

## **PH.D. RESEARCH PROGRAMME (DIRECT)**

### **About the Ph. D Programme: its vision and broad objectives**

The Ph.D. Programme in various departments and centres will focus on carrying out research on topics related to the departments/centre's relevant areas. It aims to resonate with the larger objective of the University of Ladakh and thereby attempt to make a significant contribution to the body of knowledge by applying interdisciplinary academic subjects of physical science, biological science, social sciences and material science. The scholars will be academically trained and equipped with necessary research skills to carry out cutting edge research and develop their research work in an academically prolific environment with the help of course work, literature review, seminars and research workshops.

During the first year, the scholar(s) will be given necessary support and guidance to develop research question, and to identify the theoretical and research methodological approaches in order to frame the topic and objectives of the research work. During this period, the scholars would complete the obligatory course work. During the second and third years, the scholar would be expected to frame the research synopsis, data collection, analysis & synthesis of research data and writing of the Ph. D. thesis.

#### **a. Expected Profile of Scholar:**

Applicants must have a post-graduation in relevant subjects from a recognized institution with percentage of marks or equivalent grade as per the norms of the UGC. All eligible candidates will have to appear in an entrance test. The entrance test will comprise of a written test followed by a viva-voce. However, candidates who have qualified JRF/NET/SLET shall be exempted from the entrance test.

The applicants will be required to submit a synopsis of research proposal clearly delineating the tentative research theme/focus/area which the applicant proposes to study with a brief statement of purpose on why they want to do a Ph. D. from University of Ladakh (UOL). The proposal should bring out clearly how the outcome of such a research will benefit academics in particular and society in general of Ladakh region.

#### **b. Expected gains to the scholars**

Ph. D. programme aims to prepare research scholars capable of creative and critical engagement with the contemporary world and have a holistic understanding of the complexity of social reality. The scholars will be able to draw immensely upon the practice of interdisciplinary, academic vibrancy and cutting-edge research environment at UOL. The scholars will be encouraged to participate in national and international seminars, workshops, conferences. Necessary financial support would be provided by the University of Ladakh. Each school would get financial support for two national and one international conference/seminar/workshop per year. Application for such support will be first come first served basis and the application should be recommended by the DRC. The details of the financial support include registration fee, TA and accommodation. Such interactions and exposure to the scholars would help the scholars to showcase their research work at national and international platforms.

Depending upon the availability of fund, the university will provide merit scholarships to research scholars without availing any other scholarships. The details of such scholarship shall be notified separately.

## 8.1 DEFINITIONS:

In these Statutes, unless the context otherwise requires:

- 8.1.1 “**Programme**” means Doctoral Programme Ph.D. in various authorized Departments;
- 8.1.2 “**DRC**” means Department Research Committee;
- 8.1.3 “**Supervisor**” means any faculty member who has been recognized as Research Guide;
- 8.1.4 “**Scholar**” means any candidate admitted by the University for pursuing research for the award of Ph.D.degree;
- 8.1.5 “**Course work**” means subjects studied by the scholar prescribed by the DRC for the scholar to undergo as part of the Ph.D. Programme;
- 8.1.6 “**Seminar**” means presenting first and second parts of Research work done by the scholar through power point presentations;
- 8.1.7 “**Viva Voce examination**” means examining the scholar whether he/she may be awarded Ph.D. degree;
- 8.1.8 “**BORS**” means Board of Research Studies;
- 8.1.9 “**External Examiner**” means an examiner who is not on the pay rolls of the University;
- 8.1.10 “**Registration**” means registration of candidates for Ph.D. granted by the BORS under these Statutes and includes re-registration also;
- 8.1.11 “**Ph.D.**” means Doctor of Philosophy as conferred under these Statutes;
- 8.1.12 “**SRAC**” means Student Research Advisory Committee.

## 8.2 PH.D PROGRAMME:

- 8.2.1 The Degree of Ph.D. shall be instituted in the departments/Centres of Arts, Social Sciences, Sciences, Engineering and Technology, Commerce, Physical education and Education and in such other departments as the University Syndicate, on the recommendation of the Academic Council, may decide from time to time.
- 8.2.2 The Degree of Doctor of Philosophy may be conferred on a scholar subject to the following conditions:
  - 8.2.2.1 Completion of (six) -month course work with the required number of credits.

8.2.2.2 Completion of Research work that has been carried out at the University under the guidance of Supervisor(s) for at least three years after their date of registration on a topic duly approved by the BORS.

8.2.2.3 The thesis submitted by the student is required to be recommended for the award of the Ph.D. degree by two external referees and by the Board of Examiners constituted for the viva-voce examination.

### **8.3 ADMISSION:**

The status of the students admitted to the Ph.D. Programme shall be classified under: -

#### **8.3.1 Regular Full Time Scholar:**

Candidates admitted under this scheme shall work full time towards their Ph. D research and will not take any other assignment till the submission of the final thesis. All such candidates shall have to qualify the requisite entrance test except those exempted as per UGC guidelines. Provided further that candidate shall have obtained not less than 55% marks at PG level in the subject/allied subject in which he or she is otherwise eligible to pursue research.

8.3.1.1 Any eligible Masters candidates (The University may provide fellowships to these candidates subject to the rules).

8.3.1.2 Constituent College Teachers under UGC Faculty Improvement Program (FIP). Such candidates work as full-time scholar as per rules and regulations of FIP. Written Permission is required for such candidates.

8.3.1.3 Faculty under AICTE Quality Improvement Program (QIP). Such candidates work as Full-time scholar as per rules and regulations of QIP. Written Permission is however required for such candidates as well.

#### **8.3.2 In-house Scholar:**

The following category of staff of the University shall be considered as In-house Scholars.

8.3.2.1 Teachers/Contractual teachers/Officers/ who are faculty of the Schools of the University;

8.3.2.2 College Teachers who are Parent Faculty of the Constituent Colleges;

8.3.2.3 Technical Staff of the Schools of the University; and

8.3.2.4 Technical Staff of Constituent Colleges of the University

Such Scholars will be permitted to do course work on full time basis without the residential requirement with the permission of their Constituent College Principal/Head of the Departments of Schools of University, subject to fulfilment the course requirement. These Candidates will be admitted as per the eligibility requirement mentioned in Statute 8.9

#### 8.3.4 Visiting scholar:

A student in the Visiting category is a registered student of another University/Institute in India or abroad. The University will not award any degree to such students.

#### 8.3.5 External Scholars:

This category refers to a student employed in an R&D organization/academic institution/industry having adequate research facilities. The research work leading to the Ph.D. degree may be carried out largely in the parent organization of the candidate under a Local Supervisor from the organization but with the overall guidance provided by a faculty member (Institute Supervisor) of the Department/Centre in which he/she is registered.?

### 8.4 RECOGNITION OF THE DEPARTMENT/RESEARCH CENTRE /SCHOOL:

8.4.1 The Academic Council may recommend to the Syndicate recognition for any Department/Research Centre/School for conducting courses leading to the award of Ph.D. degrees in the subjects/allied subjects assigned to it. Provided that the Department/Research Centre/School/Constituent College, as the case may be, satisfies the BORS fulfilling the following requirements:

8.4.1.1 Adequate Infrastructural facilities available in Department/Research Centre/School required for carrying out research work in the concerned subject/s.

8.4.1.2 A research centre should have been established exclusively for carrying out research in the discipline in which recognition as research centre is sought.

8.4.2 Notwithstanding anything contained in Statute 8.4.1, the Syndicate may, on the recommendation of the BORS and Academic Council, recognize any other Research Centre/ Laboratory that may or may not be affiliated to the University of Ladakh for conducting research programmes leading to the award of Ph.D. degrees.

### 8.5 RECOGNITION OF RESEARCH SUPERVISOR AND CO-SUPERVISOR:

#### 8.5.1 Research Supervisor:

A teacher working in the University Department/ Research Centre on permanent basis shall be eligible to be the supervisor for guiding Integrated Ph.D. scholars provided he/she has to his/her credit:

8.5.1.1 a Ph.D. Degree;

8.5.1.2 at least 5 (five) research publications in refereed journals in case of Professor and at least 2 (two) research publications in refereed journals for any regular Associate/Assistant Professor of the university. The research papers are required to be as of high standard determined by the BORS; and

8.5.1.3 2(two) years teaching experience on permanent basis and

8.5.1.4 The teacher shall have to apply for recognition as research Supervisor/ Co-Supervisor should have cleared his Probation Period.

In exceptional cases, Vice-Chancellor may relax the experience and other requirements.

No external faculty can be recognized as supervisor.

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

#### **8.5.2 Research Co-Supervisor:**

The Teachers/Scientists/Eminent Scholars/Retired teachers from Universities/Institutions/constituent colleges having Ph.D./M.D./D.M./D.C.L. having standard published work, shall, on the recommendation of the BORS, be entitled to act as co-supervisors. Provided that his/her employer has no objection in having appointed his employee as Co-supervisor. Provided further that no such person shall be below the rank of Assistant Professor or Scientist B or equivalent and is not beyond the age of 70 years. In case of topics which are of interdisciplinary nature where the Department/Centre concerned feels that expertise in the Department/Centre has to be supplemented from outside, the Department/Centre may appoint Research Supervisor from the Department/Centre itself and a Co-Supervisor from the other Department/Centre within the University including constituent Colleges or outside the University on such terms and conditions as may be specified and agreed upon by the consenting institution subject to approval of DRC.

#### **8.5.3 Joint Supervisor:**

On the recommendations of the Departmental Research Committee concerned, the Board of Research Studies may appoint a Joint Supervisor in any particular case.

However, in case of superannuation of the Supervisor, he/she shall continue to supervise the existing scholars and, if required a Co-supervisor be allotted by the DRC. The scholars whose supervisor has superannuated and if the progress is 80% as reflected in the report by the Supervisor and HOD, shall submit his/her thesis within a year.

The fresh scholars shall not be allotted to supervising teachers who are likely to superannuate within one year.

Scholars who have been allotted as Co-supervisors shall be considered over and above the quota of the teachers for supervision. However, the cases of Co-supervision should not exceed 50% of the prescribed limit for a teacher under Statues.

#### **8.5.4 Supervisor-Scholar ratio:**

The maximum number of scholars (full time and part-time taken together) that a supervisor shall at a time be entitled to guide shall be as under:

- 8.5.3.1 Professor or Scientist of an equivalent rank: 8 (eight).
  - 8.5.3.2 Associate Professor or Scientist of an equivalent rank: 6 (six).
  - 8.5.3.3 Assistant Professor or Scientist of an equivalent rank: 4 (four).
- The Departments/ Research Centres shall admit scholars as per the infrastructure and research facilities available with them.

## **8.6 STUDENT RESEARCH ADVISORY COMMITTEE (SRAC):**

There shall be a Student Research Advisory Committee (SRAC) for each Ph.D. scholar proposed by the Research Supervisor concern to the Departmental Research Committee for approval. The Research Supervisor of the scholar shall be the Convenor of this Committee and two eligible supervisors its members. The members can be from the same centre or from other departments of the University relevant to the research problem of the scholar. A co-supervisor shall automatically be a member of the SRAC.

### **8.6.1 Functions and Responsibilities:**

The SRAC shall have the following responsibilities:  
 To review the research proposal and finalize the topic of research.  
 To periodically review and Assist in the progress of the Research work of the Research Scholar. A Research scholar shall appear before the SRAC once every six months to make a presentation of the progress of his/her work for evaluation and further guidance. In case the progress of the research scholar is unsatisfactory, the SRAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SRAC may recommend to the department/centre with specific reasons, for cancellation of the registration of the research scholar.

## **8.7 DEPARTMENT RESEARCH COMMITTEE(DRC):**

### **8.7.1 Constitution of DRC:**

There shall be a Departmental Research Committee for each subject.  
 Consisting of the following: -

- |      |  |          |
|------|--|----------|
| i.   | Head of the department                       | Chairman |
| ii.  | Dean Research                                | Member   |
| iii. | Senior most faculty member of the department | Member   |
| iv.  | Concern supervisor within the Department     | Member   |
| v.   | Subject Expert nominated by Vice Chancellor  | Member   |

### **8.7.2 Functions of the DRC:**

The DRC shall perform the following functions:

- 8.7.2.1 consolidation of the number of vacancies indicated by Individual supervisors and recommended to the Dean Research Studies for admission;
- 8.7.2.2 The credit assigned to Ph.D. course work shall have to opted 08 credits, having two courses of four credits each. The course work shall be a prerequisite for Ph.D. and shall have two components of minimum 4 credits each. Component one will

have courses on Research Methodology which would cover theoretical issues in Research, techniques of Research, research ethics writing research proposal. The component two will have subject specific courses, which will be decided by the concern departments/centres.

- 8.7.2.3 assigning of these courses to the concerned teachers of the Department;
- 8.7.2.4 organizing the lectures and seminars and arrange supervision of the dissertation/thesis;
- 8.7.2.5 reviewing the research proposal and finalize the topic of research for dissertation/thesis;
- 8.7.2.6 guiding the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do;
- 8.7.2.7 periodically reviewing and assisting in the progress of the research work of the research scholar;
- 8.7.2.8 holding interview of the candidates admitted for Ph.D course and to decide about the area of research/allotment of the supervisors;
- 8.7.2.9 recommending the names of examiners for Dissertation/Thesis to the University;
- 8.7.2.10 recommending the award of degree to the students on the basis of assessment; and
- 8.7.2.11 deciding whether the Ph.D. Course to which a candidate intends to seek admission is allied to a subject in which he/she has obtained Master's Degree or not.

#### **N.B**

In case of any difference of opinion in the DRC, the case will be referred to Board of Research Studies concerned.

#### **8.7.3 Meetings of the DRC:**

Meetings of the Departmental Research Committee will be requisitioned by the Head of the Department in consultation with the Convener, Board of Studies concerned and will be chaired by the Convener or the Dean Research Studies in the absence of the Convener. Majority of the members shall form the quorum of the meeting. The Board of Research Studies shall consider such cases as are referred to it by the Departmental Research Committee.

### **8.8 BOARD OF RESEARCH STUDIES (BORS).**

The SRAC and DRC will function under overall policy and supervision of the Board of Research Studies (BORS) of the University.

#### **8.8.1 Board of Research Studies (BORS):**

There shall be, to begin with, only one Board of Research Studies with the following composition.

- |   |                  |
|---|------------------|
| 1. Vice Chancellor                                  | Chairman         |
| 2. Dean of Academic Affairs/Dean Research           | Member/Secretary |
| 3. All Deans of the university                      | Member           |
| 4. All Head of Department in Schools                | Member           |
| 5. One Senior most Professor from each Department   | Member           |
| 6. Nodal principal of constituent colleges          | Member           |
| 7. At least one subject expert for each department* | Member           |

\*The term of the member shall be three years. The member recommended by the concerned department through the concerned Dean of schools and approved by the Chairman.

#### **8.8.2 Powers and Duties of BORS in the context of Ph.D. Programme shall be as Follows:**

- 1) BORS shall meet at least once in every year.
- 2) BORS shall:
  - a) approve the Topic/Areas of the Thesis in the subject;
  - b) advise the DRC on measures to improve courses of Studies/Research work at the Doctoral level; and
  - c) approve and confirm the registration of research scholar or candidate based on the recommendation of concerned DRC.

#### **8.9 ELIGIBILITY FOR ADMISSION TO PH.D.PROGRAMME:**

A candidate seeking admission to the Ph.D. Programme must fulfil the following eligibility criteria:

- 8.9.1 Candidates for admission to the Ph.D. Programme should have a Master's Degree or a Professional degree declared equivalent to the Master's degree by the corresponding Statutory Regulatory Body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by the Assessment and Accreditation Agency approved, recognized or authorized by an authority, established or incorporated under 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.
- 8.9.2 A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% in favour of the categories mentioned above are permissible based only on the qualifying marks without including the grace marks.
- 8.9.3 Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale for an equivalent grade in a point scale wherever grading system is followed, and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same institution in an integrated programme.
- 8.9.4 Candidates possessing a degree considered equivalent to M.Phil. Degree of an Indian Institution 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 law in its home



country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards or educational institution, shall be eligible for admission to Ph.D. programme.

8.9.5 Project Fellows appointed in various research projects be allowed to simultaneously pursue a Ph.D. programme subject to the condition that the topic of Ph.D. be broadly related to the theme of the research project, subject to fulfilment of other eligibility conditions.

8.9.6 There shall be reservation as per the UGC guidelines.

## **8.10 ADMISSIONS TO PH.D. PROGRAMME:**

8.10.1 There shall be a Research Entrance Test for admission to Ph.D. Programme. The notification inviting applications to appear in the Entrance Test shall be issued by the office of the Dean, Research Studies once in a year. Admission to the programme shall be on the basis of both written and interview as per the UGC guidelines.

All candidates eligible under Regulations governing Ph.D. (Doctor of Philosophy) in various faculties shall apply to appear in the entrance test for admission to Ph.D. course in the Departments/Centres against notification. Students desirous of being enrolled as Ph.D. shall state his/her qualification and will indicate their preference for Supervisor/Field of Specialization/Area of Research in the application form. He/she may also (optionally) enclose a statement of the work he/she might have already done in the proposed field of investigation. The application form shall be accompanied by the application fee as may be prescribed by the University from time to time.

The candidates who have appeared in M.A./M.Sc., 4<sup>th</sup> semester/final examination may also be considered eligible for appearing in Entrance Test of Ph.D. and their case will be considered only if their result is declared by the time the merit is determined.

8.10.2 Entrance test will not be required for exempted candidates including for M.Phil., DAE-DST-DBT JRF, UGC-CSIR JRF (National Testing Authority), NET/SET/ GATE

8.10.3 Candidates exempted from written test will appear directly for synopsis presentation before the Departmental Research Committee (DRC). However, if the number of applicants is more, the selection shall be made on the basis of their merit of interaction with DRC members.

Candidates with employed status selected for admission shall be required to produce necessary permission as well as study leave sanction order at the time of admission/registration. The candidates are required to discuss their research interest/area through a presentation before the Departmental Research Committee. The viva voce/presentation shall also consider the following aspects, viz. whether: the candidate possesses the competence for the proposed research; the research work can be suitably undertaken at the University and the proposed area of research can contribute to new/additional knowledge. Selected candidates will have to complete the registration formalities along with deposition of registration fee and other fees as may be prescribed within

the stipulated time. A list of all the registered scholars shall be displayed on the university website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

8.10.4 After admission of the candidates under exempted category i.e., M.Phil. with entrance test? (regular mode), DAE-DST-DBT JRF, UGC-CSIR JRF (National Testing Authority), NET/SET/GATE, the number of vacancies and specializations in each Department for Ph.D. will be communicated by the Head of the Department concerned to the office of Dean, Research Studies for the purposes of Entrance Test once in a year.

8.10.4 Every applicant seeking admission to Ph.D. Programme (except the exempted category as mentioned in Statute 8.10.2 shall have to undergo an entrance test.

N.B

The order of preference for grant of admission to Ph.D. Programme shall be as under:

8.10.4.1 M.Phil. with entrance test (regular mode).

8.10.4.2 JRF (if the number of candidates is more than the number of seats, then the merit will be determined on the basis of interaction with DRC members).

8.10.4.3 Master Degree with NET/SLET/SET (if the number of candidates is more than the number of seats, then the merit will be determined on the basis of the performance through a presentation before the Departmental Research Committee).

## **8.11 ENTRANCE TEST:**

8.11.1 Each Department, through DRC (Departmental Research Committee), shall devise its independent syllabi for both Research Methodology and subject specific for Research Entrance Test which shall be made available to all the desirous eligible candidates on the day of submitting applications.

8.11.2 The paper shall have the following components: -

- a) Marks secured at the Master Degree level: 30 marks
- b) Research Methodology (objectives questions): -30 marks
- c) Subject specific (subjective questions): - 20 marks
- d) Interview/interaction 20 marks

In the subjective there shall be 7 (seven) questions and out of seven questions. Every candidate shall attempt 4 (four) questions out of the given seven questions. Each question shall carry (five)marks and the candidate shall answer every question in about 250 words. The section shall cover all the areas/specialization in a particular discipline as recommended by the Departmental Research Committee. In the objective, there shall be 30 multiple choice objective type questions (with four alternative responses) covering the syllabi designed by the respective department/centre. Each question shall carry 1 (one) mark and candidate shall attempt all the 30 questions of this component. The duration of the test shall be 3 (three) hours.

**8.11.3** Setting of the question paper shall be done as follows:

- 8.11.3.1 Model Test Papers shall be prepared by all members of the DRC of the Teaching Department which shall be handed over to the Convener of the DRC.
- 8.11.3.2 The Convener DRC shall prepare three sets of question papers from the Model Test Papers prepared by the DRC Members.
- 8.11.3.3 Dean, Research Studies/controller of examination shall choose one set out of the three for the entrance test to be conducted by the office examination.
- 8.11.3.4 The Dean, Research/Controller of Examination shall be responsible for the conduct of the Entrance Test.
- 8.11.4 The conduct and evaluation of the paper shall be done under the overall supervision of the DRC concerned which shall have the authority to involve as many evaluators as it deems proper in view of the specializations of the Department.
- 8.11.5 The merit list of the selected candidates shall be notified as soon as possible from the date of conduct of the entrance test and it shall be prepared as per the criteria given below:
- 8.11.6 The selection for admission to Ph.D. Programme shall be done on the basis of given preference/interview with the DRC of the students subject to availability of seats.  
However, merely qualifying the entrance test will not entitle the students for admission to Integrated Ph.D. Programme.
- 8.11.7 After the interview, the result shall be compiled by the DRC and the list of selected candidates for the Ph.D. programmes shall sent by the Head of the Department through concern dean to the Controller of examination for the result notification.

**8.12 ENROLMENT TO PH.D. PROGRAMME:**

- 8.12.1 All candidates selected for admission to the Ph.D. Programme may, in the first instance, be enrolled and registered provisionally. Such enrolled students shall be required to undergo a coursework comprising a minimum of 2 (two) papers. Of these 1(one) will be Research Methodology Paper and the other will be related to the candidate's proposed area of research. If DRC deems it fit, more papers may be added in a particular Ph.D. Programme.  
Doctoral Students may be permitted to take courses in related and allied subjects being offered by other Departments of the University.
- 8.12.2 The Course work shall be completed in a period of 1(one) semester of 6 (six) months. At the end of the semester, the students shall be evaluated and if a student is not able to pass a course with 50% marks, he/she shall be allowed to reappear in the examination in the subsequent semester.

- 8.12.3 After the successful completion of the Course Work, the Research Synopsis of the candidates, duly approved by the DRC, will be presented before the BORS (Board of Research Studies) for its approval. On approval of the synopsis, the provisional registration shall be confirmed.

The University shall maintain a list of all the Ph.D. registered students on its website year-wise. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, and the date of enrolment/registration.

- 8.12.4 For the purposes of fellowships, cases of duty leave and deputation, the date of enrolment and provisional registration will be considered as the date of registration. In case of fellowships, if a student fails to complete the course work or submit the synopsis after six months, his/her fellowship will be discontinued till the time his/her registration is ratified by the BORS.

### 8.13 **ALLOCATION OF SUPERVISOR:**

- 8.13.1 The allocation of Supervisor for a selected student shall be decided by the Departmental Research Committee (DRC) of the Department in a formal manner depending on the number of students per faculty member, the available specialization among the faculty supervisors and the research interest of the student as indicated during interview by the student. The allotment/allocation of supervisor shall not be left to the individual student or teacher.

In case of topics which are of inter-disciplinary nature where the Department/Centre concerned feels that the expertise in the Department/Centre 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/ College/institution on such terms and conditions as may be specified and agreed upon by the consenting Institution/College.

#### 8.13.2 **Change of Supervisor:**

Ordinarily, the candidate shall continue his/her Ph.D. programme under the Supervisor allotted to him/her by the DRC.

However, in exceptional cases, the change of guide can be considered by the BORS after receiving convincing justification duly recommended by the Dean of the Faculty concerned.

### 8.14 **COURSE WORK:**

- 8.14.1 The credit assigned to Ph.D. course work shall opted 08 credits, having two courses of four credits each. The duration of the course shall be of 6 (six) months.

**Paper 1<sup>st</sup> (subject specific):** This component will have specific courses, which will be decided by the concern departments/centres.

**Paper 2<sup>nd</sup> (Research Methodology):** Based on understanding of the principle and application of techniques to the research in the concerned subject/faculty/discipline/area of research including computer

applications and quantitative analysis. Ethics hall also include, as per UGC guidelines.

- 8.14.2 There shall be at least 3 (three) contact hours per week per term for each Course of Study. Every student shall also be required to participate in seminars/group discussions arranged in the Department during the programme of study. The minimum attendance required shall not be less than 75% of the total number of working days in each term.
- 8.14.3 Each paper shall carry 100 marks (4 Credits) and the candidate(s) shall be required to obtain at least 50% marks to secure a pass in each paper.
- 8.14.4 Examination of all the 02 (two) papers shall be held at the end of 6 (six) months by the respective Head of the Department/Deans in accordance with calendar issued by the Dean Research.
- 8.14.5 The duration of examination in each course will be 3 (three) hours. The examination in subject specific/research methodology will be wholly internal and the mode of assessment and maintenance of record shall be determined by the DRC.
- 8.14.6 The question paper for the term examination in each course shall be drawn by the faculty members who conducted the Course. The evaluation will be done by the concerned Department/centre.
- 8.14.7 A candidate who had fulfilled all the requirements of eligibility to appear in the first term examination but either failed to appear in the examination or having appeared/failed to qualify in all the courses of study prescribed for the 1<sup>st</sup> term, may be permitted to continue his/her studies in the second term and appear in the paper(s) of the first term in which he/she had not qualified, along with the courses of the next batch.
- Prior to submission of the thesis, the student shall make a pre- Ph.D. presentation in the Department that will be open to all faculty members and research scholars for getting feedback and comments, which may be suitably incorporated into that draft dissertation under the advice of the Supervisor.
- 8.14.9 In case a candidate fails to qualify the examination, he/she shall not be registered for Ph.D. programme. However, he/she shall be provided one more chance, within the next 6 (six) Ph.D. Programme months but not before three months from the date of last examination. In case he/she fails again, he/she shall forfeit his/her claim to the programme.
- 8.14.11 For candidates joining Ph.D. with M.Phil. Degree, the Ph.D. Programme shall consist of only research work. They shall be exempted from course work.

## **8.15 PREPARATION AND SUBMISSION OF SYNOPSIS:**

- 8.15.1 The provisional registration of students in the concerned Department shall require ratification by the Board of Research Studies (BORS). After the successful completion (including the declaration of the result) of the

course work, the candidate in consultation with the Supervisor shall prepare a synopsis. The Candidate shall make a small presentation of the synopsis before the DRC. The Synopsis of the candidate, duly approved by the DRC, shall be presented before the Board of Research Studies (BORS) for its approval. On approval of the synopsis, the provisional registration of students shall be confirmed.

8.15.2 The Board of Research Studies concerned, after considering the recommendations of the DRC, may, if it deems fit, grant the registration, approve the topic of research and appoint the Supervisor(s).

8.15.3 The date of effect of registration shall be counted from the date the scholars are enrolled through admission to the course work.

8.15.4 If a candidate fails to submit synopsis for Ph.D. within 1 (one) year from the date of enrolment, his/her enrolment shall automatically stand cancelled.

8.15.5 The Board of Research Studies shall ordinarily meet twice in a year. However, a special meeting may be called at any time, if necessary. A majority of the members shall form the quorum of the meeting.

8.15.6 A candidate may not later than 1 (one) year after his/her date of registration, modify his/her topic of research (change in the title). This shall be authorized by the BORS only on the recommendation of the DRC. The Board may accord approval to such modification provided that, the modified topic is relevant to the original plan of research submitted.

8.15.7 Applications for precision of title shall be submitted through the Departmental Research Committee concerned ordinarily not less than 6 (six) months before the submission of thesis.

At the time of seeking modification/precision of the title, the candidates shall submit the original plan of work approved by the Board of Research Studies and indicate clearly the nature and extent of modification/precision sought.

## 8.16 **DURATION OF THE COURSE AND RESIDENCY PERIOD:**

**8.16.1** The Ph. D. Programme shall be whole time programme for three years, extendable by two more years. The extension can be granted on valid grounds, which should be recorded specifically, Board of Research Studies/Vice Chancellor on the recommendation of the Supervisor and the DRC may extend the above duration to a maximum of two years in two spells of one year each. Differently able candidates shall, however, be allowed a relaxation of two years in the maximum duration. Women candidates shall be entitled to Maternity/Child Care leave as per the UGC guidelines. In case a scholar fails to submit his/her thesis within the stipulated period as above, he/she will have to re-registered for the programme and will be treated as a fresh candidate except that he/she will be exempted from carrying out the course work.

If a candidate joins service before the completion of the residency period of 2 (two) years, his/her admission to Ph.D. Programme shall stand cancelled.

- 8.16.2 In case a student undertakes employment after successful completion of 2 (two) years from the date of confirmation of registration by BORS, he/she can be de-registered.
- 8.16.4 The woman candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of cumulatively 2 (two) years for Ph.D. in the maximum duration.
- 8.16.5 Provided that Constituent College Teachers, having put in at least 2 (two) years of service on permanent basis shall be deemed to have put in the residency period simultaneously without producing any kind of leave.
- 8.16.6 The scholar who fails to submit his/her thesis within the stipulated period shall be eligible for re-registration to be granted by the Dean Research Studies on the recommendation of the DRC and the Dean of the concerned Faculty for a maximum period of 2 (two) years on the payment of prescribed fee.

## **8.17 PROGRESS REPORTS AND ASSESSMENT OF PROGRESS:**

- 8.17.1 a) During the period of registration, every registered Ph.D. scholar shall be required to submit a written periodic 6 (six) monthly report in the specified format duly endorsed by the supervisor/s regarding the progress in his/her research programme to the DRC concerned.  
b) The scholar shall also be required to give at least 1 (one) seminar every year.
- 8.17.2 During the period of Residency, every scholar shall be assessed by the Student Research Advisory Committee (SRAC) to monitor his/her progress. This assessment shall be done once in the first year of residency and twice in the second year of residency.  
These assessments shall be the responsibility of respective DRCs, having a nominee of the Vice-Chancellor, in the second and fourth assessment process.  
The SRAC shall evaluate the progress made by the scholar, assess the attendance records and make suggestions for improvement, if required, modify or revise the title, objectives and methodology on a prescribed format.  
Continuance of registration and award/continuance of scholarship/Research Assistantship shall be based on the recommendation of the SRAC  
  
NB: Inadequacy of effort/progress can be a reason for cancellation of registration.  
SRAC shall make recommendations for grant of academic clearance or more evaluations (if so desired).

## **8.18 SUBMISSION OF ABSTRACT:**

- 8.18.1 The candidate shall present his/her findings of research to the SRAC, teaching staff and research scholars of the department concerned in a seminar before the submission of the abstract of the thesis (pre-submission). The seminar will be followed by a discussion in which the candidate shall defend his/her work. Information to the effect that the

seminar has been conducted must be communicated to the Dean, Research Studies by the Head of the Department.

8.18.2 As far as possible, the candidate will incorporate suggestions emanating from the discussion in the seminar in his/her following papers/reports and thesis.

8.18.3 A Ph.D. scholar must publish at least 02 (two) research paper in refereed/peer review/UGC Care journal and make to 2 (two) paper presentations in conferences/seminars before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and/or reprints.

#### **8.19 ACADEMIC CLEARANCE:**

Academic clearance shall be a prerequisite for thesis submission for which every scholar shall produce:

8.19.1 An NOC from the concerned Departmental/University Library/DSW/Chief Proctor/Provost/Directorate of Physical Education/Sports/ Laboratory etc. to be submitted to the Head of Department.

8.19.2 A certificate about delivery of seminars and overall eligibility certificate to the effect of having at least 2(two) papers published/ accepted for publication in a peer-reviewed/refereed journal/UGC Care. The publication shall necessarily be a part of his/her Ph.D. thesis and should not be a review or commentary.

8.19.3 The SRAC. recommendation that the scholar has carried out the research work in accordance with the approved objectives.

8.19.4 Required documents along with an electronic copy of the scholar's abstract of the thesis and panel of examiners as per Statutes shall be submitted by the Supervisor through the concerned Head of the Department/Director of the Institute/Centre and the Convenor of DRC and Dean of the faculty to the office of the Dean Research Studies for grant of academic clearance.

The academic clearance shall be issued within a period of not more than 15 days from the date of submission of all the requisite documents in the section.

#### **8.20 SUBMISSION OF THESIS:**

8.20.1 A candidate shall not be permitted to submit his/her thesis for Ph.D. Degree unless his/her Supervisor(s) and RPAC is/are satisfied that the thesis presented is worthy of consideration for the award of Ph.D. Degree.

8.20.2 A Ph.D. scholars must publish at least 2 (two) research paper in refereed journal/UGC care list and make to 2 (two) paper presentations in conferences/seminars before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and/or reprints.



8.20.3 After the receipt of Academic clearance, a candidate shall supply 5 (five) (six in case a candidate is working under two Supervisors) printed/typed/photocopies but not published copies (and one soft copy) of the thesis which shall comply with the following: -

- a. it shall be a piece of research characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories in either case, it should reflect the candidate's capacity for critical examination and sound judgement. The candidate shall communicate how far the thesis embodies the result of his/her own observations and in what respect his/her investigations appear to him/her to advance knowledge in the subject;
- b. it shall be satisfactory in so far as its literary presentation is concerned and must be also in a form suitable for publication;
- c. The thesis typewritten or printed or photocopied essentially on both sides must ordinarily be on a paper of 28 cms. x 22 cms., or A4 size with margins of 3 cms. On one side and against one cm. on the other (font size 12 of Times Roman and 1.5 space). The dissertation shall be hard bound with black cloth/Rexene cover (with transparent dust cover). The title of the dissertation, name of the scholar, supervisor/co-Supervisor, name of the Dept. / Centre, university and faculty and month & year of submission shall be printed in golden colour on the front cover. Field of or/subject, name of the candidate and year of submissions shall also be printed in golden colour on the spine on the dissertation. The Thesis shall be submitted in English.

8.20.4 The thesis shall be accompanied by a certificate from the Supervisor(s) stating-

- a. that the thesis embodies the work of the candidate;
- b. that the candidate worked under him/them for the period required under Regulations;
- c. that the candidate has put in the required attendance in the Department; and
- d. that the candidate has fulfilled the statutory conditions as laid down in Statute.

8.20.5 The thesis shall be submitted in English provided that in case the subject is connected with one of the Oriental Classical, Modern Indian Languages, the thesis may be written either in English or any other language approved by Departmental Research Committee. Provided that a thesis in the subject of Urdu may be presented in the form of calligraphy.

8.20.6 The candidate may incorporate in his/her thesis the contents of any work which he/she may have published on the subject and shall mention in his/her thesis that he/she has done so but he/she shall not include in his/her thesis any work for which a Ph.D. Degree or any other Degree has already been conferred by this or any other University.

## **8.21 EVALUATION OF PH.D. THESIS AND VIVA VOCE:**

8.21.1 The Head of the department/Centre shall forward to the Dean of the School, a panel of seven experts submitted by the Supervisor for the evaluation of the Thesis. The Dean of the School may recommend four experts out of the panel to the Vice Chancellor for the evaluation of the thesis. The Vice Chancellor will appoint two experts for evaluation of the Ph.D. thesis. At least one expert should be from outside the state. The external examiner should be of the rank of a Professor, Associate Professor. The Supervisor shall be the internal examiner.

8.21.2 The examiner shall state in his/her report:  
Whether the thesis be:

- (i) Accepted,
- (ii) Revised and re-submitted, or
- (iii) Rejected
- (iv) Whether the thesis is fit for publication in its original form or revised form.

**8.21.3** The thesis shall be accepted for award of Ph. D. degree, if a positive report is received from the two external examiners. In case one of the examiners gives a positive report, the other rejects it, the Thesis will go to a third examiner. This examiner will be appointed by the Vice chancellor, out of the panel already approved. If a candidate is advised to revise the thesis by both the external examiners, the same shall have to be revised and resubmitted within one year from the date the decision is communicated to him/her. The office of the Dean of the School will dispatch the thesis to the external experts and receive the evaluation reports. The Dean of the School will send the reports to the concerned Head of the Department/Centre. The Head of the Department will send the evaluation reports to the concerned supervisor. The supervisor will request the Head of the Department for fixing the viva-voce date. The Head of the Department will propose to the Dean of the School to initiate the Viva-voce. Viva-voce examinations shall be a compulsory component of the Ph.D. programme and will have to be openly defended by the candidate.

**8.21.4 The following shall comprise the Viva-Voce Committee**

- |      |   |                  |
|------|---|------------------|
| i.   | Dean, Academic Affairs/Dean Research  | Chairman         |
| ii.  | Dean of the School  | Member           |
| iii. | At least one of the two external examiners  | Member           |
| iv.  | Concern Research Supervisor   | Member           |
| v.   | Head of the Department/Centre concerned   | Member Secretary |
| vi.  | In case, the Head of the Department is also the Supervisor, the Dean of the School will nominate a senior faculty member from the school to be a member of the committee. |                  |

In case, the Examiners have made some suggestions to be incorporated in the thesis before viva-voce, the same may be highlighted by the Committee. The candidate in such like situations will be sent a gist of the changes to be incorporated within three months or as the Committee decides.

Certificate for having completed the desired changes - duly endorsed by the DRC, shall be sent to Dean, Research Studies who will seek the final approval of Vice-Chancellor. Thereafter, the viva-voce may be fixed.

**8.21.5** The viva-voce shall be conducted by not less than 2 (two) examiners. 1 (one) external and 1 (one) internal (Supervisor) if all the Examiners have recommended acceptance of the thesis:  
or

**8.21.6**In case the Supervisor (Internal Examiner) is not available and is not likely to be available in the next 3 (three) months after the receipt of the last report for conducting the viva-vice test, the Vice-Chancellor in consultation with the Chairman, Departmental Research Committee, and Dean of the Faculty concerned may appoint a substitute.

**8.21.7.** The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the External Examiners, on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination. The Departmental Research Committee members, all faculty members of the department, research scholars and other interested expert/researchers shall be invited to attend the viva-voce. They shall only be observers and not ask any questions.

**8.21.8**If a candidate is not recommended for the Degree by the Examiners at the viva-voce examination, he/she may be permitted to re-appear at a subsequent viva-voce examination to be held not earlier than 3 (three) months from the date of his/her first viva-voce. The viva-voce examination of the candidate for the second time shall be conducted by the original Examiners unless they or any of them is/are not available, or unwilling to act as such. In such case, a substitute Examiners shall be appointed preferably from within the panel submitted earlier.

8.21.9The report of the Examiners shall be placed before a Committee consisting of the:

8.19.8.1Vice-Chancellor;

8.19.8.2 (one) Professor to be nominated by Vice Chancellor;

8.19.8.3Dean of the faculty concerned;

8.19.8.4Principal/Head of the University Teaching Department concerned; and

8.19.8.5Supervisor(s).

8.21.10a) The Controller of Examinations shall provide a photocopy of the original reports of both External and Internal Examiners for future reference to the candidate if he/she is able to defend his/her thesis successfully in the open viva-voce examination and has completed all other formalities. However, permission to publish the thesis will be accorded to the candidate on submission of an application and also a certificate from the Supervisor(s) that the suggestions made by the Examiners in the extent of the reports supplied to the candidate have been incorporated in the revised thesis.

b) The candidate shall, on publication of the thesis, state on the title page that it is a thesis approved for Ph.D. Degree of the University of Ladakh.

**8.21.11 The Viva Voce Committee after evaluation of performance of the scholar in the Viva-Voce examination shall recommend to the Controller of Examinations the award of PhD degree. The Controller of Examinations shall declare the result of the candidate formally.**

a) Following the successful completion of the evaluation process and announcements of the award of Ph.D., the concerned Department of the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of 30 days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities. A soft and a hard copy of thesis may also be sent to the Central Library.

b) Along with the Degree, the Degree awarding University, shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions/regulations of the UGC (2009). The Controller of Examination shall complete the entire process of evaluation of Ph.D. thesis within a period of 6 (six) months from the date of submission of the thesis.

## **8.22 RELIEF FROM PH.D. PROGRAMME TO TAKE UPJOB:**

- 8.22.1 A Ph.D. Scholars who gets a job offer can deregister only after successful completion of 2 (two) years from the date of confirmation of registration by BORS, however, if a candidate joins service before the completion of the residency period of 2 (two) years, his/her admission to Ph.D. Programme shall stand cancelled.  
Deregistered candidates can apply for re-registration as mentioned in Statute 8.16.6.

## **8.23 WITHDRAWAL FROM THE PROGRAMME:**

A scholar may be permitted by the Dean, Research Studies to withdraw from the programme for 6(six) months or longer for reasons of ill-health or other valid grounds duly recommended by the SRAC. Normally, a scholar shall be permitted to discontinue from the programme only for a maximum continuous period of 1 (one) year.

## **8.24 CANCELLATION OF REGISTRATION:**

The BORS is authorized to cancel registration of the following category of candidates based on the recommendation of the Dean, Research Studies:

1. a research scholar whose progress is not found to be satisfactory by the SRAC or who has not enrolled;
2. a research scholar who has not submitted his/her thesis before the end of the maximum permissible period ; such a candidate can however re-register himself;
3. a candidate giving false information at the time of application/admission;
4. a candidate not conforming to the regulations of the programme;
5. a candidate who is a failure in coursework requirement;
6. a candidate who violates discipline and conduct rules of the University; and
7. a regular (Full-time) student remaining absent for more than 6 (six) weeks in a semester without sanctioned leave.

## **8.26 CONDUCT OF RESEARCH IN OTHER INSTITUTES/UNIVERSITY:**

The Vice-Chancellor on the recommendations of the Supervisor and HOD, may permit a research scholar registered for pursuing his/her research to go to any other institutions of repute within or outside the country if it is essential for the research project. However, the absence from the main place of research shall not ordinarily exceed more than 6 (six) months.

## **8.27 RE-EXAMINATION IN A COURSE WORK:**

A student shall be permitted to take re-examination for a course in case he/she has failed or fails to appear in a course examination of study in the first term. Such candidate shall be allowed 1 (one) more chance and can continue his/her studies and take the re-examination and appear in the paper(s) of the first term which he/she had not qualified, along with courses of the next batch.

## **8.28 LEAVE RULES FOR RESEARCH SCHOLARS:**

### **8.28.1 Ordinary Leave:**

A Full-time Ph.D. student is eligible for 30 days ordinary leave for every completed year. Saturdays, Sundays or holidays, during the leave period are counted towards leave, except for prefixed or suffixed holidays.

Head of the Department/Centre is competent to sanction ordinary leave on recommendation of the Supervisor.

### **8.28.2 Maternity/Paternity Leave:**

A student/scholar is eligible for 240 days maternity leave or 15 days of paternity leave as applicable only once during the Ph.D. Programme.

The Head of the Department/Centre is competent to sanction the maternity/paternity leave on recommendation of the Supervisor and submission of a certificate from Senior Medical Officer /Medical Officer of the Institute.

### **8.28.3 Academic leave:**

Academic leave is permitted on one of the following grounds: -

- a. A maximum of 15 days of leave is permissible in a calendar year to attend conferences/seminars/workshops/trainings/short-term courses.
- b. A maximum of 30 days of leave is permissible in a calendar year for field trips such as data collection, survey work, etc.
- c. Academic leave exceeding 30 days, but up to a maximum of 60 days, for research activities in a calendar year is approved by the Dean, Research Studies on recommendation of the Supervisor and the Head of the Department/Centre.
- d. Academic leave of more than 60 days, but up to a maximum of 6 months is also permissible to carry out part of the research in another Institute/R&D Lab/industry in India or abroad. For sanction of such a leave, a letter of consent from the host Institute shall be required. This leave is permissible only after the scholars/student has passed the course work and has submitted the synopsis.

The Head of the Department/Centre is competent to sanction academic leave, as mentioned at a & b above, on recommendation of the Supervisor.

Dean, Research Studies is competent to sanction academic leave, mentioned at c & d above, on recommendations of the Supervisor and SRAC



**THE UNIVERISTY OF LADAKH**

**(Annexure-2)**

**Performa for Recognition/Registration as Research supervisor/ Co-Supervisor  
(Attach a copy of Bio-data and Photostat of 2/5 reprints whichever is applicable)**

1. Name of the teacher: \_\_\_\_\_

2. Qualification: \_\_\_\_\_

3. Govt. Appointment Order No. and date: \_\_\_\_\_

4. Designation: \_\_\_\_\_

5. Name of the institution where posted: \_\_\_\_\_

6. Subject: \_\_\_\_\_

7. Field of specialization:

\_\_\_\_\_

8. Laboratory facility:

\_\_\_\_\_

9. Place of Research Laboratory:

\_\_\_\_\_

10. Teaching experience:

\_\_\_\_\_

11. No. of publication \_\_\_\_\_ Impact \_\_\_\_\_

(Minimum two best publications' photostat copies to be attached in case of a minimum 03 years of experience and five in case of freshly appointed Assistant Professor).

12. Post-doctoral fellowship \_\_\_\_\_ (if any)

13. Report of DRC

\_\_\_\_\_

14. Approval of Board of Research Studies

\_\_\_\_\_

**Note: S. No. 13 & 14 to be filled by the office of the University of Ladakh.**