

RULES & REGULATIONS FOR DOCTORAL PROGRAMME (Ph.D.)

[Link for BOM Approval](#)

(Effective Academic Session 2018-19 onwards)

Reference 1: [As per University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and its Amendments, 2022].

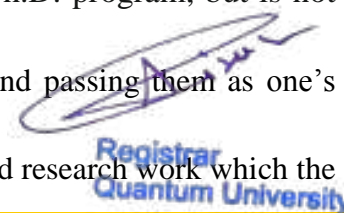
PREAMBLE

The objective of the doctoral program is to provide opportunities for quality research for aspiring researchers and academicians. The researcher is expected to become familiar with a range of research methods, and to develop a background in his chosen domain of subjects and their functional areas. The program is aimed at producing competent researchers who may be employed in academic, industry, nonprofit, or governmental organizations.

APPLICABILITY: This Ordinance shall apply to the program leading to the degree of Doctor of Philosophy (Ph.D.)

1. DEFINITIONS

- 1.1 “Act” means the University Grants Commission Act, 1956 (3 of 1956);
- 1.2 “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;
- 1.3 “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- 1.4 “Course” means one of the specified units which go to comprise a programme of study;
- 1.5 “Course Work” means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- 1.6 “Approved School” shall mean a school of higher learning established by the University.
- 1.7 “Degree” means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act;
- 1.8 “School/Institute” shall mean an academic institution maintained or admitted by the University to its privileges and includes a School/Institute/Centre/ Department.
- 1.9 “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale;
- 1.10 “Interdisciplinary Research” means research conducted by a Ph.D. scholar in two or more academic disciplines;
- 1.11 “Candidate/Applicant” shall mean a person who has applied to the Ph.D. program, but is not yet registered for the same.
- 1.12 “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own;
- 1.13 “Research Proposal” means a brief write-up giving an outline of the proposed research work which the



Registrar
Quantum University

1.14 **“URC”** shall mean a University Research Centre, which will be the nodal office controlling the Ph.D. program in the University. URC is headed by Dean Research, who is appointed by Vice Chancellor for a period of three years.

1.15 **“SRC”** shall mean a School Research Committee consisting of Dean/Director of the concerned School, Coordinator and Head of departments under the school, all Professors of the concerned School, two Associate Professors and one Assistant Professor/s having Ph.D. degree, by rotation in order of seniority (for two years), the proposed supervisor(s) or the approved supervisor(s) and Chairperson /Member Secretary / nominee of the URC. **SRC will work as Research Advisory Committee (RAC) as laid down in UGC Ph.D. regulation 2016; Reference 1.** The SRC shall also include one Professor, having Ph.D., from the other concerned department/ school in case of interdisciplinary topic of the research of the candidate. Quorums of the SRC will be deemed complete only when three members of the SRC are present of which one should be the Chairperson / Member Secretary / nominee of the URC.

1.16 **“Supervisor”** shall mean a member of the faculty of the University approved by the SRC to guide/supervise the research work of the research scholar.

1.17 **“Co- Supervisor”** shall mean a member of the faculty of this or another university/ college/ research institution, other than the Supervisor, as approved by the SRC to guide/supervise the research work of the research scholar.

1.18 **“Caretaker Supervisor”** shall mean a member of the faculty of the University appointed to act as the supervisor of the research scholar in the absence of the original Supervisor (if he has taken long leave / left the University) before and/or after submission of the thesis as determined by SRC.

1.19 **“Research Scholar”** shall mean a person registered for the Ph.D. program and devoting adequate time for completing the requirements of this degree.

1.20 **“Sponsored Research Scholar”** shall mean a research scholar sponsored by an employing organization.

1.21 **“Registration Period”** shall mean the length of the period commencing with the date of 1st enrollment in Ph.D. Program before course work and ending on the date of award of the Ph.D. degree counting out any gaps as per Clause 5 of the Ordinance.

1.22 **“COE”** shall mean the Controller of Examinations of the University.

1.23 “ODC” shall mean the Oral Defense Committee, and shall consist of the Director/Principal/Dean/Head of the concerned College, the supervisor(s), and at least one of the two external examiners.

1.24 “RDC” shall mean Research Degree Committee, and shall consist of the Vice-Chancellor, Director/Principal of the concerned college, Controller of Examinations, and two Professors of the University other than the

Supervisor(s) of the candidate to be nominated by the Vice-Chancellor. The Vice Chancellor shall be the

Chairman of the Committee.

1.25 “Degree” shall mean the degree of Doctor of Philosophy (Ph.D.) of the University.

1.26 “University” shall mean Quantum University, Roorkee.

1.27 “SOP” shall mean the Standard Operating Procedure governing the Ph.D. program of the University. (Annexure – K)

Note: In this Ordinance wherever ‘he’ and ‘his’ occurs, these shall mean to imply ‘he/she/other’ and ‘his/her’ respectively.

2. PROGRAMME

2.1 The University shall provide facilities for studies and research leading to the award of the degree of Doctor of Philosophy (Ph.D.). The program shall be conducted at and through the schools of the University, subject to these guidelines laid down by the Academic Council and control exercised by the University Research and Consultancy Centre (URC) and concerned School Research Committee (SRC).

3. PLACE OF WORK

3.1 A Research Scholar shall be required to pursue prescribed course work/research work at the school of the University under the guidance of the department/ approved supervisor(s).

3.2 The SRC may permit a research scholar to carry out research work outside the University at a Research Centre, approved by the University. Further, the SRC may also permit the research scholar to work at his place of employment provided adequate facilities for research, on the proposed topic are available at his workplace, to the entire satisfaction of the SRC.

3.3 University offers Ph.D. Program in Full time mode. Part-time Ph.D. may be allowed provided all the conditions As per Clause 13 of University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and its Amendments, 2022.

4. ADMISSION ELIGIBILITY

A candidate possessing any one of the following qualifications shall be eligible to apply for admission to a Ph.D. program of the University.

4.1 Candidates who have completed:

- i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

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.

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

4.2 However, as per the University Grants Commission Regulation of 2018, “The following proviso shall be added according to the University Grants Commission (Minimum Standards and Procedure for award of M.Phil/Ph.D Degrees) Regulations, 2016 “provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC(Non-Creamy layers)/Differently abled category in the entrance examination conducted by the Universities” is added in 4.2 (Browsed from Regulation 2018 & 2022 proposed reporting in Academic Council; Ninth Meeting on 6th October 2023).

Note: The eligibility marks of 55% (or an equivalent grade in a point scale wherever the grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

5. DURATION OF THE PROGRAMME

5.1 Ph.D. Programme shall be for a minimum duration of three years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

5.2 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.

5.3 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.

6. APPLYING FOR Ph.D. ADMISSION

6.1 University will notify the admission on website and two newspapers (One National is must). The

candidate shall apply for admission in the prescribed form available on the website of the University, www.Quantumuniversity.edu.in or the office of the University Research Cell (**Annexure–B**).

6.2 The specific number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates is available on Quantum University website i.e. www.Quantumuniversity.edu.in;

6.3 Applicants who are in employment of any organization either in India or abroad will be eligible for registration as a Research Scholar provided:

- a. They fulfill qualifications laid down in Clause 4 above;
- b. The applicant who is pursuing employment, must produce a No Objection Certificate (NOC) (**Annexure C**) from his employer;
- c. The applicant proves to the satisfaction of the SRC that his employment duties will permit him to devote sufficient time for research work and prescribed course work;
- d. The application for admission is endorsed by the Head of the applicant's employing organization.

7. PROCEDURE FOR ADMISSION IN PH.D. PROGRAM AND REGISTRATION AS A RESEARCH SCHOLAR

The University shall admit the candidates by the following process through:

7.1 Each candidate shall be required to take a Quantum University Research Aptitude Test (QURAT) on the date notified in admission notification.

(a) The syllabus of QURAT shall consist of two sections, Section A: Research aptitude

and Section B: Domain Specific. Qualifying marks in QURAT is 50%.

(b) Final provisional admission will be done by joint merit of QURAT Marks (70% Weightage) and interview (30% Weightage).

(c) The Entrance Examination (QURAT) will be conducted at the Centre(s) notified in advance (change of centre, if any, shall be notified well in advance).

(d) Candidates who have qualified UGC-NET/UGC-CSIR NET/SLET/GATE/Teacher fellowship holder or has passed M. Phil program are exempted from the QURAT. Their selection will be on the basis of interview and merit.

(e) An interview/viva-voce to be organized by the URC when the candidates are required to discuss their research interest/area through a presentation before a duly constituted School Research Committee (SRC).

(f) On the merit of selection process, the applicants will deposit the Pre-Ph.D. registration fee to enroll in Ph.D. Program. The applicant will attend the prescribed course work of the department in which he is enrolled. The applicant shall complete all the requirement of course work as laid down by university before his registration as research work.

(g) After successful completion of course work, the applicant needs to send three copies of statement of research purpose/ synopsis, within three months, to SRC mentioning the topic of his proposed research and objectives of the work that the candidate intends doing on the subject or topic.

7.2 The candidate shall be required to discuss his research plan before the School Research Committee, justifying his suitability to pursue research which will consider the following aspects, viz:

(a) The candidate possesses the competence for the proposed research;

(b) The research work can be suitably undertaken at the

School;

(c) The proposed area of research can contribute to new/ additional

knowledge.

7.3 . On the basis of the contents of the Research Plan and the presentation, the SRC shall either recommend the case, or, may ask the candidate to make a fresh presentation of the Research Plan. The SRC shall give its recommendations on the prescribed format. **(Annexure – D)**.

7.4 A candidate will ordinarily be allowed two attempts for presentation before the SRC. In case the Research Plan of a candidate is not approved, a third attempt may be allowed only with the approval of the Vice- Chancellor on the specific recommendation of the SRC, justifying the reasons for an extra attempt. Under no circumstances the duration of approval of research plan would exceed eighteen months from the date pre-Ph.D. course work registration.

(a) While recommending the Research Plan, the SRC will also recommend the supervisor(s) as per clause 10 of the thesis in line with the qualification defined herein.

(b) Once SRC approves the research plan, Candidate has to apply for Ph.D.

registration after completing all formalities (fees and other documentation) as per annexure E.

(c) On the completion of the formalities, a formal letter of registration of the candidate would be issued by the URC.

(d) A candidate shall be required to renew his registration every year in the manner prescribed by paying the fees as prescribed by the University from time to time.

7.5 Admission of International students in Ph.D. programme-

The admission procedure for the International students will be As per University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. / Ph.D. Degrees) Regulations, 2016 and its Amendments, 2022.

8. FELLOWSHIP AND TEACHING ASSISTANTSHIP

8.1 The Candidates enrolled for Ph.D. may be awarded scholarship/ fellowship by any funding agency and their payment of scholarship shall be released after their cases are recommended by the Departmental Research Advisory Committee.

8.2 JRF students registered for Ph.D. research work will be paid their fellowship as and when received from funding agency by the university.

8.3 Candidates availing the fellowships are bound to follow all the rules of the funding agency.

8.4 Selected Candidate may give chance for teaching assistantship on the basis of their merit and university selection process. They may give remuneration on the basis the university rule.

9. COURSEWORK

Credit requirements, number, duration, syllabus, minimum standards for completion, etc.-

9.1 The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

9.2 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

9.3 A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

(a) Research Methodology I: Problem Identification, formulation of Hypothesis and Computer Applications (3 Credits, 45 Hrs)

(b) Research Methodology II: Quantitative Methods, Measurement, Statistical Analysis and Report writing (3 Credits, 45 Hrs),

(c) Research Methodology III: Literature Survey (2 Credits, 30 Hrs)

(d) Research Methodology IV: Research and Publication Ethics (2 Credits, 30 Hrs), (*Proposed Amendment on 25 Jan 2020 after The Third Meeting Academic Council Meeting*)

(e) Advance Level course (up to two) may be recommended by SRC (Optional or suggested by SRC). Advance level courses (up to two) preparing the student in the field of research (3 credits each, 45 Hrs each).

9.4 During course work, the scholar need to attend all classes. A minimum 75% attendance is required to appear in End Semester Examination.

9.5 There will be one mid semester examination and one End semester examination. The weight age of mid semester examination will be 30% and End semester examination will be 70%. Passing marks in each course is 50%.

9.6 A Ph.D. scholar has to obtain a minimum of 55% overall of weighted marks in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

Aggregated Marks in Coursework = $\sum (\text{Credit}_i \times \% \text{ of marks in course } i) / \text{Total Credits registered}$

9.7 In case a scholar is able to clear all courses but the aggregate marks are below 55% then scholar may be allowed to reappear in next cycle examination in any two course as improvement on the recommendation of URC.

9.8 If scholar is failed to obtain any above criteria then he may be allowed to appear in next cycle of examination on the recommendation of URC.

9.9 The research scholar shall be required to carry out intensive research on the approved topic. At the end of the first semester, the scholar shall be required to submit a Term Paper/ Research Plan and present the same to the SRC. At this stage the scholar will have an option to review the topic of research and if recommended by the SRC, the same shall be considered final after seeking due approval. Further change in the topic would be allowed on the recommendation of SRC only in exceptional cases and with the approval of the Vice Chancellor.

10. ELIGIBILITY CRITERIA TO BE A RESEARCH SUPERVISOR/CO-SUPERVISOR

(Adopted from Reference 1)

10.1 Any regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

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

10.3 Only a full time regular teacher of the concerned University/Institution Deemed to be a University/College can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.

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

10.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

10.6 The allocation of Research Supervisor for a research scholar shall be decided by the SRC of the concerned School, depending upon the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholar as indicated by him/her at the time of presentation before the SRC.

10.7 The SRC shall consider the names of the Supervisor/Co-supervisor for approval.

10.8 A change of Supervisor/co-supervisor shall be permitted in case of the inability or non-availability of the Supervisor. The SRC shall seek approval from the Vice Chancellor for appointment of a Caretaker Supervisor/re-allotment of supervisor.

10.9 In case of relocation (outward and inward both cases) of a Ph.D. woman scholar due to

marriage or otherwise, the research data shall be allowed to be transferred (from inward to outward) to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor/ Co-supervisor and the Quantum University for the part of research already done.

11. PERFORMANCE MONITORING

11.1 School Research Committee (SRC) shall have the following responsibilities:

- (a) To review the research proposal and finalize the topic of research;
- (b) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he has to do;
- (c) To periodically review and assist in the progress of the research work of the research scholar.
- (d) To consider an Institution of Repute outside the University campus as “Research Center” for carrying out Research work by a candidate provided adequate facilities for carrying out Research work is available in that Institute, and recommend to Vice Chancellor for the approval of that Institute as Research Center.

11.2 The academic/research progress of each research scholar will be regularly monitored by the SRC. A research scholar shall appear before the SRC once in six months to make a presentation of the progress of his work for evaluation and further guidance. The six monthly progress reports will be sent by SRC to the URC.

11.3 The Semester Progress Review Meeting shall be held as specified in the Academic Calendar year. A student cannot skip a presentation without prior permission, subject to a maximum of two presentations in the complete duration. The SRC must record the progress of the research in the Semester Progress Review form and submit it to URC (**Annexure – F**).

11.4 The progress report and attendance certificate shall be verified by the URC periodically and the report of the URC shall be submitted to the COE in each Semester.

11.5 The SRC after having considered the progress report of each research scholar shall recommend any of the following:

- (a) Continuation of registration, or

- 11.6 A change of Supervisor/co-supervisor shall be permitted in case of the inability or non-availability of the Supervisor. The SRC shall seek approval from the Vice Chancellor for appointment of a Caretaker Supervisor/re-allotment of supervisor.
- 11.7 In case of relocation (outward and inward both cases) of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred (from inward to outward) to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor/ Co-supervisor and the Quantum University for the part of research already done.

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- (a) To review the research proposal and finalize the topic of research;
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- (c) To periodically review and assist in the progress of the research work of the research scholar.
- (d) To consider an Institution of Repute outside the University campus as “Research Center” for carrying out Research work by a candidate provided adequate facilities for carrying out Research work is available in that Institute, and recommend to Vice Chancellor for the approval of that Institute as Research Center.

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12.5 The SRC after having considered the progress report of each research scholar shall recommend any of the following:

- (a) Continuation of registration, or
- (b) Continuation of registration and issuance of a warning to the research scholar and making recommendation of steps necessary to improve his/her performance in consultation with the supervisor(s) or
- (c) Termination of registration.

12.6 If the research scholar is issued a warning letter, two times, the minimum registration period for allowing a candidate to submit the thesis shall be increased by one semester every time a warning has been issued.

12.7 A copy of the same would be sent to the scholar, supervisor and the URC for records in the scholar's file.

13. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/ CREDITS FOR THE AWARD OF THE DEGREE PRE-THESIS SUBMISSION PRESENTATION

13.1 Upon satisfactory completion of course work, and obtaining the credits prescribed in Clause 9, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within stipulated time as per this ordinance.

13.2 A pre-thesis submission presentation by the research scholars before the SRC is an essential requirement. On completion of the research work, the research scholar shall submit four copies of the summary of his research work, including bibliography, two copies of the draft thesis, copy of the research publications related to the thesis and one CD/Pendrive containing draft thesis to the SRC through his supervisor(s) and make a presentation at which faculty members and other research scholars/students may be present. SRC will invite all University Colleges/ Departments for the pre-thesis presentation. The pre-thesis submission may be done only after 30 months from the date of Ph.D. Enrollment (at the time of admission). The candidate may go in next phase of final submission of the thesis in prescribed format only after approval of SRC.

13.3 The research scholar shall be required to submit his final thesis within three months from the date of pre-thesis submission presentation by the research scholars. However, in case a candidate fails to submit his thesis within the stipulated time and has suitable justification for the same, the Vice chancellor on the recommendations of the SRC, may grant an extension of not more than three months with next installment of fee (if applied), i.e., the research scholar may be allowed to submit his thesis within a period not exceeding six months from the date of pre-thesis submission presentation.

13.4 The research scholar will be required to submit his declaration and a certificate from his supervisor(s) in the prescribed format countersigned by the Director/Principal/Head of the School vouching that the plagiarism (as per plagiarism policy of the University) is within the permitted limit and that the work embodied

in the thesis titled “_____” is original and has been carried out by the research scholar and that it has not been submitted in full or in part for any other diploma or degree of this or any other

University. A certificate indicating the similarity index generated by the certified Anti- Plagiarism tool used by the University has to be included in the thesis duly countersigned by the Principal/ Director/ Head of the School (**Annexure–J**).

13.5 If a candidate has made significant progress in his / her work, but has not completed his / her thesis even after availing all extensions, she / he will be allowed for re-registration with the same topic on payment of the prescribed fee and on the recommendation of the Research Supervisor besides fulfilling SRC requirements with adequate published / documented work. Re-registered candidates need not undergo course work again. Such candidates will be permitted to submit the thesis after 12 months and not later than 24 months from the date of re-registration. Re-registered candidates are not eligible for any extension. Even after re-registration, if the candidate is not able to submit his / her thesis within the prescribed time, his / her re-registration will be cancelled. He / She will not be admitted for Ph.D. in QUANTUM UNIVERSITY anymore.

14. APPOINTMENT OF EXAMINERS

14.1 A panel of five experts of Professor / Associate Professor level in the area of research work which may include experts from university would be suggested by the supervisor(s) and placed before the SRC for its recommendations. The SRC may delete/add any of the name(s) proposed by the supervisor(s).

14.2 A person from the same Institution where the research scholar is employed cannot be appointed as an external examiner. Further, a person from a laboratory/institution/approved research centre to which the Co-supervisor of the research scholar belongs, cannot be appointed as an external examiner.

14.3 On receipt of the draft thesis, the SRC shall send the panel of examiners to the Controller of Examination who shall get the Board of Examination approved from the Vice Chancellor. The Board shall consist of one internal examiner from amongst the supervisor(s), and two external examiners. However, out of the two external examiners selected, at least one shall be from outside the state of Uttarakhand. The examiners shall normally be chosen from the panel of examiners recommended by the SRC. In case one or more external examiners so appointed decline to examine the thesis, another external examiner shall be appointed out of the panel. In case the panel gets exhausted, the SRC shall recommend additional names.

15. THESIS SUBMISSION

15.1 The thesis shall be a piece of research work, characterized either by the discovery of new facts or enunciation of a new theory or theories or by fresh interpretation of known facts or

development of equipment making a distinct advancement in instrument technology. It should bear evidence of the research scholar's capacity for analysis and sound judgment as well as his ability to carry out an independent investigation, design or development. The thesis has to be supplemented by published work, mandatorily. No part of the thesis or supplementary published work shall have been submitted for the award of any other diploma or degree anywhere. The thesis must contain a Declaration by the research scholar, a Certificate signed by the supervisors and SRC chairperson and a Plagiarism Verification form (**Annexure H, I and J**).

15.2 The thesis shall be written in English, other than research work carried out in languages, in a specified format in accordance with the instructions contained in **Annexure – G** of this Ordinance, until otherwise required by the specific discipline. In case the thesis to be submitted is written in a language other than English, the same shall be approved by the Vice Chancellor on the recommendation of the SRC.

15.3 A research scholar may submit his thesis within the stipulated time period, provided he has:

- (a) Completed the minimum period of registration as provided in Clause of this Ordinance.
- (b) Published minimum of two research papers in UGC approved refereed journals preferably in databases such as Scopus, Web of Science, PubMed and Indian Citation Index or as notified by UGC from time to time. However, if the research paper(s) has been accepted for publication, the same shall be treated as under publication and the SRC can recommend the submission of the thesis. The candidate is also required to make two paper presentations in conferences/ seminars, of which one should be a conference/ seminar other than in the house, before the submission of thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/ or reprints.

15.4 Four hard copies of the thesis in soft binding along with two copies of CD/Pendrive shall be submitted in the College/Department, where the Research Scholar has been registered. The same shall be forwarded to the COE for evaluation. In case a research scholar is being supervised by more than one supervisor, appropriate number of additional copies must be prepared to provide them one copy each.

16. EVALUATION

16.1 Evaluation of Thesis

- (a) The thesis shall be sent for evaluation only after the plagiarism verification report is found to be within the acceptable norms of the University.
- (b) Each examiner will be requested to submit a detailed assessment report and his recommendations on a prescribed Form to the COE within three months from the date of

receiving the thesis.

(Annexure M)

(c) In case the assessment report is not received from an external examiner within four months, the Vice-Chancellor may appoint another external examiner from the panel of examiners for evaluating the thesis.

(d) Each examiner shall be required to state categorically whether in his individual opinion, the thesis should be:

i) Accepted for the award of Ph.D. degree, or

ii) Referred to the research scholar for submission in the revised form, or

iii) Rejected.

(e) The examiner shall state the reasons for recommending/ resubmission/ rejection of the thesis. If resubmission is recommended, the examiner(s) shall specifically indicate the modifications that need to be incorporated in the thesis by the research scholar.

(f) On receipt of reports from all the examiners the COE shall place them before the members of RDC who will peruse the reports and recommend one of the following:

i) If the external examiners are unanimous that the thesis be accepted for the award of the degree, the research scholar would be required to appear for oral defense

ii) If the external examiners are unanimous that the thesis be submitted in a revised form, then the research scholar would be informed to submit the revised thesis incorporating the suggestions/ views from the examiners.

iii) If the external examiners are unanimous that the thesis should be rejected, then the research scholar will be informed accordingly and the research scholar shall be declared ineligible for the award of Ph.D. degree.

iv) If either of the external examiners reject while the other accepts the thesis, then, an additional external expert shall be appointed as an examiner to evaluate the thesis. If the report of the latest examiner is also 'rejected', the thesis shall be rejected and the research scholar shall be declared ineligible for the award of Ph.D. degree.

(g) Should there be comments for modification by any external examiner the research scholar will undertake the necessary modifications and re-submit the thesis.

(h) In case of Clause 15.1 (d) (ii) above, the COE in consultation with Director/Principal/ Head of the School shall also provide to the research scholar a list of all corrections and modifications required in

the thesis, including suggestions made by the external examiners during the thesis evaluation. The research scholar shall incorporate all suggestions and changes and submit the same to the SRC for review and approval for re-consideration of the thesis by the RDC.

16.2 Oral Defence

(a) A research scholar, whose thesis is recommended for acceptance in accordance with the provision of Clause 15.1(d) (i) on the basis of thesis evaluation, shall be required to defend his work/thesis orally before a duly constituted committee, hereinafter referred to as Oral Defense Committee (ODC) at the University premises. Any deviation from this procedure should have prior permission of the Vice-Chancellor.

(b) ODC shall consist of the Director/Principal/Head/Dean of the concerned College, the supervisor(s), and at least one of the two external examiners, and shall be open to be attended by Members of the URC, SRC, all faculty members of the College/ Department, other research scholars and other interested experts/ researchers from the University. The external examiner invited for oral defence examination shall submit his report in the

prescribed Performa to the COE.

(c) On the completion of all the stages of the examination, the COE shall put before the RDC, thereport of the ODC to approve one of the following:

(d) That the degree of Ph.D. be awarded, or

(e) That the research scholar be re-examined at a later specified time in a specified

manner, or (f) That the degree of Ph.D. not be awarded.

(g) The research scholar shall incorporate all suggestions and changes as discussed in the ODC and submit the same to the SRC for review and approval for submission of the thesis after incorporating the suggestions/changes. The research scholar shall, thereafter, submit two hardbound copies and two CDs/Pendrive of the thesis incorporating all necessary corrections/modifications. The COE will ensure that the electronic copy of the Ph.D. thesis is submitted to INFLIBNET within seven days of receipt of the CDs from the research scholar. The RDC will meet not before fifteen days of submission of the electronic copy to INFLIBNET.

17. AWARD OF THE DEGREE

17.1 The Degree shall be awarded by the University provided that:

(a) The RDC so approves,

- (b) The research scholar produces a “No Dues Certificate” in the prescribed form (Annexure – L),
- (c) The research scholar has submitted two hard bound copies of the thesis; one for the College Library and one for the Central Library and two soft copies in CD ROM/Pendrive in the structure prescribed by Shodhganga, INFLIBNET. These should incorporate all necessary corrections/modifications and have the consent of the SRC.
- (d) The date of RDC approval shall be the date of completion of the degree.

17.2 Prior to the actual award of the degree, the University shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016 and its Amendments 2022.

17.3 Hard bound copies and CD ROM/Pen drive of the Ph.D. thesis, submitted after the oral defense examination, must contain the following copyright certificate in the beginning of the thesis, on a separate page on the left side:

**©Quantum University,
Roorkee – Uttarakhand
(India) All rights
reserved**

17.4 **Depository with INFLIBNET-** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

18. CANCELLATION OF REGISTRATION

The registration of a research scholar shall be cancelled after due approval of the Vice Chancellor in the case of the following:

- 18.1 If being a full time research scholar, he absents himself for a continuous period of six weeks without prior intimation/sanction of leave.
- 18.2 If he resigns from the Ph.D. program and the resignation is duly recommended by the SRC.
- 18.3 If he fails to renew the registration as per the provisions contained in this Ordinance.
- 18.4 If his academic progress is continuously found unsatisfactory by SRC.
- 18.5 If he is found to be involved in an act of misconduct and/or indiscipline and termination is recommended by the School Research Committee or any other authority so authorized by the Academic

Council.

19. GENERAL

Notwithstanding anything contained in this Ordinance, all categories of research scholars shall be governed by the rules and procedures framed by the University and enforced from time to time.

20. INTERPRETATION AND UNFORESEEN ISSUES

Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by this Ordinance, or in the event of a difference of interpretation, the Vice Chancellor may take a decision, after obtaining if necessary, the opinion/advice of a Committee consisting of any or all the Director/Principal/Head of the Colleges. The decision of the Vice Chancellor shall be final.

Ph.D. FLOW CHART PROCESS

Application

Research Aptitude Test

Research Plan Approval

Registration

Course Work

Semester wise Progress Review

Research Paper Publications

Pre-Submission Seminar

Thesis Submission

Thesis Evaluation

Oral Defence / Viva

Award of Ph.D. Degree

SCHEME OF EVALUATION

Course Work

Ph.D. PROGRAMME

(As approved by Third Meeting of Academic Council held on 25th Jan 2020)

S NO.	COURSE CODE	SUBJECT	CREDITS	Hrs
1	PD101	Research Methodology-I: Problem Identifications, Formulations Hypothesis and Computer Applications	3	45 Hrs
2	PD10 2	Research Methodology-II : Quantitative Methods, Measurement, Statistical Analysis and Report Writing	3	45 Hrs
3	PD171	Research Methodology-III : Literature Survey	2	30 Hrs
4	PD104	Research Methodology-IV: Research and Publication Ethics	2	30 Hrs
5	PD105*	Management Philosophy and Practices	3	45 Hrs
6	PD106**	Advance Level Course; (Optional and on the recommendation of SRC)	3	45Hrs

Research Methodology I to IV are compulsory courses for every Ph.D. Coursework student.

A Coursework student has to complete minimum 10 credit and maximum 16 credit courses to complete requirement of pre Ph.D. coursework.

**PD 105 is compulsory for students registered under Ph.D (Management).*

***PD106 is domain specific course recommended by SRC. The course, PD 106 is optional.*

(In compliance of Minimum Standards and Procedures for Award of M.Phil / Ph.D. Degree Regulations, 2022 and 2016 with subsequent directives)

Question Paper Structure for Mid and End Semester (PD101, 102, 104, 105, 106)

The question paper shall be divided into three parts viz. Section A, Section B, and Section C, as given below:

Section A

Shall consist of 8 very short answers type questions (not exceeding 50 words for each answer), out of which the candidate shall be required to answer any 5 questions, carrying 5 marks each.

Section B

Shall consist of 8 short answer type questions (not exceeding 100 words for each answer), out of which the candidate shall be required to answer any 5 questions, carrying 10 marks each.

Section C

Shall consist of 2 long answer type questions, out of which a candidate shall be required to answer any 1 question, carrying 25 marks.

Evaluation of Literature Review (PD171)

The research scholar shall submit a draft copy of the review of literature duly recommended by his supervisor(s) to the concerned school/department of the university. The student has to present review of literature two times in the semester (Mid and End Semester Evaluation).

The End Semester Evaluation will be done by Supervisor (Internal Examiner) and the expert appointed by Vice Chancellor. The presentation shall be done in front of SRC for the final approval. SRC shall submit their assessment/recommendations to the RDC/COE as to whether the review of literature be accepted/accepted with minor suggestions; referred to the scholar for submission in revised form; or cannot be accepted in the present form and to be resubmitted.

Rule for Coursework Evaluation

The rules for Coursework is mentioned in Ph.D. Rules and Regulation para 9 under coursework section. They are state below:

1. During course work, the scholar needs to attend all classes. A minimum 75% attendance is required to appear in End Semester Examination.
2. There will be one mid semester examination and one End semester examination. The weight age of mid semester examination will be 30% and End semester examination will be 70%. Passing marks in each course is 50%.

3. A Ph.D. scholar has to obtain a minimum of 55% overall of weighted marks in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

4. Aggregated Marks in Coursework = $\text{Sum}(\text{Credit}_i \times \% \text{ of marks in course } i) / \text{Total Credits registered}$

5. In case a scholar is able to clear all courses but the aggregate marks are below 55% then scholar may be allowed to reappear in next cycle examination in any two course as improvement on the recommendation of URC.

6. If scholar is failed to obtain any above criteria then he may be allowed to appear in next cycle of examination on the recommendation of URC.

SYLLABUS FOR COURSEWORK

Ph.D. PROGRAMME

Course Name: Research Methodology-I

Course Code: PD101

Objective: To familiarize the research scholar with the fundamentals of scientific research Course Contents:

1. Scientific Research: meaning and characteristics of scientific research, validity in research, phases/stages in research; types of research- qualitative, quantitative, experimental, exploratory, empirical, descriptive, ex-post facto, case studies, historical studies, philosophical studies, quasi experimental; ethical problems in research; constructs and variables- nature of construct and variables, concept of constructs, type of variables, continuous and categorical, constructs, observables and intervening variables; Review of literature- purpose of the review, sources of the review, preparation of index card for reviewing and abstracting

2. Problem Identification and Hypothesis Formation: problem- meaning and characteristics of a problem, types of problem, generality and specific of problem; hypothesis- meaning and characteristics of a good hypothesis, types of hypotheses, formulating a hypothesis, ways of stating a hypothesis; testing experimental hypothesis- standard error, test of significance, level of significance, degrees of freedom, errors in hypothesis- type I, type II errors

3. Sampling and Research Design: meaning and types of sampling; probability and non-probability sampling. methods of drawing samples, requisites of a good sampling method, sample size, sampling error; meaning and purpose of research design, types of research design, criteria of a good research design, basic principles of experimental design

4. Introduction to MS-Office: MS-WORD, MS-EXCEL, MATLAB, LATEX.

Suggested Readings:

1. Cooper & Schindler, Business Research Methods, Tata McGraw Hill.
2. Saunders, Research Methods for Business Students, Pearson Education.
3. Allen T Harrell, New Methods in Social Science Researchs, Praeger Publishers, New York
4. Beri, G.C., Statistics for Management, Tata MacGraw-Hill
5. Chandan J. S., Statistics for Business and Economics, Vikas Publications.
6. Broota, K.D., Experimental Designs in Behavioural Research, New Age International
7. Singh A. K., Test Measurement and Research Methods in Behaviours Sciences, Bharti Bhawan
8. Joyce Cox & Polly Urban, Microsoft Office, Galgotia Publishing
9. Sinha P.K., Computer Fundamentals, BPB Publishing.

Objective: To gain familiarity about various data collection tools and techniques, data analysis and interpretation along with the application of computer and statistical software in research.

Course Contents:

1. Measurement and Scaling Techniques: Measurement in research, measurement scales sources of errors in measurement, tests of second measurement, techniques of developing measurement tools, meaning of scaling, scale classification bases, important scaling techniques, and scale construction techniques.

2. Data Collection, Processing and Analysis: Methods of data collection – primary data, secondary data; primary data collection – observation method, interview method, questionnaires, schedules, guideline for constructing questionnaires/schedules, secondary data collection of, selection of appropriate method of data collection; coding, editing and tabulation of data, charts and diagrams used in data analysis, bar and pie diagrams and their significance; measures of central tendency, measures of dispersion.

Correlation and regression analysis - meaning and uses, methods of calculation of coefficients and their analysis and implication sampling distribution, sampling schemes and sample sizes, confidence interval for the mean, t- statistic, z-statistic, confidence interval for the population variances, hypothesis testing, test of hypothesis for the population mean, population variance and ratio of two population variances; applications of z-test, t-test, f-test and chi-square test, association of attributes and techniques of testing, ANOVA 3. Report Writing: Meaning and significance of report writing, types of report, steps in writing report, layout of the research report, precaution in writing research report, developing thesis report, formatting, inside citations, references and bibliography, knowledge of computer, statistical software and their application, application of statistical tests/techniques through the use of statistical software like SPSS, scientific packages like LISREL, AMOS, and SYSTAT for documentation and report generation.

Suggested Readings:

1. Cooper & Schindler, Business Research Methods, Tata McGraw Hill.
2. Malhotra Naresh K. , Marketing Research, Pearson Education
3. Power Analysis for experimental Research: A practical Guide for the Biological, Medical and Social Sciences by R. Barker Baushell, Yu-Fang Li Cambridge University Press
4. Chandan J. S., Statistics for Business and Economics, Vikas Publications.
5. Broota, K.D., Experimental Designs in Behavioural Research, New Age International
6. Singh A. K., Test Measurement and Research Methods in Behaviours Sciences, Bharti Bhawan
7. Joyce Cox & Polly Urban, Microsoft Office, Galgotia Publishing
8. Sinha P.K., Computer Fundamentals, BPB Publishing.
9. Latex: A Document Preparation System, 2/E pearson low price edition by Lamport
10. MATLAB: An Introduction with Applications by Gilat Wiley India Pvt Ltd
11. Getting started with MATLAB by Rudra Pratap Oxford University Press

Research Methodology III

Literature Survey

Course Code: PD171

Objective: The main objective of this course is to undertake a thorough review of available literature on the topic selected by the research scholar

Course Contents:

The research scholar will review the important studies conducted at the national and international level either by individuals or organizations including government agencies and present the methodology adopted and important findings emerged from these studies. Based on this review of literature the researcher will identify the research gaps existing in the available literature and thus justifying the need for the present study.

The researcher is supposed to follow the pattern adopted in the standard national and international research journals. However, as an illustration the pattern for reporting review of literature is as under:

Illustrated Examples

Tiwari and Sinha (1971) gave productivity trends and factor compensation in Indian textiles industry for the period 1946-65 comprising of two sub-periods (1946- 1955 and 1956-1965). The marginal productivity of capital on an average for the industry as a whole is found to be lower in the sub- period (1946-55) and higher during (1956- 65). On the contrary, the estimates of the marginal productivity of labour again on average exhibit an actual decline from 2.9 percent to 2.5 percent.

Menon (1971) in his review article examines the concepts associated with measurement of productivity at various dimensions of output and input, which are the major elements involved in the exercise of measuring productivity.

Kumar, Anil and Khurana (2007) in their paper have examined trends in productivity of labour and capital in dairy industry in India during pre and post-reform periods. The results in the study conclude that labour productivity at national level has shown considerable improvement during post-reform period. But variations have been observed in case of growth rate of labour productivity at state-level. On the other hand, capital productivity has declined during post-reform period at national and state levels.

Kumar and Bala (2007) in their study on “An evaluation of the impact of economic reforms on the growth and productivity of Indian small scale sector” has concluded that economic reforms process initiated in the early nineties has had a downbeat impact on the growth and productivity of small scale sector.

Introduction to Research, Ethics and Academic Honesty, Ethics in Writing, Academic Integrity: Research, Misconduct/Fabrication /Unethical Practices, Academic/Research: Falsification, Manipulation or Tempering of Data, Literature Review and Proper Use of E-Resources, Using Design thinking Methods to Avoid Plagiarism, Writing Quality Academic Publications: Challenges to avoid plagiarism, Scientific Reading, Cite and Write, Style Manuals and Bibliographies. Ex. APA, MLA, Chicago, IEEE,

Introduction to Reference Management Tools (RMT), Features and Functionalities of Anti-Plagiarism Software, Detection of Plagiarism by using Different Online Tools, Agencies and Organization dealing with plagiarism issues (eg. Retract/Deluze), Plagiarism Policies, Penalties and Consequences.

Introduction of Publication Ethics and its violations, Concept of Authorship, Concepts of Competing interests, Simultaneous submission, Types of Research fraud, Concept of Salami slicing, Concepts of conflict of interests

Suggested Reading:

1. Elsevier | Ethics in Research & Publication

Course Code: PD105

Objective: To acclimatize the research scholar about the philosophy and fundamental principles of management.

Course Contents:

Introduction: meaning and nature of management, evolution of management thoughts, contribution of experts and eminent management thinkers like - Kautilya, Robert Owen, Charles Babbage, F.W. Taylor, Henry Fayol, Urwick, Max Weber, Mary Parker Follett, George Elton Mayo and Chester Irving Barnard, Principles of management enshrined in Bhagwad Gita.

Management Functions: basic understanding of nature, scope, significance, objectives, processes and theories of major management functions such as planning, organizing, leading and controlling.

Modern Management Approaches: Maslow, Herzberg, Blake & Mouton and Hersey Blanchard approaches, decision making with special reference to Herbert Simon, management by objectives (MBO), management science approach, systems approach, contingency approach, quality and excellence movements, corporate social responsibility, ethics at work.

Suggested Readings:

1. Stoner, Freeman, Gilbert Jr., Management, Pearson Education, New Delhi
2. Wren, Daniel A, Evolution of Management, McGraw Hill Publication, New York
3. Singh, R N, Management Thought and Thinkers, Sultan Chand & Sons, New Delhi

*Latest editions of all the suggested books are recommended.

CHECK LIST OF DOCUMENTS TO BE ENCLOSED WITH APPLICATION FORM

1. Self-attested copies of the following:

- a. Matriculation marksheet
- b. Matriculation certificate
- c. 10+2 marksheet
- d. 10+2 certificate
- e. Graduation degree marksheet
- f. Graduation degree certificate
- g. Post-graduation degree marksheet
- h. Post-graduation degree certificate
- i. M.Phil. degree marksheet
- j. M.Phil. degree certificate
- k. UGC-NET/SLET qualifying certificate
- l. Any other educational qualification certificate
- m. All experience certificates
- n. SC/ST/PH certificate, if applicable.

2. Latest CV of the applicant with photograph pasted on it.

3. No Objection Certificate from Head of the department/institution, if applicant is employed.

4. Brief proposal of research work.

5. Any other relevant information/publication.

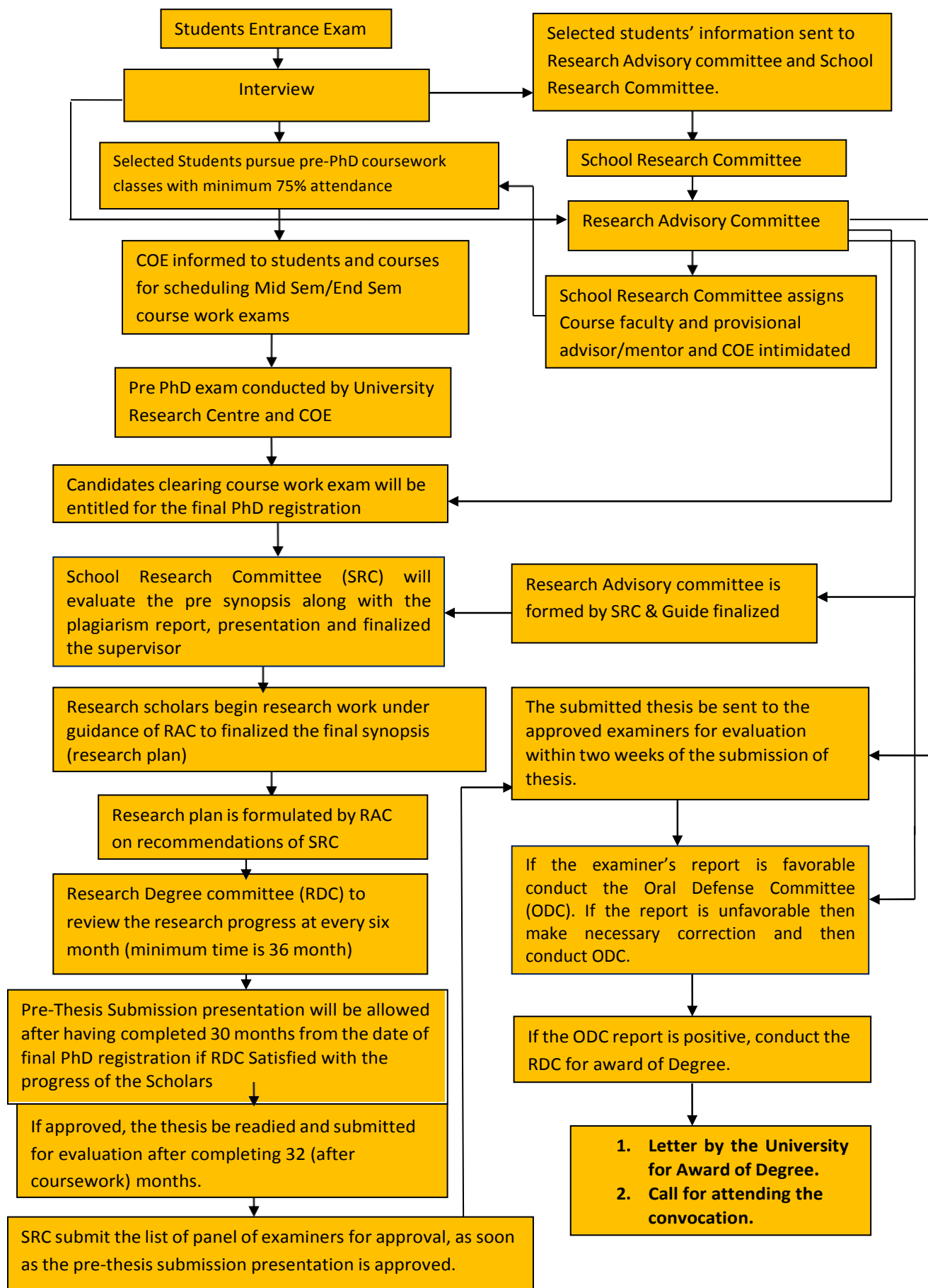
6. A passport size colour photograph with your name, father's name, and Ph.D. subject written on its backside.

7. A Demand Draft of Rs.1,000/- drawn in favour of Quantum University, and payable at Dehradun or online transaction receipt.

NOTE:

1. Please attach only self-attested photocopies of mark sheets, degree certificates, or any other document.

2. DO NOT ENCLOSE THE ORIGINALS WITH THE APPLICATION. THE ORIGINAL DOCUMENTS SHALL BE REQUIRED TO BE PRODUCED AT THE TIME OF REGISTRATION.



APPLICATION FORM FOR
QUANTUM UNIVERSITY RESEARCH APTITUDE TEST (QRAT)
FOR ADMISSION TO Ph.D. PROGRAM

Please complete the form in BLOCK (CAPITAL) letters only

Form No.

Aadhar Card No. _____

Area of research applied for: _____

Paste
passport size
colored photograph
here

APPLICANT

Surname	First Name	Middle Name
Date of Birth	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Month <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> NRI <input type="checkbox"/> Others (Specify)	
Category	<input type="checkbox"/> General <input type="checkbox"/> SC <input type="checkbox"/> ST <input type="checkbox"/> OBC	
	<input type="checkbox"/> Kashmiri Migrant <input type="checkbox"/> Disabled <input type="checkbox"/> Others (Specify)	

FAMILY INFORMATION

Father's Name		
Mother's Name		
Home Address		
City	PIN	State

CONTACT DETAILS

Phone	Mobile	E-mail
-------	--------	--------

LANGUAGE

Mother Tongue	Medium of instruction (a) in School	(b) in College
Fluency in (Language) [Put grading in the blocks (1-Good, 2-Fair, 3-Poor)]	<input type="checkbox"/> English <input type="checkbox"/> Hindi <input type="checkbox"/> Others (Specify)	

Details of the Academic Qualification, Experience, if applicable on the basis of which admission is being sought

a) Academic Qualifications (Attach Documentary Evidence/s)							
Sr. No.	Examination Passed	College/University Attended	Year of Passing	Division	Percentage of Marks Secured/CGPA	Major Subject / Specialization	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1							
2							
3							
4							

5

b) Details of the Experience (Attach Documentary Evidence/s)

i) _____

ii) _____

iii) _____

WRITE ABOUT YOURSELF IN 50 WORDS

UNDERTAKING

I hereby undertake that the entries filled by me in the form are true to the best of my knowledge and belief. I have secured 50% or more marks in the Qualifying Examination for Registration. I am aware of the fact that in case of any wrong declaration, my registration/admission will stand cancelled & fee will be forfeited and I will have no objection to the same, besides rendering me liable to such action as the school/university may deem proper.

Date:

Place:

Student's Signature

This registration form must be accompanied by a DD of Rs 1000/- (non-refundable) as registration fee, drawn in favour of "Quantum University" payable at Dehra Dun. The Registration Form, duly completed, along with the DD should be submitted personally either at the college or can be posted to the Head Office at Dehra Dun.

You can also register online by visiting our website at www.quantumuniversity.edu.in and pay the registration fee online.

Please complete the form and return to:

Head Office/Correspondence:
The ADMISSIONS OFFICER, Quantum University
14, Gandhi Road, (4th Floor) Dehra Dun - 248 001 (Uttarakhand) INDIA
Ph: 7308080803, 0135 2657979 E-mail: admissions@quantumuniversity.edu.in

Campus:
The ADMISSIONS OFFICER, Quantum University
22km Mile Stone, Mandawar, Roorkee- D.Dun Highway (NH-73),
Roorkee - 247 167, Uttarakhand) INDIA
Ph : 0132 2781728 Web : www.quantumuniversity.edu.in

(On the institute letter head)

NO OBJECTION CERTIFICATE

(From head of the institute)

Dear _____ Sir/Madam

We have no objection if Ms/Mr an employee in our organization is admitted to the
Ph.D.

program in at your Department...../School..... as a full time/part time
student.

We shall grant him leave of absence to attend course work/ research works at Quantum University, Roorkee
during his/her Ph. D program.

Date: _____ Signature: _____

Place: _____ Name: _____

Designation: _____

Stamp

Annexure-D

QUANTUM UNIVERSITY
ROORKEE, UTTARAKHAND
(U.K.)-247167
PhD RESEARCH SYNOPSIS EVALUATION

PART-I

(To be completed by the Research Scholar)

ADMINISTRATIVE INFORMATION:

Name of Research Scholar: _____

Name of School: _____

Batch: _____

Assessment No: _____

Assessment Period: _____ *January – June/ July- December 20* _____

Topic of Research: _____

Candidate Signature with date: _____

PART-II

(To be completed by the Committee)

A meeting of the School Research Committee of the Department of..... under The faculty ofwas held onatin theto consider the presentation of research proposal submitted by Mr./Ms Titled..... " for pursuing Ph.D. program in the University

THE SRC CONSIDERED THE RESEARCH PROPOSAL AND OBSERVED THAT

☐ Candidate possesses the competency for the proposed research work as mentioned in the submitted report,

OR

☐ Candidate's research proposal needs some modification,

OR

☐ Candidate has not made satisfactory progress towards his research proposal

AND RECOMMENDS THAT

☐ Candidate may continue research work and register as research scholar in the PhD program

OR

☐ Candidate is required to incorporate the suggestions of SRC and resubmit the research proposal report within.....

OR

☐ Candidate is required to incorporate the suggestions of SRC and resubmit the fresh proposal report within

Suggestion/Recommendations of SRC to be sent to the candidate be:

(Signature of Dean)

(Signature of HOD)

(Signature of Senior Faculty)

(Signature of Senior Faculty)

(Signature of Subject Expert)

PART-III RECOMMENDATION TO RDC

(Views of the members in the SRC meeting- to be completed by the SRC and also recorded in the minutes of the meeting of the SRC duly signed by all members present).

A meeting of the School Research Committee of the Department ofunder the faculty ofwas held onat..... in theto consider the presentation of research proposal submitted by Mr./Ms.Titled.....

"for pursuing Ph.D. program in the University

- 1. Overall quality of presentation of the candidate:
☐ Very Good ☐ Good
☐ Satisfactory ☐ Irregular but satisfactory ☐ Below acceptable standard
- 2. Overall rate of synopsis report of the research scholar:
☐ Very Good ☐ Good
☐ Satisfactory ☐ Irregular but satisfactory ☐ Below acceptable standard
- 3. We recommend that the candidate's registration be:
☐ Allowed
☐ Not allowed and enrolment be subject to specified conditions as outlined below
☐ Terminated

Conditions of the continued enrolment:

- 4. We have discussed our comments with the candidate:
☐ Yes
☐ No

If No please comment:

Recommendation of the SRC as recorded in the minutes of meeting:

Signature of the Chairperson SRC Signature of Chairperson URC (Dean Research)

(A typical Specimen of Cover Page & Title Page)

TITLE

SYNOPSIS OF THE THESIS

Submitted by

NAME OF THE RESEARCHER

In Partial Fulfillment of the Requirements for the Degree of

DOCTOR OF PHILOSOPHY

DEPARTMENT NAME
QUANTUM UNIVERSITY
ROORKEE- 247167

MONTH, YEAR

Introduction

This document provides guidelines for preparing a research synopsis (and indirectly the summary of the final report of your work that will be presented at the end of your research program). The research synopsis is the plan for your research project. It provides the rationale for the research, the research objectives, the proposed methods for data collection and recording formats and/or questionnaires.

The synopsis is the core objective of the Research project, based on the information provided by the supervisor(s) and by secondary sources of information. In the final report you will present the results of your data collection and elaboration, with the discussion and the conclusion.

Standard headings

- i. Title
- ii. Abstract
- iii. Introduction
- iv. Problem analysis/literature review
- v. Objectives

Title

This should be brief and self-explanatory. It should relate directly to the main objective of the proposed research. A more specific and descriptive sub-title can be added if necessary, for example to indicate the main methodology that will be applied. The title of the final report can be different from the working title of the synopsis.

Abstract

The abstract should briefly state the problem, the main objective(s), the theories/conceptual framework used (if relevant), and the method(s). The abstract alone should give the reader a clear idea about the research in no more than 200 to 500 words.

Introduction

Here you should introduce the main problem, set it into context and introduce the particular niche within the main subject area that you will work with. For example, the main subject area could be deforestation and the Introduction would then briefly argue why it is relevant to be concerned with deforestation – to whom it is a problem and why. The niche could be the role of small-scale farmers in deforestation processes in mountain areas. Justification for the niche should also be included in the Introduction.

'Justifying' a research problem means providing information documenting that both the main problem and the specific niche are of relevance to others than yourself, such as the scientific community and stakeholders. A research problem can be, for example, a gap of knowledge, an unexplained observation, something not yet analyzed (using this systematic, with this level of detail, from this particular angle), or something that does not fit traditional beliefs. The information you provide as documentation for the existence and relevance of the problem should primarily be scientific peer reviewed literature. Newspaper articles, blogs and a lot of material from the internet are not subject to quality control and are therefore considered less trustworthy.

Problem analysis/Literature review

In this section you present details regarding the research problem. You should present documentation of the existence of the problem, how it is manifested, who it affects and involves, what roles and interests the involved actors have, the historical background to the problem (including what has led to the actual situation), and the problem's complexity (what it consists of and what it is a part of) (Dahl et al., 1999).

The problem analysis is based on a critical review of scientific literature: the theories typically used to frame research on the subject area, knowledge available and research methods used with what degree of success. The review can add to the justification of choice of the subject included in the Introduction. It is important that the review includes recent literature, and that it critically synthesizes knowledge within the subject being addressed rather than merely describing it.

A critical review of the subject being addressed involves

(I) Identification of relevant literature through a thorough and systematic literature search using combinations of relevant keywords in appropriate databases

(ii) the relevant literature must be critically read, meaning that the soundness of research approach and conclusions must be evaluated – you should of course not base your arguments on untrustworthy literature, and

(iii) Important approaches, conclusions and/or discussions of the literature are presented in an argument logically leading to your objectives.

Remember, the literature review is not just a list of the methods used/conclusions made by previous studies. Have a look at research papers published in international journals for inspiration – the introductions most often include highly condensed literature reviews.

Objectives

These should be identified on the basis of the problem analysis. That means, after reading the problem analysis it should be immediately clear that the choice of objectives is relevant and justified. The objectives should focus on concepts and problems mentioned in the problem analysis.

Each research proposal should contain one overall objective describing the general contribution that the research project makes to the subject area as well as one or more specific objectives focusing on discrete tasks that will be achieved during the research. The overall objective may be something that the study will contribute towards but not solve/finish; the overall objective should not be a compilation of the specific objectives.

QUANTUM UNIVERSITY
ROORKEE, UTTARAKHAND
(U.K.)-247167

SEMESTER PROGRESS REPORT OF RESEARCH WORK

PART-I

(To be completed by the Research Scholar)

ADMINISTRATIVE INFORMATION:

Assessment No:

Assessment Period

Name of Research Scholar

Name of Supervisor

Name of Co-Supervisor

(If any)

Topic of Research

Date of Registration

No. /Enrolment No.

Name of School:

January – June / July – December 20_____

ACADEMIC INFORMATION*:

1. How often and by what means do you contact your supervisory team:

Interaction	Daily	Weekly	Fortnightly	Monthly	More than a Month
By Phone Call					
By Personal					
By					

2. How often do you visit library for your research work:

Name of Library	Daily	Weekly	Fortnightly	Monthly	More than a Month

3. Details of workshop(s) attended:

Workshop Title	National /Inter	Date	Venue	Organized by	Remarks

4. Details of conference /seminar(s) attended:

Conference Title	National / International	Date	Venue	Organized by	Remarks

5. Details of paper(s) presented in conference/seminar(s):

Conference	National /	Title	Author(s)	Date	Venue	Organized by

6. Details of abstract published in souvenir(s):

7. Details of book(s) edited/authored:

8. Details of guest lecture(s) attended/delivered:

Lecture Title	Date(s)	Venue	Organizer	Remarks

9. Details of paper(s) published in journal (national/international):

10. Have you submitted your research work to your Supervisor /Co-supervisor? Yes No

11. Did you receive written feedback? Yes No

12. What sections of the thesis have been written? (In draft or final form)

13. Briefly describe specific research goals for the next six months and how they will be accomplished:

14. Please attach a Completion Plan for the remainder of your candidature (including research methodology, research instrument, data collection and analysis, hypothesis, statistical tests etc.).

15. Other Details:

Candidate signature with date: _____

* Provide additional Sheets (If required)

PART – 42

(To be completed by the Supervisor/Co-supervisor)

1. How often and by what means is contact with the candidate maintained (e.g. e-mail, face-to-face)?

2. Does the research scholar have sufficient contact with you? Yes No
If no please comment:

3. Please rate the research scholar's progress:

Excellent

Satisfactory

Marginal (Please justify)

Unsatisfactory (Please justify) _____

4. If you rate the research scholar's progress as unsatisfactory, have you informed the student:

Yes

No

5. Is the research scholar's written report both sufficient and accurate? Yes No

6. Do you recommend that the research scholar undertakes any other training or development activities, e.g. particular units, workshops or courses, or general development in any area? (Please give details)

Yes

No

7. Is there sufficient detail in the proposed plan of activity for the next six months, and is the plan appropriate?

Yes

No

Any other information: _____

Supervisor signature with date: -----

Co-Supervisor signature with date: _____

PART – 46

(Views of the members in the SRC meeting- to be completed by the SRC and also recorded in the minutes of the meeting of the SRC duly signed by all members present)

1. Overall quality of work of the research scholar:

Very good
Good Satisfactory
Irregular but satisfactory
Below acceptable standard

2. Overall rate of progress of the research scholar:

Very good
Good Satisfactory
Irregular but satisfactory
Below acceptable standard

3. We recommend that the candidate's enrolment be:

Continued
Continued subject to specified conditions as outlined below
Terminated
Conditions of the continued enrolment:

4. We have discussed our comments with the candidate:

Yes
No

If No please comment:

Recommendation of the SRC as recorded in the minutes of meeting:

Signature of the Chairperson SRC_____

Signature of the Chairperson URC (Dean Research)_____

Instructions for preparation of Ph.D. thesis

1. Thesis should be type-written on good quality A-4 size paper. It should be typed on both sides of the paper, with line spacing of 1.5 with sufficient side margins.
2. Suitable reproduction of Indian-ink diagrams should be used. Photographs should be suitably mounted on the same quality paper as the thesis.
3. References should be given in APA (American Psychological Association) style.
4. Four copies of the thesis in soft binding along with one copy on CD for record must be submitted in the college concerned, from where they would be forwarded to the examination division for evaluation. In case of a research scholar being supervised by more than one supervisor, appropriate number of additional copies must be submitted.
5. The cover and inner cover page should have the following printed on it in block letters:

TITLE OF THE THESIS

BY

NAME OF THE RESEARCH SCHOLAR

UNDER THE SUPERVISION OF

Name of the Supervisor(s)

NAME OF THE COLLEGE

Submitted

in fulfillment of the requirement of the degree of Doctor of Philosophy to the

QUANTUM UNIVERSITY ROORKEE

Year 2019-20.....

6. After the Oral Defense examination, two copies of the thesis in maroon colour hard cover binding must be submitted. The cover should have the material indicated in the item 5 above printed on it. Besides, the following should be printed on the spine of the thesis:
 - i. The year of publication at the top;
 - ii. The author's last name in the middle; and
 - iii. Ph.D. at the bottom.

7. *The contents of the thesis should have the following format:*

1. *Inner cover page;*
2. *Certificate of the Supervisor(s);*
3. *Declaration by the scholar;*
4. *Plagiarism check certificate Acknowledgements;*
5. *Abstract;*
6. *Table of Contents;*
7. *List of Figures/Tables/Abbreviations*
8. *Body of the thesis;*
9. *Bibliography;*
10. *Appendices*

DECLARATION
(By Research Scholar)

I do hereby declare that the thesis titled “-----
-----”
submitted to Quantum University in partial fulfillment of the requirement for the award of the degree of
Doctor of Philosophy is a record of original work done by me during the period of my study under the
supervision and guidance of -----

This thesis has not formed the basis for the award of any Degree/ Diploma/ Associate ship/ Fellowship or
similar other title to any candidate of any University.

The manuscript has undergone plagiarism check by Turnitin software/-----

(Submission ID-----) and the similarity index has been found to be_____, which
is within the accepted norms of the University and as stipulated under UGC Guidelines.

Signature: _____

Candidate's Name: _____

Registration No.: _____

Place: _____ Date: _____

CERTIFICATE

Certified that the thesis titled “ ----- ” submitted to Name of the College), Quantum University, Roorkee in partial fulfillment of the requirements for the award of the Degree of Doctor of Philosophy is a record of original work done by ----- during the period of his/her study under my/our supervision and guidance.

This thesis has not formed the basis for the award of any Degree/ Diploma/ Associate ship/

Fellowship or similar other title to any candidate of any University.

Research Supervisor(s)

Chairperson, School Research Committee

Name of the School/ Department Quantum University

ANTI-PLAGIARISM VERIFICATION

Date:

This is to certify that the thesis titled as below has been subjected to plagiarism check. Following are the details of the report generated:

Title of the Thesis : _____

Research Scholar : _____

Registration No.: : _____

Software used for
checking plagiarism : _____

Submission ID : _____

Total no. of pages : _____

Time submitted : _____

Similarity Index : _____

Total word count : _____

Character count : _____

The thesis may be considered for the award of degree of Doctor of Philosophy/ the similarity index is higher than the prescribed limit hence not acceptable for submission of the thesis. (Relevant documents attached).

Dean Research / Joint Registrar

University Research Centre [URC]

Quantum University, Roorkee

Report on the Thesis Evaluation for Ph.D. Programme

1. Name of the Student:.....
2. Registration Number:.....
3. Title of the Thesis:.....
.....
.....
4. Name of the Faculty:.....
5. Programme:.....

Please submit a detailed report on the research work of the candidate covering the following aspects (extra pages may be used, if required)

1. Clarity of Objectives:
.....
.....
2. Suitability of Research Methodology:.....
.....
.....
3. Strength of thesis and contribution to the field:
.....
.....
4. Major Strength and Weaknesses:
.....

5. Quality of Interpretation and the results:
.....
.....

6. Suitability for publication as such or with certain modification. In case some changes are required, please indicate:
.....
.....

Recommendations: Based

on the above observations, it is recommended that the thesis submitted by

Mr./Ms. _____

- (a) Be accepted for the award of Ph.D. Degree subject to satisfactory performance in VIVA-VOCE.(Please state your recommendation in clear language.....)
- (b) Be revised and re submitted in the light of the above observations.
- (c) Be rejected

In case the thesis is recommended for the revision/rejected, please submit the guidelines, grounds and reasons for revision/rejection on a separate sheet.

Signature of the External Expert /Supervisor : _____
Name of the External Expert/Supervisor : _____
Contact Number : _____
Email Address : _____
Address : _____

(This Performa should be sent along with report)
(For Online Payment of Remuneration)

Name of the Research Student:

Title of the thesis:

.....

.....

Name and Address of the Expert:

.....

.....

Bank Details: Name of the Bank:

Account Number:

IFSC Code:

Signature of the Expert

Candidate's Declaration

I hereby declare that the work which is being presented in the thesis entitled ".....", in fulfilment of requirement for the award of the Degree of Doctor of Philosophy in of Quantum University, Roorkee (UK) is an original work carried out by me during a period from.....to, under the supervision of Dr./Prof..... Department of.....Quantum University, Roorkee (UK).

The matter presented in the thesis has not been submitted by me for the award of any other degree /diploma of this University or any other University/Institute. I have properly acknowledged the material collected from the secondary sources wherever required. I solely own the responsibility for the originality of the entire content.

I fulfil all the eligibility requirements for the submission of Ph.D. thesis as per prescribed norms in the research rules & regulations of the Quantum University, Roorkee (UK)/UGC.

Date:

(.....)

Research Scholar

Enrolment No.....

Certificate of the Supervisor(s)

This is to certify that the thesis titled
submitted by..... for the award of Degree of Doctor of Philosophy in the Faculty of
..... Of Quantum University, Roorkee, UK, is a record of authentic work carried out by him/her under
my/our supervision.

The matter embodied in this thesis is the original work of the candidate and has not been submitted for the award of
any other degree/diploma in any University. It is further certified that he/she has worked with me/us for the required
period as per the Regulations.

Date:

(Signature of Supervisor)

Name:

Certificate of the Co-Supervisor(s)

This is to certify that the thesis titled
submitted by..... for the award of Degree of Doctor of Philosophy in the Faculty of
..... Of Quantum University, Roorkee, UK, is a record of authentic work carried out by him/her under
my/our supervision.

The matter embodied in this thesis is the original work of the candidate and has not been submitted for the award of
any other degree/diploma in any University. It is further certified that he/she has worked with me/us for the required
period as per the Regulations.

Date:

(Signature of Co-Supervisor)

(if any)

Name:

Certificate of the Dean / H.O.D.

*This is to certify that the Ph.D. thesis titled.....
..... submitted by.....
..... under the supervision of Dr./Prof..... is hereby forward
For evaluation for the award of the Degree of Doctor of Philosophy of Quantum University, Roorkee.*

*It is also certified that the candidate has made pre-submission presentation before DRC and fulfils necessary resident
requirement of full time/part time Ph.D. Programme as per the rules of the University.*

Date:

(Signature of Dean / H.O.D)

Name:

Supervisor's Recommendations

This is to certify that the research work is going on/ not going on properly and information given by the Research Scholar is True/ Not True. As supervisor I am Satisfied/Not Satisfied with the performance of the student. (If not satisfied, give the reason.)

Date: / /

Signature of Supervisor

Signature of Co-Supervisor

Signature of Head of the Department

Office Remarks given by Academic Section: -

All necessary documents and previous progress reports related to his/her research work are complete and available in the student's file.

Signature

Date: / /

Academic Section

Counter Signed by

Dean Academic Affairs

Please Affix a
Recent
Passport Size
Photograph

Application Form
for
RECOGNITION AS A Ph. D. SUPERVISOR

Interested in the School of:				Department:				
1	Name of the Applicant (In Block Letters) :							
	(SURNAME)							
	(NAME)							
(FATHER/HUSBAND NAME)								
2	Designation:							
	Name of the College/Department of the University:							
3	Gender		Marital Status		Date of Birth			Age
	Male	Female			Date	Month	Year	
4	Nationality		Religion		Category			
	Indian	Foreign			General	SC	ST	OBC
5	Correspondence Address (Office):							
	City:		Pin Code:			State:		
	Contact No.:				E-mail:			
6	Correspondence Address (Residential):							
	City:		Pin Code:			State:		
	Contact No.:				E-mail:			
7	Aadhaar Card Number:							
8	Educational Qualifications: (From UG to Ph. D.)							

	Name of Degree	Month-Year of Passing	%/Grade/ CGPA	Name of the University/ College	Principal/ Major Subject

9	Teaching Experience:_____Years _____Months					
	Name of University Department/College	Designation	Period of Teaching		Total Experience	
			From	To	Years	Months
10	Research Experience:					
	Name of the Institution	Designation	Duration		Total Period	
			From	To	Years	Months
11	Title of the Ph.D. Thesis:					
12	Date of Notification/Awarding of Ph. D. degree:					
	Name of University:					

13. Research Details: (Add attachment for each point as annexures)

13.1	Number of Papers/ Posters presented in National Conference	
13.2	Number of Papers/ Posters presented in International Conference	
13.3	Number of Papers Published in National Journals	
13.4	Number of Papers Published in International Journals	
13.5	Out of above, Number of publication in Thomson Reuters and Scopus Indexed Journals	
13.6	Number of Book Chapters Published	
13.7	Number of Books Published	
Note: Attach latest Two published papers in reputed journals.		

FOR OFFICE USE ONLY	
Approved	Not Approved
Approved No of seats =	
Signature of the Dean Academic	Signature of the Dean Research
Signature of the Vice- Chancellor	

Application Form
for
RECOGNITION AS A Ph. D. Co-SUPERVISOR

Interested in the School of:				Department:			
1	Name of the Applicant (In Block Letters) :						
	(SURNAME)						
	(NAME)						
	(FATHER/HUSBAND NAME)						
2	Designation:						
	Name of the College/Department of the University:						
3	Gender		Marital Status	Date of Birth			Age
	Male	Female		Date	Month	Year	
4	Nationality		Religion	Category			
	Indian	Foreign		General	SC	ST	OBC
5	Correspondence Address (Office):						
	City:		Pin Code:		State:		
	Contact No.:			E-mail:			
6	Correspondence Address (Residential):						
	City:		Pin Code:		State:		
	Contact No.:			E-mail:			
7	Aadhaar Card Number:						
8	Educational Qualifications: (From UG to Ph. D.)						
	Name of Degree	Month-Year of Passing	%/Grade/ CGPA	Name of the University/ College		Principal/ Major Subject	

9	Teaching Experience:_____Years _____Months					
	Name of University Department/College	Designation	Period of Teaching		Total Experience	
			From	To	Years	Months
10	Research Experience:					
	Name of the Institution	Designation	Duration		Total Period	
			From	To	Years	Months
11	Title of the Ph.D. Thesis:					
12	Date of Notification/Awarding of Ph. D. degree:					
	Name of University:					

13.	Research Details: (Add attachment for each point as annexures)	
13.1	Number of Papers/ Posters presented in National Conference	
13.2	Number of Papers/ Posters presented in International Conference	
13.3	Number of Papers Published in National Journals	
13.4	Number of Papers Published in International Journals	
13.5	Out of above, Number of publication in Thomson Reuters and Scopus Indexed Journals	
13.6	Number of Book Chapters Published	
13.7	Number of Books Published	
Note: Attach latest Two published papers in reputed journals.		

14.	Membership of Scientific Bodies:
15	Fellowships:
16	Are you recognized Research Supervisor in other University?
	If Yes, then provide the name of the University
17	Area of Research you wish to supervise the Ph. D. Scholar:
	1.
	2.
	3.

	4.	
	5.	
18	Number of Scholars Supervise and awarded Ph. D:	
19	Number of ongoing Ph.D. Scholars registered under you:	
Date: _____ Place: _____ Enclosures: 1. Ph. D. Degree Certificate 2. Detailed Resume 3. Last Four Papers Published by You (Listed in Reputed Journal)		
		Signature of the Applicant
FOR OFFICE USE ONLY		
Approved _____ Not Approved _____ Approved No of seats = _____		
Signature of the Dean Academic		Signature of the Dean Research
Signature of the Vice- Chancellor		


Registrar
Quantum University

Quantum University, Roorkee

Agenda of 9th Meeting of Board of Management

Scheduled Date: 06th October, 2023, 2:30 PM afternoon, **Venue:** Conference Room (Near- Admission Cell) Quantum University, Roorkee

Item No.	Agenda
9.1	Welcome note by Vice Chancellor and Chairman of BOM.
9.2	To confirm the <u>minutes of the 8th meeting</u> of the Board of Management of Quantum University held on 20-October-2022.
9.3	To present an <u>Action Taken Report (ATR)</u> on the decisions / recommendations made in the 8 th meeting of Board of Management (BOM) Quantum University held on 20-October-2022.
9.4	To apprise the Board and approve regarding the decisions made in 9 th Meeting of the Academic Council held forenoon, 06-October-2023.
9.4.1	To consider and approve the sanctioned intake (2023-24), fee structure, prospectus, eligibility for 2023-24 session, increase/decrease in intake for existing programs.
9.4.2	To consider and approve Academic Ordinance Ver 2.0 which has been updated as per NEP 2020 applicable from session 23-24
9.4.3	To consider and approve Academic Ordinance for Ph.D. Program Ver 2.0 which has been updated according to UGC 2021 regulations applicable from 2023-24 admissions
9.4.4	To consider and approve the appointment of faculty members and staff members, who have joined after the eighth Academic Council meeting and approve the minutes of the selection committees held in 2023-24.
9.4.5	To consider and appraise IQAC report and the annual report on events for Quality Assurance for the session 2022-23.
9.4.6	To consider and approve the report of Feedback analysis and ATR of 2022-23 session.
9.4.7	To report and consider admission in Ph.D. in Dec 2022 and July 2023 and to approve the minutes of various RDCs, SRCs and status of the candidates. To consider the approval of Guides for the Ph.D. session as well as the No of seats.



Vinod Kumar
Vice Chancellor
Quantum University
Roorkee, India



9.4.8	To apprise the board of management about Convocation 2023, list of the students to be conferred with Degree/ Diploma/ Certificates in the Convocation 2023 and approve the list of merit and medals.
9.4.9	To approve the Annual Report of the various committees, monitoring activity of Grievances/Ragging cases for the session 2022-23.
9.4.10	To approve the report containing the minutes of the committee, various activities conducted for ensuring Code of Conduct of students and staff in 2022-23.
9.4.11	To submit the annual report of Student Council for 2022-23 session.
9.4.12	To submit the annual academic audit report and its outcome along with ATR.
9.4.13	To report and approve COE Report for 2022-23.
9.5	To apprise and approve the decisions made in 9th Meeting of the Finance Committee held on 03-October-2023.
9.5.1	To consider and approve Seed money meeting held on 03/10/2023. Further to apprise the minutes of the last URAB meeting.
9.5.2	To consider and approve the fee structure and various scholarships of the programs for the session 2022-23 along with the list of students availed scholarship in 2022-23.
9.5.3	To consider and approve Audit Income and Expenditure Report of 2022-23.
9.5.4	To appraise about the Alumina Contribution in 2022-23.
9.5.5	To Approve the Budget for 2023-24
9.5.6	To apprise and approve the Internal and External Financial Audit Report for 2022-23
9.6	To apprise and approve the faculty strength along with carder as per the sanctioned students' Intake for 2023-24
9.7	To apprise and approve the Gender Audit report 22-23 and Gender Sensitization Action Plan for session 2023-24
9.8	To apprise and approve Annual Report of Quantum University Innovation Council for Session 2022-23
9.9	To approve the various reports by the academic council for their approval.
9.10	To apprise and approve the Placement Report for 2022-23



Vineet Kumar
Vice Chancellor
Quantum University
Roorkee, India



9.11

Any other matter with permission of the chair.



Chinakkumar

Vice Chancellor
Quantum University
Roorkee, India

Quantum University, Roorkee

Minutes of 9th Meeting of Board of Management

Scheduled Date: 06th October, 2023, 2:30 PM afternoon, Venue: Conference Room (Near-Admission Cell)

Quantum University, Roorkee

The 9th meeting of the BOM was held on 06th October, 2023, 2:30 pm at Quantum University, Roorkee in hybrid mode under the Chairmanship of Prof (Dr) Vivek Kumar, Vice Chancellor, Quantum University, Roorkee. The following members were present in the meeting:

Quantum University, Roorkee

Board of Management (BOM)

Members List

1	Mr. Ajay Goyal, Chancellor, Quantum University
2	Prof. (Dr.) Vivek Kumar, Vice Chancellor, Quantum University - Chairman
3	Prof. (Dr.) A. K. Khare, Educationist, Advisor Quantum University - Member
4	Prof. (Dr.) S.N. Singh, VC, MMU, Gorakhpur, Professor (HAG), Department of Electrical Engineering, Indian Institute of Technology, Kanpur
5	Prof. (Dr.) Parag Diwan, Chairman, Paradigm Consultants & Resource management (P) Ltd
6	Mr. Shobhit Goyal, Vice Chairman, Quantum University - Member
7	Mr. Shanky Garg, Industrialist - Member, Board of Trust
8	Mr. Sushil Chandra, Consultant, TCS India
9	Dr. Manish Sharma, Dean, School of Technology, Quantum University - Member
10	Prof. Pushpender, Officiating Dean, School of Business, Quantum University - Member
11	Dr. Amit Dixit, Registrar, Quantum University - Member
12	Mr. Satender Kumar, Department Coordinator, Department of CSE, Faculty of Technology, Quantum University -Member



Vivek Kumar

Vice Chancellor
Quantum University
Roorkee, India

1	Dr. Gaurav Aggarwal, Senior Faculty Member, School of Agricultural Studies,
3	Quantum University – Member

Dr. Ashu Rani requested for leave of absence due to pre-occupation which was accepted by the chair. At the onset of the meeting Dr. Vivek Kumar, Vice Chancellor and Chairman BOM welcomed all the members on the occasion of the 9th meeting of the BOM of Quantum University. He requested the members to join him in lighting the lamp and seeking the blessings of Lord Ganesha and Maa Saraswati. After the lighting of the lamp and paying floral tributes, the Vice Chancellor requested the Registrar and Member Secretary, Academic Council Dr. Amit Dixit to take up the agenda points. The Registrar took up the detailed agenda points for the discussion.

Item No 9.1: Welcome note by Vice Chancellor and Chairman of BOM

Dr. Vivek Kumar extended a warm welcome to all the members of the Board of Management (BOM) and Mr. Ajay Goyal, the Chancellor of Quantum University. The Chancellor reciprocated the welcome and expressed gratitude to the BOM members for attending the first meeting on short notice. He invited the esteemed members to contribute their collective wisdom towards establishing Quantum University as a renowned educational hub. Members conveyed their best wishes for the team's endeavors in transforming Quantum University into a world-class educational institution.

Item No 9.2: To confirm the minutes of the 8th meeting of Board of Management of Quantum University held on 20th-October-2022.

The Member secretary has presented the minutes of the 8th meeting of the Board of Management held on 20-Oct-2022. **The Board approved the minutes of the last BOM without recommendations.**

Item No 9.3: To present an Action Taken Report (ATR) on the decisions / recommendations made in the 8th meeting of BOM, Quantum University held on 20-October-2022.

The member secretary presented the ATR of the 8th meeting as follows.




Vice Chancellor
Quantum University
Roorkee, India

Item No.	Agenda	Action
8.1	Welcome note by Vice Chancellor and Chairman of BOM.	The members were welcomed by the chair.
8.2	To confirm the minutes of the 7 th meeting of the Board of Management of Quantum University held on 12-March-2022.	Minutes were confirmed.
8.3	To present an Action Taken Report (ATR) on the decisions / recommendations made in the 7 th meeting of Board of Management (BOM) Quantum University held on 12-March-2022.	Approved No further action needed
8.4	To apprise and approve the Board regarding the decisions made in 8 th Meeting of the Academic Council held forenoon, 20-October-2022.	Approved
8.4.1	To consider and approve Q-Care Entrance Exam, admission (2022-23) against the sanctioned intake as approved in 7 th Meeting, the Minutes of Admission committee (2022-23). To present the list of students to whom the scholarship is offered.	Members approved the sanctioned intake
8.4.2	To approve the list of students against the reservation category in the 2022-23 session.	Approved
8.4.3	To consider and approve the syllabus along with CO-PO for various programs recommended by the concerned Board of Studies and Board of Faculty of specific programs for the session 2022-23 and new introduced courses.	Approved
8.4.4	To report and consider admission in Ph.D. in July 2022-23	Approved

8.4.5	To consider and approve the list of Employability / Entrepreneurship courses in each program offered in 2022-23 Session.	Approved
8.4.6	To propose the list of VAC's in various programs for session 2021-22 and to present the list of VAC's of 2022-23 session.	Approved
8.4.7	To consider and approve the report of the activities related to slow and fast learners for the session 2021-22 and identification of strategies for slow and fast learner for the session 2022-23.	Approved
8.4.8	To consider and approve the report of the activities related to Mentor Mentee in the session 2021-22.	Approved
8.4.9	To report the academic council about invert migration cases admitted in 2022-23	Approved
8.5	To apprise the Board regarding the decisions made in 8th Meeting of the Finance Committee held on 30/09/2022	Approved all the decisions
1.	To consider and approve Seed money and minutes of URAB meeting held on 27/08/22.	Approved
2.	To consider and approve the fee structure and various scholarships of the programs for the session 2021-22.	Approved
3.	To consider and approve Audit Income and Expenditure Report of 2021-22.	Approved
4.	To appraise about the Alumina Contribution.	Approved
8.6	To approve the report of IQAC for the session 2021-22.	Approved all the points.
1.	To consider and approve the report of Feedback analysis and ATR for the session 2021-22.	Approved



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2.	To consider and approve the report of CO-PO Mapping and Attainment for the session 2021-22.	Approved
3.	To report the result analysis for End Semester Examinations held in May-June 22 and Summer Semester 2021-22.	Approved
8.7	To consider and approve the minutes selection committee and the appointment of faculty members and staff members who have joined after the 7th Academic Council.	Approved
8.8	To appraise the Board about New Industrial Tie-ups for Industry-Academic Interaction.	Approved
8.9	To approve the various reports by the academic council for their approval.	Approved all the reports
A.	To approve the report of extension activities report for 2021-22 session.	Approved
B.	To approve the Annual Report of the various committees, monitoring activity of Grievances/Ragging cases/ Proctorial Board for the session 2021-22.	Approved
C.	To approve the report for 2021-22 containing the minutes of the committee, various activities were conducted for ensuring Code of Conduct of students and staff in 2021-22.	Approved
D.	To submit the annual report of the Student Council for the session 2021-22.	Approved
E.	To submit the annual academic audit report and its outcome along with ATR for the session 2021-22.	Approved
F.	Annual report on Events for Quality Assurance	Approved
G.	Annual E-Governance Report	Approved
H.	Green Audit/Energy Audit Reports	Approved

I.	Internal and External Financial Audit Report	Approved
J.	Report on Alumina Association	Approved
K.	Gender Sensitization Action Plan	Approved
L.	Report of QUIC	Approved
M.	Report of Appraisal	Approved
N.	Report on Quality Mandate of Quantum University	Approved
O.	Gender Audit Report	Approved
8.10	To consider and approve the University Annual Report 2021-22	Approved all without any suggestion.
8.11	To appraise the academic council regarding activities in the innovation council, research extension activities during last semester.	Approved
8.12	To appraise the academic council about Convocation 2021-22, list of the students to be conferred with Degree/ Diploma/ Certificates in the Convocation 2021-22 and approve the list of merit and medals.	Approved
8.13	To report to the academic council about implementation/Progress of National Education Policy 2020 (NEP 2020) in three-year programs as directed by the State Government.	Approved
8.14	Adoption of ABC	Approved
8.15	To report about placement status and company visited in session 2021-22.	Approved
8.16	To consider and approve the details of Research Projects applied for Government or Non-Government Funding for the session 2022-23.	Approved

8.17	Any other matter with permission of the chair.	No further discussion was taken.
8.18	Vote of Thanks.	The meeting ended with Vote of thanks to the members.

The members appreciated the efforts made in implementing the decisions and **approved the ATR.**

Item No. 9.4: To apprise and approve the Board regarding the decisions made in 9th Meeting of the Academic Council held forenoon, 6th-October-2023.

The Member Secretary Informed the Board that the 9th meeting of the Academic Council was held on 06-October-2023. Following decisions were taken in the meeting for final approval in the present meeting of the Board of Management.

Item No. 9.4.1: To consider and approve the sanctioned intake (2023-24), fee structure, prospectus, eligibility for 2023-24 session, increase/decrease in intake for existing programs.

The member secretary presented the sanctioned intake, fee structure, prospectus, eligibility for 2023-24 session, increase/decrease in intake for existing programs and intake for a few new programs in respective schools. The Board approved the sanctioned intake (2023-24) (Appendix BOM 9.4.1 A) , fee structure (Appendix BOM 9.4.1 B), prospectus (Appendix BOM 9.4.1 C), eligibility for 2023-24 session (Appendix BOM 9.4.1 D), increase/decrease in intake for existing programs (Appendix BOM 9.4.1 E).

Item No. 9.4.2: To consider and approve Academic Ordinance Ver 2.0 which has been updated as per NEP 2020 applicable from session 23-24

The Member secretary presented the Academic Ordinance Ver 2.0 which has been updated as per NEP 2020 applicable from session 2023-24. **The Board Approved the Academic Ordinance Ver 2.0 which has been updated as per NEP 2020 applicable from session 2023-24.(Appendix BOM 9.4.2)**

Item No. 9.4.3: To consider and approve Academic Ordinance for Ph.D. Program Ver 2.0 which has been updated according to UGC 2021 regulations applicable from 2023-24 admissions

The Dean research presented the Academic Ordinance for Ph.D. Program Ver 2.0 which has been updated according to UGC 2021 regulations applicable from 2023-24 admissions. **The Board approved the Academic Ordinance for Ph.D. Program Ver 2.0 which has been updated according to UGC 2021 regulations applicable from 2023-24 admissions (Appendix BOM 9.4.3)**

Item No 9.4.4: To consider and approve the appointment of faculty members and staff members, who have joined after the eighth Academic Council meeting and approve the minutes of the selection committees held in 2023-24.

The member secretary presented the list of appointed faculty members and staff members, who have joined after the eighth Academic Council meeting and approve the minutes of the selection committees held in 2023-24. **The board approved the list of appointed faculty members and staff members, who have joined after the eighth Academic Council meeting and approve the minutes of the selection committees held in 2023-24 (Appendix BOM 9.4.4)**

Item No 9.4.5: To consider and apprise IQAC report and the annual report on events for Quality Assurance for the session 2022-23.




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The Director IQAC presented the IQAC report and the annual report for quality assurance for the session 2022-23. **The Board approved the IQAC report (Appendix BOM 9.4.5) and the annual report on events for Quality Assurance for the session 2022-23 (Appendix BOM 9.4.5)**

Item No 9.4.6: To consider and approve the report of Feedback analysis and ATR of 2022-23 session.

The member secretary presented the report of Feedback analysis and ATR of 2022-23 session. **The Board approved the report of Feedback analysis and ATR of 2022-23 session (Appendix BOM 9.4.6)**

Item No 9.4.7 The report of CO-PO Mapping and Attainment for the session 2022-23.

The Director IQAC presented the CO-PO Mapping and Attainment by showing the comparison of all data with previous years. **The Board approved the CO-PO Mapping and Attainment for the session 2022-23 (Appendix BOM 9.4.7)**

Item No 9.4.8: To report and consider admission in Ph.D. in Dec 2022 and July 2023 and to approve the minutes of various RDCs, SRCs and status of the candidates. To consider the approval of Guides for the Ph.D. session as well as the No of seats.

The dean research presented the admission in Ph.D. in Dec 2022 and July 2023 and to approve the minutes of various RDCs, SRCs and status of the candidates. To consider the approval of




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Guides for the Ph.D. session as well as the No of seats. The Board approved the admission in Ph.D. in Dec 2022 and July 2023 (Appendix BOM 9.4.8 A) and to approve the minutes of various RDCs(Appendix BOM 9.4.8 B), SRCs (Appendix BOM 9.4.8 C)and status of the candidates. The Board members also approved the Guides for the Ph.D. session as well as the No of seats.(Appendix BOM 9.4.1 D)

Item No 9.4.9: To apprise the Board of management about Convocation 2023, list of the students to be conferred with Degree/ Diploma/ Certificates in the Convocation 2023 and approve the list of merit and medals.

The member secretary informed the board about the Convocation 2023, list of the students to be conferred with Degree/ Diploma/ Certificates in the Convocation 2023 and approve the list of merit and medals. The Board approved the Convocation 2023, list of the students to be conferred with Degree/ Diploma/ Certificates in the Convocation 2023 and approve the list of merit and medals (Appendix BOM 9.4.9)

Item No 9.4.10: To approve the Annual Report of the various committees, monitoring activity of Grievances/Ragging cases for the session 2022-23.

The Coordinator of Internal Complaints Committee presented the Annual Report of the various committees, monitoring activity of Grievances/Ragging cases for the session 2022-23. The Board approved the Annual Report of the various committees, monitoring activity of Grievances/Ragging cases for the session 2022-23 (Appendix BOM 9.4.10)

Item No 9.4.11: To approve the report containing the minutes of the committee, various activities conducted for ensuring Code of Conduct of students and staff in 2022-23.

The member secretary presented the report of Code of Conduct of students and staff in 2022-23. The Board approved the report containing the minutes of the committee, various




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activities conducted for ensuring Code of Conduct of students and staff in 2022-23 (Appendix BOM 9.4.11)

Item No 9.4.12: To submit the annual report of Student Council for 2022-23 session.

The member secretary presented the annual report of Student Council for 2022-23 session. The Board member approved the annual report of Student Council for 2022-23 session (Appendix BOM 9.4.12)

Item No 9.4.13 To submit the annual academic audit report and its outcome along with ATR.

The member secretary presented the annual academic audit report and its outcome along with ATR. The Board approved the annual academic audit report and its outcome along with ATR (Appendix BOM 9.4.13)

Item No 9.4.14 To report and approve COE Report for 2022-23.

The member secretary presented the report and approve COE Report for 2022-23. The Board approved the COE Report for 2022-23.(Appendix BOM 9.4.14)

Item No 9.5: To apprise and approve the decisions made in 9th Meeting of the Finance Committee held on 13-March-2023.

The Chair apprised the Board about the several decisions that have been made in the finance committee of the University. The decisions taken the meeting are as:

- A. To consider and approve the Budget for session 2023-24 (Appendix BOM 9.5 A)
- B. To approve the fee structure and scholarships for various Programs for 2023-24 (Appendix BOM 9.5 B)



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- C. The seed money and grants for the faculty members as per the last URAB meeting (Appendix BOM 9.5 C)
- D. To apprise about the alumni contribution for the session 2022-23 (Appendix BOM 9.5 D)

The Board approved all the decisions taken at the meeting of the finance committee.

Item No 9.6: To apprise and approve the faculty strength along with carder as per the sanctioned students' Intake for 2023-24

The member secretary presented the faculty strength along with carder as per the sanctioned students' Intake for 2023-24. The Board approved the faculty strength along with carder as per the sanctioned students' Intake for 2023-24 (Appendix BOM 9.6)

Item No 9.7: To apprise and approve the Gender Audit report 22-23 and Gender Sensitization Action Plan for session 2023-24.

The Member Secretary presented the Gender Audit report 22-23 and Gender Sensitization Action Plan for session 2023-24. The Board approved the Gender Audit report 22-23 and Gender Sensitization Action Plan for session 2023-24. (Appendix BOM 9.7)

Item No 9.8: To apprise and approve Annual Report of Quantum University Innovation Council for Session 2022-23

The Member Secretary presented the annual report of Innovation council for session 2022-23. The Board approved the Annual Report of Quantum University Innovation Council for Session 2022-23 (Appendix BOM 9.8)



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Item No 9.9: To approve the various reports by the academic council for their approval.

The Chair appraised the Board about the various reports for the smooth conduction of the University. **The Board approved all the reports undersigned.**

- A. To approve the report of extension activities, report for 2021-22 session. (Appendix BOM 9.9 A)
- B. To submit the annual report of the Student Council for the session 2021-22 (Appendix BOM 9.9 B)
- C. Annual report on Events for Quality Assurance (Appendix BOM 9.9 C)
- D. Annual E-Governance Report (Appendix BOM 9.9 D)
- E. Green Audit/Energy Audit Reports (Appendix BOM 9.9 E)
- F. Internal and External Financial Audit Report (Appendix BOM 9.9 F)
- G. Gender Sensitization Action Plan (Appendix BOM 9.9 G)
- H. Report of Appraisal (Appendix BOM 9.9 H)
- I. Report on Quality Mandate of Quantum University (Appendix BOM 9.9 I)

Item 9.10: To apprise and approve the Placement Report for 2022-23.

The DEEPRO coordinator presented the placement report for 2022-23. **The board approved the Placement Report for 2022-23.(Appendix BOM 9.10)**

Item No 9.11: Any other matter with permission of the chair.

No further discussion was taken.

Item No 9.12: Vote of Thanks




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The meeting ended with Vote of thanks to the members.



Umesh Kumar

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