

# KUMAUN UNIVERSITY

## ORDINANCES – 2010

for

### *Ph.D., D.Litt. and D.Sc. degree Programmes*

(for Faculties of Arts, Science, Education, Law, Technology & Commerce and Management) effective from 2010-2011

#### **(A) DOCTOR OF PHILOSOPHY (Ph.D.)**

##### **Eligibility Criteria**

(a) A candidate for the Ph.D. degree must have a Master's degree of the Kumaun University (hereafter referred to as University) or of any other University incorporated by the law in force and recognized by the Executive Council; provided also that the candidate either,

(i) has secured at least fifty five percent (55%) marks or a grade point average equivalent of 55% marks at the Master's Degree examination. For S.C./S.T. Candidates, the minimum marks shall be 50%.

or

(ii) is a regularly appointed teacher in the University or a College affiliated to the University as per University/State Govt. rules.

(b) A Candidate shall ordinarily be permitted to work for the Ph.D. Degree in the subject in which he/she has obtained Master's Degree, but also that research work leading to Ph.D. Degree may be allowed in allied subjects in the same or an other Faculty, if the Research Degree Committee (RDC) concerned is satisfied that the candidate possesses the requisite qualifications to take up the proposed work. Allied subjects for the above stated purpose must have been approved by the Academic Council of the University.

##### **Procedure for Admission**

(a) The University/Colleges/Centers shall notify the predetermined/ manageable number of seats for Ph.D. students annually depending upon facilities and expertise of eligible Faculty Supervisors. Only the predetermined number of students shall be admitted to Ph.D. programme.

(b) The admission to Ph.D. course shall be done through an Entrance Test to be conducted by the University for eligible candidates and shall be followed by an interview.

(c) The candidates shall be interviewed by the RDC about their research interest/area.

(d) The NET/SLET ( or equivalent) qualified/ teachers (appointed on regular basis) and shall be exempted from the Entrance Test but are required to apply and shall be interviewed and considered together with other candidates at the time of interview for seat allotment.

(e) Reservation Policy of the Government shall be applicable for granting admissions.

##### **Research Supervisor**

(a) Every candidate shall have a supervisor. A supervisor/ guide ( co-supervisor / co-guide) must be:

(i) A regular teacher of the Kumaun University or a college affiliated to it, who holds a research Degree (Ph.D.) and has at least five years teaching experience ( including at least three years PG teaching ). Such a teacher should have at least one year standing in the university college before being recognized as supervisor and must have expertise in related research area. or

(ii) A Scientist or Head of a section of a Research Institute/department / Laboratory recognized for the purpose by the University, who holds a Doctorate's Degree and has at least 10 years teaching or research experience as a scientist/ postgraduate teacher.

(iii) A scholar of exceptional merit, as proposed by the RDC/ Faculty Board and approved by the Academic Council.

(b) Relations of the candidate for the Ph.D. degree shall not act as supervisor. Relations will include father, mother, husband, wife, son, daughter, brother, sister, uncle, nephew, father-in-law, mother-in-law or such other relations, as may be determined by the Executive Council.

(c) No supervisor shall supervise the work of more than 4 candidates in case of an Assistant Professor, 6 candidates in case of an Associate Professor and 8 candidates in case of a Professor at a time.

(d) The allotment of the supervisor for a selected student shall be done depending on the number of students per faculty member, the available specialization among the faculty supervisors, and the research interest of the student as indicated during interview by the student. The allotment/allocation of supervisor shall not be left to the individual student or teacher though their choice may be considered. The Head of the concerned Department/Dean/ Principal shall ensure that in general the students are allotted to those supervisors who have expertise and facilities in the area of interest of the student. The supervisor/ co-supervisor may be present at the time of allotment of seats.

(e) A superannuated teacher may not enroll fresh candidates but may continue supervising for those candidates who had completed most of the work but for others he/ she may continue as co-guide. The superannuated Emeritus Scientists may, however, continue supervising those already registered before retirement.

#### **Place of Work/ Research Centre**

(a) Every research scholar shall work at one of the Campus/ College/ Research Centre recognized by the University.

(b) The Research Degree Committee (RDC) of the subject shall ensure, in the case of Assistant Professors and Associate professors, their ability to be approved as supervisors, which will be based on the quality of published/ project work carried out by them.

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(c) A Co-Guide/ co-supervisor can also be allowed by the RDC for interdisciplinary work. But, either guide or co-guide must be a teacher of this university.

(d) All new research centres and new supervisors (guide/co-guide) have to be approved by the Academic Council on the recommendations of concerned RDC/ Faculty Board as per provisions of the Statutes of Kumaun University.

#### **Recognition of Institute/ Research Centre**

(a) The Institute/Centre concerned shall apply for recognition as centre for conducting research leading to research degree for specified areas of research depending upon facility and experts available. The proposal shall be examined through the respective RDCs including visit by expert team.

(b) On recognition as research centre, the institute/ centre may enroll students for Ph.D. degree as per provisions specified for this purpose.

(c) The senior scientist of the Institute may be recognized as Guide/Co-Guide on the recommendations of RDC.

(d) Joint research programmes with the Institutes may be initiated after signing MoUs for this purpose.

### **Registration/ Course Work**

(a) A pre-registration presentation of the synopsis shall be held in the subject R.D.C. of the University in which the candidate will have to present and defend his/her synopsis and related aspect of his/ her research.

(b) A Candidate shall be registered from the date of his/her application and submission of fees even though the RDC approves the subject at a later date, unless a different date has been specified by RDC.

(c) After his/ her admission, the candidate shall undertake the prescribed course work for one semester (six months). The course work shall be a regular course and a candidate must have 75% attendance. However, a relaxation up to 5 % by the Dean of the concerned faculty and a further relaxation up to 10 % by the Vice-Chancellor may be given to a candidate on reasonable ground citing the reasons thereof. The course work shall be treated as Ph.D. preparation and shall include :

- (i) a course on research methodology which may include Quantitative Methods and Computer Applications.
- (ii) an Advanced Paper in the subject/ area in which the candidate has proposed to follow his/her research work for the Ph.D. degree.
- (iii) reviewing of Published Research in the relevant field. This shall be the minimum qualifying requirement for allowing a student to proceed with further work and the writing of the thesis.
- (iv) There shall be a total of three papers and the course work shall be supervised by the Dean of Faculty and concerned Head/ Convener.

(d) Upon satisfactory completion of the prescribed course work, the candidate shall undertake research work and produce a draft thesis. In case the candidate does not qualify the course, may be given one more opportunity to qualify the course. A candidate who could not appear in the examinations due to shortage of attendance may also be given one more opportunity to qualify the course provided.

(e) Admission/Registration of a candidate in research shall be cancelled by the University/competent authority (as the case may be), if any unsatisfactory report regarding the progress of the thesis and conduct of the candidate is given by the supervisor of the candidate.

(f) Supervisor shall maintain attendance of the research scholars regularly. The attendance, so maintained shall be sent to the Head of the Department and Dean/Principal of the concerned faculty at regular intervals.

(g) The application for registration shall be placed before RDC in each subject consisting of the Vice-Chancellor, The Director R&E, the Dean of the Faculty, Director R&E (or nominee) the Convener of the RDC concerned and three experts to be nominated by the Vice-Chancellor in consultation with the convener of the Board of studies. The Committee shall satisfy itself that the subject and the synopsis offered are such which can profitably be pursued under the guidance of the proposed supervisor, that the candidate possesses the requisite qualifications and that adequate facilities and equipment for work exist at the institution level.

(h) The candidate shall pursue his/her research at the institution assigned, under the supervisor and on the subject approved for not less than twenty-four months commencing from the date of registration and must put in at least 200 days attendance in the department or as permitted by the Academic Council, at the place approved by it (including the headquarters of the supervisor).

- (i) A candidate must have at least three years standing as Master's Degree holder of the subject/ allied subject at the time of submission of the thesis.

**Provided further that –**

- (i) The application for registration and the research synopsis of a candidate must be submitted to the university at least one month before the actual date of the meeting of the R.D.C. of a subject.
- (ii) The maximum time of six months shall be allowed for submitting a revised synopsis. After this period the synopsis submitted shall be treated as withdrawn/cancelled.
- (iii) That a candidate may be allowed to modify the synopsis of his thesis within four calendar years from the date of registration.
- (iv) After the expiry of 5 years from the date of registration the candidate may be granted one-year extension by the Vice-Chancellor provided that the candidate has applied for extension within 3 months before the expiry of the five year period. Unless the extension is granted by the Vice-Chancellor, the name of the candidate shall be removed from the list of those registered for the Ph.D. Degree, after expiry of five year period. The candidate may apply for re-registration within a period of three months from the date on which the period of 5 years or the extended period has expired and, thereafter, he shall be re-enrolled after paying a fresh fee as prescribed and he shall be given a further maximum period of one year from the date of re-registration for the submission of his/ her thesis. The submission of thesis and the payment of fee, both must be done within 5 years or extended period. Thesis shall not be accepted after due date.

**Pre-submission Seminar**

(a) A pre-submission seminar shall be held in the university Department of the subject in which the candidate shall present and defend the thesis work. The pre-submission seminar shall be open to all the faculty members and research scholars of the concerned department and the faculty. The thesis to be submitted must be approved for submission by the majority of the teaching staff of the concerned department after the pre-submission seminar is over. Such an approval must include the university HoD/ convener of the RDC as chairman. The thesis must be forwarded to the University by the convener of the RDC.

(b) Ph.D. candidate shall publish at least one research paper in a refereed Journal before the submission of the thesis for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint.

**Evaluation of the Thesis**

(a) The following documents shall be submitted by the candidate to the University at the time of submission of thesis:-

1. Thesis : 03 copies
2. Summary : 04 copies
3. Synopsis : 03 copies
4. No-dues Certificate (Fee. Receipt, Departmental and Campus Library)
5. CD of the Thesis (PDF File) along with a certificate from Central Library, Kuamun University, Nainital to the effect that the thesis has been scanned through anti piracy software
6. Pre-submission Certificate.
7. No-dues (Central Library of K.U. Nainital).
8. Fee deposition receipt

(b) The candidate shall supply three printed or type written ( typed both sides of the paper) but not published copies of his/her thesis. Published matter may also be incorporated as a part of the thesis. The medium of expression for thesis shall be either English or Hindi (written in Devanagari script)

except in the case of subjects connected with any of the oriental languages, where the thesis may, at the option of the candidate, be presented in that language. The thesis shall be accompanied by a certificate from the supervisor stating :

- (i) that the thesis embodies the work of the candidate himself/herself.
- (ii) that (unless he/she is a teacher in the University/an affiliated college) he/she has put in the required attendance in his/her research centre during that period.

(c) The thesis shall comply with the following conditions :-

- (i) It must be a piece of research work characterized either by the discovery of facts or by a fresh approach towards the interpretation of facts or theories. In either case, it should evince the candidate's capacity for critical examination and sound judgment. The candidate shall communicate how far the thesis embodies the result of his/her advance knowledge in the subject.
- (ii) It shall be satisfactory with respect to language and presentation of subject matter. The examiners will also indicate whether the thesis is suitable for publication in its present form with or without amendments.

(d) Examiners for the thesis shall be appointed only after submission of thesis. The Convener of the Board of Studies and the concerned supervisor shall be requested to suggest panels consisting of six names of examiners each for consideration of the Vice-Chancellor (10 names, in case of Convener being the supervisor). The thesis shall be sent to two examiners selected for the purpose by the Vice-Chancellor out of a panel suggested by the convener and supervisor.

(e) The thesis produced by the Ph.D. student submitted to the University shall be evaluated by two out of which at least one shall be from outside the state.

(f) The Ph.D. examiner shall be required to submit his/her report normally in two months time. He/she may take some more time with permission of the Vice-Chancellor. Thereafter, a fresh examiner may be appointed.

(g) If the examiners recommend that the candidate be asked to improve his/her thesis the Executive Council may permit the candidate to resubmit his/her thesis, not earlier than six months and not later than one year, and under very special circumstances not later than a year and a half, the period being counted from the date of the communication of the decision of the Executive Council granting the permission. In case the candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 2500/- or any other fee prescribed at the time of the re-submission of the thesis but it shall not be necessary for him/her to produce any certificate of further attendance at the institution at which he/she carried on his/her work.

(h) If both the examiners disapprove the thesis, it shall be rejected. In the event of divergence of opinion between the two examiners of the thesis, the thesis shall be sent for evaluation to the third examiner from the panel appointed under the ordinance and his/her opinion shall be final. The re-submitted thesis shall be examined by the old set of examiners.

(i) The University shall have the right to withdraw or cancel the already awarded Degree, if it is found at any date that there is no originality or genuineness in the thesis concerned or if there is any other severe matter according to which it is established that the degree should not have been awarded to the candidate. The supervisor of such a candidate shall also be held responsible for such a work.

### **Viva-Voce Examination**

(a) In case, both the original examiners approve the thesis (or in the event of divergence of opinion between the two, the third examiner approves the thesis), the candidate shall be called upon to appear for a *viva-voce* test before a board of two examiners comprising the supervisor and one of the two persons (selected by the Vice-Chancellor). If both *viva-voce* examiners are satisfied, the case shall be placed before the Executive Council. If the Executive council, after considering the reports of the examiners, considers the candidate worthy of the Ph.D. Degree, it shall approve the Degree.

(b) The Head of the University Department/ convener of RDC of the University shall be the Chairman of the *viva-voce* examination of a candidate.

(c) The *viva-voce* exam of a candidate shall be held at the University Headquarters (unless specially allowed by the Vice-Chancellor).

(d) Not satisfied with the *viva-voce* examination, the candidate shall be asked to reappear (after paying a fee of Rs. 2000/-) at a second *viva-voce* examination within one year but not earlier than six months. If the candidate fails to satisfy the *viva-voce* examiners the second time, his/her thesis shall be finally rejected.

(e) Following the successful completion of the evaluation process and announcements of the award Ph.D. the University shall submit a soft copy of the /Ph.D. thesis to the UGC within period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

(f) Along with the Degree University shall issue a Provisional Certificate certifying the effect that the Degree has been awarded in accordance with the provisions of the ordinance.

### **(B) DOCTOR OF LETTERS/ LITERATURE (D.Litt.)/ DOCTOR OF SCIENCE (D.Sc.)**

(a) A Candidate for the D.Litt. / D.Sc. Degree must be either a Doctor of Philosophy of this University with at least two years' standing, or a Doctor of Philosophy of at least two years standing of another University recognized by the Kumaun University.

(b) The candidate shall be required to join a recognized research centre of the university for at least 200 days, as provided in the Ph.D. Ordinances. During this period, he/she will have to engage himself/herself in academic work (including delivering lectures etc. to students). The candidate shall remain under the administrative and academic control of the Head of the Department and Dean/ Principal concerned.

(c) A Candidate for the D.Litt. or D.Sc. Degree must apply to the University on a prescribed form along with 10 copies of the synopsis and copies of the documents concerning :-

(i) his/her qualifications and experience,

(ii) the subject on which he/she proposes to work, and

(iii) the synopsis stating purpose of study indicating the original contribution to knowledge which the thesis proposes to make and which will bring to light material not yet known or used by scholars, or a fresh original interpretation of already known facts.

(iv) The application shall be supported by two senior members\* of the concerned department of the University or two subject professors of any University, who shall testify that the candidate is a proper person to supplicate for the degree.

(\* ) Senior means the concerned teacher must have at least 10 years of postgraduate teaching experience

The application shall be accompanied by the prescribed fee.

If the application is entertained, the balance fee prescribed shall be paid at the time of the submission of the thesis.

- (d) The application shall be placed before the Research Degree Committee of the subject concerned and the candidate shall attend the pre-registration interview.

If the application is approved by the Academic Council, the candidate may submit his/her thesis at any time not earlier than two years and not later than 6 years (including extended period) from the date on which he/ she was permitted to work for the degree (time will be counted from the date of registration). In case the candidate does not submit his/her D.Litt. or D.Sc. thesis within 5 calendar years from the date of registration, the permission granted to him/her shall lapse, unless the time is extended by the Vice-Chancellor, (which will not exceed one year) and thereafter the name of the candidate shall be removed from the registered list.

- (e) A Pre-submission seminar shall be held in the University Department of the subject with Convener as Chairperson. The candidate who is ready to submit his/her D.Litt./D.Sc. thesis shall present and defend his/her thesis work. This pre-submission seminar shall be open to all the faculty members and research scholars of the concerned department and the faculty. The thesis to be submitted must be approved, after the seminar, by at least a 2/3rd majority of the teaching staff of the concerned department. This approval must include the approval of the HoD/ Convener of RDC concerned and thesis must be forwarded by the convener of the R.D.C.
- (f) At least three research publications out of the work being carried for the degree, in refereed journals of the subject, which in the opinion of the HoD/Convener are standard journals, are necessary before the pre-submission seminar (stated above) is held.
- (g) The Convener of the Board of Studies/ RDC shall be requested to suggest a panel of 10 names for the consideration of the Vice-Chancellor. Three Examiners for thesis ( two from out of state) shall be appointed from a panel of experts given by the Convener.
- (h) A Candidate shall not be allowed to submit as a part of his/her thesis any paper or papers on the basis of which a degree has already been conferred on him/her by us or any other university, but he/she shall not be precluded, from incorporating a work which has already been submitted by him/her for a degree in the thesis covering a wider field, provided that he/she shall indicate the extent of the work so incorporated. The thesis submitted must be satisfactory as regards its literary form and, if not already published, must be in a form suitable for publication. The medium of expression for every thesis shall be English or Hindi (written in Devanagari script) except in the case of subject connected with any of the languages where the thesis may, at the option of the candidate, be presented in that language.
- (i) After the thesis is completed, the candidate shall submit four printed or typewritten copies of his/her thesis, together with the fee. The candidate shall indicate how far his/her thesis embodies the result of his/her research and in what respects his/her investigation appears to him/her to advance the bounds of knowledge. He/she shall also state what authorities/references or other sources he/she has utilized in preparing his/her thesis and shall submit in support of his/her candidature, any paper or papers which he/she may have published independently or jointly. The thesis must be a piece of original research work characterized either by the discovery of facts or by a fresh approach towards interpretation of facts or theories. In either case, it should evince the candidates capacity for critical examination and sound judgment.
- (j) On its receipt, the thesis shall be sent to three persons selected by the Vice- Chancellor out of the panel of 10 persons suggested by the Convener of RDC.  
If two of the three examiners do not approve the thesis, it shall be rejected, but if only two examiners approve it, the thesis shall be sent for evaluation to fourth examiner from the panel and his/her opinion shall be final.

(k) In case all the three original examiners approve the thesis or, in the event of divergence of opinion between the original three, the fourth examiner approves it, the candidate shall be called upon to appear for a *viva-voce* test before a Board of two external examiners who approved his/her thesis. If both the *viva-voce* examiners are satisfied, the case shall be placed before the Executive Council. If the Council, after considering the report of the examiners, considers the candidate worthy of the D.Litt. or D.Sc. Degree (as the case may be) it shall approve the degree.

(l) In case the recommendation of *viva-voce* examiners differ from those of the thesis examiners, or there is a difference of opinion between the *viva-voce* examiners, the candidate may be asked to re-appear after paying a fee at a second *viva-voce* examination within one year but not earlier than six months from the date of the first *viva-voce*. If the candidate fails to satisfy the *viva-voce* examiners the second time, his/her thesis shall be finally rejected.

(m) If the examiners recommend that the candidate be asked to improve his/her thesis, the Executive Council may permit the candidate to re-submit his/her thesis not earlier than six months and not later than one year, after the date of the resolution of the Executive Council granting the permission. In case a candidate is allowed to re-submit his/her thesis, he/she shall have to pay a fresh fee of Rs. 5000/- or any prescribed fee at the time of submitting his/her thesis.

(n) The Head of the Department / Convener of RDC shall be the Chairperson of the *viva-voce* exam of a candidate. Both the *viva-voce* exam and the pre-submission seminar of a candidate both shall be held under control of the Head of the Department, but the examiners' board of the *viva-voce* exam shall remain as prescribed in these ordinances.

(o) Regarding attendance, cancellation of admission or registration, cancellation of the already awarded degree and research centre, the relevant clauses of the Ph.D. Ordinances (with the supervisor replaced by the / Convener HoD) shall apply here too.

## Special Instructions

- i. The contents of the thesis submitted in CD to the library shall be as single PDF file and shall not be different from what has been presented in the thesis. The candidate shall be required to submit the CD along with a certificate from the Central Library, Kuamun University, Nainital to the effect that the thesis has been scanned through anti-piracy software
- ii. The thesis may be written in Hindi or English unless it relates to any other language (typed/ printed **on both sides of paper**).
- iii. Additionally, the file should contain the following information:
  - (a) Abstract / Summary of the thesis (200-300 words)
  - (b) Key words ( up to 9)
  - (c) Author's name and address
  - (d) Supervisor's name
  - (e) Project's name under which work was carried out, if any
  - (f) Funding/ Fellowship granting agency's name

## Fee Structure

1. Entrance Test (form and Fee)	Rs. 1000/-
2. Counseling Fee (To be paid at the time of counseling)	Rs. 1000/-
3. Registration Fee (in two installments) :	
(a) First Installment (at the time of submission of registration Form)	Rs. 5,000/-
(b) Second Installment (at the time of submission of Ph.D. thesis)	Rs. 5,000/-
Second Installment (at the time of submission of D.Sc./ D.Litt. thesis)	Rs. 15,000/-

## **Remuneration**

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| 1. Thesis evaluation (Ph.D./ D. Sc. / D. Litt.) | Rs. 1000/- |
| 2. <i>Viva voce</i> test                        | Rs. 500/-  |

## **Directorate of Research & Extension Kumaun University**

### ***Rules and Regulations for Research Projects/ Programmes/Fellowships***

#### **A. General**

- (1) These rules and regulations will be applicable to :
  - (a) Projects sanctioned to teaching faculty by funding agencies
  - (b) Programmes such as COSIST and SAP of UGC and FIST of DST and such other Advanced Centres.
  - (c) Fellowships, Research Finance Assistance granted to Research Scholars/ Young Scientist Schemes
  - (e) Emeritus Fellowships/ MoUs
  
- (2) The project grants will be governed by the terms and conditions laid down by the concerned Funding Agencies in conformity with the general rules and regulations of Kumaun University/State Government.
  
- (3) (a) Research Project Cells, one each at Nainital and Almora Campuses to be supervised by the Director/ Joint Director R&E under the financial control of respective Assistant Accounts Officers, who shall deal with day to day requirements of project funds by the PIs/ Departments. The programmes of Bhimtal campus shall be operated from the Nainital Campus.  
  
(b) The Directorate of R&E will monitor technical progress and fund utilization of different projects. Periodic grants will be released to Assistant Accounts Officers of the Campuses, as and when the grants are received from the Funding Agencies.
  
- (4) Institutional / Overhead Charges
  - (i) A 50% deduction from the overhead//Institutional charges shall be deducted at source towards university funds for rendering services to the PIs, to provide staff salaries or wages and contingencies in the Directorate of R& E and towards development fund of the university. Part of this ( to the extent of 10%) may be used for payment of overtime to the existing staff involved in the project related work.
  
  - (ii) Remaining 50% shall be transferred to the Campus Research Cells. Part of this ( to the extent of 15%) may be used for payment of overtime to the existing staff involved in the project related work in the Campus. Remaining amount may be used for creation of the facilities for smooth conduct of the project on the recommendation of the PI and HoD.
  
- (5) (a) The funds received for a research project will be deposited under Saving Account in a bank by the University / A.A.O and reported to Directorate of R&E.

- (b) Separate accounts/ledger will be maintained for individual projects on the pattern of the regular accounts of the Kumaun University.
  - (c) The accounts of the funds placed at the disposal of the AAO will be subject to periodic auditing by the Internal Auditor of the University before regular auditing by the Government Auditors.
  - (d) It will be the responsibility of individual Principal Investigator to remove audit objections in the matter of his/her own project, while the preparation of Statement of Accounts and Utilization Certificate will be the responsibility of the AAO/Directorate of R& Extension.
- (6) Re-appropriation in different budget heads and other changes will be allowed only with the prior approval of the concerned Funding Agency.
- (7) Equipment and other articles acquired out of the project fund will be the property of Kumaun University unless otherwise stated in the terms and conditions of the award of the project.
- (8) If and Principal Investigator has to leave Kumaun University for the duration longer than three months, the project will be looked after by the co-Investigator as co-PI with the approval of the Funding Agency. If this is not possible or the PI leaves the place for longer period than 6 months the project shall be closed.
- (9) The Principal Investigator shall submit Annual Progress Report and the Final Technical Report to the Funding Agency in due time with intimation to the Directorate of R&E along with a copy of the report.
- (10) The project proposal in the prescribed Performa, will be forwarded by the Head of the Department / Dean and scrutinized by the R&E Directorate before being transmitted to the funding agency. The Director will ensure that :
- (i) the University is in a position to provide basic minimum facility,
  - (ii) there is no duplication of work and or equipment in the Faculty and
  - (iii) demand for overhead/ Institutional changes has been made in the budget estimates.

## **B. Appointment and Termination of Services of Project Staff**

The following procedure will be followed in the appointment of the project staff, whatever the category :

- (a) The Principal Investigator (PI) will advertise the positions in the newspaper for wider circulation or if the project is small, the PI shall send the advertisement to the concerned departments in various universities/colleges. Copies of the circular letter (advertisement) will be prominently displayed in the notice boards of the Department and of the Dean's/Directorate of R& E.
- (b) The PI will request the Director R&E/ VC to constitute a Selection Committee, the convener of which will be the PI himself/ herself and HoD/ Dean, besides one member will be from out side department which has relevance with the project objectives.
- (c) The PI will convene the meeting of the Selection Committee for interview of eligible applicants.
- (d) The recommendations for appointment of the Selection Committee shall be forwarded to the Director R&E for approval which shall then be communicated to the following :
  - (i) Funding Agency
  - (ii) Registrar of Kumaun University.

(3) On the completion of the project, the PI will inform the project staff one month in advance of the termination of its tenure. All project positions are entirely temporary, filled for the duration of the project tenure. Kumaun University does not take any responsibility of absorbing the holders of these positions.

(4) If the PI is not satisfied with the performance of any person in the project staff, notice will be given in writing to the person concerned demanding explanation. Simultaneously, the Director R&E will be

informed. The Director will give approval for the termination of the services on the basis of the recommendation of the enquiry committee constituted specifically for the purpose. Copies of the termination letter would be sent to :

- (i) Director R&E
- (ii) Funding Agency
- (iii) Registrar of Kumaun University.

The dispatch register of the Department / PI will show entries of all the correspondence mentioned above.

### **C. Purchase of Major Equipment**

(1) (i) The PI will procure items from Kumaun University / DGS&D Rate Contracts.

(ii) If the item is not in the rate contract or not satisfied with the quality of specified item he shall invite quotations (Appendix 1) (the Dispatch Book should show entry of correspondence) and prepare comparative price table for each item. The financial rules of Uttarakhand Shasan G.O. No. Finance Department No. 177/XXXVII (7)/ 2008 dt. 01 May, 2008 shall be followed (summary appended).

(iii) The PI will request the Director R&E through Head (for items costing above Rs 1,00,000/-) for constituting Equipment Purchase Committee (EPC) which shall consist of the PI as the convener, Head of the Department and AAO. The Convener (PI) will convene the meeting of the EPI for selecting appropriate items. The EPC will record in writing the justification for the choices, appending signatures of every member. The PI will place order (Appendix 2) on the basis of the recommendation of EPC.

Prior permission of the Director R&E shall have to be taken for the purchase.

(2) On receipt of the equipment/ articles, after due verification by the PI, entry will be made in the Stock Book of the Department and also of the stock Register specifically maintained for the project (Appendix 3). The equipment shall be issued to the PI for the duration of the project.

(3) The bill along with copies of letters inviting quotation, comparative price table, order and Certificate of Stock-Book Entry (Appendix 3) attached with the covering letter (Appendix 4) will be forwarded through Head of the department to the AAO for payment.

### **D. Contingency / Travel Grants**

(1) The contingency grants may be utilized for the maintenance and repair of equipment, stationery and other supplies, photocopying research material, postage, analysis of samples or any other such requirement of the project.

(2) TA/DA :

(a) In order to avail of TA/DA, permission of the Director R&E through Head of Department is required for moving out of the Head Quarters (Appendix 5).

(b) Travel allowances for the approved fieldwork/travels will be admissible according to the rules applicable to the staff of Kumaun University.

(3) Participation in Seminars/Workshops

- (a) Subject to the availability of the fund and provision in the project sanction letter, participation will be permissible with the following conditions :
- (i) copy of the invitation letter from the organizers will be attached with application for TA/DA
  - (ii) A copy of the abstract of the paper to be presented.
- (b) The above mentioned rule is applicable for visiting laboratory/ library where facilities other than those of the concerned Department exist.

## **E. Use of Vehicles**

- (a) The project vehicle if available in the Department, is meant only for field work or academic activities related to the project and of the Department concerned.
- (b) The project vehicle would be requisitioned for field work/academic work on a prescribed Performa (Appendix 6), and on payment of charges as per rates prescribed by Kumaun University from time to time.
- (c) The project vehicle cannot ordinarily be used for private purpose. However, in exceptional cases the vehicle may be taken as per the following procedure
- (i) the requisition form will be filled before the use of the vehicle and prior permission of the PI/Vehicle Incharge is obtained,
  - (ii) the charges for the use of the Vehicle is paid by cheque immediately after the use, and
  - (iii) the Driver of the Vehicle shall be paid over time allowance for the duration in excess of 8 hours per day by the person requisitioning the vehicle.
- (5) The PI shall be entitled to hiring full taxi for fieldwork or travel for acquiring materials only with prior written permission from the Director R&E/ V.C.
- (1) Prior Permission (Appendix 7) from the Director R&E through PI will be required to carry out field work related to the project. The application should specify :
    - (i) Area of fieldwork
    - (ii) Estimated expenditure, given item-wise breakup.
  - (2) On the approval of the PI, the RPC will advance the sanctioned amount of the PI/Research Scholar.
  - (3) The length of the field work would not normally exceed 10 days or a time unless the project is field-based in which case the maximum duration of fieldwork would be days/year.
  - (4) The PI and/or Research Scholar (s) will be required to submit formal report on the work done in the field within 10 days of the return from the field. Non-submission of report will deprive the workers(s) of further advance for this purpose.
  - (5) Within 15 days of return from fieldwork, the recipient of money will submit to the AAO through the PI the Statement of Expenditure incurred against the advance.

## **F. Closing / Termination of Project**

- (1) On the completion of the project, the apparatus non-consumable article and books, purchased out of the project grant will be returned to the Department.  
A certificate to this effect shall be issued by the Head of the Department (Appendix 8). Unless stated otherwise in the sanction letter from the Funding Agency, all articles purchased from the project funds become the property of Kumaun University.
- (2) The PI will submit within three month of the completion date, a comprehensive Final Technical Report (FTR) bringing out the results achieved in context of the original objectives stating the methodology followed, and highlighting new contributions.  
Copies of FTR will be kept in the Directorate of R&E.

(3) There will be an open-house seminar on the project within a month of the submission of the FTR. The Director R&E will preside over the Seminar.

(4) The PI will submit to the Funding Agency the detailed Statement of Accounts of the project with the help of the AAO office.

**Appendix 1**

**Kumaun University Campus Nainital/Almora**

Project/ Programme/ Department :  
Reference No.:                                      Date ...

To  
M/S .....  
.....

Subject : Quotation for .....

\  
Dear Sir,

Please quote the current price of the articles mentioned below along with your terms and conditions, if any. The last date of receiving quotation is 25 days from the date of dispatch of this letter.

S.No.	Name of the Articles	Details/ Specification
1.		
2.		

Yours faithfully,

PI/ Head

**Appendix 2**

**Kumaun University Campus Nainital/Almora**

Project/ Programme/ Department :  
Reference No.:

Date ...

**PURCHASE ORDER**

To,  
M/s .....  
.....

Dear Sir,

With reference to Kumaun university Rate Contract No. dated .../ your quotation No. .... dated ..., please supply the articles mentioned as under/ in the Attached list within one month from now.

The rates are on f.o.r. Nainital/ Almora/ Bhimtal terms.

The bill be submitted in triplicate along with the supporting vouchers, if applicable.

Please note that the items not approved/ defective/ broken will be returned at your cost.

Kindly acknowledge receipt of this order.

Thanking you,

Yours faithfully,

PI/ Head

### Appendix 3

## Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

### CERTIFICATE OF STOCK-BOOK ENTRY

In the hereby certified that the item ..... purchased for project ..... which is funded by .....has been duly entered in the Stock Register of the Department of Page ..... It is further certified that the said article has been issued to Dr.....PI of the project, for the use in his project.

Store Incharge/Store-keeper

Head of the Department

Date :

The article has been received in good condition.

PI

Date :

### Appendix 4

## Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

Project Title (Short) :

- (1) Certified that the articles entered in bill No ..... dated..... supplied by M/S..... have been received in good condition, their quantities, quality, specifications and the rates are as per order. The articles mentioned therein have been entered in the Stock Register of the project (page.....) and of the Department (page.....).
- (2) Certified that no other bill on this account has been passed and the bill is being presented for the first time for payment.
- (3) The purchase has been made on the basis of University rate contract/ DGS&D R.C./ tender/ quotations invited specifically for the articles concerned.

Signature of P.I.  
Department of .....

Date:

### CERTIFICATE OF PAYMENT

Department ..... Bill No..... Date.....  
Firm.....  
Amount Paid Rs..... Bank charges/ M.O.C. Rs. ....  
Payment has been made on .....

Accountant ..... Asstt. Account Officer  
Almora/Nainital to Campus, Kumaun University, Nainital

### Appendix 5

## Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

Funding Agency :

### Movement/ Travel Order

1. Name of the Research Workers (s) :
2. Place-(s) to be visited
3. Purpose of visit
4. Mode of journey  
(If traveling by Departmental vehicle, give particulars of the vehicle and driver).
5. Duration of travel and date and time of departure
6. Advance received
7. Remarks, of any

8. Recommendation of P.I.  
Date.....

Head  
Department of.....

### Appendix 6

Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

Requisition for the Vehicle

- 1. Name of the person requisitioning the vehicle
  - 2. Designation
  - 3. Purpose for which the vehicle is requisitioned (in brief)
  - 4. Place(s) of visit
  - 5. Approximate distance to be covered (in kilometers)
  - 6. Date and time when the vehicle is required (Also please mention the place where the vehicle is required)
- Signature of the person Requisitioning the vehicle

- 7. Specific recommendations / Allowed/ Disallowed

Permission of the vehicle I/C

Head of the Department

Kilometer Readings :

- (a) At the time of completion of the journey.....km
- (b) At the time of commencement of the journey .....km

Total distance covered .....

Driver's Signature  
 Requisitioning the vehicle/  
 By whom journey was performed

Signature of the person

PAYMENT MADE :

By Cash/cheque No..... Dated..... for Rs.....

**Appendix 7**

Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

Field Work/Laboratory Analysis/  
Library Consultation

- 1. Name of the Research Worker (s)
- 2. Place (s) to be visited
- 3. Duration : from..... to ..... days.....
- 4. Research work to be done (in brief) .....
- .....
- .....

5. Purpose of proposed work
6. Approximate expenses anticipated (give break-up of Estimates)

Date..... Signature of Researcher

Permission Granted/Not Granted

Principal Investigator

Note :

- 1 No visit is permitted without answering specifically the above-mentioned queries and without prior permission of the Principal Investigator.
2. A report must be submitted to the Principal Investigator after field trip.

## Appendix 8

### Kumaun University Campus Nainital/Almora

Project/ Programme/ Department :

Reference No.:

Date ...

Deposition of Project Articles to Departmental Store

Certified that Dr.....

has returned .....

.....

.....

of the project .....

funded by ..... issued to him/ her

on .....

Store-In charge/ Storekeeper

Date ...

Head of the Department

Date .....

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1-dz;@ewY; ojh;rk % jkT; ds HkkSxksfyd {ks= dh lhek esa  
fofuZfer djus okys y?kq dqVhj m/kksx @ [kknh @ lw{e  
m/kksx dks dz; ewY; esa ojh;rk ns ldrh gSaA

2-lkexzh ds fy;s fcuk nj lwph] (dksVs”ku )ds dz; % tgkWa  
dz; dh tkus okyh lkexzh dk ewY; :0 15]000@&¼:0 iUnzg  
gtkj ½ rd gks] izR;sd ,sls volj ij ,slh lkexzh dh vf/kizkflr fcuk  
dksVs”ku ds [kqys cktkj nj ds vk/kkj ij l{ke izkf/kdkjh }kjk  
fuEukfdr izk:lk esa izek.k&i= vfHkfyf[kr djus ij dh tk ldrh  
gSA

eSa ----- O;fDrxr :lk ls larq’V  
gwWa fd esjs }kjk dz; dh xbZ lkexzh -----  
----- visf{kr fof”k’fV;ska rFkk xq.koRrk ds vuq:lk  
gSa vkSj fo”oluh; vkiwfrZ drkZ ls mfpr njksa ij dz; dh  
xbZ gSaA

gLrk{kj -----  
vf/kdkjh dk uke-----

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inuke -----

3-dz; lfefr ds ek;/e ls lkexzh dk dz; % izR;sd volj ij :0  
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okyh lkexzh dk dz; foHkkxk/;{k @ dk;kZy;k/;{k }kjk LkE;d :lk  
ls xfBr rhu leqfpr Lrj ds lnL;ksa dh LFkkuh; dz; lfefr dh

LkaLrqfr;ksa ij fd;k tk ldrk gSA bl izfdz;k esa fo"ks'k :lk ls izf'k{k.k izklr vf/kdkjh @deZpkjh gksxk tks vf/kizkflr laEcU/kh foRrh; fu;eksa ij ijke"kZ nsxkAaa ;g dz; lfevr njksa dh xq.koRrk@ fo"r'Vrk lqfu"pr djus ds fy;s cktkj dk losZ{k.k djsxh vkSj dz; vkns"r nsus dh laLrqfr ls iwoZZ lfevr ds lnL; la;qDr :lk ls ,d fUkEu izek.k&i= vfHkfyf[kr djsaxs %& **izekf.kr fd;k tkrk gS fd gekjk ¼1½-----**

**¼2½-----¼3½----- dk O;fDrxr vkSj l;qDr :lk ls lek/kku gks x;k gS fd ftl lkexzh ds dz; dh laLrqfr dh xbZ gS og visf{kr fo"r'Vrkvksa vkSj xq.koRrk okyh gS A bldk ewY; orZeku cktkj nj ds vuqlkj gS vkSj ftl vkiwfrZ drkZ dh laLrqfr dh xbZ gS og fo"oluh; vkSj iz"uxr lkexzh dks vkiwfrZ djus esa l{ke gSA**

<b>gLrk{kj ¼1½</b>	<b>¼2½</b>	<b>¼3½</b>
<b>uke</b>	<b>uke</b>	<b>uke</b>
<b>inuke</b>	<b>inuke</b>	<b>inuke</b>

**4& nj lafonk ds v/khu lkexzh dk lh/ks dz;%&**

¼1½ ,slh lkexzh vkSj enkssa ds fy,] ftUgsa lkekU; mi;ksx dh enksa ds :lk esa fpfUgr fd;k x;k vkSj ftudh ljdkjh foHkkxksa vkSj ,stsUfl;ksa dks ckj&ckj vko";Drk gksrh gS muds fy, jkT; ljdkj ;k iz"kklfud foHkkxksa dh inukfer dsUnzzh; dz; lfevr }kjk nj lafonk dh tk ldrh gSA foHkkx@ "kklu ;g lqfu"pr djsxk fd nj lafonk ds ewY;] cktkj Hkko ;k vU; laxBuxsa esa leku nj lafonkvksa esa fn, x;s ewY; ls vf/kd u gkasA

¼2½ nj lafonk;sa lkekU;r% ,d le; esa ,d o'kZ ds fy, dh tk ldsaxhA ,slh lkexzh ds fc'k; esa ftuds ewY; esa fujUrj mrkj&p<ko gksrk jgrk gS ;k tgkWa nj lafonk ds oS| vof/k esa ewY;ksa ds de gksus dh izo`fr gks] vYi vof/k ds fy, nj lafonk dh tk ldrh gSA

**5& foKkiu }kjk fufonk i`PNk %&**

¼1½ :0 25]00]000@& ¼:0 iPphl yk[k½ rFkk mlls vf/kd dh vuqekfur ykxr dh lkexzzh dh vf/kizkflr ds fy, de ls de nks O;kid ifjpkYu okys jk'V^h; lekpkj i=ksa esa foKkiu }kjk fufonk vkeaf=r dh tk; A bls de dher dh lkexzh dh vf/kizkflr O;kid ifjpkYu okys LFkkuh; lekpkj i=ksa vkSj fo"ks'k ekeys esa

O;kid ifjpkYu okys ,d jk'V<sup>a</sup>h; lekpkj i= esa foKkiu ds ek/;e ls dh tk;A

¼2½ fufonk i`PNk ls IEcfU/kr IHkh nLrkost] ftuesa fufonk dh "krsaZ vkSj fucU/ku] vuqcU/k dk izk:l] lkexzh dk fooj.k vkSj xq.koRrk vkfn gksxh] igys ls gh rS;kj fd;s tk;sa ] nLrkost foHkkx@laxBu dh osclkbV j[ksa tk;sa vkSj IEHkkfor fufonknkrkvksa }kjk osclkbV ls mrkj dj

¼MkmuyksM½ nLrkostksa dk mi;ksx fd;k tk;s A ¼3½ ;fn foHkkx dks izrhr gks fd visf{kr xq.koRrk ]fof"krVrkvksa dh lkexzh ns"ka esa miyC/k ugha gks ldsxh vkSj fons"ka ls mi;qDr izfr;ksxh izLrkoksa ij fopkj djuk vko";d gS rks foHkkx] fufonk lwpuk dh izfr;ka fons"kk esa Hkkjrh; nwrkoklksa vkSj Hkkjr esa fons"kh nwrkoklksa dks Hkst ldrk gSA

¼4½ U;wure le; fufonk lwpuk ds izdk"ku dh frfFk ls vFkok fufonk nLrkostksa ds fcdzh ds fy, miyC/k gksus dh frfFk ls rhu llrkg fn;k tk;sa ;fn foHkkx fons"kks ls Hkh fufonk,a izklr djus dh vis{kk djrk gS rks ns"kh vkSj fons"kh nksuksa fufonkvksa ds fy, U;wure vof/k pkj llrkg gksxhA

**6%& ,dy lzksr i`PNk%&**

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d & miHkksDrk foHkkx dks bl ckr dh tkudkj gS fd visf{kr lkexzh dk fofuekZ.k fdlh ,d fo"ks'k QeZ }kjk fd;k tkrk gSA [k& vkikr fLFkfr esa visf{kr lkexzh dk fdlh fo"ks'k Lkzksr ls dz; fd;k tkuk vko";d gS vkSj ,sls fu.kZ; ysus ds dkj.k vfHkfyf[kr djus gksaxs rFkk og l{ke izkf/kdkjh }kjk vuqeksfnr gksA

x& e"khuksa ;k ,sls dy iqtksaZ ds ekudhdj.k ds fy, ] tks fo/keku midj.kksa esa mi;ksx fd;s tkus ds fy, mi;qDr gSa ] l{ke rdudh fo"ks'kK ds ijke"kZ rFkk Lk{ke izkf/kdkjh ds vuqeksnu ls visf{kr ensa dsoy ,d fo"ks'k QeZ ls gh [kjnh tk ldsaxh vkSj ,sls dz; ds fy, l{ke izkf/kdkjh }kjk fuEu izek.k&i= vfHkfyf[kr fd;k tkuk pkfg,%&

**vHkh'V lkexzh@lsok;s eSIIZ -----**  
**-----}kjk fofufeZr @fu'ikfnr dh**  
**tkrh gSA fuEufyf[kr dkj.kksa ls dksbZ vU; esd@ekWMy**  
**Lohdk;Z ugh gSaa& -----**  
**----- i=@i=koyh la- -----**

----- fnukad ----- ij l{ke  
izkf/kdkjh dh lgefr izklr dj yh xbZ gSA  
vf/kizkflrdrkZ ds gLrk{kj -----

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inuke -----  
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**7& fufonk iz.kkyh%&**

¼1½ ,dy fufonk iz.kkyh ,slh enksa dh vf/kizkflr gsrq ftuds fy, dksbZ iathd`r vkiwfrZdrkZ u gks :0 5 yk[k] rd ds dz; gsrq ,dy fufonk iz.kkyh dk fodYi viuk;k tk ldrk gS ftlesa l{ke izkf/kdkjh }kjk tkjh fd;s x;s fofgr izi= ij enksa dh fof`k`Vrk;sa vkSj foRrh; fufonk ,d lkFk izLrqr dh tk;s A

¼2½ nks fufonkvksa okyh iz.kkyh & tfVy ,ao rduhdh izd`fr ds eagxs midj.k ] e`khuksa vkfn dh vf/kizkflr gsrq fufonk;sa nks Hkkxksa esa vkeaf=r dh tk ldrh gSa%& d& rduhdh fufonk;sa ftlesa O;kikfjd “krksZ vkSj fucU/kuksa ds lkFk leLr rduhdh fooj.k gksaA [k& foRrh; fufonk esa rduhdh fufonk esa mfYyf[kr enksa ds fy, enokj ewY; dk mYys[k gksuk pkfg;sa

**8& foYkEc ls izklr fufonk %&**

foKkiu rFkk lhfer fufonk ds izdj.kksa esa nsj ls izklr fu/kkZfjr frfFk@le; ds ckn izklr fufonkvksa ij fopkj u fd;k tk;sA

**9& fufonk izfrHkwfr vFkok /kjksGj /kujkf`k %&**

¼1½ foKkiu ;k lhfer fufonk i`PNk ds izdj.k esa fufonk nsus ds ckn fufonk okil ysus dh n`fV ls fufonknkrkvksa ls ] mudks NksM+dj ftUgsa fof/k ,ao fu;eksa ds fof`k`V izkfo/kkuksa ds vUrZxr NwV nh xbZ gks fufonk izfrHkwfr ¼ ftls /kjksGj /ku jkf`k dgk tkrk gS ½ yh tk;sxhA fufonk izfrHkwfr lkekU;r% lkexzh ds vuqekfur ewY; ds 2 ls 5 izfr`kr rd yh tk;sxhA izfr`kr dk fu/kkZj.k lkexzh ds lEiw.kZ ewY; ij fUkEukuqlkj fd;k tk;sxk %&

- 1- :0 1-00 yk[k rd & 5 izfr`kr
- 2- :0 1-00 ls 5-00 yk[k rd & 4 izfr`kr
- 3- :0 5-00 yk[k ls 25-00 yk[k rd & 3 izfr`kr
- 4- :0 25-00 yk[k ls vf/kd ij & 2 izfr`kr

**10& dk;ZHkwfr izfrHkwfr %&**

1&dk;ZiwfrZ /kjkskj vkiwfrZdrkZvksa@fufonknkrkvksa ds  
lafonk ls lacfU/kr IHkh nkf;Roksa dks ftlesa okjaVh lac/kh  
nkf;Ro gSa] iwfrZ djus dh vof/k iwjh djus ds fnol ls 60 fnu  
ckn rd oS/k gksuk vko”;d gSA  
2&lQy fufonknkrk }kjk dk;ZiwfrZ /kjkskj izLrqr djus ds ckn  
mldh fufonk izfrHkwfr okfil dj nh tk;A

## Kumaun University Directorate of Research & Extension

No. KU/ DR&E/ Ord./2010/ 65      January 12, 2010

The Vice Chancellor  
Kumaun University  
Nainital

**Subject: Submission of Final Drafts of Kumaun University Research Ordinances-2009 and Rules for operation of Research Projects.**

Sir,

I enclose here with the hard copies of :

1. KUMAUN UNIVERSITY ORDINANCES – 2010 for Ph.D., D.Litt. and D.Sc. degree Programmes (for Faculties of Arts, Science, Education, Law, Technology & Commerce and Management) effective from 2010-2011, approved by the Academic Council and Executive Council in their meetings of 31<sup>st</sup> December, 2010.
2. Rules and Regulations for operating Research Projects/ Programmes/ Fellowships in the Campuses of the university. The summary of financial rules issued by the state government are also being appended.

The university may wish to go through them and take further action as per provisions given therein.

Regards

Yours faithfully,

Prof. (C.C. pant )  
Director, Resarch &Extension  
Kumaun University

- Encls.: 1. Research Ordinances  
2. Rules and Regulations for operating Research Projects