

JAGANNATH BAROOAH COLLEGE (AUTONOMOUS)

(An Autonomous College Affiliated to Dibrugarh University)



Ph. D. REGULATIONS, 2022

**Approved by the Meeting of the Academic Council
held on 12.03.2022**

(Notified vide Memo No.: JBC/RC/2022/001 dated 10.05.2022)

J B College, Jorhat - 785001

Assam, India

Chapter-I

Introduction and Ordinances

1. Introduction

The objectives of Jagannath Barooah College (Autonomous) (JBC), Jorhat as enshrined in its Vision and Mission require it to foster 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-ensuring significant contribution to societal development.

The Degree of Doctor of Philosophy (Ph.D.) dealt in this Regulation is the Research Degree of Jagannath Barooah College, Jorhat. These Rules and Regulations for Doctoral Degree of JBC provide the information and guidance on the framework within which this Institute expects research degrees to be offered and administered.

2. Right to interpretation and amendment

The Academic Council of J.B. College with due approval from the Governing Body shall have the right to interpret and amend these regulations.

3. General Definitions

- 3.1 **“Research”** means systematic study or investigation in order to discover and underpin new knowledge in the form of facts and establish new conclusions or interpretation of ideas or inventions of new devices.
 - 3.2 **“Doctor of Philosophy (Ph.D.)”** signifies that the awardee of the degree has successfully completed the stipulated programme of research which has been conducted and reported by the holder in the form of a thesis based on the original research work done by him/her under proper academic supervision.
 - 3.3 **“Applicant”** means an individual who applies on a prescribed application form for admission to a Ph.D. programme.
 - 3.4 **“Candidate”** means a student who is admitted to Ph.D. programme of Jagannath Barooah College through the procedures adopted by Jagannath Barooah College.
 - 3.5 **“CoE”** means Controller of Examinations of the College.
- Ph.D. Rules and Regulations, 2022

- 3.6 **“Coursework”** means course units prescribed by Departmental Research Committee (DRC)/Research Council (RC) to be completed by a candidate towards fulfillment of requirements of Ph.D. programme.
- 3.7 **“Registration”** means formal enrolment of a candidate for a Ph.D. programme.
- 3.8 **“Registration Period”** means the length of time span commencing from the date specified by Research Council (RC) after its approval of the research proposal of the candidate and ending on the date of successful submission of the thesis. Unless the research programme is discontinued by the candidate at his/her option or because of any incapacitation or his/her registration is cancelled under any provision of this rule.
- 3.9 **“Supervisor”** means a member of the academic staff of the College, approved by the RC to guide/supervise the research work carried out by the candidate.
- 3.10 **“Academic Council (AC)”** means the Academic Council for the College constituted under the provisions of the Institute.

4. Administration:

- 4.01 **“Research Council (RC)”** is the apex body that administers the research programmes of the College. The Principal of JBC constitutes the committee. The Research Committee shall consist of:

- a. Principal or his/her nominee as Chairperson.
- b. Member Secretary (nominated by Principal)
- c. Controller of Examinations (CoE) as Member
- d. Coordinator, Internal Quality Assurance Cell as Member
- e. Five members (nominated by AC)

4.02 Duties and Powers of Research Council:

- i. Discusses the rules and Regulations for Doctoral Degree and suggest for amendments if necessary.
- ii. Examine the research proposal of the candidates duly recommended by the Research Advisory Committee (RAC) through Departmental Research Committee (DRC). Depending on the merit and suitability of the research plan RC may approve or reject or ask the candidate to modify/rephrase the research objectives, title of research, etc.
- iii. Examine the qualifications/experience of the proposed supervisor(s) and make recommendations regarding his/her/their suitability to guide the research work.
- iv. Examine the progress reports of the research students duly forwarded by DRC.

- v. RC will meet twice in each academic session at regular intervals
- vi. The minutes of the RC meeting shall be reported to the next meeting of the Academic Council (AC) for approval.

4.03 **Departmental Research Committee (DRC):** The Departmental Research Committee (DRC) is the Research Committee of a teaching department of JBC.

There shall be a Departmental Research Committee (DRC) constituted as below in each Department:

- a) Head of the Department – Chairperson
Provided that where the Head of the Department is not an eligible Ph.D. Supervisor, another recognized supervisor, not below the rank of Associate Professor of the department, shall be the Chairperson of the DRC concerned. He/She shall function until the Head of the Department acquires eligibility to be a Supervisor.
- b) All eligible Ph.D. Supervisors of the department concerned.
- c) Any other member nominated to the DRC by Chairman, RC as and when necessary.

Provided further that in the case of Departments where the Head of the Department being a single eligible recognized Supervisor, at least two members for the DRC of such Departments shall be nominated by the Chairman, RC from the allied Departments in consultation with the Chairperson, DRC.

4.04 **Functions of DRC:** The DRC shall consider all matters related to the research works in the subject(s) concerned. The functions of the DRC are as follows:

- i. It shall look after all activities related to entrance and admission to the Ph.D. Coursework as per the prescribed admission criteria and procedure.
- ii. It shall conduct and do the needful for evaluation of the Ph.D. Coursework.
- iii. It shall consider the recommendations of the RAC related to the registration of the Ph.D. research Scholars. It shall recommend a Ph.D. proposal (synopsis) for registration only after its presentation before the DRC by the concerned Scholar.
- iv. It shall convene periodical seminars/ presentations for the Ph.D. Scholars from time to time.

- v. It shall scrutinize the progress reports of the Ph.D. research Scholars in regular interval and report the same to the Chairman, RC.
- vi. The DRC shall organize the Pre-submission seminars of the Ph.D. Scholars and receive the abstracts along with the panel of examiners from the Research Advisory Committee (RAC) and recommend it to the Chairman, RC for further needful action.
- vii. On receipt of the satisfactory evaluation reports, DRC shall arrange the final viva voce assess the quality and impact of the research work carried out by the doctoral student.
- viii. The DRC shall consider any other issues relevant to the Ph.D. works of the scholars.

4.05 Research Advisory Committee (RAC): The formation of the RAC will be initiated by the principal supervisor(s) to monitor the progress of each of the research students. The RAC shall consist of the supervisor and at least two faculty members/experts of the concerned department (in which the research student pursues his/her research) or member/expert from related department(s) of the College or from other reputed Institutions. The principal supervisor shall be the Chairperson of RAC. Provided that additional members can be adopted as and when required subject to the prior approval of RC. The principal supervisor shall propose the names of the members of RAC through the DRC for approval of RC. The formation of the RAC shall be notified by the Chairperson of the DRC concerned and the copies of it shall be sent to the concerned authorities.

4.06 Functions of RAC:

- i. The RAC shall examine the research proposals and recommend the same to the DRC concerned if found appropriate for Ph.D. registration.
- ii. It shall monitor the progress of research work of the scholar and recommend the progress to the DRC concerned.
- iii. A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The

six-monthly progress reports shall be submitted by the RAC to the DRC with a copy to the research scholar.

- iv. It shall monitor, suggest and guide the Ph.D. scholar on her/ his research work as and when necessary.
- v. It shall examine the abstracts of the Ph.D. Thesis prior to the pre-submission seminar and report the same to the DRC concerned.
- vi. It shall ensure the corrections and modifications in the thesis as per the recommendation of the examiners before the viva-voce examination.

4. Management and Co-ordination of Ph.D. Programme

- 4.1. Academic Programmes leading to the award of Ph.D. degrees shall be organized and managed by the AC, RC, DRC, RAC and any other committee(s) constituted by the authority empowered under the Statutes, Ordinances and Regulations of J.B. College.
- 4.2. Constitution, composition, functions and powers of these bodies will be as specified in the Statutes, the Ordinances and the Regulations.
- 4.3. If any Ph.D. student happens to be a family member or a close relative* define of the chairperson of the RC, a senior member nominated by the Academic Council (AC) shall perform the duty of the chairperson of the respective committee.

*Close relative means:

In the case of individual –

- (i) Spouse of an individual
- (ii) Brother or sister of the individual
- (iii) Brother or sister of the spouse of the individual
- (iv) Brother or sister of either of parents of the individual
- (v) Any lineal ascendant or descendant of the individual
- (vi) Any lineal ascendant or descendant of the spouse of the individual
- (vii) Spouse of the persons referred in items (ii) to (vi)

5. Ordinances:

- 5.1. The Ph.D. degree is awarded to a candidate, who, as per these regulations, has successfully completed the stipulated programme of research and submitted a thesis based on the original research work done by him/her in any particular discipline or

jointly in more than one discipline (Inter disciplinary), that makes a contribution to the advancement of knowledge in the appropriate field of Applied Sciences/Humanities & Social Sciences/Management and has had the thesis approved by the duly constituted panels of examiners.

- 5.2. The Academic Council (AC) of the College 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.
- 5.3. A candidate to be awarded the Ph.D. 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.
- 5.4. A candidate becomes eligible for the award of Ph.D. degree after fulfilling the entire academic requirement prescribed by the AC of the College.
- 5.5. The affiliating university of the college shall approve the award upon recommendation of the AC.
- 5.6. In case of any controversy in the thesis or viva voce evaluation report the decision of the AC shall be final and binding.
- 5.7. The Ph.D. degree shall be awarded in the discipline of the department in which the student registers for Ph.D. programme.

Chapter II

Rules and Regulations

6. Admission Categories

The research scholar seeking admission to the Ph.D. programme of the College, shall be classified under any one of the following categories:

6.1 Full Time: A person enrolled in Ph.D. programme and who devotes his/her full time for research activities in the College. He/She may apply for fellowship/assistantship available from different funding agencies. Moreover, research scholars supported by R&D organizations, national institutions, other universities, government organizations or industries shall be admitted through the normal process and work full time for the Ph.D. course. However, they shall not be entitled to any fellowship/assistantship from the College.

6.2 Part Time: A person can be enrolled in the part time Ph.D. programme of this college and be allowed to conduct research activities in the College while being in full time employment as:

6.2.1 Faculty/Scientists/Engineers/Professionals working in recognized academic institutions/research institutes/ Government/ Industry (working professionals)/ non-working professionals.

6.2.2 A member of administrative/technical staff or faculty of the College.

Part time candidates shall complete their coursework by the end of the third semester after obtaining necessary leave from their employers.

7 Project Fellow: Persons working in a research project in the College, provided his/her Ph.D. topic is related with research project, subject to the consent of the Principal Investigator of the project these research scholars shall get stipend/remuneration as admissible under concerned Research Project and shall not be entitled to get any type of stipend/remuneration from the College. However, they shall have to comply with all related Ph.D. norms of the College.

8 Sponsored: Candidates getting Government/Semi Govt. or other Scholarship/ Fellowships/stipends, who applies for admission through the sponsoring organization

9. Admission to the Ph.D. programme

9.1 Eligibility criteria

- 9.1.1 The required minimum qualification for admission to a Ph.D. programme shall be Master's degree in the relevant field with a minimum Cumulative Grade Point Average (CGPA) of 5.5 on a 10-point scale or equivalent as determined by the institute where letter grades are awarded; or 55% marks where marks are awarded.
- 9.1.2 The admission eligibility requirement may be relaxed to CGPA 5.0 on a 10-point scale or equivalent, or to 50% marks for candidates belonging to SC/ ST categories or other reserved categories specified in govt rules.
- 9.1.3 If considered necessary, RC may propose other qualifications/ requirements in specific areas, consistent with norms of UGC, AICTE and other statutory bodies, to the Academic Council for recommendation/approval.

9.2 Admission Procedures

- 9.2.1 Applications for admission to Ph.D. programme shall be invited through an open advertisement, once a year in the month of May for pre-determined intake for each programme in the prescribed form FORM-I as laid down by the College.
- 9.2.2 The tentative schedule of Course Registration and Admission is to be decided by Research Council and notified accordingly from time to time.
- 9.2.3 Application of the candidates of categories referred under rule 6.2 must be submitted through proper channel along with no objection certificates from concerned Institute, Organization where he/she is an employment.
- 9.2.4 The applicants for part-time Ph.D. should:
 - 9.2.4.1 Prove to the satisfaction of RC that his official duties permit him to devote sufficient time to research work.
 - 9.2.4.2 Ensure that facilities for pursuing research work are available at his place of work in the chosen field of research, where required.
- 9.2.5 Sponsored candidates shall submit a sponsorship certificate from their employers in proper format Form – III.

- 9.2.6 Project fellows shall submit their applications accompanied by a no objection certificate from the Principal Investigator Form – IV.
- 9.2.7 The applications received by the CoE shall be sent to the concerned Heads of the departments to scrutinize the applications, shortlist the candidates and call them for entrance/screening test followed by an interview.
- 9.2.8 The panel of candidates recommended for admission by a selection committee set up by the RC shall be sent to the CoE.
- 9.2.9 RC shall prepare a tentative list of guides depending on the specific areas of research indicated by the shortlisted applicants.
- 9.2.10 Selected candidates shall be intimated by the CoE for getting themselves admitted to the Ph.D. programme.
- 9.2.11 Selected candidates get admitted to the concerned programme by paying all fees as per schedule as may be prescribed by college from time to time. The candidate's presence at the time of verification of testimonials etc., course registration and hostel admission are essential.
- 9.2.12 Non-Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the programme in accordance with the policy guidelines laid down by the Government of India.
- 9.2.13 Admission to the Ph.D. programme is made on the basis of a two-stage process through an Entrance Test followed by Personal Interview conducted by JBC Ph.D. Admission Committee, unless an applicant qualifies for an exemption.
- 9.2.14 Exemption from appearing in the Entrance Test does not mean automatic admission into the M.Phil./Ph.D. Programme. It is just a benefit awarded to certain deserving applicants. An exempted applicant will have to go through the process of Personal Interview before she/he can be admitted into the Ph.D. Programme. Recipient of CSIR/UGC-NET JRF-LS, State Eligibility Test (SET), ICMR-JRF, ICAR-JRF, DBT-JRF are exempted from appearing in the Entrance Test. Eligible International Students are also exempted from appearing in the Entrance Test. Exemption from appearing in Entrance Test can be availed only once. If an applicant has been exempted once and did not appear in the Personal Interview session, he/she will not be given any exemption in the future. However, the

applicant can appeal for exemption in writing citing sufficient reasons why he/she should be exempted.

9.2.15 Employees working in colleges also should enclose NOC from DHE or competent authority.

9.2.16 Qualifying marks in the entrance test will be 50%. The syllabus of the Entrance Test shall consist of 50% of questions which tests research aptitude, while 50% shall be subject specific.

9.2.17 A relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-creamy layer)/Differently-abled category in the entrance examination conducted by the college.

9.2.18 An interview/viva-voce to be organized by the College wherein the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Committee (DRC). For the selection of the candidates, a weightage of 50% to the entrance test and 50% to the performance in the interview/viva-voce shall be given.

9.2.19 The interview/viva voce shall consider the following aspects, viz. whether:

9.2.19.1 The candidate possesses the competence for the proposed research;

9.2.19.2 The research work can be suitably undertaken at the College;

9.2.19.3 The proposed area of research can contribute to new/additional knowledge.

9.2.20 The PhD admission committee of the department will consist of Head of the department, members of DRC and potential supervisors in various areas.

9.2.21 The candidates will be provisionally registered till the successful completion of the Ph.D. course work.

9.2.22 The College shall maintain the list of all the Ph.D. registered students 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 enrolment/registration, and other relevant information.

10. Supervision

10.1 Categories of Supervisor

10.1.1 **Supervisor:** The supervisor is a member of the faculty of J.B. College who has the responsibility of supervision of the candidate pursuing Ph.D. programme. The Supervisor shall act as the chairperson of the RAC.

10.1.2 **Co-Supervisor:** If the plan of research of the candidate demands, subject to the consent of the principal supervisor, a suitably qualified researcher (recognized as a supervisor) who may or may not be a faculty member of JBC can be appointed as a co-supervisor by the RC provided that the scientist has already been recognized by J B College as a Supervisor.

10.1.3 The maximum limit for supervising Ph.D. students as supervisors/co-supervisors at a time shall be as follows:

Professor: 8 (both as supervisor and co-supervisor)

Associate Professor: 6 (do)

Assistant Professor: 4 (do)

10.2 Allotment of Supervisors

10.2.1 Every doctoral student shall be placed under the supervision of a member of the College or other competent person by the RC after obtaining mutual consent of both the student and the supervisor.

10.2.2 The allocation/allotment of supervisor shall not be left to the individual student or teacher.

10.2.3 The allocation of the supervisor will depend on the number of doctoral students per faculty member, the available specialization among the faculty members, and the research interest of the student as indicated by him/her during interview.

10.2.4 The supervisor(s) shall be identified and appointed at the earliest and within six months from the date of admission.

10.2.5 Once the supervisor for a candidate is fixed, it shall be notified by the principal.

10.2.6 A supervisor shall not have at any given point of time more than the number of Ph.D. students as prescribed under rule 10.1.3.

Provided that the supervisor should declare the number of Ph.D. students registered with him/her periodically to the RC. He/she cannot increase the number by using recognition from multiple universities/institutions.

- 10.2.7 There shall not be more than two supervisors for a doctoral student including co-supervisor.
- 10.2.8 For sufficient reason RC shall have the power to change the supervisor of any student or to arrange for joint supervision by more than one supervisor, if it deems it necessary.
- 10.2.9 On sufficient and valid grounds, a doctoral student may apply to the RC for changing his/her supervisor/co-supervisor (or both). On the basis of the application, RC may approve the change.

10.3 Recognition of Supervisor/Guideship & Co-supervisor

- 10.3.1 Any regular Associate Professor of the College with a Ph.D. degree, with at least two research publications in UGC CARE listed standard, during the last five years and any regular Assistant Professor of the College with a Ph.D. degree and a minimum of 3 years of teaching experience after Ph.D./research with at least two research publications. UGC CAREUGC may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of UGC CARE listed journals, the RC may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 10.3.2 Only a full-time regular teacher of the College can act as a supervisor. Adjunct faculties are not permitted to be research supervisors. However, 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 RC.
- 10.3.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.
- 10.3.4 In the case of topics which are inter-disciplinary and where the DRC concerned feels that the expertise in the Department has to be supplemented from outside, the DRC may appoint a Research Supervisor from the Department itself, who shall be known as the Principal Supervisor, and a Co-Supervisor from outside the Department/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Colleges.

- 10.3.5 Faculty members of the College after superannuation may continue as co-guides/supervisors for research students with the consent of the RC. Retired faculty members holding an official position (such as Professor Emeritus/Distinguished Professor/Scientist Emeritus) may continue as Supervisors till they continue in the official position. Later they may act as a Co-supervisor with the concurrence of the RC and the new Principal Supervisor.
- 10.3.6 If the supervisor or the co-supervisor of JBC leaves the College permanently or temporarily for a period of more than 1 year or is unable to continue supervision due to long illness or due to demise or due to any other incapacitation:
- 10.3.6.1 The student may apply to the DRC for changing the supervisor.
- 10.3.6.2 The application shall be forwarded to the CoE through Head of the concerned department for approval of the RC.
- 10.3.6.3 With the approval of the RC, the CoE shall notify the approved change.
- 10.3.6.4 Due acknowledgement and recognition must be given in the Ph.D. thesis for the part of the work supervised by the earlier supervisor.
- 10.3.7 In case the doctoral student has a co-supervisor from an outside organization and the co-supervisor leaves his/her institute/college/college/R&D organization or is unable to continue supervision due to long illness or due to demise due to any other incapacitation:
- 10.3.7.1 The student may apply to the Head of the concerned department for an alternative co-supervisor recognized by JBC from JBC or other institute/College/R&D organization.
- 10.3.7.2 The application must be endorsed by the supervisor.
- 10.3.7.3 The application shall be forwarded to the CoE by the DRC through Head of the concerned department for approval of the RC.
- 10.3.7.4 With the approval of the RC the CoE shall notify the approved change.
- 10.3.7.5 Due acknowledgement and recognition must be given in the Ph.D. thesis for the part of the work supervised by the earlier supervisor.
- 10.3.8 Those Faculty members of the College who have been recognized as supervisors shall not supervise new Ph.D. students 1 year prior to their retirement.
- 10.3.9 Notwithstanding what is stated above, the Chairman, RC reserves the right to approve anyone as research supervisor, depending upon the merit of the case.

11. Course credit requirement in coursework

11.1 The minimum course credit requirement and distribution for all categories of students for the Ph.D. programme shall be as shown below:

Sl. No.	Components	Credit
1.	Coursework (Major discipline and related discipline)	18
Total credits		18

11.2 After having been admitted as a doctoral student, each Ph.D. student shall be required to undertake coursework as per the recommendation of the RAC for a minimum period of one semester. He/She will have the option of completing the coursework either in the odd or even semester (but within one year). The coursework shall be treated as pre-Ph.D. preparation and must include a course on research methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.

11.3 Ph.D students shall have to take courses offered by the concerned department for the Ph.D. programme.

11.4 In case, the research student had done research methodology during his/ her Master's degree, he or she has to complete two other courses as recommended by the RC.

11.5 A student should take a minimum of 4 courses on the areas of research and/or areas related to that of research with at least 12 credits up to a maximum of 16 credits. Out of the courses three courses must be from the major discipline.

11.6 The Department where the scholar pursues his/her research work shall prescribe the course(s) to him/her depending on the specific requirements of the area of research and the previous knowledge, expertise and experience of the candidate and based on the recommendations of the Research Advisory Committee (RAC) of the research scholar.

11.7 The coursework must be carried out by the students within the first two semesters. However, employed part time candidates shall be given the option of carrying out the coursework during any two of the first three semesters.

11.8 A candidate shall have to register his/her name for the courses to be taken in each semester through a course registration form (FORM – V) to be obtained from the office of CoE or available in the college website. The Course Registration Form shall have to

be submitted to the CoE through the supervisor or the concerned Head of the Department/Centre along with the receipt of payment of necessary fees.

- 11.9** Candidates admitted to the Ph.D. programme with an M.Phil. degree obtained from this College or from any other UGC recognised University or Institute will be exempted from undergoing the coursework. The College shall make necessary arrangements for issuing these candidates an appropriate certificate to this effect after due verification.
- 11.10** All courses prescribed for and Ph.D. coursework shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies J.B. College.
- 11.11** Grades in the coursework, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department shall be communicated to the CoE.
- 11.12** A student must secure a grade 'B' with an overall minimum CGPA of 7.0 (seven) in order to continue research and which shall be considered as pass mark. The assessment procedures and the computation of SGPA/CGPA shall be done according to the procedures adopted by the College.
- 11.13** Controller of Examinations (CoE) shall declare the SGPA/CGPA after successful completion of course work.

12. Attendance:

12.1 During Coursework:

The minimum requirement of attendance for completing the coursework shall be the same as laid down in the Attendance Regulations of J.B. Colleg for other programmes.

12.2 During Research Work:

12.2.1 During research work, Ph.D. candidates in full time, sponsored and project categories shall be required to maintain a minimum attendance of 80% in each semester.

12.2.2 Ph.D. candidates in part time category shall be required to maintain a minimum attendance of 80% in each semester in JBC and 80% attendance in his/her parent organization/laboratory/department wherever he/she carries out his research work.

13. Leave

13.1 Academic Leave:

- 13.1.1 A maximum of 15 days of academic leave is permissible in a year consisting of two consecutive semesters, from the time of his/her joining the programme to attend conferences/seminars/workshops/trainings/short-term courses.
- 13.1.2 A maximum of 30 days of leave in a calendar year is permissible for field trips related to his research work.
- 13.1.3 The Head of the Department/Centre sanctions academic leave on recommendation of the supervisor.
- 13.1.4 Academic leave of more than 60 days but up to a maximum of 12 months is also permissible to carry out part of the research in another institute/R&D Lab/industry in India or abroad. For sanction of such a leave, a letter of consent from the host institute is required. This leave is permissible only after the student has completed successfully the coursework and has completed at least 30% of his/her research work at JBC.
- 13.1.5 On recommendations of the supervisor, RAC and RC, the AC approves such an academic leave.
- 13.1.6 The candidate granted academic leave for one or more semesters, pays prescribed fees in every semester.

13.2 Maternity leave:

- 13.2.1 A student is eligible for total 240 days maternity leave/Child Care Leave as applicable only once during the entire Ph.D. Programme.
- 13.2.2 Head of the Department/Centre sanctions leave on recommendation of the supervisor and submission of a certificate from a Medical Officer authorized by JBC.

14. Ph.D. registration

- 14.1 After successful completion of the coursework, a candidate shall submit a synopsis of the proposed research work in triplicate to the RAC concerned through his/her supervisor within one semester from the date of declaration of the result of the Coursework. The candidate may be required to give a presentation of the synopsis before the DRC.

- 14.2** The RAC shall scrutinize the research proposal of the candidate and suggest for modification if any. The RAC shall also recommend the proposals for consideration of the DRC concerned.
- 14.3** The Chairperson, DRC shall forward the applications of the candidates for Ph.D. Registration along with its recommendations to the RC. The proposals for registration should contain the following documents
- a) Duly filled in specified Application Forms
 - b) Recommendation of the RAC
 - c) Certificate of Originality by the Scholar using the Shodhganga Repository Plagiarism Check.
 - d) Recommendation of the DRC with proposed date of effect.
- 14.4** The candidates from other Universities/ Institutes must submit Registration Certificate of the affiliating university to the CoE within one year from the date of admission.
- 14.5** The RC after considering the recommendations of DRC shall approve or otherwise the Ph.D. registration of the candidate.
- 14.6** A summary report of the candidates registered for Ph.D. shall be duly sent to the CoE for enrolment.
- 14.7** The CoE shall convey the approval of the Ph.D. registration and provide the Ph.D. Registration Certificate to the candidates.

15. Renewal of Studentship/Candidature

- 15.1** In order to continue research the candidates will be required to renew their studentship every semester by the specified date till the submission of their thesis.
- 15.2** The renewal of studentship shall be subject to the completion of specified number of credits/coursework and/or satisfactory progress in his/her research work as recommended by RAC.
- 15.3** A student may be exempted from the prescribed fees for the last semester if he submits thesis within 30 days from beginning of the semester.

16. Period of Candidature

16.1 The time period requirement for submission of the Ph.D. Thesis, including coursework:

Category	Minimum Time	Maximum Time
Full Time	6 semesters	10 semesters
Others	8 semesters	12 semesters

16.2 Under exceptional circumstances a candidate may apply through proper channel for extension of the time period for thesis submission for a maximum of two semesters. After examining the application DRC forwards the application to RC. After recommendation of RC, the application shall be sent to AC for approval.

16.3 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration.

17. Change of category

17.1 If a candidate desires to change category of his/her candidature, he/she shall apply to the RC through DRC at any time after the completion of his coursework FORM – VI.

17.2 The candidate may be allowed, for valid reasons, to change his status from full time category to part time category or vice-versa on the recommendation of DRC and with the approval of RC.

17.3 If a full-time candidate changes his status to part time category, the minimum time period requirement shall be three years (six semesters) and maximum will be six years (twelve semesters).

17.4 In case a part time candidate changes his status to full time category, the minimum time period requirement shall be four years (eight semesters) and maximum will be five years (ten semesters).

17.5 Request of a candidate for conversion of his/ her PhD programme from full time to part time will not be allowed before one year and without completion of synopsis seminar and acceptance of plan of research. In such a situation, admission of the candidate to PhD programme may be cancelled.

18. Cancellation of Registration

Registration of a candidate shall be terminated in any one of the following eventualities, after due approval of AC of the College:

- 18.1** If the academic progress of the candidate is found unsatisfactory in three consecutive monitoring reports.
- 18.2** If he/she is absent for a continuous period of four weeks without prior sanction of leave.
- 18.3** If he/she resigns from the PhD Programme and the resignation is duly recommended by the supervisor/ Chairman, DRC/HoD.
- 18.4** If he/she fails to renew his/ her registration in any semester
- 18.5** If his/ her academic and research progress is not satisfactory for two consecutive semesters.
- 18.6** If all the prescribed courses are not successfully completed within the stipulated time frame of 24 months (for both full time and part time Research students) from initial registration with a minimum CGPA of 7.0.

19. Disciplinary Regulations

If a candidate is found to be involved in an act of misconduct, misbehavior, plagiarism and /or indiscipline, disciplinary action will be taken by Disciplinary Action Committee (DAC) of the College.

20. Monitoring the Progress of Research

- 20.1** The research progress of each research candidate in a semester will be monitored by the DRC, which will assess the performance to be 'satisfactory' or 'unsatisfactory' at the end of each semester. For this purpose, each research candidate will be asked to submit a progress report to the DRC by the stipulated date and shall make an open presentation for the same before the faculty members, staff members and students at the end of the semester
- 20.2** If the progress of a research candidate in a semester is evaluated as 'satisfactory' by the supervisor, and DRC then it is not necessary to forward it to RC. But if the progress is evaluated as 'unsatisfactory' by the DRC, the evaluation will then be submitted to RC. A warning will be issued to the Research Candidate by the office of Research council. If the progress is unsatisfactory in two consecutive semesters, his or her registration for PhD programme will automatically stand terminated.

- 20.3** Notwithstanding anything mentioned in clause 20.1 and 20.2, a Ph.D. student may be allowed to make minor changes in the research proposal up to the third semester subject to the approval of RAC.

21. Pre-Submission Seminar and Synopsis of Thesis

- 21.1** There will be an open presentation of the work done by the candidate before the thesis is bound and submitted for evaluation provided that the candidate has acceptance of/ published at least one research paper in a SCOPUS indexed journal, on the basis of his/ her PhD research work. The candidate shall produce evidence of the same in the form of acceptance letter or copy of the research paper.
- 21.2** The members of the RC may recommend modification or extension of the work required before the thesis is completed. The candidate will deliver a seminar on his research work and the seminar shall be adequately notified by the Chairman, RC, so as to enable interested faculty members and students of the institute to attend it.
- 21.3** If the RC is satisfied about the quality of the work and considers it fit for submission as a PhD thesis, it will send its recommendation to Principal through the HoD along with five hard copies and one soft copy of the synopsis, proposed panel of examiners and the bibliography. Minor changes in title and objectives within the framework of the research proposal may be made as approved by the RC.
- 21.4** A certificate from the supervisor(s) stating that all modifications, if any, recommended by RC have been incorporated, the research work being reported, is the original contribution of the candidate and the work has not been presented anywhere else for the award of any other degree, will be appended to the synopsis. The thesis will be checked for plagiarism using the proper software and a certificate must be attached for the same.
- 21.5** If a student fails to submit the thesis within 4 months from the date of the pre-thesis submission seminar, he/she shall present another pre-thesis submission seminar. In that case his/her synopsis has to be approved by the RAC and submitted to the RC for necessary action.

22. Panel of Thesis/Viva-Voce Examiners

- 22.1** At the time of pre-thesis submission seminar, RAC proposes to RC (through DRC) the panel for the final evaluation of the PhD thesis which shall consist of the

internal examiner(s) (normally all the supervisors) and two external examiners, out of which at least one should be from outside the State/Country.

- 22.2** A panel of 6 external examiners, as far as possible from the experts who have been cited in the thesis of the candidate, will be proposed by the RAC of the candidate out of which at least 3 will be from IISc/ IITs/ NITs/ ACSIR/Universities and organizations within or outside the country.
- 22.3** The panel should be duly recommended by the RC and be sent to Principal through Chairman, DRC for approval/ addition/ deletion and listing in a preferential order. This panel is to be kept confidential. Synopsis of the thesis prepared by the candidate will be sent by the Controller to any three examiners from the approved list from principal. On receiving the acceptance from any three examiners, the copies of the thesis will be sent to any examiner from the list for evaluation. In case the acceptance is received from only two examiners the thesis will be sent to these examiners. In case of a refusal of two or more than two examiners from this list, the next examiners in the approved list mentioned above will be approached for the willingness to evaluate the thesis. Further, in case the list of approved examiners is exhausted, more names could be invited for the purpose by Principal/Controller from the RAC through RC.
- 22.4** On receipt of the satisfactory evaluation reports, DRC shall arrange the final viva voce evaluation to evaluate the quality and impact of the research work carried out by the doctoral student. The viva voce is an essential component of the evaluation process and shall also be openly defended. The panel for viva voce examination shall consist of the internal examiner(s) and one of the external examiners of the thesis evaluation panel. If none of the external examiner(s) is available for viva voce examination, an alternative examiner shall be appointed by DRC, subject to the approval of RC.

23. Thesis Preparation and Submission

- 23.1** A Ph.D. thesis is submitted as part of the requirements for the degree of Doctor of Philosophy programme.
- 23.2** A candidate may submit his/her thesis within the stipulated period but not later than four months from the date acceptance of the synopsis by the RC by filling the prescribed proforma in FORM – IX.

- 23.3** The candidate must fulfill all requisites (course credit requirement, time period, attendance etc.) for Ph.D. thesis submission and has at least one peer-reviewed/refereed publication as first author in UGC CARE listed research journals. The candidate shall produce evidence for the same in the form of acceptance letter or reprint.
- 23.4** The candidate shall submit a "Clearance Certificate" from concerned departments/ sections/offices/library at the time of submission of the thesis.
- 23.5** Guidelines for preparation of the thesis are given in Annexure III.
- 23.6** Content and context of the thesis
- 23.6.1 The thesis shall be written in English or in any other language approved by RC in the specified format and style.
- 23.6.2 The thesis shall involve indepth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear the evidence of the candidate's capacity for analysis and judgment as well as his/her ability to carry out independent investigation, design and development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to the advancement of knowledge in his/her chosen field.
- 23.6.3 A thesis may be supplemented by reprint(s) of published work. In such publications, the author's list must include the names of both the candidate and the supervisor(s).
- 23.6.4 No part of the thesis shall have been submitted for the award of any other degree or diploma.
- 23.7** Four copies of the thesis (five in case the candidate has a co-supervisor) shall be submitted initially preferably in soft cover for evaluation.
- 23.8** After clearing the viva – voce examination, three copies of the thesis in **blue colour** hard cover binding shall be submitted within 15 days of viva-voce examination. These hard bound copies shall include corrections/ modifications (if applicable) recommended by the panel of final viva-voce examination.

24. Thesis Evaluation

- 24.1** The office of the CoE shall make all correspondence with the examiners of the PhD thesis.
- 24.2** Each examiner shall be requested to send a detailed evaluation report and his/her recommendations on the prescribed proforma within two months of the date of receiving the thesis.
- 24.3** If the thesis report is not received from an examiner within two months, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed subject to the approval of DRC and RC.
- 24.4** Each examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:
- 24.4.1 the discovery of facts, or
 - 24.4.2 a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, (give his/her opinion on the candidate's capacity for critical examination and sound judgment.)
- 24.5** All examiners will submit the reports on the thesis recommending any one of the following four recommendations in the prescribed format in FORM – XIV:
- i. The thesis is accepted for the award of the Ph.D. degree without any further modification/correction.
 - ii. The thesis is accepted for the award of the Ph.D. degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of viva-voce examination.
 - iii. The thesis is not satisfactory for viva-voce examination but the candidate be allowed to resubmit his/her thesis in a revised form for re-examination. Incorporating or rectifying or excluding the points specified in evaluation report referred under rule 24.2.
 - iv. The thesis is rejected due to cause dealt in evaluation report referred under rule 24.2.
- 24.6** The examiner's reports shall be forwarded to the supervisor(s) by the CoE. The supervisor(s) will inform the candidate only those comments/queries in the reports which require explanation/answers without disclosing the identity of the examiners.

- 24.7** If all the reports recommended acceptance of the thesis (as referred under Rule 24.5.i), the candidate shall be eligible for oral defense.
- 24.8** If any of the reports recommends acceptance of the thesis with minor modifications and also states that the revised thesis need not be sent again to the examiner (as referred under Rule 24.5.ii), the candidate shall be eligible for oral defense. In such a case, the supervisor(s) shall certify that the comments have been incorporated, before the viva-voce examination.
- 24.9** If any of the reports recommends major modifications in the thesis (as referred under Rule 24.5.iii), the candidate shall be allowed to submit the revised version of the thesis within six months after incorporating the suggested modifications, and the thesis must be approved by the same examiner who has sent these recommendations.
- 24.9.1 However, a candidate shall not be permitted to make any change to the thesis that is not specified by the examiner(s). The revised version of the thesis would be sent to the concerned examiner(s) for re-evaluation.
- 24.9.2 Corrections and modifications to the thesis must 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.
- 24.9.3 For valid/proper reasons, the maximum time period for the submission of the revised thesis may be extended by submitting an application to the chairperson, AC through the chairperson, RC and the CoE.
- 24.9.4 Only the thesis that are rated acceptable by both the examiners (after incorporation of modifications, when required) will be processed further.
- 24.9.5 In case the report from one of the examiners is rated not acceptable even after the modifications are incorporated, the reports of both the examiners will be sent to an independent examiner to be appointed by the RC from the list of 6 examiners for final verdict about the acceptability of the thesis.
- 24.9.6 If the candidate does not agree for revision, he may ask for appointment of the fourth examiner. The reports of all the previous examiners will be sent to the new examiner without revealing the identity of the previous examiners, along with the response of the candidate, if any, to the grounds for such recommendation as given in the detailed comments. The thesis

shall be deemed to be acceptable if majority of the examiners including the new examiner recommend acceptance. If the newly appointed examiner recommends revision, the thesis would be suitably revised and resubmitted at least after 3 months and be sent for examination to all the examiners except the one in whose place the new examiner was appointed. In case the newly appointed examiner recommends rejection or his/ her recommendation for revision is not accepted by the candidate, the thesis would be rejected.

- 24.10** If both the external examiner rejects the thesis, the candidate and the supervisor will be intimated accordingly. The candidate shall have to register afresh and may be allowed to continue research on the same topic without doing the coursework already completed. In such a case the candidate needs to resubmit the thesis within a period not exceeding four semesters.
- 24.11** If one of the reports recommends rejection, the thesis shall be sent to a third external examiner subject to the approval of the AC. If the third examiner also recommends rejection, the thesis shall be rejected. However, if recommended by the Supervisor the process similar to Clause 24.9, 18.9 may be adopted.
- 24.12** Any dispute/doubt arising out of the procedure laid down in these regulations shall be referred to the AC through RC for a decision.
- 24.13** In case of resubmission of a thesis after revision, an additional fee for the re-evaluation of the thesis shall be payable by the candidate.

25. Final Oral Defense (Viva Voce) Examination

- 25.1** On the completion of the thesis evaluation process with acceptance reports from the Thesis Evaluation Board (TEB), candidate shall be asked to defend his thesis, for the award of the PhD degree, before the Oral Defense Evaluation Board (ODEB) in an open Seminar. Chairman, RC shall ask the CoE to arrange for the conduct of this oral defense examination.
- 25.2** Oral Defense Evaluation Board will consist of
- (a) Chairman DRC as Chairman of the Board
 - (b) External examiners of the thesis as Members
 - (c) All members of the DRC.

- 25.3** In case of the inability of the supervisor in the capacity of internal examiner to attend the conduct of the oral defense of the thesis due to any reason whatsoever, the Chairman of RC may appoint another Internal Examiner as a member of ODEB from amongst the faculty of the concerned department belonging to the particular field of the thesis, in consultation with DRC. The newly appointed examiner may assist the Chairman, DRC to conduct the oral defense examination of the thesis. However, in such cases also, the PhD work will be deemed to have been carried out under the guidance of the Supervisor only.
- 25.4** If none of the external examiner(s) from the panel of thesis evaluation is available for evaluation of oral defense, an alternative examiner shall be selected by the chairperson of the RC after approval from AC, preferably from the panel of examiners submitted by the supervisor(s). The members of the ODEB shall be provided with the reports of the thesis examiners before the viva-voce.
- 25.5** The copies of the reports of the thesis examiners will be sent to the Principal Supervisor by CoE and the same may be provided to the candidate by the supervisor so that he/she may prepare to answer the queries raised in the reports during oral defense.
- 25.6** The date and time of the viva voce examination shall be decided by the CoE after approval from the RC, normally within 30 days from the receipt of the last recommendation from the panel of thesis evaluation. The date of viva voce examination shall be communicated to the candidate at least 15 days in advance.
- 25.7** The viva voce examination shall be open to all faculty members, staff members and students.
- 25.8** In viva voce examination, the candidate shall be required to answer to all the comments/questions arising out of the examiners' reports apart from the queries and questions raised by the members of viva voce examination panel and, with permission of RAC, questions asked by others who are present.
- 25.9** The ODEB shall give its recommendations in the prescribed proforma in FORM–XV. The ODEB shall recommend to URC one of the followings:
- 25.9.1 That the degree be awarded for the reasons to be recorded.
- 25.9.2 That the candidate be asked to reappear for another oral examination at a later date (not earlier than a month and not later than three months from the date of the first oral examination).

25.9.3 That the degree shall not be awarded for the reasons to be recorded in the report.

25.10 If there is a difference of opinion among the viva-voce examiners in ODEB, the recommendations of the ODEB will be put up for decision to the Chairman, RC, who may either direct or a fresh viva be held with a new ODEB.

25.11 In case of recommendation (b) under sub clause 25.9.2, ODEB may also suggest corrections and modifications if any. The candidate should prepare a supplement to be added to the thesis document as specified in the report from the panel of viva voce examination.

25.12 The supervisor, the chairperson of RAC shall forward the report to CoE along with the supplement submitted by the candidate, if any.

25.13 CoE shall obtain the recommendation of RC on the report and its accompanying documents.

25.14 The recommendations of RC shall be submitted to the AC for final approval.

25.15 On successful completion of the evaluation process the candidate shall be required to submit five hard bound copies (six in case of candidates having a Co-Supervisor) and a softcopy (pdf format) to the Office of CoE, after incorporating all necessary corrections/modifications listed by the Thesis examiners/ODEB. The copies shall be kept in the custody of:

The departmental library

The Central Library (with a copy of the soft/digital copy) of J.B. College.

The Supervisor

The Co-Supervisor

Controller of Examinations

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

26. Award of Ph.D. Degree

26.1 The degree shall be awarded by the Governing Body of the College on the recommendation of the AC.

26.2 The announcement of the award shall be made by the CoE to all concerned.

- 26.3** Along with the degree, the College shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of the regulation of UGC to be dealt with.

27. Confidentiality and Copyright of Thesis

- 27.1** Upon submission of thesis the candidate must transfer all the copyright to JBC. The thesis must be accompanied by the prescribed Copyright Transfer Certificate FORM – XIII.
- 27.2** For valid reasons the candidate and the supervisor may wish to impose restrictions on the use of confidential material of research findings. In that case applications should be made by the candidate to the CoE through his/her supervisor to place the thesis on restricted access in the print and digital library.
- 27.3** If the author of the thesis (the candidate) and the supervisor(s) wish to publish the matter in the form of a book the author and the supervisor shall have to obtain formal clearance from the College.
