

**The Assam Kaziranga University  
Jorhat**



**KAZIRANGA  
UNIVERSITY**  
—  
KNOWLEDGE & BEYOND

**Academic Regulations-2022**

**(For Doctoral Programme)**

## Table of Contents

<b>Title Page</b>	<b>1</b>
<b>Contents</b>	<b>2</b>
<b>1. Introduction</b>	<b>3</b>
<b>2. Right to interpretation and amendments</b>	<b>3</b>
<b>3. General definitions</b>	<b>3</b>
<b>4. Management of Coordination of Ph.D programme</b>	<b>7</b>
<b>5. Other Requirements</b>	<b>7</b>
<b>6. Admission Categories</b>	<b>8</b>
<b>7. Admission to the Ph.D programme</b>	<b>9</b>
<b>8. Supervision</b>	<b>10</b>
<b>9. Course credit requirement, course work, course registration</b>	<b>14</b>
<b>10. Attendance</b>	<b>15</b>
<b>11. Leave</b>	<b>16</b>
<b>12. Ph.D. Registration</b>	<b>17</b>
<b>13. Renewal of Studentship / Candidature</b>	<b>18</b>
<b>14. Period of Candidature</b>	<b>18</b>
<b>15. Financial Assistance</b>	<b>19</b>
<b>16. Change of Category</b>	<b>19</b>
<b>17. Cancellation of Registration</b>	<b>20</b>
<b>18. Disciplinary Regulations</b>	<b>20</b>
<b>19. Monitoring the Progress of Research</b>	<b>20</b>
<b>20. Synopsis of Thesis</b>	<b>21</b>
<b>21. Panel of Thesis / Viva-voce Examiners</b>	<b>21</b>
<b>22. Thesis Preparation and Submission</b>	<b>22</b>
<b>23. Thesis Evaluation</b>	<b>23</b>
<b>24. Final Oral Defense (Viva - Voce) Examination</b>	<b>26</b>
<b>25. Award of Ph.D. Degree</b>	<b>27</b>
<b>26. Confidentiality and Copyright of Thesis</b>	<b>28</b>
<b>27. Annexure:</b>	
<b>Annexure – I: Eligibility</b>	<b>29</b>
<b>Annexure – II: Fees structure for Ph.D. programme</b>	<b>30</b>
<b>Annexure – III: Guidelines for preparation of the thesis</b>	<b>31</b>
<b>Forms</b>	<b>35-49</b>

## **1. Introduction**

The objectives of The Assam Kaziranga University (KU) as enshrined in the Vision and Mission require it to foster research in the emerging areas of science and technology, management, food, agriculture and social sciences with relevance to India ensuring significant contribution to societal development and advancement of knowledge in respective areas.

The Degree of Doctor of Philosophy (Ph.D) is the Research Degree of The Assam Kaziranga University. Ph.D is the highest academic degree awarded by KU. The Rules and Regulations for Doctoral Degree of KU provide the information and guidelines on the framework within which the University expects research degrees to be awarded and administered.

## **2. Right to interpretation and amendment**

The Academic Council of Kaziranga University with due approval of the Board of Management shall have the right to interpret and amend these regulations.

## **3. General Definitions**

“**Research**” shall mean systematic study or investigation in order to discover and underpin new knowledge in the form of facts and establish new conclusions or interpretation of ideas or inventions of new devices.

“**Doctor of Philosophy (Ph.D)**” signifies that the awardee of the degree has successfully completed the stipulated programme of research which has been conducted and reported by the holder in the form of a thesis based on the original research work done by him/her under proper academic supervision.

“**Act**” shall mean **the Assam Private University Act 2007**.

“**Applicant**” shall mean an individual who applies on a prescribed application form for admission to a Ph.D programme.

“**Candidate**” shall mean a student who is admitted to Ph.D programme of Kaziranga University through the procedures adopted by the University.

“**CoE**” shall mean *Controller of Examinations* of the University.

“**Course Work**” shall mean course units prescribed by University to be completed by a candidate towards partial fulfillment of the requirements of Ph.D programme.

“**Registration**” shall mean formal enrolment of a candidate for a Ph.D programme.

**“Date of registration”** of Full Time Research Scholars may be accepted as date of admission in the Ph. D Programme of the University on the recommendations of the *University Doctoral Research Committee* (UDRC). Chairman of Academic Council can accord the approval for such registration, while the same should be ratified by the Academic Council later on.

**“Registration Period”** shall mean the length of time span commencing from the date of registration and ending on the date of submission of the thesis. The Registration for Ph.D. Programme will normally be valid for a duration of 5 years. In case the candidate fails to submit his work within 5 years, he/she would be required to make a fresh application for renewal of Registration. However, the submission of thesis for such candidates may be done at any time after renewal of registration, but within a maximum period of two years.

**“Supervisor”** shall mean a full time regular faculty member of the University, approved by UDRC to supervise the research work carried out by the candidate.

**“Co-Supervisor”** shall mean a full time regular faculty member of the Kaziranga University or from outside the department/faculty/college/institution/University/R & D lab, approved by UDRC to supervise the research work carried out by the candidate.

**“Academic Council (AC)”** shall mean the Academic Council of the University constituted under the provisions of the Act.

**“University Doctoral Research Committee (UDRC)”** is the apex body that administers the research programmes of the University. The Vice-Chancellor of the University shall constitute the committee. The Research Committee shall consist of:

- a. Vice-Chancellor or his /her nominee as Chairperson.
- b. Dean, Research as secretary
- c. Dean of the Schools
- d. Head of concerned Department
- e. One expert from outside the university who is an eminent Professor/Scientist to be nominated by the Vice- Chancellor as a member
- f. Registrar of the university shall act as member

**Duties and Powers of UDRC:**

- i. Discuss and formulate the Rules and Regulations for Doctoral Degree and

- suggest amends if necessary over the time and consider the recommendations from *Student Doctoral Programme Committee* (SDPC) regarding doctoral studies.
- ii. Examine the research proposal of the candidates duly recommended by the SDPC. Depending on the merit and suitability of the research plan, UDRC may approve or reject or ask the candidate to modify/rephrase the research objectives, title of research etc.
  - iii. Examine the qualifications/experience of the proposed Supervisor(s) and make recommendations regarding his/her/their suitability to guide the research work.
  - iv. Examine the progress reports of the research students duly forwarded by SDPC.
  - v. UDRC of KU will meet twice in each academic session at regular intervals.
  - vi. 50% attendance of the members of the UDRC shall form the quorum for the meeting.
  - vii. The minutes of the UDRC meeting shall be placed in the meeting of the Academic Council (AC) for ratification.

**Student Doctoral Programme Committee (SDPC):**

The formation of the SDPC will be initiated by the Supervisor to monitor the progress of each of the research students. **The SDPC shall consist of the Supervisor, two faculty members/experts of the concerned department/centre in which the research student pursues his/her research work and another member/expert from allied department(s)/centre(s) of the University or from other reputed Institutions. Supervisor shall be the Chairperson of SDPC. The minimum number of members of SDPC shall be 4 (four).** Additional members may be coopted as and when required subject to the prior approval of UDRC. The Supervisor shall propose the names of the members of SDPC, through the Dean of respective Schools, for approval of UDRC.

**Duties and Powers of SDPC:**

1. Examines the candidate's proposed plan of research along with the objectives, title of the proposal, methodology and if found suitable recommends for consideration to the UDRC.
2. Examines the semester wise progress report of the doctoral students and forward it to the UDRC.
3. Examines the draft version of the thesis of the doctoral student before sending for final evaluation by the external examiners
4. Conducts a pre-thesis submission seminar, which will be open to all faculty members and research/doctoral students, for getting feedback and comments, which may be incorporated into the draft thesis if found suitable by the committee.
5. Propose to the UDRC at the time of pre-thesis submission seminar, the panel of External Examiner for the final evaluation of the Ph.D thesis which shall consists of all SPDC members and two external examiners, out of which at least one will be out of state.
6. No thesis should be forwarded to external evaluators unless a research paper/s on thesis is published or accepted for publication in a Refereed Journal and make two paper presentation in conference/seminar before the submission of the thesis.

**The Journal publication of the scholar's preferably in UGC care/ SCOPUS/ SCIE/ SSCI or any other indexed journal as defined by the UGC.**

The Journal publication list of the candidate will be presented in front UDRC, if the committee approves the list then the candidate may appear for pre thesis submission seminar.

7. On receipt of the satisfactory evaluation reports, SDPC shall arrange the final Viva-voce to evaluate the quality and impact of the research work carried out by the doctoral student. The viva - voce is an essential component of the evaluation process and shall also be open to all interested faculty members, Ph.D Scholars and students. The panel for Viva-voce examination shall consist of the supervisor /Co-supervisor and other committee members, and one of the external examiners of the thesis evaluation panel. If none of the external examiner(s) is available for Viva-voce examination, an alternative examiner shall be appointed by SDPC, subject to the approval of UDRC.

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

Academic Programme leading to the award of Ph.D degrees shall be organized and managed by the AC, UDRC, SDPC and any other committee(s) constituted by the authority empowered under the Statutes, Ordinances and Regulations.

Constitution, composition, functions and powers of these bodies will be as specified in the Act, the Statutes, the Ordinances and the Regulations.

If any Ph.D student happens to be a family member or a close relative of the chairperson of the UDRC/ SDPC, a senior member nominated by the Academic Council (AC) shall perform the duty of the chairperson of the respective committee.

## **5. Other Requirements**

The Ph.D degree is awarded to a candidate, who, as per these regulations, has successfully completed the stipulated programme of research and submitted a thesis based on the original research work done by him/her in any particular discipline or jointly in more than one discipline (Inter-disciplinary), that makes a contribution to the advancement of knowledge in the appropriate field of Engineering/ Technology/ Pharmacy/ Management/ Architecture/ Applied Sciences/Social Science/Commerce/IT/ Food and Agriculture and has had the thesis approved by the duly constituted panels of examiners.

The Academic Council (AC) of the University formulates and approves the Rules and Regulations. The AC can modify or change the structure, the governing rules and regulations from time to time.

A candidate to be awarded the Ph.D degree has to submit a thesis embodying the findings of his/her research carried out under this programme. The thesis should be a record of an original contribution of high quality to the advancement of knowledge as judged by experts in the relevant area.

A candidate becomes eligible for the award of Ph.D degree after fulfilling the entire academic requirement prescribed by the AC of the University as well as stipulated by the University Grants Commission (UGC).

The AC shall approve the award upon the recommendation of the SDPC/UDRC.

In case of any controversy in the thesis or Viva-voce evaluation report the decision of the Vice Chancellor of KU shall be final and binding.

The Ph.D degree shall be awarded in the discipline of the department in which the student registers for Ph.D programme.

## **6. Admission Categories**

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

**A. i) Full Time:** A person enrolled in Ph.D programme and who devotes his/her full time for research activities in the University. They may apply for fellowship/assistantship available from different funding agencies. Moreover, research scholars supported by R&D organizations, national institutions, other universities, government organizations or industries shall be admitted through the normal process and work full time for the **Ph.D programme**.

**ii) Part Time:** A person can be enrolled in the part time Ph.D programme of this University

and allowed to conduct research activities in the University while being in full time employment as:

- a. Faculty/Scientists/Engineers/Professionals working in recognized academic/ research institutes/ Government/ Industry (working professionals)
- b. A member of administrative/technical staff or faculty of the University.

Part time candidates shall complete their course work by the end of the second semester after obtaining necessary leave from their employers.

- B. Project Fellow:** Scientists/Assistants working in a research project in the University, provided his/her Ph.D topic is related with research project, subject to the consent of the Principal Investigator of the project. These research scholars shall get stipend/remuneration as admissible under concerned Research Project and shall not be entitled to get any type of stipend/remuneration from the University. However, they shall have to comply with all related Ph.D norms of the University.
- C. Sponsored Candidates:** Candidates getting Government/Semi Govt. or other Scholarships/ Fellowships/ stipends, who applies for admission through the sponsoring organization
- D. Self – financed Indian Candidates** satisfying eligibility qualifications (Full Time).
- E. Self – financed Foreign Candidates** satisfying eligibility qualifications (Full Time).

## **7. Admission to the Ph.D programme**

### **Eligibility criteria**

Candidates for admission to the Phd. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

Details of the eligibility criteria for admission to various Ph.D programme are given in Annexure - I. The eligibility criteria for areas of study other than listed in Appendix will be developed as and when required.

In case any board/university awards grades instead of marks, the calculation of equivalent marks would be based on the procedure prescribed by that Board/University. In case University doesn't have any scheme for converting Cumulative Grade Point Average (CGPA) into equivalent marks, the equivalence should be established by dividing the obtained CGPA with the maximum possible CGPA and multiplying by 100.



Applicant with foreign diplomas should see the EdCIL website (<http://www.edcil.co.in>) for equivalence and if required should obtain an equivalent certificate well in advance from the evaluation division of the AIU (website <http://aiuweb.org>). Foreign national wishing to pursue the Ph.D. programme at Kaziranga University will have to obtain prior security clearance from Ministry of Home Affairs and the approval of the department of secondary and higher education, Ministry of Human Resource Development, Govt. of India/any other appropriate Govt. agencies and this must be on the appropriate (student) VISA. (Please see UGC website for details).

Candidates must have adequate proficiency in written and spoken English. Foreign nationals shall be required to clear TOEFL or any other equivalent examination prescribed by the AC from time to time to become eligible for admission to the Ph.D. programme.

Candidates with qualifications acquired through correspondence or distance learning programme or eligible only if (a) the programme are recognized by DECUGC-AICTE or MHRD, and (b) they have passed the qualifying examination at the time of applying, with minimum requisite marks as stated above. They must enclosed photocopies of pass certificate and mark sheets of qualifying examinations with their applications.

A person whose M.Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution;

Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

7.1.6 If considered necessary, UDRC may propose other qualifications/requirements in specific areas, consistent with norms of UGC, AICTE and other statutory bodies, to the Academic Council for approval.

### **Admission Procedures**

Applications for admission to Ph.D programme shall be invited through an open advertisement, notify well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates.

The tentative schedule of Course Registration and Admission is given in the following table.

Sr. No	Admission Schedule	Last date for submission of Applications
1	July	Before 15 <sup>th</sup> June
2	January	Before 15 <sup>th</sup> December

Applications of the candidates of categories (6 (b)) must be submitted through proper channel along with no objection certificates (FORM – I).

The applicants for part-time Ph.D should:

Prove to the satisfaction of UDRC that his/her official duties permit him/her to devote sufficient time to research.

Ensure that facilities for pursuing research are available at his/her place of work in the chosen field of research or elsewhere as required.

Sponsored candidates shall submit a sponsorship certificate from their employers in the prescribed format (Form – II).

Project fellows shall submit their applications accompanied by a no objection certificate from the Principal Investigator (Form – III).

The applications received by the Admission Office shall be sent to the concerned Deans/Heads of the Departments to scrutinize the applications, shortlist the candidates and call them for entrance/screening test followed by an interview.

A list of candidates recommended for admission by a selection committee set up by the Dean of the concerned school shall be sent to the Admissions Office for further processing and admission.

UDRC shall prepare a tentative list of Supervisors depending on the specific areas of research indicated by the short listed applicants.

Selected candidates shall be intimated by the Registrar for getting themselves admitted to the Ph.D programme.

Selected candidates get admitted to the concerned programme by paying all the fees as per schedule. The candidate's presence at the time of verification of testimonials etc., course registration and hostel admission is essential. The fee structure will be as decided by the university management over the times.

Non Resident Indian (NRI), Persons of Indian Origin (PIO) and Foreign Nationals may be admitted to the programme in accordance with the policy guidelines laid down by the Government of India.

## **8. Supervision**

### **Categories of Supervisor**

#### **Supervisor:**

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

The Supervisor shall act as the Chairperson of the SDPC.

The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce.

**Co-supervisor:** If the plan of research of the candidate demands, subject to the consent of the Supervisor, a suitably qualified scientist/academician who may or may not be a faculty member of KU can be appointed as a *Co-supervisor* by the UDRC provided that the scientist has already been recognized by KU to be eligible to co-guide a doctoral student. Criteria for co-supervisor shall be same as supervisor as mentioned in clause 8.1.1

However, UDRC may recommend any faculty member/scientist from other University/institutes recognized by UGC/AICTE and R & D organization and Research Laboratories of national and international repute in India or foreign country as supervisor/co-supervisor having the requisite eligibility as per clause 8.1.1. The Registrar shall notify the formal approval of the individual as the recognized co-supervisor of the Kaziranga University.

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

The maximum limit for advising Ph.D students as Supervisors/Co-supervisors at a time shall be as follows:

Professor: 8 (both as Supervisor and Co-supervisor)

Associate Professor: 6 (do)

Assistant Professor: 4(do)

### **Allotment of Supervisors**

Every doctoral student shall be placed under the supervision of a faculty member of the University eligible to be a supervisor as per **Clause 8** or other competent faculty approved by the UDRC after obtaining mutual consent of both the student and the Supervisor. The allocation/allotment of Supervisor shall not be left to the individual student or the faculty member. The allocation of the Supervisor shall depend on the number of doctoral students per faculty member as per clause 8.2, the available specialization among the faculty members, and the research interest of the student as indicated by him/her during interview and proposal.

The Supervisor(s) is identified and appointed at the earliest and within six months from the date of registration.

Once the Supervisor for a candidate is allotted, the same shall be notified by Registrar. There shall be not more than two Supervisors for a doctoral student including Co-supervisor.

In the event of any dispute/controversy, UDRC shall have the power to change the Supervisor of any student or to arrange for joint supervision by more than one Supervisor, if it deems fit.

On the basis of sufficient and valid grounds, a doctoral student may apply to the Chairperson, UDRC for changing his/her Supervisor/Co-supervisor (or both). On the basis of the application UDRC may consider the change.

The Supervisor will form the SDPC to monitor the progress of each of the research students. The SDPC shall consist of the Supervisor (Co-supervisor if appointed), two faculty members/experts of the concerned department/centre in which the research student pursues his/her research work and another member/expert from allied department(s)/centre(s) of the University or from other reputed Institutions. The Supervisor shall be the Chairperson of SDPC. -

### **Recognition of Supervisor**

(i) A Supervisor who is also a faculty member of KU shall continue to supervise a doctoral student even after his/her retirement so long as the student working with him/her completes his/her work. In such case, however, there will be a Co-supervisor for taking care of administrative and the research responsibilities of the scholar. The retired faculty member will be informed of the SDPC meetings, and will be invited to attend the meetings.

(ii) In the case of external supervisor/co-supervisor, he/she shall be permitted with same provision up to the age of 65 years. In this case Dean, R & D will take administrative responsibilities of the candidate.

If the Supervisor or the Co-supervisor leaves the University permanently or temporarily for a period of more than 1 year or is unable to continue supervision due to long illness or due to demise:

The student may apply to the Head/Dean of the concerned department/school for changing the Supervisor.

The application shall be forwarded to the Dean **research** by the Head for approval of the UDRC.

With the approval of the UDRC the **Registrar** shall notify the approved change.

Due acknowledgement and recognition must be given in the Ph.D thesis for the part of the work supervised by the earlier Supervisor.

if the supervisor leaves the university for various reason with the ongoing scholars under his supervision, the same faculty may continue as his guide if the candidate is on the verge submission (within 6 months from the date of leaving of his guide).

In case the doctoral student has a Co-supervisor from an outside organization and the Co-supervisor leaves his institute/University/college/R&D organization or is unable to continue supervision due to long illness or due to demise:

The student may apply to the Head/Dean of the concerned department/school for an alternative Co-supervisor recognized by KU from KU/same or other institute/University/R&D organization.

The application must be endorsed by the Supervisor

The application shall be forwarded to the Registrar by the Head/Dean for approval of the UDRC.

With the approval of the UDRC the Registrar shall notify the approved change.

Due acknowledgement and recognition must be given in the Ph.D thesis for the part of the work supervised by the earlier Supervisor.

A person, who is registered for a Ph. D degree in KU or other Institutes, shall not be permitted to act as a Supervisor in any subject of the University.

Those Faculty members of the University who have been recognized as Supervisors shall not accept Ph. D students two years prior to their retirement.

Notwithstanding what is stated above, the Chairman, UDRC reserves the right to approve anyone as research Supervisor, depending upon the merit of the case.

**9. Course credit requirement, course work, course registration**

After having been admitted as a doctoral student, each Ph. D student shall be required to undertake course work as per the recommendation of the UGC for a minimum period of one semester and **maximum of two semesters**. The course work shall be treated as pre- Ph. D preparation and must include a course on *Research Methodology(4 credits) and Research and Publication Ethics(2 credits)* and which may include quantitative methods, computer applications, research ethics and review of published research in the relevant field etc. as recommended by University Grants Commission (UGC). Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.

Course credit distribution for Ph. D programme shall be as follows:

Sr. No.	Components	Credit
1	Course work (Major and Related Discipline)	<b>18</b>

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

The UDRC shall suggest course work depending on the specific requirements of the area of research and the previous knowledge, expertise and experience of the candidate.

The Board of Studies of the department where the scholar pursues his/her research shall design the courses except Research Methodology and get them approved in the Academic Council(AC)

A candidate shall have to register his/her name for the courses to be taken in each semester through a course registration form (FORM – IV) to be obtained from the office of Dean (**R& C**). The Course Registration Form shall have to be submitted to the **registration office** through the Supervisor and the concerned Head of the Department/Centre along with the receipt of payment of necessary fees. After completion of course work, students should enroll in every semester for thesis research.

**A research scholar shall appear before the SDPC once in six month to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the SDPC to Dean research’s office with a copy to the Scholar.**

**In case the progress of the research Scholar is unsatisfactory, the SDPC should record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SDPC may recommend to the institution with specific reasons for cancellation of the registration of the research scholar.**

A student must secure a CGPA of 6 (six) in **course work** in order to continue and submit the thesis. The evaluation procedures and the computation of SGPA/CGPA shall be done according to the procedures adopted for the masters programme of KU.

Controller of Examinations (CoE) shall declare the SGPA/CGPA after the end of each semester during course work and send the grade card of the course work to the

concerned candidate.

A PhD scholar is expected to successfully complete the course work in one semester, after which s/he becomes eligible to present the synopsis of research work. In case a scholar fails to appear or secure less than 6 CGPA, s/he can appear the examination for improvement at the end of second semester. If s/he fails to clear the course work by the end of second semester, s/he shall be removed from the rolls. There will be no readmission in case of PhD programs.

Files of individual doctoral student will be maintained by the Admissions Office and forwarded to Supervisors as and when required.

Candidates already holding M. Phil. degree and admitted to the Ph.D. program may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. program shall be required to complete the Ph.D. course work prescribed by the Department.

## **10. Attendance**

**During Course Work:** The minimum requirement of attendance for completing the course work shall be 75%. The doctoral student should register for every semester.

For Special cases, condoning in shortfall of the attendance below required attendance will be at the discretion of the Vice Chancellor.

### **During Research Work:**

During research work, full time Ph. D candidates, sponsored and project categories shall be required to maintain a minimum attendance of 75% in each semester.

Ph. D candidates in part time category shall be required to fulfill residential requirement of equivalent to one semester during the Ph. D Programme before submission of the thesis.

## **11. Leave**

### **Ordinary Leave:**

A full-time Ph. D student is eligible for 30 days leave for every completed year (calculated in terms of two consecutive semesters, from the time of his/her joining the programme).

In general, a maximum of 15 days of leave shall be permitted in a semester.

A maximum of 5 days of such leave is allowed to avail at a stretch if the candidate is having any academic assignment.

Head of the Department/Center shall sanction the leave on recommendation of the Supervisor.

### **Maternity/Paternity leave:**

A candidate is eligible for 3 months maternity leave or 15 days of paternity leave as applicable only once during the entire Ph. D Programme.

Vice-Chancellor shall sanction leave on recommendation of the Supervisor and submission of a certificate from a Medical Officer authorized by KU.



**Academic Leave:**

A maximum of 15 days of academic leave is permissible in a year (calculated in terms of two consecutive semesters, from the time of his/her joining the programme) to attend conferences/ seminars/ workshops/ trainings/ short-term courses.

A maximum of 30 days of leave in a calendar year is permissible for field trips related to his research work.

The Head of the Department/Centre sanctions academic leave on recommendation of the Supervisor and notified to Admissions Office.

Special academic leave of more than 60 days but up to a maximum of 12 months is also permissible to carry out part of the research in another institute/R&D Lab/industry in India or abroad. For sanction of such a leave, a letter of consent from the host institute is required. This leave is permissible only after the student has completed successfully the course work and has completed at least 30% of his/her research work at KU.

On recommendations of the Supervisor, SDPC and UDRC approve such special academic leave. Such cases are reported to AC.

The candidate granted academic leave for one or more semesters, shall pay prescribed fees every semester.

**12. Ph.D. registration**

A candidate shall have to give a presentation on the proposed research plan before SDPC preferably by the end of the second semester or **begin of third semester after completion of course work and allocation of Guide.**

Depending on the suitability/feasibility of the research plan and the expertise/capacity/preparedness of the candidate for carrying out research:

SDPC may recommend the candidate for Ph. D registration provided he/she has cleared the requirement of SGPA/CGPA in the recommended coursework and minimum attendance.

SDPC may propose some changes/modifications which need to be incorporated in the plan of research and then resubmit within the stipulated time frame.

The University after considering the recommendations of SDPC shall approve or otherwise the Ph.D registration of the candidate.

A summary report of the candidates registered for Ph. D shall be duly sent to the Registrar of the University for enrolment.

The Registrar shall convey the approval of the Ph. D registration and provide the Ph. D Registration Certificate to the candidates. **The list of candidates registered for PhD should be uploaded in the university website by the registrar of the University and should send the link to UGC.**

In Special circumstances, candidate is allowed to change his / her research area within 12 months after registration.

An institution may be recognized as a Research Centre of Kaziranga University if it is recognized as such by the Academic Council of Kaziranga University. Any institution desiring

such recognition shall have to apply to the university with the prescribed application fee. The Research Cell of the university shall cause an inspection of the institution with specific terms of reference, after which the report of the inspection team shall be put up for consideration before the Academic Council. A recognized Centre / Institute will have to submit an Annual Report on the infrastructure facilities existing/added and the Research Council shall have the right to withdraw recognition for non-fulfillment of the requirements.

### **13. Renewal of Studentship/Candidature**

In order to continue research, the candidates will be required to renew their studentship by registering every semester by the specified date till the submission of their thesis.

The renewal of studentship shall be subject to the completion of specified number of credits/course work and/or satisfactory progress in his/her research work as recommended by SDPC.

A student may be exempted from the prescribed fees for the last semester if he submits thesis within 30 days from beginning of the semester.

### **14. Period of Candidature**

Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

In no circumstances a candidate shall be allowed to submit his thesis before 6 semesters.

Under exceptional circumstances a candidate may apply through proper channel for extension of the time period for thesis submission for a maximum of two semesters. After examining the application SDPC forwards the application to UDRC and its recommendation is sent to AC.

### **15. Financial Assistance**

Financial assistantship shall be available to Ph.D students in the form of:

Teaching Assistantship: Ph.D candidates under this plan shall assist the instructors of the various courses for the smooth running of the course.

Research assistantship. The candidates under this plan shall assist the faculty members in various research projects. They may also be assigned limited academic duties.

A candidate shall have to apply through the Chairperson of SDPC expressing his/her willingness to assist the University in the academic and research activities.

The SDPC, in presence of the Head of the Department, shall conduct an interview among the candidates and send the list of selected candidates to UDRC for approval.

Only full-time Ph.D candidates are eligible for assistantships.

After five years no Ph.D candidates will be eligible for teaching or research assistantship. The rate per hour for the assistantship will be decided by the KU authorities.

The assistantship may be terminated or reduced if the candidate's performance in his/her assigned duties is not satisfactory.

### **16. Change of category**

If a candidate desires to change his category of his/her candidature, he/she shall apply to the UDRC through SDPC at any time after the completion of his course work (FORM – V).

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

### **17. Cancellation of Registration**

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

If the academic progress of the candidate is found unsatisfactory in three consecutive progress reports.

If he/she absents himself/herself for a continuous period of six weeks without prior permission/approval from SDPC.

If he/she withdraws from the Ph.D programme and his/her request is duly forwarded by UDRC.

If he/she is involved in such activities not allowed at the University, or any other issues which are detrimental to University.

### **18. Disciplinary Regulations**

If a candidate is found to be involved in an act of misconduct, misbehavior, or indiscipline, disciplinary action will be taken by Disciplinary Action Committee of the University.

KU is using URKUND PDS software to ensure

I. The thesis and publications from thesis free of plagiarism at the time of their submission.

ii. Every student submitting a thesis to controller of exam shall submit an

undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool URKUND or any other PDS approved by the university.

f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free based on URKUND software.

g) University shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".

University shall impose penalty considering the severity of the Plagiarism.

i. Level 0: Similarities upto 10% - Minor Similarities, no penalty.

ii. Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.

iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.

iv. Level 3: Similarities above 60% -Such student registration for that programme shall be cancelled.

### **19. Monitoring the Progress of Research**

The academic/research progress during the entire Ph.D programme of each candidate shall be monitored by SDPC. At the end of every semester, student should submit progress report before SDPC. The committee should evaluate if the progress is satisfactory or otherwise.

For this purpose the candidate shall submit a progress report in the prescribed format (FORM – VI) at the end of each semester to the chairperson of SDPC.

The SDPC shall evaluate the research progress of the candidates and send reports to the UDRC for appraisal with anyone of the following grades:

**S** (satisfactory). In this case the student shall be allowed to enroll in the next semester and continue research.

**U** (unsatisfactory). On the first appearance of the ‘U’ grade the student shall be allowed to enroll in the next semester and continue research with suggestions for improvement. However, if the candidate gets three ‘U’s or two consecutive ‘U’s, his registration shall be liable to be terminated.

## **20. Synopsis of Thesis**

On completion of the research work a student shall submit the synopsis of his/her Ph.D thesis in the prescribed format (FORM – VII) in not more than 1500 words (excluding references if any) in triplicate (both soft copy and hard copy) to the SDPC. The synopsis shall contain the finalized title of his/her thesis and outline of the research contained in the thesis. The student makes a presentation of his/her thesis work before the SDPC which shall also be open to all faculty members and other research scholars in a seminar named pre-thesis submission seminar. The synopsis is submitted at least one week before the pre-thesis submission seminar date. SDPC will provide feedback and comments as per prescribed format (FORM VIIa). The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the SDPC.

SDPC shall examine the synopsis and suggest changes, if any, in the final form of the thesis. If the SDPC approves the synopsis, the student is allowed to submit the synopsis of the thesis to the UDRC for necessary action.

If a student fails to submit the thesis within 3 months from the date of the pre-thesis submission seminar, he/she shall present another pre-thesis submission seminar. In that case his/her synopsis has to be approved by the SDPC and submitted to the UDRC for necessary action.

## **21. Panel of Thesis/Viva-voce Examiners**

At the time of pre-thesis submission seminar, SDPC proposes to UDRC the panel for the final evaluation of the Ph. D thesis which shall consists of the internal examiner(s) (normally all SDPC members) and at least two external examiners, who are not in employment of the KU, of whom one examiner may be from outside the state.

For evaluation of PhD thesis the supervisor shall submit a panel of five examiners mentioning their research experience, area of specialization and detailed contact address which must include email and phone numbers. In case more than one examiner

shall be from the same university/institution. The Chairman UDRC may modify the list submitted by supervisor if it feels necessary by citing the reason thereof. Once the panel is approved remain valid for two years and may be renewed if requested by the supervisor.

The examiners for evaluation of the thesis shall be selected by the vice chancellor from among the panel of names.

PhD thesis to be uploaded through a standard plagiarism software before submitting for evaluation, the dissertation/thesis shall have an undertaking as per format (FORM XV and XVI) from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree of KU or to any other Institution/university.

External Examiners should have adequate experience in supervising doctoral students and must be actively involved in research as evident from their publications in Scopus indexed journals. He / She should be at least Professor/Associate Professor or equivalent rank. The request for appointment of external examiners should accompany details of curriculum vitae, list of publications in English and doctoral research supervision experience and thesis abstract of the candidate.

On receipt of the satisfactory evaluation reports, SDPC shall arrange the final Viva-voce to evaluate the quality and impact of the research work carried out by the doctoral student. The Viva-voce is an essential component of the evaluation process and shall also be openly defended. The panel for Viva-voce examination shall consist of all SDPC members and preferably one of the external examiners of the thesis evaluation panel. If none of the external examiner(s) is available for Viva-voce examination, an alternative examiner shall be appointed by the VC in lieu of the external examiners.

## **22. Thesis Preparation and Submission**

A Ph.D thesis is submitted as part of the requirements for the degree of Doctor of Philosophy.

A candidate may submit his/her thesis within the stipulated period but not later than three months from the date acceptance of the synopsis by the UDRC by filling the prescribed proforma (FORM – VIII).

The candidate must fulfill all requisites (course credit requirement, time period, attendance etc.) for Ph.D thesis submission and has at least one peer-reviewed/refereed journal publication on his Ph.D work before submission of the thesis. The candidate shall produce evidence for the same in the form of acceptance letter, presentation certificate and/ or reprint.

The international journals should have international editorial board, international diversity of authorship, appear in major databases, has reputable publisher and has SCI, SSCI, ISSN or COMPENDEX Number. The students should seek formal approval of the Supervisor before submitting paper for publication.

The candidate shall submit a "Clearance Certificate" from concerned departments/sections/offices/library at the time of submission of the thesis.

Guidelines for preparation of the thesis are given in Annexure III.

Content and context of the thesis

The thesis shall be written in English in the specified format and style.

Before submission of the thesis it should be checked for plagiarism.

The thesis research work should be original. The thesis shall involve in depth study and critical review of the area of his topic and creation of new knowledge in the area. It should bear the evidence of the candidate's capacity for analysis and judgment as well as his ability to carry out independent investigation, design and development. It should be characterized by discovery of facts or fresh approach towards interpretation of facts and theories or significant contribution to the advancement of knowledge in his/her chosen field.

A thesis may be supplemented by reprint(s) of published work. In such publications, the author's list must include the names of both the candidate as the first author and the Supervisor(s).

No part of the thesis shall have been submitted for the award of any other degree or diploma.

Four copies of the thesis (five in case the candidate has a Co-supervisor) shall be submitted initially preferably in soft cover for evaluation along with a soft copy of synopsis and thesis in USB drive in pdf format.

After passing the viva – voce examination, three copies of the thesis shall be submitted within 15 days of Viva-voce examination. These copies shall include corrections/modifications (if applicable) recommended by the panel of final Viva-voce examination and should be in the required format prescribed by KU.

### **23. Thesis Evaluation**

The office of the CoE shall make all correspondence with the examiners of the Ph.D thesis.

Each examiner shall be requested to send a detailed evaluation report and his/her recommendations on the prescribed proforma within two months of the date of receiving the thesis.

If the thesis report is not received from an examiner within two months, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed subject to the approval of SDPC and UDRC.

Each examiner will examine the thesis to judge that the thesis is a piece of research work characterized by:

the discovery of facts, or

a fresh approach towards interpretation and application of facts or theories, and creation of new knowledge, give his opinion on the candidate's capacity for critical examination and sound judgment.

The thesis should be submitted along with Candidate's Declaration (Form – IX), Certificate of the Supervision (Form – X), Course / Comprehensive Examination / Pre-submission Seminar Completion Certificate (Form – XI).

All examiners will submit the reports on the thesis recommending any one of the following four recommendations in the prescribed format (FORM – XII) :

- (a) The thesis is accepted for the award of the Ph.D degree without any further modification/correction.
- (b) The thesis is accepted for the award of the Ph.D degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva-voce examination.
- (c) The thesis is not satisfactory for Viva-voce examination but the candidate be allowed to resubmit his/her thesis in a revised form for re-examination.
- (d) The thesis is rejected.

The examiners reports shall be forwarded to the Supervisor by the CoE. The Supervisor will inform the candidate only those comments/queries in the reports which require explanation/answers without disclosing the identity of the examiners.

If all the three reports recommended acceptance of the thesis (recommendations (a) and (b) under Clause 23.5), the candidate shall be eligible for oral defense.

In case of recommendation (c) under Clause 23.5, the candidate shall be allowed to submit the revised version of the thesis within six months after incorporating the suggested modifications.

However, a candidate shall not be permitted to make any change to the thesis that is not specified by the examiner(s). The revised version of the thesis would be sent to the concerned examiner(s) for re-evaluation.

Corrections and modifications to the thesis must be incorporated in the text by changing the pages/ tables/ figures wherever necessary with a separate sheet indicating the corrections made with the page numbers.

For valid/proper reasons, the maximum time period for the submission of the revised thesis may be extended by submitting an application to the chairperson, AC through the chairperson, UDRC and the CoE.

If both the external examiners rejects the thesis, the candidate and the Supervisor will be intimated accordingly. The candidate shall have to register afresh and may be allowed to continue research on the same topic without doing the coursework already completed. In such a case, the candidate needs to resubmit the thesis within a period not exceeding four semesters.

If one of the reports recommends rejection, the thesis shall be sent to a third external examiner subject to the approval of the AC. If the third examiner also recommends rejection, the thesis shall be rejected. However, if recommended by the Supervisor the process similar to 23.9 may be adopted.

Any dispute/doubt arising out of the procedure laid down in these regulations shall be referred to the AC for a decision.

In case of resubmission of a thesis after revision, an additional fee for the reevaluation of the thesis shall be payable by the candidate.

#### **24. Final Oral Defense (Viva-voce) Examination**

On completion of the thesis evaluation process, the SDPC shall conduct final Viva-voce in the presence of at least one external examiner from the panel of thesis evaluation selected by the chairperson of AC.

If none of the external examiner(s) from the panel of thesis evaluation is available for evaluation of oral defense, an alternative examiner shall be selected by the chairperson of the AC, preferably from the panel of examiners submitted by the Supervisor(s).

The date and time of the Viva-voce examination shall be fixed by the CoE after approval from the UDRC, normally within 30 days from the receipt of the last recommendation from the panel of thesis evaluation. The date of Viva-voce examination shall be communicated to the candidate at least 15 days in advance. At the same time public notification of the final examination should be posted.

The Viva-voce examination shall be open to all faculty members, staff members and students.

In Viva-voce examination, the candidate shall be required to answer to all the comments/questions arising out of the external examiner's reports apart from the queries and questions raised by the members of Viva-voce examination panel and, with permission of SDPC, questions asked by others who are present.

No grades are given to thesis submitted in fulfillment of the requirements for the doctoral degree. The assessment is based on the quality of the thesis report itself and on the candidate's success in defending it in an oral examination.

The SDPC shall give its recommendations in the prescribed proforma (FORM–XIV).

The SDPC shall recommend to UDRC one of the followings:

That the degree be awarded for the reasons to be recorded.

That the candidate be asked to reappear for another oral examination at a later date (not earlier than a month and not later than three months from the date of the first oral examination).

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

In case of recommendation 24.7.2 SDPC may also suggest corrections and modifications. The student should prepare a supplement to be added to the thesis document as specified in the report from the panel of Viva-voce examination.

The Supervisor, the chairperson of SDPC shall forward the report to CoE along with the supplement submitted by the candidate, if any.

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

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

On successful completion of the evaluation process the candidate shall be required to submit five copies (six in case of candidates having a Co-supervisor) and a softcopy (pdf. format) to the Office of CoE. The copies shall be kept in the custody of:

The departmental library

The central library (with a copy of the soft/digital copy)

The Supervisor

The Co-supervisor



Controller of Examinations

A copy of the soft copy shall be transmitted to UGC, within a period of 30 days following the successful completion of the evaluation process, for hosting the same in INFLIBNET, accessible to all authorities/Universities.

**25. Award of Ph.D. Degree**

The degree shall be awarded by the Board of Management/Governors of the University on the recommendation of the AC.

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

Along with the degree, the 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(Minimum standards and procedures for award of MPhil/PhD degree) Regulations,2016.

**26. Confidentiality and Copyright of Thesis**

Upon submission, the candidate must transfer all the copyright to Kaziranga University. The thesis must be accompanied by the prescribed Copyright Transfer Certificate (FORM – XIII).

For valid reasons the candidate and the Supervisor may wish to impose restrictions on the use of confidential material of research findings. In that case applications should be made by the candidate to the CoE through his/her Supervisor to place the thesis on restricted access in the print and digital library.

If the author of the thesis (the candidate) and the Supervisor(s) wish to publish the matter in the form of a book the author and the Supervisor shall have to obtain formal clearance from the University.

**27. Depository with INFLIBNET:**

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

**ANNEXURE – I**

**ELIGIBILITY**

An applicant for admission to the Ph.D. programme of The Assam Kaziranga University shall possess, normally, a Master’s degree in Technology/ Engineering/ Management/ or equivalent, with a minimum of 60% marks/(55% in case of Full-Time Sponsored candidates with a minimum of three years professional experience, and SC/ST candidates) at Master’s level or a Master’s Degree in Science/Humanities with a minimum of 55% marks (50% in case of Full-Time Sponsored candidates with a minimum of three years professional experience, and SC/ST candidates)

<b>School</b>	<b>Department</b>	<b>Qualification</b>
<b>Science</b>	Chemistry	M.Sc. in all branches of Chemical Science/Physics or M.E./M.Tech in related subjects. NET qualified candidates will be preferred.
	Mathematic	M.A./M.Sc. degree in Mathematics / Statistics / Physics / Computational Seismology / Economics with requisite background in Mathematics. NET qualified candidates will be preferred.
	Physics	M.Sc. in Physics/Electronics/Geophysics/ Material Science/Applied Mathematics/ Nano Science and technology. M.Phil., M.Tech in Solid State Materials/ Materials Science/ Electronics/ Energy/ Nano Science and technology NET qualified candidates will be preferred.
<b>Engineering &amp; Technology</b>	Electronics and Communication Engineering	ME / M.Tech. / M.Sc. Engg/ MS in Electronics/ Communication/ Electronics Design/ Electrical/ Instrumentation/ Control/ Microwave/ Biomedical/ Bioelectronics/ Bio-Technology/ Computer Science/ Information Technology. M.Sc. in Electronics / Physics (NET qualified will be required)
	Computer Science & Engineering	M.Tech./ME in Computer Sc. and Engineering / I.T. / Electronics MCA M.Sc. in Computer Sc. / I.T.
	Mechanical Engineering	ME / M.Tech. / M.Sc.Engg/ MS in a relevant area.
	Civil Engineering	ME / M.Tech. / M.Sc.Engg/ MS in a relevant area.
	Electrical Engineering	ME / M.Tech. / M.Sc.Engg/ MS in a relevant area.
<b>Social Sciences</b>	Social Work/Sociology/Social Sciences	M.A. in Humanities and Social Sciences

Management Sciences	Business Administration	M.B.A./PGDM, M.H.M M.Com. M.A. / M.Sc. in Economics M.A.in Psychology / Sociology and Anthropology M.C.A M.T.M. / M.T.A. FCA/FCS/FICWA M.E. / M.Tech. in any discipline M.Sc. in Agriculture / Home Science / Fishery / Statistics M.V. Sc (In Veterinary Science)
---------------------	-------------------------	---

**ANNEXURE – II**

**Fee structure for Ph.D. programme**

**Fees charged will be as per the regulations of Kaziranga University, Jorhat**

**ANNEXURE-III  
KAZIRANGA UNIVERSITY**

**Guidelines for preparation of the thesis**

**1. General**

The thesis shall be written in English in the specified format and style.

A thesis may be supplemented by reprint(s) of published work. In such publications, the author's list must include the names of both the candidate and the Supervisor.

No part of the thesis shall have been submitted for the award of any other degree or diploma. The thesis should be written in a precise manner without making it unnecessarily voluminous. International Standard white paper of A4 (297 x 210mm) size should be used.

Pages should be numbered consecutively and clearly.

The typing should be 1.5 spaced and presented in a clear and legible font (Times Roman 12 point).

Figures, photographs, graphs and tables should be numbered separately; contrast should be clear.

Left and right margins should be not less than 30 mm. Care should be taken with page numbers to allow for page trimming when the thesis is bound.

Folding diagrams or charts should be arranged so as to open to the top and right.

Before producing final copies of a thesis for submission, the candidate should ensure that all the spellings, punctuation, vocabulary and grammar are correctly used and the bibliography is prepared according to internationally accepted conventions.

**2. Organization of the thesis**

The thesis may be organized in the following manner

1. Cover page
2. Inner cover page
3. Undertaking from the candidate
4. Self declaration certificate from the candidate (FORM – IX) and Certificate from the Supervisor/Co- Supervisor/Head of the Institution /Organization (FORM – X)
5. Certificate for the completion of course work/comprehensive examination in cases where the course work is a part of Ph.D programme (FORM - XI)
6. Ph.D. Thesis examiner's report(FORM-XII)
7. A copyright transfer certificate (FORM – XIII)

8. Acknowledgments
9. Abstract (maximum one page)
10. Table of Contents
11. List of symbols, figures and tables, abbreviations if any
12. Introduction
13. Literature review
14. Objectives
15. Methodology
16. Results and Discussion
17. Conclusions
18. Suggestions for further studies
19. References
20. Appendices
21. List of papers communicated/accepted/published/presented.
22. Copies of acknowledgment/acceptance letter in case the papers are communicated/accepted.
23. Copies of manuscripts/reprints of the papers communicated/accepted/published.

### **3. Title page**

The thesis must be preceded by a **title page**. The title page of the thesis should show

- Title of the thesis
- Degree for which it is submitted :"**A thesis submitted in partial fulfillment of the requirements for award of the degree of Doctor of Philosophy**"
- Full name of the student
- Registration Number
- Logo of Kaziranga University
- Full affiliation of the candidate (Dept./Centre/Lab)
- Month and year

4. Example of title page: (Title of the thesis)

A thesis  
Submitted in partial fulfillment of the requirements to

FOR THE AWARD OF THE DEGREE OF  
DOCTOR OF PHILOSOPHY

in  
Discipline  
{Should match with the final registration document  
Engineering/Management/Science}

By  
(Student's name)  
Regn No.

Under the supervision of  
{Supervisor Name and affiliation}

The Assam Kaziranga University, Jorhat  
(Logo)

DEPARTMENT OF -----  
SCHOOL OF \_\_\_\_\_

THE ASSAM KAZIRANGA UNIVERSITY  
JORHAT, INDIA

Month & Year

## **5. Acknowledgements**

The student should acknowledge the guidance and help received from Supervisor, other members of exam committee, lab assistance, technicians, and others and the financial support received from funding agencies if any.

## **6. Abstract**

The acknowledgement page should be followed by an abstract in English.

## **7. Thesis preparation and binding**

At the time of initial submission the thesis should preferably be in flexible cover to facilitate the incorporation of amendments which might be recommended by the examiners.

At the time of final submission hard binding must be done with covers strong enough to resist damage by bending or knocking. Twin-ring, spring-back and spiral binders are not acceptable.

### **NOTE FOR Ph.D CANDIDATES**

To avoid delay in processing your thesis please read the following note carefully

- a) You should complete the thesis submission form at least two months ahead of the actual date of submission.
- b) Your supervisor(s) should sign the thesis in the appropriate place.
- c) The following items must be included with the thesis submission form
  1. Declaration concerning reproduction of thesis
  2. Thesis examination fee payment receipt
  3. An abstract of the thesis preferably within 1500 words in triplicate
  4. A 'No Dues' certificate from departments/sections/offices/library concerned.

**FORM – I**

*Format for No-Objection Certificate from Employer in Official Letterhead*

Ref No:

Date:

To

The Controller of Examinations  
Kaziranga University  
Koraikhowa,  
Jorhat, Assam

Subject: No objection certificate

Dear Sir/ Madam

It is hereby certified that Mr./Ms \_\_\_\_\_  
has been working in this Organization/Institute as \_\_\_\_\_  
since \_\_\_\_\_.

This Organization/Institute has no objection to his/her being admitted to the Ph.D programme at Kaziranga University from the session starting on \_\_\_\_\_ as a part-time student.

Date:

Place:

Signature:

Name:

Designation:

Seal of competent authority.



*(Format for Sponsorship Certificate in Official Letter Head)*

To

The Controller of Examinations  
Kaziranga University  
Koraikhowa,  
Jorhat, Assam

Subject: Sponsorship of Mr./Ms \_\_\_\_\_  
for Ph.D programme at Kaziranga University.

Dear Sir/ Madam,

Mr./Ms \_\_\_\_\_ who has been  
working in this Organization/Institute as \_\_\_\_\_ is hereby  
sponsored for carrying out the Ph.D studies at Kaziranga University from the session  
\_\_\_\_\_ as a full time student.

The employee will be relieved from his/her duties in the organization to join the Ph.D  
program.

Date:

Place:

Signature:

Name:

Designation:

Seal of sponsoring authority

***Format for No-Objection Certificate from Principal Investigator***  
**(In case of Project Fellows) in the official letter head of Principal Investigator**

Ref No:

Date:

To

The Controller of Examination  
Kaziranga University  
Koraikhowa,  
Jorhat

Sub: No objection certificate

Dear Sir/Madam,

Certified that Mr./Ms. \_\_\_\_\_, is  
working as a \_\_\_\_\_ in the project  
\_\_\_\_\_ in the department / Centre  
\_\_\_\_\_ funded by \_\_\_\_\_  
since \_\_\_\_\_. I have no objection in allowing him/her to join the Ph.D programme at  
Kaziranga University under the category of project fellow.

Further, he/she will be allowed to carry out his/her course work/research work of the Ph.D  
program without hampering the project work.

Date:

Signature:

Place:

Name:

Designation:

Seal of Sponsoring authority

**KAZIRANGA UNIVERSITY**  
**Ph.D COURSE REGISTRATION FORM**

**Fee paid Receipt No.** \_\_\_\_\_ **Date** \_\_\_\_\_ **Semester Jan/July** \_\_\_\_\_

**School** \_\_\_\_\_ **Department** \_\_\_\_\_

**Enrolment No** \_\_\_\_\_

**Name of student** \_\_\_\_\_ **Category:** \_\_\_\_\_

**Name of Supervisor** \_\_\_\_\_

**Co-supervisor** \_\_\_\_\_

**Semester: Autumn/Spring**      **Semester No** \_\_\_\_\_ **Year** \_\_\_\_\_

<b>Course Code</b>	<b>Course Title</b>	<b>Credit</b>	<b>Signature of Course Instructor</b>

Copies to: Student/ Head of Department/Supervisor /Co-supervisor/Deans Office

**Signature of Student**

**Signature of Supervisor**  
(not applicable for  
coursework registration)

**Signature of HoD**

**Signature of Dean of the  
school**

**Signature of Dean  
Research**

**KAZIRANGA UNIVERSITY**  
*(Application form for change of candidature)*  
*(To be filled in by the student)*

1. Name: \_\_\_\_\_
2. School: \_\_\_\_\_
3. Department: \_\_\_\_\_
4. Category (please tick): Full time/Part time/Sponsored/Project fellow
5. a) Name of Supervisor \_\_\_\_\_  
 b) Name of Co-supervisor \_\_\_\_\_ Affiliation \_\_\_\_\_
6. Date of Admission: \_\_\_\_\_
7. Semester No. \_\_\_\_\_ Year \_\_\_\_\_
8. Details of Course work completed:

Course code	Course title	Credits	Name of Instructor	Grade points

9. Change desired: a) full time to part time; b) part time to full time
10. Reasons for the change

\_\_\_\_\_

\_\_\_\_\_

11. If change is sought to full time category whether study leave will be allowed?  
*(Submit the No objection certificate from employer if employed)*

Date: \_\_\_\_\_ Signature of student \_\_\_\_\_

Forwarded by the Supervisor with comments: \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

<p><b>For office use only</b></p> <p><b>Recommended by Chairman, UDRC:</b></p> <p>1) Signature of chairman _____ Date _____</p> <p>Signature of the Controller of Examinations: _____</p>
---

**KAZIRANGA UNIVERSITY**

(Format of Progress report)

Semester: Jan/July                      Year \_\_\_\_\_

Period from \_\_\_\_\_ To \_\_\_\_\_

1. Name of the student:
2. Category (Full time/Part time/Sponsored/ Project)
3. School \_\_\_\_\_ Department \_\_\_\_\_
4. Date of admission:
5. Date of registration (if applicable):
6. Total no. of semesters completed:
7. Area of research:
8. Progress of research during current semester (Separate sheet should be attached)
9. Expected date of completion:
10. Leave availed during this semester (if any):
11. Nature of Fellowship/Scholarship/Stipend received, if any:

Signature of Candidate: \_\_\_\_\_ Signature of Supervisor \_\_\_\_\_

14. Remarks of the Student Doctoral Programme Committee:

15. Signature of SDPC Members: Full Name, Signature \_\_\_\_\_  
\_\_\_\_\_

**Approved by Chairman, UDRC**

Signature \_\_\_\_\_ Date \_\_\_\_\_

**DOCTORAL STUDENT PROGRESS REPORT**

*Summary of Work Done last Semester*

Student Name: \_\_\_\_\_ Semester: \_\_\_\_\_

\_\_\_\_\_  
Signature of the Student

**KAZIRANGA UNIVERSITY**

Ph.D. Synopsis submission form

1. Name of the Candidate: \_\_\_\_\_
2. Department: \_\_\_\_\_
3. School: \_\_\_\_\_
4. Name of Supervisor: \_\_\_\_\_
5. Name of the Co-supervisor with his/her affiliation: \_\_\_\_\_
6. Title of thesis: \_\_\_\_\_

*Main points to be included in the synopsis.*

7. Introduction:
8. Objectives:
9. Review of literature:
10. Methodologies/approach(es) applied:
11. Results and discussion:
11. Bibliography:
12. Collaboration with/assistance from other departments of K.U./other institutes/universities/laboratories (if any):

Signature of Supervisor

Signature of Dean

Signature of Co-supervisor

Place \_\_\_\_\_ Date \_\_\_\_\_

\*\*Synopsis should be written within 1500 words.

**KAZIRANGA UNIVERSITY**  
Ph.D. pre thesis seminar review

7. Name of the Candidate: \_\_\_\_\_

8. Department: \_\_\_\_\_

9. School: \_\_\_\_\_

10. Name of Supervisor: \_\_\_\_\_

11. Name of the Co-supervisor with his/her affiliation: \_\_\_\_\_

12. Title of thesis: \_\_\_\_\_

13. Pre-thesis submission seminar date: \_\_\_\_\_

14. Modification suggested by the SDPC member (you can use extra sheet)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

SDPC Member1: \_\_\_\_\_ Signature: \_\_\_\_\_

SDPC member2: \_\_\_\_\_ Signature: \_\_\_\_\_

SDPC Member1: \_\_\_\_\_ Signature: \_\_\_\_\_

SDPC member2: \_\_\_\_\_ Signature: \_\_\_\_\_

Signature of Supervisor

Signature of Dean

Signature of Co-supervisor

Place \_\_\_\_\_ Date \_\_\_\_\_



**FORM – VIII**

**KAZIRANGA UNIVERSITY**  
**Office of the Controller of Examinations**  
*(Thesis submission form)*  
*(To be filled in by the candidate)*

1. Name of the student : Mr/Ms. \_\_\_\_\_
2. School \_\_\_\_\_ Department \_\_\_\_\_
3. Address for correspondence \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. Date of admission \_\_\_\_\_
5. Date of submission of Research Plan \_\_\_\_\_
6. Approved title of thesis (BLOCK LETTERS) \_\_\_\_\_  
\_\_\_\_\_
7. Any IPR involved in the thesis \_\_\_\_\_  
*(Confidentiality Declaration to be submitted)*

Signature of candidate \_\_\_\_\_ Date \_\_\_\_\_

**Recommendations:**

**Certificate of having completed a course of study for Ph.D.**

I/We hereby certify that the candidate named above is a registered student of Kaziranga University. He/She has already completed the prescribed course work and presented his/her pre-submission seminar in accordance with the Regulation under supervision of the undersigned.

Name of Supervisor \_\_\_\_\_ Signature \_\_\_\_\_

Name of Co- supervisor \_\_\_\_\_ Signature \_\_\_\_\_

Date \_\_\_\_\_

Forwarded by:

Head of the Department/ Centre/School \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**CANDIDATE’S DECLARATION**

I, .....certify that the work embodied in this Ph. D. thesis is my own bonafide work carried out by me under the supervision of ..... and the co-supervision of ..... for a period of ..... from ..... to..... at Kaziranga University and ..... (Name of the Institution where work has been carried out partly or fully)..... Ph.D. thesis has not been submitted for the award of any other degree/diploma.

I declare that I have faithfully acknowledged, given credit to and referred to the research workers wherever their works have been cited in the text and the body of the thesis. I further certify that I have not willfully lifted up some other’s work, para, text, data, results, etc. reported in the journals, books, magazines, reports,, theses, etc., or available at web-sites and included them in this Ph.D thesis and cited as my own work.

**Date:** .....

**(Signature of the candidate)**

**Place:**.....

**(Name of the candidate)**

**Logo**

**KAZIRANGA UNIVERSITY**

**(Format for Certificate of the Supervisor (s))**

This is to certify that the thesis entitled \_\_\_\_\_  
submitted to the School of \_\_\_\_\_ Kaziranga University in  
partial fulfillment for the award of the degree of Doctor of Philosophy in  
\_\_\_\_\_ is a record of research work carried out by  
Mr./Ms \_\_\_\_\_ under my supervision and  
guidance.

All help received by him/her from various sources have been duly acknowledged.

No part of this thesis has been submitted elsewhere for award of any other degree.

Signature of Supervisor:

Co-supervisor:

Designation:

Designation:

School:

Affiliation

Department:

**Logo**

**Office of the Controller of Examinations  
Kaziranga University**

**COURSE/COMPREHENSIVE EXAMINATION/PRE-SUBMISSION SEMINAR  
COMPLETION CERTIFICATE**

This is to certify that Mr./Mrs./Ms. ...., a bonafide research scholar of this Institution/Organization, has satisfactorily completed the course work/ comprehensive examination/ pre-submission seminar requirement which is a part of his/her Ph.D programme.

**(Signature of the CoE)**

**Date: .....**

**Place: .....**

**FORM-XII**

**KAZIRANGA UNIVERSITY  
Ph.D. THESIS EXAMINER'S REPORT**

1. Name of the candidate: \_\_\_\_\_

2. School. \_\_\_\_\_

3. Department \_\_\_\_\_

4. Title of the thesis \_\_\_\_\_  
\_\_\_\_\_

5. Name, designation and complete address of the Examiner: \_\_\_\_\_  
\_\_\_\_\_

The thesis has been examined by me and I recommend that: (please delete all except any one relevant):

- (a) The thesis is accepted for the award of the Ph.D degree without any further modification/correction.
- (b) The thesis is accepted for the award of the Ph.D degree subject to the candidate giving satisfactory answers to queries specifically mentioned in the report, at the time of Viva-voce examination.
- (c) The thesis is not satisfactory for Viva-voce examination but the candidate be allowed to resubmit his/her thesis in a revised form for re-examination.
- (d) The thesis is rejected (reasons attached).

6. If the thesis is recommended for acceptance whether:

- a) It is fit for publication by the candidate in its original form or in any modified form.
- b) The thesis is of such outstanding merit that the university would be justified in publishing it at its own cost.
- c) I have attached a detailed report on the thesis.

**Date:** \_\_\_\_\_

**Signature of the External Examiner**

Note: The report may be continued on blank sheet with signature of the examiner. Each page of the report should be signed by the examiner.

**FORM – XIII**

**COPYRIGHT TRANSFER CERTIFICATE**

**Thesis title:** \_\_\_\_\_

**Candidate's Name:** \_\_\_\_\_

**Registration No.:** \_\_\_\_\_

**Copyright Transfer**

The undersigned hereby assigns to The Assam Kaziranga University all rights under copyright that may exist in and for the above thesis submitted for the award of the Ph.D degree.

**Signature of the candidate**

**Note:** However, the author may reproduce or authorize others to reproduce material extracted verbatim from the thesis or derivative of the thesis for author's personal use provided that the source and the University's copyright notice are indicated.

**KAZIRANGA UNIVERSITY  
REPORT OF EXAMINERS OF ORAL DEFENCE**

The examiners of Oral Defence Evaluation certify that the thesis entitled \_\_\_\_\_

submitted by \_\_\_\_\_ to the Kaziranga University in partial fulfillment of requirement of the Ph.D degree in the discipline of \_\_\_\_\_ under the school of \_\_\_\_\_

\_\_\_\_\_ has been examined by us and recommend that:

- a) That the degree be awarded for the reasons to be recorded.
- b) That the candidate be asked to reappear for another oral examination at a later date (not earlier than a month and not later than three months from the date of the first oral examination).
- c) That the degree shall not be awarded for the reasons to be recorded in the report.

*(Note: Please tick the clause applicable)*

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature of Supervisor \_\_\_\_\_ Co-supervisor \_\_\_\_\_ External Examiner \_\_\_\_\_

Date: \_\_\_\_\_

Forwarded to Controller of Examination

Memo No. \_\_\_\_\_

Signature

Head of the Department/Dean

## KAZIRANGA UNIVERSITY

Date:

### Certificate of Originality

The research work embodied in this thesis entitled “\_\_\_\_\_” under the supervision of “\_\_\_\_\_” has been carried out by me at the Department of \_\_\_\_\_, Kaziranga University, Jorhat, Assam. The manuscript has been subjected to plagiarism check by \_\_\_\_\_ software with similarity index “\_\_\_\_\_”. The work submitted for consideration of award of Ph.D is original.

**Signature of the Candidate**



## KAZIRANGA UNIVERSITY

### Plagiarism Verification

Title of the Thesis.....  
.....Total Page.....

Researcher.....

Supervisor.....

Department.....

University.....

This is to report that the above thesis was scanned for similarity detection. Process and outcome is given below:

Software used.....Date.....

Similarity Index ..... Total word count .....

Signature of Student

Report of the Supervisor:

The complete report of the above thesis has been reviewed by the undersigned. (Tick Check Box)

The similarity index is below accepted norms.

The similarity index is above accepted norms, because of the following reasons:

1.....

2.....

3.....

4.....

5.....

The thesis may be considered for the award of degree. (Relevant documents attached).

Signature of the Supervisor