

REGULATIONS FOR M.PHIL/PH.D DEGREE, 2019
KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY

1. Short Title, application and commencement

- 1.1. These regulations will be known as the Krishna Kanta Handiqui State Open University M.Phil and Ph.D Regulations, 2019.
- 1.2. These Regulations have been framed as per the UGC (Minimum Standards and Procedure for Award of M.Phil/Ph.D Degree) Regulations,2016
- 1.3. These regulations will be effective from the date of the approval by the University Authority.

2. Eligibility criteria for admission to the M.Phil programme:

- 2.1. Candidates for admission to the M.Phil. 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.
- 2.2. 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 University Grant Commission (UGC) from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991.
- 2.3. 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.

3. Eligibility criteria for admission to Ph.D programme:

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

- 3.1. Master's Degree holders satisfying the criteria stipulated under Clause 2 above.
- 3.2. Candidates who have cleared the M.Phil. course work 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) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. 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.
- 3.3. A candidate 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
- 3.4. 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.

4. Duration of the M.phil/ PhD Programmes:

- 4.1. M.Phil. programme shall be for a minimum duration of two (2) consecutive semesters / one year and a maximum of four (4) consecutive semesters / two years.
- 4.2. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 4.3. An extension of one semester may be allowed to an M.Phil scholar for submission of dissertation on recommendation of RAC (refer clause 8).
- 4.4. An extension of one year may be allowed to a Ph.D scholar for thesis submission on recommendation of RAC. For this purpose scholar shall be required to submit an application through his Research Supervisor justifying the needs.

- 4.5. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days.

5. Procedure for admission

- 5.1. Candidates will be admitted to M.Phil /Ph.D Programme through an Entrance Test.
- 5.2. For selection of candidates, a weightage of 70% to the Entrance Test and 30 % to the interview/viva-voce shall be given (*UGC Minimum standard and procedure for Award of M.Phil/Ph.D Degree (2nd Amendment) Regulations, 16th October,2018*)
- 5.3. The University shall,
- 5.3.1 Decide, on annual basis through its academic bodies such as RAC, a predetermined and manageable number of M.Phil. and/or Ph.D scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 6.5), laboratory, library and such other facilities;
- 5.3.2. Notify well in advance in the institutional website and through advertisement in at least two (2) 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;
- 5.3.3. Adhere to the National/State-level reservation policy, as applicable.
- 5.4. The admission shall be based on the criteria notified by the Institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- 5.5. The University shall admit candidates by a two stage process:
- 5.5.1. An Entrance Test shall be conducted by the University with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research

methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also to be notified well in advance).

5.5.2. An interview/*viva-voce* to be organized by the University when the candidates are required to discuss their research interest/area through a presentation before a duly constituted RAC with representatives from the respective departments, who are nominated supervisors of the University.

5.6. The interview/*viva voce* shall also consider the following aspects, viz. whether:

5.6.1. The candidate possesses the competence for the proposed research;

5.6.2. The research work can be suitably undertaken at the University;

5.6.3. The proposed area of research can contribute to new/additional knowledge.

5.7. The University shall maintain the list of all the M.Phil. / Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration etc.

6. Allocation of Research Supervisor:

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc.

6.1. Any regular Professor of the University with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university 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.

6.2. Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.

6.3. The allocation of Research Supervisor for a selected research scholar shall be decided by the RAC in consultation with 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*.

- 6.4. In case of topics which are of inter-disciplinary nature where the DSAC feels that the expertise in the Department has to be supplemented from outside, in such case RAC may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
- 6.5. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.
- 6.6. In case of relocation of an M.Phil./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 parent institution/ 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

7. Course Work:

Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.

- 7.1. The credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- 7.2. The course work shall be treated as prerequisite for M.Phil./Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for M.Phil./Ph.D. degree.

- 7.3. All courses prescribed for M.Phil. and Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies
- 7.4. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Departmental Scholar Advisory Committee (DSAC) as stipulated under sub-Clause 9.1 below.
- 7.5. All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the regular course work within the first semester. However in case of unforeseen urgencies he/she may be allowed to complete the course work in the next academic session.
- 7.6. Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the University.
- 7.7. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Controller of Examination (CoE) within 30 days of completion of Examination.
- 7.8. A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

8. Research Advisory Committee and its Function:

There shall be a Research Advisory Committee (RAC) for M.Phil and Ph.D programmes of the University. The RAC shall be duly constituted by the authority with Dean (Academic) as the Chairperson. The Members of the RC shall be

1. Dean Academic (Chairperson)
2. Deputy Registrar (Academic) (Convener)
3. Director of CIQA

4. Ph.D Programme coordinator
5. Research Supervisors (maximum 5 nos.) to be nominated by the Vice Chancellor of the University from the School of KKHSOU.

8.1 Functions of RAC:

1. It shall consider and monitor the overall MPhil and PhD Research activities of the University
2. It shall conduct the personal interview during M.Phil/Ph.D Admission
3. It shall assign Research Supervisors to the selected scholars
4. It shall, from time to time, review the policy and regulations related to M.Phil/PhD programmes and other researches of the University compliance to UGC Regulations.
5. It shall monitor the progress and performance of research activities of the university being conducted by the office of Dean (Academic) with the help of the Departmental Scholar Advisory Committees.

9. Departmental Scholar Advisory Committee (DSAC) and its functions:

There shall be a Departmental Scholar Advisory Committee for each M.Phil and Ph.D scholar. The Research Supervisor of the scholar shall be the Convener of this Committee.

Members of the committee:

1. Dean/Dean's nominee : Chairperson
2. Supervisor of the Scholar : Convenor
3. Two faculty members having Ph.D Degree chosen by the Supervisor
4. Ph.D Programme coordinator
5. Any special invitee

9.1 Responsibilities of DSAC

1. To review the research proposal and finalize the topic of research
2. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
3. To periodically review and assist in the progress of the research work of the research scholar.

9.2. It shall be mandatory for a research scholar to appear before the DSAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The **six monthly progress reports** on the prescribed format (**Annexure I**) shall be submitted by the Research Supervisor to Dean (Academic) with a copy to the research scholar.

- 9.3. In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DSAC may recommend to the RAC with specific reasons for cancellation of the registration of the research scholar.

10. Evaluation and Assessment Methods, minimum standards/credits for award of the degree

- 10.1. The overall minimum credit requirement, including credit for the course work, for the award of M.Phil. Degree shall be 24 of which 16 shall be secured from course work and 8 from dissertation. Upon satisfactory completion of course work and obtaining the marks/grade prescribed in sub-clauses 7.8 above, the M.Phil/Ph.D Scholar shall be required to undertake research work and produce a draft dissertation/thesis for title registration
- 10.2. A presentation on the proposal shall be made by the scholar before the DSAC, on whose recommendation a synopsis shall be submitted by the M.Phil and Ph.D scholar within 45 days and 90 days respectively from the date of course work exam. The RAC will obtain at least one external expert report (from outside the University) in case of a Ph.D Synopsis. With the recommendation of DSAC based on the presentation, and the external expert's report on the synopsis, DSAC will approve the topic for provisional registration. This process shall be completed within 6 months from the date of course work exam.
- 10.3. Any minor modification of Ph.D thesis title within the scope of registered work can be done with the approval of the RAC before pre submission. Modification in M.Phil dissertation title will only be allowed under extraordinary circumstances with the approval of the relevant statutory bodies.
- 10.4. Final registration is one of the pre-conditions for submission of Ph.D thesis. The scholar shall be required to apply for final registration in prescribed form within 24 months from the date of provisional registration. The scholar shall be required to give a presentation of his/her research work before the DSAC in consultation with the Supervisor.
- 10.5. Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the DSAC which shall also be open to all faculty members and other research

scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis.

- 10.6. The M.Phil scholar shall be allowed to deliver pre submission seminar within 6 months from the last exam of course work and the Ph.D scholar shall be allowed to deliver pre submission seminar within 18 months from the date of final registration.
- 10.7. The Scholar shall submit four soft bound copies along with a soft copy of his/her thesis/dissertation as per rules in **Annexure-II** to the office of the Dean (Academic). Five copies of abstract not exceeding 2500 words shall be submitted along with the submission of the thesis/dissertation. The abstract shall provide an overview of the thesis completed.
- 10.8. One hard bound copy of the final thesis/dissertation (incorporating all changes/alterations/corrections/suggested during the process of evaluation if any) along with a soft copy should be submitted to the office of the Dean (Academic) within 15 days of the completion of the Viva-voce.
- 10.9. M.Phil scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
 - 10.9.1 The University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar (**Annexure IV**) and a certificate from the Research Supervisor (**Annexure V**) 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/diploma of the same Institution where the work was carried out, or to any other Institution.
 - 10.9.2 The M.Phil. Dissertation submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least one external examiner who is not in the employment of the University. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by both of them together, and shall be opened.
 - 10.9.3 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in

employment of the University, of whom one examiner may be from outside the State/country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be opened.

10.9.4 The *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation report of the external examiner in case of M.Phil. Dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

10.9.5 The entire process of evaluation of M.Phil Dissertation/Ph.D Thesis shall be expected to be completed within a period of six months from the date of submission of the dissertation/thesis.

11. Appellate Authority:

The office of the Academic Dean, the RAC and the DSAC will function in close coordinator as per the provision of the Regulation for M.Phil/Ph.D. Degree. The concerned entities will strive for transparencies, sanctity and the academic integrity of the process. In case of any confusion in the interpretation of the provision, the decision of the RAC will be final. The Vice Chancellor of the University will function as Appellate Authority.

(ANNEXURE-I)

Format for Progress Report:

1. Name of the Scholar:

2. Registration number:

3. Department:

4. Title of the thesis:

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

6. Candidate's report on progress:

(Extra sheet to be attached):

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.....
.....
.....
.....

7. Remarks of the Research Supervisor on overall progress of the student till date, along with the proceedings of DSAC:

PROCEEDINGS OF DSAC

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

Name of the Scholar:

Registration No:

Proceedings:.....
.....
.....
.....
.....

Signature of the Supervisor

(ANNEXURE II)

Rules for submission of Thesis/Dissertation:

1. The thesis/dissertation should be typed in both side of A-4 size paper. A margin of at least 3 cm. shall be left on all sides.
2. The content of the thesis/dissertation should be typed/ printed in double space.
3. The maps and drawings may have appropriate size as advised by the Supervisor. The size should however be uniform throughout the thesis.
4. In case of title font size should be Times New Roman, 20 font size, Bold.
5. The cover page of the Thesis/Dissertation must contain title, the name of the degree, the year of submission and the name of the scholar embossed/ printed on the spine and front page of the cover. (See **Annexure III** for cover page)
6. Font style should be Times New Roman for the entire thesis. font size should be 12 point for text, 16 point for Heading and 14 point for Sub-Heading. In cover page font size should be 18 for title and 12 point for other text
7. Colour of Ph.D Thesis should be brown and M.Phil Dissertation should be blue.
8. Format of the dissertation/thesis should be
 - I. Blank page
 - II. Title page
 - III. Certificates of supervisors/scholar (as per Annexure IV & V)
 - IV. Acknowledgement
 - V. Content
 - VI. Bibliography
 - VII. Appendices

(ANNEXURE-III)

A Study of Distance Education Institutions in North-East India

A THESIS

SUBMITTED TO THE

SURYA KUMAR BHUYAN SCHOOL OF SOCIAL SCIENCES

KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY

For the Degree of

DOCTOR OF PHILOSOPHY



**By
Alfred Milan**

**DEPARTMENT OF EDUCATION
KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI, ASSAM
2019**

(ANNEXURE-III)

A Study of Distance Education Institutions in North-East India

A DISSERTATION

SUBMITTED TO THE

SURYA KUMAR BHUYAN SCHOOL OF SOCIAL SCIENCES

**KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
In Partial fulfilment for the degree of**

MASTER OF PHILOSOPHY



**By
Alfred Milan**

**DEPARTMENT OF EDUCATION
KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY
GUWAHATI, ASSAM
2019**

(ANNEXURE-IV)

Declaration by the Candidate

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

(If you received assistance in writing from anyone other than your supervisor/s) I,, received assistance in the writing of this thesis in respect of {language, grammar, spelling or syntax}, which was provided by.....

Signature of the Scholar

(ANNEXURE-V)

Certificate from Supervisor

This is to certify that, Designation, Address a regular M.Phil/Ph.D Scholar in Department of..... under the (School)..... carried out his/her research work entitled under my guidance and supervision. The study is the result of his/her own investigation and all sources are duly acknowledged.

The dissertation/thesis as a whole or in part thereof has not been submitted for any degree or otherwise in this or in any other University

Signature of the Supervisor