

ST. XAVIER'S COLLEGE OF EDUCATION (AUTONOMOUS)
DIGHA GHAT P.O., PATNA
ARYABHATTA KNOWLEDGE UNIVERSITY

Rules and Regulations for the award of Ph.D. degree as per the Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations 2016 and as per Notification from Aryabhatta Knowledge University on Uniform Ordinance and Regulation Governing award of Ph.D. Degree (Memo No. 012/Acad/01-01/AKU/2015(Vol-III)-1353 dated 04/04/2018) applicable to St. Xavier's College of Education, Patna.

1. PREAMBLE

- 1.1** In order to regulate the minimum standards and procedures for the award of Ph.D. degree in conformity with the UGC's Minimum Standards and Procedure for the award of Ph.D. degree vide Regulations-2016, dated 05 May, 2016, and no. 278 dated July 5, 2016, the following rules and regulations is promulgated to make provisions for Ph.D. admission in St. Xavier's College of Education, Patna. These Rules and Regulations shall be called '**Rules and Regulations for Ph.D. Degree**' and shall be applicable in the faculty of Education. They shall come into force from the session 2019-20.
- 1.2** The process of admission to Ph.D. programme would be held once every year as per the notification of SXCE.

2. ENUMERATION OF Ph.D. SEATS

- 2.1** Permanent teachers of the College would be eligible to supervise students for Ph.D. degree if all other eligibility criteria are fulfilled.
- 2.2** At any point of time, total number of Ph.D. seats shall not exceed 08 for a Professor, 06 for an Associate Professor and 04 for an Assistant Professor respectively.
- 2.3** Based on the above allocation and number of Ph.D. students who have already been registered for Ph.D. with all supervisors in the subject with valid studentship, the Head of each Department shall obtain the number of feasible Ph.D. positions available with each prospective supervisor and communicate the total number of vacancies to the Principal. The number of Ph.D. seats communicated by a faculty member to the Head of the Department will not be ordinarily changed and it shall be mandatory for the prospective supervisor to guide the number of Ph.D. students.
- 2.4** The reservation policy of the state government will be applicable on the total number of available seats at the point of admission.
- 2.5** Admission to Ph.D. programme would ordinarily be held only in Education in which Post Graduate course is being offered by the College. The Ph.D. degree would be awarded in Education only in which the candidate has taken admission.
- 2.6** Advertisement inviting online/offline submission for admission to Ph.D. programme shall be published in one Hindi and one English daily newspaper. The details will be available on the College website.
- 2.7** Candidate seeking admission to the Ph.D. programme shall have to apply online/offline with requisite fee within the scheduled period.

3. ELIGIBILITY CRITERIA FOR CANDIDATES SEEKING ADMISSION TO Ph.D. PROGRAMME

- 3.1 Candidates for admission to the Ph.D. programme shall have a Master's degree in Education with at least 55% marks or 5.5 CGPA wherever the grading system is followed.
- 3.2 A relaxation of 5% from 55% to 50% or an equivalent relaxation in grade will be allowed for those belonging to the SC/ST/EBC/OBC/Differently-abled categories of students.

4. PROCEDURE FOR ADMISSION

- 4.1 The procedure for admission to Ph.D. programme would be governed by the UGC Regulations 2016 and the subsequent amendments. There would be two streams of applicants, namely (i) Those coming through a Ph.D. Admission Test to be conducted by College and termed as Ph.D admission test (PAT) and (ii) those exempted from PAT (ref : cl.5). All such candidates would be pooled together and have to appear before an interview board. The final selection of both the categories of candidates in the Ph.D. programme would be based on the performance of candidates in the interview as well as on the basis of marks obtained in PAT and NET examination.

- 4.2 Ph.D. programme through distance education mode is not allowed.

4.3 STREAM 1: Procedure for Entry through PAT

- 4.3.1 This category of applicants have to appear in the PAT organized by SXCE.
- 4.3.2 The applicants who have qualified in PAT would be required to appear before an interview board.
- 4.3.3 The interview board shall consist of the members of the Departmental Council appointed by the College.
- 4.3.4 The selection of the candidates will be carried out on the basis of marks obtained in PAT and interview combined together.
- 4.3.5 The PAT is a written test of 100 marks. It will consist of multiple choice questions on qualitative, teaching, research aptitude and on syllabus of the Post Graduate courses of the College.
- 4.3.6 The minimum qualifying marks will be as follows:
For General candidates -50% aggregate marks
For Reserved category candidates- 45% aggregate marks
- 4.3.7 The result of PAT will be valid for three years after declaration of result.

4.4 STREAM II: Procedure for Entry with exemption from PAT

This stream of applicants will come through having exemption from the PAT as per provisions made under clause 5 below and would directly appear in the interview.

5. EXEMPTION FROM THE PAT

- 5.1 Candidates who qualify UGC/NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/ teacher fellowship holder or have passed M.Phil programme.
- 5.2 Assistant Professors, Associate Professors and Professors who have been appointed on substantive post in the UGC pay scale in Teaching departments of the University or a constituent college of the University who have completed their probation successfully with an experience of at least two years of uninterrupted service would be considered under this category. Teachers appointed in self-finance courses and teachers belonging to those colleges which run on Self-finance basis will not be exempted from the test.

- 5.3 Non-teaching employee of the University, who are holding substantive appointment for more than five years and having at least 55% marks in Masters' degree in Education and with at least two research papers published in any reputed refereed journals or journals identified by the UGC would be considered under this category.

6. FINAL SELECTION

- 6.1 The final selection of candidates in the Ph D. programme would be based on the performance of all the candidates (coming through PAT or PAT exempted category of candidates).
- 6.2 The final Selection list would be uploaded on the College website as well as displayed on the College Notice Board.

7. COURSE WORK

- 7.1 The finally selected candidates would be required to submit the stipulated fees for admission to Course-work only. This fee would include the fee for Course Work and the amount of fee would be decided by the College. All such candidates would be admitted in the Ph.D. Programme on the basis of the vacancies available in the Department.
- 7.2 All admitted candidates shall undertake a course work for a minimum period of one semester as per the norms of UGC.
- 7.3 The course work shall be treated as a part of the Ph.D. programme. It would include two papers. The first being a compulsory course on research methodology and may include quantitative methods and computer applications; reviewing of published research in the relevant fields and other techniques/ methods, specific for the broad subject area. The second paper would include research methods specific to concerned subject.
- 7.4 The Ph.D. course work shall be of 08 credits: each paper of 04 credits.
- 7.5 All courses prescribed for 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 council.
- 7.6 Ph.D. scholar has to obtain a minimum of 55% of marks or equivalent Grade in order to be eligible to continue in the programme leading to the completion of Ph.D. thesis. A Mark sheet/ Grade-Card would be provided by the University. Grades will be awarded on a seven point scale as mentioned below:

SEVEN POINT SCALE

GRADE	PERCENTAGE
O = Outstanding	75-100
A = Very Good	65-75
B = Good	55 - 64
C = Average	45-54
D = Below Average	35-44
E = Poor	25 – 34
F = Very Poor	00 – 24

- 7.7 If a candidate fails to qualify the course work examination in first attempt, he/she will be given only one additional attempt (last) to clear the course work by appearing in the examination along with the next regular batch after paying due examination fees.

- 7.8 Completion of Course Work successfully would be binding on all the Ph.D. candidates including teacher candidates.
- 7.9 Successful course work completion certificate has to be issued by the Head of the Department in the prescribed format.

8 REGISTRATIONS TO Ph.D. PROGRAMME

- 8.1 The candidates who have successfully completed their course work shall be required to submit a synopsis of the proposed research work and would make a presentation before the Departmental Research Council (DRC) for its approval.
- 8.2 In case, the DRC finds that the synopsis is not up to the mark, it shall make specific suggestions for improving the synopsis. The candidate after making the necessary improvements shall re-submit his/her synopsis for approval. The revised synopsis is to be submitted within a week from the date of the DRC meeting. In the next meeting DRC shall recommend and forward the application to the Head of the Faculty for registration in the Ph.D. programme and for final approval.
- 8.3 All proposals approved by the faculty shall be notified and the candidates would be required to submit the requisite fee for Ph.D. work.
- 8.4 After the synopsis is approved by the DRC/College it will be uploaded on the College website.
- 8.5 The tenure of research work of three years will be considered retrospective from the date of admission in the course work.

9. ELIGIBILITY CRITERIA OF SUPERVISOR AND RELATED REGULATIONS

- 9.1 The number of research scholars per supervisor shall not ordinarily exceed the number mentioned in sub section 2.2.
- 9.2 Any regular Professor of the College with at least five research publications in refereed journals or journals identified by the UGC and any regular Associate/Assistant Professor of the College with a Ph.D. degree and at least two research publications in refereed journals or journals identified by the UGC may be recognized as Research Supervisor.
- 9.3 Retired teachers of College fulfilling the above requirements may also be permitted to remain as supervisor of Ph. D. student/s as per UGC norms.
- 9.4 Only a full time regular teacher of the College can act as a supervisor. Supervisors from outside the College are not allowed. However, Co-supervisor can be allowed in inter-disciplinary areas from other departments of the University/College or from other related institutions / university with the approval of DRC.
- 9.5 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview.
- 9.6 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor and a Co-Supervisor from outside the College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

- 9.7 A supervisor shall not be allowed to supervise a candidate who is his/her close relative.
- 9.8 Change of supervisor shall not ordinarily be allowed, but in special cases/ situations, where the Departmental Council is satisfied that the research work of a Ph.D student will suffer, it may recommend for a change of supervisor in the particular case to the Academic Council for the change of supervisor. The reasons might be any of the following:
- 9.8.1 On account of migration, retirement, long leave or for any other reasons, the supervisor may not be available to guide the scholar.
- 9.8.2 As the supervisor is not willing to, or not in a position to supervise the candidate.

10. SUBMISSION OF THESIS

- 10.1 Prior to the submission of the dissertation/thesis the scholar shall make a presentation before the Departmental Research Council (DRC) which shall 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 in consultation with the Supervisor. Accordingly a certificate may be issued in the prescribed format by the Head of the Department.
- 10.2 While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar, certifying 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. A certificate from the Research Supervisor attesting to the originality of the work should also be attached to the thesis.
- 10.3 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, both from outside the state/country. For this a panel, three experts, inclusive of the supervisor, shall be appointed by the Principal in accordance with the due procedure to evaluate the thesis. It is to be ensured that at least three examiners (out of six examiners) of the proposed panel belong to three different states other than parent state. The external examiners shall not be below the rank of Associate Professor. The viva-voce, based among other things, on the critiques given in the evaluation report shall be conducted by the Head of the Department with one of the two external examiners. The viva voce shall be attended by interested experts, researchers and post graduate students.
- 10.4 The open viva voce of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation reports of both the external examiners on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce. If the evaluation report of one of the external examiners is unsatisfactory and does not recommend for viva-voce, the College will send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the viva-voce 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.
- 10.5 The College would ensure that the entire process of evaluation of Ph.D. thesis is completed within a period of one year from the date of submission of the dissertation/thesis.

- 10.6 The period of a candidate's studentship shall be counted from the date of the First fee receipt of the Ph.D. Course work provided he/she has successfully completed the Course work in the first attempt.
- 10.7 Continuance of registration of candidate in the Ph.D. programme shall depend on his/her satisfactory progress and good conduct. The College reserves the right to cancel the registration of any candidate in the event of his/her conduct and progress being found unsatisfactory or hiding of facts on the recommendation of the Supervisor and / or Head/ DRC.
- 10.8 In case the progress of the research scholar is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRC may recommend to the Head of the faculty with specific reasons for cancellation of the registration of the research scholar.
- 10.9 A candidate registered for the Ph.D. Degree shall be required to pursue his/ her research at the approved Department under the supervisor and on the topic approved continuously for not less than **Three Years** and a maximum of **Six Years** including Course Work duration of One Semester (Six Months).
- 10.10 The **women** candidates and **Persons with Disability** having more than 40% disability may be allowed a **relaxation of 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 Ph.D. for up to 240 days within the residency period.
- 10.11 The Principal, on the recommendation of the Supervisor, the Head of the Department, grant permission to a candidate to reside outside for the purpose of collection of research material for his/her thesis or doing experimental research work for a total period of not more than one year provided that such exemption shall not be granted in the first six months after approval of the Ph.D. synopsis.
- 10.12 **Change of Title of the PhD Thesis after registration**
- 10.12.1 A candidate may be permitted to minor changes in the title of his/ her thesis by the College on recommendations from the Supervisor and the DRC latest by six months before the submission of his/her thesis.
- 10.12.2 In case of major modifications / topic change, the candidate shall be treated as a fresh case and shall not be allowed to submit the thesis within thirty Six months.
- 10.12.3 In case, a candidate fails to submit his /her thesis within Six calendar years from the date of registration for Ph.D., his/her registration will be cancelled and shall not be considered a student of the College and shall not be entitled to the rights and facilities extended to a regular student. Provided that such a candidate may under special circumstances be permitted by the Principal, on collective recommendations or the supervisor and the Head of the Department, to submit his/her thesis within a maximum period of Eight years including the Six years period of his/her studentship.
- 10.14 A candidate submitting his/her thesis after the expiry of Six years period shall have to pay additional fee as decided by the College.
- 10.15 The registration of the candidate who does not submit his/her thesis within Eight years from the date of his/her studentship shall be deemed to be cancelled automatically. However, in case the student wishes to continue the research, he/she will have to apply to the Principal for fresh registration through the Supervisor/ Head. In all such cases, the candidate has to apply for fresh Registration within the preceding Six

- months of the Eight Year period. The thesis must be submitted within one year of fresh registration. The candidate would not be further given any extension for submission of the thesis under whatsoever condition.
- 10.16 The research student shall publish at least **One research paper** based on the research topic in refereed journal or in any of the journals approved by the UGC and present at least 2 research papers in seminars/ conferences before the submission of the thesis for evaluation and produce evidence for the same in the form of acceptance letter/ reprint and paper presentation certificate as the case may be.
 - 10.17 When the thesis is ready for submission, the student shall inform the Head of the Department through Supervisor, regarding completion of the research work embodied in the synopsis one month before expected date of submission.
 - 10.18 The thesis should embody original work, not published or submitted earlier except in the form of research publications.
 - 10.19 The thesis must comply with the following conditions:
 - 10.19.1 It must be a piece of research work characterized either by the discovery of facts or theory. In either case it should reflect the candidate's capacity for critical examination and sound judgment. The candidate shall communicate, how far the thesis embodies the result of candidate's own observations and in what respects his investigations may advance knowledge in the subject.
 - 10.19.2 The thesis shall be accompanied by two separate certificates as given below and should be duly signed:
 - 10.19.2.1 Self declaration certificate from the candidate and Certificate from the Supervisor/Co-Supervisors (**Annexure- A**).
 - 10.19.2.2 Certificate for the successful completion of Course work by the Head of the Department (**Annexure-B**).
 - 10.20 Five copies of the thesis shall be submitted in compact bound form along with a soft copy (CD/ DVD). Along with the thesis, 5 copies of the Summary should also be submitted. The medium of expression in every thesis shall be either English or Hindi (written in Devanagari Script).

The final thesis shall be presented in accordance with the following specifications:

 - 10.20.1 The Paper used for printing shall be of good quality A-4 size paper
 - 10.20.2 Printing shall be in a standardized form on both sides of the paper and in 1.5 spacing.
 - 10.20.3 A margin of about 2.5 cm shall be on all sides excluding the margin required for binding.
 - 10.20.4 The thesis should be typed in English in Times New Roman of size 12. For Hindi it should be written in Devnagari script of font size 12.
 - 10.20.5 The front cover and back cover should be of cardboard or reasonable thickness.
 - 10.20.6 The Title of the thesis name of the candidate, degree, Name of the supervisor, place of research with seal and the month and year of submission shall be printed on the Title page and the front cover.

11. EVALUATION AND ASSESSMENT METHODS

- 11.1 On receipt of the thesis including the certificates as mentioned in para 10.19.2 (bound within) along with the stipulated fee. The thesis shall be sent ordinarily within one month to examiners selected for the purpose after receiving their consent through email/post.

11.2 Evaluation Report

- 11.2.1** If the examiners consider the thesis to be of a sufficient merit, they may recommend that the thesis be accepted for the award of the degree of Doctor of Philosophy.
- 11.2.2** If the College is satisfied that the reports of the Examiners are unanimous and definite, the candidate shall be required to undergo a Viva-voce to be conducted by two examiners of whom one shall ordinarily be the supervisor and the other one from amongst the two external examiners, who have evaluated the thesis.
- 11.2.3** The Head of Department shall preside and conduct the proceeding of the Viva-voce, but he/ she shall not be party to the decision.
- 11.2.4** In case the supervisor is not available. The Head of Department himself or any senior teacher of the Department as recommended by the DRC may act as internal examiner. Due to any other extra-ordinary situation; The Head of the Department will act as internal examiner.
- 11.2.5** The Viva-voce shall be held at the College in the concerned Department on any working day and will be open to all interested in the subject where the candidate shall be required to present the main findings of his/ her thesis and defend the same. After satisfactory Viva-Voce report, the Examination Board of the College will recommend to the College for declaration of the result accordingly.
- 11.3** It would be the responsibility of the College that the Ph.D. thesis evaluation work is completed and Viva-voce is conducted within One year from the date of submission of thesis if all the examiner's reports are satisfactory.
- 11.4** A hard copy and an electronic version on a CD/ DVD of each accepted thesis shall be lodged with the College Library and one copy with the Departmental Library at which the candidate pursued research where it will be open to public inspection.

12. DEPOSITORY WITH UGC

- 12.1** Following the successful completion of the evaluation process and conferment of the award of Ph.D., the College shall submit a soft copy of the Ph.D. thesis to the University Grants Commission within a period of thirty days for hosting the same on INFLIBNET, accessible to all Institutions/Universities.
- 12.2** The College would host another soft copy of the Ph.D. thesis on its own website for general viewing.
- 12.3** The University, along with the degree, shall issue a Provisional Certificate certifying to the effect that the degree has been awarded in accordance with the provisions to the University Grants Commission (Minimum Standards Procedure for Award of Ph.D. Degree) Regulations, 2016.

13 REDRESSAL

- 13.1** Any issue regarding the interpretation of regulations shall be referred to the Principal, whose decision in his capacity as the Chairman, Academic Council shall be final and binding on all parties. The Principal may constitute necessary committees pertaining to any specific issue arising out of the present regulations to resolve the issue.

13.2 Leave Rules

A Ph. D. scholar shall be eligible to avail leave as per the College rules applicable to all other students of the College. In case of fellowship holder, the leave rule shall be applicable as per the award letter of funding agency.

13.3 Attendance Requirements: A candidate, who is pursuing course work as a part of his/her Ph.D. Programme, is expected to have 75% attendance. Attendance Register for all the Ph.D. students for both Course work and Ph.D. duration is to be maintained in the office of the concerned Department.

13.4 There would be a separate Register which would be maintained by the College in which the information about the Ph.D. awarded in different departments where the name of the candidate, topic of research, name of supervisor/s, date of registration, date of submission and date of declaration of result would be recorded. This information would also be put on the College's website.

14. FEE STRUCTURE

Fee for Indian students


(a) Fee for Ph.D. course work	Rs. 60,000/-
(b) Registration fee	Rs. 15,000/-
(c) Annual fee	Rs. 30,000/-
(d) Admission fee	Rs. 15,000/-
(e) Fee at the time of submission of thesis	Rs. 50,000/- (Inclusive of viva expenses)

Fee for Non-Resident Indian and Foreign Students

(a) Fee for Ph.D. course work	\$ 722
(b) Registration fee	\$ 181
(c) Annual fee	\$ 361
(d) Admission fee	\$181
(e) Fee at the time of submission of thesis	\$ 602

Fee for Students from SAARC countries

(a) Fee for Ph.D. course work	\$ 722
(b) Registration fee	\$ 181
(c) Annual fee	\$ 361
(d) Admission fee	\$181
(e) Fee at the time of submission of thesis	\$ 602


PRINCIPAL
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