SWAMI RAMA HIMALAYAN UNIVERSITY

In exercise of the powers conferred by Statute 4.05(2)(b) of the First Statutes of Swami Ram Himalayan University and in supersession of the Ph.D Regulations notified vide Ordinance No. SRHU/ORD/27, the Board of Management of the University has framed the following Ordinance for smooth functioning of the University:

Ordinance SRHU/ORD/65: M.Phil/Ph.D Regulations.

1. This ordinance shall be called “M.Phil/Ph.D Regulations” of the University.

2. This Ordinance shall come into force from the date it has been approved by the Board of Management of the University, i.e. 8th August 2017. [Item No. 16/3(d)]

3. PREAMBLE

The M.Phil/Ph.D Regulations of the Swami Ram Himalayan University shall apply to all disciplines/faculties of the University offering M.Phil/Ph.D program.

4. NOMENCLATURE

4.1 The Ph.D degree awarded by the Swami Ram Himalayan University for original research in any subject shall be designated as “DOCTOR OF PHILOSOPHY”.

4.2 The M.Phil degree awarded by the Swami Ram Himalayan University for original research in any subject shall be designated as “MASTER OF PHILOSOPHY”.

4.3 The Degree shall indicate the subject or specialty with the title of the thesis.

5. ELIGIBILITY CRITERIA FOR ADMISSION TO M.Phil/Ph.D PROGRAMME:

Eligibility criteria for admission to M.Phil. & Ph. D programs of the University shall be as prescribed by the University Grants Commission from time to time and as approved by the Academic Council and Board of Management of the University.

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6. ADMISSION PROCESS

6.1 Admission process for M.Phil/ Ph.D programme of the University shall be as prescribed by the University Grants Commission from time to time and as approved by the Academic Council and Board of Management of the University.

6.2 Prospective candidates shall apply for admission to the M.Phil/Ph.D Programme in the prescribed application form on or before the last date as prescribed by the University.

6.3 Candidates working under Central Govt./State Govt./Semi Govt./Autonomous organization shall submit their applications through proper channels i.e. through the employer. They shall submit a ‘No Objection Certificate’ from their employer along with the prescribed application form.

6.4 Employees of Swami Rama Himalayan University intending to register for M.Phil/Ph.D programme shall submit their application through their respective Head of the Constituent College/Academic Unit. The selection procedure for these candidates shall be the same as for the external candidates.

6.5 Candidates having their Master’s degree from foreign university are required to submit equivalence certificate. Foreign nationals are required to follow the norms and procedures as prescribed by the Government of India/University Grants Commission or any other Authorities/Bodies.

6.6 Ph.D Entrance Examination shall be conducted by the University. All candidates shall be required to appear in the Entrance Examination. However, a candidate who has qualified in the UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil programme shall be exempted from appearing in the Entrance Examination. To pass the entrance examination a candidate must secure 50% marks.

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6.7 M.Phil Entrance Examination shall be conducted by the University. All candidates shall be required to appear in the Entrance Examination. However, a candidate who has qualified in the UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder shall be exempted from appearing in the Entrance Examination. To pass the entrance examination a candidate must secure 50% marks.

6.8 A candidate who desires to pursue Ph.D Programme and passes entrance examination will be required to present a research plan before Departmental Research Committee on any topic he is interested in and have read about in-detail, the objective of which will be to test the candidate’s aptitude, the ability to think analytically, discuss, debate, and review critically.

6.9 A candidate who has secured a minimum of 50% marks each in the Entrance Examination and presentation of research plan separately, shall be considered eligible for admission into the Ph.D programme of the University.

6.10 Based on the predetermined number of seats in the relevant department, candidates will be selected in order of merit.

6.11 The selected candidate shall be allotted a registration number by the University after completion of all formalities including deposit of fees as prescribed by the University.

6.12 The last date for joining is 28th February for the January session and 31st August for the July session.

6.13 During the course work, each candidate will be provided a mentor from the Department who shall help the candidate in identifying and finalizing the area of research. This will be done by the Departmental Research Committee considering the research interest of the candidate and the mentor.

7. **DURATION OF THE PROGRAMME**

Duration of M.Phil/Ph.D programme of the University shall be as prescribed by the University Grants Commission from time to time.

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8. COURSE WORK

8.1 After having been admitted, each M.Phil/Ph. D student shall be required to undertake course work of 12-16 credits in one semester. The course work shall be treated as Pre-M.Phil/Ph.D. preparation and comprise of:

i. Research Methodology, Quantitative Techniques and Computer Application.

ii. Domain Subjects as may be decided by the department.

8.2 The course work shall be coordinated by the Dean Research (in his/her absence a person nominated by the Vice Chancellor), in consultation with the respective Head of the constituent Academic Unit of the University.

8.3 The course work shall be evaluated by the Examiners appointed by the University. A candidate shall be declared to have successfully completed the course work, if he obtains minimum 50% passing marks or equivalent grade(s) in all the papers separately. The University shall issue the certificate of the M.Phil/Ph.D. course work in the prescribed format.

8.4 In case, a candidate fails to obtain the minimum passing marks in course work, he shall be given one more opportunity to undergo the course work after paying the fee as prescribed by the University. In case, the candidate further fails to obtain the minimum passing marks prescribed by the University in the course work such a candidate shall not be allowed to continue further.

9. STUDENT RESEARCH ADVISORY COUNCIL

In every department, there shall be a Student Research Advisory Council for each Ph.D candidate headed by his Research Supervisor. The Council shall help the Ph.D candidate in finalizing his topic of research, to develop the study design and methodology of research and support in the progress of research work of the Ph.D candidate.

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10. DEPARTMENTAL RESEARCH COMMITTEE (DRC)

10.1 There shall be a Departmental Research Committee in each department of the University. The constitution of the Committee shall be as follows:
   a) Head of Department – Chairperson;
   b) One senior Professor;
   c) One Associate Professor;
   d) One Assistant Professor;
   e) Two external subject experts;
   f) Research Supervisor/ Research Co-Supervisor; and
   g) Special Invitee, if any

10.3 The DRC shall review topic/synopsis submitted by a candidate and submit its approval to Ph.D Cell for communication.

10.4 The progress of M.Phil/Ph.D candidate shall be reviewed by the DRC from time to time for which it shall meet at least once in 06 (six) months or as and when required.

10.5 Pre-Ph.D thesis submission seminar shall be held by the DRC.

10.6 Any conflict/dispute shall be referred to the Dean Research or any other person nominated by the Vice Chancellor who shall submit his findings/report before the Vice Chancellor for final redressal/disposal.

10.7 The external experts are required only during the approval of synopsis.

10.8 Presence of relevant Research Supervisor/ Research Co-Supervisor is required during the approval of synopsis, review of 06 (six) monthly progress and presentation of Pre-Ph.D thesis submission seminar.

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11. SYNOPSIS

11.1 The Ph.D candidate shall submit generally within 06 (six) months of completion of course work, his synopsis in 06 (six) copies (along with a soft copy) clearly indicating the area of research and give oral presentation before the Departmental Research Committee (DRC).

11.2 After incorporating modification, if any, suggested by the DRC, the registered candidate shall resubmit his synopsis within 6 months and give oral presentation before the DRC, if required.

11.3 While forwarding the synopsis, the Head of the Department shall clearly write his comment regarding availability of funds and infrastructure in the Department for conducting the research.

11.4 The synopsis shall be submitted in the Ph.D Cell of the University through the respective Department.

12. ENROLMENT

On successful completion of the course work and defence of synopsis, enrolment number will be provided to the candidate by the University as per the norms.

13. FEES

The fees for Ph.D programme shall be prescribed by the University from time to time.

14. ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR, RESEARCH CO-SUPERVISOR

14.1 Eligibility criteria for Research Supervisor and Research Co-Supervisor shall be as prescribed by the University Grants Commission and approved by the Academic Council and Board of Management of the University from time to time.

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14.2 In order to facilitate the process of allotment/allocation of Research Supervisor, Ph.D candidates will be notified by each department about the available Research Supervisors in the department along with their areas of specialization so that they may interact with them and subsequently submit the name of the desired Research Supervisor along with his/her consent to the same.

14.3 Maximum number of M.Phil/Ph.D candidates registered under a Research Supervisor and Research Co-Supervisor at a time shall be as prescribed by the UGC from time to time.

14.3 A vacancy shall be deemed to have been created, when a candidate submits his thesis.

14.4 In case of relocation of an M.Phil/Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor and the institution for the part of research already done.

14.5 The Research Supervisor and Research Co-Supervisor will be required to submit an undertaking that they will continue to supervise their candidates till the candidate’s successful completion of the M.Phil/Ph.D Programme.

14.6 The Research Supervisor and Research Co-Supervisor shall neither be closely related to each other nor to the candidate.

14.7 A candidate registered for the Ph.D degree in Swami Rama Himalayan University shall not be eligible to be a Research Supervisor for any Ph.D candidate in the University.

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15 ASSESSMENT OF THE WORK OF THE CANDIDATES

15.1 Research work of every candidate shall be assessed periodically. Every candidate shall submit half-yearly detailed progress reports to the Research Supervisor(s), who shall forward the same with his remarks to the DRC.

15.2 The progress made by the candidates shall be reviewed by the concerned DRC and the same shall be forwarded to Ph.D Cell of the University by the Head of Department through the respective Head of the Constituent Academic Unit of the University.

15.3 The DRC shall convey the assessment report to the candidate who may also be advised of the short-comings, if any.

15.4 If the candidate fails to submit two consecutive half yearly reports, his registration is liable to be cancelled by the University.

15.5 If DRC reports in 03 (three) consecutive reports that the candidate is incapable of continuing the work of the desired standard, the Ph.D Cell of the University may warn the candidate and give him one last chance to improve his work during the next six months. If at the end of this period, the work of the candidate is still found to be unsatisfactory, his registration shall be cancelled.

16 SUBMISSION OF THESIS AND EXAMINATION

16.1 No Ph.D candidate shall be allowed to submit his thesis before 2 years and not exceeding 5 years from the date of approval of his synopsis.

16.2 M.Phil candidates shall present at least 01 (one) research paper in a conference/seminar and Ph.D. candidates must publish at least 01 (one) research paper in refereed journal and make 02 (two) paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints subject to amendments, if any, made by the UGC from time to time.
16.3 A candidate desiring to submit the doctoral thesis shall also have to give a pre-submission seminar before the DRC in the form of a seminar. The presentation shall be open to all faculty members and research scholars of the department and other members of the Faculty, who may like to attend.

16.4 Once approved by the DRC, the research work will be allowed to be submitted for evaluation by examiners.

16.5 Each candidate for the award of degree of Doctor of Philosophy shall submit 04 (four) copies of his thesis, 06 (six) copies of summary of the thesis and 04 (four) copies of synopsis along with the soft copy of the same to the Ph.D Cell of the University. The thesis, summary and synopsis shall be certified by the Research Supervisor and Research Co-Supervisor, if any.

16.6 The entire process of evaluation, viva-voce of M.Phil. dissertation/ Ph.D. thesis to be completed within a period of six months from the date of submission of the dissertation/thesis.

16.7 The Research Supervisor and the Chairperson of the DRC shall separately submit a panel of 4 examiners each (of whom at least 02 (two) may be from outside the country and 02 (two) must be from outside the state) to the University about six months prior to the expected date of submission of the thesis. The panel shall comprise of subject experts who, on the basis of their published work, are acknowledged leaders in the field of study undertaken by the candidate. If the Research Supervisor is also the Chairperson of the DRC, the Vice Chancellor shall make alternate arrangements as deemed fit.

16.8 The M.Phil. Dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the University. The viva-voce examination, shall be conducted by both of them together, and shall be open to be attended by all faculty members of the Department, other research scholars and other interested experts/ researchers in the University.
16.9 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners of whom one examiner may be from outside the country.

16.10 If the examiners recommend that the candidate be asked to revise/improve his thesis, the University may permit the candidate to resubmit his thesis within one year. The candidate shall be provided the examiners(s) reports without disclosing the names of the examiners to enable him to improve the thesis.

16.11 In case, the candidate is allowed to resubmit the thesis, he shall have to pay a prescribed fee afresh at the time of resubmission, but it shall not be necessary for him to reproduce any certificate of further attendance at the institution.

16.12 A viva-voce examination shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by all faculty members of the Department, other research scholars and other interested experts/researchers in the University.

16.13 The viva-voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation reports of the external examiners on the dissertation/thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination.

16.14 If the evaluation report of the external examiner in case of M.Phil. dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for viva-voce examination.


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17 DECLARATION OF RESULT

17.1 The candidate shall be declared eligible for the award of the Degree of ‘Master of Philosophy’/‘Doctor of Philosophy’ only on the recommendation of the Examiners at the viva voce examination.

17.2 In case the recommendations of the viva-voce examiners differ from that of the thesis examiners, or there is difference of opinion between the viva-voce examiners, the candidate shall reappear at a second viva-voce examination within six-months. If the candidate fails to satisfy the viva-voce examiners a second time, his thesis shall be finally rejected. Such candidates would be required to pay an additional prescribed fee for second viva-voce. The external examiner for second viva-voce shall be appointed by the Vice Chancellor.

18 GENERAL

18.1 A candidate may also be allowed to carry out his research work in any other research establishment under the supervision of a Scientist/ Director/Teacher of that Institution who may be recognized as the Research Co-Supervisor of the candidate.

18.2 The university shall have anti-plagiarism software which will be used to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall also have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University where the work was carried out, or to any other University/Institute/College etc.

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19 DEPOSITORY WITH UGC

19.1 Following the successful completion of the evaluation process and announcement of the award of M.Phil/Ph.D Degree, the University shall submit a soft copy of the M.Phil/Ph.D thesis to the UGC within a period of sixty days, for hosting the same in INFLIBNET, accessible to all Institutions and Universities.

19.2 University will issue the Provisional Certificate, certifying that the M.Phil/Ph.D Degree has been awarded in accordance with the UGC Regulations.

20 Notwithstanding anything stated in this regulation, for any unforeseen issues arising and not covered under this regulation, or in the event of differences of interpretation, the Vice-Chancellor may take appropriate decision. The decision of the Vice-Chancellor in this regard shall be final.

21 The University reserves the right to amend this ordinance as and when required.

[Signature]

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