

**Kumaun University Research Ordinance-2016**  
**(UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees**  
**Regulations, 2016)**

**(By order of the Chancellor, Kumaun University, Nainital vide Order No. 3546/G.S./**  
**J-29/Edu./2017 dated 28<sup>th</sup> December, 2017)**

Kumaun University, established in 1973, is comprised of three campuses at Nainital, Almora and Bhimtal respectively. In the year 2015 the Kumaun University has been accredited as NAAC-Grade 'A' besides an ISO: 9001 certified university. The Kumaun University, Nainital is a member of Association of Indian Universities. Kumaun University is comprised of the faculties of Arts, Science, Commerce & Management, Education, Law, Medicine and Technology. Most of the teaching departments under these faculties have facilities for carrying out research in different fields of interest.

Chemistry, Botany & Forestry, Geology, Physics and Geography had or still have FIST programmes of Department of Science & Technology, Government of India and have research projects from various funding agencies. Chemistry has an Advanced Centre for Researches on Aromatic & Medicinal Plants. Geology and Physics have been recipients of SAP & DSA Programmes of UGC. The Geology and Physics Departments have been upgraded to Centre of Advanced Study (CAS) under DSA programme of the UGC. The Geography Department has NRDMS Centre at SSJ Campus, Almora.

Over three dozen UG and PG colleges besides Professional Institutes are affiliated to the Kumaun University. The teaching faculties of about one dozen affiliated colleges are also involved in supervising research leading to Ph.D. degree of Kumaun University.

The University Grants Commission issued the **University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 in supersession of the earlier Regulations titled as 'Minimum Standards and Procedure for Award of M.Phil./ Ph.D. degree, Regulations 2009'** vide a **Gazette notification dated May 5, 2016, and its compliance is mandatory for all universities and institutions awarding Ph.D. degree in India.** Keeping this in view, our University has **amended its earlier Research Ordinance in consonance with the UGC Regulations, 2016 and the amended Ordinance shall be known as 'Kumaun University Research Ordinance - 2016'**. As provided in the Ordinance, the admissions shall be made **directly** and through the Entrance Test to be conducted by the University. This shall help in maintaining the high standards of the Ph.D. degree and our degree holders would be among the best.

**The Ordinance shall come into effect immediately after its approval by the competent statutory authority of the University.**

## **1. DOCTOR OF PHILOSOPHY (Ph.D.)**

### **(A) Eligibility Criteria for Admission to Ph.D. Programme:**

- (a) A candidate for the Ph.D. degree entrance test must have a Master's degree of the Kumaun University or of any other University incorporated by the law in force and recognized by the UGC or a **professional degree declared equivalent to Master's degree by a corresponding statutory regulatory body**; provided also that the candidate,

- (i) has a Master's degree with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or equivalent degree from a foreign educational institution recognised and established under a law in its home country. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled candidates.
  - (ii) has qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF/SLET/GATE/Teacher Fellowship holder or have passed M.Phil. Programme.)
  - (iii) A permanent teacher having served the Kumaun University or the affiliated college for a minimum period of one year as a regular teaching faculty.
  - (iv) As per the recommendations of Academic Council, Point 02, Dt.06.3.2013; those who have appeared in PG Final Year/ Semester Exam. of the Kumaun University or its affiliated colleges/ institutions may also apply provisionally for the Ph.D. Entrance Examination.
- (b) A candidate shall ordinarily be permitted to work for the Ph.D. Degree in the subject in which he/she has obtained Master's Degree, but also that research work leading to Ph.D. Degree may be allowed in allied subjects in the same or any other Faculty, if the Research Degree Committee (RDC) concerned is satisfied that the candidate possesses the requisite qualifications to take up the proposed research work. Allied subject for the above stated purpose have been approved by the Academic council of the University.

**(B) Procedure for Admission:**

The University/Colleges/Centres shall decide on an annual basis through their academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted depending on available eligible research supervisors and physical facilities, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities.

**The University/Colleges/Centres shall notify well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in Hindi language, 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 shall be conducted and other relevant information for the benefit of the candidates.**

The candidates shall be selected for **admission** to the Ph.D. programme:

- (i) Through Research Entrance Test (RDET) conducted by the University, or
- (ii) Direct admission (without appearing in RDET),  
**(However, the university may conduct a separate Ph.D. Entrance Test for those candidates who have qualified UGC NET (including JRF)/UGC-CSIR NET (including JRF/SLET/GATE/Teacher Fellowship holder or have passed M.Phil. Programme.)**

- (iii) Direct Admission (without appearing in RDET) for Teacher Candidate, who is a regularly appointed permanent teaching faculty having served the university or the college for a period of minimum of one year in the University or the College/Institutions affiliated to the University as per University/State Govt. rules.

The admission merit will be in the order of (i) JRF, (ii) RDET and (III) Teacher Candidate.

Provided that, the candidate who has qualified UGC/CSIR- JRF test or equivalent national test **may be required to appear in separate Entrance Test**. Procedure for admission will be as follows:

**(a) Through Research Entrance Test (RDET):**

- (i) Through Research Entrance Test (RDET): Subject knowledge (objective/multiple-choice type) (Written Test of 100 marks; Duration of Examination: 2hrs).
- (ii) Paper shall contain 100 objectives / multiple-choice type questions and each question shall carry one mark with no negative marking.
- (iii) No scrutiny / revaluation of the answer sheet of the written test will be permitted.
- (iv) The Qualifying Percentage of Marks in the Entrance Examination will be as under: General – 50%, OBC – 45% & SC/ST/VH/PH - 40%.
- (v) Admission to the Ph.D. programme in each subject shall be made strictly according to RDET merit against the available seats in the concerned subject in the university campus and affiliated colleges.
- (vi) Reservation Policy of the State of Uttarakhand shall be followed.

**(b) Direct Admission (without appearing in RDET):**

- (i) Direct Admission (Without appearing in RDET): A candidate who has qualified UGC/ CSIR - JRF or equivalent national test, e.g., GPAT/ICAR/ICMR/INSPIRE shall be considered for direct admission to the Ph.D. programme without appearing in Research Degree Entrance Test (RDET) but shall apply by filling the form within due date. **The University reserves the right to conduct a separate entrance test for UGC/CSIR-JRF or equivalent national test for admission to the Ph.D. programme. However, until a separate entrance test is not conducted the UGC-JRF-NET shall be admitted directly.**
- (ii) A regularly appointed permanent teacher having served the Kumaun University or the affiliated college for a minimum period of one year as a regular teaching faculty in the Kumaun University or the Colleges affiliated to the Kumaun University as per Kumaun University/State Govt. rules; shall also be exempted from the Ph.D. Entrance Test but are also required to apply and shall be considered together with other candidates on the basis of PG

Merit at the time of counselling for allotment of supervisor subject to the, provision 'C' of criteria laid down for Research Supervisor of the ordinance.

1. The qualified candidates shall be admitted to Pre-Ph.D. Course Work through counselling/ interview.
2. The Pre-Ph. D. Course Work Exam. Pass candidates shall be interviewed by the RDC. **The interview/viva-voce shall consider whether:**
  - (i) **the candidate possesses the competence for the proposed research;**
  - (ii) **the research work can be suitably undertaken at the university/College;**
  - (iii) **the proposed area of research can contribute to new/additional knowledge.**
3. Other terms and conditions shall be decided by the office of the Director, Sponsored Research and Industrial Consultancy Cell with the permission of the Vice-Chancellor.
4. Ordinance and changes, therein, if any, shall be admissible only when passed by the Academic Council of the University.
5. **The University shall maintain a list of all the Ph.D. 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 registration.**

#### **C. Research Supervisor:**

- (a) Every candidate shall have a Research Supervisor. A Research Supervisor must be:
  - (i) A regular teacher of the Kumaun University or a College affiliated to it **with at least five research publications in refereed journals and any regular Associate/Assistant Professor with a Ph.D. degree and at least two research publications in refereed journals shall be recognised as Research Supervisors.**

**Provided that in areas or disciplines where there is either no refereed journals or only a limited number of such journals, the institution may relax the condition of publication of research papers for recognition of a faculty as Research Supervisor with reasons recorded in writing.**

- (ii) **Only a full time regular teacher of the Kumaun University or a College affiliated to it can act as a Supervisor. A Scientist/Teacher or Head of a Section of any Research Institute/Department/Laboratory, other than that of the Kumaun University, shall not be allowed to act as Supervisor. However, Co-Supervisors can be allowed in inter-disciplinary areas from other Departments of Kumaun University/affiliated Colleges or from other related institutions with the approval of the Research Advisory Committee.**
- (iii) A scholar of exceptional merit, as proposed by the RDC/ Faculty Board and approved by the Academic Council.

- (b) Relatives of the candidate for the Ph.D. degree shall not act as supervisor. Relations will include father, mother, husband, wife, son, daughter, brother, sister, uncle, nephew, father-in-law, mother-in-law or such other relations, as may be determined by the Executive Council.
- (c) **A Research Supervisor/Co-supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum number of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum number of four (4) Ph.D. scholars at a time.**
- (d) The allotment of the supervisor for a selected student shall be done depending on the number of students per faculty member, the available specialization among the faculty supervisors, and the research interest of the student as indicated during interview by the student. The allotment/allocation of supervisor shall not be left to the individual student or teacher though their choice may be considered. The Head of the concerned Department/ Dean/ Principal through **Departmental Research Advisory Committee** shall ensure that in general the students are allotted to those supervisors who have expertise and facilities in the area of interest of the student. The supervisor/ co-supervisor may be present at the time of allotment of seats.
- (e) **In case of research topics which are of interdisciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall act as Research Supervisor, and a Co-supervisor from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.**
- (f) A superannuated teacher may not enrol fresh candidates but may continue supervising those candidates who had completed most of the work but for others he/ she may propose a co-supervisor. The superannuated Emeritus Scientists may, however, continue supervising those already registered **with them** before **their** retirement as **Co-supervisors**.
- (g) **In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the university to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the Kumaun University/ Co-Supervisor from any funding agency. The scholar will however give due credit to the parent guide and the Kumaun University for the part of the research already done.**

#### **D. Departmental Research Advisory Committee:**

**There shall be a Departmental Research Advisory Committee for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. The Committee shall have the following responsibilities:**

- (a) **To review the research proposal and finalize the research topic;**
- (b) **To guide the research scholar to develop the study design and methodology of research and identify the courses that he/she may have to do.**
- (c) **To periodically review and assist in the progress of the research work of the research scholar.**

**A research scholar shall appear before the Departmental Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress report shall be submitted by the Departmental Research Advisory Committee to the University/College with a copy to the research scholar.**

**In case the progress of the research scholar is unsatisfactory, the Departmental Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Departmental Research Advisory Committee may recommend to the University or College with specific reasons for cancellation of the registration of the research scholar.**

**D. Place of Work/ Research Centre:**

- (a) Every research student shall work at one of the Campuses/Colleges/Research Centres recognized by the Kumaun University.
- (b) The Research Degree Committee (RDC) of the subject shall ensure, in the case of Assistant Professors and Associate professors, their ability to be approved as supervisors, which will be based on the quality of published/ project work carried out by them.
- (c) A Co-supervisor can also be allowed by the RDC for interdisciplinary work, if necessary; however, supervisor must be a regular teacher of this university.
- (d) All new research centres and new supervisors (guide/co-guide) have to be approved by the Academic Council on the recommendations of concerned RDC/ Faculty Board as per provisions of the Statutes of Kumaun University.

**E. Recognition of Institute/ Research Centre:**

- (a) The Institute/Centre concerned shall apply for recognition as centre for conducting research leading to research degree for specified areas of research depending upon facility and experts available. The proposal shall be examined through the respective RDCs including visit by expert team.
- (b) On recognition as research centre, the institute/ centre may enrol students for Ph.D. degree as per provisions specified for this purpose.
- (c) The senior scientist of the Institute having MOU with the University may be recognized as Co-supervisor on the recommendations of RDC.
- (d) Joint research programmes with the Institutes may be initiated after signing MOU for this purpose.

**F. Pre Ph. D. Course Work:**

- (a) After his/ her admission, the candidate shall undertake the prescribed course work for one semester (six months). There shall be a total of three papers and the course work shall be supervised by the Dean of Faculty and concerned Head/ Convener. The course work shall be treated as **Pre-Ph.D. Course Work and shall include:**
  - (i) A course on Research Methodology which may include Quantitative Methods, computer applications, **research ethics and review of published research in the relevant field, training, field work etc.**

- (ii) An Advanced course in the subject/ area in which the candidate has proposed to follow his/ her research work for the Ph.D. degree.
  - (iii) A Dissertation in the thrust area in which the candidate has proposed/wish to pursue his/ her research work for the Ph.D. degree.
- (b) Pattern of Examination shall be as under:

Paper	Title of Paper	Maximum marks			Minimum Marks
		Internal	External	Total	
I	Research Methodology	25	75	100	55%
II	Recent Advances in Subject	25	75	100	55%
III	Dissertation	25	75	100	55%

- (c) Minimum Marks each in internal and external exams shall be 40%, **however, the aggregate pass marks in the individual subject shall be 55%.**
- (d) The Department/College shall ensure the submission of one copy of the Dissertation to the office of Director, Sponsored Research and Industrial Consultancy Cell(SRICC) before the expiry of the last date of the submission of the Dissertation. Dissertation Evaluation (external) shall be done by the office of Director, Sponsored Research and Industrial Consultancy Cell (SRICC) by appointing External Examiners. The Director, SRICC shall have liberty to decide the number of external examiners in view of the number of the Dissertations submitted.
- (e) The candidate shall have to submit his/her dissertation in the office of Director, Sponsored Research and Industrial Consultancy Cell through proper channel 30 (thirty) days prior to the date of the Pre-Ph.D. Course Work Exam.
- (f) Internal assessment of the candidate's should be in the break up of conduct, assignments and presentation (10+20+20=50) etc.
- (g) Upon satisfactory completion of the prescribed Pre-Ph.D. Course Work, the candidate shall undertake research work and produce a draft thesis. In case the candidate does not qualify the Pre-PhD Course work, may be given one more opportunity to qualify the course in subsequent exam.
- (e) This shall be the minimum qualifying requirement for allowing a student to proceed with further work and the writing of the thesis.

**G. Ph.D. Registration:**

- (a) A pre-registration presentation of the synopsis shall be held in the subject in R.D.C. of the University in which the candidate will have to present and defend his/her synopsis and related aspect of his/ her research.

- (b) A Candidate shall be registered from the date of his/her application and submission of fees even though the RDC approves the subject at a later date, unless a different date has been specified by RDC.
  - (c) Admission/Registration of a candidate in research shall be cancelled by the university/competent authority (as the case may be), if any unsatisfactory report regarding the progress of the thesis and conduct of the candidate is given by the supervisor of the candidate.
  - (d) **HOD/ Supervisor shall maintain attendance of the research scholars regularly. The attendance, so maintained shall be sent to the Head of the Department and Dean/Principal of the concerned faculty at regular intervals.**
  - (e) The application for registration shall be placed before RDC in each subject consisting of the Vice-Chancellor, The Director, Sponsored Research and Industrial Consultancy Cell (or nominee), the Dean of the Faculty, the Convener of the RDC concerned and three experts to be nominated by the Vice-Chancellor in consultation with the convener of the Board of studies. The Committee shall satisfy itself that the subject and the synopsis offered are such which can profitably be pursued under the guidance of the proposed supervisor, that the candidate possesses the requisite qualifications and that adequate facilities and equipment for work exist at the institutional level.
  - (f) **The candidate shall pursue his/her research at the institution assigned, under the supervisor and on the subject approved for not less than twenty-four months commencing from the date of registration and must put in *at least 200 days attendance* in the department or as permitted by the Academic Council, at the place approved by it (including the headquarters of the supervisor).**
  - (g) A candidate must have at least three years standing as Master's Degree holder of the subject/ allied subject at the time of submission of the thesis.
  - (h) **The application for registration and the research synopsis of a candidate must be submitted to the university within three months after the declaration of Pre PhD Course Examination Result or at least one month before the actual date of the meeting of the R.D.C. of a subject after depositing respective late fee.**
  - (i) **The maximum time of six months shall be allowed for submitting a revised synopsis. After this period the synopsis submitted shall be treated as withdrawn/cancelled.**
  - (j) That a candidate may be allowed to modify the synopsis of his thesis within four calendar years from the date of registration.
- (H) Duration of the Programme:**
- (i) **Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.**
  - (ii) ***RDC for the approval of the synopsis shall invariably be convened within three months from the last date of the submission of synopsis.***



- (iii) After the expiry of 6 years from the date of registration the candidate may be granted one-year extension by the Vice-Chancellor provided that the candidate has applied for extension within 3 months before the expiry of the six year period. Unless the extension is granted by the Vice-Chancellor, the name of the candidate shall be removed from the list of those registered for the Ph.D. Degree, after expiry of six year period.
- (iv) The candidate may apply for re-registration within a period of three months from the date on which the extended period expires and, thereafter, he shall be re-enrolled after paying a fresh fee as prescribed and he shall be given a further maximum period of one year from the date of re-registration for the submission of his/ her thesis. The submission of thesis and the payment of fees, must be made within the extended period. Thesis shall not be accepted after due date.
- (v) The women candidates and persons with disability (more than 40% disability) shall be allowed a relaxation of maximum two years for Ph.D. The women candidates shall be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

**I. Pre-submission Review:**

- (i) The candidate will have to appear twice in successive years before the RDC in the subject for a review of the work done in synopsis approved. Without two reviews of the research work done no candidate will be allowed to appear for pre-submission seminar.
- (ii) A presentation of the progress/work done shall be held in the subject in R.D.C. of the University in which the candidates will have to present progress of the work done in synopsis and related aspect of his/ her research.

**J. Pre-submission Seminar:**

- (a) Prior to the submission of the thesis a pre-submission seminar shall be held in the Department in which the candidate shall make a presentation before **the Departmental Research Advisory Committee** to defend the thesis work. The pre-submission seminar shall be open to all the faculty members and research scholars of the concerned department and the faculty. **The feedback and comments obtained from may be suitably incorporated into the draft thesis in consultation with the Departmental Research Advisory Committee.** The thesis to be submitted must be approved for submission by the Departmental Research Advisory Committee after the pre-submission seminar is over. Such an approval must include the university HOD/Convener of the RAC as chairman. The thesis must be forwarded to the University by the convener of the RAC.
- (b) Ph.D. candidate shall publish at least one research paper in a refereed Journal and **make two paper presentations in conferences/seminars before the submission of thesis for evaluation and produce evidence in the form of certificates and/or reprints.**

**K. Evaluation of the Thesis:**

- (a) The following documents shall be submitted by the candidate to the University at the time of submission of thesis:-
1. Thesis: 03 copies
  2. Summary: 04 copies
  3. Synopsis: 03 copies
  4. No-dues Certificate (Fee. Receipt, Departmental, Campus and Central Library)
  5. CD of the Thesis (PDF File)
  6. Pre-submission Certificate.
  7. Fee deposition receipt
  8. Pen drive of the thesis (PDF File) to be deposited at the office of Director, Sponsored Research and Industrial Consultancy Cell, Kumaun University Nainital (sriccku@gmail.com).
- (b) The candidate shall submit three printed or type written (typed both sides of the paper) but not published copies of his/her thesis. Published matter may also be incorporated as a part of the thesis. The medium of expression for thesis shall be either English or Hindi (written in Devanagari script) except in the case of subjects connected with any of the oriental languages, where the thesis may, at the option of the candidate, be presented in that language. The thesis shall be accompanied by a certificate from the supervisor stating:
- (i) that the thesis embodies the work of the candidate himself/herself.
  - (ii) that (unless he/she is a teacher in the University/an affiliated college) he/she has put in the required attendance in his/her research centre during that period.
- (c) The thesis shall comply with the following conditions :
- (i) It must be a piece of research work characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories. In either case, it should evince the candidate's capacity for critical examination and sound judgment. The candidate shall communicate how far the thesis embodies the result of his/her advance knowledge in the subject.
  - (ii) It shall be satisfactory with respect to language and presentation of subject matter. The examiners will also indicate whether the thesis is suitable for publication in its present form with or without amendments.
- (d) Examiners for the thesis shall be appointed only after pre-submission seminar/ submission of thesis. The Convener of the Board of Studies and the concerned supervisor shall be requested to suggest panels consisting of six names of examiners each for consideration of the Vice-Chancellor (10 names, in case of Convener being the supervisor). The thesis shall be sent to two examiners selected for the purpose by the Vice-Chancellor out of a panel suggested by the convener and supervisor.
- (e) The thesis submitted by the Ph.D. scholar **shall be evaluated by his/her Research Supervisor** and at least two external examiners, **who are not in the employment of the University, of whom one examiner may be from outside the country.**

- (f) The Ph.D. examiner shall be required to submit his/her report normally in two months' time, however, some more time may be permitted with the permission of the Vice-Chancellor. Thereafter, a fresh examiner may be appointed.
- (g) If the examiners recommend that the candidate be asked to improve his/her thesis the Executive Council may permit the candidate to re-submit his/her thesis, not earlier than six months and not later than one year, and under very special circumstances not later than a year and a half, the period being counted from the date of the communication of the decision of the Executive Council granting the permission. In case the candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 2500/- or any other fee prescribed at the time of the re-submission of the thesis but it shall not be necessary for him/her to produce any certificate of further attendance at the institution at which he/she carried on his/her work.
- (h) If both the examiners disapprove the thesis, it shall be rejected. In the event of divergence of opinion between the two examiners of the thesis, the thesis shall be sent for evaluation to the third examiner from the panel appointed under the ordinance and his/her opinion shall be final. The re-submitted thesis shall be examined by the old set of examiners.
- (i) The University shall have the right to withdraw or cancel the already awarded Degree, if it is found at any date that there is no originality or genuineness in the thesis concerned or if there is any other severe matter according to which it is established that the degree should not have been awarded to the candidate. The supervisor of such a candidate shall also be held responsible for such a work.
- (j) **The Academic Council of the University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for the evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University where the work was carried out, or to any other university or institution.**
- (k) **The University shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.**

#### **L. Viva-Voce Examination:**

- (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 external examiners and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- (b) In case, both the original examiners approve the thesis (and in the event of divergence of opinion between the two, the third examiner approves the thesis), the candidate shall be called upon to appear for a *viva-voce* test before a board of two examiners comprising the supervisor and one of the two external examiners (approved by the Vice-Chancellor). If both *viva-voce* examiners are satisfied, the case shall be placed before the Executive Council. If the

Executive council, after considering the reports of the examiners, considers the candidate worthy of the Ph.D. Degree, it shall approve the Degree.

- (b) The Head of the University Department/ convener of RDC of the University shall be the Chairman of the *viva-voce* examination of a candidate.
- (c) The *viva-voce* exam of a candidate shall be held at the University Headquarters (unless specially allowed by the Vice-Chancellor).
  - (i) Not satisfied with the *viva-voce* examination, the candidate shall be asked to reappear (after paying a fee of Rs. 2000/-) at a second *viva-voce* examination within one year but not earlier than six months. If the candidate fails to satisfy the *viva-voce* examiners the second time, his/her thesis shall be finally rejected.
  - (ii) **Following the successful completion of the evaluation process and before announcement of the award of Ph.D. the University shall submit an electronic copy of the Ph.D. thesis to the UGC for hosting the same in INFLIBNET so as to make it accessible to all Institutions/Colleges.**
- (f) **Prior to the actual award of the degree, the University shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016.**

**M. Academic, Administrative and Infrastructural Requirement to be Fulfilled by Affiliated Colleges for getting Recognition for offering Ph.D. Programmes:**

- (i) **All the Colleges affiliated with the Kumaun University shall ensure that they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per the Research Ordinance of the Kumaun University.**
- (ii) **Post-graduate Departments of affiliated Colleges, Research Laboratories of Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per this Ordinance shall only be granted recognition to operate Ph.D. Programme by the University. The University shall grant recognition to the affiliated Colleges to offer Ph.D. Programme, who have the following facilities:**
  - (a) **In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the University with provision for adequate space per research scholar along with computer facilities and essential software and uninterrupted power and water supply;**
  - (b) **Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the**

Department/library for reading, writing and storing study and research materials;

- (c) Colleges may also access the required facilities of the University/neighbouring Institutions/colleges or of those Institutions/Colleges/R&D Laboratories/Organisations which have the required facilities.

**N. Award of Ph.D. Degrees prior to Notification of these Regulations, or Degrees awarded by Foreign Universities:**

- (a) Award of Degrees to candidates registered to 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 Awards of Ph.D. Degree) Regulation, 2009.
- (b) If the Ph.D. Degree is awarded by a Foreign University, the Kumaun University while considering such a degree shall refer the issue to a Standing Committee constituted by the University for the purpose of determining the equivalence of the degree awarded by the Foreign University.

## **2. DOCTOR OF LETTERS/ LITERATURE (D.Litt.)/ DOCTOR OF SCIENCE (D.Sc.):**

- (a) A Candidate for the D.Litt. / D.Sc. Degree must be either a Doctor of Philosophy of this University with at least two years' standing, or a Doctor of Philosophy of at least two years standing of another University recognized by the Kumaun University.
  - (b) The candidate shall be required to join a recognized research centre of the university for at least 200 days, as provided in the Ph.D. Ordinances. During this period, he/she will have to engage himself/herself in academic work (including delivering lectures etc. to students). The candidate shall remain under the administrative and academic control of the Head of the Department and Dean/ Principal concerned.
  - (c) A Candidate for the D.Litt. or D.Sc. Degree must apply to the University on a prescribed form along with 10 copies of the synopsis and copies of the documents concerning :-
    - (i) his/her qualifications and experience,
    - (ii) the subject on which he/she proposes to work, and
    - (iii) the synopsis stating purpose of study indicating the original contribution to knowledge which the thesis proposes to make and which will bring to light material not yet known or used by scholars, or a fresh original interpretation of already known facts.
    - (iv) The application shall be supported by two senior members\* of the concerned department of the University or two subject professors of any University, who shall testify that the candidate is a proper person to supplicate for the degree.
- (\* ) Senior means the concerned teacher must have at least 10 years of postgraduate teaching experience

The application shall be accompanied by the prescribed fee. If the application is entertained, the balance fee prescribed shall be paid at the time of the submission of the thesis.

- (d) The application shall be placed before the Research Degree Committee of the subject concerned and the candidate shall attend the pre-registration interview. If the application is approved by the Academic Council, the candidate may submit his/her thesis at any time not earlier than two years and not later than 5 years (including extended period) from the date on which he/ she was permitted to work for the degree (time will be counted from the date of registration). In case the candidate does not submit his/her D.Litt. or D.Sc. thesis within 4 calendar years from the date of registration, the permission granted to him/her shall lapse, unless the time is extended by the Vice-Chancellor, (which will not exceed one year) and thereafter the name of the candidate shall be removed from the registered list.
- (e) A Pre-submission seminar shall be held in the University Department of the subject with Convener as Chairperson. The candidate who is ready to submit his/her D.Litt./D.Sc. thesis shall present and defend his/her thesis work. This pre-submission seminar shall be open to all the faculty members and research scholars of the concerned department and the faculty. The thesis to be submitted must be approved, after the seminar, by at least a 2/3rd majority of the teaching staff of the concerned department. This approval must include the approval of the HOD/ Convener of RDC concerned and thesis must be forwarded by the convener of the R.D.C.
- (f) At least three research publications out of the work being carried for the degree, in refereed journals of the subject, which in the opinion of the HOD/Convener are standard journals, are necessary before the pre - submission seminar (stated above) is held.
- (g)The Convener of the Board of Studies/ RDC shall be requested to suggest a panel of 10 names for the consideration of the Vice-Chancellor. Three Examiners for thesis (two from out of state) shall be appointed from a panel of experts given by the Convener.
- (h).A Candidate shall not be allowed to submit as a part of his/her thesis any paper or papers on the basis of which a degree has already been conferred on him/her by us or any other university, but he/she shall not be precluded, from incorporating a work which has already been submitted by him/her for a degree in the thesis covering a wider field, provided that he/she shall indicate the extent of the work so incorporated. The thesis submitted must be satisfactory as regards its literary form and, if not already published, must be in a form suitable for publication. The medium of expression for every thesis shall be English or Hindi (written in Devanagari script) except in the case of subject connected with any of the languages where the thesis may, at the option of the candidate, be presented in that language.
- (i) After the thesis is completed, the candidate shall submit four printed or typewritten copies of his/her thesis, together with the fee. The candidate shall indicate how far his/her thesis embodies the result of his/her research and in what respects his/her investigation appears to him/her to advance the bounds of knowledge. He/she shall also state what authorities/references or other sources he/she has utilized in preparing his/her thesis and shall submit in support of his/her candidature, any paper or papers which he/she may have published independently or jointly. The thesis must be a piece of original research work characterized either by the discovery of facts or by a fresh approach towards interpretation of

facts or theories. In either case, it should evince the candidate's capacity for critical examination and sound judgment.

- (j) On its receipt, the thesis shall be sent to three persons selected by the Vice- Chancellor out of the panel of 10 persons suggested by the Convener of RDC. If two of the three examiners do not approve the thesis, it shall be rejected, but if only two examiners approve it, the thesis shall be sent for evaluation to fourth examiner from the panel and his/her opinion shall be final.
- (k) In case all the three original examiners approve the thesis or, in the event of divergence of opinion between the original three, the fourth examiner approves it, the candidate shall be called upon to appear for a *viva-voce* test before a Board of two external examiners who approved his/her thesis. If both the *viva-voce* examiners are satisfied, the case shall be placed before the Executive Council. If the Council, after considering the report of the examiners, considers the candidate worthy of the D.Litt. or D.Sc. Degree (as the case may be) it shall approve the degree.
- (l) In case the recommendation of *viva-voce* examiners differs from those of the thesis examiners, or there is a difference of opinion between the *viva-voce* examiners, the candidate may be asked to re-appear after paying a fee at a second *viva-voce* examination within one year but not earlier than six months from the date of the first *viva-voce*. If the candidate fails to satisfy the *viva-voce* examiners the second time, his/her thesis shall be finally rejected.
- (m) If the examiners recommend that the candidate be asked to improve his/her thesis, the Executive Council may permit the candidate to re-submit his/her thesis not earlier than six months and not later than one year, after the date of the resolution of the Executive Council granting the permission. In case a candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 5000/- or any prescribed fee at the time of submitting his/her thesis.
- (n) The Head of the Department / Convener of RDC shall be the Chairperson of the *viva-voce* exam of a candidate. Both the *viva-voce* exam and the pre-submission seminar of a candidate both shall be held under control of the Head of the Department, but the examiners' board of the *viva-voce* exam shall remain as prescribed in these ordinances.
- (o) Regarding attendance, cancellation of admission or registration, cancellation of the already awarded degree and research centre, the relevant clauses of the Ph.D. Ordinances (with the supervisor replaced by the / Convener HOD) shall apply here too.

### 3. Special Instructions:

- (i) The contents of the thesis submitted in CD to the library shall be as single PDF file and shall not be different from what has been presented in the thesis.
- (ii) The thesis may be written in Hindi or English unless it relates to any other language (typed/ printed **on both sides of paper**).
- (iii) Additionally, the file should contain the following information:
  - (a) Abstract / Summary of the thesis (200-300 words)
  - (b) Key words (up to 9)
  - (c) Author's name and address

- (d) Supervisor's name
- (e) Project's name under which work was carried out, if any
- (f) Funding/ Fellowship granting agency's name.
- (g) Pen drive of the thesis (PDF File) deposited at the office of Director, Sponsored Research and Industrial Consultancy Cell, Kumaun University Nainital (sriccku@gmail.com).