



H I M G I R I  
**ZEE UNIVERSITY**



[Estd. Under Uttaranchal State Act No. 17, 2003. Approved by UGC Under Sec. 2(f) of 1956 Act.]  
**DEHRADUN**

## Ph.D. REGULATIONS

<2022-2023>

*Approved  
B. S. Saxena*

## PREAMBLE

Himgiri Zee University Dehradun, Uttarakhand, India, offers research programmes in various disciplines, leading to the award of Ph.D. degree. The process to award this degree is in recognition of high academic achievements, independent research and application of knowledge to the solution of technical and scientific problems in different disciplines. The research work shall distinctly evince the candidate's capacity for creative examination and sound judgment and shall make original contribution to the existing treasure of knowledge. The Ph.D. degree shall be conferred and awarded only to a candidate who will fulfil all the requirements specified in these proposed regulations, which are framed according to the requirements of various schools/departments.

### 1. SHORT TITLE, APPLICATION AND COMMENCEMENT:

**1.1 'Applicant'** means a person who makes an application in the prescribed form for admission to the Ph.D. programme of the Himgiri Zee University, Dehradun, Uttarakhand, India.

**1.2 'Research Scholar'** means a person registered for the Ph.D. degree, who has completed the required course work and has submitted the synopsis, duly approved by Research Degree Committee of the University.

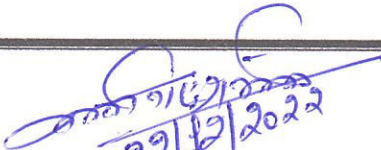
**1.3 'Supervisor'** means a person who is a faculty/scientist in Himgiri Zee University with Ph.D. degree and formally approved and/or recognized by the RDC to supervise the research work.

**1.4 'Co-supervisor'** means a supervisor appointed by RDC as such in addition to the supervisor to help in the accomplishment of the research work of the Candidate.

**1.5 'Course Work'** means the Pre-Ph.D. work prescribed under 7(1) of the UGC Regulations, 2016.

**1.6 'RDC'** means Research Degree Committee.

**1.7 'Full time research candidate'** means a candidate registered for the Ph.D. degree devoting full time for the completion of his/ her degree.

  
22/12/2022



**1.8 'Part time research candidate'** means a person registered for Ph.D. degree, whether sponsored or self-financed devoting a part of his time to pursue the research programme along with the discharge of his other official obligations.

**1.9 'Sponsored research candidate'** means a research candidate who is in receipt of financial assistance for pursuing research work from any sponsoring organization or his/her employer.

**1.10 'Project fellow'** means a research candidate who is receiving financial assistance for pursuing research work from any project undertaken by the Himgiri Zee University.

**1.11 'Minimum Registration Period for submission of thesis'** means the period before the expiry of which a candidate shall not be allowed to submit his Ph.D. thesis.

**1.12 'Maximum registration period'** means the period on the expiry of which a candidate's registration shall stand cancelled, however, the competent authority may give extension up to maximum one year in two spells of six months each.

**1.13** There will be **three** advisory committees for the proper functioning of the Ph.D. degree:

- (a) Research Advisory Board ( RAB)
- (b) Research Degree Committee ( RDC)
- (c) Doctoral Research Committee ( DRC)

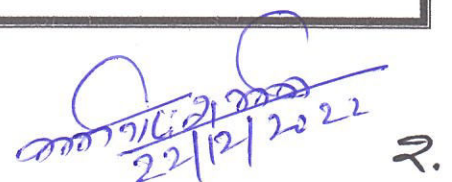
**1.14** The office of the Research and Development Cell under the direction of the Dean Research will take care for all activities related to Ph.D. programme of the Himgiri Zee University, Dehradun, Uttarakhand.

## **2. COMPOSITION OF VARIOUS BOARDS AND COMMITTEES**

### ***2.1 Constitution and Functions of Research Advisory Board (RAB)***

Research Advisory Board (RAB) shall function as per the provision given in the Himgiri Zee University Research Policy. The Research Advisory Board will be the main research based investigation body of the University and will give the thorough vision, to the research, embraced by the University, including its prioritization. The RAB will in like manner oversee, direct and scrutinize all the assessment activities and Ph.D. programs of the University.

Research and Development Cell, Himgiri Zee University, Dehradun.

  
22/12/2022

**The composition of the RAB will be as under:**

01.	Vice Chancellor (Chairperson) or his nominee	
02.	Dean Academic Affairs	
03.	Deans of Schools	
04.	Dean Research- <b>Convener</b>	
05.	Member Secretary, Research Degree Committee	
06.	Ph.D. Program Coordinator	
07.	External outstanding experts from leading Research Organizations/Industries/Corporate groups in different domains nominated by the Vice-Chancellor.	2

## **2.2 CONSTITUTION AND FUNCTION OF RESEARCH DEGREE COMMITTEE ( RDC) :**

**Constitution of RDC will be as follows:**

<b>Vice Chancellor</b>	<b>Chairperson</b>
Dean Academic Affairs	Member
Dean of the Concerned School	Member
Dean Research	<b>Convener</b>
Member-Secretary, RDC	Member
Ph.D. Program Coordinator	Member
Concerned Research Supervisor	Member
One/Two eminent academicians as external expert.	Member

**Note:** The Vice Chancellor will nominate the name of the one/two eminent academicians.

The Research Degree Committee shall deal with the decision matters and make recommendations regarding the conferment of the award of the Ph.D. degree. The

Research and Development Cell, Himgiri Zee University, Dehradun.

*[Handwritten signature]*  
22/11/2022 3.



quorum of the RDC shall not be less than two-third of its members.

The RDC shall perform the following functions:

- a) To approve the proposed research topic of each applicant based on defending his/her synopsis after successful completion of the course work.
- b) To register the student and allocation of guide will be in accordance to the rules of the University.
- c) To Recommend for Change and/or Inclusion of Supervisors.
- d) To Recommend for Extension of Duration.
- e) To Recommend for Acceptance/Change in Place of Work.
- f) To Recommend for Thesis Submission.
- g) To prepare and finalized the Panel of Examiners for the evaluation of Thesis.

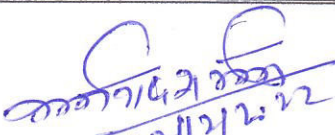
### **2.3 CONSTITUTION AND FUNCTION OF DOCTORAL RESEARCH COMMITTEE (DRC) FOR SCHOLAR:**

The Dean/HOD of the concerned school/department shall constitute a committee consisting of following for the research scholar enrolled in their department/school after successfully completion of the course work examination.

Supervisor ( From the department)	Chairman
Two faculty members having with Ph.D. degree from the concerned department/School.	Members
One faculty having Ph.D. degree from the allied department/school.	Member
Co-supervisor ( if any)	Member

The candidate has to give the presentation on selected research topic in presence of all DRC members. Before presentation, the candidate has to take the written consent on the proposed topic by the assigned supervisor. DRC has to give their consent on the proposed Ph.D. topic for the further consideration and approval of RDC.

The DRC shall be responsible for regular monitoring of the progress of research work. A research scholar shall appear before the Doctoral Research Committee (DRC) once in a six months to make a presentation of the progress of his/her work for evaluation and further guidance.

  
22/11/22 4.



The candidate has to submit the six monthly progress report signed and approved by the concerned supervisor. In case the progress of the research scholar is not satisfactory, the DRC shall record the reasons for the same and suggest the necessary measures. If the research scholars fail to implement these corrective measures for two consecutive reporting periods, the DRC may recommends to RDC for cancellation of the registration of the research scholar.

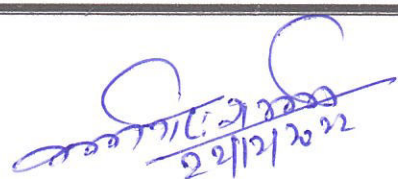
### **3. ELIGIBILITY CRITERIA FOR ADMISSION**

#### **1) Candidates who have completed:**

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 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.

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. 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. 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.

(2) Candidates who have completed the 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. 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

  
22/12/22



Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

The Ph.D. Research Scholars in HZU can be categorized as per the following:

- a) Full-time ( FT)
- b) Full-time Sponsored ( FT-S)
- c) Part-time (PT).

**In case of Part-time (PT):**

The Himgiri Zee University shall obtain a "No Objection Certificate" through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- i. The candidate is permitted to pursue studies on a part-time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.

**4. DURATION OF THE PROGRAMME:**

Duration of the Programme.-

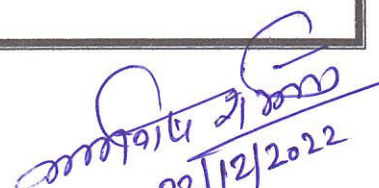
(1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. The Ph.D. course fees will be applicable until the submission of the final thesis.

(2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

(3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

(4) Based on the recommendation of the committee, Vice chancellor may take the appropriate decision and it will be intimated to the Research Advisory Board (RAB) and academic council.

(5) In case of any grievances, Vice chancellor, HZU may constitute a committee of senior faculty members under the leadership of Dean Research to look after the

  
22/12/2022 6.

issue.

## 5. PROCEDURE FOR ADMISSION. –

The admission to the Ph.D. programme of HZU shall be made using the following methods:

- The candidates seek for admission can apply only through the application, which will be accepted only thorough online on [www.hzu.edu.in](http://www.hzu.edu.in).
- The candidates are expected to upload all necessary documents online while filling the form.
- The candidates has to submit a fee of Rs.6000/-, (Application form of Rs.1000/- & Rs. 5000/- for the Registration Fee, which is nonrefundable).
- After successfully clearing the entrance exam & interview student has to submit first semester fee within the due date or otherwise candidature will be revoked.
- The HZU Admission office is expecting to take care about all of the above-mentioned process of admission.

### Detail Admission Process:

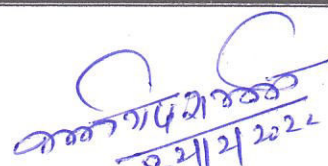
i. HZU admit the students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/GATE/CEED and similar National level tests based on an interview.

And/or

ii through an Entrance Test conducted. The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject specific.

iii. Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.

iv. A relaxation of 5 % marks will be allowed in the entrance examination 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.

  
22/11/2022



v. The University may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

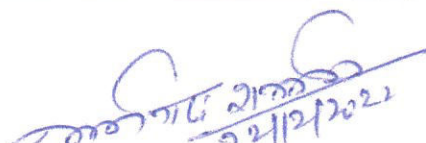
## **6. NOTIFICATION FOR PH.D. PROGRAMME**

6.1 The University shall lay-down and decide on annual basis, number of Ph.D. seats in each Dept/school based on the final recommendation of the concerned school Dean, depending on the number of available eligible supervisors and as per the cadre ratio norms prescribed by University Grant Commission (UGC).

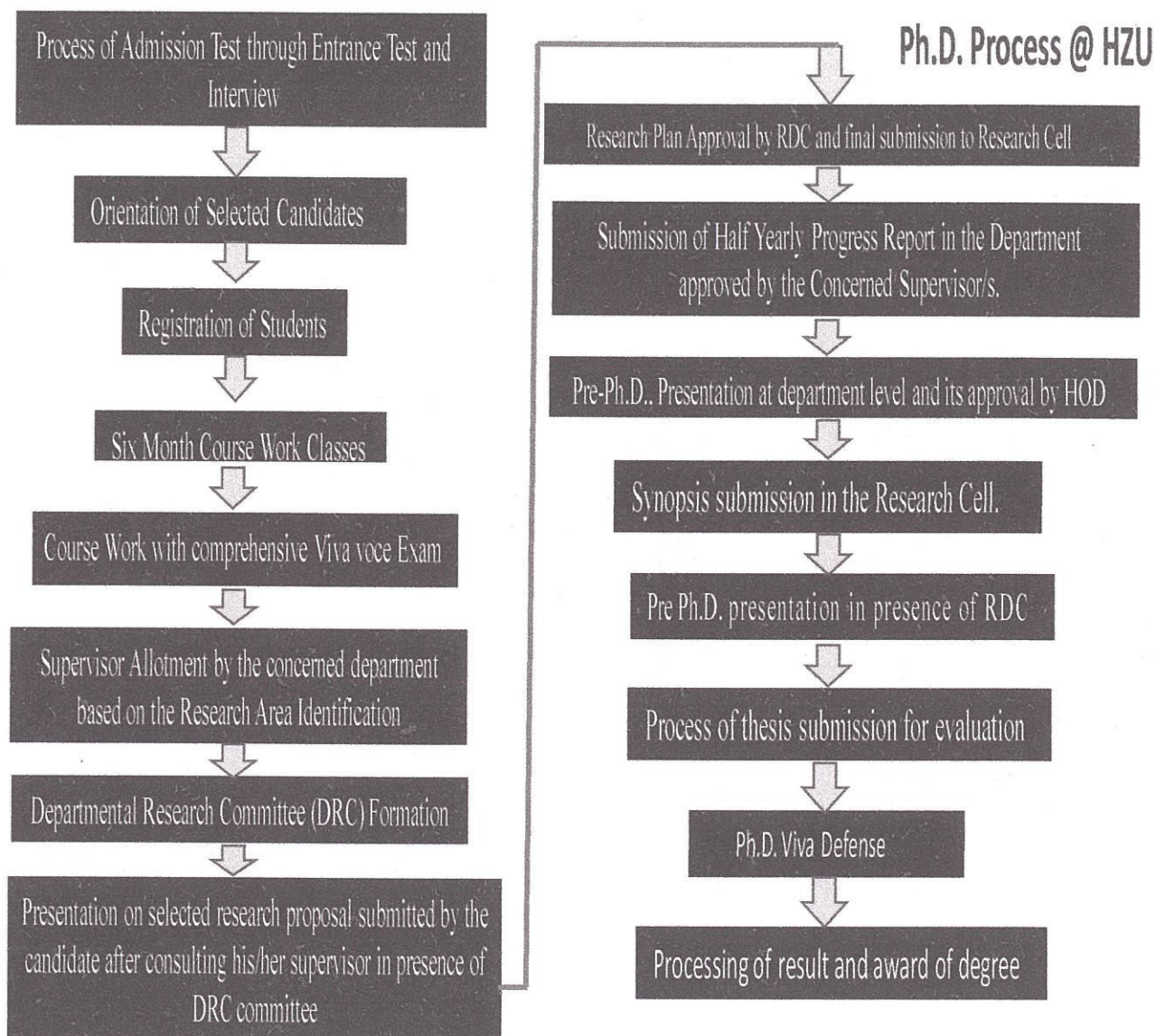
6.2 The number of seats as aforesaid shall be notified on a regular basis on the University website and/or advertised in widely read national/regional newspapers.

## **7. PROCEDURE FOR ADMISSION**

Research and Development Cell, Himgiri Zee University, Dehradun.

  
21/2/2021

**FLOW CHART: PH.D. PROGRAMME (ADMISSION TO AWARD) STEPS ACTIVITY  
RESPONSIBILITY/COMMITTEE REMARKS**



*[Signature]*  
22/12/2022



## Responsibility Chart

STEP-1	Process of Admission Test through Entrance Test and Interview	Office of Controller of Examination and Dean Research
STEP-2	Orientation of Selected Candidates	Research and Development Cell, HZU
STEP-3	Registration of Students through Documents collection and I SEM Fees Submission ( File Preparation)	Admission Cell, HZU
STEP-4	Starting of six month course work classes	Research and Development Cell, HZU
STEP-5	Course Work Exam	Office of Controller of Examination and Dean Research
STEP-6	Supervisor Allotment based on the Research Area Identification ( 03 proposal from candidate)	Dean/HODs of Respective School
STEP-7	Departmental Research Committee (DRC) Formation	Dean/HODs of Respective School
STEP-8	Presentation on selected research topic by the candidate In presence of DRC after consulting the assigned supervisor	DRC
STEP-9	Research Plan Approval	Research Degree Committee, External Expert, VC/ Nominee , Dean Research/ Nominee.

STEP-10	Submission of Half Yearly Progress Report approved by the Concerned Supervisor/s.	Research and Development Cell, HZU <i>Concerned School.</i>
STEP-11	Presentation at department level and its approval by HOD for conducting Pre-Ph.D. Viva	Head of the Department
STEP-12	Pre Ph.D. presentation in presence of RDC	RDC, External Expert, VC/ Nominee, Dean Research/ Nominee
STEP-13	Submission of synopsis of the thesis.	Research and Development Cell, HZU
STEP-14	Process of thesis submission for evaluation (Five copies of thesis synopsis with thesis with pilgrims certificate received from HZU library)	Research and Development Cell, HZU
STEP-15	Final Ph.D. Viva Defense	Dean Research/Member Secretary, RDC, Nominee, School Dean & HOD, External Expert, Supervisor
STEP-16	Processing of result and award of degree	Dean Research , COE

*[Signature]*  
22/12/2022

## **7.0 Details Description:**

**7.1** The admission in Ph.D. shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned.

**7.2** The admission in Ph.D. program of HZU shall be based on the Entrance Test (70 % weightage) followed by interview (30% weightage), conducted by the office of Controller of Examinations (COE) in coordination with office of Dean Research. An interview in the subject area of the applicant to be conducted by a committee constituted with the approval of Vice Chancellor, HZU.

**7.3** The entrance test will have two sections for a total of 70 marks

(i) Core subject (50 MCQs) (ii) Research aptitude (20 MCQs)

**7.4** Applicant with M.Phil. Degree or equivalent degree from any other institute/University recognized by UGC or qualified with fellowship/scholarship offered by the University/National and International Agency/NET/GATE score will be exempted from HZU Ph.D. Entrance test. However, such candidates will have to appear for the interview, which is mandatory.

**7.5** Foreign applicant who fulfil eligibility criteria will be admitted after an online test and interview.

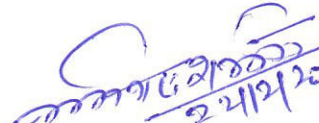
## **8.0 COURSE WORK**

The course work shall be treated as prerequisite for Ph.D. preparation.

**8.1** Each applicant (FT, FT-S, and PT) after having been admitted shall be required to undertake course work for a minimum prescribed period of one semester. The applicant will have to complete the course work in first two semester in any case of his/her academic session. If the scholar further fails to obtain the minimum passing marks, he/she shall not be allowed to continue the Ph.D. program. In this case, the applicant has to reappear for the HZU entrance examination again by filling the application form through admission cell of HZU.

**8.2** The credit assigned to Ph.D. course work shall be a minimum of 12 credits and a maximum of 16 credits.

**8.3** A minimum of four credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as quantitative methods, computer applications, training, fieldwork, etc. In addition to that, a mandatory course on

  
22/01/2022



research and publication ethics, teaching pedagogy and advanced level course related to the concerned subject will also be covered.

**8.4** The course work shall be conducted in integrated manner by the University, which will be taken care by the Research and Development Cell, centrally.

**8.6** It is expected from all schools to be updated for the details of the students registered for course work in their corresponding school/department.

**8.7** The candidates who have done M.Phil. from any UGC recognized University, admitted to M.Phil. Program through an entrance examination, and had undertaken the course work at M.Phil. level will be exempted from Ph.D. course work. Such candidate has to provide the course work passing grade card to the Research and Development Cell, HZU for record in the candidate files.

**8.8** For successful completion of the course work, a candidate must secure at least 50 % marks in total. The office of Controller of Examination, HZU will take care about the declaration of the result within 07 days of the commencement of course work exam.

**8.9** It is expected from the office of COE, Himgiri Zee University to ensure the issue of course work certificate (as per the approved grading system related to the Ph.D. course work) within next two weeks of the completion of the coursework exam.

## **9. COMPREHENSIVE VIVA-VOCE EXAMINATION:**

**8.1** Each candidate needs to qualify in a comprehensive viva-voce examination based on the broad field of his/her research interest. The comprehensive examination will be conducted by the office of Dean Research in collaboration with all schools.

**8.2** After conducting the comprehensive examination, the result will be declared with any one of the following recommendations:

(ii) Qualified

(ii) Not qualified

**8.3** A candidate will normally have only two attempts for qualifying in the comprehensive viva-voce. However, the Vice Chancellor, HZU on the recommendation of RDC may relax these norms.

**8.4** If the candidate fails to clear viva-voce in further next 02 attempts, provided on request with the approval of Vice Chancellor, the admission of the candidate from the Ph.D. program stands cancelled.

  
22/12/2022

## 9.0 ALLOTMENT OF SUPERVISOR AND FINAL REGISTRATION:

9.1 A research supervisor to a research scholar shall be finalized by the RDC after being admitted in the Ph.D. program.

9.2 The Research supervisor must be from amongst the regular faculty members belonging to any department of the University, holding a Ph.D. degree and having domain expertise in the broader area of research interest of the scholar. The preference will be given to the scholar to choose his/her supervisor from the University.

9.3 Any regular full-time faculty of the Himgiri Zee University with Ph.D. degree will be eligible as research supervisor.

9.4 Co-supervisor from any other recognized Institution may be appointed by RDC on the approval of the Vice chancellor, based on the requirement of the research work.

9.5 The below cadre ration, is mandatory to follow;

Assistant Professor	04
Associate Professor	06
Professor	08

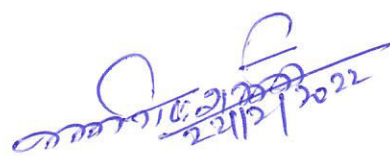
9.6 In case a supervisor resigned from his services from HZU and joined somewhere else, the University has to assign another internal supervisor to the concerned candidates. It is mandatory that the main supervisor must be from the HZU only. In addition to this based on the obligation of the research work and request of the research scholar, the earlier supervisor may be considered as the co-supervisor.

9.7 In any of the circumstances if the main supervisor left (resigned, superannuated, or expelled from the HZU services) and before that, the final synopsis and pre-Ph.D. viva of the research scholar has been conducted, the same person can be considered as the main supervisor-1 only with the approval of vice chancellor but here the one internal supervisor from the Himgiri Zee University is also mandatory.

## 2. RESEARCH PLAN SUBMISSION:

2.1 Qualified candidates shall submit a research plan in the prescribed format (Annexure 1) to the office of Dean-Research through the proposed research supervisor.

9.2 The candidate shall present the research plan before DRC and then RDC, which may approve it or recommend modifications.

 22/12/2022



**9.3** RDC on the basis of successful completion of pre-registration requirements will recommend the registration of the candidates in Ph.D. program.

## **10. REGISTRATION**

The date of approval of research plan shall be taken as the date of registration. The University shall maintain a list of all registered Ph. D students on its website. The list shall include the name of registered candidate, title of his/her research plan, name of his/her supervisor/co-supervisor, date of enrolment/registration.

## **10. REVIEW OF THE PROGRESS:**

**10.1** Each research scholar will submit a research progress report (signed by the supervisor) at the end semester in the prescribed format to their corresponding school for review and suggestions.

**10.2** In case three consecutive progress reports are found to be unsatisfactory, the research scholar may be de-registered from the Ph.D. programme.

## **11. TRANSFER OF CREDITS:**

**11.1** RDC may allow transfer/acceptance of credits for courses work done as an admitted candidate elsewhere and vice versa. However, in all cases, candidates shall present a research proposal to RDC and get it approved.

**11.2** The RDC may allow up to 1-year relaxation in the time required for submission of thesis based on the time spent in other institution.

## **12. PRE REQUISITE FOR THESIS SUBMISSION:**

**12.1** Research scholar can submit his/her Ph.D. thesis only after 24 months of respectively after the approval of the Research Plan.


**12.2** Publication/acceptance of two research papers out of which one must be in Scopus/SCI/Pub-Med/WoS/NAAS Rating indexed journals after the final registration.

**12.3** Candidate must present two research papers in National/International level conferences.

## **13. PRE PH.D. SUBMISSION PRESENTATION**

**13.1** On completion of the research work, the research scholar shall submit a copy of

Research and Development Cell, Himgiri Zee University, Dehradun.



synopsis' (**Annexure-II**) to the office of Dean Research to further arrange to conduct a pre-submission open presentation. It is expected from the department/school to arrange a departmental level pre-submission viva before requesting to the office of Dean for open Pre-Ph.D. viva presentation.

**13.2** Based on the open Pre-Ph.D. viva presentation in presence of external examiner one of the following recommendations may be given:

(i) Satisfactory for submission. (ii) Changes or further work required.

**13.3** In case of recommendation of some further work from the committee, the candidate shall give another presentation after inclusion of all of the points. If the candidate could not succeeded in the further three presentations, the RDC may recommend for cancellation of the registration.

#### **14. SUBMISSION OF FINAL THESIS WITH BOARD OF EXAMINERS**

**14.1** The research scholar will submit the thesis along with the documents (**Annexure-III**) as per the guidelines of the University.

**14.2** The concerned Ph.D. supervisor will submit a list of examiners drawn from reputed Institutions/Universities/Organizations (other than Himgiri Zee University) to the office of Dean Research.

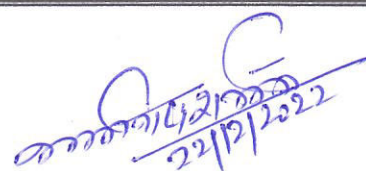
**14.3** The board will have minimum of five examiners in which minimum of two experts must be from out of the state.

**14.4** The Vice Chancellor may approve the names of two external examiners, out of which one may be within the state and other will be from outside of state.

**14.5** The office of the Dean Research will first forward the synopsis of the thesis (hardcopy/soft copy) to the selected examiners for their consent for evaluation. If the consent of the examiners is not received within one month, the synopsis of the thesis may be send to the next examiner as approved by the Vice Chancellor.

**14.6** On receipt of the consent, the thesis in hard copy would be sent to them for evaluation through the dispatch office, HZU.

#### **15. THESIS REPORT**

  
22/12/2022



**15.1** The examiners will be required to submit their evaluation report (either hard copy or soft copy) within maximum of 60 days from the date of dispatch of the thesis.

**15.2** The office of Dean Research will give a reminder once in 15 days in case of examiner does not respond within 60 days. In case the examiner does not, respond after two reminder the Dean Research Office may forward the thesis to an alternative examiner.

**15.3** The examiner will recommend either of the following:

(ii) The thesis may be accepted after the successful completion of viva-voce examination.

(iii) The thesis may be revised incorporating the comments of examiners and verified before Viva-voce.

(iv) The thesis may be revised incorporating the comments of examiners and be resubmitted.

(v) The thesis may not be accepted.

## **16. FINAL VIVA-VOCE OF PH.D.**

**16.1** If all two examiners recommend the award of degree, the viva-voce of the candidate has to be conducted from the office of Dean Research.

**16.2** If one of the examiner's report is unsatisfactory, thesis will be forwarded to the next examiner.

**16.3** If consecutive two examiner's reports are unsatisfactory, thesis will be rejected for the award of degree and registration will be cancelled.

## **17. VIVA-VOCE EXAMINATIONS**

**17.1** The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation reports of the examiner (s) on the thesis is/are satisfactory and include a specific recommendation (**Annexure-IV**) for conducting the viva-voce examination.

**17.2** The viva-voce examination will be conducted by a committee consisting of Ph.D. Research Coordinator, Dean Research, concerned Department HOD, and School Dean, in presence of the external thesis examiner nominated by the Vice Chancellor, and the supervisor as coordinator.

**17.3** If performance of the research scholar in the viva-voce examination is unsatisfactory, he/she will be asked to re-appear within a month and not later than six

  
22/11/2022

months.

**17.4** If unsatisfactory on the second attempt, the candidate will not be awarded degree and registration gets cancelled.

## **19. AWARD OF DEGREE**

**19.1** On successful completion of viva-voce examination, Dean Research with the approval of Vice Chancellor will issue a letter to the office of controller of examinations mentioning that the research scholar has completed all the requirements and shall receive the provisional Ph.D. degree.

**19.2** Further, the Research Degree Committee (RDC) will recommend the same to the Academic Council of the University for Final Approval and to award the Ph.D. degree in the University Convocation.

## **20. PLAGIARISM**

Maximum permissible similarity limit shall be 10 % as per UGC notification dated 23 July 2018. In case of any plagiarism reported against any research scholar at any stage, even after the award of degree, necessary action will be taken by the University, which could include cancellation of registration/withdrawal of degree awarded.

## **21. DEPOSITORY WITH INFLIBNET**

After the successful completion of the Ph.D. award process an electronic copy of the Ph.D. thesis has to be uploaded to the Shodhganga (INFLIBNET), through the Himgiri Zee University library to make it accessible to all Institutions/Colleges.

## **22. POWER TO RELAX**

**22.1** The chairperson (VC) of the Academic Council, in exceptional circumstances, on the recommendation of Research Degree Committee may relax any of the provisions of the said ordinances to remove any difficulty.


**22.2** In case of any dispute, the decision of the Vice Chancellor shall be final.

  
22/11/22



### 23. TIMELINE FOR ISSUING VARIOUS CERTIFICATES

S. No	Task	Responsibility	Timeline
1	Communication for Provisional Degree Certificate	Office of Dean Research	After one week of the completion of Ph.D. viva-voce.
2	Issue of Provisional Degree Certificate	COE Office	Within one week after receiving the communication from the Office of Dean
3	Issue of notification related to completion of Ph.D.	Registrar Office in Coordination with Office of Dean Research.	After three days of receiving Provisional Degree Certificate.
4	Issue of certificate of Ph.D. completion in accordance with UGC 2009; & 2016 regulations	Office of Dean Research	After one week of issue of notification related to completion of Ph.D.

  
22/2/2022

# Ph. D. RESEARCH PLAN

(TIMES NEW ROMAN, FONT SIZE 18)

Title of the topic

.....  
(TIMES NEW ROMAN, FONT SIZE 16)

Research Plan Submitted  
To  
Himgiri Zee University



For  
Ph.D. Degree  
In

Name of the Department

Name of the School

Signature of Candidate

Name:

System Id:

Address: Himgiri Zee University

Email:

Mobile:

[TIMES NEW ROMAN, FONT SIZE 16]

Signature of Supervisor:

Name:

Name of Department

Signature of Supervisor:

Name:

Name of Department

Forwarded by:

Head of Department

Dean of School

*[Handwritten signature]*  
24/11/2022



**1. Introduction and origin of research problem:**

< Use Times new Roman Font with 12 size>.

**1) Introduction:**

< Use Times new Roman Font with 12 size>.

**2) Status of Recent Research at National Level:**

< Use Times new Roman Font with 12 size>.

**3) Status of Recent Research at Global Level:**

< Use Times new Roman Font with 12 size>.

**4. Research Gap:**

< Use Times new Roman Font with 12 size>.

**5. Objectives:**

< Use Times new Roman Font with 12 size>.

**6. Data and Detailed Methodology:**

< Use Times new Roman Font with 12 size>.

**7. Expected outcome:**

< Use Times new Roman Font with 12 size>.

**REFERENCES (American Psychological Association i.e. APA Pattern)**

< Use Times new Roman Font with 12 size>.

A  
SYNOPSIS  
ON  
**TITLE OF THE WORK**

Times New Roman  
(TNR) – 16 font size – Bold



SUBMITTED  
TO

NAME OF THE SCHOOL  
**HIMGIRI ZEE UNIVERSITY**

**TNR – 12 font size -Bold**  
IN PARTIAL FULFILMENT OF THE REQUIREMENT FOR THE AWARD OF  
DEGREE OF  
**DOCTOR OF PHILOSOPHY (PH.D.)**

IN  
DEPARTMENT  
**TNR-12 font size-Bold)**

**SUPERVISED BY:**

SUPERVISOR NAME

CO-SUPERVISOR NAME

**SUBMITTED BY:**

STUDENT NAME

(ENROLLMENT NO.)

NAME OF THE DEPARTMENT  
**HIMGIRI ZEE UNIVERSITY, DEHRADUN,  
UTTRAKHAND**

*[Handwritten signature]*  
22/11/2022 21.



# **1. INTRODUCTION**

< Use Times new Roman Font with 12 size>.

# **2. REVIEW OF LITERATURE**

< Use Times new Roman Font with 12 size>.

# **3. OBJECTIVES**

< Use Times new Roman Font with 12 size>.

# **4. RESEARCH METHODOLOGY**

< Use Times new Roman Font with 12 size>.

# **5. RESULTS**

< Use Times new Roman Font with 12 size>.

# **6. CONCLUSIONS**

< Use Times new Roman Font with 12 size>.

# **7. IMPLICATIONS**

< Use Times new Roman Font with 12 size>.

# **8. LIMITATIONS & FUTURE RESEARCH**

# **9. PUBLICATIONS**

# **10. REFERENCES**

References will be in alphabetical order.

# **10. ANNEXURES**

**NOTE:** The page limit of the synopsis is allowed up to maximum 50-60, only.

## GUIDELINES FOR PREPARATION AND SUBMISSION OF Ph.D. THESIS

1. On completion of the research work, the candidate shall submit 05 copies of the synopsis including bibliography of research work in the office of Dean Research through supervisor, Head of the Department and concerned Dean of School for processing.
2. The candidate will submit 05 copies (3 copies - COE office, 1 copy - Library, 1 copy - Dean Research) of the thesis with a soft copy (CD form-PDF format) through supervisor, Head of the Department and concerned Dean of the School for processing as per ordinance in the office of Dean Research.
3. The thesis of the Ph.D. scholar must be authenticated by the librarian with maximum permissible similarity limit of 10%.

### Structure of the thesis

The contents of thesis should be arranged in the following order.

S. No.	Contents
1	First page - facing page
2	Inner cover page
3	Declaration by the candidate
4	Certificate by the supervisors, Head of the Department and Dean of School
5	Acknowledgments
6	Preface
7	List of Tables
8	List of Figures
9	Symbols and abbreviations
10	Contents
11	Chapters 1: General Introduction, Chapter 2...., Chapter 3..., Chapter N- Conclusions and Future strategy
12	Appendices (If any)
13	List of publications
14	References will be written at the end of the thesis
15	Formatting Specification

### NOTE:

1. Figures in the chapter should be numbered with the chapter number such as Fig. 4.2 means Fig.2 of chapter 4. In a similar way the caption for the table should be written on the top of the table.
2. Page numbering should start from chapter 1 e.g. Arabic numerals like 1, 2, 3 etc. at the bottom Centred. The initial pages starting from declaration till the Symbols and abbreviations must be in roman numbers i.e. i, ii, iii, iv.....
3. Thesis Printing Specification
  - (a) Binding Colour: Rust Red
  - (b) Text printing should be in gold colour in the front page of thesis.
  - (c) Volume: About 150-200 pages, with printing on both sides in Single column.



**TOPIC**  
**(ALL CAPITAL LETTERS-14 pt)**



**THESIS**

Submitted to the  
HIMGIRI ZEE UNIVERSITY

In partial fulfilment of the requirement for the  
degree of

**DOCTOR OF PHILOSOPHY**

*In*  
*Name of Department*

*Submitted by*

NAME OF CANDIDATE  
(All CAPITAL-TNR 14pt)  
(Enrollment No.....)

**Under the supervision of**

**Guide's Name**

NAME OF DEPARTMENT  
SCHOOL OF .....  
HIMGIRI ZEE UNIVERSITY,  
Month -Year

*[Handwritten signature]*  
22/11/2022  
24.



## DECLARATION

I hereby declare that this thesis submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which has been accepted for the award of any other degree or diploma of the university or other institute of higher learning, except where due acknowledgment has been made in the text.

**Place:**

**Signature of the candidate**

**Date**

**Name:**

**Reg. No**  
**Year of Registration**

*[Handwritten signature]*  
22/11/22 22.





## CERTIFICATE

This is to certify that the thesis entitled

“.....”

by Mr. /Ms..... (Registration No.....) to Himgiri Zee University, towards the fulfillment of requirements of the degree of Doctor of Philosophy is record of bonafide research work carried out by him/her in the Department of ....., School of ....., Himgiri Zee University. The results/findings contained in this thesis have not been submitted in part or full to any other University/Institute for award of any other Degree/Diploma.

Signature of Supervisor

Name:  
Designation:

Signature of Co-Supervisor (if any)

Name:  
Designation:

Signature of Head of Department

Name:

Signature of Dean of School

Name:

(School seal)

Place:  
Date:

*[Handwritten signature]*  
26

## ACKNOWLEDGMENTS

First and foremost, I thank my supervisor(s) Prof. /Dr..... for his guidance in my research work. ....

(Candidate may thank all those who have helped during the tenure of Ph.D. work and can express feelings and appreciations in a way as he/she likes preferably contained only in one page-one side.

(This is just a model)

Signature of the Research Scholar with name



## PREFACE

In the preface the research scholar is expected to write in brief the introduction, importance of the work, work carried out, results obtained and their interpretation and expected outcome in one and half pages.

## REFERENCES

### Example:

References will be in alphabetical order.

### **Reference list entry (Single Author)**

Bay, 2017. "Predicting Responses to Contemporary Environmental Change Using Evolutionary Response Architectures." *American Naturalist* 189, no. 5 (May): 463-73. <https://doi.org/10.1086/691233>.

### **In-text citation**

(Bay, 2017)

### **Reference list entry (Two Authors)**

Bay and Rachael A., 2017. "Predicting Responses to Contemporary Environmental Change Using Evolutionary Response Architectures." *American Naturalist* 189, no. 5 (May): 463-73. <https://doi.org/10.1086/691233>.

### **In-text citation**

(Bay and Rachael, 2017)

### **Reference list entry (More than Two Authors)**

Bay, Rachael A., Noah Rose, Rowan Barrett, Louis Bernatchez, Cameron K. Ghalambor, Jesse R. Lasky, Rachel B. Brem, Stephen R. Palumbi, and Peter Ralph. 2017. "Predicting Responses to Contemporary Environmental Change Using Evolutionary Response Architectures." *American Naturalist* 189, no. 5 (May): 463-73. <https://doi.org/10.1086/691233>.

### **In-text citation**

(Bay et al. 2017)

*Handwritten signature*  
29.



Details	Font Type	Font size	Spacing
<i>Facing page (cover and first page) - see sample page for details</i>	Times New Roman	14pt bold capitals	Centered (Adjustable spacing)
Headings before numbering	Times New Roman	14pt bold capitals	Centered
Text		12pt	Aligned
<i>Chapter headings with chapter number on top</i>	Times New Roman	14pt bold capitals	Centered
<i>Section headings</i>	Times New Roman	12pt bold capitals	Left adjusted
<i>Subsection headings</i>	Times New Roman	12pt bold sentence case	Left adjusted
<i>Paragraph headings</i>	Times New Roman	12pt bold sentence case	Left adjusted
<i>Body of thesis</i>	Times New Roman	12pt	Adjusted on both left and right and with 1.5 spacing for text and double spacing for equations
<i>Margins</i>	Left Margins	1.5 inch	To binding accommodate area
	Right Margins	1.25 inch	
	Top	2.0 inch	On pages on which chapter begins
		1.0 inch	Other pages
	Bottom	1.25 inch	

2007/12/22