

# **Ph.D. RULES AND REGULATIONS 2023**

**(Approved by the 44<sup>th</sup> meeting of the Academic Council held on 24<sup>th</sup> May 2023)  
&  
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**Modifications incorporated as per**  
University Grants Commission  
(Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022  
&  
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**TEZPUR UNIVERSITY**  
**Napaam, Dist. Sonitpur (Assam)**

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## **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.

**(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. programme 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 programmes of the University. The Vice-Chancellor of the University constitutes the committee. The Research Committee shall consist of:

- (1) all Deans
- (2) all Heads of the Teaching Departments/Centres, and
- (3) 15 (fifteen) professors nominated by the Vice-Chancellor as members.

The Vice-chancellor shall be the Chairperson and the Controller of Examinations shall be the Member Secretary 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 3 (three) members on recommendation of the Head of the Department /Centre including two External Members from Institute of Higher Learning and Research. However, a maximum of 2 (two) members may also be drawn from the faculty of related Department(s)/Centre (s) of the University. This restriction shall not apply to the Centre for Multidisciplinary Research (CMDR). The number of members in the DRC/CRC shall not exceed 10 (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 student. The DC shall consist of supervisor(s) and a minimum of 2 (two) other 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 2 (two) members from related Department(s)/Centre(s) of the university may be drawn to this committee. The number of members of the DC shall not exceed 5 (five).

**“Board of Examiners of Thesis (BET)”**: The Board of Examiners for examination of a thesis shall consist of internal examiner(s) (normally all the supervisors) and 2 (two) external examiners. The external examiners shall be chosen by the chairperson of the Academic Council (AC) from a panel of 10 (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 programme of research in one of the Schools of Studies/Centres in the University.
2. The Academic Council (AC) of the University formulates the programme 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 programme. 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/Centre in which the student registers for the Ph.D. programme.

## 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 & 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.
- c) **Project Fellow:** Students working on different research projects at Tezpur University may be admitted to the Ph. D. programme 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 & D Organizations may be considered for admission into the Ph. D. programme 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 (eight) both as Supervisor and Co-supervisor (combined)  
Associate Professor: 6 (six) both as Supervisor and Co-supervisor (combined)  
Assistant Professor: 4 (four) both as Supervisor and Co-supervisor (combined)

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

2.3.1. Each supervisor can guide up to 2 (two) international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 2.3 above.

2.3.2. At no point of time, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall exceed the number prescribed in clause 2.3 and 2.3.1.

## **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. Any permanent faculty member (including those on probation) of the university with a Ph. D. degree and with 5 (five) (for Professors and Associate Professors) / 3 (three) (for Assistant Professors) research publications in peer-reviewed or refereed journals and recommended by the DRC/CRC to be recognized as a supervisor may be approved by the RC as a supervisor.

Provided that in disciplines where there is only a limited number of peer-reviewed or refereed journals, the above condition may be relaxed by the RC on request forwarded by DRC/CRC with reasons recorded in writing.

Co-Supervisors from within the same department or other departments/centres of the same institution or other institutions may be permitted with the approval of the RC.

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 (Form XVII).



- 2.5.3. Eligible permanent faculty members can supervise Ph.D. scholars during their probation period. No Guest Faculty, Visiting Professor and Contractual Faculty shall be appointed as Supervisor/Co-supervisor. However, Visiting Professors of longer period (not less than a year) may be permitted to guide the Ph. D. students as Co-supervisor with due approval of the RC.
- 2.5.4. If a Supervisor leaves the University permanently or attains superannuation, the DRC shall recommend change of his/her status to that of a Co-supervisor of his/her the PhD students and recommend the Co-supervisor, if available, or another faculty member of the University to act as Supervisor.
- 2.5.5 If a supervisor leaves the University temporarily on lien, 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-supervisor or a different supervisor with the consent of the Supervisor. Under these circumstances, the Ph. D. student registered under a 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 to assign 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 as in 2.5.1 may be recognized as Co-supervisor if the DRC/CRC recommends such a person for approval of the RC, with justification and with a duly filled application form accompanied by 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 Under normal circumstances a Ph. D. candidate shall not have more than 2(two) supervisors including a Co-supervisor.
- 2.5.8 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.

- 2.5.9 Faculty members with less than 3 (three) years of service before superannuation shall not be allowed to take new research scholars under their supervision/co-supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and continue as a co-supervisor after superannuation, but not after attaining the age of 70 (seventy) years.

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

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

- 3.1.1 A 1-year Master's degree after a 4-year Bachelor's degree or a 2-year master's degree programme after a 3-year bachelor's degree in relevant discipline as specified by department/centres with a minimum of 55% marks or an equivalent CGPA

Or

equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory in that country to assess, accredit or assure quality and standards of the educational institution.

- 3.1.2 A 4-year Bachelor's Degree in relevant discipline (as specified by Department/Centre) with a minimum of 75% marks or an equivalent grade.

Candidates who have completed the M.Phil. programme with a minimum of 55% marks in aggregate or its equivalent grade or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory in that country to assess, accredit or assure quality and standards of the educational institution.

- 3.1.3 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's degree with not less than 60% marks or equivalent CGPA.

- 3.1.4 Departments shall review and update the prerequisite qualifications (Pre-requisite/Qualification for Ph. D. admission) from time to time. The concerned department shall review the Pre-requisites/Qualifications prior to the advertisement

for PhD admissions, and suggest suitable changes present in the Admission Brochure if needed.

3.1.5 The reservation policy of the central government shall be applicable.

3.1.6 Relaxation in requisite qualifications for SC/ST/OBC (Non-creamy layer)/People with disability (PWD) /Economically Weaker Section (EWS) and other reserved category candidates shall be followed as per Government of India Rules/UGC Regulations.

### **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. programme 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**

The university shall follow the UGC Regulations, 2022 (Clause 5) for admission to its Ph.D. Programmes.

(For admission of International/NRI students please refer to Clause 3.3.10)

3.3.1 Online application form for admission to the Ph. D. programme (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/Principal Investigator (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. programme, 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 PI (Form V).

3.3.6 The online applications are scrutinized by the concerned Departments/centres 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, CEED or similar examinations as specified by the University need not appear in the written test; however, such candidates shall have to 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. programme.
- 3.3.10 Notwithstanding the above, the admission of international/NRI students to Ph.D. Programmes shall be governed by Tezpur University admission rules for admission of International/NRI students.

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

- 4.1 A student admitted to the Ph. D. programme 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.
- 4.1.1 The Credit requirement for the Ph.D. coursework shall be a minimum of 12 (twelve) credits, including a "Research and Publication Ethics" (2-credits) as notified by UGC and a 4-credit Research Methodology course. The Doctoral Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 4.1.2 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject as required by the respective department/Center during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- 4.1.3 A Ph.D. scholar must obtain a minimum CGPA of 6.0. in order to be eligible to continue

in the programme and submit his or her thesis. If a student fails to get the qualifying CGPA she/he shall be allowed to improve the CGPA provided that such additional chance shall be restricted to one only.

- 4.1.4 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.
- 4.1.5 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). This exercise should ordinarily be completed within 2 (two) weeks of admission.
- 4.1.6 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 (seventy-five) for all categories of students.
- 4.1.7 Up to a maximum of 40 percent of the course work may be conducted through MOOCS with due approval of the RC.

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

- 5.1 Those research students 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 based on recommendation of the respective DRC and approval of the RC. However, if the DRC/CRC feels, it can suggest additional course work (credit or non-credit) for the benefit of such candidates. Course of those students who have completed M.Phil. course work prior to 07-11-2022 i.e. the date of notification of "UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022" will be considered for exemption of PhD course work. However, the validity of such M.Phil. course work will be up to 7 years from the date of award of M. Phil. degree.

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

- 6.1 The student shall submit a proposed PoR in the prescribed format (Form –IX A) 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 followings 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 Ph.D. programme 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 fails to complete the course work within the stipulated time and is reported for unsatisfactory semester research progress shall cease to continue with the fellowship/ scholarship. However, after receipt of subsequent satisfactory progress report, the fellowship/scholarship may be allowed to be resumed.

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

8.1. Research work carried out in TU 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 & 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 & D organization for verification. The expenses for such visits shall be borne by the institution or organization concerned seeking recognition. 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 at least 2 (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 1 (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 (fifteen) 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 approval of PoR shall be allowed to become a Part Time student.
- 9.5. The DRC/CRC will forward the progress report of the student endorsed by the DC 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:

- 10.1.1. Ph.D. Programme shall be for a minimum duration of 3 (three) years, including course work, and a maximum duration of 6 (six) years from the date of admission to the Ph.D. programme.
- 10.1.2. A maximum of an additional 2 (two) years to be given through re-registration (after completion of 6 (six) years; provided, however, that the total period for completion of a Ph.D. programme shall not exceed 8 (eight) years from the date of admission in the Ph.D. programme.
- 10.1.3. Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) shall be allowed an additional relaxation of 2 (two) years; the total period for completion of a Ph.D. programme in such cases should not exceed 10 (ten) years from the date of admission in the Ph.D. programme. Such candidates shall have to re-register again upon completion of 8 (eight) years.
- 10.1.4. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 (two hundred and forty) days in the entire duration of the Ph.D. programme.
- 10.2. A student may apply for Re-registration in the prescribed format (Form –IX) at least two months before the completion of 6/8 (six/eight) years (as the case may be) to the Chairman DRC/CRC through the DC. The DRC/CRC shall forward with recommendation to the Controller of Examinations before the start of the subsequent semester for consideration of the Chairperson, RC.
- 10.3. The registration of a student shall be cancelled in the event of his/her failure of submission of thesis within the prescribed period including the extended period. Such students shall be allowed to register as afresh candidate for continuation of his/her research. He/she shall then be treated as a fresh candidate.

## **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. programme on the following valid reasons:
  - (a) Employment
  - (b) Medical ground and
  - (c) Valid personal ground
- 11.2. After the 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 and NOC from the employer/medical certificate/valid personal grounds etc. Provision of Clause 3.3.4 shall apply to students seeking to convert from full time to part time vide 11.1 (a).

## **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 B) in not more than 5000 words — in hard copy and soft copy (rewritable CD/Pen Drive) 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 at the time of approval of the Abstract. On approval, 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 must 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 1 (one) research paper published in a UGC-CARE listed journal and 1 (one) research paper presented in a Conference/Seminar before submission of the thesis.

Provided that in disciplines where there is only a limited number of UGC-CARE journals, research publication in other refereed/peer reviewed journals may be considered by the university RC on request forwarded by DRC/CRC with reasons recorded in writing.

13.2. Plagiarism check: As per UGC Guideline, the thesis shall contain a Certificate of the Doctoral Committee (DC) for Plagiarism Check in the prescribed format (Form XVIII).

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) Three copies of the thesis printed on both sides and spiral binded along with a soft

copy (rewritable CD/Pen Drive) shall be submitted to the Controller of Examinations. One copy of spiral binded final thesis after incorporating suggestions/modifications recommended by the Examiners shall be submitted to the Controller of Examinations which is to be sent to Central Library after award of the PhD degree. A soft copy of the final thesis (rewritable CD/Pen Drive) shall be submitted within 15 (fifteen) days of the Viva-Voce Examination.

13.5. The candidate shall submit a "No Dues Certificate" from the concerned departments/sections/offices/hostel/library at the time of submission of the thesis through the Supervisor (and Co-supervisor, where applicable).

13.6. The details of other documents (details of publications, seminar/conferences attended, etc. shall be appended by the candidate.

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

14.1. The Supervisor (and Co-supervisor, where applicable) of a Ph. D. student shall submit (in the designated format) a panel of at least 5 (five) examiners of foreign Universities/Institutions of geographically spread countries and 5 (five) 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). However, in case of thesis Examination of MIL subjects, two (02) Indian Examiners may be considered, if Foreign Examiner(s) is/are not available.

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

external 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 found 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 4 (four) months, carrying out the suggested modifications. [In the format prescribed by the CoE]
- 14.7. In the case of recommendation (c) under Clause 14.4, the student shall submit the revised version of the thesis within 6 (six) months carrying out the suggested corrections/modifications. [In the format prescribed by the CoE]
- 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 6(six) 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 4 (four) 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 Evaluation Committee (ODEC).
- 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 a 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 perform the duty of the Chairperson of the RC/AC so substituted for the purpose, provided further that if the research student happens to be a close relative of the Chairperson of the RC/AC, the AC/BOM shall nominate a senior member of the RC/AC, making suitable provision for temporary abstention of the Chairperson during such nomination.

---

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

1. Name , Roll No and ABC ID :
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) :

**For office use only**

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

- 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

**\*Application form for Admission to Ph. D. Programme***\*this form is dynamic and subject to change as required***Form no....**

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

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. ABC ID (if available)
3. Father's name/Husband's name :
4. Permanent address (in full) :
5. Postal address (for communication) :
6. Date of birth :
7. Nationality :
8. Whether belongs to SC/ST/OBC (NCL)/Economically weaker section (EWS)/PwD :
9. Gender (Please tick ☐ ) : Male / Female
10. Educational qualification HSLC onwards (submit attested copies of all testimonials):

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

11. Teaching/ Research experience:  
(Mention level of teaching-UG/PG/College/Institute/ Courses taught/ Area of research)

12. Tick the category of candidature sought:

Full time:

☐

Sponsored:

☐Part  
Time:☐

Project:

☐

13. Seminar /workshop/conference attended after post graduation:  
(Separate list must be enclosed)

14. If employed, details of employment:

Organisation	Duration	Position: Regular/temp	Nature of duties

15. If employed, whether leave will be granted/ already granted:

(No objection certificate from the employer to be enclosed)

16. Specialized training(if any) :

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

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

19. List of publications (if any) :

20. Whether hostel accommodations required or not:

21. 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:



*(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 \_\_\_\_\_ since \_\_\_\_\_ is hereby sponsored for carrying out the Ph.D. work at Tezpur University from the session \_\_\_\_\_ as a full-time student.

His/her official duties will permit him/her to devote sufficient time for research.

\*He/she will be relieved from duty to complete research work as required.

Date:  
Place:

Signature:

Name:

Designation:

Seal of Sponsoring authority.

\*Candidate shall produce relieving certificate at the time of admission.

***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 \_\_\_\_\_ since \_\_\_\_\_.

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.

His/her official duties will permit him/her to devote sufficient time for research.

Hie/she will be relieved from the duty to complete the course work as required.

Date:

Signature:

Name:

Place:

Designation:

Seal of competent authority:

**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 Examinations  
Tezpur University  
Napaam,  
Tezpur

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

**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** \_\_\_\_\_ **ABC ID:** \_\_\_\_\_

**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

**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 : \_\_\_\_\_

**TEZPUR UNIVERSITY**  
(Format of Progress report)

Semester: Autumn/Spring Year: .....

Period from: ..... to .....

1. Name of the student, Roll No. and ABC ID :
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 (tick one):
- 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.

Additional comment (if any):

**Signature of D.C. Members** (other than supervisor):

**Approved by Chairman, DRC/CRC**

Signature\_\_\_\_\_Date \_\_\_\_\_

**TEZPUR UNIVERSITY**  
**(Application Form for Re-registration)**  
**(To be filled in by the student)**

1. Name, Roll No. and ABC ID :
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. Justification for the Re-registration sought:

Forwarded by Supervisor

Signature of Student

Signature

Date\_\_

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

Signature of DC members (other than the supervisor):

1.

2.

3.

For Office Use only

**Recommended by Chairman, DRC/CRC**

Name\_\_\_\_\_Sig.\_\_\_\_\_Date\_\_\_\_\_

**Approved by, AC vide resolution No.**\_\_\_\_\_ **Date**\_\_\_\_\_**Chairman, AC**\_\_\_\_\_ **Sign.**\_\_\_\_\_ **Date.**\_\_

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

1. Name, Roll No. and

ABC ID :

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



TEZPUR UNIVERSITY  
Plan of Research (PoR) Submission Form

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

*Main points to be included in the Plan of Research*

7. Introduction:
8. Objectives:
9. Review of literature:
10. Methodologies/approaches proposed:
11. Expected outcome(s):
12. Bibliography:
13. 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 \_\_\_\_\_

**\*\*PoR should be written within 1500 words**

**TEZPUR UNIVERSITY**  
**Pre-Submission Abstract Form**

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

*Main points to be included in the Abstract*

7. Introduction:
8. Objectives:
9. Review of literature:
10. Methodologies/approaches applied:
11. Results and Discussion:
12. Bibliography:
13. 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 \_\_\_\_\_

**\*\* Pre-Submission Abstract should be written within 5000 words**

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

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

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

3. Address for correspondence:

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 \_\_\_\_\_



## 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/diploma.

Signature of  
Supervisor:

Designation:

School:

Department:

Co-Supervisor:

Designation:

Affiliation



**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.*



## TEZPUR UNIVERSITY

### REPORT OF EXAMINERS OF ORAL DEFENCE EVALUATION COMMITTEE

The examiners of Oral Defense Evaluation Committee (ODEC) certify that the thesis entitled

.....

submitted by .....to the Tezpur University in partial fulfillment of requirement of the Ph.D. degree in the discipline of ..... under the school of ..... has been examined on .....and recommend that:

- a. that the degree be awarded
- b. that the candidate be further examined on an another date not later than.....\*  
(Note: Please delete the clause not applicable)
- c. in our opinion the candidate has not performed to our satisfaction and does not deserve the degree of Ph.D. (in case the Board does not recommend the award of the degree)

**Signature of**

Supervisor

Co-supervisor

External Examiner

Name: .....

Name: .....

Name: .....

Date :

Forwarded to Controller of Examination

Memo No.: .....

Signature of Head of the Department



### Tezpur University

Submission Form (for submission instructions see overleaf)  
for uploading of Ph.D. thesis at **Shodhganga**  
(to be submitted immediately after ODE)

1. Name of department/centre: .....
2. Name of scholar: .....
3. Registration No.: .....
4. ABC ID: .....
5. Name of supervisor and co-supervisor (if any):  
(Supervisor) .....  
(Co-supervisor) .....
6. Registration Year (YYYY) and No. : ..... and .....
7. Date of Oral Defense Examination (ODE) (dd-mm-yyyy): .....  
(submission is accepted only after ODE)
8. Details of thesis:
  - A. Title: .....  
.....
  - B. Keywords (3 levels of subjects and more as required):  
.....  
.....

I certify that the information given above is true to the best of my knowledge. The corrections/ modifications suggested by the Board of Examiners (BET) have been incorporated in the submitted soft copy of the thesis.

Date:

Signature of the candidate

Place:

Signature of Supervisor:

Date:

*\*Instructions to candidate for submission of soft copy of thesis*

1. Submission is to be done in a single portable document file (pdf) format in a DVD or a USB drive. Submission in other formats shall not be accepted. Submission may also be done in separate pdf files as given below. However, each file should be properly named as indicated in bracket.
2. The thesis should be organized in the same manner as in the submission format which is as follows:
  - i. Title page (title)
  - ii. Abstract (abstract)
  - iii. Declaration by the candidate (signed copy) (declaration)
  - iv. Certificate of Supervisor in prescribed format (signed copy) (certificate)
  - v. Acknowledgments (acknowledgement)
  - vi. Table of contents (content)
  - vii. List of tables, figures and illustrations, abbreviations, symbols (tables)
  - viii. Chapters (In serial order: Chapter 1, Chapter 2 ...)
  - ix. Recommendation (Recommendation/Conclusion/Summary/Future action etc.)  
(Recommendation)
  - x. Bibliography or List of References (bibliography) and
  - xi. Appendices (wherever necessary) (appendices)
3. Signed scanned copies of (ii) and (iv) above may be submitted as separate scanned files, if not incorporated in the single pdf file of the thesis.
4. The central library after due verification of the submission, shall issue a certificate of receipt of submission.





**TEZPUR UNIVERSITY**  
**(Application form for recognition as Supervisor / Co-Supervisor)**

1. Name: Mr./Ms/Dr/Prof. :
2. Designation :
3. Department/Centre :
4. University/ Institute/ Organization :
5. Address:
  - i) For correspondence
  - ii) Permanent
- e-mail: Tel: Fax:
6. (a) Date of Birth : (b) Date of Joining at Tezpur University :
7. Date of confirmation of service at Tezpur University: (Pl. attach a copy of order)
8. Date of joining at other Organization prior to joining at Tezpur University (if any) :
9. Length of service completed at Tezpur University :
10. Date of superannuating :
11. Date of Award of Ph.D. Degree :
12. Post-Doctoral Teaching / Research Experience :
13. Details of educational qualifications:

University/ College	Degree obtained	Month & Year	Division	Subjects/Specialization

14. Professional experience:

(a) Teaching:

Organization	Position Held	Type of Work	Period

(b) Research experience:

Organization	Position Held	Type of Work	Period

15. Areas of research :

16. No. of publications (Attach list of publications in separate sheet) :

a) Refereed Journals (National/ International) :

- (i) National:
  - (ii) International:
  - b) Non-Refereed Journals (National/ International):
    - (i) National:
    - (ii) International:
  - c) Post Ph.D. publications :
  - d) Citations of Publications :
- (Attach reprints of 3 publications of last five years)*
17. Ph.D. Supervision :
- (a) Number of students already awarded with Ph.D.:
  - (b) Number of Students presently working for Ph.D.:
18. Conference/Workshops attended *(Indicate status- National/ International)*:  
*(Attach separate sheet)*
19. Conference / Workshop organized :
20. Membership/Fellowship in professional Societies/ Editorial Board of Journal / any other:

Declaration

I hereby declare that the information made in this application form are correct to the best of my knowledge and belief.

Date:

Signature of the applicant

Recommendation of the Departmental Research Committee  
*(copy of the resolution of the DRC may be enclosed)*

Date:

Signature of the Chairperson of the DRC

Dept. of .....

**Form-XVIII**

DEPARTMENT OF .....  
 TEZPUR UNIVERSITY

### Similarity Test Report

Having gone through the report from \_\_\_\_\_ in respect of authenticity and anti-plagiarism compliance of Ph.D. dissertation, and having compared the finding with the candidate's text, the Doctoral Committee is satisfied that the similarity percentage in respect of the Ph.D. thesis of ..... (Roll No.....) is within acceptable limits, and recommends that the candidate be allowed to submit his/her thesis.

Name of member of the Doctoral Committee of the candidate	Signature
1. ....	.....
2. ....	.....
3. ....	.....
4. ....	.....
5. ....	.....

Chairperson, DRC, Department of ,.....

### 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** \_\_\_\_\_

### 4. Example of title page:

<p style="text-align: center;"><b>Title of the thesis</b></p> <p style="text-align: center;"><b>A thesis submitted in part fulfillment of the requirements for the degree of Doctor of Philosophy</b></p> <p style="text-align: center;"><b>Student's name</b></p> <p style="text-align: center;"><b>Regn No.</b></p> <p style="text-align: center;"><b>(University logo)</b></p> <p style="text-align: center;"><b>Full affiliation of the Candidate</b></p> <p style="text-align: center;"><b>Month &amp; Year</b></p>
--

### 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 (two copies) may be printed in both sides and spiral binded to facilitate the incorporation of amendments which might be recommended by the examiners. Similarly, one copy of spiral binded revised thesis may be accepted for Central Library with soft copies by CoE office.

### **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.

## **8. Submission of soft copy for uploading at Shodhganga:**

Post the successful conduct of Oral Defence Examination (ODE), the student shall submit a soft copy of the final thesis (after necessary modifications as required) along with form XVI to the University Central Library for uploading at Shodhganga (INFLIBNET), the official depository of Indian theses. The format of the submission will be same as the earlier submission (Clause 2). However, the students must submit the scanned copies of the signed pages, namely, (i) the declaration page and (ii) the certificate page separately. Upon receipt of the thesis in proper format, the library shall issue a certificate to the students. The production of this certificate shall be mandatory for issue of provisional certificate/certificate by the university.

The University library shall upload the thesis after the completion of the evaluation process and before the announcement of the award of the Ph.D. degree.

17. इनपिलबनेट के साथ डिपॉजिटरी— पीएच.डी. उपाधि(यों) को अवार्ड करने हेतु मूल्यांकन प्रक्रिया के सफल समापन के पश्चात् तथा पीएच.डी. उपाधि को प्रदान किये जाने की घोषणा से पूर्व, संबंधित उच्चतर शिक्षण संस्थान पीएच.डी. शोध प्रबंधन की इलेक्ट्रॉनिक प्रति इनपिलबनेट के पास प्रदर्शित (होस्ट) करने के लिए जमा करेगा ताकि सभी उच्चतर और अनुसंधान संस्थानों को यह सुलभ हो।

रजनीश जैन, सचिव

[विज्ञापन-III/4/असा./367/2022-23]

## UNIVERSITY GRANTS COMMISSION

### NOTIFICATION

New Delhi, the 7th November, 2022

### University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree)

#### Regulations, 2022

**No. F. No. 1-3/2021(QIP).**—In exercise of the powers conferred by clauses (f) and (g) of sub-section (1) of section 26 of the University Grants Commission Act, 1956 (3 of 1956), and in supersession of the UGC (Minimum Standards and Procedure for Awards of M.Phil. /Ph.D. Degree) Regulations, 2016 and its amendments, the University Grants Commission hereby makes the following Regulations, namely: -

#### 1. Short title, Application, and Commencement. —

- (1) These Regulations may be called University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022.
- (2) They shall apply to every university established or incorporated by or under a Central Act, a Provincial Act, or a State Act, every college, and every institution deemed to be a University under section 3 of the University Grants Commission Act, 1956.
- (3) They shall come into force from the date of their publication in the Gazette of India.

#### 2. Definitions.- (1) In these Regulations, unless the context otherwise requires, -

- a) "Act" means the University Grants Commission Act, 1956 (3 of 1956);
- b) "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;
- c) "Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- d) "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
- e) "College" means an institution engaged in higher education and/or research, either established by a University as its constituent unit or is affiliated with it;
- f) "Commission" means the University Grants Commission established under Section 4 of the UGC Act 1956;
- g) "Course" means one of the specified units which go to comprise a programme of study;
- h) "Course Work" means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- i) "Degree" means a degree awarded by a Higher Educational Institution in accordance with the provisions of section 22 (3) of the Act;
- j) "External examiner" means an academician/researcher with published research work who is not part of the Higher Educational Institution where the Ph.D. scholar has registered for the Ph.D. programme;
- k) "Foreign Educational Institution" means—(i) an institution duly established or incorporated in its home

country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;

- l) "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale;
- m) "Guide/Research Supervisor" means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research;
- n) "Higher Educational Institution" means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
- o) "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;
- p) "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- q) "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;
- r) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;
- s) "Programme" means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act;
- t) "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- u) "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;
- v) "University" means a Higher Educational Institution established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and shall include any institution for higher education deemed to be a University under Section 3 of the Act.

(2) Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

3. Eligibility criteria for admission to the Ph.D. Programme.-The following are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed:

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

or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

(2) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its



equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

**4. Duration of the Programme.-** (1) Ph.D. Programme shall be for a minimum duration of three

(3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

(2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

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

**5. Procedure for admission. -**

(1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

(2) Admission to the Ph.D. programme shall be made using the following methods:

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

And/or

ii. HEIs may admit students through an Entrance Test conducted at the level of the individual HEI. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject-specific.

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

iv. A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.

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

vi. Provided that for the selection of candidates based on the entrance test conducted by the HEI, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva- voce shall be given.

(3) Universities and Colleges which are eligible to conduct Ph.D. programmes, shall:

i. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

ii. Adhere to the National/State-level reservation policy, as applicable.

(4) The Higher Educational Institution shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of

admission) admitted under them on the website of the institution and update this list every academic year.

**6. Allocation of Research Supervisor.-** Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- (1) Permanent faculty members working as Professor/Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post-graduate Colleges/institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

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

Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- (2) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- (3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- (4) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- (5) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

**7. Admission of International students in Ph.D. programme.-**

- (1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.3 above.
  - (2) The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
8. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.3 and clause 7.1.

**9. Course Work.- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**

- (1) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- (2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

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

**10. Research Advisory Committee and its Functions.-** (1) There shall be a Research Advisory Committee or an equivalent body as defined in the Statutes/Ordinances of the Higher Educational Institution concerned for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:

- i. To review the research proposal and finalize the topic of research.
- ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.
- iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.

(2) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the Higher Educational Institution concerned. A copy of such recommendations shall also be provided to the Ph.D. scholar.

(3) In case the progress of the Ph.D. scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

**11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.-**

- (1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- (2) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Research Advisory Committee of the Higher Educational Institution concerned, which shall also be open to all faculty members and other research scholars/students.
- (3) The Higher Educational Institution concerned shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.
- (4) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- (5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of this Regulations.
- (6) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the Higher Educational Institution concerned shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.
- (7) The Higher Educational Institution concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

**12. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes.-**

- (1) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
- (2) Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:
  - i. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
  - ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

**13. Ph.D. through Part-time Mode-**

- (1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
- (2) The Higher Educational Institution concerned shall obtain a "No Objection Certificate" through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
  - i. The candidate is permitted to pursue studies on a part-time basis.
  - ii. His/her official duties permit him/her to devote sufficient time for research.
  - iii. If required, he/she will be relieved from the duty to complete the course work.
- (3) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.

**14. Grant of M.Phil. Degree.-** Higher Educational Institutions shall not offer the M.Phil.(Master of Philosophy) programme.

**15. Issuing a Provisional certificate.-** Prior to the actual award of the Ph.D. degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

**16. Award of Ph.D. degrees prior to Notification of these Regulations.-** Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

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

RAJNISH JAIN, Secy.

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