



Under Review – 7th October, 2023

L J University

Rules and Regulations for Ph. D.

1. Short title, Application and Commencement:

- 1.1 These Regulations may be called L J University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2023
- 1.2 They shall apply to every constituent School of Study (henceforth called The School) of the University
- 1.3 They shall come into force from the date of their Rectification by the Academic Council of L J University.

2. Eligibility criteria for admission to Ph.D. Programme:

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

- 2.1 Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the University Grant Commission, henceforth called UGC, 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.
- 2.2 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 UGC 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.
- 2.3 L J University provides a 57% tuition fee reduction to its full-time faculty and staff pursuing PhD as scholarship, for promoting their growth. Although they have to pay the same fees as non-LJU registrants during the program, however, on successful completion of the program, LJU members will receive the consolidated



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amount of scholarship on tuition fees paid. Commitment to L J University throughout the PhD programme is required to avail this benefit.

3. Duration of the Programme:

3.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

3.2 Extension beyond the above limits will be subject to the recommendation of the respective Board of Studies and approved by the Academic Council of the University.

3.3 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years, in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

4. Procedure for admission:

4.1 All the applicants shall have to qualify an Entrance Test conducted by the University, for admission to the Ph.D. Those students who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including SLET/ GATE/GPAT), teacher fellowship holders, shall be exempted from the Entrance Test for admission to the Ph.D. Programme.

4.1.1 Every year, the University shall decide, latest by in the month of June, on the number of seats available for admission in Ph.D. programmes in various Schools and Departments, depending on the availability of Research Supervisors and other academic infrastructure, including laboratory, library, and such other facilities;

4.1.2 Admissions to the University's Doctoral Programme will be on annual basis, in the month of July. Applications are accepted throughout the year. The last date of submitting the application forms will be **15 days prior to the date of entrance test**. The University will notify the number of seats available for admission in each subject/discipline, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted, and all other relevant information for the benefit of the candidates; each year, latest by June, on the University website: www.ljku.edu.in.

4.1.3 The University will adhere to the National/State-level reservation policy, as applicable.

4.2 The admission shall be based on the criteria notified by the University, keeping in view



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the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and considering the reservation policy of the Central/State Government from time to time.

4.3 The University shall admit candidate to Ph.D. Programmes following a two-stage process:

4.3.1 An applicant will be required to obtain at least 50 per cent marks in the admission test to be eligible for the admission. The syllabus of the Entrance Test shall consist of 50 % of domain/subject knowledge and 50% will be that of the research methodology. The Entrance Test shall be conducted at the L.J. University Campus. If a new exam center is established, the notification will be posted on the website a minimum of 15 days prior to the scheduled date.; and

4.3.2 In addition, the applicants will have to face and clear an interview/viva-voce wherein the candidates will be required to present their proposed research work before the admission committee of the respective Schools.

4.3.3 The weightage of the written test and viva-voce will be in the ratio of 70:30.

4.4 The interview/ *viva voce* shall also consider the following aspects, viz. whether:

4.4.1 the candidate possesses the competence for the proposed research;

4.4.2 the research work can be suitably undertaken in the University;

4.4.3 the proposed area of research can contribute to new/additional knowledge.

4.5 The candidates who have cleared M.Phil. Degree, shall be exempted from appearing in the entrance test, and deemed to be qualified for entrance test.

The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

5. Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

5.1 As stipulated by the UGC, 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 Ph.D. degree and at least three research publications in refereed journals may be recognized as Research Supervisor.

Provided further that, the publications should be in the indexed journals listed in the Web of Science / SCOPUS / Hein Database / ABDC / EBSCO (Art & Architecture



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database). However, in areas/disciplines where there is no or only a limited number of refereed journals, or a high-quality Journal that are not listed in the data-base, the University will relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- 5.2 Only a full-time regular faculty member of the University shall be allowed to act as a supervisor. The external supervisors shall not be allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the recommendation of the respective Boards of Studies and approval of the Research Advisory Committee. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- 5.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned 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*.
- 5.4 In case of topics which are of inter-disciplinary nature where 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/ Faculty/University. Such co-supervisor should have a Ph.D. degree and research experience of at least 10 years.
- 5.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 5.6 In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the University/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the University for the part of research already done.
- 5.7 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but



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not after attaining the age of 70 years.

- 5.8 If any supervisor/co-supervisor recognized under regulations, is found to be involved in plagiarism, his supervisorship will be withdrawn, after following due procedures laid down under the rules of plagiarism of the University.

Coursework Delivery and Attendance:

- 5.9 All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department during the initial one or two semesters.

5.9.1 Coursework classes will be held on L J University campus during evenings/weekends.

5.9.2 Physical presence is mandatory, except for SWAYAM's online lectures/review assignment.

5.9.3 In cases where SWAYAM /other UGC recognized platform does not provide examinations within a reasonable timeframe (keeping in mind the Ph.D. student's requirement to complete all coursework within a year), the Ph.D. student will be required to submit an application to the Ph.D. department to conduct the exam of the subject(s) opted. This applies only to cases where SWAYAM's/other UGC recognized platform's exam schedule does not align with the coursework timeline.

- 5.10 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods.

- 5.11 A Ph.D. scholar will be required to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

6. Research Advisory Committee and its functions:

- 6.1 There shall be a Research Advisory Committee, for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

6.1.1 To review the research proposal and finalize the topic of research;

6.1.2 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.

6.1.3 To periodically review and assist in the progress of the research work of the research scholar.

- 6.2 Each semester, a Ph.D. scholar shall appear before the Research Advisory



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Committee to make a presentation and submit a brief report on the progress of his/her work 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 Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

- 6.3 For Scholars Registered till July 2022-S2 intake: before the fifth RAC meeting, scholars must have published one research paper and presented a paper at a conference.
- 6.4 For Scholars From 2023(July 2023 intake) onwards: Scholars must publish one research paper and present a paper/attend a conference before the fourth RAC meeting.
- 6.5 Please refer to RAC guidelines for further information.

7. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:

- 7.1 Upon satisfactory completion of course work, and obtaining the marks/grade, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the school concerned based on these Regulations.
- 7.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee, 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 Research Advisory Committee.
- 7.3 For Batches Up to and Including 2022 S2 (Jan 2023 intake): Financial assistance is contingent upon satisfying the specified requirements prior to submitting the dissertation/thesis for adjudication. Non-compliance with these conditions will necessitate the PhD student to reimburse all financial support received, rendering them ineligible for the conferment of the PhD degree.
 - 7.3.1 Publish at least one (1) research paper related to PhD topic in a refereed journal indexed in SCOPUS, Web of Science (WoS), Hein Database, ABDC, or EBSCO. Or they may get at least one (1) patent granted by national or



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international organizations. Scholars pursuing Ph.D. in Philosophy and Theology may be allowed to publish in SCOPUS/UGC-CARE listed journals/Renowned Spiritual Magazines

7.3.2 Present two papers related to the PhD topic, at least one at an international conference and/or one at a national conference. Scholars must provide evidence for the same in the form of presentation certificates and/or reprints.

7.3.3 Additionally, to be eligible for the fifth Research Advisory Committee (RAC) meeting, scholars must have published at least one (1) research/review paper and presented a paper at one conference.

7.4 To avail financial support, for 2023(July 2023 intake) Batch and Onward:

7.4.1 Publish a minimum of two (2) research papers related to PhD topic in refereed journals indexed in SCOPUS, Web of Science (WoS), Hein Database, ABDC, or EBSCO. Or they may get at least one (1) patent granted by national or international organizations. Scholars pursuing Ph.D. in Philosophy and Theology may be allowed to publish in SCOPUS/UGC-CARE listed journals/Renowned Spiritual Magazines.

7.4.2 Present one paper related to PhD topic, at an international conference and/or at a national conference.

7.4.3 Additionally, to be eligible for the fourth Research Advisory Committee (RAC) meeting, scholars must have published at least one (1) research/review paper and presented a paper/attended one conference.

7.5 The Academic Council (or its equivalent body) of the Institution shall evolve a 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 School where the work was carried out, or to any other Institution.

7.6 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. Once the Research Supervisor clears the thesis for evaluation by external experts, he will prepare a list of five/seven external experts who have consented to be evaluator of the thesis. The list may include names of two examiners from universities outside India. This list will be submitted to the Vice-



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chancellor for final selection of two evaluators. Thesis will be sent to experts selected by the Vice-Chancellor for final evaluation. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to affect the provisions of this Regulations.

7.7 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 both the external examiners are unsatisfactory and they have not recommended viva-voce, the dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree. However, if the report of only one of the two external examiners is unsatisfactory and he/she does not recommend *viva-voce*, the University 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.

7.8 The University shall make all efforts to 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.

8. Academic, administrative and infrastructure requirement to be fulfilled by the respective School of Studies for getting recognition for offering Ph.D. programmes:

8.1 The Schools of the University offering post-graduate degree offer Ph.D. They are fully equipped with necessary infrastructure facilities, besides qualified research supervisors, and supporting administrative and research promotion facilities.

8.2 In certain cases, the Post-graduate Departments of the University may not have necessary expertise to guide a Ph. D. scholar. In such case, the university has collaboration with eligible Research laboratories of Government of India/State Government, that possess requisite expertise with at least two Ph.D. qualified teachers/scientists/other academic staff in the discipline concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 9.3. They have been recognized by the University as eligible to offer Ph. D. guidance and supervision.



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8.3 The Schools recognized for offering Ph. D. have adequate facilities for research as mentioned below:

- 8.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment, with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 8.3.2 Earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;
- 8.3.3 The School may also access the required facilities of the neighbouring Schools or Institutions, or of those Institutions / Colleges / R&D laboratories / Organizations which have the required facilities.

9. Treatment of Ph.D. through Distance Mode/Part-time:

- 9.1 L J University does not offer Ph.D. Programme through distance education mode.
- 9.2 Part-time Ph.D. will be allowed provided all the conditions mentioned in the Ph.D. Regulations are met.

10 Ph.D. through Part-Time Mode:

- [1] Ph.D. programme through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- [2] The Higher Educational Institution concerned shall obtain a "No Objection Certificate" through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.



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- [3] Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

10. Depository with INFLIBNET:

- 10.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all other Institutions/Colleges.
- 10.2 Prior to the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

11. Cancellation of Registration:

The Vice-Chancellor shall be competent to cancel the registration of a research scholar under the following circumstances:

- i. On recommendation of Research Advisory committee due to unsatisfactory Research progress
- ii. Violation of discipline of the University.
- iii. Submission of false information at the time of registration.
- iv. Voluntary withdrawal of admission.
- v. Non-conformity with the regulations of the programme.
- vi. In cases where Research Scholar is found to be involved in plagiarism as per Rules for Preventing Plagiarism of the University.
- vii. On recommendation of Examination Reforms Committee due to unfair means in examination.

In the process of cancellation of registration, principle of natural justice be observed.

12. Conversion of Registration:

The Vice-Chancellor shall be empowered to permit the conversion of registration from Ph.D. (Full-Time) to Ph.D.) (Part-time) and vice-versa, subject to the following guidelines:

- (i) Date of initial registration will be the reference point for the completion date for all the purposes like completion of coursework, submission of thesis, etc.
- (ii) In the entire tenure of Ph.D. programme, conversion from Full-Time to Part-Time can be done only once as per the following conditions:
 - (a) The student should be employed in any educational Institution, R&D Center, Industry, wherein sufficient infrastructure is available to carry the research by



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the student. The student has to submit a 'No objection certificate' and an 'infrastructure certificate from the employer where the student is going to carry out the research. T

- (b) The conversion can be done at any point of time after registration.
- (c) The minimum duration for submission of ph. D. thesis shall be 3 years from the date of initial registration and maximum period should not exceed six years. The women candidates and persons with disability more than 40% disability) may be allowed a relaxation of two years in the maximum duration, i.e., up to eight years.
- (d) Approval from the supervisor, and Director of the concerned school, for such conversion is mandatory.

In the process of cancellation of registration, principle of natural justice be observed.

13. Change of Supervisor:

A student seeking to change their supervisor can initiate the process formally. If the student and existing guide both concur with the change, the student can acquire a guide change form from the PhD office. It is the student's responsibility to find the new guide. After obtaining signatures from both the old and new supervisor, and with the endorsement of the Head of Department and Director of the concerned School, the form will be submitted to the Registrar for obtaining approval of the Vice-Chancellor.

In the case of death of a Supervisor or long leave or prolonged sickness of a supervisor or the cases of similar nature, a candidate may apply to the Registrar for changing his supervisor. Such application shall be forwarded by the Registrar to the Vice-Chancellor through the Director of the School. For the reasons other than the above, for change of supervisor the Vice-Chancellor may form a committee. After a thorough inquiry, and on the report of the Committee, the Vice-Chancellor will take appropriate final decision.

14. Fees and Fellowships:

Fees for the Ph.D. programme is stipulated to be Rs. 35,000 (Rs. Thirty-five only) per semester. However, the University treats research as an investment rather than cost. Therefore, it will extend various kinds of support and incentives to each of the Ph.D. scholars, to the tune of a maximum of Rs. 3.5 lakh (Rs. Three lakh fifty thousand), in the entire duration. For details, please contact, Director of the concerned School. Please see **ANNEXURE 'I'** attached.

15. Payment of Tuition & Other Fees:

The research scholar registered for the Ph. D. degree shall be required to pay the tuition fees and other fees as prescribed from time to time for the maximum of 8 semesters from the date of registration to the date of submission of thesis.