



THE ASSAM
ROYAL GLOBAL UNIVERSITY
— GUWAHATI —



Ph.D. REGULATION 2024

Index

S. No.	Content	Page No.
1.	Title	1
2.	Definitions	1
3.	Introduction	6
4.	Eligibility Criteria for Admission into the Ph.D. Programme	7
5.	Admission Process	8
6.	Selection Procedure	9
7.	Registration	9
8.	Cancellation of Registration	10
9.	Duration of the Ph.D. Programme	11
10.	Residency Period	11
11.	Leave Rules	11
12.	Coursework	12
13.	Ph. D. Guide and Co-Guide	13
14.	Conversion from Part-time Ph.D. student to Full-Time Ph.D. Student and vice versa	14
15.	Research Committees	15
16.	Assessment and Evaluation Methods, Minimum Standards for the Course Work and Credits for award of the Ph.D. Degree	18
17.	Conflict of Interest	25
18.	Intellectual Property Right	25

THE ASSAM ROYAL GLOBAL UNIVERSITY (RGU)

Ph.D. REGULATION - 2024

1. Title: The Assam Royal Global University Regulations for the programme for Doctor of Philosophy (Ph.D.) under Ordinance Number 4

1.1. The provisions embodied in these regulations shall be called the “**The Assam Royal Global University Regulations for the programme for Doctor of Philosophy (Ph.D.)**”.

1.2. The Regulations are based on the Ordinance Number 4 for Doctor of Philosophy (Ph.D.) of the Assam Royal Global University as per the Guidelines of the University Grants Commission (UGC) Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree, Regulation, 2009 and the subsequent (UGC) Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree, Regulation, 2016 and its two amendments in 2018 and the UGC (Minimum Standards and Procedure for Awards of Ph.D. Degree, Regulations, 2022.

1.3. These Regulations incorporating the provisions in the latest UGC Regulations, and the Guidelines shall replace the existing Rules and Regulations relating to the Ph.D. Degree and shall come into force with immediate effect.

2. Definitions

2.1. “**Abstract**” means the comprehensive summary of the research work which a Ph.D. student is required to submit to the Departmental Research Committee (DRC) through the Guide(s) within two months after the Pre-Submission Seminar on completion of the entire research work.

2.2. **Applicant** means an applicant for admission into the Ph.D. Programme of RGU.

- 2.3. Approved Institution** means an institution of higher education approved by the UGC.
- 2.4. Attendance** means the residency period of the Ph.D. student in the concerned Department/ Centre as stipulated in the Regulation.
- 2.5. Board of Studies (School Board)** means the statutory board defined in the Part C in the Chapter 2 Clause Number. 21 (1-4) of the statute of the Assam Royal Global University.
- 2.6. Classification of Applicants** means the following categories of applicants for admission into the Ph.D. programme of the University:
- a. Industry Research Scholar:** Applicant from reputed industrial organizations in India and abroad having the prescribed academic qualification and with at least five years' experience in the industry.
 - b. Regular Academic Staff of the University:** A regular academic staff of a department who is recommended for admission into the Ph.D. program of the University.
 - c. Working Teachers:** Regular Faculty members from other approved institutions in India and abroad having the requisite minimum qualification for the Ph.D. program.
 - d. Non-Academic Staff of the University:** A regular non-academic staff of the University having the requisite minimum qualification for the Ph.D. program.
 - e. Sponsored Applicant:** An applicant having the minimum requisite qualification for the Ph.D. program and who is sponsored by the Government/Non-Government Organization or having Scholarship/Fellowship/Stipend.
 - f. Self- financed Indian Applicant:** Applicant from India with the requisite minimum qualification for the Ph.D. programme of the University who is paying himself /herself for the Ph.D. programme.
 - g. Self-financed foreign Applicant:** Applicant from a foreign country with the requisite minimum qualification for the Ph.D. programme of the University who is paying himself /herself for the Ph.D. programme.

- 2.7. Co-Guide** means a member of the faculty of the University / other approved University/Institution having the requisite qualification prescribed by the UGC who is recognised by the University to supervise the research work of a Ph.D. student in coordination with the assigned Guide of a student.
- 2.8. Controller of Examinations** means the Chief Officer of the University responsible for organizing the entire examination process of all academic programs of the University including the Ph.D. programme.
- 2.9. Coursework** means the mandatory prescribed credit courses to be completed by a Ph.D. student during the stipulated period as per the provisions in the Regulations.
- 2.10. Cumulative Grade Point Average (CGPA)** means a measure of the overall cumulative performance of a student over the semesters. The CGPA is the ratio of the total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places.
- 2.11. Credit** means the number of hours of instruction required per week over the duration of a semester.
- 2.12. Dean** means a Dean of a School of the University and includes a Dean of Research and Development, a Dean of Students Affairs, and a Dean of Academic Affairs.
- 2.13. Departmental Research Committee (DRC)** means the committee approved by the Academic Council on recommendation of the University Research Committee (URC) for research in each of the academic Department/Centre of the University.
- 2.14. Guide** means a faculty member of the University fulfilling the eligibility qualifications stipulated by the Regulations to supervise and monitor the research work of an assigned Ph.D. student at the University and who is approved by the Academic Council on recommendation of the University Research Committee.

- 2.15. INFLIBNET** means Information and Library Network Centre, which has the digital repository of theses and dissertations, called the *Shodhganga* to which an electronic copy of the Ph.D. thesis of a Ph.D. student is to be mandatorily deposited.
- 2.16. IPR** means Intellectual Property Rights relating to the outcome of the research work/innovations of the Ph.D. research of a student.
- 2.17. Open and Distance Learning Mode** means the mode of learning in the digital mode as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations, 2020.
- 2.18. Online Mode** means the digital mode of learning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations, 2020.
- 2.19. Oral Defence or viva voce** means an oral examination or oral defence of the thesis embodying the research work of a Ph.D. student.
- 2.20. Part-Time Ph.D. Student** means a student who is registered in a Ph.D. programme of the University devoting part of her/his time for completing the requirements of the Ph.D. programme and remaining engaged in part in other vocation.
- 2.21. Ph.D.** means the Degree of Doctor of Philosophy.
- 2.22. Ph.D. Programme** means a full program of studies leading to the award of a Ph.D. Degree in a discipline of the University.
- 2.23. Plagiarism** means an act of academic dishonesty and a breach of ethics, as defined in the Section 8 (i-iv) of the UGC (Promotion of academic Integrity and Prevention of Plagiarism in higher education institutions) Regulations, 2018, F.I-18/2010 (CPP-II, Dated 23rd July 2018) and it involves use and claim of someone else's work as one's own. It includes data plagiarism, concept and work plagiarism and self-plagiarism.

- 2.24. Pre-Submission Seminar** means the presentation before the Departmental Research Committee of the research work completed by a Ph.D. student prior to submission of her/his thesis to the University.
- 2.25. Registration** means the process of registering a student in the Ph.D. programme on being recommended by the Departmental Research Committee of the concerned department under due intimation to the URC and the Academic Council.
- 2.26. Registration Period** means the period with effect from the date of registration/admission of a student into the Ph.D. programme till the date of her/his submission of the thesis to the University.
- 2.27. Renewal of Registration** means the process of renewal of the registration into the Ph.D. programme every semester within the stipulated date by a Ph.D. student to maintain the validity of the Registration for the Ph.D. programme till the thesis is submitted.
- 2.28. Re-Registration** means the requirement for extension of the registration in the Ph.D. programme subject to approval of the University authority, if the Ph.D. student fails to submit her/his thesis within the stipulated period of registration.
- 2.29. Research** means systematic study/investigation leading to the discovery of new knowledge/facts/ interpretations/patterns/devices relating to the Ph.D. programme of the University.
- 2.30. Research Scholar** means a Ph. D. student who has been admitted to complete the coursework and whose synopsis of the proposed work has been approved by the Departmental Research Committee.

- 2.31. School** means the conglomeration of allied academic Departments and Centres into a single common organized entity of the University which is headed by a Dean of the School.
- 2.32. Student Research Committee (SRC)** means the committee constituted by the Departmental Research Committee for each Ph.D. student for ensuring regular supervision and counselling guidance to a Ph.D. student in her/his research work.
- 2.33. Synopsis** means the detail plan of research to be submitted by a Ph.D. student to the DRC which presents the proposed research work. The Synopsis provides the rationale of the research, objectives, methodologies to be used in the proposed research for the Ph.D. research. A Ph.D. student is registered in a Ph.D. programme after her/his synopsis is approved by the DRC.
- 2.34. University** means the Assam Royal Global University.
- 2.35. University Research Committee** means the apex body of the University that governs the research programmes of the entire University.
- 2.36. UGC CARE Listed Journals** means the list prepared by the University Grants Commission under its Consortium for Academic Research and Ethics (CARE) which enlists quality research journals and includes journals indexed in Scopus and/or Web of Science.
- 2.37. Vice Chancellor** means the Vice Chancellor of the Assam Royal Global University.

3. Introduction

RGU promotes research in every discipline in the fundamental areas of the disciplines and research in the applied aspects of knowledge as a core activity of the University. Each Department of RGU has identified thrust areas of research with emphasis on broad multi and interdisciplinary perspectives and approaches to address the fundamental and applied problems in the global context. Besides, RGU has special focus on addressing the issues and problems of the northeast region through research. The Ph.D. program of RGU is to provide a platform for facilitating the stated research through training and scientific exploration.

4. Eligibility Criteria for Admission into the Ph.D. Programme

Candidates applying for admission into the Ph.D. Programme of the University are required to fulfil any one of the following eligibility criteria:

4.1. A Candidate who successfully completed:

41.1. One year Master's degree programme after a 4-year Bachelor's Degree with minimum 55% marks or in equivalent grade 'B' in the UGC 10-point scale in subject specified by the relevant Department/Centre of the University.

Or

4.1.2 Two year Master's Degree after a 3-year Bachelor's Degree with at least 55% marks in aggregate or an equivalent grade 'B' in the UGC 10- point scale in subject specified by the relevant Department/Centre of the University.

Or

4.1.3. Four year Bachelor's Degree with Research with a minimum CGPA of 7.5 in a 10-point scale in subject specified by the relevant Department/Centre of the University.

Or

4.1.4. A Degree equivalent to any of the above Degrees in a subject specified by the relevant Department/Centre of the University from a foreign educational institution which is accredited by an Assessment and Accreditation Agency 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.

4.1.5. An M.Phil. Degree with minimum 55% marks in aggregate or its equivalent grade in the UGC 10-point scale. A Degree equivalent to any of the above Degrees in subject specified by the relevant Department/Centre of the University from a foreign educational institution which is accredited by any 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.

4.1.6. Candidate who is a member of the Institute of the Chartered Accountants of India/ the Institute of Company Secretaries of India/ the Institute of Cost Accountants and Management of India or equivalent foreign professional body having Bachelor's Degree with not less than 60% marks or equivalent CGPA.

4.2. Relaxation of Marks in Eligibility Criteria

Applicants belonging to the SC/ST/OBC (Non-Creamy Layer)/ Differently Abled/Economically Weaker Section (EWS) shall be entitled to a 5% relaxation in marks or an equivalent relaxation in grades.

5. Admission Process

5.1. Admission into the Ph.D. programme takes place twice a year – once in the Autumn Semester (November-December) and another in the Summer Semester (July-August).

5.2. The Notifications for admission into the Ph.D. programme are advertised in the national and regional newspapers besides in the University website.

5.3. Candidates seeking admission shall submit the application online through the University website /offline through the Admission Office of the University along with all documents (scanned /hard copies depending on the mode of submission of the application) and pay the prescribed Admission Fees.

5.4. The applicant shall submit a concise Statement on the proposed research work in 1000 words.

5.5. The DRCs shall prepare a tentative panel of Ph.D. Guides for research supervision in areas of their specialization which shall be uploaded in the departmental websites of the University.

6. Selection Procedure

6.1. The respective DRCs shall screen the applications and the applicants fulfilling the eligibility criteria as specified in these Regulations and also satisfying the **UGC Notification No. F.4—1 (UGC – NET Review Committee)/2024 (NET)/140648, Dated - 28th March 2024** will be considered for admission. The candidates will be categorised as follows:

6.1.1. Those candidates who have qualified NET with fellowship shall get First Preference.

6.1.2. The candidates who have qualified under NET - LS and NET will also be duly considered.

6.1.3. All shortlisted candidates shall appear for Oral interaction.

OR

6.1.4. The University may also conduct its own entrance examinations for admission in to various Ph.D programme.

6.1.5. The final merit list of the selected candidates shall be made as per the UGC Notification of 28th March 2024 giving 70% weightage to the NET scores or exam conducted by the University and 30% to the interview/viva- voce.

6.2. The selected candidates shall be admitted into the Ph.D. programme on approval of the URC based on the recommendation of the respective DRCs under intimation to the Academic Council.

7. Registration

7.1. The DRCs shall recommend to the University for Registration of the selected applicants after due consideration.

7.2. The approval for Registration by the URC shall be communicated to the Registrar, Dean R&D and CoE through a comprehensive list of the approved students of all the Departments/Centres for enrolment of the students in the Ph.D. Programme under due intimation to the Academic Council.

7.3. The registered Ph.D. student shall be required to **Renew the Registration** at every semester within the stipulated date.

7.4. A student who fails to complete the stipulated research work and fulfil all requirements for submission of the thesis to the Controller of Examination within the specified period of her/his registration, shall be required to **Re-Registrar** subject to acceptance of the justification of the student for the failure and approval of the URC which shall be required to be duly intimated to the Academic Council.

8. Cancellation of Registration

The Registration of a Ph.D. student shall be cancelled by the URC under intimation to the Academic Council on recommendation of the DRC for any one of the following lapses.

8.1. Non-payment of fees for two consecutive semesters.

8.2. Failure to complete the Coursework successfully within one year from the date of Registration for the Full-Time students and within two years from the date of Registration for the Part-Time students. A minor relaxation may be admissible under special circumstance.

8.3. Failure to submit and justify a Synopsis within one semester after successfully completing the Coursework in the case of a Full-Time student and within two semesters in the case of a Part-Time student.

8.4. Failure to submit the Progress Reports within the stipulated period to the DRC.

8.5. If a Full- Time student remains absent for a continuous period of four weeks without prior intimation and grant of leave of absence by the DRC.

8.6. If the academic progress of the student is found to be unsatisfactory by the Students Research Committee and the DRC.

8.7. If a student is found to be involved in act of misconduct, plagiarism, academic dishonesty, or indiscipline involving violation of the University Rules.

8.8. If a student leaves the Ph.D. programme.

9. Duration of the Ph.D. Programme

9.1. A Ph.D. student shall be required to complete the coursework and research for the Ph.D. programme and submit the thesis within a minimum period of three years and a maximum period of six years from the date of registration.

9.2. Under exceptional conditions and subject to the approval of the URC on the recommendation of the DRC, the period for completion of the Ph.D. work may be granted an extension for maximum two years for which the student shall be required to Re-Register for the granted extension period.

9.3. Female students and students with more than 40% disabilities may be granted an extension of two more additional years.

9.4. Female students shall be entitled to maternity Leave/Childcare Leave for a maximum period of 240 days during the duration of the Ph.D. programme.

10. Residency Period

10.1. A Full-Time Ph.D. student shall be required to be present throughout the Semester in the concerned Department/Centre.

10.2. A Part-Time Ph.D. student shall be required to be present in the concerned Department/Centre for the full semester to attend the coursework and subsequently shall be required to remain in regular coordination with the respective Guide and the Co-guide during the entire duration of the programme.

11. Leave Rules

11.1. The attendance and leave of a student shall be recorded in the concerned Department /Centre duly endorsed by the Students Research Committee (SRC) which shall be provided to the DRC/URC as and when required along with the Progress Report of the student.

11.2. A Ph. D. student shall be allowed to avail Casual Leave of 8 days per year for exigencies and 6 days for medical reasons. Such leaves shall be granted by the DRC on recommendation of the Guide of the student.

11.3. A full time Ph.D. student shall not be entitled to avail Semester Break, Summer, and Winter Vacations.

11.4. A Ph.D. student shall be granted Duty Leave for research related work in the field, libraries, and laboratories of institutions outside the University for durations as recommended by the Guide and duly endorsed by the SRC and the DRC.

Note: The unutilized leave shall not accumulate.

12. Coursework

12.1. A Ph.D. student must successfully complete a 12 Credit course during the first two semesters comprising of two compulsory courses on Research Methodology and Research and Publication Ethics and a subject specific course prescribed by the concerned SRC and DRC.

12.2. A Ph.D. student must obtain a minimum of 55% in each course/ equivalent grade in 10-point scale to qualify for continuing the Ph. D. research.

12.3. A Ph.D. student shall be required to participate in training programmes organised by the Department/Centre on pedagogy/ Research Report/Paper Writing and may be given teaching assignments for specific duration by the Guide under intimation to the DRC.

12.4. A Ph.D. student may be prescribed to do additional course(s) by the DRC on recommendation of the SRC when such courses are found necessary for the research work of the student.

12.5. If a student is allowed to avail course(s) at any University within the country and abroad under some Student Exchange/Short Term Study programme, relevant to her/his research work on recommendation of the SRC and the DRC, the Credit earned by the student in that coursework shall be transferred to RGU. In the case of those coursework being not evaluated at the University where she/he availed the coursework, the Department of RGU may do the evaluation for its equivalent Credit and the earned Credit shall be accounted for in the student's academic record.

13. Ph. D. Guide and Co-Guide

13.1. Eligibility

13.1.1. A regular, full time faculty member who is a Professor or an Associate Professor having at least five (05) research publications in peer reviewed journals shall be eligible to become a Guide for a Ph.D. student.

13.1.2. A regular full time faculty member who holds Ph.D. degree and is an Assistant Professor having at least three (03) research publications in peer reviewed journals shall be eligible to guide a Ph.D. student.

13.1.3. Faculty members from other Universities/Higher Education Institutions fulfilling the eligibility criteria stipulated in 13.1.1 and 13.1.2 may be on recommendation of the DRC, considered as Co-Guides of Ph.D. student subject to approval of the Academic Council.

13.1.4. Scientists/scholars from Research Institutions approved/recognized by the Government of India/the State Government of Assam, serving in positions equivalent to the positions of Professor/Associate Professor/Assistant Professor/ Professor of Practice and fulfilling the eligibility criteria mentioned at 13.1.1 and 13.1.2 shall be considered as Co-Guide of a Ph.D. student on recommendation of the DRC.

13.1.5. Faculty members who is serving as Emeritus Professor/Advisor after superannuation from regular service shall be eligible to act as Ph.D. Guides or Co-Guides till the age of seventy (70) years.

13.2. Allotment of number of Ph.D. students to Guide.

13.2.1 The maximum number of Ph.D. students that may be allotted to an eligible Ph.D. Guide at a time is as follows:

- a. Professor- Eight (8)
- b. Associate Professor- six (06)
- c. Assistant Professor -four (04)

13.2.2. A Ph.D. student may be allotted her/his Guide on recommendation of the SRC, the DRC and the URC subject to approval of the Academic Council.

13.2.3. For effective conduct of research, a Co-Guide is required, however the same may be waived on a case - to - case basis.

13.2.4. When the research work is interdisciplinary/multidisciplinary in nature, allotment of a Co-Guide to a Ph.D. student from within the University or from other recognized Universities/Higher Education Institutions/Research Institutions may be permissible.

13.3 Change of Ph.D. Guide

In the event of exigencies when a Guide proceeds on leave for twelve months or more/resigns from her or his position in the University/on medical reason or expires/or for any other unforeseen reasons or circumstances, the SRC and the DRC shall recommend a new Guide to the URC for consideration of approval followed by reporting to the Academic Council for the final acceptance.

14. Conversion from Part-time Ph.D. student to Full-Time Ph.D. Student and *vice versa*

14.1. Request for conversion of the status of a Part-Time Ph.D. student to a Full-Time Ph.D. student may be entertained by the SRC and the DRC and the conversion may be allowed only on condition that the minimum period for submission of the thesis would be Three Years as is the case with respect to a Full-Time student.

14.2. Request for conversion from the status of Full-Time Ph.D. student to a Part-Time student may be considered on recommendation of the SRC and DRC with all the terms and conditions that are applicable to a Part-Time student being applicable to the student after conversion of the status.

15. Research Committees

15.1. University Research Committee

There shall be an apex body - the University Research Committee which considers, approves, and monitors the overall research activities of the University that include the research leading to the award of the Ph.D. Degree, post-doctoral research, and extramural research. The URC has the following composition:

Sr. No.	Designated Members	Nomination
1.	The Vice Chancellor	Chairperson
2.	One external nominee of the Chancellor and one external nominee of the Vice Chancellor	Member
3.	Two external nominees of the Academic Council	Member
4.	Three nominees of the Vice Chancellor from amongst the Deans	Member
5.	Dean, R & D	Member
6.	Dean of Academic Affairs	Member
7.	Two nominees of the Vice Chancellor from amongst the faculty members of RGU	Member
8.	The Controller of Examination	Member Secretary

Terms of reference

The URC has the responsibility and authority to do the following:

- i. To consider the recommendation of the SRCs and the DRCs regarding the admission of the eligible candidates to the Ph.D. programme.

- ii. To consider the Course Work and the synopsis (Plan of Research) of the Ph.D. students as recommended by the SRC and the DRCs for approval.
- iii. To pursue the recommendation of the SRCs and the DRCs of the Semester End Progress Reports.

- iv. To examine the recommendations of the DRCs on the Abstracts of the Ph.D. research of the students.
- v. As the Chairperson of the URC, the Vice Chancellor is authorised to appoint the examiners of a Ph.D. thesis from the panel of Examiners submitted by the Guide of the Ph.D. student maintaining complete confidentiality.
- vi. To consider the Reports of the examiners of the Ph.D. thesis for acceptance or otherwise.
- vii. To consider any proposal of Ph.D. students for conversion of status from Part-Time to Full-Time and *vice versa* on recommendation of the SRCs and the DRCs.

- viii. To consider any request of a Ph.D. student for extension of duration of the Ph.D. research on recommendation of the SRCs and the DRCs.
- ix. To consider any recommendation of the DRCs for deregistration of Ph.D. students for violation/non-fulfilment of the requirements of the Ph.D. Regulation.
- x. To review the progress of extra mural research projects.

- xi. To review the progress of research relating to innovation and IPR by the students at the University.
- xii. To deliberate and discuss on the general research activities and policies of the University as recommended by the other Bodies, Boards, and Councils.

15.2. Departmental Research Committee (DRC)

Every department shall have a departmental Research Committee with the following composition.

Sr. No.	Designated Members	Nomination
1.	Head of the Department	Chairperson
2.	Two Professors	Member
3.	Two Associate Professors – one of them will be the member secretary	Member
4.	Two Assistant Professors holding Ph.D. degree	Member
5.	Three external members not below the rank of Professors, including members from an allied department, who will be nominated by the URC	Member

The DRC meeting shall be held regularly with minimum of 50% of the members forming the quorum.

The DRC shall have the following functions:

- i) To prepare the list of eligible Ph.D. Guides.
- ii) To scrutinize the applications for the Ph.D. programme of the department and oversee the admission into the programme in accordance with the laid down Rules in this Regulation.
- iii) To ensure that each of the Ph.D. student on successful completion of the course work prepares and submits the Plan of Research (the Synopsis) with the supervision and advice of the Guide, Co-Guide (if any) and the SRC and submit the same to the DRC.
- iv) To constitute the Students Research Committee for each Ph.D. student of the department.
- v) To examine and recommend the Synopsis of a Ph.D. student to the URC for consideration.
- vi) To take up all other issues that may arise with respect to the progress of the Ph.D. research work of a student and extend necessary advice and guidance to a student to facilitate smooth conduct of research work.

15.4. Student Research Committee

The DRC shall form a Student Research Committee (SRC) for each Ph.D. student as soon as the admission process gets over to regularly guide the student in the course work and then in the research work. The SRC shall have the following composition:

Sr. No.	Designated Members	Nomination
1.	The Ph.D. Guide of the student	Chairperson
2.	The Co-Guide (s)	Member
3.	Two faculty members holding Ph.D. from the same department or from any allied departments – one of them shall be the member secretary	Member
4.	Two senior professors from the same department or from other allied departments	Member

The SRC shall have the following responsibilities:

- i. To guide a Ph.D. student in choosing her/his optional course work, in developing the research questions, in designing the experiments, in selecting the methodologies, etc., and to forward the synopsis to the DRC.
- ii. To regularly monitor and review the progress of research work of a Ph.D. student and guide and advise her/him in the progress of the research work.
- iii. To guide a Ph.D. student in finalizing the Abstract of the thesis on completion of the research work and in working out the Title of the Thesis.

The SRC shall meet at regular intervals during the semester. 50% of the members shall form the quorum for the SRC meetings.

16 Assessment and Evaluation Methods, Minimum Standards for the Course Work and Credits for award of the Ph.D. Degree

16.1. Evaluation of Performance in the Course Work

A Ph.D. student shall be required to obtain a minimum of 55% or its equivalent grade in the UGC 10-point scale in the Course Work to be eligible to continue in the programme and carry out the research work generally as per the approved synopsis and shall submit her/his thesis after due completion of all formalities as stipulated in the clauses below.

16.2. Semester End Evaluation of the Progress of Research Work

At the end of the Semester, the DRC shall assess and evaluate the progress of the work of a Ph.D. student. If the work is found to be satisfactory, the student shall be recommended for proceeding to the next Semester. In the event of unsatisfactory Semester End progress for two consecutive Semesters, the DRC may recommend corrective measures. Should the Ph.D. student fail to implement the suggested advice(s), and the DRC having exhausted every scope to enable a Ph.D. student may with justifiable reasons recommend cancellation of the Registration of a student to the URC. On completion of the research work, the DRC shall evaluate the complete work and may recommend a student for Pre-Thesis Submission before the DRC covering the entire progress of the research work.

16.3. Pre-Thesis Submission

A Ph.D. student on being recommended by the DRC, shall present the entire research work in the Pre-Thesis Submission Seminar before the DRC.

Having satisfied the DRC on the research work assigned to the Ph.D. student, and the Title of the Ph. D. Thesis, fulfilment of the mandatory requirement of publishing at least one (01) research article in peer reviewed, SCOPUS indexed/ UGC CARE listed Research Journals and presentation of the research work in two national/international Conferences/Seminars, the Ph. D. student shall be required to submit to the DRC the Abstract of the research for further action by the DRC.

16.4. Submission of Abstract of the Thesis

The Ph. D. student shall be required to submit eight (08) copies of the Abstract in hard as well as soft forms of her/his doctoral research to the DRC within two (02) months of the successful Pre-Thesis Submission Seminar. The Abstract may be written approximately in Fifteen Hundred (1500) words.

The DRC, having been satisfied with the Abstract, shall forward it to the URC for approval; if the DRC is not satisfied, it will advise the student to implement the corrective measures and resubmit.

16.5. Plagiarism Check of the draft Ph.D. Thesis

The Ph. D. student shall be required to subject the draft Ph.D. Thesis to Plagiarism Check in the software at the central Library of the RGU mandatorily and shall be acceptable with a maximum of 10% content similarity in accordance with the provisions of the Section 8 (i-iv) of the UGC (Promotion of academic Integrity and Prevention of Plagiarism in higher education institutions) regulations, 2018, F.I-18/2010 (CPP-II, Dated 23rd July, 2018). Any instances of the violation of the above provisions shall be brought to the notice of the University Academic Integrity Maintenance Committee comprising of the following by the DRC.

Sr. No.	Designated Members	Nomination
1.	Pro-Vice Chancellor/ A senior Dean	Chairperson
2.	Vice Chancellor's nominee from amongst the Deans, other than the Chairperson	Member
3.	A member of the University having expertise/well versed in the anti-plagiarism tools to be nominated by the Vice Chancellor of the University	Member

The Committee shall have a term of three (03) years and the presence of two of the members shall form the quorum for the meeting of the committee. The Committee shall investigate the allegation(s) of plagiarism following the principles of natural justice. Penalties shall be recommended as per the Clause 12 of the UGC (Promotion of academic Integrity and Prevention of Plagiarism in higher education institutions) regulations, 2018, F.I-18/2010 (CPP-II, dated 23rd July, 2018) to the Academic Council through the URC for approval only after academic misconduct on the part of the Ph.D. student has been established beyond doubt

16.6. Submission of the Thesis

16.6.1. On the recommendation of the DRC, the Ph.D. student shall be required to submit Three (03) copies [four (04) in case the Ph.D. student has a Co-Guide] in accordance with the RGU Ph.D. Thesis Template and Guidelines. Initially, the copies shall be required to be submitted in the spiral bound form along with one soft copy to the Controller of Examination, RGU.

16.6.2. The Thesis is to be certified by the competent authority of the University in the prescribed Format that there is no plagiarism in the thesis.

16.6.3. The Ph.D. Guide and the Co-Guide (s) if any, of the student shall certify attesting to the originality of the work embodied in the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Education Institutions of the country and abroad.

16.6.4. A Ph.D. student shall be required to submit her/his thesis within three (03) months of the approval of the Abstract of the thesis by the DRC.

16.6.5. The thesis is to be written in the English language in accordance with the RGU Guidelines for writing a Ph.D. Thesis.

16.6.6. A Ph.D. student shall be required to submit No Dues Certificates from the concerned department(s), the Central Library, Hostel, Finance and Accounts (for clearance of fees) and any other offices of the University, when necessary, in the prescribed Formats at the time of submission of the thesis.

16.6.7. The copies of the Ph.D. Thesis along with the soft copy and all the Certificates stipulated in the above clauses, shall be submitted to the Controller of Examinations through the Chairperson of the DRC for facilitating thesis evaluation.

16.6.8. A Ph.D. student shall be required to submit a Check List in the RGU prescribed format of all the stipulated documents as detailed in the clauses under the sub clauses of Clause 16. along with the prescribed number of the hard copies of the thesis and the soft copy.

16.7. Evaluation of the Ph.D. Thesis

16.7.1. Panel of Thesis Examiners

- i) The Ph.D. Guide and the Co-Guide(s), if any, shall together submit a panel of Five External Examiners who are from very reputed higher education institutions of the country and who are not below the rank of Associate Professor and may as well include examiner(s) from reputed higher education institutions from abroad and forward the panel through the Chairperson DRC and the Controller of Examination to the Vice Chancellor as the Chairperson of the URC. The panel shall be required to include the

external examiners who are evidently working in the areas relevant to the broad area(s) of the doctoral research of the Ph.D. student.

- ii) The Vice Chancellor shall appoint two external examiners from the panel in strict confidence.
- iii) The Ph.D. Guide of the student shall be appointed as the Internal Examiner, as also the Co-Guide, if any.

16.8. Thesis Examination

- i) The appointed thesis examiners shall be required to examine the thesis in accordance with the Guidelines for Thesis Examination to be sent along with the thesis by the office of the Controller of Examination and submit the reports within six weeks. The period for examination of the thesis may be extended by another two weeks, if required, on justifiable grounds. If the examiner(s) fail to examine and submit the report(s) within the extended period, the Vice Chancellor shall appoint another examiner or set of examiners from the panel already submitted.
- ii) The examiners shall be required to submit the Examination Reports in the prescribed format stating categorically whether in their individual assessment, the thesis is recommended for:
 - a) acceptance for the award of the Ph. D. degree after due defence in the *viva voce*,
 - b) acceptance for the award of the Ph.D. degree subject to incorporation of the suggested modifications without reverting to the examiner(s) and after defence in the Oral Defence Examination or the *viva voce*,
 - c) revision and resubmission,
 - d) rejection.
- iii) In the event of **16.8.(ii) c and d** the examiners shall be required to clearly state the reasons for recommending revision and resubmission/rejection of the thesis.
- iv) In the case of recommendations as under a) of clause **16.8.(ii)**, the DRC shall be

informed by the Controller of Examination through the Ph.D. Guide and the Co-Guide(s) to arrange for the Oral Defence Examination or the *viva voce* of the Ph.D. student.

- v) In the case of recommendations as under b) of clause **16.8(ii)**, the student shall submit the modified/corrected version of the thesis as soon as possible but not later than four (04) months after she/he is advised to do so.

- vi) In the case of recommendations as under c) of clause **16.8 (ii)**, the Controller of Examinations shall send the copy(copies) of the reports of the examiners to the Ph.D. Guide and the Co-Guide without divulging the identity of the examiners, who shall inform and guide the student to do the necessary corrections/modifications as recommended by the examiners and resubmit the revised thesis to the Controller of Examination within a period of four (04) months. Should the Ph.D. student need more time for resubmission of the revised thesis, she/he shall be required to apply for extension of time through the Ph.D. Guide and the Co-Guide, if any, to the SRC and DRC which shall be then forwarded with comments to the URC for granting permission.

- vii) The Ph.D. student shall be required to do the corrections/modification as suggested by the examiner(s) by changing the pages/tables/ figures/charts, etc., wherever required indicating the changes/corrections made with the page numbers and resubmit the revised thesis.

- viii) If both the external examiners recommend rejecting the thesis as under d) of clause **16.8 (ii) d**, the Ph.D. Guide, the Co-Guide of the Ph.D. student and the Ph.D. student shall be informed along with the copies of the reports without divulging the identity of the examiners, and student shall be required to re-register for the Ph.D. program. However, the student shall not be required to do the course again. The student shall be required to resubmit the thesis within a period not exceeding six (06) semesters following the usual submission process of RGU.

16.9. Oral Defence Examination Committee

- I. If the thesis is recommended for acceptance as per the provisions in the clause **16.8 (ii)** the Ph.D. student shall be required to defend her/his thesis orally in a *viva voce* before a duly constituted Oral Defence Examination Committee (ODEC), ideally within a period of one (01) month from the date acceptance of the reports of the examiners by the URC. The mutually convenient date and time of the *viva voce* shall be informed to the Ph.D. student, by the Chairperson of the DRC (the Head of the Department) in consultation with the Guide, Co-Guide, if any, and the external examiner.
- II. The Oral Defence Examination Committee (ODEC) is constituted by the DRC with the approval of the Vice Chancellor being the Chairperson of the URC. The ODEC is composed of the following members:

Sr. No.	Designated Members	Nomination
1.	Head of the Department	Chairperson
2.	The Ph.D. Guide	Member
3.	The Co-Guide	Member
4.	One of the External Examiners of the Ph.D. Thesis	Member
5.	Two faculty members having expertise/interest in - one of them shall be the member secretary	Member

- iii. In the *viva voce*, the Ph.D. student shall be required to make a concise presentation of her/his work before the ODEC. Faculty Members of the department as well as the other departments, research scholars, and other students having interest in the work may attend the ODEC. The Ph.D. student shall be required to respond to the questions/observations made by the members of the ODEC. The other members present may also ask questions with due permission from the Chairperson after the formal *viva-voce* is over.
- iv. On completion of the *viva voce*, the ODEC shall make any one of the following recommendations in the prescribed format.
 - a) The Ph.D. student is recommended for the award of Ph.D. degree.
 - b) The Ph.D. student is recommended for the award of Ph.D. degree after she/he incorporates the modifications/ changes recommended by the ODEC as supplements to the thesis.
 - c) The Ph.D. student is not recommended for the award of the Ph.D. degree for the

reasons to be recorded by the ODEC in the prescribed format.

- d) In case of differences of opinions among the members of the ODEC, the member having differences in opinions shall submit her/his reports separately in the prescribed format.
- e) The duly signed report of the ODEC shall be submitted by the Chairperson of the ODEC in sealed envelope to the Controller of Examination.

16.10. The award of the Ph.D. degree shall be made in accord with the following steps:

- i) The Controller of Examination shall place before the VC i) the Report (s) of the ODEC, ii) Reports of the Examiners of the Thesis and iii) a copy of the Ph.D. Thesis for acceptance of the URC.
- ii) The Vice Chancellor, in exercise of her/his authority as the Chairperson of the URC shall accept the recommendation of the ODEC under intimation to the URC, which shall be required to be placed in the Academic Council and the Board of Management for ratification of the approval and award of the Ph.D. degree to the student.
- iii) The CoE may with the approval of the Vice Chancellor may issue a Provisional Certificate on the award of the Ph.D. degree to the student after the successful completion of the Viva-Voce Examination.

17. Conflict of Interest

RGU is committed to protect against any conflict of interest with respect to the selection, monitoring, examination, and award of the Ph.D. degree upholding the highest standard of academic integrity of the University. In the event of any member of the RGU faculty members having personal interests coming in conflict with the objectivity of the entire process of the Ph.D. program because of having personal relation with the Ph.D. student, as siblings, spouse, sons/daughters, and /or any other close relation, the faculty member concerned shall declare such conflict of interest to the University in written statement in the prescribed format and she/he shall then be recused from the process of the Ph.D. program with respect to the concerned Ph.D. student.

18. Intellectual Property Right

- i) Since a Ph.D. thesis embodies the original creative intellectual work of a Ph.D. student under the guidance of the Ph.D. Guide and the Co-Guide, if any, the Ph.D. student, the Ph.D. Guide, and the Co-Guide shall jointly own the copyright of the thesis.

The Ph.D. student, the Ph.D. Guide and the Co-Guide shall be required to deposit a copy of the Ph.D. Thesis to the central library of the University and a soft copy to the INFLIBNET as a mandatory requirement of the UGC for academic use. Further, it is required that the Ph.D. Guide and the Co-Guide and the student shall grant a non-exclusive, non-transferable, royalty-free license to the University for partial or full use of the thesis for non-commercial and academic activity only. All usage under this clause shall be governed by the relevant provisions laid down in the Indian Copy Right Act in force at the time of submission of the thesis.

ii) Should a Ph.D. student, her/his Guide, and the Co-Guide wishes to file for grant of patent for the invention(s) of products, processes and ideas embodied in the thesis, they shall be required to request the University to restrict access to the thesis for a limited period of time and not to disclose any part of the thesis to anyone without their written authorization for a maximum period of one year from the date of submission of the thesis or filing for a patent, whichever is earlier. All matters relating to the ownership of the patent after it is granted by the Patent Office of the Government of India shall be governed by the IPR policy of the University.

Note: The Ph.d regulation will remain applicable until any further notification is issued by the UGC. The UGC regulations / directives will supersede any items contained in this document.



THE ASSAM ROYAL GLOBAL UNIVERSITY

Betkuchi, NH-37, Guwahati-781035, Assam, INDIA

Phone: 91 7879998811

Website: www.rgu.ac
<https://admissions.rgu.ac>

E-Mail: admissions@rgu.ac

