

Krishna Kanta Handiqui State Open University

কৃষ্ণকান্ত সন্দিকৈ ৰাজ্যিক মুক্ত বিশ্ববিদ্যালয়

Education Beyond Barriers

Krishna Kanta Handiqui State Open University Regulations for Award of PhD Degree, 2023

(KKHSOU Regulation for Award of PhD Degree, 2023)

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Regulations for Award of PhD Degree

2023



Krishna Kanta Handiqui State Open University
Guwahati (Assam)

Regulations for Award of PhD Degree, 2023

Krishna Kanta Handiqui State Open University, Guwahati (Assam)

1. Preamble

In exercising the power conferred by the Clause 24 of the Krishna Kanta Handiqui State Open University Act 2005 (i.e. Assam Act XXXVII, 2005), and in pursuance to the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulation 2022 as notified in the Gazette of India No. 544 dated November 7, 2022, the University is hereby pleased to make these Regulations with the following provisions for award of Ph.D. Degree by the University. These Regulations supersede the Regulations for MPhil/PhD Degree 2019 adopted by the University on July 30, 2020. These Regulations aim at the smooth conduct of the PhD Programme by the University, and ensuring the quality and minimum standards set by the UGC in awarding the PhD Degree to successful candidates.

2. Short Title, Application and Commencement

- 2.1 These Regulations shall be known as the *Krishna Kanta Handiqui State Open University Regulations for Award of PhD Degree, 2023*.
- 2.2 These Regulations shall be applicable to all aspects covering the manner and mode of conducting the PhD Programme of the University.
- 2.3 These Regulations shall come into force from the date of their adoption by the Academic Council subject to their ratification by Board of Management.

3. About the PhD Programme of the University

- 3.1 The University shall offer the PhD Programme adhering to the University Grants Commission's Regulations and Notifications governing the conduct of PhD Programmes in Higher Educational Institutions as notified from time to time.
- 3.2 The PhD Programme of the University shall be a full-time programme offered in regular mode as per the provisions of the UGC's Regulations for award of PhD Degree, 2022.

- 3.3 The PhD Programme of the University shall be offered only in the disciplines in which the University offers 4 Year Undergraduate and/or Postgraduate Programmes having recognised supervisors.
- 3.4 As provisioned in UGC's Regulation for Award of PhD Degrees, the University may permit scholars, who are employed, to register as part time PhD scholars, subject to fulfilment of all conditions of these Regulations. To register as a part time scholar one has to submit a No Objection Certificate from the appropriate authority of the organisation where she/he is employed clearly stating that:
- (a) The candidate is permitted to pursue studies on a part-time basis,
 - (b) Her/his official duties permit her/him to devote sufficient time for research, and
 - (c) She/he shall be relieved from her/his duty to complete the course work requirements.

4. Duration of the PhD Programme

- 4.1 The PhD Programme shall be for a minimum period of 3 (three) years, including the period of course work and a maximum duration of 6 (six) years from the date of admission to the PhD Programme.
- 4.2 In case, any scholar is unable to submit thesis within the period of 6 (six) years, she/he shall have to re-register in the Programme for additional 2 (two) more years maximum within which she/he shall have to submit the thesis after fulfilling all requirements.
- 4.3 A scholar shall have to apply for re-registration to the Dean (Academic) through the Chairperson of the concerned Research Advisory Committee (RAC) at least 6 (six) months before the completion of the maximum period of 6 (six) years, stating the reasons for requiring additional time to submit the thesis. Upon receiving such application, the concerned RAC shall ask the scholar to make a presentation on the works done by the scholar and time required to complete the work. The concerned RAC, upon being satisfied with the work done by the scholar and convinced by the requests for additional time, may recommend re-registration of the scholar. The recommendations of RACs for re-registrations shall be placed before the Research Council (RC) who shall have the authority to allow re-registration. The office of the Dean (Academic) shall make formal notifications as per decision of the Research Council regarding all requests for re-registrations.
- 4.4 A scholar shall be allowed to re-register only once, and in no case the total period for completion of the PhD Programme shall exceed 8 (eight) years from the date of admission in the Programme.
- 4.5 However, as per the provisions of the UGC's Regulations for Award PhD Degree, 2022, female PhD Scholars and scholars who belong to the category of Persons with Disability – having more than 40 percent disability, may be allowed relaxation in completion time by another 2 (two) years, such that total period of the Programme

does exceed 10 (years) in total from the date of admission in the Programme. For obtaining such relaxation, a scholar has to apply to the office of the Dean (Academic) at least 6 (six) months prior to the completion of her/his stipulated period, clearly stating justifications for requesting such additional relaxation.

- 4.6 Upon receiving such applications requesting additional relaxation, the concerned RAC shall ask the scholar to make a presentation on the works done by the scholar and examine the reasons for which the additional relaxation is sought. The Concerned RAC may recommend additional relaxation to a scholar depending on her/his presentation, which shall be placed before the Research Council (RC). The Research Council shall have the authority to grant such additional relaxation to a scholar based on the recommendation of the concerned RAC. The office of the Dean (Academic) shall make formal notifications as per decision of the Research Council regarding all requests for such additional relaxations.
- 4.7 As mandated by the UGC's Regulations for the Award of PhD Degree, 2022 the University may provide Maternity/Child Care Leave to female scholars up to maximum of 240 days in entire duration of the PhD Programme. Notwithstanding, in no circumstances, such period of leave shall be treated as additional time provided to a scholar over and above the maximum period granted her/him. The scholar can avail such leave in slots, and maximum period of such leave a scholar can avail together shall be limited to 180 days. A scholar shall have to apply for such leave to the Chairperson RAC, through her/his supervisor well in advance – at least 30 days ahead. All such leaves granted to Scholars by concerned RAC on recommendations of their respective supervisors shall be placed in the Research Council for ratification. The office of the Dean (Academic) shall maintain records of all such leaves granted to female scholars.

5. Eligibility Criteria for Admission to the PhD Programme

- 5.1 The following shall be the **eligibility criteria** for admission to the PhD Programme at KKHSOU
 - 5.1.1 Candidate shall have to complete either a 1 year (or 2 semester) master's degree after completing a 4 year (or 8 semester) bachelor's degree or a 2 year (or 4 semester) master's degree after completing a 3 year (or 6 semester) bachelor's degree or qualification declared equivalent to the master's degree by corresponding statutory/regulatory body, with at least 55 percent marks in aggregate or its equivalent grade in a point scale wherever grading system is followed;

Or an 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.

Or a 4-year/8-semester bachelor's degree programme with minimum of 75 percent marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

- 5.1.2 Further, candidates who have completed the MPhil Degree with at least 55 percent 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 PhD Programme.
- 5.2 In all of the above cases the University may allow a relaxation of 5 percent marks or its equivalent grade for those belonging to SC/ST/OBC (non-creamy layer)/Differently-able, Economically Weaker Section (EWS) and other categories of candidates as per the decision/notification of the Government/UGC from time to time.

6. Procedure of Admission

- 6.1 The Admission to PhD Programme of the University shall be governed by guidelines, regulations, notifications and policies issued by the UGC from time to time.
- 6.2 The University shall publish the PhD Admission Notification for an academic session based on the availability of seats containing all relevant details and the time line. The University shall also publish a detail prospectus for PhD Programme well in advance and make it available in the University's website.
- 6.3 The Examination Branch of the University shall hold an entrance test and shall declare the results to admit candidates to PhD Programme which shall be called as KKHSOU Research Aptitude Test (KKHSOU RAT). The test shall be consisting of 50 % questions on research methodology and the remaining 50 % questions on the specific subject/discipline.
- 6.4 The Office of the Dean Academic will provide the data to the Controller of Examinations regarding vacancy of seats every year in the respective disciplines.
- 6.5 The University may admit candidates who qualify for the fellowship/scholarship in UGC-NET/UGC-CSIR-NET or similar national level tests based on their performances in an interview specifically held for the purpose. Such candidates may be exempted from the KKHSOU-Research Aptitude Test (KKHSOU-RAT) by a formal notification.
- 6.6 The candidates securing 50% marks in the entrance test in aggregate shall qualify to be called for an interview. However, the University may shortlist the candidates to be called for interview depending upon the number of seats and qualifying candidates under specific circumstances.

- 6.7 A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-able, Economically Weaker Section (EWS), and other such categories of candidates as per the decision of the Government/UGC from time to time.
- 6.8 The interview/viva-voce for PhD admission will be conducted by a committee duly constituted by the University with Director of the concerned School as the Chairperson and all the recognised supervisors of the concerned subject/discipline as the members. If required, maximum up to 2 (two) faculty members from allied/related disciplines who are recognised supervisors may also be included as member(s) of the selection committee.
- 6.9 Selection of the candidates for admission to the PhD Programme shall be done on the basis of a merit list with the weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva-voce. The decision of the University is final regarding selection of the candidates.
- 6.10 The University will decide the number of eligible candidates to be called for an interview based on the number of Ph.D. seats available in any specific subject/discipline. Final selection of the candidates shall be done on the basis of availability of seats in specific subject/discipline.
- 6.11 The University may reserve seats for specific reserved categories of candidates as per the Government policy on reservation that is in force at the time of admission. However, the University may keep the seat(s) vacant if no suitable candidate(s) are found. In this regard, the decision of the selection committee is final.
- 6.12 At the beginning of every academic session the University will publish a list of all PhD candidates who are admitted and pursuing PhD with all details e.g. enrolment no, dates of admission, subject/discipline, names of their supervisor, registered topic etc. in the University's website.

7. Research Supervisor

- 7.1 The candidates admitted to the PhD programme of the University shall have to conduct their research work under the supervision of a recognised research supervisor of the University. The Research Council shall assign research supervisors to the candidates when they become eligible to write their theses after successful completion of the course work and passing out the course work examination with required marks/grades as specified in these Regulations. None other than recognised supervisors shall be allowed to guide any PhD scholar.
- 7.2 The permanent faculty members working as Professors/Associate Professors at the University with PhD Degrees, and at least five research publications in peer-reviewed or refereed journals; and permanent faculty members working as Assistant Professors having PhD Degrees, and at least three research publications in peer-reviewed or

refereed journals may be recognised as research supervisors and be allowed to guide PhD scholars of the University. Such eligible candidates shall have to apply for recognition as research supervisor to the Research Council, and the Research Council, after due consideration, shall accord recognition of research supervisor when found eligible.

- 7.3 If, however, in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a faculty as research supervisor with reasons recorded in writing.
- 7.4 Such recognised research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. The degree of PhD awarded by a university under the supervision of a faculty member who is not permanent employee of the university or its affiliated/constituent Colleges/institutes would be in violation of these Regulations.
- 7.5 For PhD scholars working in Central government/State government research institutions whose degrees are given by KKHSOU, the faculty/scientists in such research institutions working at the levels equivalent to Professor/Associate Professor/Assistant Professor can be recognised as supervisors if they fulfil the above requirements.
- 7.6 In case of multi-disciplinary and/or interdisciplinary research as well as in cases where there is a requirement, the Research Council may provide co-supervisor to candidates. Co-Supervisors may be from within the same department/discipline/school/University or from outside the department/discipline/school/University provided they fulfil the provisions of these Regulations.
- 7.7 Adjunct faculty i.e. a part-time or contingent faculty/instructor shall not act as research supervisors to the candidates, and can only act as co-supervisors subject to recognition and approval of the Research Council of the University.
- 7.8 As per the UGC's Regulation of Award of PhD Degree 2022, an eligible Professor/Associate Professor/Assistant Professor can guide up to maximum eight (8)/ six (6)/ four (4) PhD scholars, respectively, at any given time in the capacity of supervisor and co-supervisor taken together.
- 7.9 The University may, however, allow any supervisor to take up to 2 candidates having UGC-NET-JRF/UGC-CISR-JRF as PhD scholars over and above the maximum number of scholars allowed to her/him as per the provision 7.8 of these Regulations subject to approval of the Research Council. Those PhD scholars will be treated as supernumerary.
- 7.10 The recognised supervisors with less than 3 (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 PhD scholars

who are already registered until superannuation and as a co-supervisor after superannuation till the age of 70 years.

- 7.11 In case of change of status of any research supervisor during the period of guiding a scholar due to transfer of the supervisor to another university or institute outside the jurisdiction of KKHSOU, or if any supervisor ceases to be an employee of KKHSOU, she/he may continue to guide the scholar in the capacity of co-supervisor. The Research Council shall have to allot a new recognised supervisor to such scholar(s), in which case scholar(s) allotted under this circumstance may be considered as supernumerary to the supervisor(s) concerned.
- 7.12 If, however, the status of any research supervisor changes during the period of guiding a scholar due to change of designation consequent upon promotion of the supervisor, or supervisor going on lien to another organisation/institution or on long leave/vacation, the status quo will be maintained. However, in the interest of the scholars, the Research Council may consider providing co-supervisors to the scholar(s) with the consent of the concerned supervisor, if felt necessary.
- 7.13 Once a scholar registers for PhD under a supervisor, change of supervisor shall be permitted only in exceptional cases like unfortunate event of demise of the supervisor, state of being incapacitated due to illness, mental disabilities etc., or removal from the job; and/or such circumstances which are considered as exceptional cases by the Research Council. In such events, the Research Council may allocate such scholar(s) to other recognised supervisor(s) from the concerned/related disciplines provided that the supervisor(s) concerned agree(s) to supervise such scholar(s). In such cases the scholar(s) additionally allocated to a supervisor(s) may be considered as supernumerary and the contribution of the former/original supervisor shall have to be duly recognised/ acknowledged.
- 7.14 If, however, due to certain reasons, the University decides to withdraw the recognition as a supervisor for a person, she/he will cease to be a supervisor with immediate effect and the scholar shall be assigned to another recognised supervisor by the Research Council and such scholar(s) may be considered as supernumerary to the new research supervisor.
- 7.15 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.

8. Course Work and Requirements

- 8.1 Every scholar admitted to the PhD Programme of the University has to mandatorily undergo the PhD course work for one semester (i.e. 6 months) and pass the course work examination at the end with the requisite marks/grades as laid down in these Regulations for writing the thesis.
- 8.2 The PhD course work shall be of total 16 credits and shall consist of following 4 courses of 4 credits each:
 - (a) Research Methodology Course
 - (b) Computer Applications and Research and Publication Ethics
 - (c) Interdisciplinary Course (options may be provided to scholars for any one course)
 - (d) Subject/discipline Specific Course
- 8.3 All courses of PhD course work shall be in conformity with the credit hour instructional requirement and other specifications as per the UGC's Regulations in force and other notifications and guidelines issued by the UGC from time to time.
- 8.4 The University will constitute a PhD Course Work Committee for preparing and/or revising the detail syllabus, instructional design and methods of assessment of PhD Course Work of the University and the same will be placed in the Research Council for recommendation to the Academic Council for approval. The syllabus, instructional design and methods of assessment of PhD Course Work of the University will be put into practice after the due approval of the Academic Council. Moreover, the PhD Course Work Committee can also provide the option of taking any one course up to maximum of 4 credits from SWAYAM platform vide notification from time to time, if found appropriate.
- 8.5 Every scholar has to fulfil 75% of the total credit hour requirement which include attending the face to face classes, library hours, laboratory sessions, using the University's Learning Management System (LMS), writing assignments, providing research/teaching assistantships, and contributing to University's academic work like examination/evaluation duty etc.; or any other engagements required/notified as per the instructional design followed. If a scholar fails to attain 75% of the total credit hour requirement, she/he shall not be allowed to take the course work examination, and her/his admission to the PhD programme shall be liable to be cancelled by the Research Council.
- 8.6 Assessment of the course work will be done through both formative and summative assessments with the weightage of 30% and 70% respectively. Formative assessments will consist of assignments and performances in various activities. The summative assessment will be carried out through a written examination at the end of the course work. Detail assessment framework shall be designed by the PhD Course Work Committee as per provision laid down in the clause 8.4 of these Regulations.
- 8.7 A PhD scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-points scale in the course work in aggregate to be eligible to continue in the

programme and submit his or her thesis, subject to attaining minimum 45% marks in the summative assessment in each individual course.

- 8.8 To be eligible to take the summative assessment a scholar has to submit all assignments within the notified/given time. If a scholar fails to submit full set of assignments in any course, she/he shall not be permitted to take the summative assessment at the end of the course work in that course.
- 8.9 To be eligible to write the thesis, the scholar has to appear in the summative assessment in all courses and get the required qualifying marks in each course as well as the required minimum marks in aggregate as per clause 8.7 in these Regulations.
- 8.10 If a scholar fails to achieve the minimum required/qualifying marks in any individual course or in aggregate as per these Regulations, she/he shall have to take a repeat examination which will be held within two months of declaration of the results. In such cases, the scholar has to appear in all courses and only the marks obtained in the repeat examination shall be counted for providing course work certificate and mark-sheet to the scholar.
- 8.11 In case a scholar still fails to get the qualifying marks required to write the thesis after the repeat examination, her/his admission to the PhD Programme shall be automatically cancelled and such cancellations will be ratified by the Research Council.
- 8.12 All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education/pedagogy/writing related to their chosen PhD subject during their doctoral period. The PhD scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations. The concerned disciplines/schools will keep records of such engagements of scholars.
- 8.13 If a scholar has already completed the course work with the required qualifying marks or grade as specified in these Regulations during his/her MPhil in KKHSOU or any other equivalent course work duly recognised/approved by the Research Council may be considered for granting exemption from undergoing PhD course work again. In such case(s) the Research Council shall have to take a specific decision with justification for allowing exemption to any scholar under this clause.

9. Research Council (RC)

- 9.1 There shall be a Research Council (RC) for overall management of the Doctoral and Post-Doctoral Programmes offered by the University. The Research Council will be constituted by the Vice Chancellor with the approval of the Academic Council for looking into the matters related to the maintenance of quality and minimum standards for awarding research degrees by the University in conformity with the UGC Regulations and Guidelines released and notified from time to time.

9.2 The Research Council of the University will be notified by the Dean (Academic) with the approval of the Academic Council and Board of Management with the following members:

Vice-chancellor	Chairperson
All Directors of Schools(who are also the Chairpersons of RACs)	Members
2 Professors/Associate Professors other than Directors of Schools who are recognised supervisors nominated by the Vice Chancellor	Members
Dean Academic	Member Secretary

9.3 The Research Council shall be the apex body to decide on matters related PhD and Post-Doctoral Programmes of the University and shall have the following functions:

- (a) It shall formulate, revise, monitor and administer the PhD and Post-Doctoral Programmes of the University.
- (b) It shall consider and approve the selection of candidates recommended for admission to the PhD programme of the University.
- (c) It shall consider and approve the PhD Course Work syllabus, instructional design and assessment methods recommended by the PhD Course Work Committee.
- (d) It shall consider and approve the PhD Course Work results and permit such candidates to write thesis who qualify the course work examinations as per the provisions of these Regulations.
- (e) It shall decide on matters related to recognition of research supervisors for PhD Programme and assign supervisors to the eligible scholars.
- (f) It shall consider the recommendations, resolutions and decisions of the Research Advisory Committees (RACs) taken from time to time.
- (g) It shall grant exemptions, extensions to the scholars as per the provisions of these Regulations.
- (h) It shall periodically review the policies and provisions of these Regulations and make such modifications that are necessary to maintain the minimum standards and quality as per the UGC's Regulations and Guidelines released/notified from time to time.
- (i) It shall recommend the award of degrees of PhD to the scholars after successful viva-voce conducted by the designated examiners.
- (j) It shall consider and recommend award of Research Fellowships to the various categories of research scholars.
- (k) It shall, as and when requires, consider any other matter that relates to overall design and conduct of PhD Programme in the University.

10. Research Advisory Committee (RAC)

10.1 There shall be a Research Advisory Committee (RAC) for each PhD scholar. The Dean Academic with the approval of the Vice Chancellor shall constitute the Research Advisory Committee (RAC) with the following members.

Director of the concerned School	Chairperson
1 recognised supervisor from the School from the discipline	Member
1 recognised supervisor from the School from the other discipline	Member
1 recognised supervisor from any other School	Member
Supervisor concerned	Convener

- 10.2 Notwithstanding, if the Director of the School happens to be the Supervisor, one additional recognised supervisor either from the discipline of the Scholar or from other disciplines shall be included in the RAC so that total member of the RAC remains 5 (five).
- 10.3 The research supervisor of the scholar concerned shall be the Convener of RAC, and she/he shall forward the names for constitution of the RACs for her/his Scholar. The RACs shall be constituted within one month from the date of allocation of scholars to the respective supervisors.
- 10.4 The RAC shall have the following functions:
- To offer suggestions and general guidance to the scholar at various stages for improving the quality of her/his research work;
 - To review the research proposal/synopsis submitted by the scholar for registration and finalise the topic of research;
 - To guide the scholar in developing the study design and methodology of research and identify the course(s) that she/he may have to undergo/complete;
 - To periodically review and assist in the progress of the research work of the scholar and offer suggestions and feedback for improvement;
 - To conduct the provisional registration seminars, six-monthly progress seminars, final registration seminars and pre-submission seminars and make necessary recommendations;
 - To recommend extensions and cancellations of registrations of the scholars as per provisions of these Regulations to the Research Council for approval; and
 - To pursue and discuss any other matter that relates to research work of the scholar as and when deemed necessary.
- 10.5 In every six months, a scholar shall appear before the RAC to make a presentation and submit a brief report on the progress of her/his work for evaluation and further guidance. The RAC shall submit its recommendations along with a copy of scholar's progress report on the prescribed format (**Annexure I-A and I-B**) to the Dean Academic. A copy of such recommendations shall also be provided to the scholar.
- 10.6 In case of unsatisfactory progress of the scholar, the RAC shall record the reasons for the same and suggest corrective measures to be incorporated within a specified time. If the scholar fails to implement the corrective measures with the period of time given, the RAC may recommend to the Research Council, with specific reasons, the cancellation of the registration of the scholar from the PhD Programme.

11. Carrying out Research, Evaluation and Assessment

- 11.1 Upon satisfactory completion of course work and obtaining the required marks/grade prescribed in these regulations a scholar shall be required to undertake research work under the guidance of a supervisor allotted to her/him by the Research Council; and shall have to prepare/produce a draft proposal/synopsis of her/his proposed research work.
- 11.2 The scholar shall have to prepare the research proposal/synopsis within a period of six months after the completion of the course work which shall have to be presented before the concerned RAC for approval of the topic and the proposal. The RAC concerned will evaluate the proposal and provide comments, feedback and inputs to the scholar for its improvement. Then the concerned supervisor will evaluate it through an external examiner in the specified format of the university. (*Annexure II*).
- 11.3 The RAC shall give the scholars specified time, maximum up to 2 (two) months to incorporate all the suggestions and address the comments provided during the time of proposal/synopsis presentation. Within the stipulated time, scholar shall submit the proposal/synopsis incorporating the suggestions and comments of the RAC to the concerned supervisor. The supervisor will forward such proposals/synopsis through RAC to the Research Council for Provisional Registration.
- 11.4 The Research Council shall allow Provisional Registration of scholars based on the recommendation of the concerned RAC for the specific title of the thesis, which shall be notified by the Dean Academic.
- 11.5 After the provisional registration, the scholars shall embark on her/his research work on the topics registered under the guidance of the concerned supervisor. During the period of research work, the scholar shall be in regular touch with her/his supervisor and inform about the progress of the research work. If any scholar fails to maintain regular contact with the concerned supervisor for more than a year from the date of provisional registration, the supervisor may, through the RAC, recommend cancellation of registration of the scholar to the Research Council which shall have the right to cancel the registration of the scholar and the decision shall be binding on the scholar.
- 11.6 From the date of provisional registration, as notified by the University, the scholar has to submit a progress report on her/his research work and a make presentation before the concerned RAC after every six months.
- 11.7 If any scholar fails to submit two consecutive progress reports and/or misses two consecutive progress presentations, without informing her/his supervisor, the supervisor may, through the RAC, recommend cancellation of registration of the scholar to the Research Council which shall have the right to cancel the registration of the scholar and the decision shall be binding on the scholar.

- 11.8 In case the scholar, after embarking on the research desires to make minor modification(s) in the title in which she/he was provisionally registered, she/he shall have to apply for the modification of the topic to the RAC through her/his supervisor. The recommendation of the RAC, if it agrees to the proposed changes, shall be placed before the Research Council for approval. If approved by the Research Council such change in title/topic shall be notified by the Dean Academic. However, RAC may be empowered for minor modifications.
- 11.9 Such minor modification is allowed only prior to the final registration of the scholar. Once the final registration is completed no modification in topic shall be permitted.
- 11.10 Complete change of topic/title is allowed only in case of exceptional/extra-ordinary circumstances on recommendation of the concerned RAC with adequate justification. The Research Council shall consider such request on merit and decide on the matter. The decision of the Research Council shall be final in such matters.
- 11.11 A scholar has to complete the process of final registration (**Annexure-III**), within a period of 12 months from the date of provisional registration, when she/he feels that no modification/change is required in whatever was proposed and/or provisionally registered.
- 11.12 If a scholar fails to complete final registration within the period of 12 months from the date of provisional registration, the RAC may provide him/her 6 months' time to do so provided the scholar applies for such time with proper justification subject to approval of the Research Council. Otherwise, the RAC shall recommend names of such scholars to the Research Council for cancelling the registration.
- 11.13 After the final registration, a scholar shall have to complete the research work within the maximum period permissible as per the provisions of these Regulations. After completion of research a scholar shall be allowed to submit her/his thesis provided all requirements as per these Regulations are fulfilled.
- 11.14 Prior to submission of the thesis a scholar shall make a pre-submission presentation before the RAC(**Annexure-IV**), which shall also be open to all faculty members and other research scholars/students. A scholar shall submit her/his thesis within three months from the date of the pre-submission seminar failing which she/he will have to take special permission from the Hon'ble Vice-Chancellor stating the specific reason(s).
- 11.15 A scholar shall be allowed to make the pre-submission presentation after 12 months from the date of final registration. At the time of pre-submission presentation, the scholar shall have to present her/his research findings and conclusions so that any suggestions offered during the presentation may be incorporated in her/his thesis.
- 11.16 A scholar shall submit 4 (four) soft-bound copies of her/his thesis for evaluation as per the format specified in these Regulations, (**Annexure-V**), along with (a) an undertaking from the scholar that there is no plagiarism (**Annexure-VI**), 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 (**Annexure-VII**).

- 11.17 Along with the thesis, a scholar shall have to submit 2 (five) copies of abstract not exceeding 3500 words containing the clearly stated research problem, objectives, research questions/hypotheses, methodology, main findings and conclusion of the study.
- 11.18 The thesis submitted by a scholar shall be evaluated by her/his Research Supervisor and at least two external examiners who are experts in the field and not in employment of the University, at least one of whom shall be outside the State/country. The supervisor concerned shall have to submit a panel of 6 (six) experts including the supervisor herself/himself for evaluation of a thesis. In case of dearth of Professors having specialization in certain subjects, Associate Professors having specialized in such subjects may be allowed as external evaluator along with one Professor from the UGC recognised higher educational institutions.
- 11.19 Based on the reports of the examiners, a thesis may be accepted, referred to revision and/or rejected. In this, the views and recommendations of the examiners shall be final and binding on the scholar. If recommended, a viva-voce may be arranged for the scholar where (a) the scholar shall present and defend her/his thesis and (b) address the specific comments and queries of the examiners.
- 11.20 The viva-voce board shall consist of the Research Supervisor and at least one of the external examiners and may be conducted online if necessary. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and other interested learners.
- 11.21 The viva-voce on the thesis shall be arranged only when evaluation reports of external examiners are satisfactory and contain specific recommendation for holding a viva-voce. If all the evaluation reports of the external examiners maintain that the thesis is unsatisfactory and/or can't be accepted for award of the PhD degree, then the thesis will not be considered for award of PhD degree by the University. If, however, one of the reports of the external examiner finds the thesis unsatisfactory and recommends rejection, then the thesis shall be sent to another external expert from the already approved panel. In this case, the report of latest/alternate examiner shall be final in deciding acceptance and/or rejection of the thesis for award of PhD degree to the scholar concerned.
- 11.22 After evaluation and viva-voce, the scholar shall be awarded with the PhD degree by the Academic Council on recommendation of the Research Council.
- 11.23 The University will complete the entire process of evaluation of a 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. Minimum Standards for Award of the Degree and Other Provisions

- 12.1 Each scholar, while submitting the thesis, will be abide by the rules mentioned in **(Annexure- VIII)** of this regulation. They have to submit a plagiarism check report generated by the University recommended plagiarism check software indicating that the plagiarism in the thesis is in accordance with the UGC's Regulation and Guidelines which are in force at the time of submission of the thesis.
- 12.2 Each scholar shall follow the acceptable ethical standards as per the Ethics Policy of the UGC/University while conducting her/his research for award of the PhD degree by the University.
- 12.3 A scholar, after successful completion of evaluation of thesis and viva-voce, shall submit one hard bound copy of the final thesis incorporating all inputs, comments, and suggestions etc. along with a soft copy of the thesis to the Dean Academic within 30 days of conduct of the viva-voce. The University shall submit or upload an electronic copy of the thesis in the prescribed portal of the UGC from time to time for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.
- 12.4 The thesis submitted shall be the property of the University and as such, if a scholar intends to publish her/his thesis she/he has to take written prior permission from the University.
- 12.5 The University shall determine appropriate fees for the PhD programme from time to time and a scholar has to make all necessary payments on time to be eligible for submission of thesis. If any scholar fails to pay the required fee for six months at a stretch, his admission to the PhD Programme shall be liable for cancellation, and the decision of Research Council shall be binding on the scholar.
- 12.6 The University may provide financial assistance and fellowships to deserving scholars. The University shall devise rules for administering such financial assistance and fellowships from time to time.
- 12.7 Prior to the actual award of the PhD degree, the University may issue a provisional certificate to the effect that the PhD degree is being awarded in accordance with the provisions of these Regulations.
- 12.8 The scholars who have been admitted and/or registered to PhD Programme of the University prior to adoption of these Regulations shall continue to be guided by the Regulations within which they were enrolled and/or registered.
- 12.9 Nothing in these Regulations shall impact the MPhil degree programmes commencing prior to the enactment of these Regulations.

13. Grievance Redressal and Appellate Authority

- 13.1 The office of the Dean Academic, the RC and the RAC will function in close coordination as per the provisions of these Regulations. The concerned authorities and entities will strive for utmost transparency, sanctity and academic integrity of the process. In case of any dispute or controversy in the interpretation of the provisions of these Regulations, the decision of the RC shall be considered as final and binding on the scholars. The Vice Chancellor of the University will act the Appellate Authority in case of all grievances.

Format for Progress Report

1. Name of the Scholar :

2. Registration Number& Year :

3. Department/Discipline :

4. Title of the Thesis :

5. Period of the Report: From..... to

6. Status of Payment: From..... to

7. Candidate's Report on Progress:
(Extra sheet to be attached):
.....
.....
.....
.....

8. Remarks of the Research Supervisor on overall progress of the Scholar till date, along with the Proceedings of RAC:

(Signature of the Supervisor)

Date:

PROCEEDINGS OF RAC

Sl. No.	Name of the Member	Designation	Signature
1			
2			
3			
4			
5			
6			

Name of the Scholar :

.....

Registration No. and Year:

Proceedings:.....

.....

.....

.....

..... (Separate sheet to be attached).

Signature of the Supervisor

Date:



(Annexure-II)

KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI – 781022

SYNOPSIS EVALUATION FORM

NAME OF SCHOLAR:	SCHOOL:
DISCIPLINE:	REGISTRATION NO.:
TITLE OF PROPOSED RESEARCH:	

	Unacceptable (1)	Acceptable (2)	Highly Acceptable (3)
Relevance of the topic			
Background & Context of research			
Theoretical aspects of research			
Literature Review			
Research Gap & Research Questions			
Research Problem/Problem Statement			
Clarity of the Concept/Objectives			
Research Design			
Research Methodology (Theoretical/ framework/ sources of data/ sampling techniques & its size/Data analysis tools)			
Time line chart for proposed research			
Future Perspectives & further scope of research			
Reference			

Name of the Evaluator:

Signature:

Designation:

Date:

Institute:



(Annexure-III)

**KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI – 781022**

Application for PhD Final Registration

(Provisionally registered PhD Scholars are required to apply for final registration within 24 months of provisional registration and after successful completion of the course-work)

1. Name of the Applicant :
(in Block Letters)
2. Address for correspondence :
(with Mobile No.)
.....
3. Date of Admission :
4. Registration No. with date :
5. Date of completion of course work:
(attach documentary evidence)
6. Title of the proposed research work:
.....
.....
7. School under which registered :
8. Dates of Progress Report Presentation: 1).....
2).....
3).....
4).....
5).....
9. Status of payment : Clear up to
(Please attach the photocopy of
the payment receipt)

Signature of the applicant
Date:

Recommended/Not Recommended for Presentation of Final Registration.

Signature of the Supervisor
Date:

Allowed/Not allowed for presentation of Final Registration on(Date)

Dean (Academic)
KKHSOU



(Annexure-IV)

**KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI – 781022**

Application for PhD Pre-Submission

1. Name of the Applicant :
(in Block Letters)
2. Address for correspondence :
(with Mobile No.)
3. Date of Provisional Registration :
4. Registration No. :
5. Date of completion of course work:
(attach documentary evidence)
6. Date of Final Registration Submission:
7. Title of the thesis :
(A brief write up on the thesis in proper
format must submit, (2 copies word
limit: Maximum 3500 words)
8. Dates of Progress Report Presentation: 1)
2).....
3).....
4).....
5).....
9. School under which registered :
10. Status of payment : Clear up to
(Please attach the photocopy of
the payment receipt)

Signature of the applicant
Date:

Recommended/Not Recommended for Pre-Submission.

Signature of the Supervisor
Date:

Allowed/Not allowed for presentation of Pre-Submission on(Date)

Dean (Academic)
KKHSOU

(Annexure-V)

A Study of Distance Education Institutions in North-East India

**A THESIS SUBMITTED TO THE
SURYA KUMAR BHUYAN SCHOOL OF SOCIAL SCIENCES**

**KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
For the Degree of**

DOCTOR OF PHILOSOPHY



By Alfred Milan

**DISCIPLINE OF ECONOMICS
KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI, ASSAM**

2023

Declaration by the Candidate

I, (name, Designation) solemnly declare that this dissertation/thesis is my own original investigation, work and understanding except where due acknowledgements have been made. To the best of my knowledge, no part of this thesis titled. “.....” has been previously submitted to this University or any other University or institution for any degree or diploma.

Signature of the Scholar

Certificate from Supervisor

This is to certify that, (Designation, Address) a regular PhD Scholar in the Discipline of..... under (School) carried out his/her research work entitled.....

.....
.....
.....
under my guidance and supervision. The study is the result of his/her own investigation and all sources are duly acknowledged. The thesis as a whole or in part thereof has not been submitted for any degree or otherwise in this or in any other University.

The thesis has been checked for plagiarism through Paper Id. No.....

Signature of the Supervisor

Place: -

Date: -

Rules for submission of Thesis/Dissertation

1. The Thesis/Dissertation should be typed in **both side except the colour Photographs and Maps (if any)** of A-4 size paper. A margin of at least 3 cm shall be left on all sides.
2. The content of the Thesis/Dissertation should be typed/ printed in double space.
3. The maps and drawings may have appropriate size as advised by the Supervisor. The size should however be uniform throughout the thesis.
4. In case of title font size should be Times New Roman, 20 font size, Bold.
5. The cover page of the Thesis/Dissertation must contain title, the name of the degree, the year of submission and the name of the scholar embossed/ printed on the spine and front page of the cover. (See **Annexure V** for cover page)
6. Font style should be Times New Roman for the entire Thesis. Font size should be 12 point for text, 16 point for Heading and 14 point for Sub-Heading. In cover page font size should be 20 for title and 12 point for other text.
7. The Thesis should be submitted within three months from the date of the pre-submission seminar. Otherwise, special permission will have to be taken from the Vice-Chancellor if it is beyond the normal time period.
8. Colour of PhD Thesis should be brown.
9. Format of the Thesis should be:
 - I. Cover Page
 - II. Blank page
 - III. Title page
 - IV. Declaration by the scholar and Certificate from supervisor(s) (**as per Annexure VI& VII**)
 - IV. Acknowledgement
 - V. Content
 - VI. Bibliography
 - VII. Appendices

Headquarters

Patgaon, Rani, Guwahati- 781017, Assam
City Campus NH 37, Resham Nagar, Khanapara,
Guwahati-781022, Assam, India
