

Ph.D. Rules and Regulations

[Framed as per the UGC Guidelines in “University Grants Commission Regulation 2009”

and in conformity with USTM, Meghalaya Act,2008(Act No.6 of 2008)]

1. General

- 1.1 These Rules and Regulations shall come into force with immediate effect.
- 1.2 The Ph.D degree awarded by the University of Science & Technology, Meghalaya (USTM) shall be designated as Doctor of Philosophy. The title of the Thesis and the Department shall be indicated in the certificate.
- 1.3 The selection process to the Ph.D programme at USTM shall include an Entrance Test, followed by a Personal Interview to be conducted by the Ph.D entrance test committee.
- 1.4 The selection process shall be held one time per year, on or before 31st January every year. (the same is proposed to held on or before 31st May every year from the next session)
- 1.5 The student, who qualifies in the selection process, will be eligible for admission to Ph.D. Programmes of the University.
- 1.6 The Ph.D entrance test committee shall be constituted by the University Research Council with the Controller of Examinations & Admissions as one of the members.
- 1.7 The committee shall have one Chairperson and five members.
- 1.8 Mandate of the committee shall be as follows:
 - 1.8.1 To announce date and time table of the Test.
 - 1.8.2 To conduct the entrance test and personal interview.
 - 1.8.3 To declare the results and to forward the same to School Research Committee(SRC).
- 1.9 The University shall announce the last date for admission by the selected Ph. D candidates.
- 1.10 The number of seats for Ph.D may be made available by the School Research Committee(SRC) and on advice from Vice Chancellor, the Controller of Examinations and Admissions will conduct the admission process.
- 1.11 The number of seats available in each School/ Department/ Centre/ Institute shall be notified in advance on the University website and newspapers.
- 1.12 While admitting students for the Ph.D programme the reservation policy shall be followed at the Department level as prescribed by the UGC guidelines.
- 1.13 The broad categories of Ph.D. Scholars shall be :
 - (a) Category A : Full Time..Under this category, there will be two sub-categories as :
 - Category A1..... with Master Degree
 - Category A2..... with Bachelor Degree in engineering.
 - (b) Category B : Part Time..under this category, there will be two sub-categories as:
 - Category B1.....with Master Degree
 - Category B2.....with Bachelor Degree in engineering
- 1.14 The Regulatory Bodies for Ph. D. Program shall be :
 - (a) Academic Council (As per the University Act)
 - (b) University Research Council (URC)
 - (b) School Research Committee (SRC)
 - (c) Departmental Research Committee (DRC)

1.15 The duration of Ph.D. Programs shall be:

- (a) For Category A1..... minimum of 3 years upto a maximum of 6 years.
- (b) For Category B1 & A2...minimum of 4 years up to a maximum of 7 years
- (c) For Category B2.....minimum of 5 years upto a maximum of 8 years

2. Eligibility

2.1 A Candidate intending to enroll him/ her for the Ph.D degree shall have, in addition to clearance of the Entrance Test,

- A. Master Degree in Engineering with at least 55% marks;
- B. Bachelor Degree in Engineering with at least 55 % marks
- C. Master Degree in Arts and Science with at least 55% marks
- A. PGDM/other PG Diploma programme of two year regular course duration conformed by autonomous institution and approved by respective Statutory Bodies under UGC shall be considered equivalent to any two year PG Degree in Science/Commerce/Humanities. The qualifying marks should be 55% or equivalent

2.2 Those who have obtained the Qualifying Degree (with 55% Marks) under Distance Education Mode shall also be considered eligible for admission subject to their performance in the Entrance Examination conducted by the University.

2.3 There shall be relaxation of 5% marks for SC, ST, OBC, MOBC, minority and physically challenged candidates.

2.4. Candidates with the experience of working in industries and practical fields for a minimum of five years may be entitled to a relaxation of 5 % over the minimum marks as defined in 2.1 and 2.2.

2.5 Special consideration for the above points is subjected to the approval of URC.

3. Admission Procedure

3.1 Selected candidates shall take admission within 7 days from the declaration of results.

3.2 Candidates will furnish all information stated in prescribed format along with

- (a) Attested copies of all Mark Sheets/ Certificates
- (b) Four copies of Stamp Sized Colored Photographs

3.3 Prescribed admission fee in the form of Demand Draft payable in favour of University of Science & Technology, Meghalaya or in cash.

4. Orientation

4.1 Admitted students shall be required to attend the Orientation programme organized within 7 days from the Last Date of Admission by respective Schools/Centers.

5. Allocation of Guide

5.1 The candidate during the Orientation program shall be asked to submit a note (Draft Proposal)in 500 words on the broad areas of research interest and the reasons for taking it up within 15days from the date of Orientation, to the SRC.

5.2 SRC in consultation with the HOD of the department concerned shall decide upon appropriate allocation of Guide to the respective candidates.

- 5.3 Depending upon the nature of research work the SRC may recommend allocation of Co-Guide(s) to the candidate from amongst the recognized guides of relevant departments/schools.
- 5.4 The School Research Committee shall facilitate an interaction between the Guide and the Candidate within 7 days from the date of notification as stated in 5.2.

6. Course Work

- 6.1 All Admitted Candidate shall undergo a Course Work equivalent to a minimum of (i) 12 credits for the scholars of categories A1 & B1 except for those having Master Degree in engineering from IITs for whom the minimum credits will be limited to 8 credits and (ii) 24 credits for the scholars of categories A2 & B2. The SRC may allocate additional 4 credits on recommendation from DRC. This is, however not mandatory.
- 6.2 The course work shall be treated as pre Ph.D preparation and must include a course on **Research Methodology** which may include Quantitative methods, Computer Applications and Reviewing of the Related Literature in relevant fields. The subjects for course works will be recommended by the DRC for approval by SRC.
- 6.3 The Head of respective Department shall prepare the time table for the Course Work, Teaching, Continuous Evaluation, Internal Test and shall conduct the same in due consultation with the SRC.
- 6.4 Candidate shall have to secure a minimum of 50% marks in the Examination conducted after completion of the Course Work.
- 6.5 After successful completion of the Course Work by the candidate the Department shall issue a Certificate indicating that the student has completed the course work and he/ she is qualified for proceeding with the research works.
- 6.6 Candidates who have passed M.Phil may be exempted from such course work by the SRC.

7. Interim Reporting

- 7.1 The progress of works for each scholar will be assessed at the end of each semester by the DRC. The research scholar shall give a presentation before the DRC for comments and feedback. Then the progress report will be sent to SRC for recommendation for grant of permission for enrolment of the scholar for the next semester. In case of any adverse comment on the progress report, the SRC will decide on the action to be taken.
- 7.2 A Ph.D candidate is expected to attend four national/international seminar/ conferences where at least one paper will be presented by him. The scholar must publish atleast two research papers in a referred journal during the Ph.D programme before submission of the thesis.
- 7.3 The scholar may also apply for discontinuation through Supervisor to the Dean of the School who will recommend the case to URC for a decision.

8. Provisional Registration

- 8.1 On successful completion of the course works, the scholar will prepare the synopsis on the approved research area within the next semester (following the completion of course works) on the basis of review and critical analysis of available literature on the broad topic. The synopsis duly signed by the supervisor(s) shall be routed through DRC to SRC. The research scholar shall present the synopsis before the DRC and defend it before an open seminar to be attended by all faculties and research scholar of the department. If found suitable, the SRC will recommend the scholar for provisional registration. In case of deficiency noted by SRC, the

scholar shall be asked to revise Research Proposal under the guidance of supervisor within a specified time.

8.2 The SRC may extend the time for registration by another semester on recommendation from DRC and with the approval from URC under special circumstances.

8.3 In case, the scholar fails to get the synopsis cleared by SRC even within the extended semester, as given in 8.2, he shall apply for extension of the normal duration of respective Ph.D. Programme. The grant of such extension shall be given by URC on recommendation from SRC.

9. Submission of Abstract

9.1 On completion of the research works as per the approved research proposal up to the satisfaction of the supervisor(s), the scholar may submit the abstract subject to the completion of the minimum period with effect from the date of provisional registration as defined below for different categories of scholars :

- a. **24 months** for Category A1,
- b. 42(forty two) months for Category A2 & B1
- c. 54(fifty four) months for Category B2

9.1.1 The URC may relax the minimum period as defined above (Cl. No. 9.1) up to a maximum of 12 Months (for Category A2, B1 & B2) on the strength of quality of research works to be evidenced by publications in referred Journal (at least two in number) on recommendation from the SRC concerned.

9.2 If a scholar fails to submit the abstract within three months from the date on which the minimum period, as specified is completed, he/she shall apply for extension on the recommendation of the concerned guide(s). Such application shall be subject to the approval of URC on recommendation of SRC and on payment of an extension fee equivalent to one quarterly installment of the annual fee over and above the usual time bound fee payable as on date.

9.3 Such extension may be for a period of six months at one time and number of such extensions may be continued till a period of six months is left for completion of the maximum admissible period (cl.no. 1.15). If a candidate fails to submit abstract even after such extensions, his/her provisional registration shall stand cancelled.

9.4 Along with submission of abstract, the Candidate shall apply for the submission of thesis by paying the Thesis Submission Fee as prescribed by competent authority time to time.

9.5 Empanelment of examiners shall be made by the respective supervisors during this period on receipt of recommendation from the SRC from the List of Examiners (at least 7 nos.) provided by the respective Supervisor(s). It is up to the discretion of the Supervisor(s) to take an examiner from outside the country with due permission from SRC

9.6 The abstract shall be submitted through DRC to SRC. Modifications/corrections, if suggested by SRC will be duly incorporated. If SRC desires, the pre-Ph.D. presentation (or may called as abstract presentation) as given in 10.2 will be given by the scholar even at this stage. In such cases, the presentation, as given in 10.2 will not be necessary again.

10. Submission of Thesis

10.1 The final form of complete research work (Ph.D Thesis) shall be submitted after the abstract is approved by SRC.

10.2 Prior to submission of the thesis, the candidate shall make a pre Ph.D presentation (abstract presentation) before the SRC that shall be open to all faculty members and

research students, for getting feedback and comments which may be suitably incorporated into the draft thesis.

- 10.3 The Ph.D scholar must publish at least two research papers in a referred journal before the submission of the thesis, he/she must produce the evidence of the same in the form of acceptance letter or the reprint.
- 10.4 Candidates submitting thesis for the University Degree are required to follow the rules noted below regarding the size, styles and binding of the Thesis. Only in special case in which the SRC is satisfied and the same is approved by the URC, relaxation in compliance may be given.
- 10.5 Candidate shall submit three copies of his/ her thesis (soft binding) along with a soft copy in PDF format.
- 10.6 The copies shall be bound in accordance with the standard specifications as per the direction of the supervisor(s). Thesis shall be printed in English.
- 10.7 The thesis shall include a certificate from the supervisor(s) to the effect the results and findings incorporated into it have not been submitted to any other institutes for award of any degree or diploma.
- 10.8 All the copies of the thesis shall be submitted to DRC through SRC for necessary actions.

11 Evaluation Process

- 11.1 The request letter to examiners shall be sent with a copy of the approved abstract.
- 11.2 The thesis shall be examined by 3 (three) examiners, i.e. the supervisor(s) as internal and two externals, one of which shall be from outside the state from the list.
- 11.3 If the unanimous recommendations for the Ph. D. degree are received from all the three examiners are received, the award of the degree will be processed.
- 11.4 If the thesis is recommended for the Ph.D degree by any two examiners and rejected by the third examiner, then the thesis will be referred to any external examiner (i.e 4th examiner) from the panel and to be selected by the Vice Chancellor. The assessment of the 4th examiner shall be final but if the 3rd examiner suggests for resubmission after revision then the revised thesis be sent only to him (3rd Examiner). If the revised thesis is recommended by the 3rd examiner, the award will be processed. If the 4th examiner suggested resubmission after revision then the scholar will be allowed to re-submit the thesis after necessary revision in the light of the comments of the examiner within one year on payment of half the prescribed examination fees and the revised thesis will be sent only to this examiner who suggests revision. If 4th examiner recommends the thesis, the report of the recommendation will be considered along with the other reports already received and will be processed.
- 11.6 If the thesis is suggested for re-submission after revision by any two examiners, the scholars will be allowed to re-submit the thesis after revision in the light of the comments of the examiners within one year on payment of prescribed fees and the revised thesis will be sent to only those examiners who have suggested revision. If the revised thesis is recommended, the reports and the recommendation will be considered along with the other reports already received and will be processed.
- 11.7 If the thesis is rejected by any two examiners, it shall stand rejected. The situation of rejection shall then be referred by URC to Academic Council that may at its discretion give a scope to the scholar for revision of his work subject to the availability of time within the maximum period.

11.8 After the thesis has been recommended by all the examiners for the award of Ph.D. degree, the report of all the examiners will be made available to the HOD concerned by the Controller of Examinations & Admissions and the candidate shall be asked to appear at a Viva-Voce Examination.

11.8.1 The Viva-Voce will be conducted by a Committee comprising the DRC and a nominee from Vice Chancellor, Dean of School or his nominee and at least one examiner (out the two external examiners of the thesis). It shall be an open viva voce in which Faculty members, research scholars and interested scholars of the school concerned may be present.

11.9 In case, if any external examiner and/ or guide are not readily available, the Vice-Chancellor may appoint other examiners for the purpose from the panel.

12. Declaration of Result

12.1 The Viva Voce committee shall forward its recommendation to Dean of the respective School for onward transmission to URC for approval and URC shall send the approval to Academic Council for ratification.

12.2 Upon the ratification, the Controller of Examinations shall notify the result in the University Notice Board and upload it in the University website.

13. Depository with UGC

13.1 Following the successful completion of the evaluation process and announcement of the award of Ph.D., the Registrar/Controller of Examinations will submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

13.2 Along with the degree, University shall issue a provisional Certificate certifying to the effect that the degree has been awarded in accordance with the provisions to the regulations of UGC.

14. Eligibility for guides

14.1 The prospective Guides shall apply to the University for Recognition as Ph.D Guide, subject to the approval of the SRC.

14.2.1 He/ She must be a Ph.D degree holder.

And

He/ She has at least four years of teaching experience at the PG level or 8 years of UG teaching experience or minimum of three years of Post Ph.D research experience

And

14.2.2 He/ She has at least two research publications in Indexed/ ISBN/ ISSN numbered journals of National/ International level in relevant subjects.

14.2.3 Guides may be considered for any academic person having recognition as Ph.D guide from other reputed Universities/resrarch institutes.

14.3 Notwithstanding anything contained above (Cl. No. 14.1) for the School of Medical Science, a teacher to be recognized for the guides shall have not less than 15years of teaching and research experience after his/ her post graduate qualification and shall have not less than 10 years of post graduate teaching experience.

14.4 The Guides may be approved by the DRC on the recommendation of the SRC concerned in due consultation with the related subject expert. The subject expert

based on his/ her evaluation of the two research papers and other research outputs submitted by the candidate shall recommend eligibility for Guides.

14.6 A recognized guide shall not be allowed to register a candidate for PhD, if he(the candidate) is blood related/ closely related to him/ her (Guide).

14.7 The maximum number of candidate to be enrolled for PhD research under the supervising teacher at a given point of time for different cadres shall be as follows:

Professor : 08
Reader/ Assoc professor: 06
Lecturer/ Asst professor : 04

However for the Principals who are recognized guides working in the scale of Professor, shall be able to enroll 08 students, and those Principals who are recognized guides working in the scale of Associate Professor shall be able to enroll 07.

14.8 Without creating precedence, the URC may relax some of these criteria (Cl. 14.2 to 14.6) under special circumstances.

15. Constitution of Regulatory Bodies.

15.1 Academic Council.....To be constituted as per University Act, 2008.

(Term will be two years).

15.2 University Research Council (URC)

Vice Chancellor.....Chairman
Deans of all schools of USTM.....Member
Two senior Professors of USTM (To be nominated by Chancellor).....Members
One member from ERDF (To be nominated by Chairman, ERDF).....Member
Co-opted Members
Outside experts
Controller of Examinations and Admissions/ Academic Registrar.....Exofficio member

15.3 School Research Committee (SRC)

Dean of School.....Chairman
All HODs of the school concerned.....Members
All supervisors of the school concerned.....Members
One Member to be nominated by Chancellor/Vice Chancellor.....Member
Controller of Examinations and Admissions/ Academic RegistrarMember

15.4 Departmental Research Committee (DRC)

Head of the Department.....Chairman
Supervisor(s) concerned.....Member
One faculty member of relevant field.....Member
One member to be nominated by the Dean of School.....Member

16. Committee for Redressal of Dispute:

16.1 In case of any dispute, the Committee for Redressal of Disputes will take the final decision.

Vice Chancellor.....Chairman

Two members from Academic Council.....to be given by VC with approval
from Chancellor

Two membersto be nominated by Chancellor i/c
Legal expert

17. Right to amend.

17.1 The Board of Governors of USTM reserves the right to modify this Ordinance from time to time

18. Leave for Scholars:

(To be incorporated if considered necessary)