
RA-4
RULES AND REGULATIONS FOR PhD PROGRAMME
(Read with OA and under Section 8 of MoA)

(Amended and approved in the Thirteenth Meeting of the Senate of CIT Kokrajhar)

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1. Short title, Application and Commencement

This regulation shall be called as “Rules and Regulations for PhD Programmes (RA-4)” for all PhD programmes commenced at CIT Kokrajhar, and shall come into force from the day of its publication and notification by the Institute.

2. Admission to PhD Programme

- 2.1 Admission to the PhD Programmes of the Institute normally takes place in each regular semester every year, advertisement for which are issued in May / June for odd semester and in November/December for even semester.
- 2.2 Admission to PhD programmes is granted on the basis of admission test followed by interview, except for UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holders, for whom, only interview is sufficient.
- 2.3 The selection of the candidates shall be made using a weightage of 70% to the entrance test and 30% to the interview.
- 2.4 The Entrance Test is qualifying with minimum qualifying marks of 50%, and the syllabus of the Entrance Test consists of 50% research methodology and 50% relevant subject specific, provided that a relaxation of 5 % of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layers)/Differently-abled category in the entrance examination conducted by the institute, provided further that, if in spite of the above relaxation, the seats allotted for SC/ST/OBC (Non Creamy layer)/Differently-Abled categories remain unfilled, the institute shall launch a Special Admission Drive, for that particular category within one month from the date of closure of admissions of General Category.
- 2.5 The Institute adheres to the National/State-level reservation policy for PhD admission, as applicable from time to time.
- 2.6 Prior to advertisement, the Institute, through the Departmental PhD Programme Committees (DPPC), prepares a predetermined and manageable number of PhD scholars to be admitted in an Academic Session depending on the number of available Research Supervisors (according to the **clause 7.3** of this regulation), other academic and physical facilities e.g. laboratory, library.
- 2.7 No objection certificate (see Annexure-I) from the employer of an on-the-job PhD candidate (Institute’s Faculty/Staff/Project Staff/ Research Associate, and Faculty/Staff from other Institute/College/any other organization) is required to be furnished along with the application form.

3. Eligibility Criteria

- 3.1 Master's degree in the relevant field of Engineering/Technology/Design/Science/ Humanities and Social Science, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the UGC from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991.

4. Duration of PhD Programme

- 4.1 PhD programme shall be for a minimum duration of three years, including course work and a maximum of six years. An appropriate extension may be given to a PhD scholar, as per the recommendation of the DC followed by approval from IPPC.
- 4.2 Women and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for PhD in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/PhD for up to 240 days, as per Supervisor's recommendations and approval from the concerned Head of the Department.

5. Enrolment of PhD Scholar

- 5.1 Scholars are required to enroll and pay the prescribed fees at the beginning of every semester by the due date, as notified by the Institute, until thesis submission.
- 5.2 The Institute shall maintain the list of all the registered PhD scholars on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of registration.

6. Assistantship to PhD Scholar

- 6.1 Institute assistantships may be provided to eligible scholars as per the Institute norms and availability of fund. Scholars receiving assistantships from the Institute or fellowships from any other funding agencies, are required to perform academic duties as per prevailing norms.
- 6.2 Assistantships from external funding agency / organizations will be available as per terms

and conditions of the concerned funding agency / organizations.

6.3 Continuation of the assistantship / fellowship is subject to satisfactory performance of the PhD scholar in his/her assigned duties, and to satisfactory progress of the scholar in the PhD Programme.

7. Allocation of Research Supervisor(s)

7.1 Any regular Professor of the Institute with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the Institute with a PhD degree and at least two research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institute may relax the above condition for recognition of a faculty as Research Supervisor with reasons recorded in writing.

7.2 The DPPC appoints Supervisor(s) to a scholar after obtaining mutual consent of both the scholar and the Supervisor(s). Appointment of Supervisor(s) is to be completed within six months from the date of admission. Appointment of Supervisor(s)/Co-Supervisor(s) by the DPPC is according to the **clause 7.3** of this regulation. No External Supervisor is allowed.

7.3 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than **Eight (8)** PhD scholars. An Associate Professor as Research Supervisor/Co-supervisor can guide up to a maximum of **Six (6)** PhD scholars, and an Assistant Professor as Research Supervisor/Co-supervisor can guide up to a maximum of **Four (4)** PhD scholars.

7.4 In case of inter-disciplinary research topics, where the concerned Department feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Co-supervisor from other Department(s), and/or a Co-supervisor from outside the Institute from another College / University / Institute on such terms and conditions as may be specified and agreed upon by the consenting Institutes.

7.5 In case of relocation of an PhD woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Institute to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

8. Change of Research Supervisor(s)

- 8.1 Whenever a supervisor leaves the Institute permanently, the DPPC shall provide new supervisor(s) for the scholars before his/her departure. Change of Supervisor(s) shall be permitted on recommendation of the DPPC after obtaining the consent of (i) the scholar (ii) the present Supervisor(s) and (iii) the proposed Supervisor(s). However, if the Supervisor leaves the institute after submission of thesis, an administrative Supervisor may be appointed by the DPPC, approved by the IPPC to complete the remaining formalities.
- 8.2 Whenever a Supervisor leaves the Institute temporarily, the DPPC shall make alternate arrangement for the administrative OR co-supervisor of his/her scholars in consultation with the supervisor.
- 8.3 In case a Supervisor unfortunately expires or become incapacitated during the PhD programme of a scholar, a new Supervisor may be appointed by the DPPC, followed by approval from the IPPC.

9. Course Work

- 9.1 The course work shall be treated as prerequisite for PhD preparation. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the DPPC.
- 9.2 All courses for PhD course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods, as furnished by the DPPC, and duly approved by the Senate.
- 9.3 All candidates admitted to the PhD programmes are required to complete the course work prescribed by the Department during the initial one or two semesters.
- 9.4 The credit assigned to the PhD course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 9.5 A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, technical writing, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the scholars for PhD degree.
- 9.6 Candidates already holding M. Phil. degree and admitted to the PhD programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the PhD in integrated course, may be exempted by the Department from the

PhD course work. All other candidates admitted to the PhD programme shall be required to complete the PhD course work prescribed by the Department.

9.7 A PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the PhD programme.

10. Comprehensive Examination

10.1 Upon satisfactory completion of course work, and obtaining the marks/grade, as prescribed in the clause 9.7 of this regulation, a PhD scholar is required to sit for the Comprehensive Examination to be held within 18 months from the date of his / her admission.

10.2 The mode of Comprehensive Examination is oral or written or both, as stipulated by the DPPC, and notified by the Department at least 15 days prior to the date of the Exam.

10.3 A scholar failing in the Comprehensive Examination in the first attempt is given a second attempt not before one month and within six months from the date of the first attempt. If the scholar fails in the second attempt, he/she is not allowed to continue in the PhD programme, and such case(s) is/are to be reported to the Senate.

11. Formation of Doctoral Committee (DC) and its Function

11.1 For each PhD scholar, a Doctoral Committee (DC) will be formed by the DPPC in consultation with the Supervisor(s) within one month from the date of appointment of the Supervisor(s) and should have the following composition:

DC Members	Role
A faculty member other than the Supervisor(s) to be nominated by the DPPC	Chairman
Supervisor(s)	Convenor(s)
Two other faculty members of which one should be from another department	Members

11.2 The DC will have the following responsibilities:

11.2.1 Reviewing of research proposal and finalization of research topic

11.2.2 Guidance to the research scholar to develop the study design and methodology of research

11.2.3 Periodic review and assistance in the progress of the research work by the research scholar

12. State of Art Seminar

- 12.1 Within 6 months of the successful completion of the Comprehensive Examination, a PhD scholar shall present a **State-of-the-Art Seminar (SOAS)**, which is open to all faculties and other research scholars. PhD scholar shall present literature survey and broad areas of research, and the feedback and comments may be suitably incorporated into the draft dissertation/thesis in consultation with the DC.
- 12.2 A scholar submits a write-up to the DC members at least one week before the date of the SOAS.
- 12.3 Upon successful completion of the SOAS, the DC submits the report to the DPPC, who communicates the same to the Chairman, IPPC. In case the SOAS is not successfully completed, the PhD scholar can deliver another SOAS within a month from the first one.
- 12.4 In case of change of research topic after SOAS, the concerned supervisor in consultation with the DC shall forward the changes to the DPPC for the approval and new SOAS has to be conducted and the subsequent procedures to be followed as per the clauses 12.2-12.3.

13. Progress Seminar

- 13.1 After successful completion of SOAS, a PhD scholar submits at least one progress report for yearly evaluation to the DC, as per the meeting scheduled annually by the DC, where the scholar presents his/her progress report, and all such presentations are open to all. The yearly **progress reports** along with the recommendation of the DC shall be submitted to the IPPC through the DPPC.
- 13.2 In case the progress of the research scholar is unsatisfactory, the DC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DC may recommend to the DPPC with specific reasons for cancellation of the registration of the research scholar, which will be finalized by IPPC.

14. Synopsis Format and Presentation

- 14.1 Prior to the submission of the thesis, a scholar submits the synopsis of the thesis to the DC. The synopsis contains outline of the research detailed in the thesis.
- 14.2 A scholar will be eligible for synopsis presentation only when he/she publishes **one (1)** journal paper of international standard in a SCI/SCOPUS/UGC-CARE listed journal, and presented **two (2)** papers related to the thesis in conferences / seminars of international/national repute.

14.3 The length of a synopsis shall be one thousand to four thousand words including tables and figures, on A4 size papers typed in one and half space.

14.4A PhD scholar submits the synopsis of his/her thesis work to DC **one week before** giving a seminar presentation on the same, as scheduled by the DC, in an open seminar (named as **Synopsis Seminar**).

14.5 If the DC approves the Synopsis, a PhD scholar is allowed submit the same, and the Supervisor(s) sends a report of the Synopsis Seminar and the Synopsis of the thesis to the Chairman, IPPC through DPPC.

15. Thesis Format

15.1 In order to maintain the uniformity of the PhD thesis format throughout the Institute, a scholar shall follow the format specified in the Annexure, and shall abide by the following requirements.

15.2 The color of the thesis cover should to be in dark blue with golden printing on it.

15.3 The order of the thesis content shall be as follows: Front Cover; Inside Cover; Dedication (optional); Declaration/Statement by the Scholar; Certificate by the Supervisor(s); Approval Sheet; Acknowledgement (optional); Abstract; Table of Content; List of Figures; List of Tables; List of Symbol/Abbreviation etc. (optional); Chapters; References; List of Publications in Journals; List of Publications in conference

15.4 The general thesis guidelines: Front Cover; Inside Cover, Dedication (optional), declaration/statement by the Scholar, Certificate by the Supervisor(s) and Approval Sheet should be printed out on single side with the page number in roman in the footer. The rest of the thesis content should be printed on both side using A4 size paper and the spacing should be one-and-a-half spaced. Footnotes, quotations, references and photographic captions may be single spaced. Where appropriate, these should contain lists giving the locations of figures and illustrations. The margin of the page should be with 1.5 inch on the left and 1 inch for all the other three sides except the title page.

15.5 At the beginning of the chapter, the chapter number and name should be mentioned on a separate page without any number in the footer and with Times New Roman, font size 20, bold. The chapter number should be mentioned in numeric e.g. 'Chapter 1'. The header should contain chapter number in Times New Roman with font size of 10 and right aligned. The footer should contain the page number in right aligned numeric from the content of chapter 1 onwards. The type style for 'Headings' should be Times New Roman, bold, all upper case, with font size of 14. Whereas, for subheadings, it should be

Times New Roman, bold, and font size of 12. The text of the thesis should be in Times New Roman with font size of 12.

16. Thesis Submission

- 16.1 Within **three (3) months** of the acceptance of the Synopsis by the DC, the scholars shall submit thesis.
- 16.2 At least **fifteen (15) days** prior to the submission of the thesis, the Supervisor(s) submit a panel of **eight (8) examiners** (four from India and four from abroad not below the rank of Associate Professor /Professor or academician with equivalent rank) to the Chairman, DPPC, who forwards the list to the Chairman, IPPC. The Chairman, IPPC recommends the same to the Chairman, Senate for approval. The list of examiners remains confidential with the office of the Chairman, IPPC.
- 16.3 The scholar submits five (or six, if there are two Supervisors) copies of the thesis in soft binding format along with a soft copy to the Academic Section in the prescribed format (see Annexure). In addition, a **plagiarism check report** (Annexures-XII, XIII), an **undertaking** (Annexures-XIV) from the research scholar and a **certificate** from the Supervisor(s) (Annexures-XIV) attesting to the originality of the work, vouching that there is no plagiarism, and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution, shall be submitted to the Academic Section.
- 16.4 The Academic Section of the Institute, with approval from the Senate, ensures a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. A similarity index of <20% in the plagiarism check report is acceptable.
- 16.5 If a scholar fails to submit the thesis within 3 months from the date of the Synopsis Seminar, he /she shall present another Synopsis Seminar. His / Her Synopsis has to be approved by the DC and sent to the Chairman, IPPC.
- 16.6 The Academic Section of the Institute will issue an acknowledgement after the thesis submission to the concerned scholar.

17. Thesis Evaluation

- 17.1 A PhD thesis submitted by a scholar is evaluated by his/her Research Supervisor(s) and at least two external examiners (one from India and one from abroad), who are not in employment of the Institute.

- 17.2 The office of the Chairman, IPPC makes all correspondence with the examiners and shall give a monthly update on the following: Consent of external examiners, Thesis sent for evaluation, Report(s) received, Fixing the date of the viva, etc. to the concerned supervisor(s).
- 17.3 The Examiners are expected to send reports on the thesis within two months from the date of receipt of the thesis. In case the Examiner(s) do not send the report within two months, reminders are issued. If the report is not received despite the reminders, the Chairman, IPPC replaces the Examiner(s).
- 17.4 Once the reports from all the examiners are received, the names of the Examiners are made available to the concerned Supervisor(s).
- 17.5 If all the thesis Examiners recommend the thesis for award of the PhD degree, the Chairman, IPPC approves the conducting of the defense Viva Voce. Corrections in the thesis, responses to comments of the Examiners are ratified by the DC.
- 17.6 If an Examiner suggests re-submission of the thesis, the scholar is allowed to resubmit the thesis after due revision within the time stipulated by the DC.
- 17.7 If one Examiner recommends the thesis, and the other rejects, the report of the first Examiner is sent to the second examiner and vice-versa. The examiners are requested to review their recommendations. If after this, there is one acceptance and one rejection, the matter is placed before the Senate for possible replacement of the Examiner, who rejected the thesis.
- 17.8 If both the Examiners do not recommend the thesis for the award of the Degree, the reports are sent to the DC, which can decide on one of the following options based on their assessment.
- 17.8.1 If the DC is satisfied with the work already done and the contents of the thesis already submitted, it may request the Chairman, Senate that the thesis may be sent to another set of examiners. Such a request has to be recommended by the DPPC and Chairman, IPPC.
- 17.8.2 The DC may advise the scholar to augment the research and submit the Synopsis again. If both the examiners do not recommend the thesis for the award for second time, the scholar is not awarded the degree and the registration is cancelled.

18. Thesis Defense

- 18.1 Once all the thesis Examiners recommend the thesis for award of the PhD degree, the

Chairman, IPPC approves conducting of the defense (Viva Voce), which is open to all.

18.2A PhD scholar makes an oral presentation on his/her thesis.

18.3The Viva Voce Board (VVB) for conducting the PhD defense consists of:

Viva Voce Board (VVB) Members	Role
Chairman of the DC	Chairman
Supervisor(s)	Member(s)
One Examiner of the thesis within the country	Member
A faculty member of another department to be nominated by the DPPC	Member
One faculty of the Department with knowledge of the subject of the thesis	Member

18.4The VVB conducts the defense of the thesis by the PhD scholar ensuring that he/she answers all the queries of the thesis Examiners satisfactorily. If satisfied, the Chairman, VVB forwards a report to that effect to the Chairman, IPPC, and recommends award of the PhD degree.

18.5If the VVB finds the performance of the scholar unsatisfactory, the scholar will be asked to reappear for another defense on a later date (not earlier than a month and not later than six months from the date of the first defense).

18.6If the VVB finds the performance of the scholar unsatisfactory on the second occasion also, then the matter will be referred to the Senate for a decision.

18.7The VVB may also recommend revisions to be made in the thesis after taking into consideration the suggestions of the Examiners who evaluated the thesis, and the discussions at the defense. Once the revision(s) are incorporated in all the copies of the thesis, the Chairman of the VVB forwards the report to the Chairman, IPPC, recommending award of PhD degree.

18.8Outstation examiners shall be paid TA/DA, thesis evaluation fee and honorarium as per the Institute rules. The outstation co-supervisor (if any) shall be paid TA/DA as per the Institute Rules.

18.9**Four (or five in case of Co-supervisor)** final hard-bound copies of the thesis shall be submitted to the Academic Section for record keeping in the Section, the Central Library, the concerned Department, and by the Supervisor(s).

19. Award of the PhD Degree

19.1 Upon successful defense and prior to the actual award of the degree, the Institute shall

issue a provisional certificate to the effect that the Degree has been awarded on the date of defense.

19.2 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same to make it accessible to all Institutions/Colleges.

19.3 The VVB recommendation of award of PhD degree is ratified through Senate, finally approved by the Board of Governors (BoG) of the Institute, and the scholar will be awarded PhD degree to the effect that the Degree has been awarded on the date of defense.

Annexure-I

No-Objection Certificate for On-The-Job PhD Candidate

(This should be typed on the letter head of the organization with Reference No.)

Date:

To
The Director
Central Institute of Technology Kokrajhar
(Deemed to be University, MoE, Govt. of India)

Subject: No-Objection Certificate

Dear Sir,

We have no objection if Mr./Ms./Mrs., an employee in our organization, is admitted to the PhD programme in at Central Institute of Technology Kokrajhar (CIT Kokrajhar) as an on-the-job scholar. It is certified that he/she has completed -----year of service in our organization/institute as a regular employee.

He/she shall be granted leave of absence to attend classes/research works at Central Institute of Technology Kokrajhar during the PhD programme.

Signature and seal of the Employer

[Format for the Front Cover]

Thesis Title

By

scholar's name



Department of xxxx
Central Institute of Technology Kokrajhar
(Deemed-to-be University, MoE, Govt. of India)
Kokrajhar - 783 370, Assam, India

month, year

[Format for the Inside Cover]

Thesis Title

By

scholar's name
(Roll No: xxxx)

Under the Supervision of
supervisor's name(s)
designation(s)

In partial fulfilment of the requirements for the award of the degree of

Doctor of Philosophy

in Department of xxxx



Department of xxxx
Central Institute of Technology Kokrajhar
(Deemed-to-be University, MoE, Govt. of India)
Kokrajhar - 783 370, Assam, India

month, year

[Format for the Declaration]

Declaration

I declare that this written submission is original and represents my idea in my own words. The work has not been submitted to this or any other institute for any other degree / diploma. Whenever I have used materials (data, theory, text, pictures, etc.) from other sources, I have given due credit by citing their details in the reference. I also affirm that no part of this thesis contains plagiarized contents to the best of my knowledge, and I understand and take complete responsibility if any complaint arises. I am fully aware that my thesis supervisor is not in a position to check for any possible instance of plagiarism within this submitted work.

Date:

scholar's signature

scholar's name

[Format for the Certificate by the Supervisor(s)]

Certificate by the Supervisor(s)

This is to certify that this thesis entitled "[thesis-title]" submitted by [scholar's name], in partial fulfillment of the requirements for the award of the degree of Doctor of Philosophy to the Central Institute of Technology Kokrajhar (Deemed-to-be University), Assam, India, is a record of the bonafide research work carried out by him under my/our guidance and supervision at the Department of xxxx, Central Institute of Technology Kokrajhar (Deemed-to-be University), Assam, India. To the best of my/our knowledge, no part of the work reported in this thesis has been presented for the award of any degree / diploma at this or any other institution.

Date:

Supervisor's signature

Supervisor's names

Designation

Department

Institute / University

Email

Co-supervisor's signature

Supervisor's names

Designation

Department

Institute / University

Email

[Format for the Approval Sheet]

Approval

This thesis/dissertation/report entitled "[Thesis Title]" by [scholar's name] (Roll No. xxxx) is approved for the degree of Doctor of Philosophy in Department of xxxx.

Examiners:

Supervisor (s):

Chairman:

Date:

Place:

Acknowledgement

Date:

Scholar's signature

scholar's name