

# Ph.D. Rules and Regulations

(Approved in the 11<sup>th</sup> Academic Council  
vide Resolution No:ACA:11:19.10-C)

**w.e.f. Academic Session-2021-2022**



**UNIVERSITY OF SCIENCE & TECHNOLOGY MEGHALAYA**

Techno-City, Kling Road, 9<sup>th</sup> Mile, Baridua, Ri-Bhoi-793101, Meghalaya  
**2021**

**UNIVERSITY OF SCIENCE & TECHNOLOGY MEGHALAYA*****Message from the Honorable Chancellor***

Greetings of the season!

The University of Science and Technology Meghalaya (USTM) has been established under an Act 06 of 2008 passed by the Meghalaya State Legislative Assembly, in the Ri-Bhoi District of Meghalaya State in the North Eastern part of India and is sponsored by ERDF. It is dedicated to the cause of high quality science and technology education and advanced research in frontier and cutting edge areas, making USTM a University, where innovation, invention and entrepreneurship remain the cardinal focus and thrust. Facilities are being offered with this long term goal. Creating the best scholars who can think, innovate and invent, with relevance to society, would remain the all time driving force of USTM. The University would direct all its efforts to create the needed S&T manpower to foster relentlessly the economic and social development in our society in an inclusive manner.

Innovations of various applications are seen as engine for the growth of prosperity and natural competitiveness in the inclusive growth of the country. President of India has declared the present decade as decade of Innovation. Our country needs to invest in low cost innovative technologies. To achieve this, we need the support of all disciplines. The university will encourage teams of all disciplines of the university to contribute towards this goal, by encouraging the scholars to carry out their research on topics, which have social relevance in short term as well as long term.

Keeping the above in focus and Guidelines of the UGC, circulated from time to time, the rules & regulations for carrying out Ph D Programme and award of degree in the University is framed. This book gives a brief account of the Ph D rules and guidelines of the University of Science & Technology, Meghalaya. I hope this book will be handy for all those connected with the Ph D programme of the University.

M Hoque  
Chancellor

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Prof. G.D. Sharma  
Vice Chancellor

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**University of Science and Technology Meghalaya**  
Techno-City, Kling Road, 9<sup>th</sup> Mile, Baridua, Ri-Bhoi-793101, Meghalaya

**Rules and Regulations for the degree of Doctor of Philosophy**  
[Updated as per the UGC Guidelines in “University Grants Commission  
(Minimum Standards and Procedure for awards of M.Phil./Ph.D. Degrees)  
Regulation 2016” and in conformity with University of Science and Technology,  
Meghalaya Act, 2008 (Act No. 6 of 2008)]

## **1. Introduction**

Most of the leading universities and illustrious colleges in the world are known for their quality research. It is through research these great institutions of higher education are globally recognized. In other words it is through quality research, the institutions of higher education make contribution to the task of the formation of knowledge capital. Micro and macro level research is need of the hour, so that the world of knowledge gets benefit out of it through this region. At the same time through quality research the region remains intellectually vibrant and viable.

Research at University of Science and Technology Meghalaya aims to develop innovative solutions to the world's most daunting challenges. The university provides vibrant interdisciplinary research that will attract the best people from the country. This will creatively contribute in solving the economic, technological and social issues of the local as well as global human society. The university promotes active and vigorous leadership to the researchers in shaping their intellect for the achievement of common goals of humanity. For addressing needs of tomorrow, USTM's research efforts are enhanced through collaborations with leading research institutes and consortia around the world, where cutting-edge research is taking place.

Scholars seeking to pursue a doctorate degree will find a variety of specializations to choose from and qualified researchers to guide them. Scholars are encouraged to carry out interdisciplinary research under different schools.

The research activities in the university are being performed in every academic frontiers and diverse fields in various schools. At present the School of Applied Sciences, School of Biological Sciences, School of Business Sciences, Prof. Qoumrul Hoque School of Education, School of Engineering & Technology, School of Social Sciences & Humanities provides facilities for quality research under renowned supervisors.

## 2. About USTM

The University of Science & technology, Meghalaya (USTM) is the first state private university on Science & Technology in the entire North East India, sponsored by ERD Foundation, Guwahati. The university is being established in four adjacent plots of more than 400 acres of picturesque landscape surrounded by tranquil led greenery in Assam-Meghalayaborderjust1kmfromG.S.Road,Baridua,9<sup>th</sup>Mile,Ri-Bhoi District of Meghalaya. It is about 85 kms from Shillong, the Capital of Meghalaya & 6 kms from Dispur, the Capital of Assam. The campus is well connected by Rail & Air which is only 15 kms from Guwahati Railway Station & 48 kms from Guwahati International Airport.

The University has been established under the provisions of the University of Science and Technology, Meghalaya Act (No.6 of 2008) enacted by Legislative Assembly of Meghalaya and notified vide Gazette Notification No LL(B)87/2008/21, dated 02.12.2008 of Government of Meghalaya. The University is empowered by the University Grants Commission, to award degrees as specified by the UGC under section 22 of the UGC Act, 1956. USTM has also received necessary approval from AICTE, New Delhi, NCTE, ERC, Bhubaneswar, BCI and Pharmacy Council of India to run MBA, B.Ed., BALLB (integrated), LLB, D. Pharma and B. Pharma courses respectively.

With more than two years of focused study on the educational needs of the region by leading Academicians, Scientists and a group of Vice Chancellors and educational administrators of the region, USTM has started its systematic academic process. The University is dedicated to the cause of high-quality science and technology education and advanced research in frontier and cutting edge areas leading to the creation of a University where innovation, invention and entrepreneurship remain the cardinal focus and thrust. Facilities are being offered with this long term goal with special focus and thrust on the S&T needs of this region. Creating the best graduates who can think, innovate and invent would remain the all time driving force of USTM. The University would direct all its efforts to create the needed S&T manpower to foster relentlessly the economic and social development of the region in an inclusive manner. USTM disseminates finest education in UG and PG courses under its different schools viz.

- **School of Applied Sciences**
- **School of Biological Sciences**
- **School of Business Sciences**
- **Prof Qoumrul Hoque School of Education**
- **School of Engineering & Technology**
- **School of Social Sciences & Humanities**
- **University School of Law & Research**
- **School of Allied Medical Sciences**
- **School of Pharmaceutical Science**

The university offer Under Graduate (UG) and Post Graduate(PG) courses in different subjects like Physics, Microbiology, Food Science Biotechnology, Zoology, Botany,

Chemistry, Mathematics, Environmental Science, Computer Applications, Electronics, Commerce, Business Administration, Economics, English, Sociology, Social work, Public Administration, Education, Library & Information Science, Geography, Rural Development, Law, Physiotherapy and Pharmacy.

The University of Science and Technology, Meghalaya (USTM) has started intensive research work since its inception and appropriate facilities have been created to promote innovative and modern need base interdisciplinary research. Research students and faculties are greatly encouraged to innovate through quality research in emerging areas of science technology social science and other disciplines. The university is giving its effort to promote interdisciplinary research in science and social science, advanced teaching and training in chosen areas of interdisciplinary basic sciences leading to Ph.D. degrees. The university is also trying to provide a forum for interaction among scientists, research workers, teachers and students with national and international experts. USTM is conducting seminars, workshops, national and international conferences and extension lectures to promote interdisciplinary research in basic sciences, humanities and other disciplines. Every school and departments have well equipped laboratories, libraries and other research facilities, to handle high-end research.

### 3. Regulatory Bodies.

The Regulatory Bodies for Ph. D. Program shall be :

- (a) Academic Council (As per the University Act)
- (b) University Research Council(URC)
- (c) Ph.D. Committee
- (b) School Research Committee(SRC)
- (c) Departmental Research Committee(DRC)
- (d) Ph.D. Entrance Test Committee.

#### 3.1 Academic Council: As per the ordinance of USTM

The term of each council is of two years.

#### 3.2 University Research Council(URC)

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

#### 3.3 Ph.D. Committee

Vice Chancellor.....	Chairman
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Dean of Concerned School.....	Member
Head of Concerned Department.....	Member
Concerned Guide.....	Member
Co-Opted Member.....	Member
Academic Registrar.....	Member
	Secretary

### 3.4 School Research Committee(SRC)

Dean of School.....	Chairman
All HODs of the school concerned .....	Member
All supervisors of the school concerned .....	Member
One Member to be nominated by Chancellor/Vice Chancellor.....	Member
Controller of Examinations and Admissions/Academic Registrar .....	Member
One faculty member of the Concern School.....	Member
	Secretary

### 3.5 Departmental Research Committee (DRC)

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

## 4. Committee for Redressal of Dispute:

4.1 In case of any dispute, the Committee for Redressal of disputes will take the final decision.

Vice Chancellor.....	Chairman
Two members from Academic Council.....	to be nominated by VC with approval from Chancellor
Two members.....	to be nominated by Chancellor (Legal expert)
Academic Registrar.....	Convenor

## 5. Right to amend

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



## **RULES AND REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)**

The Ph.D. degree awarded by the University of Science & Technology, Meghalaya (USTM) shall be designated as Doctor of Philosophy. The title of the Thesis and the School shall be indicated in the certificate.

### **6. Eligibility for admission to the Ph.D. Programme**

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

- A. Master Degree in Science/Arts/Commerce/ Humanities and other relevant fields offered by the university with at least 55%marks or equivalent CPGA
- B. Master Degree in Engineering with at least 60%marks or equivalent CPGA
- C. PGDM/other PG Diploma programme of two year regular course duration confirmed by autonomous institution and approved by respective Statutory Bodies under UGC, AICTE, shall be considered equivalent to any two year PG Degree in Science/Commerce/Humanities. The qualifying marks should be 55% or equivalent CPGA

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

6.3 There shall be relaxation of 5% marks for SC, ST, OBC, MOBC and PWD.

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

### **7. Categories of candidature**

The broad categories of Ph.D. Scholars shall be: Full Time

7.1 The duration of Ph.D. Programs shall be: minimum of 3 years and up to a maximum of 6years. URC/Academic Council may extend tenure for any special cases

### **8. Admission**

#### **8. 1. Notification for Ph.D. Admission**

8.1.1 The Controller of Examinations and Admissions, USTM, through advertisements published in regional newspapers and through the University official website, shall make notification for admission to the Ph.D. Programme. The notification shall be made on obtaining information from each department about the actual number of seats available for the Ph.D. degree programme. The advertisement is usually

released at least two months ahead from the date of admission. The notification shall include the (i) last date of submission of application form, (ii) date and time of holding the examination (iii) date of announcement of the result and (iv) date of admission

8.1.2 The application for admission shall be made in the prescribed format (*Annexure-1*) obtainable from the office of the Registrar, USTM or from the University Website ([www.ustm.ac.in](http://www.ustm.ac.in)) on payment of prescribed fees.

8.1.3 The notification and admission may take place twice in a year i.e. Jun-July and Dec-Jan.

## 8.2 Selection Procedures

8.2.1 The selection process to the Ph.D. programme at USTM shall include an Entrance Test (URET: University Research Entrance Test), followed by a Personal Interview to be conducted by the Ph.D. entrance test committee.

8.2.2 A written test shall be held as per notification circulated by the Controller of Examinations and Admissions, USTM. Each year/ semester the last date of holding the test shall be notified by the Controller of Examinations and Admissions. The written test shall be of 100 marks for duration of two hours.

8.2.3 The question paper shall contain questions from the syllabus of post graduate programme. The question paper shall consist of MCQ and Descriptive Questions and the qualifying marks shall be 50%

8.2.4 The student, who qualifies in the selection process, will be eligible for admission to Ph.D. programmes of the University, subject to availability of guides in the respective field at the time of admission.

### Entrance Examination

8.2.5 The Ph.D. **Entrance Examination Committee** shall be constituted by the URC (University Research Council) with one of the Dean of a School as a chairman and the Controller of Examinations & Admissions as Member Secretary.

8.2.6 The committee shall have one Chairperson and five members.

8.2.7 Mandate of the committee shall be as follows:

- i) To announce date and time table of the Examination.
- ii) Get the screening of applications done by SRC
- iii) To conduct the entrance examination and personal interview.
- iv) Preparation of merit list school wise/department wise.
- v) To declare the results with the approval of Vice Chancellor.

8.2.8 The University shall announce the last date for admission to the selected Ph. D candidates.

8.2.9 The number of seats for Ph.D. may be made available by the School Research

Committee (SRC) and with the approval of Vice Chancellor, the Controller of Examinations and Admissions shall conduct the admission process.

8.2.10 The number of seats available in each Department shall be notified in advance on the University website and newspapers.

8.2.11 The result of the entrance examination will be announced (through telephone, E-mail and also uploaded in the university website) within 10 days from the date of Entrance examination.

### **8.3 Admission of selected candidates**

8.3.1 Selected candidates shall take admission within 15 days from the declaration of results.

8.3.2 Candidates will furnish all information stated in the prescribed format along with  
(a) Attested copies of all Mark Sheets/Certificates  
(b) Six copies of Stamp Sized Colored Photographs

8.3.3 Prescribed admission fee in the form of NEFT/RTGS/Demand Draft payable in favour of University of Science & Technology, Meghalaya or cash paid in cash counter of USTM.

8.3.4 A list of the admitted candidates school wise will be sent to the Dean of each school for necessary action like allotment of guides and record .

8.3.5 The first semester, the semester fee has to be paid at the beginning of the semester as per the dates given in the university calendar or notification.

From the second semester, the fees has to be paid at the end of the previous semester and register for the next semester.

8.3.6 If any scholar does not pay the semester fee as per the guidelines, scholar will not be allowed to continue in the next semester, without clearing the dues and will not be allowed to continue the research programme. If consecutively, two semesters fee is not paid, the scholars name will be removed from the rolls and he/she has to get readmitted with fresh admission fee within the stipulated period as per clause 7.2. Beyond that time, the scholar has to take a fresh admission.

## **9. Induction and Orientation**

9.1 Admitted students shall be required to attend the Induction programme organized within 7 days from the Last Date of Admission by respective Schools/Departments.

9.2 The University may arrange another orientation programme for the benefit of all newly admitted scholars at a time.

## **10. Course Work**

10.1 All Admitted Candidate shall undergo a Course Work equivalent to a minimum of 16 credits

10.2 There will be four papers. Total marks in each paper shall be 100 (30 sessional + 70 end semester examination). The pass mark is 55% and the papers included are : (i) Paper I – Research methodology (as per UGC recommendation) (ii) Paper II- Research Methodology-II. (iii) Paper III – On Recent Development in respective discipline (iv)

Paper IV – Review of Literature.

- 10.3 The duration of the course work shall be to cover a total of 90 hours of teaching for four subjects in one semester. Scholars must maintain 75% attendance during the course work programme to be eligible to appear for the course work examination.
- 10.4 The time table for the examinations shall be announced at the time of notification of course work. Sessional tests may be conducted as per the convenience of the respective departments. However, they should follow the following pattern.
- i. First sessional exam - one month after starting of the coursework
  - ii. Second sessional exam - one month after first sessional exam
  - iii. Third sessional exam - one month after the second sessional
  - iv. End semester exam – in the Sixth month from the date of commencement of Course Work.

The written test of sessional exam shall be of one and half hour duration with a total mark of 50(fifty).The best two out of three shall be taken to calculate the marks and converted to 30%. The scholar should attend at least two sessional exams to qualify for the course work exam in respective subject.

- 10.5 The Coordinator identified for the course work shall prepare the time table for the Course Work, the faculty identified for the common subjects by the Ph D Committee shall conduct the course and prepare the question paper and evaluate the answer scripts. The faculty members identified by the DRC will do the same for the departmental subjects and coordinated by Examination department, which will conduct examination in the semester.
- 10.6 Result of the course work examinations will be declared in the University website within one month from the last date of examinations.
- 10.7 Candidate shall have to secure a minimum of 50% marks in the Examination conducted to qualify in the course work examination.
- 10.8 After successful completion of the Course Work by the candidate the Controller of Examination shall issue a Certificate indicating that the Scholar has completed the course work and he/ she is qualified for proceeding with the research works, with a copy to the dean of respective school.
- 10.9 Candidates who have passed full time M.Phil. with course work may be exempted from such course work.
- 10.10 The Ph.D. Course Work shall be started within 15 days from the date of admission and also conducted twice in a year based on the admission if it takes place twice in a year.
- 10.11 Research Scholars shall have to clear all the four papers of Course work program in three attempts (Maximum) before presenting the Synopsis. A Scholar's registration will be cancelled if he or she fails to clear all the subjects in three consecutive attempts.
- 10.12 After withdrawing a Scholar's registration from the university, he or she cannot claim for refund of their fee already paid to the University and have to clear all dues

to University if any.

#### **10.13 Re-evaluation of answer scripts:**

A candidate may apply for re-evaluation in a prescribed form along with an original mark sheet and necessary fee (Rs. 1000/-) per paper within 30 days from the date of the declaration of the result. The whole process of re-evaluation shall be completed within 30 days from the date of receipt of the application along with payment of fees.

10.14 During the period of course work, the head of the department/research section of the University shall monitor the attendance of the scholar in the department.

10.15 **Work Record Book** : A work record book will be issued by the university to every scholar during the first semester. He/she has to maintain the record book till the submission of thesis and has to record all important data like experimental results / derivations / postulations / concepts developed etc. of his research work in the record not book. This will form the basis for his research work in case of any difficulties which may arise later with his research work. Hence the scholar is expected to maintain the record book neatly and secured. This book needs to be returned to the university (COEA) along with the copies of the thesis.

### **11. Allocation of Supervisor**

11.1 Academic Registrar in consultation with the Dean/ HOD of the department concerned shall decide upon appropriate allocation of Supervisor to the scholars. The Supervisor must be a regular faculty member of the university.

11.2 Depending upon the nature of research work the SRC may recommend allocation of Co-Supervisor(s) to the candidate from amongst the recognized guides of relevant departments/ schools, whether inside or outside the university.

11.3 If an existing Supervisor leaves the University before completion of research work of the scholar, a new Supervisor from the department faculty members shall be allotted to scholar. However, the previous supervisor may continue as Co-Supervisor with due approval by the DRC, SRC and URC.

11.4 The School Research Committee shall facilitate an interaction between the Supervisor and the Scholar (Scholar-Guide Meet, individual) within 7 days from the date of notification as stated in 9.1.

11.5 The scholars seeking to carry out research programme in a recognized institution outside this University, with prior permission shall have to take a Co-Supervisor from the work place (university/ Research Institute etc.). Such an Institution should have taken prior approval/ recognition from university, by submitting the form at Annexure-N

11.6 The scholar in consultation with the Supervisor(s) /Co-Supervisor shall submit a concept note (within 500 words) within Four months from the date of commencement of course works.

## 12. Attendance

- 12.1 All the scholars who are admitted to the Ph D programme and whose place of research work is at USTM have to attend the university regularly and meet their guide. Their attendance will be maintained by the respective Department
- 12.2 All the scholars who are admitted to the Ph D Programme and who carries out part of the research work at a place outside the university campus and at a recognized /approved institute/university, have to attend regularly, at the place of work and attendance will be maintained by the identified coordinator or the department at the place of work, who shall submit the monthly report to the head of the parent department at USTM.

## 13 Scholar's-Guide Meet

The university organises the Scholar's-Guide Meet twice in a year (in the month of January and July) to review the activities/performances of the scholar and then planning for next course of action. The purpose of the meeting is to review the progress of the research work and to sort out any problem related to it and also specific suggestion/advice from the guides if any.

In the same meeting, scholars may give their presentation as a part of six-monthly progress reports. It is important, that all scholars shall attend the meeting without fail.

## 14. Presentation of Synopsis

- 14.1 On successful completion of the course work, the scholar will prepare the synopsis on the approved research area within the next semester (following the completion of course works) on the basis of review and critical analysis of available literature on the broad topic. The synopsis (5 hard copies), along with form at *Annexure-C & D*, duly signed by the supervisor(s) shall be routed through DRC to SRC. The research scholar shall present the synopsis (After 15 days from the submission of synopsis/Research Proposal) before the DRC on a date fixed by DRC in consultation with Academic Registrar and defend it before an open seminar in presence of an external expert to be attended by faculty members , research scholars and post graduate students of the department. If found suitable, the SRC will recommend the scholar to continue research in the topic of presentation. In case of deficiency noted by SRC, the scholar shall be asked to revise Research Proposal under the guidance of supervisor within a specified time.
- 14.2 If the synopsis/Research Proposal is accepted by SRC, an acceptance letter will be issued to the scholar by the Academic Registrar. A copy of the **acceptance letter** shall be forwarded to the Controller of Examinations and Admission.

**14.3 Recognition of other organizations/laboratories for Ph.D. work**

14.3.1 If any department of an outside institute/university /R&D organization desires to be considered for recognition for conducting research work leading to Ph.D., the Head of the department of the concerned institute/university/ R&D organization should apply to the Academic Registrar through the Head of the concerned department/centre of USTM in prescribed format (Form VII) giving full details of the facilities available.

14.3.2 The Academic Registrar shall route the same through the DRC/SRC and the URC and shall place it before the AC for necessary action.

14.3.3 Recognition to any external organization shall be governed by the rules as stated under Clause-6

14.3.4 For all other matters relating to recognition not covered by these rules, the decision of the AC shall be final and binding.

**15. Participation:**

It is also advisable to attend/join all the events of USTM especially seminar/conference/workshop etc. conducted during the events like North east Graduates Congress (NEGC), North East College Principals Meet (NCPC), North East Teachers Congress (NETC), Junior College Principals Meet (JCPM) etc. Due weightage /credit will be given to the scholar during evaluation process.

**16. Progress Report**

A registered scholar shall submit through his/her guide the progress report of his/her work. The report shall be submitted twice a year to the Academic Registrar through the concerned Supervisor(s) as per format at *Annexure-E*. If in two consecutive reports the progress of a scholar's research work is found to be unsatisfactory, he/she shall be automatically deregistered from the programme.

16.1 The progress of work of each scholar will be assessed at the end of each semester by the DRC. Scholar shall have to submit six monthly progress report (three hard copies) and power point presentation in front of DRC, with requisite semester fees already paid. Scholar shall have to give such six monthly progress report at every end of the six months with a minimum of 4 (four) in number. Then the progress report will be sent to SRC for recommendation for grant of permission for enrolment of the scholar for the next semester. In case of any adverse comment on the progress report, the SRC will decide on the action to be taken.

16.2 It is mandatory for each scholar to physically submit his progress report in each semester.

- 16.3 His/her irregularity of submission of progress reports or semester fees may lead to cancellation of his/her registration.
- 16.4 The scholar may also apply for discontinuation through Supervisor to the Dean of the School who will recommend the case to URC for a decision.
- 16.5 If the scholar cannot give the presentation timely, a written warning will be issued and an amount of Rs. 1000/- will be imposed as penalty.
- 16.6 In exceptional cases two progress reports can be presented with prior approval of the appropriate authority

### **17. Seminar/Workshop**

A PhD scholar is expected to attend four national/international seminar/conferences in his/her area of research & discipline to become eligible for submission of his/her thesis.

### **18. Publications**

- 18.1 A scholar must publish at least two research papers in the UGC Care List (having good impact factor) during the Ph.D. programme tenure before submission of the thesis. He/she must produce the evidence of the same in the form of acceptance letter or the reprint of the research paper.
- 18.2 In each publication mentioned in the UGC Care List, it is mandatory, to acknowledge that the research work is carried out at the University of Science & Technology, Meghalaya, under research programme. The name of the Supervisor needs to be mentioned in the affiliation of the paper.
- 18.3 In case, such work is carried out at any other approved/ accepted Institute or university, then also in the acknowledgement, names of both the institutes must be mentioned.

### **19. Modification of Title**

A scholar may be allowed by the URC on the recommendation of DRC and SRC to modify his/her research title. During modification of the title, the basic thrust or contention of the research work should not be altered. The title cannot be modified after pre-thesis presentation.

### **20. Change of Topic**

- 20.1 If a research scholar wishes to change his topic, he has to submit a fresh feasibility report on the revised topic through DRC to URC. A scholar may be allowed by the URC to change the research topic.
- 20.2 In such a case of change of topic, necessary course work of the relevant subject needs to be done.

### **21. Re-admission**

- 21.1 On the recommendation of the DRC, URC may allow a scholar to register afresh on expiry of the maximum admissible period (cl.no.7.2).



- 21.2 Re-admission shall also be necessary in case of change of topic as stated under the clause 20 above
- 21.3 In case of re-admission scholar will have to pay the usual admission fee.

## **22. Pre-thesis submission**

- 22.1 After successful completion of submission of four progress report, the Ph.D. scholar is eligible for the presentation of Ph.D. work (pre-thesis submission). The Pre-thesis submission must be achieved within 3 months of the fourth progress report.
- 22.2 Before the pre-thesis submission, it is mandatory for the scholar to attend at least three seminars/conferences/ workshops related to Ph.D. work.
- 22.3 It is mandatory to publish two research papers in UGC care listed journal or Scopus indexed with good Impact Factor, on the topic of Research after registration in Ph.D. programme
- 22.4 The Pre-Thesis presentation will be allowed only after clearance of necessary dues, publications as per the requirement and presentations of all the four six monthly progress reports.
- 22.5 Empanelment of examiners shall be made by the respective supervisors during this period on receipt of recommendation from the SRC from the List of Examiners (at least 7 nos.) provided by the respective Supervisor(s) taking minimum four from universities/institutions of North East region of the India and minimum three from outside North East/India.

## **23. Submission of Thesis**

- 23.1 The final form of complete research work (Ph.D. Thesis) shall be submitted after the pre-thesis presentation is approved by SRC, within three months.
- 23.2 The thesis should be written as per the “guidelines for Ph D Thesis writing” given at Annexure-K
- 23.3 Candidate shall submit six copies of his/ her thesis (soft binding) along with a soft copy in PDF format.
- 23.4 The copies shall be bound in accordance with the standard specifications as per the direction of the COEA. Thesis shall be printed in English/except the thesis pertaining to any language subject which shall be written in the respective language.
- 23.5 The thesis shall include a certificate from the supervisor(s) to the effect that the results and findings incorporated into it have not been submitted to any other institutes for award of any degree or diploma.
- 23.6 All the copies of the thesis shall be submitted to COEA through DRC and SRC for necessary action.

## **24. Evaluation Process (Thesis)**

- 24.1 The thesis shall be examined by 3 (three) examiners, i.e. the supervisor(s) as internal and two externals, one of which shall be from outside the North East from the list.
- 24.2 The list of empanelled examiners will be placed before the Vice Chancellor by COEA for final selection of the three examiners.
- The Supervisor
  - One Examiner from the list belonging to the North East India

- One examiner from the list belonging to the outside north east or outside the country.

- 24.3 The COEA will write letters of consent to the two examiners and get their consent to evaluate the thesis, within 15 days from the date of receipt of the examiners list . If any one of them regrets, then with the consent of VC, the letters will be sent to another examiner from the list.
- 24.4 On getting consent from the Examiners, COEA may send the copies of the abstract and the Thesis to them along with other statutory papers (*Annexure-L*), with a request to return the assessment within six months.
- 24.5 A reminder may be sent to the examiner, if the report is not received in the 5<sup>th</sup> month and at the end of 3<sup>rd</sup> months.
- 24.6 If the unanimous recommendations for the award of Ph. D. degree is received from all the three examiners, the process for viva-voce and the award of degree to be initiated.
- 24.7 If the thesis is recommended for the Ph.D. degree by any two examiners and rejected by the third examiner, then the thesis will be referred to any external examiner (i.e. 4<sup>th</sup> examiner) from the panel and to be selected by the Vice Chancellor. The assessment of the 4<sup>th</sup> examiner shall be final, but if the 3<sup>rd</sup> examiner suggests for resubmission after revision then the revised thesis be sent only to him (3<sup>rd</sup> Examiner).

If the revised thesis is recommended by the 3<sup>rd</sup> examiner, the award will be processed. If the 4<sup>th</sup> examiner suggested resubmission after revision then the scholar will be allowed to re-submit the thesis after necessary revision in the light of the comments of the examiner within one year on payment of half the prescribed examination fees and the revised thesis will be sent only to this examiner who suggests revision. If 4<sup>th</sup> examiner recommends the thesis, the report of the recommendation will be considered along with the other reports already received and will be processed.

- 24.5 If the thesis is suggested for re-submission after revision by any two examiners, the scholars will be allowed to re-submit the thesis after revision in the light of the comments of the examiners within one year on payment of prescribed fees and the revised thesis will be sent to only those examiners who have suggested revision. If the revised thesis is recommended, the reports and the recommendation will be considered along with the other reports already received and will be processed.
- 24.6 If the thesis is rejected by any two examiners, it shall stand rejected. The situation of rejection shall then be referred by URC to Academic Council that may at its discretion give a scope to the scholar for revision of his work subject to the availability of time within the maximum period.
- 24.7 After the thesis has been recommended by all the examiners for the award of Ph.D. degree, the report of all the examiners will be made available to the concerned Supervisor with a copy to HoD concern/Chairperson of DRC by the Controller of Examinations & Admissions and the candidate shall be asked to appear at a Viva-Voce Examination.
- 24.7.1 The Viva-Voce will be conducted by a Committee comprising the DRC and a

nominee from Vice Chancellor, Dean of School or his nominee and at least one examiner (out the two external examiners of the thesis). In addition to these members of the committee, the Chancellor will nominate one expert to attend the Viva Voce presentation (*Annexure-Q*) and send the report to Chancellor. It shall be an open viva voce in which Faculty members, research scholars and interested students of the school concerned may be present. An open notice to be given in the university, with at least 15 days in advance. The attendance of all the participants present during the presentation must be taken as per the format given in *Annexure-J* and the same format may be used for other presentations like synopsis, progress report etc.

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

## **25. Declaration of Result**

- 25.1 The Viva Voce Committee shall forward its recommendation to Dean of the respective School for onward transmission to URC for approval and URC shall send the approval to Academic Council for ratification. In special circumstances, Vice Chancellor is empowered to take any decision to expedite the process of declaration of results any step of the evaluation/certification power.
- 25.2 The Controller of Examinations and Admissions shall notify the result in the University Notice Board and upload it in the University website and also send copies to all the universities (*Annexure-M*).
- 25.3 University shall issue a provisional Certificate certifying to the effect that the degree has been awarded in accordance with the provisions of the regulations of UGC.

## **26. Depository with UGC**

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

## **27. News Paper publication**

The scholar must publish the award of the Ph.D. degree in an English daily published from Meghalaya and another English daily published from the state where the scholar belongs to. The publicity and other cost will be borne by the scholar. The draft of the publication of the award will be prepared by the university research section with authentic data.

## **28. Tracking the outcome of the thesis**

- 28.1 The university research section will be in touch with the Ph D awardees periodically and track the progress of the outcome of the thesis to assess, whether the research findings are extended for further research or converted to technology to make the benefit of research to society or passed on to text books, etc.

28.2 The awardees to be made members of alumni association.

## 29. Eligibility to become a recognized guide

A Supervisor is a suitably qualified person, who must be a regular faculty of USTM and ,who has been recognized by the University.

29.1 The prospective Supervisors shall apply to the University for Recognition as Ph.D. Supervisor, subject to the approval of the SRC.

29.1.1 He/ She must be a Ph.D. degree holder. And

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

29.1.2 He/ She has at least three research publications in Indexed/ ISSN numbered journals of National/ International level in relevant subjects with at least one international publication.

29.1.3 Any academic person having recognition as Ph.D. guide from other reputed Universities/research institutes will be considered.

29.2 Notwithstanding anything contained above (Cl. No. 29.1) for the School of Medical Science, a teacher to be recognized for the guides shall have not less than 15years of teaching and research experience after his/ her post graduate qualification and shall have not less than 10 years of post graduate teaching experience.

29.3 The Guides may be approved by the DRC on the recommendation of the SRC concerned in due consultation with the related subject expert. The subject expert based on his/ her evaluation of the two research papers and other research outputs submitted by the candidate shall recommend eligibility for Guides. If any information to be obtained from the applicant, the format at *Annexure-O*, may be used. On final approval, a letter of recognition as Ph D guide of the USTM may be issued as per the format at *Annexure-P*.

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

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

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

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

29.6 Without creating precedence, the URC may relax some of these criteria (Cl. 29.1) under special circumstances.

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