

॥ विद्या सर्वत्र पूज्यते ॥



Warana University

**WARANA
UNIVERSITY,
WARANANAGAR**
(A State Public University)



Ph.D. PROSPECTUS

For the Academic Year

2026-27

| From the Desk of Vice-Chancellor

Dear Researchers,

Greetings and a warm welcome to Warana University. It is a matter of immense pride to invite you into our vibrant research ecosystem – an institution that upholds a legacy of academic excellence, innovation, and societal impact. At Warana University, research is not merely a pursuit of knowledge; it is a commitment to discovery, relevance, and transformation.

Our university fosters a culture where curiosity meets rigor, and where interdisciplinary exploration is encouraged. We believe that research should not only advance academic frontiers but also contribute meaningfully to the betterment of society.

We are deeply invested in supporting your journey – from infrastructure and mentorship to global exposure and collaborative opportunities. Whether your work leads to publications, patents, or policy insights, we stand beside you in nurturing ideas that matter. As you embark on this scholarly path, I urge you to challenge conventions, embrace complexity, and remain anchored in purpose. May your research be bold, your methods precise, and your outcomes transformative.

With best wishes for your academic and professional success,

Prof. (Dr.) D. T. Shirke
Vice-Chancellor

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Preamble

Warana University, located in Warananagar, Maharashtra, India, is a distinguished academic institution dedicated to excellence in education, research, and holistic development. Established under the framework of the National Education Policy 2020 and Section 3(6) of the Maharashtra Public Universities Act 2016, the university comprises a consortium of premier institutes including the Tatyasaheb Kore Institute of Engineering & Technology (TKIET, Estd. 1983), Yashwantrao Chavan Warana Mahavidyalaya (YCWM, Estd. 1964), and Tatyasaheb Kore College of Pharmacy (TKCP, Estd. 2004). With a gross enrolment exceeding 5,000 students, these institutions have earned accolades such as National Assessment and Accreditation Council (NAAC) 'A+' accreditation and consistent recognition in national academic rankings. Strategically located near Kolhapur, Warana University operates under the guidance of national regulatory bodies including the University Grants Commission (UGC), the All-India Council for Technical Education (AICTE), Pharmacy Council of India (PCI) and the Directorate of Technical Education (DTE), Maharashtra, ensuring compliance with national academic standards.

Warana University offers a diverse range of undergraduate and postgraduate programs across engineering, law, pharmacy, business management, computer applications, and liberal arts, fostering interdisciplinary learning and cultural exchange.

1. Definitions

- 1) In these Regulations, unless the context otherwise requires,
 - a) “Act” means the University Grants Commission Act, 1956 (3 of 1956);
 - b) “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution.
 - c) “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 in up to two decimal places.
 - d) “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.
 - e) “College” means an institution engaged in higher education and/or research, either established by a university as its constituent unit or affiliated with it.

- f) “Commission” means the University Grants Commission established under Section 4 of the UGC Act 1956.
- g) “Course” means one of the specified units which go to comprise a programme of study.
- h) “Course Work” means courses of study prescribed by the school/Department/Centre to be undertaken by a student registered for the Ph.D. Degree.
- i) “Degree” means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act.
- j) “External examiner” means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme.
- k) “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.
- l) “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale.
- m) “Guide/Research Supervisor” means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research.
- n) “Higher Educational Institution” means a university or institution specified under clause 2 of Regulation 1 of these Regulations.
- o) “Interdisciplinary Research” means research conducted by a Ph.D. scholar in two or more academic disciplines.
- p) “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.
- q) “Online Mode” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- r) “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own.
- s) “Programme” means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act.
- t) “Prospectus” means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational

Institution and programmes, to the public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions.

- u) “Research Proposal” 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 for Ph.D. programme.
- v) “University” means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution for higher education deemed to be a University under Section 3 of the Act.

2. Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

Regulations for Ph.D. Programme

University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 dated 7th November, 2022

R.R.D. 1. **APPLICATION:** A candidate seeking admission to the Ph.D. programme shall apply to the university in the prescribed application form, on or before the application deadline as prescribed by Warana University, Warananagar, Kolhapur.

R.R.D. 2. **ELIGIBILITY:**

For admission to the Ph.D. programme in a related subject of concerned faculty, the applicant shall fulfil the following eligibility criteria.

The following are eligible to seek admission to the Ph.D. programme:

2.1 Candidates who have completed:

i 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 may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading

system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- 2.2** 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 may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- 2.3** A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending shall be eligible for admission to the Ph.D. programme of Warana University, Warananagar, Kolhapur.
- 2.4** The candidates with following qualifications shall be assigned with the marks shown against the qualification. However, the total marks shall not exceed seven. These marks shall be added to the total score of respective candidate. The order of merit for admission to Ph.D. shall be decided on the basis of the total sum (T) [Refer R.R.D. 5.8(v)].

M. Phil.	7
NET/SLET/SET/GATE/GPAT/BET	7
Regular Fellowship (State/National Level)	7
Full time approved teacher having Minimum 10 years experience.	7
Total marks of above shall not exceed seven.	

R.R.D. 3.

DURATION OF THE PROGRAMME -

- 3.1** Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- 3.2** A maximum of an additional two (2) years can be given through a process of re-registration as per the regulations of Warana University; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
- Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- 3.3** Female Ph.D. Scholars may be eligible for Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.
- 3.4** If the Ph.D. thesis of the candidate is ready, after the expiry of six (6) years, the candidate may be allowed to submit his/her thesis by an extension of registration for two (2) years, after paying the prescribed fee. If he/she fails to submit his/her thesis within two years from extension of registration, his/her performance as well as registration will automatically stand cancelled and no separate communication shall be made by the university to the respective candidate.
- 3.5** For extension of registration of Ph.D. Programme, the candidate shall apply alongwith the prescribed fee to the University through the Research Guide/ Research Supervisor in the prescribed application form duly signed by concerned Head of the university Department/Principal /Director.
- 3.6** Candidates applying to the University as per provisions mentioned above at 3.3 and 3.4 shall apply to the University before 3 Months of the expiry of the maximum Duration. Delayed applications will not be entertained under any circumstances.

R.R.D. 4.**PROCEDURE FOR ADMISSION TO Ph. D. :**

- 4.1 The admission shall be based on the criteria notified by Warana University, Warananagar, Kolhapur, keeping in view the guidelines/norms in this regard issued by the University Grants Commission and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government, prescribed from time to time.
- 4.2 The University shall notify on an annual basis number of seats for admission to Ph. D. Programme, depending on the vacancies availed by Research Supervisors [as prescribed under UGC norms with respect to the Scholar – Research Supervisor ratio] and other academic and physical facilities available.
- 4.3 The University shall publish the Notification for admission to Ph. D. well in advance on its website and through advertisement in at least one Marathi newspaper. The detailed information including the number of seats for admission, subject/ discipline-wise distribution of available seats, 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, shall be made available on University official website (<https://waranauniversity.org/>).
- 4.4 All admissions for Ph. D. programmes shall be through a Common Entrance Test and Interview conducted by Warana University, Warananagar, Kolhapur, except foreign candidates.
- 4.5 Foreign candidates complying the eligibility criteria are exempted from appearing for entrance test, however, they should appear for Interview in person / online.
- 4.6 Candidates appearing for the Post Graduate final year examination may appear for the entrance test of Ph. D. programme to be conducted in the next academic year. He / She should submit the result of qualifying examination at the time of Ph.D. admission. Failure to which shall disqualify the concerned candidate from further process.
- 4.7 Employed candidate shall have to submit No Objection Certificate (NOC) issued by the employer.

- 4.8** All admissions shall be processed through the Research Advisory Committee (RAC). For selection of candidates, a weightage of 70% for the entrance test and 30% for the performance in interview shall be given.
- 4.9** The interview shall be organized by RAC. The candidates who have qualified in entrance test (Refer R.R.D. 5.1) shall be called for interview of 30 marks. The document verification of respective candidate shall also be carried out before conducting the interview.
- 4.10** The general merit list for the Ph.D. Programme (except foreign candidates) shall be prepared by the University, on the basis of performance of the candidate in the entrance test and the interview. A weightage shall be given as per provisions of R.R.D. 4.8 to prepare general merit list.
- If more than one candidate score equal marks (in entrance test and the interview) then the marks obtained by candidates in Post Graduate Degree shall be considered to prepare the order of merit by respective RAC.
- 4.11** The list of selected candidates and the waiting list (for vacant seats, if any) in order of merit shall be prepared by the RAC. It will be valid for the respective academic year only.
- 4.12** The candidates are required to discuss their research interest/area through a presentation before RAC at the time of the interview.
- 4.13** The following aspects shall be considered during the interview :
- whether the candidate possesses the competence for the proposed research.
 - whether the research work can be suitably undertaken at the university/research centre.
 - whether the proposed area of research can contribute to new/additional knowledge.

Based on the above, the scheme of marking for interview shall be as mentioned below :-

A	Subject knowledge and research methodology	10 marks
B	Research interest	10 marks
C	Research competencies	10 marks
Total		30 marks

The candidate shall appear for interview along with the inputs in given proforma (Please see annexure- III)

- 4.14** 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.

R.R.D. 5. ENTRANCE TEST:

- 5.1** An Entrance Test shall be a qualifying test for admission to Ph.D. programme. The Entrance Test will be of 100 marks (50 questions of two marks each with multiple choices). Negative scheme of marking shall not be applicable. Students who have secured 50% marks in the entrance test are eligible to be called for the interview. Provided that a relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/VJ-NT (Non- Creamy layers)/OBC (Non- Creamy layers)/EWS/SEBC/SBC Differently- abled category in the entrance examination. The respective candidate should produce valid Non-Creamy layers certificate.
- 5.2** The Entrance Test shall consist of 50% questions based on Research Methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the centre(s) to be notified in advance. The details of syllabus for the Entrance Test shall be made available on University Website.
- 5.3** Entrance Examination will be offline/online.
- 5.4** The duration for the examination will be two hours.
- 5.5** Qualifying the Entrance Test does not essentially mean the confirmation of Ph.D. admission.
- 5.6** The quota for admission shall be 90% for Home University students and 10% for other university students. The reservation rules shall be applicable to 90% quota and 10% quota, separately. The candidate who has obtained the qualifying degree of Shivaji University (for admission to Ph.D. programme) shall be treated as Home University student.
- 5.7** i) The Candidate who qualify NET in category 1,2 or 3 is exempted to appear for the university's Ph.D. entrance (PET) test. The marks obtained by the candidate in such NET will be considered for

admission to Ph.D. in place of score of the entrance test. However he/she has to appear for the interview.

- ii) In case candidates qualify in NET, 70% weightage will be given for test scores and 30% weightage for the interview for admission to Ph.D. programmes. The Ph.D. admission will be based on the combined merit of NET marks and the marks obtained in the interview/viva-voce.
 - iii) The marks obtained in the NET by the candidates will be valid for a period of one year for admission to Ph.D.
 - iv) To prepare the merit list the total number of marks should be equated & converted to 70%.
- 5.8**
- i) The Examination Section shall process the result of the entrance test and prepare a list of qualified candidates as per the provisions of R.R.D. 5.1 and 5.7. However the marks scored in entrance test/ NET score shall not be disclosed.
 - ii) The list of qualified candidates (without disclosing marks) shall be provided to the respective department for further process with reference to interview.
 - iii) Those candidates who are qualified in entrance test (as per provisions of R.R.D. 5.1 and 5.7) shall be called for interview.
 - iv) The concerned department shall organize interview through the RAC and communicate the marks out of 30 for each candidate to examination department. The RAC shall also communicate the additional marks, if any of the candidates as per provisions of RRD 2.4.
 - v) The general merit list shall be prepared by using following formula for each candidate.

$$T = (0.7 \times M) + V + A$$

where

T = Total Score of the candidate. M = Marks obtained out of 100 (in entrance test) or NET score. V = Marks obtained in interview/viva-voce. A = Additional Marks of the candidate as per R.R.D. 2.4 provided that the total score of a candidate shall not exceed 100.

- vi) The RAC shall prepare list of selected candidates as per provisions of RRD 4.8, 4.9, 4.10, 4.11, 4.12 and 4.13 after verifying eligibility criteria of respective programme.

R.R.D.6

REGISTRATION PROCEDURE AND RESEARCH PROPOSAL / SYNOPSIS :

- 6.1** A selected applicant seeking admission to the Ph.D. programme shall apply to the Warana University, Warananagar, Kolhapur in the prescribed form along with the following documents:
- i) A self attested copy of the statement of marks, degree certificate, passing certificate (Post Graduation degree, M. Phil. / NET / SET /SLET/ GATE / BET/JRF etc.)
 - ii) Migration and Transfer Certificate (whichever is necessary).
 - iii) The registration form duly filled in and signed along with registration fee as prescribed by the university from time to time, through the Head of the University Department / Principal / Director of Recognized Institution.
 - iv) Authenticated copy of professional experience along with copies of the published research work in the proposed area, wherever necessary.
 - v) Sponsorship letter from the Institution or Company, wherever necessary.
 - vi) No Objection Certificate from the employer, if the candidate is employed.
 - vii) The eligibility form along with requisite documents and fee shall be submitted to the concerned university section. The registration of the Ph.D. candidates shall not be confirmed unless the final eligibility certificate is issued by University.
 - viii) All the candidates should follow the procedure through online portal for Ph.D. Students.
- 6.2** The synopsis of Ph. D. candidates will not be placed before the Research and Recognition Committee, unless the final eligibility process is completed.
- 6.3** The selected candidate shall submit the application along with three hard copies of Ph.D. proposal/synopsis and the soft copy should be uploaded

on portal after presentation before RAC and after incorporating revisions suggested by it.

- 6.4 The selected candidate shall be required to make a brief presentation before the RAC about the proposed research.
- 6.5 The presentation will be arranged by the chairperson of the RAC.
- 6.6 In case of any suggestions given by the RAC for improvement of the topic, the candidate shall make changes accordingly and submit the same to the Chairperson of RAC within a period of not more than fifteen days from the date of presentation.
- 6.7 The RAC shall prepare a report on the basis of the presentation. The chairperson of RAC shall send a report along with the proposal, within a period not more than 20 days, from the date of presentation to the R&D cell of the University to place the same before the Research and Recognition Committee for final approval.
- 6.8 The constitution of Research and Recognition Committee shall be as prescribed in Maharashtra Public Universities Act, 2016.
- 6.9 The registered Ph. D. candidate shall not be allowed to register simultaneously for any other degree programme in regular/distance mode.
- 6.10 The candidate will have to successfully complete the pre-registration course work on Research and Publication Ethics (RPE) as per UGC guidelines.
- 6.11 The admission will be confirmed after the Research and Recognition Committee approves the topic.

R.R.D.7

RESEARCH ADVISORY COMMITTEE (RAC) AND ITS FUNCTIONS:

- 7.1 There shall be a Research Advisory Committee for each Ph.D. scholar. RAC shall consist of :-

1.	The Head of the Department (Please refer clause 7.2 where ever applicable)	Chairperson
2.	Two experts nominated by the Vice-Chancellor in consultation with the Dean of the concerned Faculty [The two experts necessarily shall be the research Guides/Supervisors]	Member
3.	Two Nominees of the Vice-Chancellor (One General and One Reservation)	Member
4.	Chairperson, Board of Studies in the concerned subject	Member
5.	Guide/Supervisor of the concerned research student	Member

- i) All RAC members necessarily shall be the research Guides/Supervisors for Ph.D. and one of them shall be from reserved category and one must be a woman member. It is responsibility of the member from the reserved category to observe and ensure the execution of the reservation policy of Government of Maharashtra during admission process.
- ii) The Quorum for RAC meeting will be three.
- iii) If a member is absent for three consecutive meetings, then his membership shall automatically stand cancelled.
- iv) The research guide shall attend the RAC meetings concerning to his/her research scholar.

7.2 Where University Department does not exist, the RAC will be constituted as above. The Chairperson (Dean OR Chairperson, Board of Studies) will be nominated by the Hon. Vice-Chancellor.

7.3 The RAC shall have the following responsibilities :-

- 7.3.1. To review the research proposal and finalize the topic of research;
- 7.3.2. 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;

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

7.3.4. Such other responsibilities as prescribed under these regulations.

- 7.4 Each semester, a Ph. D. scholar shall appear before the RAC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The RAC shall submit its recommendations along with a copy of Ph. D. Scholar's progress report to PGBUTR Section through the concerned department. A copy of such recommendation shall also be provided to the Ph. D. scholar.
- 7.5 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 the University with specific reasons for cancellation of the registration of the research scholar for Ph. D. programme.
- 7.6 After the approval of the title and synopsis by the Research and Recognition Committee, a confirmation letter will be issued and the candidate will be asked to remit the necessary fees within a period of one month.

R.R.D. 8. CHANGE IN TITLE:

- 8.1 If the candidate desires to modify the title and / or the proposed plan of the research, he/she shall submit his/her application duly recommended by the Research Guide/ Research Supervisor, through the concerned Head of the University Department / the Chairman RAC.
- 8.2 The Research and Recognition Committee concerned may approve such changes on recommendation of the RAC.

R.R.D. 9. RESEARCH GUIDE/ SUPERVISOR:-

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

- 9.1 Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer reviewed or refereed journals and permanent faculty

members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes.

[Note:

- i) Maharashtra Public Universities Act, 2016 section 2(61) “teacher” means full-time approved professor, associate professor, assistant professor, reader, lecturer, librarian, principal, Director of an institution, Director of Knowledge Resource Centre, Director of Centre of Lifelong Learning and Extension, deputy or assistant librarian in the university, college librarian, Direct or instructor of physical education in any university department, conducted, affiliated or autonomous college, autonomous institution or department or recognized institution of the university.
 - ii) Eligible permanent faculty members can guide Ph.D. scholars during their probation period also. (UGC Public Notice ref. no. F.9-1/2020 (ps/misc.) dated 6th March, 2023)
 - iii) Eligible permanent faculty members can guide Ph.D. scholars during their probation period also [UGC Public Notice ref. no. F.9-1/2020 (ps/misc.) dated 6th March, 2023].
- 9.2** Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of these Regulations.
- 9.3** For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
- 9.4** Provided that in areas/disciplines where there is no, or only a limited number of peer reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. Co-Supervisors

from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

- 9.5** Adjunct Faculty members shall not act as Research Supervisors and can only act as co supervisors.
- 9.6** In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- 9.7** i) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- ii) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the predetermined number of Ph.D. scholar as specified in above clause.
- iii) At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or co-supervisor, shall not exceed the number prescribed in above clause (i) and (ii).
- 9.8** 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 these Regulations 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.
- 9.9** 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 not after attaining the age of 70 years.
- 9.10** The allocation of Research Supervisor for a selected research scholar shall be decided by the RAC. A candidate will work under recognized Research Guide/Supervisor of the University allotted by RAC provided

that he / she is not relative (such as husband/ wife/ daughter/ son/ brother/ sister) of the Guide/ Supervisor/ Co-Guide/ Co Supervisor.

9.11 If the RAC is of the opinion that the proposed study or research work is of interdisciplinary nature or the research work needs to be supplemented with the expertise from outside, it may appoint a Co-Guide from outside the Department/Faculty/college/university/institution, who has proven the expertise in the required field. Such Co-Guide/Co-Supervisor shall be allotted to the student with due consent of the Research Guide.

9.12 A seat will be considered vacant for admission purpose after the declaration of final result of the student by Warana University, Warananagar, Kolhapur or after six months from the date of submission of final Thesis/Dissertation, whichever is earlier.

9.13 Guidance by Co-Guide/Co-Supervisor / New Research Guide/ Research Supervisor:

- a. In case of demise or ineligibility of the Guide/Supervisor on any grounds, the concerned section on recommendation of the RAC will allocate new Research Guide/ Research Supervisor to candidate. This may be placed before the next meeting of RRC for information.
- b. If 50% or more work has been completed by the candidate under the deceased Research Guide/ Research Supervisor, the name of the deceased Guide/ Supervisor be printed on the thesis along with the name of Co-Guide/Co-Supervisor.

9.14 Transfer of Research Guide/ Research Supervisor

- a. In case of transfer of Research Guide/ Research Supervisor from the institution, where the candidate is registered and has worked for minimum 3 terms with him/her shall continue to work under the same Research Guide/ Research Supervisor.
- b. A candidate who has worked for less than 3 terms will be transferred to a new Research Guide / Research Supervisor on the recommendation of the RAC.
- c. If the research guide is not available for such candidate then the candidate shall continue his/her research work under the same guide, till the new guide is allotted or till completion of the research work, whichever is earlier.

9.15 Change of the Research Guide/ Research Supervisor

A research student shall submit his/her application for change in research guide through the Research Guide and the Head of the Department. If the research guide and /or the Head of the Department deny to forward the said application, the research student may submit his/her application to the concerned section. The Research and Recognition Committee, on hearing the Research Guide shall take decision on such application. In case of dispute, the Hon. Vice-Chancellor's decision will be final.

9.16 Redressal of Grievance

- 9.16.1. In case of any dispute regarding admission or any other dispute that may arise between a Research Scholar and his/her Research Supervisor, the committee consisting of the Dean, Chairperson, Board of Studies and the Head of the Department shall examine the matter and report to the Vice Chancellor of the Warana University, Warananagar, Kolhapur, whose decision shall be final.
- 9.16.2. The report shall include, among other things, specific recommendations. The report shall be submitted to the Vice Chancellor of Warana University, Warananagar, Kolhapur.
- 9.16.3. In case of the complaint regarding sexual harassment, the research scholar shall submit a complaint to the Internal Complaints Committee (ICC) as per the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013.

R.R.D. 10. COURSE WORK:

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

- 10.1** 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 research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

- 10.2** All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 10.3** A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.
- 10.4** The course work shall be treated as prerequisite for Ph.D. programme.
- 10.5** 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 Ph.D. degree.
- 10.6** 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. They shall be duly approved by the Academic Council of the Warana University, Warananagar, Kolhapur.
- 10.7** The University Department/ recognized research centre at affiliated college or recognized institution/ recognized research institution where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the RAC.
- 10.8** All candidates admitted to the Ph.D. programmes shall be required to complete the course work, as approved by the Academic Council of Warana University, Warananagar, Kolhapur during the initial one or two semesters. The course work shall contain following papers:
- a) Research Methodology ,Quantitative Methods and Computer Application for 100 marks.
 - b) Recent Trends in the subject concerned for 100 marks.
 - c) Optional papers (based on Specialization) for 100 marks with 80 marks of University examination + 20 marks for presentation of a review on published research papers from national/international journals on the concerned specialized areas. The Departments should identify some specialized research papers and prepare their syllabi.

The same should be approved by the BOS /Adhoc Boards as the case may be.

- 10.9** The syllabus and other details (Credit requirements, number, duration, syllabus, minimum standards for completion, etc.) of course work shall be made available on university website (<https://waranauniversity.org>)
- 10.10** i) The medium of the course work shall be English for Faculty of Science and Technology, Faculty of Commerce and Management and Faculty of Interdisciplinary Studies.
- ii) The medium of the course work shall be English/Marathi for Faculty of Humanities except the papers in languages.
- 10.11** In view of provisions of R.R.D. 10.11, the student should write the answers in English/Marathi, as the case may be.

R.R.D. 11. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS / CREDITS FOR AWARD OF DEGREE, ETC.:

- 11.1** Upon satisfactory completion of course work and obtaining the marks/grade prescribed in R.R.D. 10.3 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- 11.2** Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation in front of the Research Advisory Committee concerned, which shall also be open to all faculty members and other research scholars/students.
- 11.3** The University has a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- 11.4** A Ph.D. scholar shall submit the thesis for evaluation, 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.

- 11.5** 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. 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.
- 11.6** The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned 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 alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D. The thesis rejected by both the external referees will not be considered for resubmission.
- 11.7** The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.
- 11.8** Ph.D. scholars shall publish at least one research paper in refereed journal (approved by concerned BOS) and make minimum one paper presentation in conference/seminar before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/ or reprints/ acceptance letter from the publisher/ editor. Guidelines for research publications issued by Warana University, Warananagar, Kolhapur from time to time and displayed on the official website of Warana University, Warananagar will be applicable.

A research publication and a paper presentation so made by research scholar shall be during the tenure of Ph. D Programme.

- 11.9** The Research and Recognition Committee in the subject concerned shall suggest the names of eight experts to the Vice Chancellor, out of which four shall be from the State (outside the jurisdiction of Warana University) and remaining four shall be from outside the State/ Country. The Guide/Supervisor shall be the internal referee.
- 11.10** The external referees shall communicate their willingness as early as possible and shall submit their evaluation reports within one month of the receipt of the thesis in a prescribed proforma along with a detailed report.
- 11.11** The Ph.D. thesis submitted by a research scholar shall be evaluated by his Research Supervisor and two external examiners, who are not in employment of Warana University, Warananagar, Kolhapur or recognized research centre at affiliated college or recognized institution/ recognized research institution, of whom one examiner shall be from outside the State. Such examiner(s) should be academics with a good record of scholarly publications in the relevant field. Wherever possible, one of the external examiners should be chosen from outside India.
- 11.12** a) 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 the members of the Research Advisory Committee, all faculty members of the university department, other research scholars and other interested experts/researchers.
- b) The university may conduct the Ph.D. Viva-Voce Examinations through Video Conferencing using Google, Skype, Microsoft Technologies or any other reliable and mutually convenient technology. While conducting the Viva-Voce Examination through Video Conferencing using electronic means, it may be ensured that it will be open to be attended by the members of the Research Advisory Committee, all faculty members of the department, research scholars and interested experts/ researchers, besides the Research Supervisor and Expert (s)/Examiner (s), as applicable.

- c) It is also imperative on the part of the University to maintain due record of the same, including the report signed by Expert (s)/Examiner (s) appointed for conducting the same.

[Note: The Head of the respective academic department shall ensure and coordinate all the necessary arrangements of Open Defence/ Viva-Voce Examination through Video Conferencing. In case, there is no department of the concerned subject then the Research Guide/Internal Referee shall ensure and coordinate the abovementioned arrangements.]

- 11.13** The Open Defense of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conduction of the viva-voce examination. If the evaluation reports of the external examiner in case of Ph.D. thesis is unsatisfactory, the University shall send the thesis, to another external examiner out of the approved panel of examiners. In such cases, 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. The thesis rejected by both the external referees will not be considered for resubmission.
- 11.14** If revision of the thesis is suggested by one of the external referees, the thesis shall be revised by the candidate for resubmission as suggested by the referee. The revised thesis shall be sent to the same referee (who has suggested the revision) for evaluation.
- 11.15** If revision of the thesis is suggested by both the external referees, the thesis is considered for resubmission provided that the following conditions are fulfilled.
- a) Half the tuition fee is to be paid by the candidate for resubmitting the thesis after revision along with examination fee.
 - b) Laboratory and examination fees are to be paid fully by the candidate for conducting research in the University Departments.
 - c) The revised thesis will have to be submitted by the candidate within the maximum period of three months.

- d) The revised thesis shall be sent to the same referees for evaluation along with both the previous reports.

R.R.D. 12. SIZE, STYLE & BINDING OF THESIS:

12.1 A candidate submitting thesis for the award of Ph.D. degree is required to follow the rules regarding the font, style and binding of thesis, except in special case in which the Guide/Supervisor or Head of the Department recommends that it will not be possible to comply with the requirements of these rules by giving reasons and with the approval of RAC.

12.2 The thesis shall be written with following specifications :-

- i) For thesis writing, “Times New Roman” font shall be used. Size of the paper shall be A-4, except for drawings, graphs, photographs and maps on which no restriction is placed. A margin of 3.5 cms be maintained with a line spacing of 1.5. A thesis shall be bound in a standardized form and shall be printed on both sides.
- ii) The title, degree, year, subject, faculty, name of the student and the Guide/Supervisor shall be printed neatly and legibly on the front cover as indicated in Annexure-V.
- iii) A thesis which consists of a collection of pamphlets or excerpts / published papers or a single pamphlet must be bound in a similar manner as said above.
- iv) The candidate shall submit four hard-bound copies (black cover with golden embossed letters) of thesis along with twenty copies of the abstract and four CDs containing soft copy in PDF format. A candidate may be permitted to submit the abstract and final thesis separately.
- v) The Ph. D. thesis shall contain :
 - a. Results of the research stating whether the work is based on the discovery of new facts by the candidate or of new relations of facts observed by others and how the work contributes to the general advancement of knowledge.
 - b. The candidate shall indicate the sources from which his/her information has been derived and the extent to which his/her work is based on the work of others and shall indicate which portion or portions of his/her thesis he/she claims to be original.

- c. The candidate's Declaration.
- d. The Guide/ Supervisor's Certificate.
- e. Non plagiarism/ similarity certificate issued by the University.
- f. The language of Ph.D. thesis shall be English except for the theses in other languages.
- g. A candidate submitting his/ her thesis in the subject relating to Social sciences, Education, Physical education, Arts & Fine arts may write his/ her thesis in Marathi provided the same is recommended by the Guide/Supervisor submitted through Head of the Department and is approved by the RRC. However a candidate has to submit a synopsis of thesis in English.
- h. The language used in the thesis should be grammatically correct and of appropriate standard with no typographical mistakes.

R.R.D. 13. SUBMISSION:

- 13.1** The candidate will not be allowed to submit his/her thesis unless he/she completes the course work as prescribed under these rules.
- 13.2**
 - a) A candidate may submit one copy of pre-final thesis after the completion of two years six months from the date of registration; along with the passing certificate of course work, to the Head of the Department for scrutiny by RAC. However, a candidate can submit final thesis after completion of three years from the date of registration.
 - b) A research student will remit annual Ph. D fee up to submission of pre- final thesis, provided he / she submits the final thesis within 6 months from the date of scrutiny of pre-final thesis. Otherwise a research student will have to remit annual tuition fee for the delayed submission of final thesis beyond six months duration.
- 13.3** Prior to the final submission of the thesis, the research scholar shall make a presentation before the RAC, 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 pre-final thesis in consultation with the RAC.
- 13.4** The final thesis shall be submitted to the university office through Head of the Department / Chairman of RAC.

R.R.D. 14.**OPEN DEFENCE:**

The open defence shall be conducted only after receiving the satisfactory reports from the referees. One of the external referees nominated by the Vice-Chancellor and the internal referee shall conduct the open defence of the candidate within one month. The Head of the Department or the Dean of the concerned faculty or the teacher in the subject concerned nominated by the Vice-Chancellor shall act as Chairperson for the open defence. The other external referee may send questions in writing alongwith the evaluation report to seek clarification on any point in the thesis at the viva-voce. The queries raised by the external referees in their reports be placed before the open defence committee. The open defence of the candidate shall be conducted as follows:

- 14.1** After the receipt of satisfactory report from external referees, the date and time for open defence shall be arranged in consultation with one external referee by the Chairperson, who is to conduct the open defence along with the internal referee (Research Guide/ Research Supervisor).
- 14.2** The Chairperson, external referee and the Guide/Supervisor shall prepare a joint report of the open defence and forward it to the concerned section of Warana University. They shall recommend either the award of the degree to the candidate or a fresh open defence within six months, if the performance of the candidate is unsatisfactory.
- 14.3** If both the external referees communicate unwillingness to conduct the open defence, Hon. Vice-Chancellor will nominate the next referee from the list provided by the Research and Recognition Committee.

R.R.D. 15.**DECLARATION OF RESULT:**

- 15.1** The Open Defence will be held only after fulfillment of the all essential requirements.
- 15.2** The date of Open Defence shall be considered to be the date of declaration of result.
- 15.3** On the final approval of the Hon. Vice-Chancellor, the Director of Examinations and Evaluation shall declare the result after the fulfillment of all conditions.

- 15.4** Along-with the degree, the concerned section shall certify to the effect that the Degree has been awarded in accordance with the provisions of the UGC rules and regulations as published in the Gazette of India dated 7th November, 2022.

R.R.D. 16. ADDITIONAL Ph. D. DEGREE :

A candidate seeking admission for the additional Ph.D. degree he/she will have to complete the whole admission process in the subject for which the candidate wishes to register for additional Ph. D.

R.R.D. 17. CANCELLATION OF Ph. D. ADMISSION AND REFUND POLICY

- 17.1** A student can cancel his/ her admission by submitting an application through his/ her Research Guide, by paying the outstanding fees as prescribed under these rules. The following conditions will be applicable for cancellation of admission.

- a) In case, a student applies for cancellation of admission within six months after receiving provisional admission letter:- The Student will have to apply along with processing fee of Rs. 2000/-
- b) In case, a student applies for cancellation of admission within one year after receiving registration letter:- The candidate will have to apply along with the annual fee with effect from the date of registration.
- c) In case, a student applies for cancellation of admission after completion of the coursework successfully:- The candidate will have to apply along with the annual fee with effect from the date of registration.
- d) In case, a student applies for cancellation of admission after completion of three years duration of Ph. D. Programme (with effect from the date of registration):- The Ph.D. student will have to apply along with the receipts of entire fee paid for three years duration.

- 17.2** The university shall cancel the admission of a candidate if he/ she fails to fulfill the necessary conditions/requirements, as prescribed by rules or the conditions mentioned in the allotment letter/ provisional admission letter. The student's admission for Ph.D. will stand automatically

cancelled if he/ she doesn't fulfill the terms and conditions as mentioned above. However, the student will have to pay required fee as per rules, to get T.C./ Migration Certificate, as the case may be. The student will have to submit no dues certificate from respective Sections/ Department for cancellation of admission or after completion of Ph.D. Successfully.

17.3 Refund Policy in case of Admission Cancellation.

S. No.	Status of Admission	Refund Policy
1	If admission is cancelled in accordance with the provisions of R.R.D.17.1. (a) and in case the concerned student has remitted the annual fee of Ph.D. programme for that the particular academic year	Refund the fee except registration fee and eligibility fee. However, the student will have to apply along with processing fee of Rs. 2000/-.
2	If admission is cancelled in accordance with any other provisions under these rules, except the provision of R.R.D. 17.1. (a)	i) Refund the amount of Deposits (Laboratory/Library/other): To be refunded 100%. ii) Tuition and other fees will not be refunded.

R.R.D. 18. TREATMENT OF Ph. D. THROUGH DISTANCE MODE/PART TIME:

Warana University does not offer Ph.D. Programme through distance education/online/part time mode.

R.R.D. 19. AWARD OF Ph. D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS.-

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016.

Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

R.R.D. 20. DEPOSITORY WITH INFLIBNET:

Depository with INFLIBNET: Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Higher Educational Institution concerned shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

R.R.D. 21. PROVISIONAL CERTIFICATE:

Prior to the actual award of the Degree, the Warana University, Warananagar, Kolhapur shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of University Grants Commission (Minimum Standards and Procedure Award of M.Phil./Ph.D. Degrees) Regulations, 2022.

ANNEXURE –I

Regulations for Prevention of Plagiarism

(UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018)

P.P. 1. Short title, application and commencement

- a These regulations shall be called the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.
- b They shall apply to the students, faculty, researchers and staff of Warana University, Warananagar, Kolhapur and its lead and constituent colleges.
- c These regulations shall come into force with effect from 15th May 2025.

P.P. 2. Definitions

In these regulations, unless the context otherwise requires—

- a “Academic Integrity” is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b “Author” includes a student or a faculty or a researcher or staff of Higher Educational Institution (HEI) who claims to be the creator of the work under consideration;
- c “Commission” means the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d "Common Knowledge" means a well-known fact, quote, figure or information that is known to most of the people;
- e “Degree” means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;
- f “Departmental Academic Integrity Panel” shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- g “Faculty” refers to a person who is teaching and/or guiding students enrolled in an UNIVERSITY in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;

- h “Higher Educational Institution (HEI)” means a university recognized under section 2(f) of the UGC Act, 1956 or an institution deemed to be university under section 3 of the UGC Act, 1956 or an affiliating college / institution or a constituent unit of a university;
- i "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;
- j “Institutional Academic Integrity Panel” shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- k “Notification” means a notification published in the Official Gazette and the expression “notify” with its cognate meanings and grammatical variation shall be construed accordingly;
- l “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own.
- m “Programme” means a programme of study leading to the award of a masters and research level degree;
- n “Researcher” refers to a person conducting academic / scientific research in university;
- o “Script” includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an UNIVERSITY; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- p “Source” means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given

the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2 (l);

- q “Staff” refers to all non-teaching staff working in HEIs in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- r “Student” means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- s “University” means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;
- t “Year” means the academic session in which a proven offence has been committed.

Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

P.P. 3. Objectives

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- 3.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of university committing the act of plagiarism.

P.P. 4. Duties of University

University should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

P.P. 5. Awareness Programs and Trainings

- a University shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities

of disciplines and in accordance with rules, international conventions and regulations governing the source.

- b University shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- c University shall:
 - i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory course work/module.
 - ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
 - iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the university.
 - iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
 - v. Establish facility equipped with modern technologies for detection of plagiarism.
 - vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

P.P. 6. Curbing Plagiarism

- a University shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.
- c Every student submitting a thesis, dissertation, or any other such documents to the university shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

- d The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the university.
- e University shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the university website.
- f Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- g University shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- h University shall create Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-house publications.

P.P. 7. Similarity checks for exclusion from Plagiarism

- i. The similarity checks for plagiarism shall exclude the following:
- ii. All quoted work reproduced with all necessary permission and/or attribution.
- iii. All references, bibliography, table of content, preface and acknowledgements.
- iv. All generic terms, laws, standard symbols and standards equations.

Note:

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

P.P. 8. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities up to 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

P.P. 9. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the University.

The authorities of university can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

P.P. 10. Departmental Academic Integrity Panel (DAIP)

- i All Departments in university shall notify a DAIP whose composition shall be as given below:
 - a. Chairman - Head of the Department
 - b. Member - Senior academician from outside the department, to be nominated by the head of HEI.
 - c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- ii The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

P.P. 11. Institutional Academic Integrity Panel (IAIP)

- i University shall notify a IAIP whose composition shall be as given below:
 - a. Chairman - VC/Dean/Senior Academician of the university.

- b. Member - Senior Academician other than Chairman, to be nominated by the Head of university.
- c. Member - One member nominated by the Head of HEI from outside the university.
- d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the university.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii The IAIP shall consider the recommendations of DAIP.
- iii The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of university.
- v The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the university within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- vii The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

P.P. 12.

Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the university only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

12.1 Penalties in case of plagiarism in submission of thesis and dissertations

University Academic Integrity Panel (UAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0: Similarities up to 10% - Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% - Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

12.2 Penalties in case of plagiarism in academic and research publications

- I. Level 0: Similarities up to 10% -** Minor similarities, no penalty.
- II. Level 1: Similarities above 10% to 40% -** Shall be asked to withdraw manuscript.
- III. Level 2: Similarities above 40% to 60%**
 - i. Shall be asked to withdraw manuscript.
 - ii. Shall be denied a right to one annual increment.
 - iii. Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.
- IV. Level 3: Similarities above 60%**
 - i. Shall be asked to withdraw manuscript.
 - ii. Shall be denied a right to two successive annual increments.
 - iii. Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher

than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the university.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

Note 3: University shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the university is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Head of an HEI, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the university.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

P.P. 13.

Removal of Difficulty

UGC reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Government of India/ Ministry of Human Resource Development.

ANNEXURE – II

INPUT SHEET (To be submitted by the candidate at the time of interview before RAC)

1. Name of the Candidate:
2. Course: Ph.D.:
3. Subject:
4. Merit List Number:
5. Topics of interest in the order of preference with area of broad specialization
 - i.
 - ii.
 - iii.
 - iv.
6. Name(s) of the Guide(s) (in order of preference) along with the area of broad specialization with whom the candidate is interested to undertake research work, if selected.
 - i.
 - ii.
 - iii.
 - iv.

(Note: The RAC reserves the right to allot a guide, other than the guides' preference submitted by the candidate.

I understand that the input sheet provided by me is indicative and is submitted to provide information and my research interest.

Date:

Signature of candidate

(Note: Please bring this filled form along with print out of application form and original and photocopy of all essential documents related to educational qualifications, failing which your interview will not be conducted.)

ANNEXURE – III

Broad guidelines for preparation of synopsis

While preparing the synopsis for the Ph.D. work, following points shall be noted and followed carefully:

- A. The proposed synopsis for research should be self-contained and should cover the rationale for carrying out research.
- B. There should not be repetition of the work or topic or theme.
- C. The synopsis of the proposed research shall contain the following points:
 - 1. Title of the Research Proposal
 - 2. Choice of the topic with reasoning or significance
 - 3. Statement of the problem
 - 4. Review of the relevant literature (noted works should be considered. The text book reviews not allowed)
 - 5. Objectives of the study
 - 6. Hypothesis of the study
 - 7. The methodology comprising
 - a. Methods of research
 - b. Sampling design and assumptions
 - c. Conceptual framework if any
 - d. Research design (explanation of how research is being conducted and the tools used for the same)
 - e. Methods of data collection
 - f. Methods of data analysis (use of parametric and non-parametric tools and techniques as the case may be)
 - 8. The chapter scheme: (objectives must be reflected in the scheme)
 - 9. Select Bibliography / Webliography.

ANNEXURE – IV

Front page and cover of the thesis

Title in Block letters

A thesis submitted to

Warana University, Warananagar, Kolhapur

for the Degree of Master of Philosophy / Doctor of Philosophy

in

Subject

under the Faculty of.....

by

Name of the Candidate

under the Guidance of

Name of the Guide/Supervisor

Name of the Co-Guide/Co-Supervisor: (If any)

Name of the Department / College / Institution:

Year

ANNEXURE – V

Declaration and undertaking by Student

I hereby declare that the thesis/dissertation entitled

.....

completed and written by me has not formed earlier the basis for the award of any degree or similar title of this or any other university or examining body. Further, I declare that I have not violated any of the provisions under the acts of Copyright/Piracy/Cyber/IPR etc. amended from time to time.

In view of University Grants Commission (Promotion of Academic Integrity and Prevention of plagiarism in Higher Educational Institutions) Regulations, 2018 dated 31st July 2018, I hereby submit an undertaking that this thesis/dissertation is my original work and it is free of any plagiarism. Further, it is also to state that this thesis/dissertation has been duly checked through a Plagiarism detection tool approved by Warana University, Warananagar, Kolhapur.

Place:

Name & Signature of Research Student

Date

ANNEXURE – VI

Certificate by Research Guide/Supervisor

This is to certify that the dissertation/thesis entitled

.....
.....

being submitted herewith for the award of Master of Philosophy/Doctor of Philosophy in
(subject) under the Faculty of..... of Warana
University, Warananagar, Kolhapur is the result of the original research work completed by
Shri./Smt. under my /our supervision
and guidance and to the best of my / our knowledge and belief, the work embodied in this
Dissertation / Thesis has not formed earlier the basis for the award of any degree or similar title
of this or any other University or examining body.

In view of University Grants Commission (Promotion of Academic Integrity and
Prevention of plagiarism in Higher Educational Institutions) Regulations, 2018 dated 31st July
2018, this is also to certify that the work done by the Shri./Smt
..... is plagiarism free.

Place:

Date:

Co-Guide/Co-Supervisor (if any)
(Signature with Name & Designation)

Research Guide/Research Supervisor
(Signature with Name & Designation)

ANNEXURE - VII

Progress Report

1. Name of the student:
2. Date of Registration:
3. Faculty Subject.....
4. Whether the candidate is regular student/
Independent student / JRF /SRF/ DRF/ UGC Teacher Fellow/
Teacher/ Employed person
5. Whether the candidate is attending course work regularly
If not, give reason:
6. Name of the Guide/Supervisor:
7. Title of the research work:
8. Period of report:
9. Details of the work done:

Signature of the student

Signature of the Guide/Supervisor

Signature of the Co-Guide/Co-Supervisor

Date:

Place:

ANNEXURE – VIII

Fee structure for academic year 2026-27

Particulars /Details	Fee for Regular Student & DRF	Fee for JRF/SRF/Teachers & Employed Person
Registration Fee (one time)	1000	1000
Library Deposit (one time)	1000	1000
Lab – Fees (Sci/Engg./Pharmacy)	1000	5000
Library Fee	1000	2000
Internet Fee	2000	2000
Tuition Fee	15500	15500
Lab. Dev. Fee	2000	2000
Medical Charges	200	200
Student Development Kalyan Nidhi	200	200
Accident/Medical Help Fund Scheme	50	50
Youth Festival	50	50
Eligibility Fee	1000	1000
Total (₹) (Sci/Engg./Pharmacy)	25000	30000
Total (₹) (Others)	24000	25000

ANNEXURE – IX

Rules for imposing Fine

All students registered for Ph.D. will have remit annual and other fee within stipulated period.

Accordingly, the concerned student will have to pay annual fee as mentioned below:

- i. In case, the date of registration is 1st January, then the student will have to remit annual fee on or before 31st January every year.
 - ii. In case, the date of registration is 1st July, then the student will have to remit annual fee on or before 31st July every year.
- A. If a research student fails to remit fee within stipulated period mentioned above, then fine will be imposed as under.
1. Rs. 500/- For one month delay
 2. Rs. 700/- For two months delay
 3. Rs. 1000/- For three months delay
 4. For every additional delayed month Rs. 1000/-
- B. If the research student does not avail scholarship/fellowship/salary of full-time employment and fails to remit fee within stipulated period mentioned above, then fine will be imposed as under
1. 50% of yearly tuition fee.

ANNEXURE – X



Warana University, Warananagar

Department of

or

Subject of.....

Report of Open Defence for award of Ph.D. Degree.

The Open Defence of -----was conducted
(through VIDEO CONFERENCING/INPERSON) on----- at----- am/pm
for the thesis entitled -----

The Following members were present.

1. ----- Chairman
2. ----- External Referee
3. ----- Guide
4. -----Co-Guide (if any)

A brief report:- -----

Recommendation:- -----

Chairman,
Open Defence

External Referee

Research Guide

Research Co-Guide