



INTERNAL QUALITY ASSURANCE CELL DOON UNIVERSITY, KEDARPUR, DEHRADUN

REVISED ACADEMIC REGULATIONS AND GUIDELINES FOR PHD DEGREE PROGRAMME

These Regulations conform to UGC (Minimum Standards and Procedures for Award of M.Phil/Ph.D degree), Regulations, 2009)

1. Eligibility & Mode of Admission

The University shall decide, on an annual basis, the maximum number of candidates to be admitted to the programme, which shall be announced in advance in a notification and on the website. The candidates with at least 55% marks, in aggregate, in their Master's Degree in the subject concerned / allied / related subjects shall appear for a written test conducted by the University to be followed by an interview to be conducted by the concerned School/Department/Centre.

After assessing the appropriateness of the subject in which the candidate has a master's degree to the field of proposed study, the candidates will be selected according to the merit as determined after giving suitable weight age to the following:

(a) All eligible applicants will be ranked on the basis of net merit computed by assigning weightage of 60 % to Entrance test score and 40 % weightage to Interview. The University will then decide on a suitable multiple of the vacancies that would be called for a personal interview based on the entrance test score. The Ph. D. entrance test in a subject shall consist of two PARTS: PART A will test a candidate's General Ability / Aptitude in concerned subject and PART B will test subject specific knowledge. The Vice-Chancellor shall constitute appropriate Committees, at the University and Departmental levels for conducting the Test and interview respectively. During the interview, the Departmental Committee may make a *provisional* allocation of selected applicants to the eligible supervisors.

(b) Candidates who have qualified themselves in any of the National Level Ph.D. eligibility test such as NET-JRF / GATE (PhD Level) / who have passed M. Phil. programme with course work/ candidates with two years of experience after post graduation with one publication are required to apply for admission but exempted from appearing in entrance test. All eligible NET-JRF / GATE (PhD Level)/ M. Phil holder/ two years experience holder applicants will be called for the personal interview. Generally such candidates will be preferred to non-JRF candidates.

(d) In-house Faculty members having NET who wish to register for PhD programme shall be exempted from appearing for the written test. Such applicants may be considered as supernumerary but will be required to apply and appear for the personal interview.

2. Supervisor and Doctoral Research Committee

A selected candidate will be assigned a supervisor at the time of admission taking into the account the specialization of the supervisor and candidate's interest taken in a form at the time of Interview. A Doctoral Research Committee (DRC) will be constituted at the level of each School/Department/Centre consisting of the Supervisor(s) and two other members to be appointed by the department taking into account the nature of the research problem and the recommendation of the Supervisor. The DRC shall

normally be constituted within six months of the admission of the candidate in Doon University. The DRC is to be approved by the Academic Advisory Committee (AAC) of the Concerned School/Department/Centre. The DRC shall regularly monitor the progress of the research work of the scholar bi-annually. A Scholar shall submit 6-monthly progress reports to the DRC and also an annual seminar outlining his research work during the year. Non-submission of two consecutive reports or failure to give the annual seminar can be basis for possible cancellation of registration. If the DRC finds that the progress of the work is not satisfactory, a report to that effect shall be submitted to the respective AAC through the School/Department/Centre for appropriate action.

[A DRC will have the functions: (i) monitoring the scholar's progress (ii) conducting the annual seminar (iii) recommending change of title if necessary / holding pre-submission seminar (iv) issuing a letter permitting him to give the pre-submission seminar (v) assessing readiness of the scholar to submit the thesis and (vi) recommending a panel of examiners]

3. Course Work Requirements

There shall be a compulsory pre-Ph.D. course work of a minimum of 14 credits. A candidate must secure at least a **60% or more marks** in pre-PhD courses in order to become eligible for Ph.D. registration. The course work will consist of 3 courses of 4 credits each: one University Level Course on Research Methodology with quantitative methods, statistics and computer applications, one course at School Level and another shall be prescribed by the DRC suiting to candidate's area of research. The candidates will also have a course on Technical Writing/Review Writing of 2 credits.

Provision for credit transfer for course work:

Candidates possessing an M. Phil. or an equivalent degree like M. Tech. with dissertation may have provision for credit transfer and such candidates may be prescribed course work of only one semester. This provision must be applied only if,

- (i) The broad area of proposed research at the PhD level matches with the one chosen at the MPhil/ M.Tech. Level, and
- (ii) The MPhil degree obtained by the candidate included course work as stipulated by the UGC regulations for PhD 2009.

The School Faculty Council will decide on the exemption taking into account the above stipulations and the recommendation of the DRC.

4. Supervisor

(a) The School/Department/Centre shall assign a Supervisor to the selected candidates taking into account the specialization of the supervisors and the candidate's interests. The supervisor shall be a regular teacher of the University. A Professor or an Associate Professor shall *ipso-facto* be eligible to become a Supervisor provided that they had experience of supervising doctoral students. An Assistant Professor with Ph.D. having three-years of continuous service in teaching/research in regular capacity shall become eligible provided he/she has proven records of research in the form minimum three publications in high quality peer-reviewed journals.

(b) A Professor may supervise not more than eight, an Associate Professor Six and Assistant Professor Four PhD scholars at any point of time, inclusive of joint supervision/co-supervision with the following provisions:

- (i) The number of scholars as specified in (b) above shall include the scholars being guided by him from this University and from other Educational Institutes as well, and
- (ii) No faculty shall be allotted a student for supervision if he/she has less than one year to superannuate from the University service. However, he/she shall be allowed as joint/co-supervisor for not more than three students.
- (iii) In the event of a Supervisor's superannuation or Supervisor/Co- Supervisor leaving the University on professional/academic assignments elsewhere, the matter shall be discussed in

SFC/AAC and a new Supervisor will be allotted to the concerned student on the basis of the recommendation of the AAC to the AC. Under such circumstances the previous Supervisor may act as Co-Supervisor.

© The university faculty may co-supervise a student registered for Ph.D in any other Central/State Government University/Institution/. However, the number of students registered under the concerned faculty either as supervisors or co-supervisors should not exceed the maximum limit prescribed by UGC

5. Joint Supervisor

(a) A School/Department/Centre may, with the proposal of the SFC and recommendation of the AAC and subsequent approval by the Academic Council, shall appoint a joint supervisor, from outside the School/Department/Centre, in addition to the Supervisor in which case the Supervisor shall be in overall charge of the supervision. A Joint Supervisor need not necessarily be a teacher of the University but shall be a person recognized as Supervisor as per the University Regulations. A scholar may be assigned a Joint Supervisor only if his Supervisor so desires in view of inter-disciplinary nature of the problem or if the candidate carries out his work from another Institution.

(b) The recognition of a Teacher from other Central/State Universities / Researchers/Scientists from the Central/State Organizations as a Ph.D. Co-Supervisor/Joint-Supervisor will be accorded, taking into consideration the relevant Ordinances, on the basis of a written application through the Head of the Organization where he/she is working, along-with bio-data and other supporting documents. This application shall be submitted to the Dean/Head of the concerned School/Department/Centre. The concerned AAC shall forward the recommended names to the Academic Council.

6. Recognition of Research Institutions / Laboratories as PhD Research Centers

(a) Recognition to a Central/State Research Laboratory / Institution, with whom the University as signed MoU, as a Centre for pursuing research leading to the Ph.D. Degree of this University, may be granted on the basis of a written request by the concerned Research Laboratory / Institution concerned and on the basis of a specific recommendation of a Regular Inspection Committee appointed by the Doon University and subsequent approval of the Academic and Executive Councils of the University.

(b) While granting such recognition the Academic Council, if it considers desirable, may refer the matter to the concerned Faculty Council/AAC for their considered opinion on the suitability of the research in the given field of study.

7. Confirmation of Ph. D. Registration

(a) Initially the students will be provisionally registered for Ph.d programme. After completion of pre Ph.D course work the student can apply for confirmation of Ph.D Registration.

(b) The application for registration for Ph.D. shall be made to the School/Department/Centre concerned in the prescribed proforma (Synopsis) along with a detailed research proposal including the proposed title, introduction, scope of the study, review of literature, objectives, research methodology including sampling and design, wherever necessary, and references by the DRC. The School/Department/Centre shall forward the research proposal to the AAC through the Faculty Council. The date on which the AAC accepts the proposal for registration shall be the effective date of confirmation of registration of the scholar for the purpose of this Ordinance.

(c) In case a candidate wishes to change the topic of research, he/she may be permitted to do so within one year from the date of his/her registration. The modified research proposal shall be submitted to the Faculty Council through the concerned DRC for its consideration and approval by the AAC.

(d) If there is any need for modification of the title of research work, the candidate shall submit an application to his DRC which will forward it, with its recommendations to, the AC through the AAC at least 6 months before the date of submission of the thesis. A minor change that does not alter the meaning of the title, if suggested during the pre-submission seminar may however be permitted without the time restriction

8. Duration of PhD Programme

(a) A scholar shall not be permitted to submit the thesis for the Ph.D. degree unless he/she has pursued research at the University for not less than two years from the date on which his/her registration has been confirmed by the AAC.

(b) The name of a scholar will be removed from the rolls of the University if he/she fails to submit his/her thesis within five years of the date of his/her registration.

©Re Registration: After completion of five years on the recommendation of DRC with certification of 90% completion of research work, AC may grant extension of one year only.

9. Pre- Submission Seminar

(a) When the DRC is of the opinion that the thesis is in the final stage of completion, the scholar shall give a preliminary presentation on his/her research findings at least one month prior to the pre-submission. This presentation will be given in the presence of the DRC and one faculty member nominated by the Dean/Head from an allied department in the School/Department/Centre.

(b) The pre-submission shall be public and open to all the faculty members and students of the School/Department/Centre. After the notification of the Dean/Head's nominee, the DRC shall fix the date and time of the pre-submission seminar through mutual consent. The supervisor shall issue the notice of the seminar with intimation to the Controller of Examinations.

(c) The unanimous recommendation shall be clearly and specifically recorded on a standard format in triplicate and shall be duly signed on each proforma by all members of the DRC, who are present at the seminar, and the Dean/Head's nominee. However, this committee shall not recommend any modification in the registered title of the thesis. The candidate shall be required to suitably incorporate the recommendations of the Committee in his/her thesis.

(d) Two copies of the report shall be forwarded to the AAC by the DRC. The Dean/Head of the School/Department/Centre shall forward one copy of the report to the Controller of Examinations of the University while one copy shall be retained for the record of the AAC.

10. Submission of thesis

(a) Before the submission of his/her thesis for evaluation and assessment, a Ph.D. candidate shall publish at least one research paper related to his research topic in a peer-reviewed Journal and produce evidence to this effect in the form of a reprint or a letter of acceptance of the paper.

(b) A scholar shall submit four soft-bound copies, typed on both sides of the page, of his/her thesis along with one in electronic form. The thesis must be prepared and bound as per the templates which will be available on the University's website.

(c) A Ph.D. thesis must contain original contribution by the scholar; it may incorporate the text of any work which the candidate may have published on the subject. A scholar will not be allowed to submit in his/her thesis any work for which a Degree / Diploma has already been conferred on him/her by this or any other University.

(d) The supervisor shall satisfy himself before submission of the thesis that it is a piece of research work characterized either by discovery of new facts or by fresh interpretation of facts or theories. In either case, it should provide evidence of the candidate's capacity for critical examination, original thinking and judgment. The thesis shall also be satisfactory in respect of clarity and correctness of language.

(e) The Candidate and the Supervisor will also certify, after verification using appropriate software, that the contents of the thesis are free of plagiarism and copyright regulations.

(f) The thesis shall include a certificate from the Supervisor to the effect, *inter alia*, that the recommendations made by the evaluation committee have suitably been incorporated and a declaration that the thesis incorporates the student's *bonafide* research and that the findings have not been submitted for award of any degree / diploma in this or any other University or Institute of learning.

(g) The application for submission of thesis shall be countersigned by the Dean/Head of the concerned School/Department/Centre. The DRC will then forward the thesis to the Controller of Examinations through the Dean/Head of the concerned School/Department/Centre for further necessary action.

11. Panel of Examiners for Evaluation

(a) The Supervisor shall submit a panel of ten names of examiners from the concerned area of Research along with their specializations (and lists of publications wherever possible) including his/her own name in the prescribed Proforma to the AAC through the Dean/Head of the School/Department/Centre for approval and submission to the Controller of Examinations. At least five names in the panel shall be from outside the State. The Vice-Chancellor, while appointing three examiners may ensure that at least one examiner is from outside the State.

12. Examiner's Reports

(a) Each examiner will give a certificate that the candidate is not blood-related to him/her in any form, and shall, after carefully examining the thesis submit a report in the prescribed proforma to the University containing a clear recommendation that in his opinion the thesis (i) is recommended for the award of Ph.D. Degree (ii) should be modified / revised; or (iii) may be rejected.

(b) On receipt of satisfactory evaluation reports, the candidate shall undergo a *viva-voce* Examination which shall also be openly defended. A Board consisting of the Supervisor and one of the External Examiners shall be constituted by the Vice-Chancellor for the viva-voce examination. The University shall ensure that as far as possible and practicable the viva-voce examination shall be held within a period of six months from the receipt of the examiners reports. The Supervisor concerned will act as the Convener of the Viva-Voce Examination and shall submit a report of *viva-voce* examination to the Controller of Examinations.

(c) In case an examiner suggests some modification / improvement in the thesis on certain specific lines or points out certain lacunae in the thesis, the candidate shall be asked to reply or modify the thesis as suggested, within one year from the date of intimation of the requirement of modification by the University, and resubmit the thesis for evaluation to the concerned examiner. If the candidate decides not to accept the suggested modifications or reply to the queries, or when he replies to the points/observations raised by an examiner but the reply is not accepted by the examiner, the matter shall be further referred to the Committee of experts to be appointed by the Vice-Chancellor.

(d) A thesis shall be accepted for the award of the Degree of Doctor of Philosophy on the unanimous recommendation of the examiners.

(e) In case both the external examiners reject the thesis, no degree shall be awarded. If there is a difference of opinion between the external examiners, it shall be referred to a third external examiner to be nominated by the Vice-Chancellor out of the panel already approved by the Academic Council and the Executive Council. The opinion of the third external examiner shall be final.

13. Re-submission of Thesis

(a) A candidate whose thesis has been referred back for revision shall re-submit it for the award of the Ph.D. Degree within one year of the intimation of the decision of the University.

(b) A thesis which has been re-submitted shall be examined by the same external examiner(s). In case any examiner(s) is (are) unwilling to act as such, another examiner(s) may be appointed by the Vice-Chancellor from the approved panel of examiners.

14. Declaration of Result and Award of Degree

(a) On the basis of the reports of the examiners and the viva-voce the DRC/AAC shall recommend to the Executive Council through the Academic Council for the declaration of result and the award of the degree or otherwise. However, as the interim measure, the Vice-Chancellor may grant permission for the declaration of the result and the award of the degree.

(b) Along with the award of the Degree, the University shall also issue a certificate stating that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for the award of Ph. D. degree) Regulations, 2009.

(c) After announcement of the award of the PhD degree, the University will submit an electronic copy of the PhD thesis to the UGC within a period of thirty days for uploading the thesis to INFLIBNET, accessible to all Universities/Institutes.

(d) The date of receipt of the report of the *viva-voce* examination committee by the Controller of Examinations shall be deemed to be the date of award of the degree.

15. Copyrights

Doon University, Dehra Dun reserves the copyright in respect of all theses based on which the University has awarded PhD degrees.

16. Removal of Difficulties

Notwithstanding anything contained in this Ordinance the Vice-Chancellor is empowered to take suitable measures to overcome doubts/constraints/difficulties and resolve any other extraordinary issue.

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