

# COTTON COLLEGE STATE UNIVERSITY

PANBAZAR, GUWAHATI 781 001, ASSAM, INDIA

## Rules and regulations for the degree of Doctor of Philosophy (Ph.D.)

### Preamble

1. Cotton College State University (CCSU) offers postgraduate programs leading to the award of a Ph.D. degree through its Departments and Centres in the different Faculties. A Ph.D. degree is awarded in recognition of work of high academic standards, resulting from creative and independent work pushing the frontiers of our knowledge, developing new theories or technology, or enhancing our understanding of various processes, events or phenomena in different disciplines.
2. The University is committed to broad-based programs at all levels, and encourages multi-disciplinary work across disciplines, departments and institutions. This may be achieved via joint supervision of projects by recognized guides from both within and outside the University. The University may also undertake sponsored projects from industrial and private organizations in both the public and private sectors which may involve research scholars or project appointees working towards a Ph.D. degree. Classified work or those of a strategic nature would normally not form part of a Ph.D. program.
3. Cotton College State University endeavours to promote cutting-edge research in different areas, and create a vibrant, stimulating research atmosphere via its research scholars, post-doctoral fellows, faculty and visiting academics. It encourages academic visitors and adjunct faculty to spend time at the University to deliver lectures and actively interact and collaborate with research scholars and faculty on different research projects.
4. All students, research scholars, post-doctoral fellows, faculty members, recognized guides and visitors are required to follow the highest ethical standards in the conduct of their research and academic activities as set out in the ethical guidelines of the University and other statutory and/or funding bodies.
5. A Ph.D. program involves a minimum number of course credits and a research thesis, along with published work. A degree of Doctor of Philosophy (Ph.D.) of Cotton College State University will be conferred on a candidate only after all the conditions are fulfilled as set out in these Rules and Regulations.

## Definitions

6. Terms used in this document are defined here.

- (a) **Applicant** is an individual who applies for admission to the Ph.D. programme of Cotton College State University, Guwahati on the prescribed Ph.D. Application Form.
- (b) **University** shall mean Cotton College State University, also referred to as CCSU, which will oversee all research programs in its campus.
- (c) **Research Scholar** shall mean a person who has registered for a Ph.D. degree.
- (d) **Supervisor or Guide** shall mean a faculty member of the University who is the supervisor/guide of a research scholar. All faculty members of the University must also satisfy the minimum criteria stated here before being the supervisor/guide of a research scholar.  
A faculty member of Cotton College may be recognized as a supervisor or guide on application, and after fulfilling the minimum criteria set out here.  
A faculty member of a research institution recognized by Cotton College State University as being suitable for conducting research in terms of its faculty, facilities and infrastructure may be recognized as a supervisor or guide on application, and after fulfilling the minimum criteria set out here.
- (e) **Co-supervisor or Co-guide** is a faculty member of the University, its constituent college, Cotton College, or of a recognized research institution who works along with the supervisor or guide in the supervision of the research scholar. The primary responsibility of supervision and progress of the research scholar lies with the Supervisor or Guide. The co-supervisor or co-guide must also satisfy the minimum criteria stated here, and be a recognized supervisor or guide of the University.
- (f) **Nominal Supervisor or Guide** is either the Head of the Department, CCSU, or a faculty member of the University, or its constituent college, Cotton College, appointed by the Dean of the faculty to supervise the academic program of a research scholar during the initial period while her/his research program and/or guide are being identified/allotted.
- (g) **Caretaker Supervisor or Guide** is either the Head of the Department, CCSU, or a faculty member of the University, or its constituent college, Cotton College, appointed by the Dean of the faculty to supervise the academic program of a research scholar if both the Supervisor/Guide and Co-supervisor(s)/Co-guide(s) are on continuous leave of absence for more than six months.
- (h) **Ph.D. Course work** refers to the mandatory course work required to be finished within the first year of being admitted to the Ph.D. program.
- (i) **Doctoral Advisory Committee (DAC)** is set up by the Dean of the Faculty to oversee the research program of each research scholar. A DAC will be constituted for each research scholar registered with Cotton College State University.

- (j) In the absence of a Dean of any faculty during the initial period, the appointments may be made by the Vice Chancellor. The period till 2015 December 31 may be considered as the initial period.
- (k) **Annual Progress Seminar** is an open seminar by each research scholar in the presence of DAC reporting on the work done during the previous year.

## Admission

- 7. The minimum qualifications for admission to the Ph.D. or doctoral programme are listed here.
  - (a) A Master's degree of the University or of any other CCSU recognized university; or any other equivalent qualification recognized by Cotton College State University from a recognized institute. Universities recognized by statutory bodies like UGC or RUSA will be automatically recognized by CCSU.
  - (b) The minimum Cumulative Grade Point Average (CGPA) should be 6.5 on a 10-point scale or equivalent or 60 per cent marks.
  - (c) Under special circumstances, exceptional candidates with a B.E./B.Tech degree from a recognized institute will also be considered for admission. In this case, the candidate must have an excellent academic record in the relevant discipline, with a minimum CGPA of 7.5 on a 10-point scale or equivalent or 70 per cent marks.
  - (d) The minimum criteria may be relaxed by 0.5 of CGPA on a 10-point scale or its equivalent or by 5 per cent marks for reserved category students from Assam.
  - (e) Candidates will normally be selected via written admission tests and interviews. Only candidates with a commitment to research and academics and with the requisite level of competence need to be selected.
  - (f) The interview committee will be constituted by the Dean of the Faculty, and will consist of the Head of the Department as the Chairperson, at least two faculty members from the Department and two from outside the Department, of which one should be preferably from outside the University. During the initial stages while the Departments are being built up, the Vice Chancellor may constitute a five-member committee of whom a maximum of two but at least one should be from outside the the Department.
  - (g) Written admission tests should be of about 3 hours duration and should test the general aptitude of the student and overall proficiency at the Master's level in the field of research.
  - (h) The syllabus for the CCSU test will be the Cotton College State University postgraduate syllabus, and the CCSU examination will be conducted by the Controller of Examinations as per University Examination Rules and Regulations. Tests may also be conducted by/in collaboration with recognized R&D institutes.

- (i) Candidates are strongly encouraged to qualify a national level test such as NET/GATE/DBT/ICMR or any other national level examination that the Academic Council of the University may recognize and recommend from time to time.
- (j) Candidates with a UGC/CSIR Junior Research Fellowship, or a DST INSPIRE fellowship or any other national- or international-level prestigious fellowship that the Academic Council may recognize from time to time, to pursue a Ph.D. program, may be given entry to the Ph.D. program if found suitable after an interview. Such candidates need not appear for the written admission test.
- (k) A candidate admitted to the Ph.D. programme of the University cannot register simultaneously for any other course leading to a degree/diploma in any mode at either Cotton College State University or any other institution.
- (l) A candidate admitted to the Ph.D. programme will be given a unique enrolment number.
- (m) The number of Ph.D. students that Cotton College State University can take in a given year will depend on the number of eligible faculty members and recognized guides, and the research projects they are able to offer.
- (n) Those eligible and wishing to take a student on a particular project which is likely to lead to a Ph.D. degree are recommended to write a short description of the project (in less than about 1000 words and fitting into one A4 page), which will be available in the University web site for information to the students.

## Categories of research scholars

The category of a research scholar admitted to the Ph.D. programme shall be classified under one of the following categories.

### 8. Full-time research scholars

- (a) **Self-financed Indian or foreign nationals**, including those on study leave. Foreign nationals must have the necessary clearances from the Government and the appropriate visa for conducting research in the country. All research scholars in this category may be provided with hostel accommodation depending on availability. They will be required to complete the program within the specified time with their own resources.
 

**Indian nationals (FSI):** These are research scholars with good academic record satisfying the minimum qualifications, and are admitted to the Ph.D. program following the usual admission procedures of written admission test and interviews; they are provided with no financial support from the University or any other body.

**Foreign nationals (FSF):** These are research scholars with good academic record satisfying the minimum equivalent qualifications. An admission test

may be administered if possible, and interview conducted via skype or video conferencing. They are admitted through the Embassy of the respective Government; all necessary approvals from the Government of India and an appropriate visa for conducting research in the country must be obtained by the research scholars.

**Study Leave (FSL):** These are research scholars with good academic record satisfying the minimum qualifications and selected via a written admission test and interviews. Being full-time research scholars, they must be released from their governmental or educational institutions for a period not less than three years for working towards their Ph.D. at Cotton College State University.

- (b) **Government/semi-Government fellowship award (FFG)** (QIP, CSIR, UGC, DAE, DST, DBT, NBHM etc.)

These candidates have obtained a fellowship from one of the various Government or semi-Government schemes, such as from CSIR, UGC, DAE, DST, DBT, NBHM etc. or from an institute supported by one of these organizations. These fellowships include the UGC/CSIR JRFs/SRFs and the DST INSPIRE program. They must satisfy the minimum eligibility criteria and may be admitted after assessing their overall grasp of the field via an interview. Such candidates need not appear for the written admission test.

- (c) **Cotton College State University fellowships and teaching assistantships (FFC)**

The number of Cotton College State University fellowships will depend on the available resources. Candidates must satisfy the minimum criteria and selections will be based on their overall academic record and performance in the written admission test and interviews. Teaching assistantships may also be provided to select research scholars depending on the availability of resources.

While all research scholars are encouraged to take on limited amount of teaching, tutorial assistantships at Cotton College State University and/or supervision of younger research scholars to enrich their experience and develop additional skills, this would be mandatory for those being given a Cotton College State University Fellowship.

- (d) **Sponsored candidates (FFS)**

Recognized R&D organizations may sponsor candidates for doing full-time research at the University. They must be released for a minimum period of three years for doing full-time research work. Arrangements may also be worked out for doing part/all of their research work in their parent recognized R&D organization while being registered for a Ph.D. at CCSU.

- (e) **Foreign Nationals with ICCR Award (FFI)**

Indian Council for Cultural Relations (ICCR) has a number of scholarships under different schemes for foreign nationals wishing to study in India. Their selection will take place as per ICCR norms. They will be required to follow all other rules and regulations of the University, including those of the Ph.D. program.

## 9. Part-time research scholars

### (a) **Regular University staff of Cotton College State University, including its constituent college, Cotton College (PCS)**

This category is for persons employed by the University or its constituent college, Cotton College, and must satisfy the following criteria.

- i. The candidate must be a regular employee of the University or its constituent college;
- ii. A candidate from the scientific/technical/administrative stream should have worked as a regular employee for a minimum period of three years;
- iii. Admission will be on the basis of written admission test and interviews, and must satisfy the minimum eligibility criteria;
- iv. The candidate must be short-listed and recommended by the concerned Department/Centre;
- v. Normal responsibilities of the candidate in the Department/Centre should not be significantly affected.
- vi. Faculty members, if not registered for a Ph.D., may do so immediately after joining.

### (b) **Project staff of Cotton College State University or its constituent college, Cotton College (PCP)**

Persons employed by the University or its constituent college on sponsored projects may be admitted to a Ph.D. programme, provided the duration of the project is of at least three years.

- i. Admission will be on the basis of written admission test and interviews, and must satisfy the minimum eligibility criteria;
- ii. The candidate must be short-listed and recommended by the concerned Department/Centre;
- iii. Normal responsibilities of the candidate in the Department/Centre should not be significantly affected.

Ideally, the work for the project could form the basis of the Ph.D. programme.

### (c) **External candidates, sponsored by R&D organizations recognized by the University (PRD)**

This option is for candidates in another recognized R&D organization or institute as a research/project student or staff member, and who wish to pursue/register for a Ph.D. programme at Cotton College State University.

In all cases of candidates from R&D organizations or institutes wishing to register for a Ph.D. program at CCSU, the following steps will have to be followed.

- i. The R&D organization or institute will have to be recognized by Cotton College State University as having the facilities, faculty and infrastructure for carrying out research.
- ii. This may be done via a Committee of at least five members with expertise in the relevant areas of research set up by the Vice Chancellor of the University. At least two of these members should be from outside

the University. Recognition of the R&D organization or centre, if recommended by the Committee, must be approved by the Academic and Executive Councils of the University.

- iii. Faculty members from a recognized R&D organization or institute may apply for recognition as a supervisor or guide. These may be approved by the Vice Chancellor as long as they satisfy the norms outlined here.
- iv. To foster collaborative work with the University faculty joint supervision of the research scholars is recommended but not mandatory. A recognized guide from a recognized R&D organization or institute may be the lone supervisor/guide of the research scholar.
- v. The suitability for research of these candidates will be assessed via written admission tests and interviews, which may be conducted by the recognized R&D organization alone or in collaboration with CCSU, or by CCSU as for the other candidates.
- vi. The candidates should submit a letter from the head of the sponsoring institution that s/he will be given leave for at least one semester and fully relieved of normal duties to attend all the course work, and fulfill all requirements of the University, as may be decided by the University from time to time, if the course work is done at CCSU. The course work may also be done at the recognized R&D organization with the approval of the University authorities.
- vii. Persons working in colleges/universities are not eligible under this category. They may apply under the following category.

(d) **Teachers: candidates working as teachers in other educational institutes (PUT)**

Candidates employed as faculty members in Schools, Colleges and Universities and wishing to pursue a Ph.D. programme at Cotton College State University while in employment and without availing of study leave may apply for admission in this category.

- i. Candidates will be selected via the normal selection process of written admission test and interviews.
- ii. The place of research will be considered as Cotton College State University, although some work may be carried out in their parent institution.
- iii. Their Supervisor or Guide will be a faculty member of Cotton College State University satisfying the minimum criteria laid out here, or a recognized guide from its constituent college, Cotton College.
- iv. These candidates are required to be available for work and interactions with the Guide/Supervisor during weekends, holidays and vacations.
- v. The candidates should submit a letter from the head of the parent institution that s/he will be given leave for at least one semester and will be fully relieved of normal duties to attend all the course work, and fulfil all requirements of the University, as may be decided by the University from time to time.

10. Written admission tests and interviews will be conducted at least once a year for Departments/Centres wishing to take research scholars, and this will be announced

at least a month in advance. Written admission tests and interviews may also be conducted in collaboration with another recognized university or R&D organization.

11. A student will be allowed to convert from a full-time student to a part-time one or vice versa, only once during the Ph.D. programme with the approval of the guide and the Doctoral Advisory Committee. The maximum period allowed for the Ph.D. program will be adjusted taking the entire period spent as full-time while converting to part-time, and 60 per cent of part-time while converting to full-time.
12. Cotton College State University will be closely involved in advising and monitoring the research programs of all the research scholars registered with the University. Facilities and resources will be shared by all, including research scholars from R&D institutes and industry to make optimal use of these.
13. Publications by research scholars registered with the University should carry the Cotton College State University affiliation. For students from a recognized R&D centre or industry this could be in addition to their institutional affiliation.
14. Cotton College State University will have the right to apply throughout the world for a patent arising from work done by University employees and students in the course of their regular employment/work which has led to a patentable item which may be an invention of a product or process, or a registered design, trademark or any type of intellectual property that requires registration. The concerned University persons will be named in the application. The division of net income/royalty between the University and the concerned University employees or students will be as per the rules and regulations laid down by the Executive Council of the University from time to time. These will not override any agreements the University may have entered into with another institute or university as part of collaborative project(s), or agreements that University staff and students may have entered into, with the approval of the University authorities, with third parties as a condition for funding the research activity.
15. Ethical guidelines of the University must be followed by all in all instances.

### **Guides/Supervisors**

16. It is important that research scholars are guided by those with a commitment and track record of research. All guides are expected to publish at least one paper in a Thomson-Reuters listed journal or a scholarly academic journal of similar repute, or a monograph/book by a publisher of similar academic standing, and/or have at least one patent(s) of similar standing within the previous three years.
17. All regular Cotton College State University faculty members are eligible to be supervisor(s)/guide(s) as long as they have a Ph.D. and evidence of research activity as outlined above. They are expected to demonstrate a high level of research activity leading to tangible results in the form of papers in scholarly journals, reports of high academic value and/or patents.

18. Faculty members of Cotton College and other recognized academic and research and development organizations may apply in the format given by the University for recognition as a supervisor/guide by Cotton College State University. These applicants will also be required to demonstrate commitment and involvement in research in the form of publications of high academic standing as outlined above. Their recognition as supervisor or guide will have to be renewed every five years. Their applications may be approved by the Vice Chancellor as long as they satisfy the norms outlined here.
19. Faculty members may not be either assigned or allowed to guide a research scholar when they are within three years of retirement. However, they may continue to collaborate and work with regular faculty members.
20. In the initial stages, till 2015 December 31, the norms for being allowed to supervise/guide may be relaxed marginally at the discretion of the Vice Chancellor to facilitate building up the research atmosphere and activities in the campus.
21. To ensure proper supervision of the research scholars, the number of research scholars per supervisor/guide and co-supervisor/co-guide will be limited to a maximum of three. This may be increased on a case by case basis to a maximum of six depending on performance as recommended by the Dean of the faculty and approved by the Vice Chancellor.
22. Abandoning a research scholar by either a supervisor/guide or co-supervisor/ co-guide would be unethical and may attract punitive measures as per the ethical guidelines of the University.

### **Registration**

23. After being selected for a Ph.D. programme, the research scholar must discuss with faculty members of the concerned Department or Centre to which the research scholar has been admitted and the guide/supervisor if s/he has been identified, and work out the academic programme including course work.
  - (a) The research scholar must register, identify the courses being taken during the semester and pay all the requisite fees.
  - (b) Registration is mandatory for all research scholars, and they must register themselves on the prescribed dates each semester until s/he completes the programme.
  - (c) A research scholar must complete course work of 20 credits with a minimum CGPA of 6.5 and clear a comprehensive interview before starting on the Ph.D. related research work.
  - (d) The course requirements and a comprehensive interview are also mandatory for those entering with an M.Phil. degree, although a modified course work may be suggested by the Doctoral Advisory Committee (DAC) depending on the expertise, competence and interests of the research scholar, which will have to be approved by the Dean of the Faculty.

- (e) It is advisable to complete the course work and the comprehensive interview within the first six months, but must be done within the first year of admission into the Ph.D. program.
- (f) If a research scholar fails to complete the course work and the comprehensive interview within the first year of admission, his/her registration in the Ph.D. program may be cancelled, except for exceptional circumstances like illness or pregnancy, when an extra six months may be given.
- (g) The course work will be defined by the University, and evaluation of performance will be as per the Cotton College State University Examination rules and regulations.
- (h) Each research scholar will be advised by a Doctoral Advisory Committee, consisting of the supervisor(s)/guide(s), the Head of the Department, and a minimum of two recognized supervisors/guides from amongst faculty members of either Cotton College State University or recognized sister institutions, one of whom should be from outside the Department/Centre. The Chairperson of the Committee will be from outside the Department/Centre.
- (i) A research scholar should identify a supervisor/guide preferably within the first six months, but definitely within a year of being admitted to a Ph.D. programme in one of the Departments/Centres of the University.
- (j) Till a supervisor/guide is identified the Dean of the Faculty may appoint either the Head of the Department or a recognized supervisor/guide to function as a 'nominal' guide of the research scholar and also be a member of her/his Doctoral Advisory Committee. This will be done immediately after joining the Ph.D. program if no supervisor/guide has been identified beforehand. However, in the initial stages when the University departments are being built up and there may not be a Dean of the faculty, this may be done by the Vice Chancellor.
- (k) Under special circumstances, a research scholar selected to work full-time at Cotton College State University may also be allowed to have a supervisor/guide from a University recognized sister institute including an R&D organization.
- (l) In addition, a research scholar may have a co-supervisor(s)/co-guide(s).
- (m) The maximum number of supervisors/guides, including co-supervisors/co-guides, for each research scholar is three, but the principal supervisor/guide who has the prime responsibility for the welfare and academic progress of the research scholar must be identified clearly.
- (n) The Doctoral Advisory Committee will oversee the progress of the research scholar, evaluate the Annual Progress Seminars, advise and counsel the research scholar if and when necessary, help address any logistic or technical issues regarding the Ph.D. project, and also address issues related to supervisor-research scholar relationships or disputes. In the latter case, the Chairperson of DAC may, if necessary, decide to meet the research scholar in the absence of the supervisor(s)/guide(s).

- (o) In case of any allegations of ethical violations, the matter may be drawn to the attention of the Vice Chancellor for consideration by the Ethics Cell/Committee of the University.
- (p) In case of any allegations of sexual harassment or misconduct, the guidelines on the working of Cotton College State University Women's Cell for dealing with sexual harassment will be followed.
- (q) The comprehensive interview will be conducted by DAC with upto two additional subject experts constituting the interview committee. It will assign a pass or fail grade to the research scholar in the comprehensive interview. If research scholars fail to pass in the first attempt s/he may be given a second attempt which should be at least two months after the first interview and not later than three months from the date of the first interview.

### **Course work**

24. All admitted Ph.D. research scholars will undergo course work which is of at least 20 credits. Normally the total number of credits should not exceed 25.
  - (a) The courses will be designed and course requirements defined by the postgraduate Boards of Studies of the Departments/Centres, with adequate flexibility to be able to address specific interests of a research scholar/project.
  - (b) A research scholar may be advised to take a postgraduate-level course which s/he may not have done earlier but is relevant for her/his doctoral work.
  - (c) Courses for research scholars may also be open to bright and motivated postgraduate students who may take it on credit as long as it does not clash with their regular programme.
  - (d) There could be a seminar paper in the course work for Ph.D. research scholars which involves a literature survey and a minor research project which should lead to a written project report and a seminar presentation, and possibly sometimes a paper in a scholarly journal.
  - (e) If the number of students for a particular course is less than three, the course may also be given as a reading course with a faculty member of the University, or a recognized supervisor/guide.
  - (f) However, at least 50 per cent of the course work of a research scholar should be based on classroom teaching.
  - (g) A course may also be taken with a recognized supervisor/guide in a Department/Centre of the University other than the one in which a research scholar is registered or in an R&D institution recognized by the University, or an institute of national repute as recognized by the University authorities.
  - (h) Grading procedures will be as per the Cotton College State University examination rules and regulations.
  - (i) A research scholar must pass the course work with a CGPA of at least 6.5 and also the comprehensive examination with a Grade Point of at least 6.5 before being allowed to register in the Ph.D. program from the third semester onwards.

## Research and research supervision

25. The research supervisor(s)/guide(s) can be chosen/alloted any time within the first year of admission to the Ph.D. program or completion of the course work, whichever is earlier.
26. Students are encouraged to discuss with the different members of the University faculty and potential guides regarding possible projects and their interests while a supervisor or guide is being identified.
27. A research scholar's preference for a research area, performance in the comprehensive interview and grades may be used in the allocation of a supervisor/guide by the Department/Centre, if a supervisor/guide has not been identified by a research scholar on her/his own.
28. Since the number of research scholars selected will depend on the number of supervisors/guides and the number of projects they offer, it should be possible for each student to find/be assigned to a supervisor/guide. The Department will endeavour to ensure that each selected research scholar finds a supervisor/guide. Only in an extreme situation, a research scholar may be asked to leave the Ph.D. program if a supervisor/guide cannot be identified within the stipulated period.
29. After the identification of the supervisor(s)/guide(s) an outline of the Ph.D. project including the title, overall academic/scientific objectives of the project, and a possible research plan with time markers so that the research scholar completes the Ph.D. program within the stipulated time must be submitted. This should be done within a month of the completion of the course work and comprehensive interview, but no later than a year and a month after admission into a Ph.D. programme.
30. The research scholar will present the proposed Ph.D. work to the Doctoral Advisory Committee who should examine the proposal including its viability, make suggestions and appropriate recommendations regarding the proposal within a month of receiving the research plan from the research scholar.
31. The Head of the Department should send the name(s) of the research scholar(s) and their supervisor(s) or guide(s), along with the proposed title of their thesis and a brief summary to the Dean of the Faculty, Academic Registrar, Finance Officer, Registrar and Vice Chancellor as soon as these are finalised.
32. Given the very nature of research the precise title and plan of work may be partially modified from time to time depending on interesting developments in the field of research or sometimes for logistic or technical constraints. However these should be approved by the Doctoral Advisory Committee before submission of the thesis.
33. The Doctoral Advisory Committee will meet with the research scholar every five/six months during the first year to evaluate his/her progress and address any difficulties, technical or otherwise.
34. Every research scholar must give an open Annual Progress Seminar (APS) based on his/her work. For external students working at an R&D institute, the APS may be held alternately at CCSU and the R&D institute.

35. If the progress is unsatisfactory, the research scholar will be given an opportunity to demonstrate significant progress over the following six months. If progress is still unsatisfactory, s/he may be asked to leave the Ph.D. programme.
36. **Change of guide and/or project:** a research scholar may be allowed to change the supervisor/guide and/or the project within the first three years of starting on a Ph.D. programme. No changes will normally be allowed after that, and the overall time scale of the Ph.D. program will also remain unchanged. Changes after three years may be permitted with the approval of the Vice Chancellor in extreme unforeseen circumstances.
37. Any change in a supervisor/guide should normally have the consent of both the earlier supervisor/guide and the new supervisor/guide.
38. In case of non-availability of the earlier supervisor/guide due to retirement/transfer /death or any other reason, his/her consent would obviously not be required.
39. In the event of a change of supervisor/guide, the research scholar should work for a minimum period of one calendar year with the new supervisor/guide.

### **Duration and requirements of Ph.D. work**

40. The minimum duration of research work after joining the Ph.D. program is 2.5 years before a thesis can be submitted, of which at least 1.5 years should be after the completion of the comprehensive examination.
41. The maximum duration for submission of a thesis leading to the award of a Ph.D. degree is five years in the case of a regular research scholar, and seven years for part-time research scholars. If there is a strong justification, especially involving technical or logistic issues, it may be extended by a year to six and eight years respectively by the Dean of the faculty if it is recommended by the Doctoral Advisory Committee.
42. The registration of a research scholar will be cancelled if the thesis is not submitted within the stipulated maximum period.
43. For research scholars on maternity leave or affected by health problems the maximum duration may be further relaxed by six months at most.

### **Submission and Examination of a Ph.D. thesis**

44. A synopsis of the thesis (hard and soft copy) along with suggested lists of examiners must be sent to the Academic Registrar by the supervisor(s)/guide(s) at least two months before the anticipated date of submission of the thesis. The lists of examiners should be prepared by the supervisor(s)/guide(s) in consultation with DAC, and must contain the contact details (e-mail, postal address, phone and mobile numbers) of each suggested examiner. The list should be sent after approval by the Dean of the faculty.

45. The examiners should be well-known academics in the discipline with high levels of integrity. They should preferably be at the Professorial level in an academic or R&D institution.
46. The examiner should *not* be an earlier research scholar of the supervisor(s)/guide(s) or the supervisor/guide of the supervisor/guide or a relative of either the supervisor or the research scholar to help make the evaluation process as objective as possible.
47. The supervisor(s)/guide(s) may suggest a panel of five external examiners from within the country (List A), and five from outside the country (List B).
48. For modern Indian languages all examiners may be from within the country.
49. The Academic Registrar will forward the list of examiners to the Vice Chancellor who will select the examiners from the lists, one each from Lists A and B, except in the case of modern Indian languages. Here the Vice Chancellor will select two examiners from the single list.
50. If the Vice Chancellor is not happy with the list of examiners, s/he may ask for additional names or decide on alternative names outside the list.
51. Consent to examine the thesis by the proposed examiners will be obtained by the Academic Registrar before sending the thesis. If any examiner declines the Vice Chancellor will be asked to select an alternative examiner.
52. Before submission of the synopsis the candidate should give an open 'synopsis seminar' in the Department/Centre, and take any comments or suggestions on board while preparing the synopsis for submission.
53. Before submission of the thesis at least one paper must be either published or accepted for publication in a respected academic journal. This would include Thomson-Reuters listed journals, and any other academic journal of similar stature that the statutory bodies of the University may approve from time to time. This would have to be recommended to the statutory bodies by the Vice Chancellor after an appropriate review and justification provided by a committee of academic experts for each field/discipline set up by the Vice Chancellor for this purpose. Documentary evidence of publication(s) must be provided at the time of submission of a thesis.
54. The thesis shall be presented in accordance with the following specifications.
  - (a) The paper used should be of A4 size and of reasonable quality (80 to 90 gsm) without being unduly heavy.
  - (b) The thesis should be printed on both sides to minimise paper usage.
  - (c) The thesis should be soft bound with approximately 300 gsm paper.
  - (d) Research scholars are encouraged to use environmentally friendly recycled paper.
  - (e) All textual material, figures and their labels and captions should be clear and legible.

- (f) Font size of 12 with one and a half spacing is recommended for the text. Font type should be chosen so as to be clearly readable both on the computer screen and in hard copies, such as Calibri.
- (g) The text should be in black although figures may be in colour.
- (h) The cover should be of a light, sober colour befitting a thesis.
- (i) The title of the thesis, name of the research scholar, year of submission and the name of Cotton College State University (all capitals in Calibri) along with the logo should appear on the front cover and title page of the thesis.
- (j) The title of the thesis, name of the research scholar, year of submission and the abbreviation CCSU should appear on the spine of the thesis.
- (k) The thesis should carry a Certificate by the supervisor(s)/guide(s), and a Declaration by the research scholar that the work presented in the thesis has been carried out by the research/scholar by himself/herself, that no material has been plagiarised from any source and material from any other source have been duly acknowledged.
- (l) The thesis must contain a table of Contents, lists of Tables and Figures and a bibliography giving all details of the publications in a format generally used in well-recognized journals of the discipline.
- (m) The thesis should be written in English so as to reach a global academic community. Exceptional cases in modern Indian languages may be permitted. However, in these cases an English translation of the thesis should be provided to facilitate visibility of work done at CCSU to a large community, which also helps maintain high standards.
- (n) At the time of submission of a thesis for examination, five hard copies should be submitted to the Academic Registrar, Cotton College State University for sending to the examiners, supervisor(s)/guide(s) and for the University records, and one soft copy in a CD or pen-drive certified by the research scholar to be identical to the hard copy.
- (o) Only one hard copy of the final thesis accepted after the viva voce and after incorporating all the corrections/changes suggested by the examiners need to be submitted, along with a soft copy in a CD or pen-drive certified by the research scholar to be identical to the hard copy.

**55. Plagiarism is a serious offence and could lead to criminal proceedings.**  
All concerned are required to ensure that there is no instance of plagiarism.

- (a) All theses will be checked for plagiarism. Any preliminary evidence of plagiarism will be referred to the Ethics Cell/Committee of the University. If this is upheld, the thesis will be summarily rejected and not sent to any examiner.
- (b) The research scholar and the supervisor(s)/guide(s) will all be held accountable for instances of plagiarism, and the University reserves the right to take any further action that it deems to be appropriate.
- (c) A degree may also be withdrawn after it has been conferred if instances of plagiarism in any of the material submitted for the award of the degree comes to light after the degree has been conferred.

56. A degree may also be withdrawn after it has been conferred if instances of any unethical practice such as fabrication etc. of data come to light after the degree has been conferred.
57. The thesis will be sent to the examiners by regular post/courier immediately after receipt of the thesis from the research scholar. A soft copy may also be sent electronically to the examiners.
58. The thesis must be examined by two external examiners from outside the University, one of which should be from outside the country, except in the case of modern Indian languages where both examiners may be from within the country.
59. The supervisor/guide will also be required to submit a report on the thesis as an internal examiner.
60. The examiner(s) may recommend that
  - (a) the thesis may be accepted without any changes in partial fulfilment of the requirements for the award of a Ph.D. degree;
  - (b) the thesis may be accepted subject to minor corrections or revisions, including typographical errors, in partial fulfilment of the requirements for the award of a Ph.D. degree. In this case a corrected version of the thesis should be presented at the time of viva voce, and any matter clarified during the viva voce examination. The thesis need not go back to the examiner.
  - (c) The thesis may be accepted subject to moderate corrections in which case the examiner should now examine the revised thesis. The revised thesis should be submitted within six months of receiving the reports, and the thesis should normally be sent back to the same examiner. It may be sent to another examiner in the panel with the approval of the Vice Chancellor if there is a request from the research scholar and the guide with adequate justification.
  - (d) The thesis requires major corrections and should be resubmitted. In this case the revised version of the thesis should be submitted within a maximum period of a year from the receipt of the reports by the research scholar. The revised thesis should normally be sent back to the same examiner. It may be sent to another examiner in the panel with the approval of the Vice Chancellor if there is a request from the research scholar and the guide with adequate justification which may be that the evaluation has not been done correctly.
  - (e) The thesis may be rejected. If both external examiners recommend rejection, no resubmission of a thesis would be allowed. If only one of the two external examiners recommend rejection, the thesis may be sent to a third examiner. If the third examiner also recommends that the thesis be rejected, the thesis will not be accepted and the research scholar will be declared to have failed.
61. In case of no or minor corrections, a viva voce examination may be held at the earliest possible opportunity.
62. In the case of moderate or major corrections, a viva voce may be held only after the recommendations of both the examiners based on the revised versions of the thesis are positive to go ahead with the viva voce.

63. The viva voce committee to be constituted by the Dean of the faculty consists of the external examiner(s), supervisor(s)/guide(s), the Head of the Department and the Dean of a Faculty other than the one to which the research scholar belongs, who will chair the committee. The presence of one external examiner, one supervisor/guide, and the Dean as the Chairperson would be sufficient quorum for conducting the viva voce.
64. If either the Head of the Department or a Dean is unavailable, especially in the initial years of the University, the Vice Chancellor may appoint senior, well-established academics to take their places.
65. The viva voce will consist of an open seminar which will be announced by the Academic Registrar at least a week in advance.
66. The external examiner(s) may also participate via skype or video conferencing.
67. The viva voce will be held in the Cotton College State University premises. On request, the Vice Chancellor may allow the viva voce to be conducted in a recognized research institute where most of the work has been done.
68. The candidate may be asked questions on the thesis, the discipline related to the research theme and also questions of a more general nature on a set of five topics which the candidate may suggest in advance.
69. The open viva voce may also be followed by a closed-door viva voce if the viva voce committee so wishes.
70. After successful completion of the viva voce and fulfilling the required criteria, the viva voce committee may recommend that the degree of Ph.D. be conferred on the candidate.
71. If the viva voce is not satisfactory, the committee may recommend that a fresh viva voce be conducted not earlier than a month and not later than two months from the present date of the viva voce. If the viva voce is still not satisfactory the committee may recommend resubmission of the thesis with the suggested changes or may recommend rejection of the thesis. A majority decision of the members of the committee present for the viva voce would suffice.
72. If the viva voce committee asks for the thesis to be resubmitted, it must be done within a year of the viva voce. The thesis will normally be re-examined by the same examiners. If either the revised thesis is not accepted or the research scholar fails the viva voce, there will be no further chances and the candidate will be declared as failed.

## **Certificate**

73. A provisional certificate may be issued by the Academic Registrar after receiving the following and obtaining approval of the Vice Chancellor, and mentioning that the degree is subject to ratification by the Academic and Executive Councils of the University.

- (a) the report from the viva voce committee stating that the candidate has passed the viva voce examination and fulfilled all the academic criteria for conferring the degree of Ph.D.;
  - (b) a hard copy of the final accepted version of the thesis signed by both the research scholar and the supervisor(s)/guide(s);
  - (c) a soft copy of the final accepted version of the thesis certified by the research scholar and supervisor(s)/guide(s) to be identical to the hard copy; and with permission to upload the thesis in digital form by the University to INFLIB-NET and repositories decided by the University from time to time;
  - (d) a no dues certificate signed by all the relevant departments, centres and the hostels of the University.
74. The date of passing the viva voce will be taken as the date of obtaining the Ph.D. degree.
75. The result will be formally notified by the Academic Registrar after ratification by the Academic and Executive Councils of the University. The ratification may be obtained by circulation/e-mail by the Academic Registrar.
76. The final Ph.D. degree certificate will be awarded at the next convocation.

### **Fees and Fellowships/Scholarships**

77. The research scholars will be required to pay
- (a) Application fee using the prescribed form: Rs. 1000/- only
  - (b) Admission fees: Rs. 10,000/- only
  - (c) Ph.D. Course fees per semester: Rs. 3000/- only for humanities and social sciences; Rs. 6000/- only for natural sciences
  - (d) Security deposit: Rs. 10,000/- only
  - (e) Examination fees for course work per semester: Rs. 1000/- only
  - (f) Library fees (per annum): Rs. 500/-
  - (g) Campus maintenance fees (per annum): Rs. 500/-
  - (h) Miscellaneous extracurricular fees (per annum): Rs. 500/-
  - (i) Cotton University Students' Union fees (per annum): Rs. 120/-
  - (j) Cotton College State University identity card: Rs. 100/-
  - (k) Ph.D. thesis examination fees: Rs. 10,000/-
  - (l) Ph.D. viva voce fees: Rs. 10,000/-
78. Hostel fees, if applicable, will be as per the CCSU Hostel Rules and Regulations.
79. A fine of Rs. 500/- will be levied if the fees are not paid by the stipulated dates.

80. Fees and fines may be modified from time to time by the statutory bodies of the University.
81. The full fees per semester and per annum are payable even if a research scholar joins in the middle of a semester or academic year.
82. Except for the Security deposit, no other fees are refundable.
83. All Fellowships/Scholarships will be paid directly to the bank accounts of the research scholars by the University, subject to satisfactory performance in the Annual Progress Seminars.
84. R&D centres wishing to be recognized by Cotton College State University for its doctoral programme will be required to pay a processing fee of Rs. 30,000/- only. The fee is non-refundable in case the Committee set up for the purpose does not recommend its recognition. There is no recurring fee.
85. Application fee for recognition as a supervisor or guide: Rs. 1,000/- only. Application will have to be renewed every five years till retirement.

### **Leave rules**

86. A research scholar working full-time at Cotton College State University may avail of the following kinds of leave. Research scholars with a scholarship from an external funding agency or working in another R&D institute recognized by the University will be bound by the leave rules of the funding agency or the R&D institute, but the leave allowed should not exceed those of the University.
  - (a) **Vacation leave** for a maximum of 15 days in a calendar year during the vacation periods specified by the University. This will be allowed only after the course work and comprehensive interview are cleared, and the Ph.D. project and supervisor/guide are identified.
  - (b) **Casual leave** as per the leave rules of Cotton College State University.
  - (c) **Special leave** up to three months in a calendar year for bonafide academic work related to the Ph.D. program including field trips, visiting another institution outside the city for collaborative work, participating in academic meetings and conferences. The leave period may be extended, if necessary, as recommended by the Doctoral Advisory Committee. Students are encouraged to participate in academic meetings and conferences and present their work. These will be allowed only after the course work and comprehensive interview are cleared, and the Ph.D. project and supervisor/guide identified. This leave can be combined with Vacation leave. However, these activities must be with the approval of the supervisor/guide and the Doctoral Advisory Committee, and will depend on the progress made by the research scholar.
  - (d) **Maternity/Paternity leave** will be allowed only once during the Ph.D. programme. The duration will be as per the leave rules of Cotton College State University.

- (e) **Leave on medical grounds** may be given to a research scholar with the following conditions, but normally for not more than 15 days in a calendar year.
    - i. A research scholar who applies for leave on medical grounds shall support his/her application with a medical certificate from a University recognized registered medical practitioner.
    - ii. A research scholar who avails of medical leave must get a certificate from the same University recognized registered medical practitioner to certify that he/she is fit for duty.
    - iii. Leave or extension of leave on medical certificate shall not be granted beyond a date on which a research scholar is pronounced by a Medical Board to be permanently incapacitated for further work.
    - iv. In case of prolonged illness, the Doctoral Advisory Committee may obtain a medical opinion from a University recognized registered medical practitioner and advise on the suitability and viability of the research scholar continuing in the Ph.D. program.
  - (f) In case of maternity leave or illness, the maximum duration of the Ph.D. program can be relaxed by six months, including the time scale of course work and comprehensive interview. The time scale of course work and comprehensive interview may be relaxed if and only if maternity or medical leave is necessary within the first six months of starting the Ph.D. program. No further relaxations would be permissible.
  - (g) No leave accumulates.
  - (h) Violation of rules and regulations of the University may lead to cancellation of Ph.D. registration.
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