a copy to the research scholar.
- 20.6 In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.
- 20.7 All Recommendations of RAC will be ratified by Board of Advanced Studies and Research (BASR), A Statutory body established by the University Act.
21. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:
- 21.1 The overall minimum credit requirement, including credit for the course work, for the award of Ph. D degree shall not be less than 24 credits.
- 21.2 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed, as the case may be, the M.Phil./Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.
- 21.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the RAC concerned which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the RAC.
- 21.3 Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 21.4 The Academic Council shall have mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- 21.5 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employee of DKNMU, of


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whom one examiner may be from outside the country. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

21.6 The public viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the Institution shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

21.7 The University shall complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.

22. SECONDARY PROCESS AND GUIDELINES:-

22.1 After recommendation by RAC & approval from BASR, the research aspirant may be permitted for provisional registration as a "Ph.D. RESEARCH SCHOLAR of Dr. K.N. Modi University" and he/she needs to deposit the first instalment of prescribed fee within 30 days . The candidate has to pay the prescribed fee to the Dr. K.N. Modi University through DD/Bank Challans of ICICI Bank, Newai or any other nationalized bank payable at Newai, Distt. Tonk, Rajasthan. The internal categories of candidates from, Dr. K.N. Modi University or its associate institutions will be required to execute service agreement to serve the Dr K N Modi University or any of the associate institution at least for a period of two years after the award of the degree, as per the terms and policy as, may be determined time to time.

22.2 The candidate shall submit the NOC from appropriate authority, if he/she is serving in Government sector/ Semi Government Sector/ PSU.

22.3 The research scholar shall submit the research execution / facility certificate issued by competent authority, if he/she is availing research laboratories other than in University campus.

22.4 The candidate shall submit the quarterly progress report of the research work. The RAC will arrange for the presentation of the same in consultation with the Head of

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the Department and Guide. The candidate has to present the progress of the research to the RAC on the prescribed date.

22.5 The candidate shall submit summary of work before submitting the Thesis. He/she can submit summary within 24th Month from the date of Permanent Registration.

22.6 Subject to the approval of the summary by the Department Research Committee the research scholar may be permitted to submit the thesis with the recommendation of the guide.

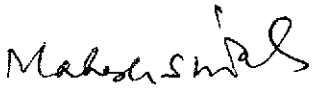
22.7 During the course or after completion of the Ph.D. degree if anyone found guilty of misappropriation or any other such incident comes to the notice regarding non fulfilment of eligibility conditions of candidate, the university has right to cancel the registration or degree from primary stage. University is not responsible for any of the delay for completing the formalities, including thesis submission, by the research scholar.


23. CANCELLATION OF REGISTRATION


- i. Registration may be cancelled on the recommendation of the RAC Committee based on the lack of progress, as requested by the supervisor, and also after giving due opportunities to the candidate for defending his/her case.
- ii. Registration may be cancelled if the candidate fails to submit the thesis before the maximum stipulated period.
- iii. If being an internal and full time research scholar, he absents himself for a continuous period of six weeks without prior intimation/ sanction of leave.
- iv. If he resigns from the Ph. D program and the resignation is duly recommended by the RAC.
- v. if he fails to renew his registration in any year subject to the provisions contained in this ordinance.
- vi. If his academic progress is found unsatisfactory .
- vii. If he is found to be involved in act of misconduct and / or indiscipline and termination is recommended by the RAC or any other authority so authorised by the Academic Council.
- viii. If the candidate fails to pay outstanding dues for more than three months from the due date .

24. PUBLICATION OF THESIS

- i. The thesis shall not be published without the approval of the University.
- ii. The university may grant permission for the publication under such conditions as it may impose.
- iii. The University may lay down IP regulations as applicable to research outputs.


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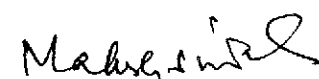

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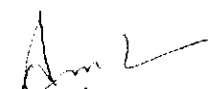
25. SYNOPSIS SUBMISSION GUIDELINES


- i. The candidate has to give a pre-synopsis presentation to the RAC.
- ii. The RAC may recommend the synopsis submission by analyzing the contribution of the research in the form of visible outputs like Publications , Patents, etc. or suggest modifications.
- iii. The copy of the RAC recommendations has to be sent through BASR to The Registrar.
 - a. The candidate has to incorporate all the suggestions of RAC before submission of the synopsis.
 - b. The candidate has to submit 5 hard copies (with soft binding) and one soft copy in MS Word format to The Registrar Dr K N Modi University.

26. THESIS AND EXAMINATION

- i. Each candidate for the award of degree of Doctor of Philosophy shall submit Five (5) copies of his thesis and one soft copy in PDF format after removing the identity of the candidate, guide and the institution, not earlier than the prescribed minimum period and not later than the prescribed maximum period.
- ii. The Supervisor in consultation with the RAC shall submit a panel of examiners, along with their Brief CV and list of publications, at least six months before the expected date of submission of the thesis. The panel may include specified number of examiners from India or Foreign country, on the basis of their published work, are acknowledged leaders in the field of study undertaken by the candidate.
- iii. A board of three examiners shall be appointed by the Registrar for assessment of the thesis. One of them shall be the Supervisor of the candidate, who shall act as coordinator and internal examiner. The other two will be the external examiners from the panel of examiners.
- iv. The university shall ascertain from the external examiners their willingness to act as an examiner for a particular thesis. A copy of a brief resume of the thesis shall be sent to the external examiners with this communication.
- v. The examiners shall submit a detailed critique on the thesis. Their recommendations for acceptance of the thesis must accompany a precise certificate that the candidate's work has advanced the existing knowledge on the subject and is of a standard suitable for publication in case any one of the examiners is of the opinion that the thesis has failed to achieve the desired standard, and is, therefore rejected, precise reasons for such rejection must be stated by the examiner. If the examiner feels that the thesis can be accepted after a revision, he/she shall state the points on which revision is needed.
- iii. The external examiner may be requested to send some questions to be asked to the candidate at the time of viva voce examination to seek clarifications on the points raised by him/her. These comments shall be made available to the examiners appointed for conducting the viva-voce examination before the commencement of the viva-voce examination.


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- iv. After the thesis has been approved by the external and internal examiners, a public defence of the thesis will be held, as well as the viva voce examination to adjudge the general proficiency of the candidate's field of work.
- iv. If the thesis is rejected by more than one examiner, it will stand rejected and shall not be referred to any other examiner.
- v. In the event that the thesis is rejected by only one examiner, it will be referred to another examiner from the approved panel. In case the thesis is approved by this examiner, it will be considered as unanimously approved.
- vi. If one or more examiners recommend re-submission of the thesis after modifications, it shall be done within a maximum period of six months from the date on which the candidate is so informed by the university.
- vii. In case of re-submission / rejection / modifications, the candidate has to submit one soft copy of the thesis in PDF format.

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