

# **PHD RULES AND REGULATIONS-2018**

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**(Accepted by the 87th meeting of Board of Management held on 11<sup>th</sup> June, 2018)**



## **TEZPUR UNIVERSITY**

**TEZPUR: NAPAAM**

**SONITPUR ,ASSAM**

**Ph D Rules and Regulations- 2018**

**Introduction**

The objectives of the University as enshrined in the Tezpur University Act 1993 (First Schedule Para-4) require it to promote research in the emerging areas of science and technology, humanities, and social sciences with special and direct relevance to the north-eastern region of India. The University shall lay special emphasis on the studies of inter-disciplinary nature and those, which address the issues relating to the unique socio-cultural milieu of the region.

**Definitions**

“**Research**” means systematic study or investigation in order to discover new knowledge in the form of facts/patterns or new interpretation of ideas or inventions of new devices.

“**Doctor of Philosophy (Ph. D.)**” signifies that the awardees of the degree have successfully attended the stipulated course syllabi and undertaken a substantial piece of original research, which has been conducted and reported by the holder under proper academic supervision, and in a research environment for a prescribed period.

“**Research Student**” means a student who is admitted to Ph. D. program of Tezpur University through the procedures adopted by Tezpur University.

“**Supervisor**” means a member of the faculty of Tezpur University who supervises the research work carried out by the student/candidate for Ph. D. “**Co-supervisor**” means a person who may or may not be a member of the faculty of Tezpur University, who is recognized by Tezpur University to supervise the research work of a student jointly with a Supervisor.

“**Research Committee (RC)**” is the apex body that administers the research programs of the University. The Vice-Chancellor of the University constitutes the committee. The Research Committee shall consist of:

- (1) all Deans of the Schools and Dean, Research and Development,
- (2) all Heads of the Teaching Departments, and
- (3) fifteen professors nominated by the Vice-Chancellor as members.

The Vice-chancellor shall be the Chairperson of the Research Committee. The term of the nominated members shall be three years.

**“Departmental/Centre’s Research Committee (DRC/CRC)”** is the Research Committee of a teaching department/centre of the University. It shall be constituted by the research committee with a minimum of three members on recommendation of the Head of the department /centre. However, a maximum of two members may be drawn from the faculty of related department(s)/centre (s) of the University. The number of members in the DRC/CRC shall not exceed ten. The Head of the concerned department/centre shall be the chairperson of the DRC/CRC.

**“Doctoral Committee (DC)”**: The formation of the DC will be initiated by the supervisor(s) to monitor the progress of each of the research students. The DC shall consist of supervisor(s) and a minimum of two faculty members, otherwise eligible to be supervisors, of the concerned department/centre in which the research student pursues his/her research work, with the supervisor as the chairperson. A maximum of two members may be drawn from related department(s)/centre(s) of the university to this committee. The number of members of the DC shall not exceed 5 (five).

**“Board of Examiners of Thesis (BET)”**: Board of Examiners for examination of a thesis shall consist of internal examiner(s) (normally all the supervisors) and two external examiners. The external examiners shall be chosen by the chairperson of the Academic Council (AC) from a panel of ten members proposed and recommended by the supervisor through the Head of the Department, the ex-officio Chairman of the DRC. The supervisor(s) shall propose the panel of examiners at the time of submission of synopsis of the thesis.

**“Oral Defense Evaluation Committee (ODEC)”**: Oral defense evaluation is an essential component of the evaluation process. Oral Defense Evaluation Committee of a research student shall evaluate the performance on the Viva-voce examination or oral defense of the research work carried out by him/her. The committee shall consist of the internal examiner(s) and one of the external examiners of BET selected by the Chairperson of AC. If none of the external examiner(s) of BET is available for evaluation of oral defense, an alternative examiner shall be selected by the chairperson of the AC, preferably from the panel of examiners submitted by the supervisor(s).

## **Ordinances**

1. Tezpur University awards the degree of Doctor of Philosophy (Ph. D.) to a candidate who has successfully completed the required course work and the stipulated program of research in one of the schools of studies in the University.
  
2. The Academic Council (AC) of the University formulates the program of research with the governing rules and regulations. The AC can modify or change the structure, the governing rules and regulations from time to time.
  
3. A candidate to be awarded the PhD degree has to submit a thesis embodying the findings of his/her research carried out under this program. The thesis should be a record of an original contribution of high quality to the advancement of knowledge as judged by experts in the relevant area.
  
4. A candidate becomes eligible for the award of Ph. D degree after fulfilling the entire academic requirement prescribed by the AC of the University/prescribed in the PhD regulations.
  
5. The Board of Management (BoM) of the University shall approve the award upon the recommendation of the AC.
  
6. In the case of any controversy in the BET or ODEC report, the decision of the AC shall be final and binding.
  
7. The Ph.D. degree shall be awarded in the discipline of the department in which the student registers for Ph.D. program.

## Rules and Regulations

### 1. Categories of candidature

The University shall admit Ph. D. students under the following categories

- a) **Full Time:** Students under this category shall work full time for the Ph. D. courses and research works. They may apply for Fellowship/Assistantship available from different funding agencies.
- b) **Sponsored:** Recognized R and D Organizations, National Institutions, other Universities, Government Organizations, or **Industries** may sponsor students/candidates. They shall be admitted provided they satisfy the requisite qualification, and they shall not be entitled to any Fellowship/Assistantship from the University. They shall work full- time for the Ph. D. work or complete the required course work.
- c) **Project Fellow:** Students working on different research projects at Tezpur University may be admitted to the Ph. D. program provided they satisfy the eligibility criteria, subject to the consent of the Principal Investigator of the project.
- d) **Part Time:** Students/candidates employed in academic Institutions/Universities (including Tezpur University)/R and D Organizations may be considered for admission into the Ph. D. program of Tezpur University, following the normal admission procedures. They shall fulfill the stipulated requirements for Ph. D. admission.

### 2. Supervision

- 2.1. **Supervisor:** The supervisor is a member of the faculty of Tezpur University who supervises the research work carried out by the student/candidate for Ph. D.
- 2.2. **Co-Supervisor:** A Co-supervisor is a suitably qualified person, who may or may not be a member of the faculty of Tezpur University, who has been recognized by the University.
- 2.3. The maximum limit for supervising Ph. D. students as Supervisors/Co-Supervisors at a time shall be as follows:  
Professor: 8 (both as Supervisor and Co-supervisor), 4 as Co-supervisor in other Govt. and/or Universities and Institutes recognized by University Grants Commission (UGC) and similar other Regulatory Authorities of India or reputed foreign University/Institute.

Associate Professor: 6 (both as Supervisor and Co-supervisor), 2 as Co-supervisor in other Govt. and/or Universities and Institutes recognized by UGC and similar other Regulatory Authorities of India or reputed foreign University/Institute.

Assistant Professor: 4 (both as Supervisor and Co-supervisor)

However, before deciding the number of students for each category of faculty, the DRC/CRC shall take into consideration the availability of infrastructure and the teaching commitments of the supervisor.

#### **2.4. Allotment of Supervisors**

2.4.1 Following the recommendation of the DRC/CRC the Chairperson shall nominate a supervisor to supervise the research of a candidate during the first semester with the consent of the person so nominated.

2.4.2 A student may apply in prescribed format (Form I) to the chairperson, DRC/CRC for changing his/her supervisor/co-supervisor (or both) on sufficient and valid grounds. On the basis of the application and recommendation of the DRC/CRC, the RC may approve the change.

#### **2.5. Recognition of Supervisor**

2.5.1. All Professors will automatically be Supervisors. Any permanent faculty member of the university following confirmation of service having Ph. D. degree and supported by three UGC-CARE listed articles published in journals and recommended by the DRC/CRC to be recognized as Supervisor.

2.5.2. Faculty members who acquire Ph. D. degree and other requisite qualifications subsequent to their appointment in the University shall express their willingness to supervise research by writing to the Chairperson, RC through the Chairperson, DRC/CRC.

2.5.3. No faculty member shall be recognized as Supervisor/Co-supervisor during his/her probation period. Also, no Guest Faculty, Visiting Professor and Contractual Faculty shall be appointed as Supervisor/Co-supervisor. However, Visiting Professor of longer period may be permitted to guide the Ph. D. students as Co-supervisor.

2.5.4. If a Supervisor leaves the University permanently, the DRC shall recommend to act him/her as Co-supervisor of his/her PhD students and recommend another faculty member of the University to act as Supervisor.

- 2.5.5. If a supervisor leaves the University temporarily on lien or retires from service, she/he shall continue to supervise the student(s) till she/he/they complete the work. However, the student(s) can apply to the DRC/CRC for a Co- or a different supervisor with the consent of the Supervisor. The Ph. D. student registered under Supervisor faces various difficulties, particularly when the student is on the verge of submission of her/his thesis. In such a case, the concerned student may apply with consent of the Supervisor to the DRC/CRC for assigning a Local supervisor for time bound academic and administrative purposes. The Local supervisor shall be a permanent faculty member of the concerned Department/Centre. The Chairman shall forward the recommendation of the DRC to the University for approval. The name of the local supervisor shall not be incorporated in the thesis. However, his/her contribution shall be duly acknowledged.
- 2.5.6. Any member of the faculty/scientist from other recognized universities/institutes/organizations having requisite qualifications may be recognized as Co-supervisor if the DRC/CRC recommends such a person for approval of the R. C., with justifications and with the CV of the person concerned. Any member of the faculty of Tezpur University who is eligible to become a supervisor may work as a co-supervisor.
- 2.5.7. In very exceptional cases, an eminent scholar with significant contribution in his/her area of specialization/expertise and having experience of teaching and research totaling ten (10) years or more but without a Ph. D. degree may be recognized as Co-supervisor.
- 2.5.8. Under no circumstances a Ph. D. candidate shall have more than two supervisors including a Co-supervisor.
- 2.5.9. In case the Supervisor or the Co-supervisor is not in a position to continue supervision due to prolonged illness or other problems (in such a case she/he shall communicate her/his inability to the DRC) or factors beyond his/her control, the DRC/CRC may appoint a new Supervisor or a Co-supervisor on receiving an application (Form 1) from the student concerned and obtain approval of the RC. In the case of change of Co-supervisor the application shall be endorsed by the Supervisor.
- 2.5.10. Those teachers of the University who have been recognized as Supervisors shall not take new Ph D students to supervise three years prior to their retirement.

### **3. Admission into the Ph. D. program**

#### **3.1 Eligibility for admission**

- 3.1.1 Master's degree in Humanities and Social Sciences/Management Sciences/Science/Engineering/Technology or master's degree in the allied subjects with consistently good academic record and a minimum of 55% marks or an equivalent CGPA in the Master's degree (Annexure I).
- 3.1.2 A member of the Institute of Chartered Accountants of India/ the Institute of Company Secretaries of India/ the Institute of Cost and Management Accountants of India or equivalent foreign professional body having Bachelor degree with not less than 60% marks or equivalent CGPA.
- 3.1.3 Departments shall update the prerequisite qualifications (Pre-requisite/Qualification for Ph. D. admission) from time to time. Prior to the advertisement for Ph. D. admission, if needed, the concerned department shall review the Pre-requisites/Qualifications and present in the Admission Brochure.
- 3.1.4 Relaxation in requisite qualifications for SC/ST/OBC (Non-creamy layer)/People with disability (PWD) and other reserved category candidates shall be followed as per Government of India Rules.

#### **3.2 Notification for Ph.D. admission**

The Controller of Examinations (CoE), through advertisements placed in national and regional newspapers and through the University website, shall make notification for admission to Ph. D. program for Spring and Autumn semesters. The notification shall be made on obtaining information from each department/centre about the actual number of positions.

#### **3.3. Admission Procedures**

- 3.3.1. Online application form for admission to the Ph. D. program (Form II) duly filled in and complete in all respects must be submitted on or before the last date specified for the purpose.
- 3.3.2. Application of candidates belonging to categories of (b) Sponsored, (c) Project Fellow and (d) Part Time (clause 1) must be supported by No Objection Certificate (NOC) issued by their employer/PI.
- 3.3.3. Sponsored candidates shall submit a sponsorship certificate from their employers in proper format (Form III).



- 3.3.4. Employed Part Time candidates shall submit a no objection certificate from their employers stating that the candidates shall be allowed to get themselves admitted to the Ph. D. program, if selected. Such candidates shall complete their course work and submit the Plan of Research (PoR) by third semester after obtaining necessary leave in the prescribed format (Form IV) from their employers.
- 3.3.5. Project fellows shall submit their applications accompanied by no objection certificate from the Principal Investigator (Form V).
- 3.3.6. The online applications are scrutinized by the concerned Departments under the supervision of the Head of the Department/ Center and the applications of the eligible candidates approved for calling to the Written Entrance Examination (WEE) to be conducted by the Tezpur University Entrance Examination (TUEE) Committee in the different Centres. The list of candidates qualifying in the WEE shall be sent to the concerned department/centre by the TUEE Committee for conducting the Personal Interview.
- 3.3.7. Candidates qualified in the UGC NET-JRF/ UGC-CSIR NET-JRF, UGC/CSIR NET (LS)/ SLET (LS), GATE and M.Phil degree holders need not appear in the written test; however, such candidates shall appear in the personal interview.
- 3.3.8. The panel of candidates recommended for admission by a selection committee set up by the Chairperson, DRC/CRC shall be sent to the CoE for approval of the Chairperson of the AC.
- 3.3.9. Selected candidates shall be notified by the CoE through website etc. for getting admission into the Ph. D. program.

#### **4. Course work, course registration and attendance**

- 4.1. A student admitted to the Ph. D. program shall be required to complete specified course work prior to the submission of the Plan of Research (PoR) as per the recommendation of the DRC/CRC. The DRC/CRC shall suggest course work of a minimum **of sixteen (16)** credits which also includes a course on Research Methodology with four (4) credits on the areas of research and/or areas related to that of research to be carried out by the students within the first two semesters. However, employed part time candidates shall be given the option of carrying out the course work during any two of the first three semesters.
- 4.2. Any Department/Centre prior to taking up Ph. D. students shall form the DRC/CRC and frame its course syllabus with due approval of the concerned Committee(s) for the course work of the students. No Department/Centre shall be allowed to admit Ph. D. students without having its own course syllabus.

- 4.3. To continue research, a candidate must secure a minimum CGPA of 6.0. The evaluation procedures and the computation of CGPA shall be done according to the procedures adopted for the PG programs. If a student fails to get the qualifying CGPA she/he shall be allowed to improve the CGPA provided that such chance shall be restricted to one only.
- 4.4. Once the DRC/CRC decides on the nature of course work etc. a student shall register for the course(s), submitting the course registration form in the prescribed format (Form VI).
- 4.5. During course work students shall report at the department/centre regularly and attend classes or do assigned tasks. The percentage of attendance during course work shall be 75 for all categories of students.

## **5. Exemption from Course work**

- 5.1. Any student with an M. Phil degree may be exempted from the course work. However, such a student shall be required to give at least two seminars on the areas related to his/her area of research prior to the submission of the Plan of Research (PoR).
- 5.2. Those who have carried out research at another university and completed the course work of equivalent standard/credits may be exempted from the course work at this university and credits earned by the student may be transferred. DRC/CRC may recommend to the Chairperson, RC for approval. However, if the DRC/CRC feels, it can suggest course work (credit or non-credit) for the benefit of such candidates.

## **6. Ph. D. Registration**

- 6.1. The student shall submit a proposed PoR to the DRC/CRC through his/ her supervisor in the next semester after completion of the course work. The Chairperson shall arrange for seminar for the students for presentation of the PoR.
- 6.2. The PoR shall indicate the area/issues/problems to be taken up, refer to previous research/literature on the same/similar/related areas/issues/problems, mention methodology/types of experiments/field works/approaches to be adopted, expected outcome and relevance/significance of the research.
- 6.3. The DRC/CRC is expected to assess the feasibility of the PoR and the capability/preparedness of the student for carrying out the research and recommend one of the following to the RC:
  - (a) in view of the suitability/feasibility of the PoR and the capability/preparedness of the student he/she may be allowed to go ahead with research work.
  - (b) the student may be asked to revise his/her PoR incorporating the suggestions made and resubmit within a period specified by the DRC/CRC.

The DRC/ CRC shall approve the PoR and forward to the CoE for record.

6.4 In order to continue research the student shall renew his/her studentship by completing necessary formalities in each semester.

### **7. University/Institutional Fellowship**

7.1. All students admitted to the PhD program shall be considered for award of the fellowship as per the Non-NET scheme of the UGC subject to the availability of fund.

7.2. Any student who could not successfully complete the course work within the stipulated time and having dissatisfactory semester research progress shall cease to continue with the fellowship/ scholarship.

### **8. Recognition of other organizations/laboratories for Ph. D. work**

8.1. Research work carried out in T U Laboratories, other State and Central Universities, National and Government Regional Laboratories/Institutes and those recognized by the University Grants Commission (UGC) or other regulatory bodies/Tezpur University shall only be considered as bonafide for the degree.

8.2. If any department of an outside institute/university/R and D organization desires to be considered for recognition in conducting research work leading to Ph. D., the Head of the institute/university/R and D organization shall apply to the CoE through the Head of the concerned department/centre of Tezpur University in prescribed format (Form VII) giving full details of the facilities available.

8.3. A Committee constituted by the University shall visit the concerned department of the institute/university/R and D organization at their cost for verification. The Committee shall submit the report to the CoE for further processing.

8.4. The CoE shall route the same through the DRC/CRC and the RC for placing it before the AC for necessary action.

8.5. Recognition to any external organization shall be governed by the Rules as stated under 8.2. 8.3.and 8.4.

8.6. For all other matters relating to recognition not covered by these rules, the decision of the AC shall be the final and binding.

## 9. Monitoring the Progress of Research

- 9.1. The DRC/CRC shall constitute a Doctoral Committee (DC) with the supervisor and two other members of the faculty for monitoring the progress of research of a Ph. D. student.
- 9.2. During the period of research work, all categories of students shall be in touch with their supervisor(s) and give at least one Research Progress Seminar (RPS) in every semester on experiments/fieldworks/library works done. Except for Part time students, other categories of students shall be generally available in the Department/Centre unless they are engaged in experiments/field works/library works elsewhere with prior permission of the Supervisor(s) with intimation to the Head of the Department/Centre for record.
- 9.3. Following the presentation of the RPS, a Ph. D. student shall submit Research Progress Report (RPR) in the prescribed format (Form VIII) through the Supervisor to the HoD at least 15 days before the end of each semester to be placed for consideration of the DRC.
- 9.4. A full time Ph. D. student following the completion of course work and approved PoR shall be allowed to become Part Time student.
- 9.5. The DRC/CRC shall send the Progress report to the CoE for appraisal with one of the following recommendations:
- (a) allowed to enroll in the next semester and continue research.
  - (b) allowed to enroll and continue research but with suggestions for improvement.
  - (c) as the performance is very poor advised to discontinue.

## 10. Period of candidature

- 10.1. The period of candidature (from the date of Admission/Registration) of Ph. D student shall be as follows:

<b><u>Category</u></b>	<b><u>Minimum period for submission</u></b>	<b><u>Maximum period of submission</u></b>
Full time	Six semesters	Ten semesters (extension 2 semesters)
Full time (with M.Phil/M.Tech & University Faculty/Staff )	Four semesters	Ten semesters (extension 2 semesters)
Others (Part time)	Eight semesters	Twelve semesters (extension 2 semesters)

- 10.2. A student may apply for extension for submission of thesis for maximum two (2) semesters with semester-wise admission for submission of the thesis to the Chairman DRC/CRC during the Tenth semester in case of a full-time student and the twelfth semester in the case of a part time student. The DRC/CRC may forward with recommendation to the Controller of Examinations before starting the extended semester for consideration of the Chairperson, RC.

The registration of a student stand cancelled in case failure of submission of thesis within the prescribed period including the extended period. Such students shall be allowed to register as a fresh candidate for continuation of his/her research. He/she shall be treated as fresh candidate however the minimum period for thesis submission shall be four (4) semesters.

### **11. Change of category of candidature**

11.1. A Ph. D. student shall be allowed to change his/her category from full time to part time or vice versa only once during the tenure of the Ph. D. program on the following valid reasons:

- (a) Employment
- (b) Medical ground
- (c) Valid personal ground

11.2. After completion of the course work, a student may apply for change of category from full time to part time through DRC in the prescribed format (Form X) along with valid documents such as appointment letter/NOC from the employer/medical certificate/valid personal grounds etc.

11.3. Maximum period for submission of Ph. D. thesis for a student shall be applicable as prescribed in Clause 10 of the existing Ph. D. Regulation as per his/her category at the time of thesis submission.

### **12. Approval of the title of the thesis and pre-submission seminar**

12.1 A student shall review and finalize the title of his/her thesis at the time of presentation of pre-submission seminar and get it approved by the DRC/CRC.

12.2 At least three months before the submission of the thesis the student shall submit an Abstract in the prescribed format (Form XI) in not more than 1,500 words — in hard copy and soft copy (rewritable CD) to the DRC through the Supervisor (and Co-supervisor, if any) and give a pre-submission seminar on the research carried out by him/her. The DRC/CRC shall go through the Abstract and suggest changes, if any, in the final form of the thesis. The student shall submit the Abstract through the DRC/CRC to the COE for necessary action.

### **13. Submission of thesis**

- 13.1. A Ph. D student may submit his/her thesis within the stipulated period. The presentation of the pre-submission seminar shall be within the last semester and then submission of the thesis on or before the last date of the stipulated period fulfilling all requisites for the thesis submission with at least one article published in UGC-CARE listed journal and two (2) papers presented in Conference/Seminar before submission of the thesis.
- 13.2. Plagiarism check: As per UGC Guideline, the thesis shall contain a Certificate of the Doctoral Committee (DC) for Plagiarism Check.
- 13.3. Guidelines for the preparation of thesis are presented in Annexure I.
- 13.4. Content and context of the thesis
- a) In general, the thesis shall be written in English in the specified format. However, in the case of Departments of Languages (recognized by the House of Parliament as a Major Language), the thesis may be written in the concerned language.
  - b) No part of the thesis shall have been submitted for the award of any degree/diploma of Tezpur University or any other university/Institute.
  - c) Five copies of the thesis shall be submitted initially in paperback cover and soft copy (rewritable CD). Final hard cover copies (at least three) and a soft copy (rewritable CD) after incorporating suggestions/modifications recommended by the Examiners shall be submitted within 15 days of the Viva-Voce Examination.
- 13.5. The candidate shall submit a "No dues certificate" from the concerned departments/sections/offices/library at the time of submission of the thesis through the Supervisor (and Co-supervisor, where applicable).

### **14. Examination of thesis**

- 14.1. The Supervisor (and Co-supervisor, where applicable) of a Ph. D. student shall submit a panel of at least three (3) examiners of foreign Universities/Institutions of geographically spread countries and five (5) examiners from Indian Universities/Institutes of repute with discipline and address to the Controller of Examinations through the Chairperson, DRC/CRC of the concerned Department/Center for formation of the Board of Examiners for Thesis (BET).
- 14.2. The Chairperson of the AC will approve the BET as stated in Definitions with the Supervisor as the Internal Examiner and two Examiners chosen from the enlisted panel as External Examiners (as stated in 14.1), one of which may be, wherever possible and if enlisted, from abroad working in a renowned Institute/Laboratory/University.

- 14.3. The Supervisor certifying the thesis for submission and subsequently being the Internal Examiner shall be given the task of evaluation after the receipt of the comments of the External Examiners. He/she shall be provided with the thesis along with the comments of the External Examiners without their names. The Supervisor/Internal Examiner shall not only evaluate the thesis but also the comments of the External Examiners, whether being considered/incorporated by the concerned Ph. D. student in his/her thesis.
- 14.4. Along with the Ph. D. thesis examination report, the BET members, internal and two externals shall be requested to submit their considered opinion recommending any one of the following four (Form XIV):
- (a) The thesis is accepted for the award of the degree.
  - (b) The thesis is accepted subject to modifications carried out as suggested without further reference to me.
  - (c) The thesis is not satisfactory for Viva voce examination, but the candidate be permitted to re-submit the thesis in a revised form for re-examination.
  - (d) The thesis is rejected.
- 14.5. Once the Ph D thesis is sent to an examiner for evaluation, the time period allowed shall be limited to four (04) calendar months with the provision of two (02) month's grace period. If the thesis evaluation report is not received within this period, by the seventh (7<sup>th</sup>) month the thesis shall automatically be sent to the next examiner in the panel.
- 14.6. In the case of recommendation (b) under Clause 14.4, the student shall submit the modified /corrected version of the thesis within four (4) months, carrying out the suggested modifications.
- 14.7. In the case of recommendation (c) under Clause 14.4, the student shall submit the revised version of the thesis within six (6) months carrying out the suggested corrections/modifications.
- 14.8. If both the external examiners reject the thesis, the candidate and the supervisor shall be intimated accordingly. The candidate may be allowed to register afresh. In that case he/she is not required to do the course work already completed. The candidate shall be expected to submit his/her thesis within a period not exceeding six (6) semesters.
- 14.9. If one of the external examiners rejects the thesis, it shall be sent to a third external examiner to be approved by the Chairperson AC. If the third examiner also rejects the thesis, the decision shall be considered as final. In such a case Regulation 14.8 shall apply.
- 14.10. The following guidelines shall be adhered to in case amendments are made to a thesis:

- a) The Controller of examinations shall send copies of the examiners' reports to the Supervisor /Co-supervisor for advising the student to incorporate necessary corrections.
- b) A Student is not permitted to make any change to the thesis not specified by the examiners (or implied in their reports).
- c) Corrections and modifications to the thesis shall be incorporated in the text by changing the pages/tables/figures wherever necessary with a separate sheet indicating the corrections made with the page numbers, within four (4) months.
- d) If the student needs more time to complete the modifications, extension of time may be sought by applying to the Chairperson, AC through the Chairperson, DRC/CRC and presented the same by the Controller of examinations.

## **15. Oral Defense Evaluation**

- 15.1. On completion of the examination process and all the examiners certifying the amendments, corrections specified have been incorporated, and recommend the case for Viva voce examination, the Chairperson, AC shall constitute the Oral Defense Evaluation Committee (ODEC). It shall consist of the internal examiner (s) and one external examiner of BET nominated by the Chairperson of RC/AC. The External Examiner shall be the Chairperson of the ODEC.
- 15.2. If none of the external examiners of BET is available for evaluation of oral defense, the Chairperson, AC shall appoint an alternative External Examiner from the approved list of examiners to be the Chairperson of the Oral Defense (OD).
- 15.3. The CoE shall fix a date for OD evaluation of the thesis as early as possible having consent of the External Examiner and the Supervisor (Internal Examiner).
- 15.4. On completion of all necessary formalities, the ODEC shall recommend its opinion to the Chairperson, AC through the CoE as per format (Form XV).

## **16. Award of Ph. D. degree**

- 16.1. The degree shall be awarded by the Board of Management (BoM) on approval of the Academic Council (AC) of the University on recommendation of ODEC. The announcement of the award shall be made by the CoE.
- 16.2. The Chairman of Academic Council may be authorized to approve the ODEC report subject to ratification by the AC/BoM and allow to issue the provisional certificate indicating the date



of approval as date of award of the degree in the provisional Certificate to facilitate the awardees to apply for job etc.

16.3. The Chairperson of AC/ BoM shall be empowered by an ordinance to issue the Original Degree Certificate prior to the Convocation to a needy student on written request with supporting document and payment of charges, if any.

### **17. Confidentiality and copyright of the thesis**

17.1. The confidentiality of the content of the thesis shall lie with the University.

17.2. The copyright of the thesis shall lie with the concerned Ph. D. holder as per the Copyright Act, 1968.

17.3 Upon submission of the thesis candidates shall be asked to sign the following statement, enabling the University to allow others to read the University copy of the thesis, and use it for research or private study: "I agree that my Ph. D. thesis titled (title) will be lodged in the University Library, and made available (if applicable after the expiry of any period of approved restricted access) to any person(s) entitled to use the Library and may be photocopied or microfilmed by or on behalf of the Librarian for use for research or private study pursuant to the provisions of the Copyright Act 1968. I agree that any user of the library may quote extracts from the thesis in any paper or written work prepared by the user, subject to acknowledging the source of the quotation."

17.4. Should the author of the thesis or the supervisor wish to publish the matter in the form of a book, the author and the supervisor shall obtain clearance from the University.

### **18. Conflict of Interest**

If any Ph. D. student happens to be a family member or a close relative of the Chairperson of the DRC/CRC/RC/AC, a member of DRC/CRC or a senior professor nominated by the Chairperson of AC/BOM shall not perform the duty of the Chairperson of the RC/AC.

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**FORM - I**  
**TEZPUR UNIVERSITY**  
**(Application for a new supervisor/change of supervisor)**  
**(To be filled by the student)**

1. Name and Roll No:
2. School:
3. Department:
4. Category (Please tick): Full time/ Part time/ Sponsored/ Project fellow
5. a) Name of Supervisor: \_\_\_\_\_ Department \_\_\_\_\_  
b) Name of Co-Supervisor \_\_\_\_\_ Department \_\_\_\_\_
6. Date of Enrolment \_\_\_\_\_
7. Ph.D. registration completed: Yes/No. If yes Regn. No. \_\_\_\_\_ Date \_\_\_\_\_
8. Title proposed at the time of submission of Plan of Research:
9. Stage of Research: (Tick the relevant one)
  - a. Literature survey
  - b. Registration done
  - c. Field work / data collection
  - d. Analysis
  - e. Writing the thesis
10. Name of the new supervisor proposed:
11. Reason for the change sought (Tick any one):
  - a. Leaving the University
  - b. Long sickness
  - c. Technical
  - d. Superannuation
  - e. Long leave (for more than 1 year)
  - f. Demise
  - g. Others (specify)
12. In case of change, comments of existing supervisor {in the case of 11 (f) not applicable}
13. Comment of the proposed new Supervisor:
14. Comment of HoD in case of the proposed change to other department (indicating his /her consent or otherwise with specific reason) :

Signature of the Student  
Date \_\_\_\_\_

**For office use only**

- a. Comments of existing supervisor/co-supervisor (except in case 11 f.)  
*I do not have any objection to the change.*

Signature  
Supervisor/Co-supervisor

- b. Comment of the proposed supervisor/co-supervisor  
*I agree to supervise the work.*

Signature  
Supervisor/Co-supervisor

**FORM-II**

*Application form for Admission to Ph D Programme*

**Logo**  
**Tezpur University**  
**(To be filled in by the candidate)**  
**Session.....20**

**Form no....**

Fix a signed  
Passport  
size  
Photograph

Draft No \_\_\_\_\_ Date \_\_\_\_\_ for Rs \_\_\_\_\_ Drawn at \_\_\_\_\_

Department/Centre to which Ph.D. admission is sought: \_\_\_\_\_

1.Name of candidate (in block letter) :

2. Father's name/Husband's name :

3.Permanent address (in full) :

4.Postal address (for communication) :

5.Date of birth :

6. Nationality :

7. Whether belongs to SC/ST/OBC (NCL)/PWD :

8. Gender (Please tick  $\sqrt{\quad}$ ) : Male / Female

9. Educational qualification HSLC onwards(submit attested copies of all testimonials):

<b>Name of Examination</b>	<b>Year</b>	<b>School/College Board/University</b>	<b>% of marks/ Grade points</b>	<b>Div./ Class</b>	<b>Subject/ Specialization</b>

10. Teaching/ Research experience:

(Mention level of teaching-UG/PG/College/Institute/ Courses taught/ Area of research)

11. Tick the category of candidature sought:

Full time:

Sponsored:

Part  
Time:

Project:

12. Seminar /workshop/conference attended after post graduation:

(Separate list must be enclosed)

13. If employed, details of employment:

<b>Organisation</b>	<b>Duration</b>	<b>Position: Regular/temp</b>	<b>Nature of duties</b>

14. If employed, whether leave will be granted/ already granted:  
(No objection certificate from the employer to be enclosed)

15. Specialized training(if any) :

16. Scholarship/fellowship awarded for research (if any):

17. Qualified for NET/GATE or similar with year ( Enclose Certificate) :

18. List of publications (if any) :

19. Whether hostel accommodations required or not:

20. Extra curricular activities(Attach certificate ):

**Declaration**

I certify that the information given above are correct/true to the best of my knowledge. If anything is proved to be wrong my admission may be cancelled. If admitted I shall abide by the University rules and regulations

Date:

Place:

Signature of the candidate

**For Office Use Only**

1. Verified by: Name \_\_\_\_\_ Signature \_\_\_\_\_  
Designation \_\_\_\_\_

Date: \_\_\_\_\_

2. Recommended/Not Recommended :

Chairperson, Selection Committee

Date:

**FORM-III**  
***(Format for Sponsorship Certificate in Official Letter Head)***

To  
The Controller of Examinations,  
Tezpur University

Sub: Sponsorship of Mr./Ms \_\_\_\_\_  
for Ph.D. programme at Tezpur University.

Dear Sir/ Madam,

Mr./Ms \_\_\_\_\_ who has been working in this organization as \_\_\_\_\_ is hereby sponsored for carrying out the Ph.D. work at Tezpur University from the session \_\_\_\_\_ as a full time student.

The employee will be relieved from his/her duties in the organization to join the Ph.D. programme.

Date:  
Place:

Signature:

Name :

Designation:

Seal of Sponsoring authority.

**FORM-IV**

***Format for No-Objection Certificate from Employer in Official Letterhead***

Ref No:

Date:

To  
The Controller of Examinations,  
Tezpur University  
Napaam,  
Tezpur

Sub: No objection certificate

Dear Sir/ Madam,

It is hereby certified that Mr./Ms\_\_\_\_\_ has been working in this organization as \_\_\_\_\_.

This organization has no objection to his/her being admitted to the Ph.D. programme at Tezpur University from the session starting on \_\_\_\_\_ as a part-time student.

.

Date:

Signature:

Name:

Place:

Designation

Seal of competent authority.

**FORM-V**  
***Format for No-Objection Certificate from Principal Investigator***  
**(In case of Project Fellows) in the official letter head of Principal Investigator)**

Ref No:

Date:

To

The Controller of Examination  
Tezpur University  
Napaam,  
Tezpur

Sub: No objection certificate

Dear Sir,

Certified that Mr./Ms. \_\_\_\_\_, is working as a \_\_\_\_\_ in the project \_\_\_\_\_ in the department/ Centre \_\_\_\_\_ funded by \_\_\_\_\_ since \_\_\_\_\_. I have no objection in allowing him / her to join the Ph.D. programme at Tezpur University under the category of project fellow.

Further, he / she will be allowed to carry out his/her course work / research work of the Ph.D. programme without hampering the project work.

Date:

Signature:

Name:

Place:

Designation

Seal of Principal Investigator

**FORM-VI**  
**TEZPUR UNIVERSITY**  
**(Ph.D. COURSE REGISTRATION FORM)**

*{To be filled by those candidates who are not exempted from course work}*

**Fee paid Receipt No** \_\_\_\_\_ **Date** \_\_\_\_\_ **Semester Autumn/Spring, Year** \_\_\_\_\_

School \_\_\_\_\_ Department \_\_\_\_\_

Enrolment No \_\_\_\_\_

Name of student \_\_\_\_\_ Category: \_\_\_\_\_

Name of Supervisor \_\_\_\_\_

Co-Supervisor \_\_\_\_\_

Semester: Autumn/Spring Semester No \_\_\_\_\_ Year \_\_\_\_\_

<b>Course Code</b>	<b>Course Title</b>	<b>Credit</b>	<b>Signature of Course Instructor</b>

**Sig. of Student**

**Sig. of HOD**

Copies to: Student/ Head of Department/ Supervisor /Co-supervisor/ Controller of Examinations



**FORM-VII**  
**TEZPUR UNIVERSITY**  
**(Application form for Recognition of Outside Laboratory/Dept)**  
*(To be filled by the Head of the Laboratory/Department/Centre)*

1. Name of the Laboratory/Department/Centre:
2. Address: (with Tel/Fax/e-mail/web-site)
3. Name of the University/Institute/Organization:

**Technical and Scientific Information:**

1. Major activities of the Organization (*Write in a separate sheet*)
2. Details of facilities available with list of major equipment/ Instruments/Setup/Software/Plant /Other mechanisms)
3. Details of Library facilities (books and Journals):
  - a) Total books in the related field
  - b) Journals in the related field(give names)
4. List of computational facilities available (*both inside the laboratory and Common*)
5. Is there internet facility (*both inside the laboratory and common*)

**Administrative Information:**

1. Type of the Organisation (Central Govt./State Govt./Public sector/Private sector/Autonomous body):
2. Name, designation and Address of the Head of the Organisation:
3. Name, designation and Address of the Head of the Lab/Dept/Centre:
4. Major areas of activities (e.g.Biotechnology, Computer hardware etc.)
5. Any other information:

Certified that the information given above on this Laboratory/Department/Centre are furnished in connection with recognition of this Laboratory/ Department/ Centre by Tezpur University for Ph.D. programme.

Signature of the Head of the Laboratory/Department/Centre  
Name :  
Designation :  
Office seal with date :

For office use only

Approval By R.C vide Resolution No. \_\_\_\_\_ Date \_\_\_\_\_

Signature of Chairman : \_\_\_\_\_  
Date : \_\_\_\_\_

**FORM-VIII**  
**TEZPUR UNIVERSITY**  
(Format of Progress report)

Semester: Autumn/Spring Year \_\_\_\_\_

Period from \_\_\_\_\_ To \_\_\_\_\_

1. Name of the student and Roll No.:

2. Category (Full time/Part time/Sponsored/ Project)

3. School \_\_\_\_\_ Department \_\_\_\_\_

4. Date of admission:

5. Date of registration (if applicable):

6. Total no. of semesters completed:

7. Total no. courses and credits prescribed:

8. Total no. of courses and credits completed:

9. Area of research:

10. Progress of research (Separate sheet may be attached)

11. Expected date of completion:

12. Leave availed during this semester (if any):

13. Nature of Fellowship/Scholarship/Stipend received, if any:

Signature of Candidate:

Signature of Supervisor

**14. Remarks of the Doctoral Committee:**

15. Signature of D.C. Members:

**Approved by Chairman, DRC/CRC**

Signature \_\_\_\_\_ Date \_\_\_\_\_

**FORM-IX**  
**TEZPUR UNIVERSITY**  
*(Application Form for extension of time for submission of Ph.D. thesis)*  
*(To be filled in by the student)*

1. Name and Roll No.:
2. School:
3. Department:
4. Category (please tick): Full time/Part time/Sponsored/Project Fellow
5. a) Name of Supervisor\_\_\_\_\_
- b) Name of Co-Supervisor\_\_\_\_\_ Affiliation\_\_\_\_\_
6. Date of admission:
7. Date of submission of Research Plan:\_\_\_\_\_ semester No.\_\_\_\_Year\_\_\_\_\_
8. Title of the work:
9. Duration of extension sought
- 10.Reasons for the extension sought
- 11.Justification for the utilization of the extended time

Forwarded by Supervisor  
Signature  
Date:\_\_\_\_\_

Signature of Student  
Date\_\_\_\_\_

For Office Use only
<b>Recommended by Chairman, DRC/CRC</b>  Name_____ Sig. _____ Date_____
<b>Approved by, AC vide resolution No._____ date_____</b>
<b>Chairman, AC _____ Sign. _____ Date._____</b>

**FORM-X**  
**TEZPUR UNIVERSITY**  
*(Application form for change of candidature)*  
**(To be filled in by the student)**

1. Name and Roll No.:
2. School:
3. Department:
4. Category (please tick): Full time/Part time/Sponsored/Project fellow
5. a) Name of Supervisor \_\_\_\_\_
- b) Name of Co-Supervisor \_\_\_\_\_ Affiliation \_\_\_\_\_
6. Date of Admission: \_\_\_\_\_
7. Semester No. \_\_\_\_\_ Year \_\_\_\_\_
8. Details of Course work completed:

Course code	Course title	Credits	Name of Instructor	Grade points

9. Change desired: a) full time to part time; b) part time to full time

10. Reasons for the change

11. If change is sought to full time category whether study leave will be allowed?  
*(Submit the No objection certificate from employer if employed)*

Date:

Signature of student

Forwarded by the Supervisor

Signature \_\_\_\_\_ Date \_\_\_\_\_

**For office use only**

**Recommended by Chairman, DRC/CRC:**

1) Signature of chairman \_\_\_\_\_ Date \_\_\_\_\_

Signature of the Controller of Examinations

**FORM-XI**  
TEZPUR UNIVERSITY  
Ph.D. Synopsis submission form

1. Name and Roll No. of the Candidate:
2. Department:
3. School:
4. Name of Supervisor:
5. Name of the Co-Supervisor with his/her affiliation:
6. Title of thesis:

*Main points to be included in the synopsis.*

7. Introduction:
8. Objectives:
9. Review of literature:
10. Methodologies/approach (es) applied:
11. Bibliography:
12. Collaboration with /assistance from other depts. of T.U./other institutes/universities/laboratories (if any):

Signature of Supervisor

Signature of HoD

Signature of Co supervisor

Place \_\_\_\_\_ Date \_\_\_\_\_

\*\*Synopsis should be written within 1500 words.

**Form XII**  
**TEZPUR UNIVERSITY**  
**Office of the Controller of Examinations**  
**(Thesis submission form)**  
**(To be filled in by the candidate)**

1. Name of the student and Roll No.: Mrs/Ms\_\_\_\_\_

2. School\_\_\_\_\_ Department\_\_\_\_\_

3. Address for correspondenc:

email:

Tel:

Mobile

4. Date of admission \_\_\_\_\_

5. Date of submission of Research Plan \_\_\_\_\_

6. Approved title of thesis (BLOCK LETTERS)\_\_\_\_\_

7. Any IPR involved in the thesis\_\_\_\_\_

*(Confidentiality Declaration to be submitted)*

Signature of candidate\_\_\_\_\_ Date\_\_\_\_\_

**Recommendations:**

**Certificate of having completed a course of study for Ph.D.**

I/We hereby certify that the candidate named above is a registered student of Tezpur University. He/She has already completed the prescribed course work and presented his/her pre-submission seminar in accordance with the Regulation under supervision of the undersigned.

Name of Supervisor \_\_\_\_\_

Signature\_\_\_\_\_

Name of Co- supervisor \_\_\_\_\_

Signature\_\_\_\_\_

Date\_\_\_\_\_

Forwarded by:

Head of the Department/ Centre\_\_\_\_\_

Signature \_\_\_\_\_ Date\_\_\_\_\_

**FORM-XIII**



**TEZPUR UNIVERSITY**

**(Format for Certificate of the Supervisor (s))**

This is to certify that the thesis entitled \_\_\_\_\_ submitted to the School of \_\_\_\_\_ Tezpur University in part fulfillment for the award of the degree of Doctor of Philosophy in \_\_\_\_\_ is a record of research work carried out by Mr./Ms \_\_\_\_\_ under my supervision and guidance.

All help received by him/her from various sources have been duly acknowledged.

No part of this thesis has been submitted elsewhere for award of any other degree.

Signature of  
Supervisor:

Co-Supervisor:

Designation:

Designation:

School:

Affiliation

Department:



**TEZPUR UNIVERSITY**  
**Ph.D. THESIS EXAMINER'S REPORT**

- 1. Name of the candidate :
- 2. Roll No :
- 3. School :
- 4. Department :
- 5. Title of the thesis :
- 6. Recommendation of the Examiner :

The thesis has been examined by me and I recommend that : *(please delete all except any one relevant)*

- (a) The thesis is found suitable for oral defence evaluation without further examination or amendment.
- (b) The thesis is found suitable for oral defence evaluation, subject to inserting the corrections and/or additions/modifications suggested by me in the thesis. This should subsequently be found to be satisfactory by ODEC without further reference to me.
- (c) The thesis is not suitable for oral defence evaluation, but the candidate be asked to re-submit the thesis in a revised form for re-examination. Areas requiring major modifications are detailed in my attached report.
- (d) The thesis is rejected.

**7. If the thesis is recommended for acceptance whether:**

- a) It is fit for publication by the candidate in its original form or in any modified form.
- b) The thesis is of such outstanding merit that the university would be justified in publishing it at its own cost.

**Dated:**

**Signature of Examiner :** .....

**Name :** .....

**Designation :** .....

**University/Institution:** .....

**Address :** .....

.....

.....

*Note : The report may be continued on blank sheet with signature of the examiner. Each page of the report should be signed by the examiner.*





**ANNEXURE-I**  
**TEZPUR UNIVERSITY**

Guidelines for preparation of the thesis

**1. General**

The thesis should be written in a precise manner without making it unnecessarily voluminous.

International Standard white paper of A4 (297 x 210mm) size should be used. Both sides of the paper may be used except in the case of photographs, special drawings etc.

Pages should be numbered consecutively and clearly.

The typing should be 1.5 spaced and presented in a clear and legible font (preferably 12 point).

Figures, photographs, graphs and tables should be numbered separately; contrast should be clear.

Left and right margins should be not less than 30 mm. Care should be taken with page numbers to allow for page trimming when the thesis is bound.

Folding diagrams or charts should be arranged so as to open to the top and right.

Before producing final copies of a thesis for submission, the candidate should ensure that all the spellings, punctuation, vocabulary and grammar are correctly used and the bibliography is prepared according to internationally accepted conventions.

**2. Organization of the thesis**

The thesis may be organized in the following manner

- Title page
- Abstract
- Declaration by the candidate
- Certificate of Supervisor in prescribed format (Form 1)
- Preface (if applicable)
- Acknowledgments
- Table of contents
- List of tables, figures and illustrations, abbreviations, symbols
- The main text may be divided into several chapters.

The candidate may adopt either the following or any other internationally accepted pattern

1. Introduction
2. Background/Review of literature
3. Procedure (Experimental/logistic etc)
4. Analysis/Results (as applicable)
5. Discussion □

- Bibliography or List of References and
- Appendices (wherever necessary)

### 3. Title page

3.1 The thesis must be preceded by a **title page**. The title page of the thesis should show

- Title of the thesis
- Degree for which it is submitted: "**A thesis submitted in part fulfillment of the requirements for award of the degree of Doctor of Philosophy**"
- Full name of the student
- Registration Number
- Logo of Tezpur University
- Full affiliation of the candidate (Dept./Centre/Lab)
- Month and year

### 3.2 Cover Page should be replica of title page

a) Spine: **AUTHOR'S SURNAME** \_\_\_\_ **Ph. D. title (vertically in brief)** \_\_\_\_ **YEAR** \_\_\_\_

b) The print should be black. The colour of the cover page shall be (i) School of Science: Blue  
(ii) School of Engineering: Chocolate (iii) School of Humanities and Social Sciences: Black and  
(iv) School of Management: Golden

However, in each thesis, the logo of the University shall be prominent.

### 4. Example of title page:

<b>Title of the thesis</b>
<b>A thesis submitted in part fulfilment of the requirements for the degree of Doctor of</b>
<b>Philosophy</b>
<b>Student's name</b>
Regn No.
<b>(University logo)</b>
<b>Full affiliation of the Candidate</b>
<b>Month &amp; Year</b>

### 5. Abstract

The title page must be followed by an abstract in English. In the case of Language Department/ Centre, the same be in that language.

## **6. Acknowledgements**

The student should acknowledge the University and the financial support received from funding agencies.

## **7. Thesis preparation and binding**

At the time of initial submission the thesis should preferably be in flexible cover to facilitate the incorporation of amendments which might be recommended by the examiners.

At the time of final submission hard binding must be done with covers strong enough to resist damage by bending or knocking. Twin-ring, spring-back and spiral binders are not acceptable.

### **NOTE FOR PH. D. CANDIDATES**

To avoid delay in processing your thesis please read the following note carefully:

- a) You should complete the thesis submission form at least two months ahead of the actual date of submission.
- b) Your supervisor(s) should sign the thesis in the appropriate place.
- c) The following items must be included with the thesis submission form:
  - i. Declaration concerning reproduction of thesis
  - ii. Thesis examination fee payment receipt
  - iii. An abstract of the thesis preferably within 1500 words in triplicate
  - iv. A No dues certificate from departments/sections/offices/library concerned.
  - v. A copy of your Registration Certificate and Grade Card(s) of Course Work.
  - vi. List of publications and papers presented in Conference/Seminar before submission of the thesis.