



DAV UNIVERSITY

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I. ELIGIBILITY

A candidate seeking enrolment must satisfy the following academic criteria:

Masters degree in the concerned/allied subject with 55% marks at Masters Level or equivalent

Relaxation of 5% marks will be allowed to the candidates belonging to the SC/ST category.

II. COURSE WORK CONDITIONS

All research scholars are required to complete a course work for one semester at DAV University.

The course work will include the following four courses with minimum of 12 credits:

1. Research Methodology (Minimum 4 Credit Course): Compulsory for all candidates
2. Seminar/Workshop/ Thesis Review (Minimum 2 Credit Course)
3. Specialisation Course-I (specific to the area of research)
4. Specialisation Course-II (specific to the area of research)

Fee for course work will be Rs. 10,000/- per course.

University reserves the right to run course work full time/part time or in any feasible mode. However, the candidate/employer should be prepared for full time course work. Candidates shall abide by the rules and regulations framed from time to time with respect to the conditions of the course work by UGC/DAV University.

III. PROCEDURE FOR REGISTRATION

A. APPLICATION FOR ENROLMENT

- (i) A candidate wishing to enroll as Full-Time Scholar for the Ph.D. Degree shall fill the prescribed application form and submit the same along with a fee of Rs.1000/- to the Registrar, DAV University.
- (ii) Research student/ Candidate working as a regular employee in any Government Department or Research Development Organization or Public Sector Undertaking or Registered Industry/ Company and also the faculty of a reputed educational institution will be eligible for admission to Ph.D. Programme as a Part-Time Scholar provided he/ she has been in continuous service for the last 2 years in the same organization and can provide a No Objection Certificate (NOC) from the employer stating that (i) He / she is on the regular

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payroll of the organization, (ii) He/ she is permitted to pursue studies on a part-time basis, and (iii) His/ her official duties will permit sufficient time for research. The candidate should also submit a certificate stating that the research facilities exist in his organization (which can be self certified).

- (iii) Research student working full time (JRF/ SRF/ RA) in a Sponsored R&D project at DAV University can be admitted to Ph.D. programme six months after joining the project provided his/her Ph.D. topic is related to the project as certified by the Doctoral Advisory Committee (DAC). To be accepted as a Ph.D. student, such a student will have to undergo the same admission procedure as applicable in general.

B. ENTRANCE TEST FOR ENROLMENT

- (i) All the candidates to Ph.D. programme (Full Time/Part Time) shall be admitted through an entrance test conducted twice a year in the months of November and April. The exact date/s of the examination will be notified through DAVU's website. No separate advertisement will be given for the Test Date.
- (ii) Separate question papers will be set for candidates of different disciplines of Engineering/Commerce and Business Management/Sciences/Social Sciences.
- (iii) The question paper will be of MCQ type and of two hours duration. The candidates who secure 40% marks (minimum) will be called for interview.
- (iv) Course contents for the test will be based on the fundamental and subjective aspects of the concerned discipline.
- (v) M.Phil [obtained through regular course work and not through distance education mode], UGC/CSIR/other Govt. agencies qualified /JRF/SLET/GATE/Teaching fellowships will be exempted from entrance test. However decision of the University for allowing exemption from the entrance test in such cases will be final for all intents and purposes

C. SELECTION CRITERIA FOR ENROLMENT

- (i) The inter-se merit of candidates appeared in test will be made on the basis of merit calculated as per the following criteria:

Criterion	Weight
Marks in Masters/M. Phil programme	30%
Marks in Entrance Test	40%
Interview	30%

- (ii) At the time of interview candidates are expected to discuss their research interest / area with interview board. Only the predetermined number of students, based upon the available



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recognized research supervisors (with concerned specialization/research interest) will be selected for admission to Ph.D. and the list of successful candidates shall be released.

- (iii) Preference will be given for admission to candidates having JRF/any other fellowship from UGC/CSIR/other Govt. agencies.
- (iv) Migration in Ph.D programme from other Universities shall be allowed in selected cases subject to the recommendation of migration committee and approval of the competent authority of DAV University. Migration cases shall be considered only against vacant slots in the field of specialization subject to the consent of the concerned supervisor.

D. APPOINTMENT OF SUPERVISOR

- (i) The successful candidates are required to contact the available recognized research supervisors (with concerned specialization/research interest) from within the DAV University.
- (ii) Subsequently, the allocation of supervisor shall be approved by the university, based upon the written request (on prescribed format) of the candidate endorsed by the supervisor.
- (iii) If necessary, Co-supervisor may be appointed from within the same Department or of a different Department of the University or outside the University. However, a written justification for having a Co-supervisor should accompany the application duly recommended by the supervisor.
- (iv) Only such expert may be proposed as Supervisor or Co-supervisor, who is holding a Ph.D. or equivalent degree or research work equivalent to Ph.D. as per the University equivalence rules and not below the rank of Assistant Professor.
- (v) The maximum number of candidates, those can be registered for enrolment to Ph.D. Degree under a Supervisor/Co-supervisor is as follows:

Assistant Professor : 4

Associate Professor/Professor : 8

The upper limit of number of candidates includes all full-time and part-time research scholars, put together under a Supervisor or Co-supervisor. A certificate in this regard shall be given by the Supervisor/Co-supervisor (on prescribed format). While calculating the number of candidates, in case of combined supervision, the load should be equally divided among the supervisors, e.g. in case of two supervisors allotted to a candidate, the load of each supervisor shall be 0.5.

- (vi) The discipline wise number of seats available for admission during a particular year will be announced in the advertisement for that year.
- (vii) Provided further that no relative of the candidate such as wife, husband, son, daughter, sister, brother, wife's or husband's brother and sister, brother's son and daughter, sister's son and daughter, first cousin, nephew, grand-son, grand-daughter, or such other person as may

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be deemed a close relation by the Vice-Chancellor, shall be appointed as Supervisor/CoSupervisor. A certificate to this effect will be given by the Supervisor/Co-supervisor along with the application for enrolment.

E. REQUEST FOR CHANGE OF THE SUPERVISOR

- (i) Such requests can be entertained only:
 - a) In case the Supervisor has left the service of the University. However, Ph.D. scholars, who are already registered prior to leaving of service by the supervisor, may be allowed to continue provided an administrative supervisor is also appointed to facilitate the work of the candidate.
 - b) In case of extreme hardship, where it becomes almost impossible for a candidate to work with the existing Supervisor. In that case the matter may be placed before the committee constituted by Dean Research / Dean Academics; subject to final approval of the Vice Chancellor.
- (ii) The change of Supervisor shall only be allowed during the first two years after registration. No change will be allowed after that period.
- (iii) If the supervisor proceeds on long leave for three or more than three years, he/she may not be allowed to act as Supervisor. However, Ph.D. scholars, who are already registered prior to proceeding on long leave, may be allowed to continue provided an administrative supervisor is also appointed to facilitate the work of the candidate.

IV. GUIDELINES FOR CANDIDATES SELECTED FOR ADMISSION

- (ii) Candidate shall fill the prescribed application form for provisional registration and submit the same along with a fee of Rs. 10,000/- and Form Fee as applicable, to the University through the Head of Department for Provisional Registration.
- (iii) The candidate shall also submit one-page (maximum) report on the research area, in which he/she intends to work for his/her Ph.D. degree. Based upon this report, the candidate shall be advised to take up course work. Candidate shall complete the prescribed course work at DAV University for a minimum period of one semester as per the scheme of examination of Ph.D. programme.
- (iv) Specialisation courses shall be recommended by the committee of Supervisor, Coordinator/Head of Department and Dean Academics. The courses should be of post graduation level as per the DAVU nomenclature. The course work should be completed by the candidate within coming two consecutive semesters, after provisional registration and the candidate must obtain minimum 65% in the allotted course work.

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- (v) Provisions of examination policy of the DAV University will also be applicable to Ph.D. candidates, unless otherwise provided for in Ph.D. Rules and Procedures or by separate notification by the competent authority.
- (vi) All those who are admitted for Ph.D. shall have to pay a fee of Rs. 20,000/- per semester, till the award of the degree. Late fee will be charged as per university norms.
- (vii) On successful completion of course work, the candidate will submit the synopsis of the proposed work, within a period of eighteen months of his/her provisional registration, through the supervisor, to the university. If he/she does not submit the synopsis within this period, his/her provisional registration shall stand cancelled. However, the candidate with prior permission of Dean Research/Dean Academics may apply afresh along with a registration fee of Rs. 10,000/- again within twenty four months from the date of first provisional registration to the university, through the supervisor. No further extension shall be given and the provisional registration shall deem to be cancelled.
- (viii) The candidate will submit 8 copies of the synopsis (maximum 30 pages) giving outline of the purpose/objective of the research, brief review of literature, general approach and/or research methodology to be used, tentative plan of work/chapter scheme, bibliography / references etc.
- (ix) A Doctoral Advisory Committee (DAC) consisting of the following will evaluate the presentation of annual progress report of the candidate and give constructive suggestions for the improvement in the research work and to complete other formalities related to the research work of the candidate till the completion of the project:
1. Dean Research or Nominee (Convener)
 2. Supervisor/supervisors
 3. One Subject Expert (Internal)
 4. One Related Subject Expert (Internal)
- (x) A Research Degree Committee (RDC) consisting of the following will evaluate the synopsis of the candidate for registration for Ph.D. :
1. Dean Research or Nominee (Chairman)
 2. Head of the Department / Coordinator of the Department
 3. Supervisor/supervisors
 4. One External Expert
- (List of minimum six external experts, with complete address, contact numbers and e-mail IDs, to be submitted by the Supervisor to Dean Research through the Head of the Department, out of which, the Vice Chancellor shall appoint one examiner.)
- (xi) Copies of the synopsis for registration for Ph.D. Degree will be provided to the Research Degree Committee (RDC) members at least one month in advance to the date of RDC



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meeting or date of presentation of seminar. It is understood that all the deficiencies/improvements to be made in the synopsis will be settled in the meetings of RDC. The quorum for holding the synopsis evaluation will be three members (Supervisor and any two members from the remaining three).

- (xii) In the seminar/ presentation, the candidate shall be required to present a seminar pertaining to Registration on the topic of his/her study in the presence of RDC, to which other members of the university may also be invited.
- (xiii) The RDC, while recommending registration of the candidate for consideration shall send a detailed note about the suitability of the research topic as well as the methodology proposed by the candidate. The note shall include the names of the members of RDC present at the meeting, the discussions held and its final outcome.
- (xiv) If the RDC approves the synopsis and registration to the Ph.D., his/her provisional registration will be considered as confirmed and a Letter of Registration will be issued by the university to the candidate.
- (xv) In case the RDC does not approve the topic or suggests some modifications in the title, field of work, research methodology etc., the case will be referred to Dean Research along with reasons and justifications. In such case the candidate may avail one more opportunity with prior permission of Dean Research to resubmit the synopsis (with registration fee), after duly incorporation of suggestions made by the RDC, within six months. In case synopsis is rejected second time, the candidate will have the option to apply for a fresh registration on new topic.

V. TOPIC MODIFICATION

- (i) A candidate may, within one year of his/her registration, modify the scheme of his/her research work with the approval of the RDC, provided that such modifications do not involve any major change in the original scheme and scope of the subject.
- (ii) The candidate may apply for the same by depositing a fee of Rs. 10,000/- and a written justification for the modification, through his/her supervisor.

VI. GENERAL REQUIREMENTS DURING THE PERIOD OF REGISTRATION

- (i) A candidate will have to submit annual progress report to the Office of the Dean Research through the supervisor latest by 31st March of every year.
- (ii) The report will include all the progress aspects, such as surveys, tours, publications, research work etc. The supervisor of the candidate shall endorse the progress of the candidate.



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- (iii) If a candidate is registered between 1st December and 31st March of a year he/she need not submit annual report by or before 31st March of that year. However, all the other candidates shall be required to submit their annual progress report by 31st March every year.
- (iv) Late fee with regard to submission of Annual Progress Report shall be Rs. 2,500/-.
- (v) Each candidate will be required to make a presentation of the annual progress before the Doctoral Advisory Committee (DAC).
- (vi) In case of non-receipt of a progress report/s or irregular reports the matter shall be put before Research Degree committee (RDC) for cancellation of the registration.
- (vii) All the record related to Ph.D. candidates will be maintained by the Dean Research.

VII. PERIOD REQUIRED FOR SUBMISSION OF THESIS

- (i) The minimum period required for submission of thesis is two and half years and maximum period is five years and for this purpose, the period shall be counted from the date of Provisional Registration.
- (ii) However, after five years, a candidate may seek extension for sixth year by paying a fee of Rs 25,000/- and for the seventh year by paying a fee of Rs. 35,000/-. No further extension shall be allowed.
- (iii) Thesis submission/evaluation charges shall be Rs. 15,000/- to be paid at the time of thesis submission.
- (iv) Registration of candidates, who fail to submit their thesis within the stipulated period as mentioned above or who fail to apply for grant of extension, would automatically stand cancelled.

VIII. SUBMISSION OF THESIS

- (i) Pre-Submission: If a candidate wants to submit Ph.D. thesis, he/she should inform the office of Dean Research through a letter forwarded by his/her supervisor mentioning that he/she intends to submit his/her thesis. For that he/she will also submit five copies of extended abstract of the thesis for pre-submission evaluation.
- (ii) The candidate will give a pre-submission open house seminar before submission of thesis. Annual progress report needs not to be submitted, once the candidate successfully accomplished his/her pre-submission seminar, however, he/she shall produce rough draft of thesis at the time of presentation. The presentation shall be carried out by the Doctoral Advisory Committee (DAC). A report including the copy of the presentation and recommendation of the DAC will be sent to the Dean Research for further action.

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- (iii) Submission of Expert Panel for Thesis Evaluation: Immediately after the approval of DAC for the submission of thesis, supervisor would submit a panel of minimum eight examiners, accompanied by four copies of long abstract of the thesis and list of the major references. In the panel, at least half of the examiners will be from outside the region i.e., Punjab, Haryana, Himachal Pradesh, Jammu & Kashmir, Chandigarh and Delhi. The proposed panel should include the full particulars containing designation, area of specialization; Email ID, Complete Address, Contact number etc.

The supervisor should preferably recommend only those examiners, whose research work is referred by candidate in his/her research work under evaluation. The persons recommended for the evaluation of the thesis should invariably be Professor or of equivalent rank. The supervisor is required to obtain the prior consent for the evaluation of the thesis from the proposed experts.

- (iv) Thesis Submission: A candidate must submit the Ph.D. thesis within three months from the date of presentation of pre-submission seminar. In case of non-submission of thesis within the stipulated period, the candidate can seek extension of further three months from the Dean Research with a late fee of Rs. 10,000/- . No further extension will be permitted.
- (v) Thesis presented by the candidate must be a part of original research work characterized either by the discovery of new facts or by fresh interpretation of facts or theories or should consist of applied work, such as developing and fabricating special instruments or apparatus and should show the candidate's capacity for critical examination and judgment and for lucid presentation.
- (vi) The candidate will not be permitted to submit his/her thesis for the degree unless his/her supervisor is satisfied that the thesis presented is worthy of consideration for the award of the Ph.D. degree.
- (vii) The candidate may incorporate in his/her thesis, the contents of any work, which he/she may have published on the subject and shall inform the examiners, if he/she has done so; but he/she shall not submit his/her thesis on any work, for which a degree has already been conferred on him/her by this or any other University. The candidate may, however, incorporate in his Ph.D. thesis, any work from his/her M.Phil./M.Litt. Dissertation with due reference to the thesis and acknowledgement to the Supervisor, provided the work has been carried out at this University.
- (xv) Provided that in case the work was done through collaboration, a certificate duly signed by all collaborators and counter-signed by the supervisor concerned, to the effect that none of the collaborators has made or will make use of the joint work (published/unpublished) incorporated in this thesis for the award of any degree/diploma of any University/Institution, shall be furnished along with the thesis. Also, he/she has to submit No Objection Certificate (NOC) from the collaborating organization.



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- (xvi) At the time of submission of thesis, a candidate will produce evidence of having published two research papers (relating to the research topic on which he/she has been registered for Ph.D. Degree and the academic work included in the thesis) in refereed Journals, with at least one Journal indexed in SCI / SSCI / SCImago / Scopus / Thomson Reuters.
- (xvii) At the time of submission of thesis, the candidate will give a certificate on the prescribed form that there is no plagiarism in the submitted thesis.
- (xviii) Along with five copies of thesis, candidate is required to submit a soft copy (in MS word and PDF format) in the form of CD for keeping in the University Library/UGC-INFLIBNET.

IX. EVALUATION OF THESIS

- (i) The Vice-Chancellor will appoint two examiners from already submitted panel of examiners for Thesis Evaluation and at least one of them would be from outside the region i.e., Punjab, Haryana, Himachal Pradesh, Jammu & Kashmir, Chandigarh and Delhi.
- (ii) The examiner will be free to seek clarifications on any matter from candidate's supervisor or the co-supervisor through Dean Research. The Dean Research will ensure the secrecy of examiner's identity and the reports submitted by the examiners.
- (iii) The examiner will state in his/her report:
 - a) Whether he/she recommends the award of the degree to the candidate without any changes.
 - b) Whether thesis is acceptable, subject to the satisfactory answer to the queries raised by the examiner during the final viva-voce examination.
 - c) Whether he/she recommends re-submission of the thesis after revision. In case an examiner recommends revision of the thesis, he/she will also indicate the nature of changes.
 - d) Whether he/she recommends rejection of thesis.
- (iv) In the event of an examiner making recommendations for revision/modification of the thesis, the candidate shall be free to defend his/her point of view through the Dean Research. However, if the examiner is not satisfied with the candidate's defence, the candidate shall be required to carry out necessary revision/modification as finally suggested by the examiner, before his/her case is processed further. It may be added that one examiner can recommend revision of thesis only once. If a second revision is recommended by the same external examiner, it will be treated as rejection of thesis.
- (v) The candidate, who is required to resubmit the thesis, must do so within one year from the date of receipt of comments of the examiner to him/her by the University, irrespective of



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his/her submission of defence, unless extension is specially given by the Vice-Chancellor. A resubmitted thesis will be examined by the examiner, who has recommended re-submission unless he/she himself is unable to do so or declines to do so.

- (vi) In the event of one of the examiners recommending the award of the degree and the second examiner recommending rejection of the thesis; on the recommendation of the Vice-Chancellor, the thesis shall be referred to a third examiner to be appointed by the Vice-Chancellor from out of the original panel of examiners. The third examiner shall not be informed of the recommendations of the two examiners. The recommendations of those two examiners who submit similar recommendations shall be final. This procedure shall also be followed if the examiner, who has suggested modification, rejects the revised thesis.
- (vii) Each examiner shall be given three month's time for the evaluation of thesis. In case report from him/her is not received, he/she may be reminded through e-mail. After the period of three months, if no report is received, the next examiner may be appointed. The first examiner will be requested to send the thesis back to the University. If in due course, the report is received from the first examiner, the report will not be considered.

X. VIVA-VOCE EXAMINATION

- (i) The candidate is required to appear in an open house viva-voce examination, which shall be compulsory for all the candidates. This will normally be conducted at DAVU by one of the two external examiners, who have evaluated the thesis.
- (ii) The Dean Research/Nominee and the Supervisor of the candidate will be associated with the conduct of the viva-voce to be arranged by the university. There will be a presentation by the candidate before the following committee:
 - a) Dean Research or Nominee
 - b) Supervisor/supervisors of the candidate
 - c) One external examiner, who has evaluated the thesis.The quorum for holding the viva-voce examination will be three members.
- (iii) In case an external examiner communicates that he/she is unable to conduct a viva-voce, the Vice-Chancellor will appoint an examiner and a copy of the thesis will be sent to the 3rd Examiner.
- (iv) In case report(s) of the examiner(s) of the thesis are not favourable, the viva-voce examination of the candidate shall not be conducted.
- (v) The report about the performance of the candidate in the viva-voce examination shall be recorded by the external examiner(s) only.



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XI. AWARD OF DEGREE

- (i) If the two examiners of the thesis have recommended the award of the degree, and the vivavoce examiner is satisfied on the basis of performance of the candidate in the oral examination , he/she may recommend the award of the degree.
- (ii) The result of Ph.D. degree of a candidate be deemed to have been notified by Dean Academics and Controller of Examination shall publish the result.

XII. DEPOSITORY WITH UGC

Following the successful completion of the evaluation process and announcement of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to UGC within a period of 30 days, for hoisting the same in INFLIBNET, accessible to all

Institutions/Universities.

XIII. AMENDMENT OF RULES

These guidelines are subject to need based modification by the Competent Authority, depending upon the academic requirements of the University.