

# **RULES AND REGULATIONS FOR DOCTORAL PROGRAMME (Ph.D)**

**(includes explanation)**

**QUANTUM UNIVERSITY**

**ROORKEE**

## **RULES & REGULATIONS FOR DOCTORAL PROGRAMME (Ph.D)**

(Effective Academic Session 2018-19 onwards)

**Reference 1: [As per University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./ Ph.D. Degrees) Regulations, 2016]**

### **PREAMBLE**

The objective of the doctoral program is to provide opportunities for quality research for aspiring researchers and academicians. The researcher is expected to become familiar with a range of research methods, and to develop a background in his chosen domain of subjects and their functional areas. The program is aimed at producing competent researchers who may be employed in academic, industry, non-profit, or governmental organizations.

**APPLICABILITY:** This Ordinance shall apply to the program leading to the degree of Doctor of Philosophy (Ph.D.)

### **1 DEFINITIONS**

**1.1 “Approved School”** shall mean a school of higher learning established by the University.

**1.2 “School/Institute”** shall mean an academic institution maintained or admitted by the University to its privileges and includes a School/Institute/Centre/ Department.

**1.3 “Candidate/Applicant”** shall mean a person who has applied to the Ph.D. program, but is not yet registered for the same.

**1.4 “URC”** shall mean a University Research Centre, which will be the nodal office controlling the Ph.D. program in the University. URC is headed by Dean Research, who is appointed by Vice Chancellor for a period of three year.

**1.5 “SRC”** shall mean a School Research Committee consisting of Dean/Director of the concerned School, Coordinator and Head of departments under the school, all Professors of the concerned School, two Associate Professors and one Assistant Professor/s having Ph.D. degree, by rotation in order of seniority (for two years), the proposed supervisor(s) or the approved supervisor(s) and Chairperson / Member Secretary / nominee of the URC. **SRC will work as Research Advisory Committee (RAC) as laid down in UGC Ph.D. regulation 2016; Reference 1.** The SRC shall also include one Professor, having Ph.D., from the other concerned department/ school in case of interdisciplinary topic of the

research of the candidate. Quorums of the SRC will be deemed complete only when three members of the SRC are present of which one should be the Chairperson / Member Secretary / nominee of the URC.

**1.6 “Supervisor”** shall mean a member of the faculty of the University approved by the SRC to guide/supervise the research work of the research scholar.

**1.7 “Co- Supervisor”** shall mean a member of the faculty of this or another university/ college/ research institution, other than the Supervisor, as approved by the SRC to guide/supervise the research work of the research scholar.

**1.8 “Caretaker Supervisor”** shall mean a member of the faculty of the University appointed to act as the supervisor of the research scholar in the absence of the original Supervisor(if he has taken long leave / left the University) before and/or after submission of the thesis as determined by SRC.

**1.9 “Research Scholar”** shall mean a person registered for the Ph.D. program and devoting adequate time for completing the requirements of this degree.

**1.10 “Sponsored Research Scholar”** shall mean a research scholar sponsored by an employing organization.

**1.11 “Registration Period”** shall mean the length of the period commencing with the date of 1<sup>st</sup> enrollment in Ph.D. Program before coursework and ending on the date of award of the Ph.D. degree counting out any gaps as per Clause 5 of the Ordinance.

**1.12 “COE”** shall mean the Controller of Examinations of the University.

**1.13 “ODC”** shall mean the Oral Defense Committee, and shall consist of the Director/Principal/Dean/Head of the concerned College, the supervisor(s), and at least one of the two external examiners.

**1.14 “RDC”** shall mean Research Degree Committee, and shall consist of the Vice-Chancellor, Director/Principal of the concerned college, Controller of Examinations, and two Professors of the University other than the Supervisor(s) of the candidate to be nominated by the Vice-Chancellor. The Vice Chancellor shall be the Chairman of the Committee.

**1.15 “Degree”** shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.

**1.16 “University”** shall mean Quantum University, Roorkee.

**1.17 “SOP”** shall mean the Standard Operating Procedure governing the Ph.D. program of the University. (**Annexure – K**)

**Note:** In this Ordinance wherever ‘he’ and ‘his’ occurs, these shall mean to imply ‘he/she/other’ and ‘his/her’ respectively.

## **2. PROGRAMME**

2.1 The University shall provide facilities for studies and research leading to the award of the degree of Doctor of Philosophy(Ph.D). The program shall be conducted at and through the schools of the University, subject to these guidelines laid down by the Academic Council and control exercised by the University Research and Consultancy Centre (URC) and concerned School Research Committee (SRC).

## **3. PLACE OF WORK**

3.1 A Research Scholar shall be required to pursue prescribed course work/research work at the school of the University under the guidance of the department/ approved supervisor(s).

3.2 The SRC may permit a research scholar to carry out research work outside the University at a Research Centre, approved by the University. Further, the SRC may also permit the research scholar to work at his place of employment provided adequate facilities for research, on the proposed topic are available at his workplace, to the entire satisfaction of the SRC.

3.3 University offers Ph.D. Program in Full time mode. Part-time Ph.D may be allowed provided all the conditions mentioned in the extant Ph.D Regulations are met.

## **4. ADMISSION ELIGIBILITY**

A candidate possessing any one of the following qualifications shall be eligible to apply for admission to a Ph.D. program of the University.

4.1 Candidates for admission to Ph.D. programme shall have a Master’s degree or a professional degree declared equivalent to the Master’s degree by the corresponding statutory regulatory body, with atleast 55 per cent 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, or Colleges.

4.2 A relaxation of 5% 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 and other categories of candidates as per the decision of the UGC from time to time, or for those who had obtained their Master’s degree prior to 19th September, 1991.

4.3 However, as per the University Grants Commission Regulation of 2018, “The following proviso shall be added to the clause 5.4.1 of the University Grants Commission (Minimum Standards and Procedure for award of M.Phil/Ph.D Degrees) Regulations, 2016 “provided that *a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC(Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the Universities*” is added in 4.2 (Browsed from Regulation 2018 & proposed reporting in Academic Council; Third Meeting on 25<sup>th</sup> Jan 2020 )

**Note:** *The eligibility marks of 55% (or an equivalent grade in a point scale wherever the 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.*

## **5. DURATION OF THE PROGRAM**

5.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years. A research scholar shall normally be allowed to submit his thesis within a maximum period of six (6) years. However, in exceptional cases, this limit may be extended by the Vice-Chancellor by a maximum period of one year, on specific request from the research scholar duly recommended by the SRC.

5.2 The Women candidates and Persons with Disability (more than 40% disability) shall be allowed a relaxation of two years for a Ph.D. program in the maximum duration of six (6) years. In addition, the women candidates shall be provided Maternity Leave/ Child Care Leave once in the entire duration of the Ph.D. program for up to 240 days.

## **6. APPLYING FOR Ph.D. ADMISSION**

6.1 University will notify the admission on website and two news papers (One National is must). The candidate shall apply for admission in the prescribed form available on the website of the University, [www.Quantumuniversity.edu.in](http://www.Quantumuniversity.edu.in) or the office of the University Research Cell (**Annexure – B**).

6.2 Applicants who are in employment of any organization either in India or abroad will be eligible for registration as a Research Scholar provided:

- a. They fulfill qualifications laid down in Clause 4 above;
- b. The applicant who is pursuing employment, must produce a No Objection Certificate (NOC) (**Annexure C**) from his employer;
- c. The applicant proves to the satisfaction of the SRC that his employment duties will permit him to devote sufficient time for research work and prescribed course work;

- d. The application for admission is endorsed by the Head of the applicant's employing organization

## 7. PROCEDURE FOR ADMISSION IN PH.D. PROGRAM AND REGISTRATION AS A RESEARCH SCHOLAR

The University shall admit the candidates by the following process through:

7.1 Each candidate shall be required to take a Quantum University Research Aptitude Test (QURAT) on the date notified in admission notification.

- (a) The syllabus of QURAT shall consist of two sections, **Section A:**Research aptitude and **Section B:**DomainSpecific. Qualifying marks in QURAT is 50%.
- (b) Final provisional admission will done by joint merit of QURAT Marks (70% Weightage) and interview (30% Weightage).
- (c) The Entrance Examination (QURAT) will be conducted at the Centre(s) notified in advance (change of centre, if any, shall be notified well in advance).
- (d) Candidates who have qualified UGC-NET/UGC-CSIR NET/SLET/GATE/Teacher fellowship holder or has passed M. Phil program are exempted from the QURAT. Their selection will be on the basis of interview and merit.
- (e) An interview/viva-voce to be organized by the URC when the candidates are required to discuss their research interest/area through a presentation before a duly constituted School Research Committee (SRC).
- (f) On the merit of selection process,the applicants will deposit the Pre-Ph.D. registration fee to enroll in Ph.D. Program.The applicant will attend the prescribed course work of the department in which he is enrolled. The applicant shall complete all the requirement of course work as laid down by university before his registration as research work.
- (g) After successful completion of course work, the applicant needs to send three copies of statement of research purpose/ synopsis, within three months, to SRC mentioning the topic of his proposed research and objectives of the work that the candidate intends doing on the subject or topic.

7.2 The candidate shall be required to discuss his research plan before the School Research Committee, justifying his suitability to pursue research which will consider the following aspects, viz:

- (a) The candidate possesses the competence for the proposed research;
- (b) The research work can be suitably undertaken at the School;
- (c) The proposed area of research can contribute to new/ additional knowledge.

7.3 . On the basis of the contents of the Research Plan and the presentation, the SRC shall either recommend the case, or, may ask the candidate to make a fresh presentation of the Research Plan. The SRC shall give its recommendations on the prescribed format. (**Annexure – D**).

7.4 A candidate will ordinarily be allowed two attempts for presentation before the SRC. In case the Research Plan of a candidate is not approved, a third attempt may be allowed only with the approval of the Vice-Chancellor on the specific recommendation of the SRC, justifying the reasons for an extra attempt. Under no circumstances the duration of approval of research plan would exceed eighteen months from the date pre-Ph.D course work registration.

- (a) While recommending the Research Plan, the SRC will also recommend the supervisor(s) as per clause 10 of the thesis in line with the qualification defined herein.
- (b) Once SRC approves the research plan , Candidate has to apply for Ph.D. registration after completing all formalities (fees and other documentation)as per annexure E.
- (c)On the completion of the formalities, A formal letter of registration of the candidate would be issued by the URC.
- (d)A candidate shall be required to renew his registration every year in the manner prescribed by paying the fees as prescribed by the University from time to time.

## **8. FELLOWSHIP AND TEACHING ASSISTANTSHIP**

8.1 The Candidates enrolled for Ph.D. may be awarded scholarship/ fellowship by any funding agency and their payment of scholarship shall be released after their cases are recommended by the Departmental Research Advisory Committee.

8.2 JRF students registered for Ph.D. research work will be paid their fellowship as and when received from funding agency by the university.

8.3 Candidates availing the fellowships are bound to follow all the rules of the funding agency.

8.4 Selected Candidate may give chance for teaching assistantship on the basis of their merit and university selection process. They may give remuneration on the basis the university rule.

## **9. COURSE WORK**

9.1 All research scholars (except M. Phil. Candidates as exempted by the UGC)admitted to the Ph.D. program shall be required to complete the prescribed course work during one or two semester as decided

by SRC. The syllabi and duration of a course work will be approved by the statutory bodies of the University.

9.2 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

9.3 The course work shall be treated as a prerequisite for completion of the Ph.D. program. Registered students will be required to take a minimum of four courses and up to a maximum of six courses as per the decision of the School Research Committee duly approved by Academic Council.

9.4 The credits assigned to the Ph.D. course work shall be a minimum of 10 credits and maximum of 16 credits. The research scholar shall be evaluated at mid semester and end of semester of course work.

9.5 The following 10 credits(courses a to d) of courses work are mandatory for every Ph.D student. The courses mentioned in point (e) may be decided by SRC for preparing student for research.

- (a) Research Methodology I: Problem Identification, formulation of Hypothesis and Computer Applications(3 Credits, 45Hrs)
- (b) Research Methodology II: Quantitative Methods, Measurement, Statistical Analysis and Report writing (3 Credits, 45 Hrs),
- (c) Research Methodology III: Literature Survey (2 Credits, 30Hrs)
- (d) Research Methodology IV: Research and Publication Ethics (2 Credits, 30 Hrs), (*Proposed Amendment on 25 Jan 2020 after The Third Meeting Academic Council Meeting*)
- (e) Advance Level course (up to two) may be recommended by SRC (Optional or suggested by SRC). Advance level courses(up to two) preparing the student in the field of research (3 credits each, 45 Hrs each).

9.6 During course work, the scholar need to attend all classes. A minimum 75% attendance is required to appear in End Semester Examination.

9.7 There will be One mid semester examination and one End semester examination. The weight age of mid semester examination will be 30% and End semester examination will be 70%. Passing marks in each course is 50%.



9.8 A Ph.D. scholar has to obtain a minimum of 55% overall of weighted marks in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

Aggregated Marks in Coursework =  $\text{Sum}(\text{Credit}_i \times \% \text{ of marks in course } i) / \text{Total Credits registered}$

9.9 In case a scholar is able to clear all courses but the aggregate marks are below 55% then scholar may be allowed to reappear in next cycle examination in any two course as improvement on the recommendation of URC .

9.10 If scholar is failed to obtain any above criteria then he may be allowed to appear in next cycle of examination on the recommendation of URC.

9.11 The research scholar shall be required to carry out intensive research on the approved topic. At the end of the first semester, the scholar shall be required to submit a Term Paper/ Research Plan and present the same to the SRC. At this stage the scholar will have an option to review the topic of research and if recommended by the SRC, the same shall be considered final after seeking due approval. Further change in the topic would be allowed on the recommendation of SRC only in exceptional cases and with the approval of the Vice Chancellor.

## **10. ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR/CO-SUPERVISOR**

*(Adopted from Reference 1)*

10.1 Any regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

10.2 Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

10.3 Only a full time regular teacher of the concerned University/Institution Deemed to be a University/College can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.

10.4 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-

Supervisor from outside the Department/ Faculty/School/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

10.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

10.6 The allocation of Research Supervisor for a research scholar shall be decided by the SRC of the concerned School, depending upon the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholar as indicated by him/her at the time of presentation before the SRC.

10.7 The SRC shall consider the names of the Supervisor/Co-supervisor for approval.

10.8 A change of Supervisor/co-supervisor shall be permitted in case of the inability or non-availability of the Supervisor. The SRC shall seek approval from the Vice Chancellor for appointment of a Caretaker Supervisor/ re-allotment of supervisor.

10.9 In case of relocation (outward and inward both cases) of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred (from inward to outward) 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 parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor/ Co-supervisor and the Quantum University for the part of research already done.

## **11. PERFORMANCE MONITORING**

11.1 School Research Committee (SRC) shall have the following responsibilities:

- (a) To review the research proposal and finalize the topic of research;
- (b) To guide the research scholar to develop the study design and methodology of research and identify the course (s) that he has to do;
- (c) To periodically review and assist in the progress of the research work of the research scholar.
- (d) To consider an Institution of Repute outside the University campus as “Research Center” for carrying out Research work by a candidate provided adequate facilities for carrying out

Research work is available in that Institute, and recommend to Vice Chancellor for the approval of that Institute as Research Center.

11.2 The academic/research progress of each research scholar will be regularly monitored by the SRC. A research scholar shall appear before the SRC once in six months to make a presentation of the progress of his work for evaluation and further guidance. The six monthly progress reports will be sent by SRC to the URC.

11.3 The Semester Progress Review Meeting shall be held as specified in the Academic Calendar year. A student cannot skip a presentation without prior permission, subject to a maximum of two presentations in the complete duration. The SRC must record the progress of the research in the Semester Progress Review form and submit it to URC (**Annexure – F**).

11.4 The progress report and attendance certificate shall be verified by the URC periodically and the report of the URC shall be submitted to the CoE in each Semester.

11.5 The SRC after having considered the progress report of each research scholar shall recommend any of the following:

- (a) Continuation of registration, or
- (b) Continuation of registration and issuance of a warning to the research scholar and making recommendation of steps necessary to improve his/her performance in consultation with the supervisor(s) or
- (c) Termination of registration.

11.6 If the research scholar is issued a warning letter, two times, the minimum registration period for allowing a candidate to submit the thesis shall be increased by one semester every time a warning has been issued.

11.7 A copy of the same would be sent to the scholar, supervisor and the URC for records in the scholar's file.

## **12 EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/ CREDITS FOR THE AWARD OF THE DEGREE PRE-THESIS SUBMISSION PRESENTATION**

12.1 Upon satisfactory completion of course work, and obtaining the credits prescribed in Clause 9, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within stipulated time as per this ordinance.

12.2 A pre-thesis submission presentation by the research scholars before the SRC is an essential requirement. On completion of the research work, the research scholar shall submit four copies of the summary of his research work, including bibliography, two copies of the draft thesis, copy of the research publications related to the thesis and one CD/Pendrive containing draft thesis to the SRC through his supervisor(s) and make a presentation at which faculty members and other research scholars/students may be present. SRC will invite all University Colleges/ Departments for the pre-thesis presentation. The pre-thesis submission may be done only after 33 months from the date of Ph.D. Enrollment (*at the of admission*). The candidate may go in next phase of final submission of the thesis in prescribed format only after approval of SRC.

12.3 The research scholar shall be required to submit his final thesis within three months from the date of pre-thesis submission presentation by the research scholars. However, in case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the Vice chancellor on the recommendations of the SRC, may grant an extension of ~~not more than~~ three months with *next installment of fee (if applied)*, i.e., the research scholar may be allowed to submit his thesis within a period not exceeding six months from the date of pre-thesis submission presentation.

12.4 The research scholar will be required to submit his declaration and a certificate from his supervisor(s) in the prescribed format countersigned by the Director/Principal/Head of the School vouching that the plagiarism (as per plagiarism policy of the University) is within the permitted limit and that the work embodied in the thesis titled “\_\_\_\_\_” is original and has been carried out by the research scholar and that it has not been submitted in full or in part for any other diploma or degree of this or any other University. A certificate indicating the similarity index generated by the certified Anti- Plagiarism tool used by the University has to be included in the thesis duly countersigned by the Principal/ Director/ Head of the School (**Annexure – J**).

12.5 If a candidate has made significant progress in his / her work, but has not completed his / her thesis even after availing all extensions, she / he will be allowed for re-registration with the same topic on payment of the prescribed fee and on the recommendation of the Research Supervisor besides fulfilling SRC requirements with adequate published / documented work. Re-registered candidates need not undergo course work again. Such candidates will be permitted to submit the thesis after 12 months and not later than 24 months from the date of re-registration. Re-registered candidates are not eligible for any extension. Even after re-registration, if the candidate is not able to submit his / her thesis within the prescribed time, his / her re-registration will be cancelled. He / She will not be admitted for Ph.D. in QUANTUM UNIVERSITY anymore.

### 13 APPOINTMENT OF EXAMINERS

13.1 A panel of five experts of Professor / Associate Professor level in the area of research work which may include experts from university would be suggested by the supervisor(s) and placed before the SRC for its recommendations. The SRC may delete/add any of the name(s) proposed by the supervisor(s).

13.2 A person from the same Institution where the research scholar is employed cannot be appointed as an external examiner. Further, a person from a laboratory/institution/approved research centre to which the Co-supervisor of the research scholar belongs, cannot be appointed as an external examiner.

13.3 On receipt of the draft thesis, the SRC shall send the panel of examiners to the Controller of Examination who shall get the Board of Examination approved from the Vice Chancellor. The Board shall consist of one internal examiner from amongst the supervisor(s), and two external examiners. However, out of the two external examiners selected, at least one shall be from outside the state of Uttarakhand. The examiners shall normally be chosen from the panel of examiners recommended by the SRC. In case one or more external examiners so appointed decline to examine the thesis, another external examiner shall be appointed out of the panel. In case the panel gets exhausted, the SRC shall recommend additional names.

#### 14 **THESIS SUBMISSION**

14.1 The thesis shall be a piece of research work, characterized either by the discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts or development of equipment making a distinct advancement in instrument technology. It should bear evidence of the research scholar's capacity for analysis and sound judgment as well as his ability to carry out an independent investigation, design or development. The thesis has to be supplemented by published work, mandatorily. No part of the thesis or supplementary published work shall have been submitted for the award of any other diploma or degree anywhere. The thesis must contain a Declaration by the research scholar, a Certificate signed by the supervisors and SRC chairperson and a Plagiarism Verification form **(Annexure H, I and J)**

14.2 The thesis shall be written in English, other than research work carried out in languages, in a specified format in accordance with the instructions contained in **Annexure – G** of this Ordinance, until otherwise required by the specific discipline. In case the thesis to be submitted is written in a language other than English, the same shall be approved by the Vice Chancellor on the recommendation of the SRC.

14.3 A research scholar may submit his thesis within the stipulated time period, provided he has:

- (a) Completed the minimum period of registration as provided in Clause of this Ordinance.

- (b) Published minimum of two research papers in UGC approved refereed journals preferably in databases such as Scopus, Web of Science, PubMed and Indian Citation Index or as notified by UGC from time to time. However, if the research paper(s) has been accepted for publication, the same shall be treated as under publication and the SRC can recommend the submission of the thesis. The candidate is also required to make two paper presentations in conferences/ seminars, of which one should be a conference/ seminar other than in the house, before the submission of thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/ or reprints.

14.4 Four hard copies of the thesis in soft binding along with two copies of CD/Pendrive shall be submitted in the College/Department, where the Research Scholar has been registered. The same shall be forwarded to the COE for evaluation. In case a research scholar is being supervised by more than one supervisor, appropriate number of additional copies must be prepared to provide them one copy each.

## 15 EVALUATION

### 15.1 Evaluation of Thesis

- (a) The thesis shall be sent for evaluation only after the plagiarism verification report is found to be within the acceptable norms of the University.
- (b) Each examiner will be requested to submit a detailed assessment report and his recommendations on a prescribed Performa to the COE within three months from the date of receiving the thesis. (Annexure M)
- (c) In case the assessment report is not received from an external examiner within four months, the Vice-Chancellor may appoint another external examiner from the panel of examiners for evaluating the thesis.
- (d) Each examiner shall be required to state categorically whether in his individual opinion, the thesis should be:
- i) Accepted for the award of Ph.D. degree, or
  - ii) Referred to the research scholar for submission in the revised form, or
  - iii) Rejected.
- (e) The examiner shall state the reasons for recommending/ resubmission/ rejection of the thesis. If resubmission is recommended, the examiner(s) shall specifically indicate the modifications that need to be incorporated in the thesis by the research scholar.

- (f) On receipt of reports from all the examiners the COE shall place them before the members of RDC who will peruse the reports and recommend one of the following:
- i) If the external examiners are unanimous that the thesis be accepted for the award of the degree, the research scholar would be required to appear for oral defense
  - ii) If the external examiners are unanimous that the thesis be submitted in a revised form, then the research scholar would be informed to submit the revised thesis incorporating the suggestions/ views from the examiners.
  - iii) If the external examiners are unanimous that the thesis should be rejected, then the research scholar will be informed accordingly and the research scholar shall be declared ineligible for the award of Ph.D. degree.
  - iv) If either of the external examiners reject while the other accepts the thesis, then, an additional external expert shall be appointed as an examiner to evaluate the thesis. If the report of the latest examiner is also 'rejected', the thesis shall be rejected and the research scholar shall be declared ineligible for the award of Ph.D. degree.
- (g) Should there be comments for modification by any external examiner the research scholar will undertake the necessary modifications and re-submit the thesis.
- (h) In case of Clause 15.1 (d) (ii) above, the COE in consultation with Director/Principal/ Head of the School shall also provide to the research scholar a list of all corrections and modifications required in the thesis, including suggestions made by the external examiners during the thesis evaluation. The research scholar shall incorporate all suggestions and changes and submit the same to the SRC for review and approval for re-consideration of the thesis by the RDC.

## 15.2 Oral Defence

- (a) A research scholar, whose thesis is recommended for acceptance in accordance with the provision of Clause 15.1(d) (i) on the basis of thesis evaluation, shall be required to defend his work/thesis orally before a duly constituted committee, hereinafter referred to as Oral Defense Committee (ODC) at the University premises. Any deviation from this procedure should have prior permission of the Vice-Chancellor.
- (b) ODC shall consist of the Director/Principal/Head/Dean of the concerned College, the supervisor(s), and at least one of the two external examiners, and shall be open to be attended by Members of the URC, SRC, all faculty members of the College/ Department, other research scholars and other interested experts/ researchers from the University. The external examiner

invited for oral defence examination shall submit his report in the prescribed Performa to the COE.

- (c) On the completion of all the stages of the examination, the COE shall put before the RDC, the report of the ODC to approve one of the following:
- (d) That the degree of Ph.D. be awarded, or
- (e) That the research scholar be re-examined at a later specified time in a specified manner, or
- (f) That the degree of Ph.D. not be awarded.
- (g) The research scholar shall incorporate all suggestions and changes as discussed in the ODC and submit the same to the SRC for review and approval for submission of the thesis after incorporating the suggestions/changes. The research scholar shall, thereafter, submit two hardbound copies and two CDs/Pendrive of the thesis incorporating all necessary corrections/modifications. The COE will ensure that the electronic copy of the Ph.D. thesis is submitted to INFLIBNET within seven days of receipt of the CDs from the research scholar. The RDC will meet not before fifteen days of submission of the electronic copy to INFLIBNET.

## 16 AWARD OF THE DEGREE

16.1 The Degree shall be awarded by the University provided that:

- (a) The RDC so approves,
- (b) The research scholar produces a “No Dues Certificate” in the prescribed form (**Annexure – L**),
- (c) The research scholar has submitted two hard bound copies of the thesis; one for the College Library and one for the Central Library and two soft copies in CD ROM/Pendrive in the structure prescribed by Shodhganga, INFLIBNET. These should incorporate all necessary corrections/modifications and have the consent of the SRC.
- (d) The date of RDC approval shall be the date of completion of the degree.

16.2 Prior to the actual award of the degree, the University shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

16.3 Hard bound copies and CD ROM/Pen drive of the Ph.D. thesis, submitted after the oral defense examination, must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

©Quantum University,  
Roorkee – Uttarakhand (India)  
*All rights reserved*



## 17 CANCELLATION OF REGISTRATION

The registration of a research scholar shall be cancelled after due approval of the Vice Chancellor in the case of the following:

17.1 If being a full time research scholar, he absents himself for a continuous period of six weeks without prior intimation/sanction of leave.

17.2 If he resigns from the Ph.D. program and the resignation is duly recommended by the SRC.

17.3 If he fails to renew the registration as per the provisions contained in this Ordinance.

17.4 If his academic progress is continuously found unsatisfactory by SRC.

17.5 If he is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the School Research Committee or any other authority so authorized by the Academic Council.

## 18 GENERAL

Notwithstanding anything contained in this Ordinance, all categories of research scholars shall be governed by the rules and procedures framed by the University and enforced from time to time.

## 19 INTERPRETATION AND UNFORESEEN ISSUES

Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by this Ordinance, or in the event of a difference of interpretation, the Vice Chancellor may take a decision, after obtaining if necessary, the opinion/advice of a Committee consisting of any or all the Director/Principal/Head of the Colleges. The decision of the Vice Chancellor shall be final.