

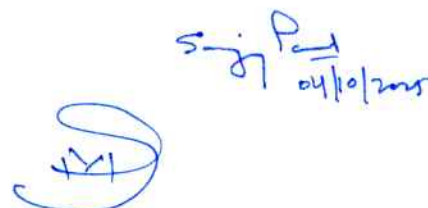
## Kumaun University Research Ordinance-2023

(Amendment dated 08<sup>th</sup> December, 2023 and 06<sup>th</sup> October 2025)

A meeting on the Research Ordinance was held on 06th December 2023. The committee considered and adopted the *University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022*, as notified by the University Grant Commission vide Notification ADVT.-III/4/Exty./367/2022-23 as published in the Gazette of India dated 07th November 2022 under PART III—Section 4 in supersession/amendment of the Kumaun University Research Ordinance-2016.

Kumaun University, established in 1973, comprises two campuses at Nainital and Bhimtal. In the year 2015, Kumaun University was accredited as NAAC-Grade 'B+', besides being an ISO: 9001 certified university. The Kumaun University, Nainital, is a member of the Association of Indian Universities. Kumaun University comprises the faculties of Arts, Science, Commerce, Management, Education, Law, Bio-Medical, Technology, Agriculture, and Fine Arts. Most of the teaching departments under these faculties have facilities for carrying out research in different fields of interest. With affiliations to 20 government colleges, scores of private institutions, and a government-aided college, the University supports around 1,50,000 students, making it Uttarakhand's largest University. The University Grants Commission issued the University Grants Commission (Minimum Standards and Procedures for Award of PhD Degree) Regulations, 2022, in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil. /PhD Degree) Regulations, 2016, vide a Gazette notification dated 07th November 2022, and its compliance is mandatory for all universities and institutions awarding a PhD degree in India. Keeping this in view, our University has amended its earlier Research Ordinance by the UGC Regulations, 2022, which shall be known as 'Kumaun University Research Ordinance - 2023'. As provided in the Ordinance, the admissions shall be made directly and through the Entrance Test to be conducted by the University.

The Ordinance shall come into effect immediately after its approval by the competent statutory authority of the University. The Ph.D. of all the candidates who have been admitted to the University's Ph.D. programme through RDET-2023 and subsequent years will be governed by the **Kumaun University Research Ordinance-2023** till further notification.



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

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

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

- (i) A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed
- (ii) or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
- (iii) provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.
- (iv) Candidates who have completed the Master of Philosophy (M.Phil.) programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.
- (v) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.
- (vi) A permanent teacher serving in Kumaun University or the affiliated college as a regular teaching faculty is eligible after serving a minimum period of one year.
- (vii) As per the recommendations of Academic Council, point 02, Dt.06.3.2013, those who have appeared in the PG Final Year/ Semester Exam. of Kumaun University or its affiliated colleges/ institutions may also apply provisionally for the Ph.D. Entrance Examination.
- (viii) A candidate shall ordinarily be permitted to work for the Ph.D. Degree in the subject in which they have obtained a Master's Degree, but also that research work leading to a Ph.D. Degree may be

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allowed in allied subjects in the same or any other Faculty on the recommendation of the concerned Board of Studies (BOS)/ Research Degree Committee (RDC). Allied subjects for the above-stated purpose need to be approved by the University's Academic Council.

**(B) Procedure for Admission:**

The University shall notify the number of Ph.D. positions available in the academic year.

The University shall notify well in advance on the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in Hindi language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test shall be conducted and other relevant information for the benefit of the candidates.

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

**1. Through a Research Degree Entrance Test (RDET) conducted by the University, having the component of written test and an interview**

- (i) The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.
- (ii) The University will administer a written examination worth 100 marks, with a total duration of 2 hours. The exam will consist of 100 objective/multiple choice questions worth one mark, with no penalty for incorrect answers.
- (iii) Students who have secured 50 % marks in the entrance test can be called for the interview. However, the number of eligible students to be called for an interview is based on the number of Ph.D. seats available.
- (iv) A relaxation of 5 % marks will be allowed in the entrance test for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- (v) The final merit ranking of candidates who pass the written examination will be determined by a combination of their scores, with 70% based on the marks scored in the written entrance examination and 30% based on the performance in the interview.
- (vi) If two or more candidates in a subject have obtained the same marks as per the procedure mentioned above, the final merit will be decided first by their post-graduation scores in the relevant subject, followed by marks in the entrance test and date of birth. If merit has to be decided by date of birth, the senior will get the higher merit.
- (vii) The University will invite applications under this category through the admission portal, which will be open for a specific period.



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## 2. Direct admission (without appearing in RDET), based on an interview

- (i) Candidates who have qualified for fellowship/scholarship in UGC-NET-JRF/UGC- UGC-CSIR-NET-JRF or NFSC or NFOBC or NFST or any equivalent fellowship, candidates who have been awarded the INSPIRE Fellowship, and candidates who have passed the Graduate Pharmacy Aptitude Test (GPAT) or GATE or an equivalent national test or international students, may be considered for direct admission to the Ph.D. programme without having to appear for the Research Degree Entrance Test (RDET). However, such candidates must apply through the portal and pay the necessary fees for the interview/counselling.
- (ii) A permanent teacher serving in Kumaun University or the affiliated college as a regular teaching faculty, having served for a minimum period of one year on the date of notification (as per Clause 1A(vi) of this ordinance), fulfilling the eligibility criteria for a Ph.D., will also be exempted from the RDET.
- (iii) The members of the Central Civil Services (CCS) (Group – A Category), who have completed their probation period and served their respective departments for at least five years, would also be eligible to seek admission under the RDET exempted category on supernumerary seats.
- (iv) All those under the exempted category under 2(i), 2(ii) and 2(iii) shall be admitted through interview only. In all such cases, the marks obtained out of 30 will be converted to marks out of 100. No separate merit list will be made for this category.
- (v) A duly constituted committee will conduct the interview.
- (vi) For the candidates under this category, the University will invite applications through the admission portal, which will be opened twice a year immediately after the declaration of UGC-NET/ UGC-CSIR-NET results.
- (vii) Candidates eligible for direct admission (without appearing in RDET) may also appear for the RDET. For this, the candidate needs to fill out the prescribed form of RDET and mention the score of UGC-NET/UGC-CSIR-NET/NFSC/ NFOBC/ NFST or any equivalent examination. For such candidates, the score that helps the candidates to get a higher position in the merit list will be finally considered.
- (viii) UGC-NET/ UGC-CSIR-NET candidates declared eligible under Category-2 (LS) and Category-3 (Ph.D) (June 2024 onwards, as per UGC's 578<sup>th</sup> Meeting) within the period of validity of their marks/ fellowship may also be considered for direct admission to the Ph.D. programme without having to appear for the Research Degree Entrance Test (RDET). Still, their final merit will be prepared in such a way that the marks obtained in the NET will have 70% weightage, and 30% weightage will be of the marks obtained in the Interview.

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3. Ph.D. seats will be allocated based on the State of Uttarakhand Reservation Policy, as applicable from time to time, based on intake in a given academic year. Only the candidates with domicile and category certificates of Uttarakhand will be eligible for reservation.

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

Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the University where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognised research supervisors cannot supervise research scholars in other institutions, where they can only be co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the University or its affiliated Post-graduate Colleges/institutes would violate these Regulations.

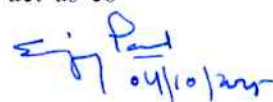
The faculty member on 'lien' at Kumaun University may be considered as a supervisor, provided that a teacher from the same department must be appointed as co-supervisor. Also, in all such cases, the supervisor and co-supervisor must have at least six years of service before superannuation. In such cases, the roles of supervisors and co-supervisors will be interchanged if the faculty does not join the University immediately after completing the lien of three years. The faculty working on deputation in Kumaun University on administrative positions will not be considered as supervisors for fresh allotment of research scholars during the period of deputation.

For Ph.D. scholars working in Central government/ State government, and research institutions whose degrees are given by Kumaun University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professors can be recognized as supervisors if they fulfil the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the Higher Educational Institution may relax the above condition to recognize a person as Research Supervisor with reasons recorded in writing. Co-supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-



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supervisors.

- (i) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor/ Joint supervisor from outside the Department/School/Centre/College/University/ Industry and foreign Universities may be appointed only after having a legal Memorandum of Understanding (MoU) with the concerned department/ Centre/College/University/Industry.
- (ii) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time. However, in the event of no vacant seat, each supervisor can accommodate one RDET Exempted candidate (UGC-CSIR-JRF/GATE/INSPIRE Fellowship holders/Teacher) on a supernumerary basis over and above the permitted number of PhD scholars with special permission from RDC/Hon'ble Vice Chancellor. The extra seat for research scholars would be permissible only for faculty serving at university campuses with publications in high-impact journals (SCI, ESCI, Scopus, Web of Science) during the last five years.
- (iii) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- (iv) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- (v) Relatives of the candidate for the Ph.D. degree shall not act as supervisors. Relations will include father, mother, husband, wife, son, daughter, brother, sister, uncle, nephew, father-in-law, mother-in-law or such other relations as may be determined by the Executive Council.
- (vi) If unforeseen circumstances have necessitated a change of supervisor, the Research Degree Committee shall appoint a supervisor as a supernumerary allotment.
- (vii) Once a research scholar is allotted to a permanent faculty member employed in the University or its affiliated **Post-graduate Colleges/institutes**, with a postgraduate





department in the relevant subject the faculty member will continue to supervise the scholar even if he/she is transferred to another PG/UG college under the University. However, the research centre of the research scholar will change with each transfer, and it will be the supervisor's responsibility to notify the university accordingly.

- (viii) Upon leaving the university or its affiliated colleges through transfer, resignation, or superannuation, a faculty member can no longer serve as a supervisor. However, they may continue as a co-supervisor as per the relevant clause of this Ordinance.
- (ix) Permanent faculty members posted in **undergraduate colleges** affiliated with Kumaun University are not eligible to be appointed as supervisors. However, they can serve as co-supervisors if they meet the research publication eligibility criteria outlined in this Ordinance.

#### **D. Pre-Ph.D. Course Work**

- (i) The qualified candidates shall be admitted to Pre-Ph.D. Course Work through interview/ counselling at the centres designated by the University for the same.
- (ii) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1-1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC-recognized online courses as part of the credit requirements for the Ph.D. programme. A Ph.D. student can also do pre-Ph.D. coursework at the institutes/universities having valid MoUs with Kumaun University. All such candidates have to get prior permission for the same from their parent centre designated for course work, Kumaun University and the centre they intend to do the course work.
- (iii) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorials or laboratory work and evaluations.
- (iv) The Ph.D. scholar will get only two attempts to pass the Pre-Ph.D. coursework exam, first in the year of admission and second in the successive year. Failing on both occasions will result in the termination of the Ph.D. programme. In the event a candidate failed in first year, and appears for the Pre-Ph.D. coursework exam in the successive year, his/ her



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internal marks of Paper I, Paper II, Paper III and External marks of Dissertation will be carried over from the previous year.

- (v) A permanent Teacher Candidate can avail of the Online Pre-Ph.D. course work of Research Methodology provided by Kumaun University after getting prior permission for the same from the University and their serving institutes. A provision of fee for the online course will be customized. These candidates can also earn the required credits from the online courses approved by the Research Advisory Committee of Kumaun University.
- (vi) The research scholars shall be required to attend course work lectures and seminars arranged during the Pre-Ph.D. coursework. The minimum percentage of lectures to be attended during the course work will be 75% of the lectures delivered in all papers individually.
- (vii) Candidates in employment (permanent or contractual or any other nature), except the regular faculty members of campuses of Kumaun University, who want to pursue a Ph.D., must avail leave for the minimum duration of coursework and must take prior permission to pursue PhD programme from the Head of their parent Institution. A "No Objection Certificate" to this effect in all such cases must be taken at the Research Centre at the time of admission.
- (viii) However, regular faculty members of Kumaun University who have completed a minimum of one year of service with the University and want to pursue a Ph.D. with the University for the first time, are exempted from availing of leave for the minimum duration of coursework but all such candidates must take prior permission to pursue PhD programme and get a "No Objection Certificate" to this effect before their admission from the competent authority.
- (ix) (a) After his/ her admission, the candidate shall undertake the prescribed coursework for one semester (six months). There shall be a total of three papers, and the coursework shall be supervised by the Dean of Faculty and the concerned Head/ Convener. The coursework shall be treated as Pre-Ph.D. Coursework which shall include:
  - (ix(a)i) A course on Research Methodology which may include Quantitative Methods, computer applications, research ethics and review of published research in the relevant field.
  - (ix(a)ii) An Advanced course in the subject/ area in which the candidate has proposed to follow his/ her research work for the Ph.D. degree.
  - (ix(a)iii) A Dissertation in the thrust area in which the candidate has proposed/wishes to pursue his/ her research work for the Ph.D. degree, training, field work, etc.





(ix)(b) Pattern of Examination shall be as under:

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

(c) Minimum qualifying marks in the individual paper (Internal and external combined) shall be 55% or its equivalent grade in the UGC 10-point scale in the coursework. The research scholar has to qualify each paper to pass the Pre-Ph.D. Coursework to be eligible to continue in the programme and submit their thesis.

(d) Research scholars who have passed Pre-PhD coursework at another university/institute may be exempted from Kumaun University's coursework requirement, subject to certification by the Convener that the syllabus similarity is at least 70%, and subsequent approval by the Vice Chancellor. Research scholars seeking exemption must submit their application in advance, before the start of coursework.

#### E. Research Degree Committee (RDC)

- (i) After successfully clearing the pre-Ph.D. course work, the research scholar shall be eligible to submit a synopsis of the proposed research work prepared in consultation with the supervisor and co-supervisor (if any) within the time frame specified by the University.
- (ii) The scholar will be interviewed by the RDC of the concerned subject. The interview/viva voce shall consider whether:
  - (a) the candidate possesses the competence for the proposed research.
  - (b) the research work can be suitably undertaken at the university/College;
  - (c) the proposed area of research can contribute to new/additional knowledge.
- (iii) Except for the language subjects, the proposed work's synopsis must be written in Hindi or English. The medium of synopsis of the language subjects (e.g., Hindi, English, Sanskrit, etc.) shall be the language of the chosen subject.
- (iv) **Time frame of submission of synopsis:**

The Ph.D. scholar who has passed the Pre-Ph.D. Coursework Exam will get only two chances to submit the original synopsis of the proposed research work: first in the year of passing the Pre-Ph.D. Coursework Exam and second in the

  
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successive year. Failing on both occasions will result in the termination of the Ph.D. programme. However, there is no such restriction on the chances for the submission of the revised synopsis. If a candidate is suggested some modifications in a given Research Degree Committee (RDC), the same should be incorporated by the candidate and submitted in the subsequent RDC.

**F. Departmental Research Advisory Committee:**

- (i) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the Higher Educational Institution concerned for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:
  - (a) To review the research proposal and finalise the topic of research.
  - (b) To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
  - (c) To periodically review and assist in the progress of the research work of the Ph.D. scholar in every six months.
- (ii) In every six months, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.
- (iii) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

**G. Duration of the Programme:**

- (i) (i) The Ph.D. programme shall be for a minimum duration of three years, including coursework and a maximum of six years. The date of admission to the PhD programme will be taken as the date of registration for the PhD.
  - (iA) The Head of Department/ Supervisor shall maintain the attendance of the research scholars regularly. The attendance, so maintained, shall be sent to the Head of the Department and Dean of the concerned faculty/Principal at regular intervals.





(iB) The candidate shall pursue his/her research at the institution assigned, under the supervisor and on the subject approved and must put in at least 200 days of attendance in the department or as permitted by the Academic Council, at the place approved by it (including the headquarters of the supervisor). The 200 days will be counted from the date of passing the Pre-Ph.D. Coursework examination.

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

#### **H. Pre-Submission Seminar and Thesis Submission**

- (i) Upon acceptance of Ph.D. synopsis by RDC, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- (ii) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the departmental Research Advisory Committee, for Pre-submission seminar, which shall also be open to all faculty members and other research scholars/students. The feedback and comments obtained from may be suitably incorporated into the draft thesis in consultation with the Departmental Research Advisory Committee. The thesis to be submitted must be approved for submission by the Departmental Research Advisory Committee after the pre-submission seminar is over. Such an

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approval must include the university HOD/Convener of the RAC as chairman. The thesis must be forwarded to the University by the convener of the RAC.

- (iii) The Ph.D. scholar shall get the final thesis checked by the software provided by the University to detect Plagiarism in research work. A copy of the Plagiarism checking report should be incorporated in the thesis. The thesis can be accepted for further processing only with a report stating the similarity index within UGC norms.
- (iv) The language of the thesis will be the language in which the Research Degree Committee of the concerned subject accepted the synopsis.
- (v) In case some research scholar wants to change the language of his/her accepted synopsis and thesis, it can be done through the supervisor by obtaining the consent of the respective Research Degree Committee.
- (vi) The Ph.D. scholar shall publish at least two research papers in SCI/SCIE/Scopus/UGC CARE listed and make one paper presentation in conferences/seminars before the submission of the thesis for evaluation and produce evidence in the form of certificates and reprints.
- (vii) Ph.D. candidate must submit thesis within 60 days (including the day of the Pre-submission seminar) of the Pre-submission seminar. The candidate may be permitted to submit a thesis after 60 days in specific circumstances with the permission of the Hon'ble Vice-Chancellor.
- (viii) The following documents shall be submitted by the candidate to the office of the Director, Research and Development Cell, Kumaun University, Nainital at the time of submission of thesis:
  - 1. Thesis: 03 copies
  - 2. Summary: 04 copies
  - 3. Synopsis: 03 copies
  - 4. No-dues Certificate (Fee. Receipt, Departmental, Campus and Central Library)
  - 5. CD of the Thesis (PDF File)
  - 6. Pre-submission Certificate.
  - 7. Fee deposition receipt
- (ix) The candidate shall submit three double-sided printed or typed softbound copies, but not published copies, of his/her thesis. The published matter may also be incorporated as a part of the thesis. The medium of expression for the thesis shall





be either English or Hindi (written in Devanagari script) except in the case of subjects connected with any of the oriental languages, where the thesis may, at the option of the candidate, be presented in that language. The thesis shall be accompanied by a certificate from the supervisor stating:

1. that the thesis embodies the work of the candidate himself/herself.
2. that (unless he/she is a teacher in the University/an affiliated college) he/she has put in the required attendance in his/her research centre during that period.

(x) The thesis shall comply with the following conditions:

1. It must be a piece of research work characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories. In either case, it should evince the candidate's capacity for critical examination and sound judgment. The candidate shall communicate how far the thesis embodies the result of his/her advanced knowledge in the subject.
2. It shall be satisfactory concerning language and presentation of subject matter. The examiners will also indicate whether the thesis is suitable for publication in its present form with or without amendments.

(xi) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

(xii) For the research scholars who have been reregistered, the research supervisor must provide an undertaking to the Director of Research, assuring to present their work before the Departmental Research Advisory Committee for a pre-submission seminar within 09 months of reregistration.

(xiii) If a research scholar fails to submit their thesis by the end of their reregistration period, their Ph.D. registration will be automatically terminated, with no further extension allowed for thesis submission.

#### **I. Evaluation of the Thesis:**

- (i) Examiners for the thesis shall be appointed only after the pre-submission seminar/ submission of the thesis. The Convener of the Board of Studies and the concerned supervisor shall be requested to suggest panels consisting of five names of

examiners each for consideration of the Vice-Chancellor (10 names, in case the Convener is the supervisor). The examiners must be in the designations of professors, associate professors, senior industry experts, or Public Sector Undertaking (PSU) experts. The thesis shall be sent to two examiners selected for the purpose by the Vice-Chancellor out of the panels suggested by the convener and supervisor. The Vice-Chancellor, if deems it necessary, may also nominate the examiners from outside the panel.

- (ii) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in the employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India.
- (iii) The Ph.D. examiner shall be required to submit his/her report normally in two months, however, some more time may be permitted with the permission of the Vice-Chancellor. Thereafter, a fresh examiner may be appointed.
- (iv) If the examiner/s recommends that the candidate be asked to improve his/her thesis, the Executive Council may permit the candidate to re-submit his/her thesis, not earlier than six months and not later than one year, and under very special circumstances not later than a year and a half, the period being counted from the date of the communication of the decision of the Executive Council granting the permission. In case the candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 2500/- or any other fee prescribed at the time of the re-submission of the thesis but it shall not be necessary for him/her to produce any certificate of further attendance at the institution at which he/she carried on his/her work.
- (v) If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.





(vi) The copy of detailed Evaluation reports of both the Examiners (name of the examiner/s will not be disclosed) will be made available to the Supervisor, who, in turn, will guide the research scholar to incorporate the corrections indicated, if any, in the final thesis. The applicable report must be signed by and submitted to the Research Director according to the illustration given in the following table:

Examiner 1	Examiner 2	Action
Accepted	Accepted	Thesis accepted, and hard-bound thesis to be submitted before the Ph.D. <i>viva-voce</i> Board.
Minor revision	Accepted or minor revision	Minor revision suggested to be incorporated, and a detailed report therefore, to be signed by supervisor and convenor, and hard-bound thesis to be submitted before the Ph.D. <i>viva-voce</i> Board.
Major revision	Accepted or major revision	Major revision suggested to be incorporated and report to be signed by the supervisor, members of the advisory board and the convenor, and a hard-bound thesis to be submitted before the Ph.D. <i>viva-voce</i> Board.
Accepted	Rejected	The reasons for rejection are to be examined by the advisory board members/supervisor/convenor, and the suggested corrections as much as possible in the revised thesis, and the thesis to be evaluated by an alternate external examiner from the approved panel of examiners.
Rejected	Rejected	Rejected

(vii) The hardbound thesis incorporating the corrections indicated by the external examiner/s can be submitted before the Ph.D. *viva-voce* Board. Also, in all such cases, the CD/DVD with the PDF of the final thesis with the corrections incorporated must be submitted to the University Library and Research and Development Cell after Ph.D. *viva-voce*.

Page 15 of 26

5-10-21  
24/10/21

#### J. Viva-Voce Examination:

- (i) In case, both the original examiners approve the thesis (and in the event of divergence of opinion between the two, the third examiner approves the thesis), the candidate shall be called upon to appear for a *viva-voce* test before a board of two examiners comprising the supervisor and one of the two external examiners (approved by the Vice-Chancellor) and may be conducted online.
- (ii) The Head of the University Department/ convener of RDC of the University shall be the Chairman of the viva-voce examination of a candidate.
- (iii) The viva-voce exam of a candidate shall be held at the University Headquarters (unless specially allowed by the Vice-Chancellor). The viva voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students.
- (iv) Not satisfied with the viva-voce examination, the candidate shall be asked to reappear (after paying a fee of Rs. 2000/-) at a second viva-voce examination within one year but not earlier than six months. If the candidate fails to satisfy the viva-voce examiners the second time, his/her thesis shall be finally rejected.
- (v) Following the successful completion of the evaluation process and before the announcement of the award of Ph.D. the University shall submit an electronic copy of the Ph.D. thesis to the UGC for hosting the same in INFLIBNET to make it accessible to all Institutions/Colleges.
- (vi) Before the actual award of the degree, the University shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2022.
- (vii) The University shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.
- (viii) The University shall have the right to withdraw or cancel the already awarded Degree, if it is found at any date that there is no originality or genuineness in the thesis concerned or if there is any other severe matter according to which it is established that the degree should not have been awarded to the candidate.



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The supervisor of such a candidate shall also be held responsible for such work.

- (ix) Other terms and conditions shall be decided by the office of the Research and Development Cell (RDC) with the permission of the Vice-Chancellor. Ordinance and changes, therein, if any, shall be admissible only when passed by the Academic Council of the University.
- (x) The University shall maintain a list of all the Ph.D. students on its website on a year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of registration.

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

(i) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.

(ii) Post-graduate Departments of affiliated Colleges, Research Laboratories of the Government of India/State Government with at least two Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per this Ordinance shall only be granted recognition to operate Ph.D. Programme by the University. The University shall grant recognition to the affiliated Colleges to offer Ph.D. Programme, who have the following facilities:

(a) In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the University with provision for adequate space per research scholar along with computer facilities and essential software and uninterrupted power and water supply;

(b) Earmarked library resources including latest books, Indian and International journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/library for reading, writing and storing study and research materials;

(c) Colleges may also access the required facilities of the University/neighbouring Institutions/colleges or of those Institutions/



Colleges/R&D Laboratories/Organisations which have the required facilities.

(iii) All the Colleges affiliated with the Kumaun University shall ensure that they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per the Research Ordinance of the Kumaun University.

**L. Award of Ph.D. Degrees before Notification of these Regulations, or Degrees awarded by Foreign Universities:**

- (i) Award of Degrees to candidates registered to Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Awards of Ph.D. Degree) Regulations, 2016.
- (ii) If the Ph.D. Degree is awarded by a Foreign University, the Kumaun University while considering such a degree shall refer the issue to a Standing Committee constituted by the University to determine the equivalence of the degree awarded by the Foreign University.

**M. Admission of International students in Ph.D. programme:**

**(1) Supervisor eligible to guide the International students and the number of International students:** Each supervisor of campuses of Kumaun University only can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause C(ii) above.

**(2) Meaning of International Students for this clause:**

- (i) Overseas Candidates (Foreign Nationals, Overseas Citizens of India (OCI) and Non-Resident Indians (NRI)) who have qualified for a Master's degree of an accredited foreign or Indian university/academic institution.
- (ii) Students holding passports issued by foreign countries including People of Indian Origin (PIO) who have acquired the nationality of foreign countries.
- (iii) Non-Resident Indians (NRI): Only those Non-Resident Indian students who have studied and passed the qualifying examinations from schools or colleges in foreign countries will be included as international students. This will include the students studying in the schools or colleges situated in foreign countries even if affiliated to the Boards of Higher Secondary Education or Universities located in India, but will not include students studying in those schools or colleges (situated in India) and affiliated to the Boards of Higher Secondary Education or Universities of foreign countries.



(iv) Candidates applying under **international student's** category shall not be considered for domestic category under any circumstances.

**(3) Visa:**

(i) Students wishing to join a Ph.D. programme at Kumaun University will require a '**Research VISA**' endorsed to Kumaun University. The visa should be valid for the prescribed duration of the course. Visa may be obtained after issuing offer of admission.

(ii) All International Students wishing to undertake any research work or join a PhD programme will have to obtain prior security and/or political clearance as applicable from the Ministry of Home Affairs and/or Ministry of External Affairs and/or Ministry of Human Resource Development and/or Department of Secondary & Higher Education or any other institution of Government of India (GoI), as applicable, and this must be on the research visa endorsed to this institution.

Note: Admission will be provisional till the candidate is issued a research visa endorsed to this institution and all the listed documents.

**(4) Eligibility: Education criteria:** Education criteria as laid down in Clause 1A of this Ordinance.

**(5) Admission procedure:** The International students are eligible for direct admission based on an interview without appearing in RDET as per clause 2 of this Ordinance.

**(6) Fee Structure:** Same as for the Indian students.

**(7) Ph.D. regulations:** As per the Kumaun University Research Ordinance 2023 ( as amended from time to time).

**(8) The admission may be subject to the production of the following documents:**

- (i) Offer letter
- (ii) Security and/or political clearance as applicable from the Ministry of Home Affairs and/or Ministry of External Affairs and/or Ministry of Human Resource Development and/or Department of Secondary & Higher Education or any other institution of the Government of India (GoI).
- (iii) Receipt of fee payment (The fee has to be paid in Indian Currency or US Dollar only)
- (iv) Photo ID card (Government-approved)
- (v) Proof of date of birth
- (vi) Certificate of valid fellowship (such as UGC-JRF, etc), if any
- (vii) Mark-sheet/transcript of qualifying examination
- (viii) All Mark-sheets/transcripts (Class X onwards/ Document Supporting 12 years of School Education)/6 passport size photos (Front view)
- (ix) 6 passport size photos (Front view)



- (x) Copy of application form duly signed by the candidate
- (xi) Transfer certificate from the institute last attended
- (xii) Character certificate from the Institute last attended
- (xiii) Migration certificate (to be submitted in original)
- (xiv) Indemnity bond
- (xv) Anti-ragging undertaking by both students and their parents (To be submitted in original)
- (xvi) Code-of-conduct undertaking by both students and their parents (To be submitted in original)
- (xvii) Duly filled Medical Examination Report including HIV, Hepatitis, Covid (To be submitted in original) Student should be fully vaccinated against Covid as per GoI norms before coming to campus.
- (xviii) Equivalence Certificate from AIU.
- (xix) Medical Insurance with evacuation clause
- (xx) IELTS/TOEFL/ Self-certification
- (xxi) Passport details (Copy of passport for foreign citizens, wherever applicable, Dual citizenship card for PIO, wherever applicable, NRI status certificate, wherever applicable)
- (xxii) Financial Undertaking (A letter of recommendation from the Govt. of origin, certifying that the fees will be paid by the Govt., or A copy of the student's bank statement showing a balance equal to the fee for the maximum duration of PhD programme)
- (xxiii) Any other document, as per institute norms, as and when required.
- (xxiv) Any other document as desired by any regulatory body or governmental organization from time to time.

**(9) Equivalency certificate issued by AIU:**

- (i) Only those Students who have qualified from foreign universities or Boards of Higher Education recognized as equivalent by the 'Association of Indian Universities'(AIU) are eligible for admission.
- (ii) The candidate has to obtain and submit a certificate to this effect from AIU by paying the requisite fee. Submission of Equivalence Certificate from AIU is mandatory for foreign nationals. AIU address is given as follows:

AIU HOUSE 16, Comrade Indrajit Gupta Marg, New Delhi 110002, India. Phones: (91) -11-23230059, Website: <https://www.aiu.ac.in/index.php>



(iii) Refugee status Certificate from UNHCR (if applicable)

**(10) Medical Insurance with evacuation clause:**

It is mandatory for all foreign nationals to get a medical insurance policy along with an evacuation clause\* (wherever mandatory) for admission to Ph.D. programme valid through the entire tenure of their studies. It may also be noted that documents of medical insurance are required only at the time of admission, and is not mandatory at the time of application. An evacuation clause enables a student to claim reimbursement from the insurance agency for his/her evacuation from the country, where he/she is studying, in case he/she has to be sent back to his/her country due to medical reasons.

**(11) IELTS/TOEFL/ Self-certification** etc. for decent knowledge of English language. It should not be older than 2 years, as on date. (The medium of Instruction at the KU is English and Hindi, self-certification shall only be acceptable if there is evidence of at least one of the preceding degrees having been completed using English as the medium of instruction)

**Note:**

Every foreigner who is in India, for stay in excess of (90) ninety days (for purpose of other than tourism) is required to register himself/herself within (14) fourteen days of arrival in India with the nearest **Foreigners Regional Registration Officer (FRRO)** in the place of ordinary residence and declare his/her registered address.

All applicants, before as well as after the application process / admission shall be governed by any applicable Indian laws, any existing or modified rules / regulations of the Government of India.

**N. Change of Research Supervisor**

(i) A research supervisor assigned by the university can be changed either through mutual agreement between the research scholar and the supervisor or due to administrative reasons.

(ii) (a) A research scholar can change the supervisor through mutual consent between the scholar and the supervisor, provided the scholar has passed the Pre-PhD Coursework examination.

ii (b) In such cases, the research scholar, current supervisor, and prospective supervisor must jointly/ individually obtain/give a consent letter from all parties involved and submit it to the university through the Convener for approval.

(ii)(c) The current supervisor's consent letter must include a statement specifying whether the existing synopsis prepared/approved and research work done so far under him/her should be continued under the new supervisor or not.

(ii) (d) The change of supervisor by mutual consent will not be treated as supernumerary allotment for the new supervisor. Therefore, the prospective supervisor must have an available seat to take on

the research scholar.

(ii) (e) In cases where the change of supervisor by mutual consent involves a change in research center, the student must pay the prescribed fee for the change and take admission in the new campus/college.

(iii) Administrative Grounds

Administrative grounds for changing a supervisor include superannuation, resignation, transfer to another university, disciplinary action, the death of the supervisor or any other administrative reasons.

(iv) In cases of allotments on Administrative Grounds, a new supervisor from campuses/ Affiliated colleges of Kumaun University will be appointed by the Convener and Director of the RDC, following consultation with the outgoing/retiring supervisor. All the allotments on Administrative Grounds to the new supervisor/s will be considered as supernumerary allotments, while the superannuated supervisor will remain as a co-supervisor.

(v) In the event of a supervisor's superannuation, a change of supervisor will be considered on administrative grounds only if it occurs before the scholar's Pre-Submission Viva.

If a supervisor is set to retire before a research scholar's pre-submission viva, a new supervisor will be appointed. The Convener and Director of the RDC will make this appointment after consulting with the retiring supervisor. These appointments will be considered additional allotments, and the superannuated supervisor will continue as a co-supervisor.

#### **O. Termination of Registration in Ph.D. Program**

Ph.D. students at Kumaun University's campuses or affiliated colleges are not allowed to simultaneously register for or pursue another degree or diploma from Kumaun University or any other institution. Doing so will result in automatic termination of their Ph.D. registration. If such cases are discovered after the Ph.D. degree has been awarded, the degree will be deemed null and void.

**P. Grant of M.Phil. Degree.** Kumaun University shall not offer the M.Phil. (Master of Philosophy) programme.



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

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

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

- (d) The application shall be placed before the Research Degree Committee of the subject concerned and the candidate shall attend the pre-registration interview. If the application

is approved by the Academic Council, the candidate may submit his/her thesis at any time not earlier than two years and not later than 5 years (including extended period) from the date on which he/ she was permitted to work for the degree (time will be counted from the date of registration). In case the candidate does not submit his/her D.Litt. or D.Sc. thesis within 4 calendar years from the date of registration, the permission granted to him/her shall lapse, unless the time is extended by the Vice-Chancellor, (which will not exceed one year) and thereafter the name of the candidate shall be removed from the registered list.

- (e) A Pre-submission seminar shall be held in the University Department of the subject with Convener as Chairperson. The candidate who is ready to submit his/her D.Litt./D.Sc. thesis shall present and defend his/her thesis work. This pre-submission seminar shall be open to all the faculty members and research scholars of the concerned department and the faculty. The thesis to be submitted must be approved, after the seminar, by at least a 2/3rd majority of the teaching staff of the concerned department. This approval must include the approval of the HOD/ Convener of RDC concerned and the thesis must be forwarded by the convener of the R.D.C.
- (f) At least three research publications out of the work being carried for the degree, in refereed journals of the subject, which in the opinion of the HOD/Convener are standard journals, are necessary before the pre - submission seminar (stated above) is held.
- (g) The Convener of the Board of Studies/ RDC shall be requested to suggest a panel of 10 names for the consideration of the Vice-Chancellor. Three Examiners for the thesis (two from out of state) shall be appointed from a panel of experts given by the Convener.
- (h). A Candidate shall not be allowed to submit as a part of his/her thesis any paper or papers based on which a degree has already been conferred on him/her by us or any other university, but he/she shall not be precluded, from incorporating a work which has already been submitted by him/her for a degree in the thesis covering a wider field, provided that he/she shall indicate the extent of the work so incorporated. The thesis submitted must be satisfactory as regards its literary form and, if not already published, must be in a form suitable for publication. The medium of expression for every thesis shall be English or Hindi (written in Devanagari script) except in the case of subject connected with any of the languages where the thesis may, at the option of the candidate, be presented in that language.

- (i) After the thesis is completed, the candidate shall submit four printed or typewritten



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copies of his/her thesis, together with the fee. The candidate shall indicate how far his/her thesis embodies the result of his/her research and in what respects his/her investigation appears to him/her to advance the bounds of knowledge. He/she shall also state what authorities/references or other sources he/she has utilized in preparing his/her thesis and shall submit in support of his/her candidature, any paper or papers which he/she may have published independently or jointly. The thesis must be a piece of original research work characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories. In either case, it should evince the candidate's capacity for critical examination and sound judgment.

- (j) On its receipt, the thesis shall be sent to three persons selected by the Vice-Chancellor out of the panel of 10 persons suggested by the Convener of RDC. If two of the three examiners do not approve the thesis, it shall be rejected, but if only two examiners approve it, the thesis shall be sent for evaluation to the fourth examiner from the panel and his/her opinion shall be final.
- (k) In case all the three original examiners approve the thesis or, in the event of divergence of opinion between the original three, the fourth examiner approves it, the candidate shall be called upon to appear for a *viva-voce* test before a Board of two external examiners who approved his/her thesis. If both the *viva-voce* examiners are satisfied, the case shall be placed before the Executive Council. If the Council, after considering the report of the examiners, considers the candidate worthy of the D.Litt. or D.Sc. Degree (as the case may be) it shall approve the degree.
- (l) In case the recommendation of *viva-voce* examiners differs from those of the thesis examiners, or there is a difference of opinion between the *viva-voce* examiners, the candidate may be asked to re-appear after paying a fee at a second *viva-voce* examination within one year but not earlier than six months from the date of the first *viva-voce*. If the candidate fails to satisfy the *viva-voce* examiners the second time, his/her thesis shall be finally rejected.
- (m) If the examiners recommend that the candidate be asked to improve his/her thesis, the Executive Council may permit the candidate to re-submit his/her thesis not earlier than six months and not later than one year, after the date of the resolution of the Executive Council granting the permission. In case a candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 5000/- or any prescribed fee at the time of submitting his/her thesis.



(n) The Head of the Department / Convener of RDC shall be the Chairperson of the *viva-voce* exam of a candidate. Both the *viva-voce* exam and the pre-submission seminar of a candidate both shall be held under the control of the Head of the Department, but the examiners' board of the *viva-voce* exam shall remain as prescribed in these ordinances.

(o) Regarding attendance, cancellation of admission or registration, cancellation of the already awarded degree and research centre, the relevant clauses of the Ph.D. Ordinances (with the supervisor replaced by the / Convener HOD) shall apply here too.

### 3. Special Instructions:

- (i) The contents of the thesis submitted in CD to the library shall be as a single PDF file and shall not be different from what has been presented in the thesis.
- (ii) The thesis may be written in Hindi or English unless it relates to any other language (typed/ printed **on both sides of the paper**).
- (iii) Additionally, the file should contain the following information:
  - (a) Abstract / Summary of the thesis (200-300 words)
  - (b) Key words (up to 9)
  - (c) Author's name and address
  - (d) Supervisor's name
  - (e) Project's name under which work was carried out, if any
  - (f) Funding/Fellowship-granting agency's name.
  - (g) Pen drive of the thesis (PDF File) deposited at the office of the Director, Research and Development Cell, Kumaun University, Nainital ([rdc@kunainital.ac.in](mailto:rdc@kunainital.ac.in)).

  
Director  
Research and Development Cell  
Kumaun University Nainital



  
Registrar  
Kumaun University  
NAINITAL