



## **Doon University Dehradun**

**Doon University Ph.D. Degree Ordinance**  
*{In supersession of the former Ph.D. Regulations and Guidelines for Ph. D. Programme  
and  
in conformity with  
UGC (Minimum Standards and Procedure for Award of  
M.Phil./Ph.D. Degrees) Regulations, 2016, and Amendments/Clarifications made  
therein}*



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**Doon University Ph.D. Degree Ordinance**

*{In supersession of the former Ph.D. Regulations and Guidelines for Ph. D. Programme}*

In exercise of the powers conferred by Section 24 and Section 25 of Doon University Act, and Section 42 and 43 of the Statutes enacted under the said Act and in supersession of the former Ph.D. regulations, the Academic Council of Doon University hereby approves the following Ordinance [which are in conformity with UGC (Minimum Standards and Procedure for Award of Ph. D. Degrees) Regulations, 2016, and amendments/clarifications made therein], namely: -

**[1] Definitions:**

- 1.1. **"Applicant"** shall mean an individual who applies for admission to the Ph.D. programme of Doon University Dehradun on a prescribed Application Form.
- 1.2. **"University"** shall mean the Doon University Dehradun.
- 1.3. **"AAC"** shall mean Academic Advisory Committee of the concerned Department or School.
- 1.4. **"AC"** shall mean Academic Council of Doon University
- 1.5. **"VC"** shall mean the Vice-Chancellor of Doon University
- 1.6. **"Student"** shall mean a person registered for the Ph.D. Degree and who has successfully completed the pre Ph.D. course requirement, and submitted an approved research plan.
- 1.7. **"Candidate"** shall mean a person registered for the Ph.D. degree prior to becoming a student.
- 1.8. **"Supervisor"** shall mean a member of the academic staff of the University approved by AAC or Department/School to guide/supervise the research/academic work of the student/candidate.
- 1.9. **"Caretaker Supervisor"** shall mean a member of the academic staff appointed to look after the candidate's/student's research interests in the absence of the Supervisor or under extraordinary circumstances mentioned under Clause 6 of these regulations.
- 1.10. **"Course Work"** shall mean courses of study prescribed by the Department/School to be undertaken by a candidate registered for the Ph.D. Degree.
- 1.11. **"SRAC"** shall mean Student's Research Advisory Committee. The 'DRCs' constituted for the Ph.D. students enrolled before the date of notification of these regulations will be treated as 'SRAC'. The term DRC, used in any matter under the previous regulations will be considered as SRAC.



- 1.12. **"Degree"** shall mean the Degree of Doctor of Philosophy (Ph.D.) of the Doon University Dehradun.
- 1.13. **"Registration Period"** shall mean the length of time span commencing with the date of initial registration/enrollment (i.e. the date of fee-deposition) at the University.
- 1.14. **"Residency"** shall mean the minimum period for which a student/candidate must attend the University on full-time basis.
- 1.15. **"Educational Institution"** shall mean those colleges which offer Bachelor's Degree or higher.
- 1.16. **"Full-time Research Student/Candidate"** shall mean a person registered for the Ph.D. Degree devoting full time for completing the degree requirements.
- 1.17. **"Joint Supervisor"** shall mean an additional supervisor approved by the authorized body of the University under extraordinary circumstances (mentioned under Clause 6 of these regulations) to help the student/candidate in the accomplishment of the research work.

**[2] Eligibility Criteria for Admission to Ph.D. Programme:**

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

- 2.1. Applicants, seeking admission to the Ph.D. program, shall have a Master's degree or a professional degree declared equivalent to the Master's degree by an appropriate and valid statutory regulatory body (such as Academic Council), with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency (which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions) in the concerned subject.
- 2.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST and other categories, *if any*, of applicants, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5 % to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures. In accordance with the amendment made by UGC in its regulations in the year 2018, it is provided further that, if in spite of the above relaxation, the seats allotted for SC/ST and other categories, *if any*, of the applicants remain unfilled, the University may consider launching a Special Admission Drive, for that particular category within one month from the date of closure of admissions of General Category. The University or the committee constituted by the Hon'ble Vice Chancellor, may devise its own admission procedure, along with eligibility conditions to ensure that most of the seats under these categories are filled.



**[3] Duration of the Programme:**

- 3.1. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 3.2. Extension beyond the aforementioned limits will be governed by the relevant clauses as stipulated in the amendments or notifications (issued by the UGC from time to time) and/or the resolutions of the Academic Council of the university in this context.
- 3.3. The female students and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the female students may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days. For the period of extension and leaves, the student will pay the fee.

**[4] Procedure for Admission**

- 4.1. The University shall decide on an annual basis through its departments and schools the number of candidates to be admitted depending on the number of available Research Supervisors for every department and school, keeping in mind the norms regarding the scholar- teacher ratio (as prescribed by UGC in its regulations).
- 4.2. The University will notify well in advance in the institutional website and/or through advertisement in newspapers, and/or through the mode prescribed by UGC in its regulations (issued or amended from time to time) 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 ease of the candidates.
- 4.3. The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and Academic Council of the university, and taking into account the reservation policy of the Central/State Government from time to time. The university will adhere to the State-level reservation policy, as applicable.
- 4.4. The University will admit the students through an Entrance Test conducted once in a year at the university level.
- 4.5. University will invite the applications from the interested candidates either offline (duly signed original copy) or online in a prescribed format (approved by the Academic Council or the concerned body such as admission committee) for the entrance test *as notified*.
- 4.6. The University will have separate mode for Ph.D. Entrance Test for the following categories of candidates:
  - (4.6.1.) *Those who have qualified UGC-NET (including JRF)*
  - (4.6.2.) *Those who have qualified UGC-CSIR NET (including JRF)*
  - (4.6.3.) *Those who have qualified SLET*
  - (4.6.4.) *Those who have qualified GATE*
  - (4.6.5.) *Those who are teacher fellowship holders*
  - (4.6.6.) *Those who are regular appointed teachers of the university.*



*(4.6.7.) Those who are international students.*

For the candidates of such categories, it will not be necessary to appear in written component of entrance examination. They will be called upon for the interview directly along with those, who will qualify the written entrance examination as elaborated in the succeeding paragraphs.

4.7. As mentioned under UGC Regulations 2016, the university will admit candidates by a two-stage process through:

4.7.1. *The written Entrance Test shall be qualifying with qualifying marks as 50% for General and OBC categories and 45% for SC and ST categories.*

4.7.2. *The syllabus of this Entrance Test shall consist of two components: (A) 50% of research methodology and (B) 50% shall be subject specific. Part A will have 35 questions and part B will also have the same number of questions. All the questions will be multiple choice questions (MCQ). Each question will carry one (01) marks. There shall not be any negative marking for wrong answer of any question. Duration of the entrance test shall be two hours. The research methodology component may be common or uncommon for all the disciplines or subjects. If research methodology component is common for all the subjects, Vice-chancellor will constitute a committee having experts (internal and/or external) from all the disciplines (in which students will be admitted in Ph.D. programme) to moderate the question paper of research methodology. For setting-up the question paper for remaining 50% subject specific component, Vice Chancellor or the admission committee on the approval of the Vice-Chancellor, may invite external experts to submit the questions in a completely confidential manner.*

4.7.3. *The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also to be notified well in advance) at the level of the University.*

4.7.4. *An interview/viva-voce will be organized at the concerned schools or departments for both categories of candidates (i) who have qualified written component of entrance examination (ii) those who are exempted. During this interview/viva-voce, the candidates will be required to discuss their research interest/area through a presentation before the 'Interview/Viva-Voce Committee' of the Department. Constitution of this committee including chairperson and/or convenor and members will be finalized and/or approved by the AAC. AAC will ensure that all such Assistant Professors, Associate Professors or Professors of the Department/School, who are eligible to supervise Ph.D. students and/or will be appointed/designated as supervisors for the newly admitted students will be the member of this interview committee by default.*

4.7.5. *In accordance of the 2<sup>nd</sup> amendment, made by UGC in its Regulations in the year 2018, it is provided that for selection of the candidate, a weightage of 70% to the entrance test, and 30% to the performance in the interview/viva-voce shall be given. Any amendment, made by UGC in future in this context, will come into the effect after resolution of academic council.*

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

4.8.1. *the candidate possesses the competence for the proposed research;*

4.8.2. *the research work can be suitably undertaken at the department/school;*



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

The following format will be used to assess the performance of each candidate:

S.N.	Roll No.	Domain Knowledge (15 Marks) <i>(Competence of the candidate for the proposed research)</i>	Innovative and New Ideas in Research Proposal (10 Marks) <i>(Possibility of Contribution to New/Additional Knowledge)</i>	Feasibility of Proposed Research at Department or School (5 Marks)	Total (30 Marks)
[1]					

- 4.9. While preparing the final merit list of the candidates, belonging to the categories mentioned under clause 4.6 i.e. exempted from appearing in the written test, 30% of the percentage secured at UG, 40% of the percentage secured at PG, and the marks secured in the interview/viva-voce out of maximum 30 will contribute to the final merit of such candidates.
- 4.10. The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

**[5] Appointment of Research Supervisor**

- 5.1. Only a full-time regular teacher of the University can act as a supervisor.
- 5.2. Any regular Professor, Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. However, in the areas/disciplines where there is no or only a limited number of refereed journals, the Academic Council may relax the aforementioned condition for recognition of a person as Research Supervisor with reasons recorded in writing. It is provided further that no teacher of a Department serving as an Assistant Professor shall be appointed as Supervisor, until and unless (s)he holds a doctoral degree and an experience of teaching at Graduate and Post-graduate level of not less than three years, including experience of not less than two years of teaching and research at the Post-Graduate level.
- 5.3. No supervisor shall be a relative of the candidate.
- 5.4. The appointment of Research Supervisor for a selected Ph.D. student shall be decided by the *Academic Advisory Committee (AAC)* depending on the number of Ph.D. students per Research Supervisor, the available specialization among the supervisors and research interests of the candidate.



- 5.5. The external supervisors shall not be allowed. However, in case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department is to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ School/University on such terms and conditions as may be specified and agreed upon by the consenting Institution/University/Research Laboratory of national repute. Co supervisor will not be appointed within the same department. Co-supervisor will not be in blood relation or close relation with the supervisor and/or Ph.D. student. Appointment of co-supervisor shall take place with the approval of the Academic Advisory Committee (AAC). No person shall be recommended for appointment as Co-Supervisor, except if (s)he is a serving Professor, Associate or Assistant Professor thereof Emeritus Professor/Scientist of National Laboratories/ National Institute not below the rank of Scientist E.
- 5.6. Appointment of any Co-supervisor(s) would not be made after a lapse of 18 calendar months from the date of initial registration of the Ph.D. student/candidate except when none of the supervisors is in the Institute for a period of a year or more at a stretch.
- 5.7. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (08) Ph.D. students. An Associate Professor as Research Supervisor can guide up to a maximum of six (06) Ph.D. students and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. students. After submission of thesis by a particular Ph.D. student, his/her seat would be considered to be vacant.
- 5.8. In case of relocation of a woman Ph.D. student due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the student 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 parent institution/ supervisor from any funding agency. The student will however give due credit to the parent guide and the institution for the part of research already done.

**[6] Appointment of Joint-Supervisors and/or Caretaker-Supervisor for Ph.D. Students in Extraordinary Circumstances**

A faculty member, appointed as a Ph.D. supervisor, is normally expected to be available to a Ph.D. student in the University till the final viva-voce examination of thesis. However, under unavoidable circumstances (such as long leave of more than 12 months, resignation, retirement, or death), a supervisor may not be available to the Ph.D. student. In such special cases, appointment of supervisor(s) will be regulated as under:

*6.1. A supervisor proceeding on long leave of more than 12 months*

- (a) (i) Where Co-supervisor exists, the supervisor proceeding on long leave for more than 12 months can continue to be a supervisor provided the Student's Research Advisory Committee (SRAC) / Academic Advisory Committee (AAC) is convinced of effective supervision by the Co-Supervisor.



- (ii) Where a Co-Supervisor does not exist, a Joint-Supervisor may be appointed by the Academic Advisory Committee (AAC) in cases where a Ph.D. student has not yet made his/her pre thesis-submission seminar.
- (b) (i) Provided, if the pre thesis-submission seminar has been held before the supervisor proceeds on leave, (s)he will continue to be the supervisor and only a caretaker supervisor will be appointed.
- (ii) The thesis has been submitted before the supervisor proceeds on leave, (s)he will continue to be the supervisor and only a caretaker supervisor will be appointed.
- (iii) Further, if a major revision becomes necessary, and the sole supervisor is on leave, (s)he should be asked to specifically state whether he would effectively help the Ph.D. student carrying out the major revisions within a reasonable time. In case the sole supervisor expresses his/her inability due to one reason or the other, the caretaker supervisor, if he provides the required help in carrying out the major revision, will automatically be treated as Joint-Supervisor (Co-supervisor) of that candidate.
- (c) Provided further, if a supervisor proceeds on leave for a period less than 12 months initially, but later extends his leave beyond 12 months, the above procedure will be followed. The extension granting authority will inform the Academic Section, the Department or School and/or the office authorized by Hon'ble Vice Chancellor accordingly.

#### *6.2. A Supervisor retires*

A faculty member who is due to retire within the next two years can be appointed as a Co-Supervisor and can continue to be the Joint-Supervisor even after his retirement provided the Student's Research Advisory Committee (SRAC) and/or Academic Advisory Committee (AAC) is convinced of his availability/continued guidance to the Ph.D. student.

In other cases, a faculty member on retirement may continue as (i) a Supervisor, if re-employed or appointed Emeritus Fellow; (ii) a Co-Supervisor, if the synopsis of the thesis has been submitted. Appointment of another Supervisor, if necessary, will be as caretaker Supervisor.

#### *6.3. A Supervisor resigns*

If the supervisor of a Ph.D. student resigns, a new Supervisor and/or a caretaker supervisor will be appointed by Academic Advisory Committee (AAC).

#### *6.4. A Supervisor dies*

In such circumstances, a new Supervisor will be appointed, if necessary, on the recommendation of Student's Research Advisory Committee (SRAC) /Academic Advisory Committee (AAC).



**[7] Course Work: Credit Requirements, Number, Duration, Syllabus, Minimum Standards for Completion, Examination and Evaluation etc.**

- 7.1. There shall be compulsory Pre Ph.D. course work of 14 credits for all the Ph.D. candidates admitted in Ph.D. programme of all the departments or schools of the University. The duration of the course work will be six months. In the 6<sup>th</sup> month, Registrar will issue the notification mentioning about the dates upto which the end semester examinations must be conducted and the date on/or before which the award sheets must be submitted to the examination section. The course work shall be treated as pre-requisite for Ph.D. preparation. It will include the following types of courses:

S.No.	Title or Nature of the Course	Credits	Remark
[1]	Research Methodology	04	It will be a compulsory course. It will cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. For a particular discipline, if syllabus is not recommended by UGC, the same will be designed and/or finalized by the Academic Advisory Committee (AAC) and approved by AC.
[2]	Research and Publication Ethics (RPE)	02	It will be a compulsory course. Its syllabus will be in line with the content, prescribed by UGC.

[3]	Two Elective Courses which suit the candidates's research area	04 + 04	<p>As stipulated under UGC guidelines, the Department where the Ph.D. candidate pursues his/her research shall prescribe the course(s) based on the specializations available in the Department. Such discipline specific elective courses, offered by the department will be 4-6 in number, and the Ph.D. candidate will have the liberty to choose any two. These courses may be categorized as Elective Compulsory Courses (ECC).</p> <p>If it is required and necessary, well-defined and relevant lab component may also be included in the syllabus in some or all the courses of this category. The syllabi of such courses must be duly approved by Academic Council.</p>
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- 7.2. All courses, prescribed for Pre Ph.D. course work, shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. These shall be duly approved by the Academic Council.
- 7.3. All candidates admitted to the Ph.D. Programmes shall be required to complete the course work prescribed by the Department during the initial 06 months beginning within a week after the last date of the deposition of the fee.
- 7.4. Evaluation shall be done on a continuous basis. For the purpose of uniformity in assessment and evaluation, there will be one mid semester examination (30 Marks, 02 hours), one end-semester examination (50 Marks, 03 hours) and internal assessment (20 Marks) for all the courses. Course coordinator may employ one or more assessment tools such as objective tests, assignments, presentations, laboratory work, depending on the nature of the course for the purpose of internal assessment.
- 7.5. For the purpose of end semester examination, Department will provide the details of course codes, course title, syllabi of all the courses, names of the faculty members who have been assigned to undertake the courses, format of the question paper, and the names of minimum (but not limited to) three faculty members outside the university (who are able to set the question paper(s) and evaluate the answer booklets for each course) to the Coordinator of Examination or Registrar or the office authorized by the Vice-Chancellor.
- 7.6. Ph.D. candidates shall compulsorily appear in the mid semester examination, failing which they will not be allowed to appear in the end semester examination. In case of those who could not attend any of the mid semester examination due to medical



reason or under extraordinary circumstances defined by examination section of Doon University, a make-up examination will be conducted in accordance with the rules of examination section. In the science or related disciplines, the end-semester examination may also include a component on laboratory-based examination.

- 7.7. A candidate, who has less than 75% attendance, will not be permitted to sit in examination. However, Vice-Chancellor in consultation with exam section may grant exemption to a candidate after becoming satisfied with the reasons/grounds presented by the one who has failed to record the prescribed 75% attendance. Such exemptions shall not be granted under any circumstances if record of attendance percentage is less than 60%.
- 7.8. A Ph.D. candidate has to obtain a minimum of 60% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.
- 7.9. A candidate who has not secured a minimum of 60 percent in a pre Ph.D. course will be considered to be failed. A failed candidate or the candidate, who have not complete or qualified the course work in the first semester, shall be allowed to repeat the semester examinations for a maximum of two times.
- 7.10. The percentage of marks obtained by a candidate in a course will be converted into a grade point (SGPA/CGPA) using the same criteria, existent in the university without violating UGC regulations/guidelines in the matter.

#### **[8] Student's Research Advisory Committee (SRAC) and Its Functions**

- 8.1. There shall be a Student's Research Advisory Committee (SRAC) for each Ph.D. student. Having considered the proposal/recommendation of supervisor and the nature/field of the research problem, the Academic Advisory Committee (AAC) of the Department or the School will constitute such a committee within a period of 02 months after the enrolment of the candidates in the department. The committee will be made up of minimum (but not limited to) three members: (i) *Research Supervisor*, the convenor (ii) *Head or the nominee of the Head* belonging to the same department, and (iii) *One external member* outside the department or school belonging to the same subject and preferably to the similar research area. The Research Supervisor of the student shall be the Convenor of this Committee. This Committee shall have the following responsibilities:

- 8.1.1. *To review the research proposal and finalize the topic of research;*
- 8.1.2. *To guide the Ph.D. student to develop the study design and methodology of research and identify the course(s) that (s)he may have to do.*
- 8.1.3. *To periodically review at least once in a every semester and assist in the progress of the research work of the Ph.D. students.*
- 8.1.4. *To make minor modifications in the research proposal, if necessary, depending upon the progression of work and results of the studies.*



- 8.1.5. *To finalize (i) the Summary of Thesis and (ii) the Title of the Thesis, before the date of pre thesis-submission presentation and communicating, if required, such changes (or the final title along with Summary of Thesis) to the appropriate authority of the university for record and/or necessary approval/notification.*
- 8.2. Department shall hold the meetings of Student's Research Advisory Committees (SRAC) of all the Ph.D. students on a single day and a particular venue in the month of June for the even semester and in the month of December for the odd semester. The date will be finalized and notified by the Head or In-Charge of the Department or School. Head or In-Charge will be the coordinator for all the SRAC meetings and monitor the same carefully. At least two weeks prior to the date of SRAC meetings, Head or In-Charge will also intimate the office of the Registrar or the office authorized by the Vice-Chancellor about the date for the purpose of record/notification and other necessary action, if any. Hon'ble Vice Chancellor may also nominate a member in such meetings.
- 8.3. If it is required at the completion stage of the thesis, the supervisor may also call upon additional meeting(s) (i.e., more than once) of SRAC in a particular semester to avoid unnecessary delays.
- 8.4. The Ph.D. student shall appear before his/her SRAC in every meeting (to be held in the month of June for the even semester and in the month of December for the odd semester) to make a presentation of the progress of his/her work for evaluation and further guidance.
- 8.5. In extraordinary circumstances when it is not feasible to hold the SRAC meeting due to some unavoidable circumstance, the supervisor would seek the approval of Vice Chancellor for holding the meeting jointly with the meeting for the next semester. During such a meeting, SRAC will submit two different progress reports for different semesters.
- 8.6. The six-monthly progress reports shall be submitted by the Student's Research Advisory Committee (SRAC) to the University's Academic Section or Registrar Office (or some other office authorized by the Vice Chancellor) with a copy to the Ph.D. student.
- 8.7. In case the progress of the research student is unsatisfactory, the Student's Research Advisory Committee (SRAC) shall record the reasons for the same and suggest corrective measures. If the Ph.D. student fails to implement these corrective measures, the SRAC may recommend to the University with specific reasons for cancellation of the registration of the Ph.D. student.

**[9] Confirmation of the Registration**

- 9.1. During the course work or immediately after the successful completion of the course work, the candidate will formulate a research proposal/ Synopsis (preferably in the prescribed proforma) in consultation with the supervisor. The said research proposal shall ordinarily be in not more than 5000 words, and shall present (i) Title, (ii) Broad Research Area, (iii) Review of the Literature, (iv) Current State of Knowledge on the Proposed Title of Research, (v) Objectives and (vi) Plan of Research, (vii) the



Sources, (viii) Methodology proposed to be employed in the investigation, (ix) References and (x) such other information as may be relevant in that regard. Research supervisor will convene a meeting of Student's Research Advisory Committee (SRAC) in which the student will make presentation about his/her topic and research proposal/ Synopsis. The SRAC shall examine the research proposal, the application of the student for confirmation of registration and the list of all necessary documents in the light of the provisions of these Regulations. The Student's Research Advisory Committee (SRAC) shall consider making recommendation for granting admission to such an applicant who is, in its judgment, suitable for Registration, and also finalize the research proposal of the candidate. The constitution of SRAC members and its recommendations shall be forwarded to the Vice Chancellor through Registrar for perusal and record.

- 9.2. In furtherance of the decision of the Vice Chancellor to grant admission to a candidate, the Registrar shall issue a letter of Confirmation of Registration to him/her specifying the (i) Name of his/ her Supervisor, (ii) Broad Research Area (*if required*) and (iii) Title of Proposed Research and (iv) Date of Confirmation of Registration. The registrar will notify the confirmation of registration of Ph. D. student.
- 9.3. For a candidate/student, his/her enrolment shall be with effect from the date of taking admission (date of deposition of fees) for the pre-Ph.D. course.

#### **[10] Registration at the Time of Commencement of Every Semester**

- 10.1. Every student/candidate will be required to renew the registration every semester till the submission of the thesis. The renewal of registration at the commencement of every new semester shall be subject to the completion of specified number of credits/courses and/or satisfactory progress in the research work in the preceding semester. Whether progress is satisfactory or unsatisfactory, it would be recommended by Student's Research Advisory Committee (SRAC).
- 10.2. Provision will be made in the software of examination section or academic section (or the office authorized by Vice-Chancellor) for registration/entry of the course entitled "*Doctoral Thesis*". The title of this course will be uniform throughout all the disciplines of the university. However, different departments or schools will decide a different Course Code for this course. Every student, who has completed his course work successfully, will be registered in this course at the time of commencement of every new semester on the production of copy of satisfactory progress report of the preceding semester, signed by members of Student's Research Advisory Committee (SRAC). For every semester, SRAC will review the progress and, in addition to mentioning whether the progress is satisfactory or unsatisfactory, may also assign the grade (Satisfactory "S" or Unsatisfactory "U") to be given to the Ph.D. student.
- 10.3. If a student/candidate fails to register or renew due to any reason within the time frame notified by the university, his registration, as the case may be, will be cancelled with immediate effect.

#### **[11] Residency Period and Practices during Progression of the Research Work**



- 11.1. Subject to the provisions of these Regulations, each student shall, upon admission and enrolment to the Ph. D. program, pursue a course of research of a duration of minimum three years or maximum 06 years or the duration as specified by UGC from time to time in residence at the University campus and shall regularly pay the prescribed semester and other fees up to the time (s)he withdraws from his/her enrolment, or such enrolment is terminated, or (s)he duly submits his/her thesis to the University.
- 11.2. The schedule of the fees and other dues, including fees for the examination of the thesis and the viva voce examination, etc the payment thereof, shall be laid down, from time to time, by the executive council shall be notified by the registrar, and the provisions in respect of the consequences of failure to pay such fees and other dues within the time specified for the purpose, and other conditions for the continuation or termination of the admission of the student shall be prescribed by the Academic Council.
- 11.3. The registered students shall have to apply in the department and hostel (if applicable) for renewal of admission in every academic session and pay the requisite fees
- 11.4. The student shall not be entitled, or permitted, to secure admission to, or continue his earlier admission in, any other degree granting courses of study or whole-time academic programme, whether in the University or in any other institution, and his/her admission to the Ph. D. programme shall stand terminated at whatever stage (s)he is discovered to have been in violation of this requirement.
- 11.5. The student shall, report and record his/her attendance at the concerned academic entity on all working days which shall be supervised by the supervisor and the Head of the department. At the time of submission of the thesis, the monthly record of the attendance for the residency period would be submitted in the office, authorized by the Vice-Chancellor.
- 11.6. The student holding a Fellowship awarded by of the University Grants Commission, the Council of Scientific and Industrial Research or any other national/international funding agency, or any other research fellowship or scholarship may be required to assist in the teaching and other academic work of the academic entity concerned.
- 11.7. The student shall appear before his/her SRAC in every meeting (to be held in the month of June for the even semester and in the month of December for the odd semester) to make a presentation of the progress of his/her work for evaluation and further guidance. In addition to making presentations, the student shall also submit half yearly reports to the SRAC, through the supervisor, on the work done by him/her and the work (s)he proposes to do in the next semester.
- 11.8. In extraordinary circumstances when it is not feasible to hold the SRAC meeting due to some unavoidable circumstance, the supervisor would seek the approval of Vice Chancellor for holding the meeting jointly with the meeting for the next semester. During such a meeting, SRAC will submit two different progress reports for different semesters.



- 11.9. The six-monthly progress reports shall be submitted by the Student's Research Advisory Committee (SRAC) to the University's Academic Section or Registrar Office (or some other office authorized by the Vice Chancellor) with a copy to the Ph.D. student.
- 11.10. In case the progress of the Ph.D. student is unsatisfactory, the Student's Research Advisory Committee (SRAC) shall record the reasons for the same and suggest corrective measures. If the Ph.D. student fails to implement these corrective measures, the SRAC may recommend to the University with specific reasons for cancellation of the registration of the Ph.D. student.
- 11.11. In case the student is in default of any of the requirements specified in this clause and other provisions of these Regulations, or in case the SRAC is not satisfied with any aspect of his/her work and progress and conduct, it may, after considering such explanation as (s)he may submit through his/her supervisor in that regard, take such action as it may deem proper including a recommendation to the AC that the admission of the student be terminated.
- 11.12. Along with 6<sup>th</sup> progress report of the student, student's research advisory committee (SRAC) will submit the finalized title of the thesis as well as the objectives and research plan in specific, well defined and categorical manner on the basis of (i) progress made and results achieved by the student in the preceding 06 semesters and (ii) doability/feasibility of the remaining research work to be done by the student in the succeeding semester(s). It shall ordinarily be in not more than 5000 words, and shall present (i) Title, (ii) Specific Research Area, (iii) Review of the Relevant Literature, (iv) Current State of Knowledge on the Title of Research (v) specific and well-defined Objectives and (vi) Plan of Research, (vii) the Sources, (viii) Methodology proposed to be employed in the investigation, (ix) References and (x) such other information as may be relevant in that regard.
- 11.13. The student shall be required to complete his/her research work and submit the thesis within a period of maximum 06 years (prescribed by UGC in its Regulations 2016) reckoned from the date of his/her enrolment for the Ph.D. programme. However, if Student's Research Advisory Committee (SRAC) certifies that 90% research work has been completed in the 06 years (or in the period prescribed by UGC), the academic council may, after considering the recommendation of the SRAC, in a very special case and for reasons to be recorded, grant further extension of not more than one year. For the extended period of one year, the student will submit the application for re-registration to the Vice-Chancellor through the Head/Dean of the School or Department. After getting the permission of re-registration, the student shall have to pay admission and other fees as determined by the University.
- 11.14. It is provided further that in case the student fails to submit the thesis within the period permitted for the submission of the thesis, including the periods of the extension thereof his/her admission to the Ph.D. programme shall be liable to be terminated and (s)he shall, upon such termination, forfeit all the fees and other dues paid by him/her for and during such admission. The name of a student will be removed from the rolls of the University.



- 11.15. Ph.D. students must publish at least one (01) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the thesis for adjudication. The student will produce evidence for the same in the form of presentation certificates and/or reprints before SRAC.

**[12] Pre Thesis-Submission Seminar**

- 12.1. When the Student's Research Advisory Committee (SRAC) is of the opinion that the research work has been accomplished, and the draft of the thesis at the final stage of writing-process, the SRAC would ascertain that the title (mentioned in the finalized research proposal) is the most appropriate title of the thesis. If SRAC members have the opinion that there is still a need for modification in the title, the modification will be made before this seminar and the modified title will be communicated to the office of the Registrar or Academic Section or the office authorized by the vice-chancellor for record and/or notification. At a later stage, no change in the title would be allowed.
- 12.2. Student's Research Advisory Committee (SRAC) will recommend a particular date and time for holding pre thesis-submission seminar of the student. This seminar would be held at least one month prior to the pre-submission of the thesis. After the recommendation of the SRAC, the supervisor shall issue the notice of the seminar (countersigned by the Head or Dean or endorsed through email) with intimation to the Registrar or Academic Section or the office authorized by the Vice-Chancellor. During this seminar, the student shall give a preliminary presentation on his/her research findings.
- 12.3. This presentation will be made in the Department before the Student's Research Advisory Committee (SRAC). This presentation will also be open to all faculty members and other Ph.D. students. In addition to assessing the magnitude of the research-work done and objectives achieved, the SRAC would also ensure that the Ph.D. student has published at least one (01) research paper in a journal of the category, prescribed by UGC, and has made two paper presentations in conferences/seminars. The SRAC will carefully peruse the evidence, produced by the Ph.D. student for the same in the form of presentation certificates and/or reprints of the articles published. The SRAC would also ensure that the Ph.D. student meets all other criteria, *if any*, for submission of the thesis. The unanimous recommendation of all the SRAC members shall be recorded in a clear, categorical and specific manner on a standard and prescribed format in triplicate. All the three copies will be signed by all the members of SRAC. If some member(s) are connected in online mode, they will send their recommendation and comments, *if any*, via E-Mail to research supervisor. One copy of such report/recommendation, signed by all the members of SRAC, shall be forwarded to the Academic Section, one copy to the Registrar's office or the office authorized by the Vice Chancellor and the third copy to AAC (Academic Advisory Committee) for the record and/or perusal.
- 12.4. During this presentation, the Student's Research Advisory Committee (SRAC) shall also finalize and approve the *Summary of Thesis*. The said summary may also be



termed as Synopsis of Thesis, only if it is required for some essential and specific purpose. The SRAC would also ensure that the *Summary of Thesis* includes (but not limited to) the final as well as the most appropriate title of the thesis, a very brief introduction, objectives, chapter-wise results in the shortest form, conclusions and list of publications. A minimum of five duly signed copies of *Summary of Thesis* will be prepared. If some member(s) are connected in online mode, they will send their approval on the finalized *Summary of Thesis* via E-Mail to research supervisor.

- 12.5. The feedback and comments obtained from those who attend pre thesis-submission seminar will be suitably incorporated into the draft of the thesis in consultation with the Student's Research Advisory Committee (SRAC).

### [13] Submission of Thesis

- 13.1. A Ph.D. student shall submit four soft-bound copies and electronic version (PDF) of the thesis, typed in the format prescribed by the academic council of the university.
- 13.2. The Ph.D. student shall enclose the evidence (in the form of presentation certificates and/or reprints of published articles) in the form of the last pages of the thesis.
- 13.3. While submitting for evaluation, the thesis shall have an undertaking from the Ph.D. student and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same university where the work was carried out, or to any other Institution/university. The certificate or statement on the certificate, vouching that there is no plagiarism and no violation of copyright regulation, must be based on the report generated using well-developed software and gadgets (prescribed by the academic council and/or UGC for detection of plagiarism and other forms of academic dishonesty).
- 13.4. The thesis shall include a certificate from the supervisor to the effect, inter alia, that the recommendation made by the evaluation committee have suitably been incorporated and a declaration that the thesis incorporates the students' bonafide research and that the findings have not been submitted for the award of any degree/diploma in this or any other university or institute.
- 13.5. The application for submission of thesis shall be countersigned by the Dean/Head of the Department or School. The SRAC will then forward the *Thesis* along with *Summary of Thesis* to the Academic Section or the Registrar office for further action.
- 13.6. SRAC shall also ensure that a satisfactory progress reports for a minimum of approximately 60% of the total semesters of residency period has been submitted to the appropriate and/or authorized office.

### [14] Panel of Examiners for Evaluation

- 14.1. The Ph.D. thesis submitted by a Ph.D. student shall be evaluated by his/her Research Supervisor and at least three external examiners, who are not in employment of the university, of whom two examiners must be from outside the state of Uttarakhand.



- 14.2. The supervisor and Head shall submit a panel of 10 (ten) experts (05 each) belonging to the particular broad research area along with their specializations (and lists of publications wherever possible) in the prescribed Performa to the Vice Chancellor for examination of thesis. At least 05 proposed examiners must be outside the state of Uttarakhand.
- 14.3. The Vice-Chancellor will appoint three external examiners. While doing so, he/she may ensure that at least two of them are outside the State.

**[15] Evaluation Reports of Examiners**

- 15.1. 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.
- 15.2. Each examiner will give a certificate that the student is not having a blood-relation / close relation with the student in any form.
- 15.3. The examiners shall examine the thesis and shall submit their reports in the prescribed format to the university making a clear recommendation that in his/ her opinion, the thesis (i) is recommended for the award of Ph.D. degree, (ii) should be modified or revised; (iii) is rejected.
- 15.4. The reports of the examiners of the thesis shall first be placed before the Registrar and, in case, any report is not complete and clear, the Registrar will put up the matter before the Vice Chancellor. If Vice-Chancellor is also satisfied about the deficiency in the report, he/ she shall return such report to the concerned examiner through Registrar to make up the deficiency.
- 15.5. If all the external examiners unanimously and unambiguously recommend that the thesis be accepted/recommended for the award of PhD degree, the Vice-Chancellor shall direct that the *viva-voce* examination of the student be arranged as early as possible.
- 15.6. If two of the external examiners unanimously and unambiguously recommend that the thesis be accepted and the third external examiner recommend rejection of the thesis, Vice-Chancellor will appoint the 4<sup>th</sup> examiner from the same panel, and the thesis will be sent to the 4<sup>th</sup> examiner for evaluation.
- 15.7. If all or two or one external examiners recommend revision and requirement of some other work to be done, such recommendation shall be appropriately communicated to the student. The Vice-Chancellor shall issue directions (through the Registrar) to the student and/or his/ her research supervisor to reply or re-submit the thesis in the revised/ modified form not later than one and a half year from the date of the decision and the re-submitted thesis shall be sent again to the original examiner(s). If the student decides not to accept the suggested modifications, and replies to the points/observations made by an examiner but the reply is not accepted by the examiner, the matter shall be referred to the committee of experts (with Supervisor as a member) to be appointed by the Vice-Chancellor. The recommendation of this



committee, in such circumstances, would be considered to be the final. If Vice-chancellor decides not to accept the recommendation, he/ she will record and assign the categorical and specific reasons for the same.

- 15.8. If two of the external examiners recommend rejection, the thesis will be rejected, and no degree shall be awarded.

**[16] Re-Submission of the Thesis**

- 16.1. The thesis required to be re-submitted, and the abstract there of, shall be re-submitted in the same manner, style and language as the original thesis. The list of changes/modifications made will separately enclosed.
- 16.2 Re-submission of the thesis in the revised/modified form must be done as soon as possible but not later than one and a half year from the date of the decision and the re-submitted thesis shall be sent again to the same original examiner(s). However, if the same examiner(s) is (are) not willing to re-evaluate the thesis, or a reply is not received regarding their acceptance for re-evaluation within 04 weeks from the date of communication, other examiner(s) may be appointed by the Vice-Chancellor from the same approved panel.
- 16.3 Notwithstanding any provision to the contrary in these regulations, no student shall be entitled or permitted to re-submit the thesis more than once.

**[17] Viva-Voce, Declaration of Result and Award of the Degree**

- 17.1. On the receipt of the satisfactory evaluation reports, recommendation of examiners or decision, made by Vice-Chancellor in some specific or extraordinary circumstances (mentioned under preceding clauses), the student shall undergo a viva-voce examination.
- 17.2. 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 examiners' reports.
- 17.3. 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 supervisor will act as convenor of the Viva-Voce examination. The Registrar shall inform the Head of the Department through the Dean (if any) of concerned school/ department to arrange the viva-voce examination in consultation with the supervisor.
- 17.4. The viva-voce examination shall be open to be attended by the members of the Student's Research Advisory Committee (SRAC), all faculty members of the Department, other Ph.D. students and other interested experts/researchers.
- 17.5. The department shall maintain a separate register for the record of attendees of Viva-Voce examination. In case, the viva-voce is being held in hybrid mode in which some



attendees are connected online, their record will also be maintained in the same register.

- 17.6. The viva-voce examiners shall make the assessment of the student in order to ascertain the extent to which (s)he is well acquainted with the literature on the subject, evinces a good understanding of the topic of his/her research as well as originality in his/her investigations and conclusions, and has an appropriate comprehension of the broad field of his/her study, and has ability to address other issues relevant in that regard.
- 17.7. If the viva-voce examiners do not recommend award of Ph.D. degree, the student shall have to re-appear at a second viva-voce examination within three months. If the student fails to satisfy the viva-voce examiner the second time, his/her thesis shall be rejected finally. No student shall be entitled or permitted to re-appear at the viva voce examination more than once.
- 17.8. The research supervisor, the convenor of viva-voce examination, shall submit a report of viva-voce examination in the prescribed format highlighting the clear recommendation), to the Vice-Chancellor through Registrar.
- 17.9. The Vice-Chancellor may grant the permission for the declaring the result and declaring the result in the Academic Council for award of the degree.
- 17.10. A provisional certificate of the award of the degree may be issued to the student on his/her written request by the appropriate University authority.
- 17.11. Along with the award of the degree, the University shall also issue a certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016.

**[18] Restrictions on Treatment of Ph.D as A Distance Mode/Part-Time Program:**

- 18.1. Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct Ph.D. Programmes through distance education mode.

**[19] Depository with INFLIBNET:**

- 19.1. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.

**[20] Copyrights**

- 20.1. Doon University Dehradun reserves the copyright in respect of all the Theses based on which the University has awarded the PhD degrees.



[21] **Removal of Difficulties**

21.1. Notwithstanding anything contained in these Regulations, the Vice-Chancellor is empowered to make suitable decisions, measures and notifications to overcome doubts/constraints/difficulties, and resolve any other extraordinary issue.

*(MSM Nanda)*

*(HC Purohit)*









**(Form-B)**  
**Doon University Dehradun**  
**Thesis Evaluation Report of the examiner for Ph. D. Degree**

- (1) Name of Ph. D. Student : .....
- (2) The Department/ School of : .....
- Under the School/ Faculty.....
- (3) Title of the Thesis : .....
- .....
- .....
- .....

**PART – I**

We have read the thesis, Submitted by the aforementioned student for the degree of Doctor of Philosophy on the aforementioned title and also perused the reports of the other examiners of the said thesis, and have examined the student's viva-voce and hence, have to report:

**(A) That we are satisfied that the candidate**

- (1) is well acquainted with the literature on the subject;
- (2) evinces a good understanding of the topic of his research and the thesis is genuinely his/her own work; and
- (3) has an appropriate comprehension of the broad field of his/her study.

**(B) That candidate has not satisfied us:**

*[Strike out whichever is inapplicable from amongst (1), (2), (3) and (4)]*

- (1) That he/she is well acquainted with the literature on the subject.
- (2) In respect of one or more of the conclusions, drawn from the investigations reported in the thesis.
- (3) on the aspect of originality of one or more parts of the thesis.
- (4) State any other ground, if any

**PART-II**

(Report of the examiner to be enclosed)

**PART-III**

We recommend:

[A] That the degree of the Doctor of Philosophy be conferred on the candidate.

**OR**

[B] That the degree of the Doctor of Philosophy be not conferred on the candidate for the time being and (s)he be required to re-appear at the viva-voce examination within the prescribed period.

Signature of Examiner.  
Name of the Examiner.  
Address.





**A STUDY .....RAMNAGAR IN  
UTTARAKHAND, INDIA**

Thesis  
Submitted for the award of the degree of

**DOCTOR OF PHILOSOPHY**

**IN SUBJECT**

SUBMITTED BY

NAME OF THE STUDENT MR. HIMANSHU KUSHAL UNDER THE  
SUPERVISION OF SUPERVISOR DR. GAJENDRA SINGH



**2021**

Department of Psychology,  
School of Social Science  
Doon University , Dehradun,  
Uttarakhand (INDIA)



**Title**

Thesis  
submitted for the award of the degree of

**DOCTOR OF PHILOSOPHY**

**IN SUBJECT**

SUBMITTED BY

NAME OF THE STUDENT UNDER THE SUPERVISION OF SUPERVISOR



2021

**NAME OF THE DEPARTMENT**

**NAME OF THE SCHOOL**

**NAME OF UNIVERSITY**